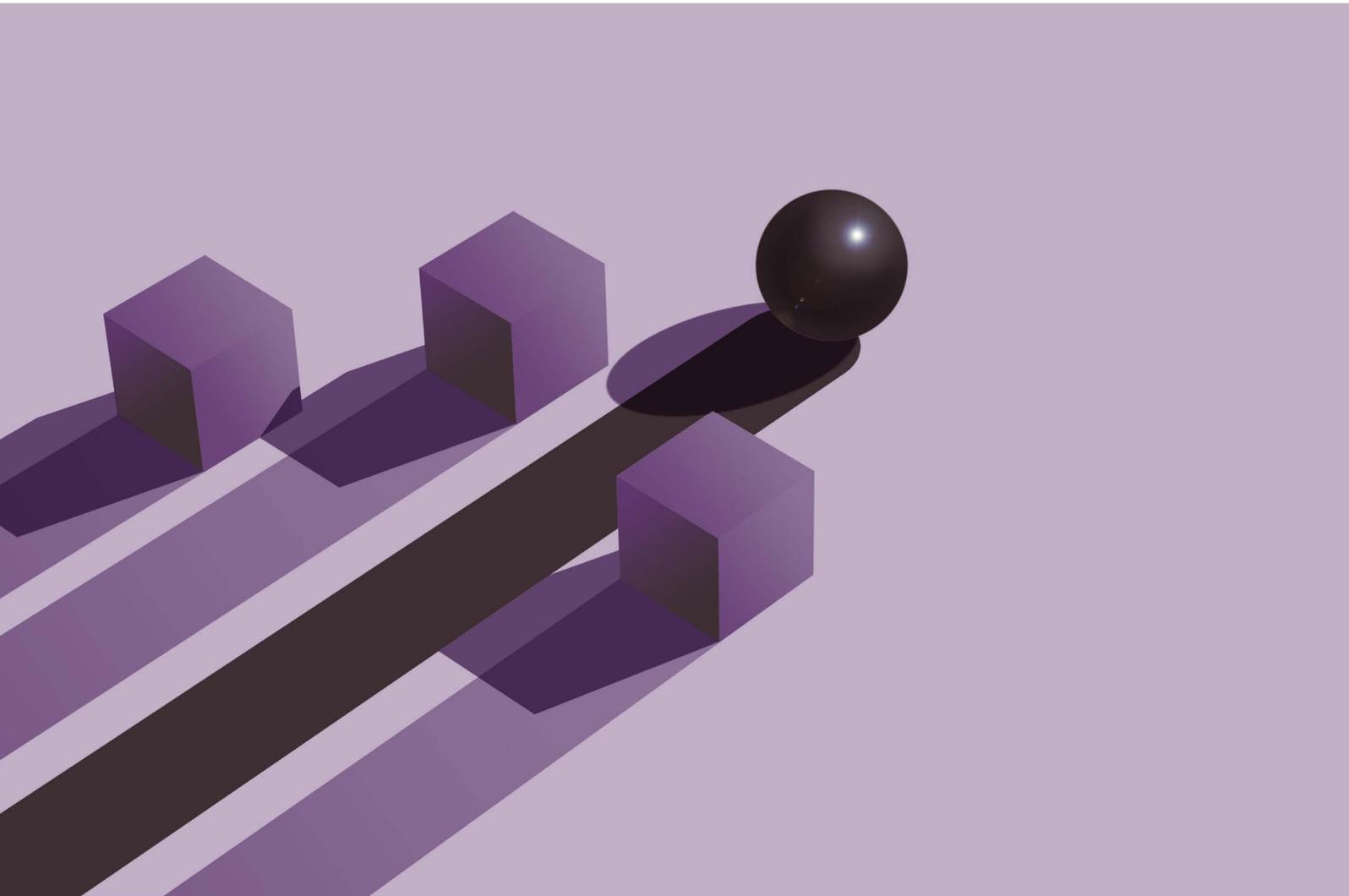


A Thematic Review of Prisoner Progression in Scottish Prisons



HM Inspectorate of Prisons for Scotland (HMIPS)

"I want to progress to open conditions, I want to move on with my sentence, but the very process that's designed to help me get there doesn't work ... Integrated Case Management is broken, it malfunctions at every single stage. SPS are aware of this, but no-one wants to do anything about it."

(Long Term Prisoner Quote 2022)

"I've asked my personal officer to sit down with me and take me through the ICM process ... I've asked some other staff too, but they're always too busy to speak to you. I want to progress ... but you don't get any encouragement or support, you never get access to any information, and you never get a straight answer ... it's always convoluted."

(Short Term Prisoner Quote 2023)

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1. Foreword



Wendy Sinclair-Gieben,
HM Chief Inspector of Prisons for Scotland

Firstly, let me extend my thanks to the team that has compiled this comprehensive review and the support and cooperation from all the organisations and individuals that have contributed.

This second review on progression by HMIPS takes a deep dive into the complex world of prisoner progression in Scotland. The Scottish penal system has long been regarded as one of the most progressive in the world, with a strong emphasis on rehabilitation and reintegration. However, as with any system, it is essential to assess its current effectiveness and, if required, identify areas of improvement.

Scotland holds a unique position, with its own distinct legislative framework and a carefully designed pathway for prisoner progression. The purpose of this review is to critically examine the various stages of this pathway, evaluating their impact on reducing reoffending rates and promoting successful reintegration into society. The review has mainly focussed on the progression system as it applies to adult male convicted prisoners.

Women are managed via an innovative model of custody in Scotland that delivers progression via newly opened Community Custody Units and a prison founded on trauma-informed principles. These are too new to evaluate in this report. Young men have access to a progression system within HMP YOI Polmont, the establishment for young men in Scotland. However, I would like to see that extended to include a facility where young men can gain independent living skills in less restrictive conditions. This lack of provision for young men was also commented on in the previous HMIPS review of progression arrangements between closed and open conditions conducted in 2010.

This review's primary objective is to highlight the key factors that contribute to an effective prisoner progression system and where that may be falling down. By analysing the existing policies, programmes, and support mechanisms, we aim to provide valuable insights into what works and what should be enhanced.

Moreover, this review acknowledges the challenges faced by the Scottish penal system, including high rates of imprisonment and the increasingly complex needs of individuals in custody. We recognise that prisoner progression is a multifaceted process that requires collaboration among various stakeholders, including prison staff, rehabilitation teams, community partners, and the individuals themselves. Our intention was to examine the effectiveness of this collaborative approach and identify areas where coordination and communication can be strengthened.

Throughout this review, we have engaged with a wide range of experts, including academics, practitioners, and people with lived experience of the criminal justice system. Their perspectives and experiences have provided invaluable insight into the nuances of prisoner progression in Scotland.

There are a number of recommendations arising from the review, but the key point is that the whole system is currently not meeting the needs of the Scottish Prison Service (SPS) and is therefore in urgent need of reevaluation and further investment.

It is our hope that this review will also contribute to the ongoing conversation surrounding prison reform and assist policymakers, practitioners, and advocates in shaping a more effective prisoner progression system. By promoting a system that prioritises rehabilitation, support, and successful reintegration, we can work towards a society that reduces crime, and ultimately creates safer communities for all.

We extend our gratitude to everyone who has contributed to this review and to those individuals who have shown unwavering dedication to improving the lives of those in our prison system.

Finally, we recommend this review is read in conjunction with the Prison-Based Social Work review undertaken between the Care Inspectorate and His Majesty's Inspectorate of Prisons for Scotland. [Prison-based social work thematic review.pdf \(careinspectorate.com\)](https://www.careinspectorate.com/prison-based-social-work-thematic-review.pdf)

Wendy Sinclair-Gieben

Wendy Sinclair-Gieben,
HM Chief Inspector of Prisons for Scotland

2. Acknowledgements

This review was instigated by Wendy Sinclair-Gieben, His Majesty's Chief Inspector of Prisons for Scotland (HMCIPS), His Majesty's Inspectorate of Prisons for Scotland (HMIPS).

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Mike Hendry (Strategic Inspector, Care Inspectorate)

Together we would like to thank all those who contributed to the review.

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The review team would also like to thank the Scottish Prison Service (SPS) for facilitating our prison visits.

We are grateful to all the Governors-in-Charge (GICs), Deputy Governors-in-Charge, Senior Management Teams (SMTs), Integrated Case Management (ICM) Coordinators, ICM Teams, First Line Managers, Personal Officers, Heads of Psychology, Prison-Based Social Work (PBSW) Team Leaders, PBSW Teams, Induction/Prerelease Officers, and Parole Coordinators. All who gave up their valuable time to accommodate our visits and take part in the thematic review.

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Finally, we would like to thank all those people being held in custody across Scotland who took part in this thematic review, through focus groups and one-to-one interviews and observational sessions including induction arrangements, ICM Case Conferences, RMT proceedings and prerelease arrangements. They often shared sensitive and emotional experiences, and provided candid, thoughtful, and thought-provoking insights into the experiences of prisoners seeking to progress through the system.

3. Executive Summary

This is the final report of the Thematic Review of “Prisoner Progression” arrangements in Scottish Prisons, by HMIPS. A previous review was conducted in 2010 at the request of the Cabinet Secretary for Justice.

Background and Context

Scotland’s prison population remains amongst the highest in western Europe. On any one day the SPS is responsible for the security and welfare of approximately 8,000 people in 17 establishments including two women’s community custody units across Scotland.

[The Vision for Justice in Scotland \(Scottish Government, 2022\)](#) acknowledges the negative impact of shortterm custodial sentences on people’s life chances. The vision includes a commitment to transformational change by shifting the balance between the use of custody and community justice. It outlines the complex needs and challenges that people in contact with the criminal justice system experience, such as trauma, mental and physical health difficulties, and substance use. People entering custody are disproportionately from the most deprived areas of Scotland. Further, the proportion of people in prison over the age of 50 is rapidly growing.

Although fewer people are receiving a custodial sentence each year, those who are sent to prison tend to receive longer sentences and the number of people in prison for sexual offences had more than doubled over the last decade. This adds to the complexity of the population.

The Prisons and Young Offenders Institutions (Scotland) Rules 2011 [The Prisons and Young Offenders Institutions \(Scotland\) Rules 2011 \(legislation.gov.uk\)](#) set out at rule 81 how prisons are required to focus on working with the people in their care to improve the prospect of them making a successful return to communities as detailed below.

- (1) The Governor must obtain reports about a prisoner’s particular needs and wishes concerning work and education as soon as practicable after that prisoner is received into prison.
- (2) The Governor must, following receipt of the reports referred to in paragraph (1), and in consultation with the prisoner, determine a programme of work, educational activities and counselling for the prisoner with the objectives of improving–
 - (a) the prospects for the prisoner’s successful resettlement in the community; and
 - (b) the prisoner’s morale, attitude, and self-respect.

Protecting the public cannot be achieved by any one agency. As such, community justice partners are expected to form strong partnerships at each point of the justice system. The SPS therefore work in partnership with national and local agencies to fulfil their core responsibilities. The delivery of a progression system is an important element of this joint approach to play a part in making communities safer.

HMIPS is responsible for the inspection and monitoring of Scotland’s prisons and court custody centres. Inspection and monitoring activity focuses on establishing the treatment of and the conditions for prisoners. It also focuses on the conditions in which prisoners are transported or held in pursuance of prisoner escort arrangements. HMIPS report publicly on its findings.

Other Inspectorates are committed to working in partnership on shared areas of interest and responsibility and routinely contribute to HMIPS's annual inspection programme.

For the purposes of this report, the term "partners" refers to the people and organisations HMIPS engaged with as part of the thematic review.

Reason for the Review

Sentence progression is a major concern for the convicted prison population. For some time, worries about progression have formed a significant part of the evidence from full inspections, prison monitoring, liaison visits, and correspondence from prisoners. The treatment and conditions for prisoners coupled with their concerns, indicated that the progression arrangements currently operating in Scotland's prisons, did not appear to be effective. An important implication of this is that it may result in people serving their sentences in more restrictive regimes than necessary.

This highlighted a deficit with even wider implications if it has contributed to the underuse of the Open Estate at HMP Castle Huntly and the Community Integration Units. Failure or delay in facilitating access to opportunities for prisoners to begin being tested in preparation for successful community reintegration, may affect the overall number of people in custody in the context of an increasingly overcrowded prison system in Scotland. The levers that exist in the system, to give effect to carefully assessed and managed early release at the appropriate point in their sentence and risk profile, need to be deployed as timeously or effectively as they could be.

There was a clear need for a comprehensive review that builds on the findings of the 2010 review. Although the previous review took place in a different context there are themes that feature in both. Notable examples of this are the need to deliver staff training, to review the Prisoner Supervision System and to achieve more effective corporate governance.

HMIPS, in collaboration with other partners, undertook a detailed examination of operational practice as well as the strategic leadership and partnership arrangements that support and underpin the SPS approach.

Whilst in custody the SPS has a rehabilitative focus to prepare individuals for release that promotes self-efficacy, family contact and community connections. This preparatory work involves a range of activities, undertaken in environments of progressively reduced security, testing prisoners' ability to manage their identified risks in readiness for access to the community.

The aim of the SPS Risk Management, Progression and Temporary Release arrangements is to bring expertise and resources from across agencies and organisations together, to work collaboratively in reducing prisoners' risks, reducing reoffending, ensuring the most positive outcomes for people in custody and ultimately the safety of the community.

The multiagency approach has the potential to enhance relationships, capitalise on assets and support individuals to take responsibility by creating environments which engage and challenge people to develop and build skills, self-reliance, and improved motivation to lead lives free from crime.

By reviewing compliance with relevant legislation and policy and seeking user voices, the review evaluates prominent risks in service delivery, provides objective insight into day-to-day operations, identifies good practice, and makes recommendations for areas of improvement.

Scope of the Thematic Review

This review focused on the performance of three core component parts of SPS policy that govern the prisoner's progression pathways – Integrated Case Management, Risk Assessment, and the operation of the Risk Management Team.

By focusing our energy on these three key areas we were able to undertake some detailed analysis and gain insight into how efficient and effective these business-critical processes are. In taking this approach, we kept the remit sufficiently tight for people to understand and engage with the review whilst being flexible enough to take us into other key areas of operational practice.

Conclusion

In conclusion, this review was informed by the views of over 500 prison staff and over 600 prisoners, providing a comprehensive evidence base. They confirmed HMIPS concerns that the progression system simply is not working for all prisoners. At almost every stage of the process prisoners felt frustrated about the length of time it takes to progress and the lack of clarity on timeframes and qualifying criteria. The level of confusion experienced by both prisoners and staff was worrying.

The current Integrated Case Management (ICM) process in line with the priorities specified within the SPS Corporate Plan 2023/2028, and the RMA's Framework for Risk Management and Evaluation (FRAME) clearly requires a holistic evidence-based review of case management and progression systems, to ensure SPS complies with its responsibilities under the Bail and Release from Custody (Scotland) Act 2023. The review should be conducted with partner agencies and take account of the views of those with lived experience.

The findings and conclusions can be brigaded into five clear areas.

- 1. Need for review.** Existing processes and functions are not delivering an effective service for all sentenced prisoners. A multiagency refresh and review, taking account of lived experience, is required to ensure effective service delivery, equality of access and allow the agencies to optimise the use of the available resources.
- 2. Resourcing.** Staff at all levels evidenced a lack of knowledge, and concomitant ability. To be effective, clear job descriptions with allocated time, training, professional support, and supervision needs to be developed. Alternatives to the current resourcing model also need to be considered.
- 3. Accountability, Governance and Assurance.** The perceived lack of assurance leads to an inconsistent delivery and for prisoners it lacked transparency and credibility. The system requires the development of qualitative and quantitative standards, which are subject to ongoing scrutiny and revision underpinned by a collaborative approach.
- 4. Communication.** At all levels, communication and information to staff, prisoners and families is lacking. There needs to be an evidentially effective communication structure, and as a minimum for prisoners, a copy of their individual person-centred plan.
- 5. Estate.** The spaces in the Open Estate and the Community Integration Units arguably evidences the ineffectiveness of the processes. A strategy to address the blockages and optimise the capacity of the facilities available is required. In addition, given the ageing population, efforts need to be made to ensure those with protected characteristics can access conditions of reduced restriction.

It is important to mention that the SPS have expressed their ongoing commitment to review and resolve the issues.

4. Methodology

HMIPS inspectors were supported in the review by colleagues from the Risk Management Authority (RMA), Community Justice Scotland, and the Care Inspectorate. RMA colleagues lent their expertise to scrutiny of risk assessment processes and procedures, risk management performance and ICM arrangements. Community Justice Scotland and the Care Inspectorate lent their expertise to the contribution of Prison-Based Social Work to progression decision making and ICM arrangements, as well as considering the provision of information and service from Community-Based Social Workers (CBSW).

HMIPS then facilitated a Roundtable Event to ensure that a whole host of other partner organisations, including the Scottish Government, Parole Board for Scotland, Education Scotland, Howard League, Scotland and Independent Prison Monitors, had a common understanding of the aim and the purpose of the thematic review and, more importantly, had an opportunity to influence the Terms of Reference.

HMIPS, in collaboration with their strategic partners, undertook a series of site support visits in 2022-2023 to all 15 prisons in Scotland (public and private) the remaining two establishments, the new community custody units were not included. The team scrutinised operational preparedness, operational processes and procedures, and gathered evidence to support an objective assessment of performance and inform recommendations for organisational and cultural change.

The methodology included detailed observation of operational practice, including:

1. The ICM Case Conference process, comprising the Initial, Annual, Progression, and PreRelease case conferences.
2. The Risk Management Team (RMT) meetings.
3. Auditing of relevant standards.
4. Conducting one-to-one interviews with senior management, key SPS staff, and partner agencies.
5. One-to-one interviews with prisoners that included adult men, adult women, young men, and young women.
6. Facilitating focus groups with SPS Personal Officers and Prison-Based Social Workers.
7. Facilitating focus groups with prisoners, including Long-Term Prisoners, Short-Term Prisoners, Offence Protection Prisoners (individuals being managed under a Protection regime).
8. Individual prisoner file reviews.

Interviews: Prison Staff	
Deputy Governor one-to-one interview	13
Deputy Director one-to-one interview	2
Unit Manager one-to-one interview	15
First Line Manager one-to-one interview	77
Personal Officer one-to-one interview	73
Personal Officer in Focus Groups	252
Parole Coordinators	7
Head of Psychology one-to-one interview	15
PBSW Team Leader one-to-one interview	15
PBSW in Focus Groups	55
Total number of prison staff	524

Interviews: Prisoners (Men and Women)	
Long Term Prisoner one-to-one interview	63
Life Sentence one-to-one interview	42
Long Term Prisoner Focus Group	241
Life Sentence Focus Group	59
Short Term Prisoner one-to-one interview	41
Protection Prisoner one-to-one interview	37
Protection Prisoner Focus Groups	147
Total number of prisoners	630

A total number of 1,154 people.

5. Key Findings

Policy and Strategy

- A principal concern throughout this review has been about “ownership” and “responsibility”. Individual Governors are responsible for the operational delivery of the policies endorsed by the SPS Executive Management Group. However, although self-auditing of the ICM process takes place locally, there is a lack of implementation planning and robust monitoring at a corporate level to ensure a consistent approach to ICM and individual progression across the estate.
- SPS policies are dated and disparate and in need of review and alignment to ensure they are relevant and effective, and that process is not prioritised over purpose.
- SPS Key Performance Indicators for ICM do not focus sufficiently well enough on staff inputs required to deliver the ICM process or indeed to deliver the desired outcomes for prisoners.
- ICM processes and procedures are embedded in operational practice, but they are not being fully facilitated in accordance with relevant policy and standards.

Knowledge and Understanding

- First Line Managers demonstrated a lack of awareness and understanding about SPS progression pathways, and the review team sensed a distinct absence of knowledge and expertise regarding ICM arrangements.
- Personal officers demonstrated a distinct lack of awareness and understanding around SPS progression pathways, and the review team evidenced a lack of knowledge and expertise in managing ICM processes and procedures.
- There was generally a lack of knowledge and understanding of progression pathways and the ICM processes and procedures amongst personal officers.

- The degree to which personal officers were motivated to engage with the ICM process was very variable. Motivation appeared to be influenced by perceived competence in supporting the process.

Job Descriptions and Personal Development

- Job descriptions and Core Role Outputs for First Line Managers and personal officers lacked real depth and substance in terms of outlining their responsibilities in delivering ICM arrangements.
- Job descriptions and Core Role Outputs for Deputy Governors and Senior Management Teams lacked real depth and substance in terms of their associated responsibilities for monitoring the delivery of ICM and RMT activities.
- First Line Managers and personal officers have not received sufficient formal staff training and refreshment to provide them with the knowledge, skills, and behaviours required to enable them to undertake their ICM role in a confident and competent manner.

Facilitating ICM

- Personal officers have very little to no involvement in undertaking ICM Core Screen Assessment or indeed using the information derived from this activity to inform ICM planning.
- Personal officers had very little to no involvement in managing the prisoners Community Integration Plans (CIPs).
- A large proportion of personal officers had very little to no involvement in preparing and supporting the ICM Case Conference arrangements.
- The Level of Service/Case Management Inventory (LS/CMI) Risk Assessment was not a prominent feature of discussion at the ICM case conferences.

- A large proportion of personal officers had very little or no involvement in preparing for and representing prisoners at RMT meetings.
- First Line Managers and personal officers perceived that a lack of time was a barrier to managing ICM-related activity.
- ICM teams are assuming direct responsibility for managing all of the component parts of the ICM processes and procedures.

Prisoner Feedback

- Prisoners believe that most personal officers have completely disconnected from the ICM processes and prisoner progression arrangements.
- Prisoners believe that ICM is a “box ticking” exercise that exists in a “cut and paste” culture.
- Prisoners demonstrated limited awareness and understanding around the Core Screen Assessment process, the CIP, the ICM Case Conference and RMT meetings.
- Prisoners demonstrated limited understanding of the processes and procedures that govern Home Detention Curfew, Parole, access to the National Top End (NTE), and the Open Estate.
- There are long local waiting lists, in most prisons, for prisoners who are waiting to undertake Generic Programme Assessments. Prisoners expressed frustration that their place on waiting lists changed frequently as new names were added.
- There are long national waiting lists to access Offending Behaviour Programmes (OBPs). This was a significant source of frustration amongst the prisoner group who believed they would not achieve progression until they had participated in OBPs.

Risk Management Teams (RMT)

- The overwhelming majority of Deputy Governors and SMTs have not received any formal staff training to provide them with the knowledge, skills, and behaviours required to enable them to undertake their ICM and RMT duties in a confident and competent manner.
- RMTs met regularly and were chaired by Deputy Governors or GICs in their absence.
- With the exception of personal officers, all other core membership of the RMT, set out within Chapter 10 of the Risk Management, Progression and Temporary Release Guidance, were in attendance, in person or joining remotely.
- LS/CMI assessments, in many cases, do not appear to be compiled in accordance with policy within a reasonable timescale.
- LS/CMI outcomes are not communicated to prisoners or personal officers.
- Despite being the recognised risk assessment tool LS/CMI, in many prisons, was not a prominent feature of discussion at the RMTs.

National Top End (NTE)

- SPS Deputy Governors, SMTs, and prisoners feel that the First Grant of Temporary Release (FGTR) arrangements are far too cumbersome, complex, and confusing.
- Many prisoners who were in NTE indicated that their relationship with personal officers was poor. They indicated that the regime was stern and many agreed that it felt like you were forever “walking on eggshells” or “living on a knife edge”.
- Prisoners in NTE stated that they felt like they did not get sufficient time with their personal officers to discuss “person-centred” management plans.
- One of the key blockages in the system is at the NTE, where many prisoners were past their two-year window, with many reporting that they had been in NTE for over four years without knowing why.

6. Introduction

There is always an element of risk when rehabilitating prisoners back into communities via gradually less restrictive regimes at accommodation offering access to gradually increasing freedoms in firstly the National Top Ends (NTE) and subsequently the Open Estate. On the one hand, if prisoners abscond and reoffend public safety becomes a very real concern. On the other hand, if progression through the closed estate is overly restricted the opportunities to prepare and test prisoners for life back in the community can be closed off, thereby stifling preparation for release.

Getting this balance right is an important part of the SPS's role and their associated responsibilities. From the review team's perspective, the latter challenge posed by overly restricted opportunities, tends to better characterise the current operational reality. As the prison population soars towards or above 8,000 people, a number of key issues struck HMIPS at an early stage.

- The Open Estate was maintaining an untenable position of operating below design capacity when other prisons were operating on or above their design capacity. The Open Estate has a design capacity of 284 places but had operated at around 60% of that capacity over the course of the last few years.
- At the time of the review, the two NTEs were both operating at full capacity with a waiting list and had been for some time. Unfortunately, they both continued to find it difficult to get prisoners with indeterminate sentences (including life sentence and Order for Lifelong Restriction) progressed to the Open Estate, which in turn, created a significant bottleneck to any progression pathways for those life sentence prisoner in closed prisons.
- There is no risk assessment method that can eliminate a risk or accurately predict future behaviour. The SPS, in tandem with community partners, has developed a range of tools and processes with the aim of reaching risk management decisions that are thorough, reasonable, and defensible.
- Case management processes have been evolving over the last 30 years. Perhaps the most pivotal of these is that of the ICM protocols which were introduced in 2007 as a replacement for Sentence Management, which in turn was a replacement for Sentence Planning.
- ICM forms the basis of all prisoner case management processes and has made a significant contribution to focusing the organisation's approach to identifying prisoners' risks and needs and planning interventions accordingly in partnership with Community and Prison-Based Social Work Services.
- Over time, piecemeal change to SPS policies and practice, as well as change in response to external factors such as legislative requirements, has resulted in increasing disjointedness within the progression system. The ICM process, which underpins the structure, is now again in need of review to ensure that it is fit for purpose.

This thematic review has confirmed that the constituent components which make up the 'progression system' are of themselves appropriate, relevant, and necessary. However, the interrelationship between them has become unclear and a holistic review of the system needs to be undertaken.

7. Scottish Prison Service Policy, Guidance and Strategy

At the time of our review, the following policies and strategies were in place for the guidance of GICs, Directors, prison staff, prisoners, and community partners.

ICM Practice Guidance Manual 2007

In order to help staff understand the ICM process and its inherent requirements, this practice guidance manual was produced. The guidance had been deliberately designed to meet the needs of all staff involved in the process, though clearly much of the focus was on SPS and Community Justice Social Work staff. It was hoped that all staff involved in the ICM process would see it in its totality and understand the key role that they and others played within that process.

Risk Management, Progression and Temporary Release 2018

This document provides updated guidance on risk management and progression. It outlines national policy and procedures to be followed by RMTs.

Supplementary Guidance for RMT Decision Makers in Relation to Progression and Community Access 2018

The aim of this supplementary guidance is to provide guidance to RMTs to enable robust, consistent application of risk assessment and management strategies when considering progression, home leave and community access.

Prison Resource Library (PRL) Standards

PRL Standards provide a step-by-step set of instructions to guide prison officers to perform tasks in a consistent manner. PRLs are particularly important for complex tasks that must conform to regulatory standards. PRLs are also critical to ensuring efficient effort with little variation and high quality in outputs. SPS has 10 sets of PRLs for ICM, Risk Management, Programmes and Progression:

1. ICM1 - Communication and Training.
2. ICM2 - Admission and Core Screen.
3. ICM3 - Information Sharing.
4. ICM4 - Risk and Needs Assessment.
5. ICM5 - Case Conferences.
6. ICM6 - Action Plans/Referrals.
7. Risk Management.
8. Programmes and Activities.
9. Prisoner Progression (Internal).
10. Prisoner Progression (NTE and Open Estate).

These SPS Policies and Guidance documents should set direction, outline processes, shape procedures and influence decision making. They should guide the day-to-day actions and operations of all Deputy Governors, SMTs, First Line Managers, and Personal Officers, but allow for some flexibility in delivery.

Scottish Prison Service Policy and Strategy - The Operational Reality

The ICM Practice Guidance Manual provides the framework through which prisoners can access progression arrangements. The Guidance still contains many tried and tested processes and procedures that have stood the test of time; however, it is now 16 years old and the SPS organisation is in a very different place now, facing a vastly different set of challenges.

The MacLean Committee on Serious Violent and Sexual Offenders was established in 1999 by the UK Government. Their remit to consider experience in Scotland and elsewhere and to make proposals for the sentencing disposals for, and the future management and treatment of, serious sexual and violent offenders who may present a continuing danger to the public. One of its conclusions was:

“We consider that a new sentence should be introduced, to provide for lifelong control of the offenders with whom we are concerned. This sentence would largely replace the use of the current discretionary life sentence, and would be based on a thorough risk assessment.”

This led to the introduction of the Criminal Justice (Scotland) Act 2003 and established the Risk Management Authority (RMA) and a new sentence called the Order for Lifelong Restriction (OLR). The OLR became available to the High Court in 2006. This is important to note, as the OLR has to be compliant with Article 5 of the European Convention on Human Rights, the right to liberty and security of the person, and that liberty can only be deprived in certain situations and in accordance with a procedure prescribed by law.

Designed to protect the public, individuals with an OLR are subject to risk management for the rest of their life, that is the individual is monitored whether in custody or the community. There are now approximately 250 individuals sentenced to an OLR, the majority of whom are managed within the prison estate. A similar sentence in England and Wales known as the Indeterminate Public Protection Sentence has been subject to

controversy because of the indefinite nature. In Scotland the number on an OLR is now much higher than originally envisaged but to date has not been seen as controversial.

The RMA was established in 2005 and was in its infancy when the ICM guidance was first published. The RMA have legislative responsibilities to approve the Risk Management Plan of the OLR and evaluate the plan annually. The RMA also sets standards for Risk Assessment and Risk Management, undertake research and pilot schemes, deliver training, and contribute to policy development. The RMA work closely with a wide range of justice partners in Scotland.

MultiAgency Public Protection Arrangements (MAPPA) was introduced in 2007 and fits directly to the ICM guidance manual. MAPPA's aim was to protect the public by requiring the police, NHS, SPS, and local authorities (known as responsible authorities) to work together to assess and manage the risk to ensure the transition of high-risk individuals into the community is consistently managed.

These changes prompted a review of the 2007 guidance. The SPS document GMA 65A/11 introduced updated guidance on the management of Progression and introduced RMTs which were previously RMG. It was not, however, until 2018 that the SPS introduced the Risk Management, Progression and Temporary Release Guidance and the Supplementary Guidance for Risk Management Teams.

The Risk Management Progression and Temporary Release Guidance Introduction states that “the Risk Management Team (RMT) is an integral component of the Integrated Case Management (ICM) process operating in all establishments. The RMT is a multidisciplinary team of professionals representing a range of agencies involved in the management of offenders. Its primary purpose is to consider the assessment, intervention and management needs of those offenders referred via the ICM process or where local management have a particular concern about an offender's behaviour or ongoing management that requires immediate intervention. It is also the decision making body that considers offenders for progression

to less secure conditions and/or community access. In considering whether it is appropriate to grant temporary release to an eligible offender, the RMT must assess the risk that the offender may abscond, pose a danger or cause harm to the public.” Despite this, the review team found it difficult to clarify and rationalise the policies and strategies interrelationship.

Ultimately, the reason that SPS have these policies and strategies is that they help to build a stronger corporate culture. When all staff understand how they are supposed to go about their daily routines, and they understand the core ethical values and priorities behind those policies and strategies – that builds a more unified, trusting, and coherent culture.

Unfortunately, very few personal officers or First Line Managers were aware of the SPS policies and guidance that underpin the delivery of ICM arrangements. Those members of staff who did have some knowledge lacked real depth and substance in terms of their understanding.

“I don’t know what policies are in place for ICM ... in this prison, the ICM team are responsible for all things ICM and RMT ... I’m sure that they’ll know what policies are in place ... but as personal officers, we don’t really need to know about policy. The focus for us is on getting some narratives onto the ICM responsivity fields ... not much else.”
(Personal Officer Quote 2022)

This quote is indicative of the vast majority of responses that we had from personal officers and First Line Managers, in one-to-one interviews and focus groups. It was clear to the inspectors that staff are largely unaware of the importance and relevance of the ICM system in reducing risk.

The Prisons and Young Offenders Institutions (Scotland) Rules 2011 are a piece of subordinate legislation that is subject to Parliamentary scrutiny. The rules themselves set out provisions relating to the management and regulation of prisons and young offenders’ institutions and various matters concerning those who are required to be detained in these institutions, such as their treatment, discipline, and categorisation. Although they do not specifically mention ICM or RMT, there is a joint duty in the legislation to rehabilitate.

The review team felt that there were justifiable reasons for introducing rules around ICM and RMT delivery into the statutory instrument by way of ensuring that prisons were focused on the legislative requirement to ensure service provision.

SPS Policy and Strategy

Relevant Recommendations

- SPS should provide clear strategic oversight of ICM and create a new positive vision for ICM delivery that demonstrates how it underpins the successful delivery of the progression pathways.
- SPS should review and refresh the ICM Practice Guidance Manual 2007 and dovetail this document with the SPS Risk Management Progression and Temporary Release Guidance and the Supplementary Guidance for Risk Management Teams, by way of creating a single policy.
- SPS should introduce a series of Key Performance Indicators and assurance processes that provide a focus for strategic and operational improvement in both case management and risk management related activity.
- SPS should commission review of the PRL standards for ICM and RMT.

8. Progression Pathways

SPS Progression Pathways define the criteria for progression and minimum period of sentence that each offender type is expected to serve in a secure establishment before being eligible for consideration to progress to less secure conditions. In making these decisions the RMT will consider three key areas, the time served in a closed prison, individual levels of risk, and the individual's behaviour in custody.

Once a prisoner has met their predefined timeframe in a closed prison, they will be viewed as being eligible to progress subject to meeting certain standard criteria. In terms of the prisoner's risk of reoffending, they must demonstrate that they have taken steps to reduce their risk, and there must be sufficient evidence that the risk presented can be managed in the community.

In addition, RMTs will also consider the extent to which the prisoner has positively engaged with the prison regime. This will include prisoners' supervision level, personal officer reports, behavioural updates, information held by the intelligence management unit, attendance at purposeful activity (work, education, etc), Offending Behaviour Programme completions and engagement with ICM.

The recommended timescales differ for the following categories of offender:

- prisoners with indeterminate sentences (life sentences and orders of lifelong restriction); will transfer to NTE establishments at HMPs Greenock or Barlinnie no earlier than four years prior to the expiry of the punishment part of their sentence.
- long-term prisoners; must have served six months in custody and be within two years of the Parole qualifying date.
- short-term prisoners; must have served three months in custody and must be serving a minimum of 12 months

Progression Pathways - The Operational Reality

The review team established that most First Line Managers and personal officers demonstrated a distinct lack of knowledge and understanding of the progression pathways.

"I'm not sure when individual groups of prisoners can qualify for transfer to open conditions ... we just wait until the ICM team tell us they're ready and then we do our report." (Personal Officer Quote 2023)

This was a very common theme that surfaced in each and every prison. In other words, there was a feeling that personal officers did not really need to know the details, as their perception was that this was the responsibility of the ICM team.

In some cases, this lack of knowledge and understanding was evident at a senior management level, with two SMTs conceding that they did not transfer shortterm prisoners to the Open Estate by virtue of the fact that they did not believe that policy allowed it.

"My understanding was that shortterm prisoners could not transfer to the OE due to the fact that we couldn't fully articulate the level of risk that they would represent if they had access to the community." (Deputy GIC Quote 2022)

Despite information being available in prison libraries and application for progression forms, which should have been available in hall noticeboards, prisoners were completely unaware of the criteria that underpinned the progression pathways. In many respects they gave clear indication that they too were waiting for the ICM team to confirm whether or not they were able to make such an application. They talked openly about asking prison officers to support and guide them through the progression pathways, but more often than not that help was not forthcoming.

Where they did get some guidance, many prisoners stated that the information was varied and it really depended on what personal officer they asked, as to how reliable the information was.

*“How are we supposed to know how to get to the Castle (Huntly) we don’t get any information from staff... no communication whatsoever ... if you push, you might get an answer, but the answer often changes depending on what member of staff you speak to.”
(Long-Term Prisoner Quote 2023)*

There was also a general feeling, among personal officers and prisoners, that most progression cases considered by the RMT are referrals submitted for LongTerm Prisoners, rather than ShortTerm Prisoners.

The review team gathered clear evidence of this during our inspections with most Deputy Governors stating that there simply would not be enough time to discuss ShortTerm Prisoners progression due to the number of LongTerm Prisoners and OLR prisoners being considered at RMT.

The review team were very much of the view, that the focus should shift to generating more shortterm prisoner referrals for progression to open conditions. Such referrals should come as a matter of routine from personal officers, but it was evident that they need to have improved guidance and support in order to make this happen.

It was clear to the review team that the progression pathways were being implemented inconsistently, with variation and indeed contradiction in how staff interpreted and applied the SPS guidance.

Progression Pathways

Relevant Recommendations

- SPS should have a communication strategy to demonstrate that there are effective arrangements in place to inform prison management, prison staff, and prisoners on the agreed minimum qualifying criteria that prisoners must satisfy to qualify for progression to the Open Estate.
- SPS should demonstrate that personal officers are engaged and proactive in seeking out suitable longterm prisoners and shortterm prisoners for progression to maximise opportunities for all prisoners.
- A system of assurance should be developed to ensure those who meet the criteria have been assessed and progressed within the expected timeframe.

9. Prisoner Supervision System

The SPS Prisoner Supervision System was introduced in 2002 and relates to the level of supervision that a prisoner requires within the prison setting.

The aim of the Prisoner Supervision System is to ensure that prisoners are managed, in custody, at the lowest appropriate level of supervision.

High Supervision	A prisoner for whom all activities and movements require to be authorised, supervised, and monitored by an officer.
Medium Supervision	A prisoner for whom activities and movements are subject to limited supervision and restrictions.
Low Supervision	A prisoner for whom activities and movements are subject to minimum supervision and restrictions, and who may be given the opportunity to participate in supervised or unsupervised activities in the community.

The supervision level of prisoners must be reviewed in accordance with the provisions of The Prisons and Young Offenders Institutions (Scotland) Rules 2011, that is:

- (a) For all prisoners, within 72 hours of reception.
- (b) For prisoners assigned medium or high supervision level on a review under subparagraph (a), within 6 months of that review.
- (c) For prisoners assigned medium or high supervision level on a review under subparagraph (b) or any subsequent review, within 12 months of that review.
- (d) For all prisoners, whenever the Governor deems it necessary to do so.

Prisoners must be assigned the appropriate supervision level having regard, so far as applicable, to the following criteria:

- (a) The seriousness of the offence for which the prisoner has been convicted.
- (b) The prisoner's previous convictions.
- (c) Any outstanding charges.
- (d) The length of time that the prisoner has spent in custody.
- (e) The prisoner's conduct in custody.
- (f) The prisoner's trustworthiness and stability.
- (g) Any other criteria as may be specified by Scottish Ministers.

On reception, all prisoners are classified as requiring a High Supervision level. Prison Reception Officers will initiate the appropriate documentation and the classification will be reviewed within 72 hours following an assessment of the abovementioned risk factors.

Prisoner Supervision System - Operational Reality

The review team understood the principles that underpin the Prisoner Supervision System procedures; however, it was difficult to evidence that these principles were being applied at an operational level.

Unfortunately, the review team found it difficult to gather strong evidence that there were robust systems in place that provided oversight of the Prisoner Supervision System and ensured that all prisoners were being assessed with the appropriate frequency.

A large proportion of personal officers were able to confirm what supervision level their particular prisoners had been assessed at, but they did not really understand the Prisoner Supervision System in any degree of detail or indeed how the Prisoner Supervision System dovetailed with community integration planning, ICM, and RMT procedures. In addition, Personal Officers did not appear to be clearly sighted on review dates for their allocated prisoners.

The review team questioned personal officers about the application of the Prisoner Supervision System and two quotes encapsulated common themes across the prison estate:

“I’ve got responsibility for eight prisoners. I think that they are all at medium category, but one or two might well have their low category, I’d have to go and check. It’s not really something that you talk to prisoners about, unless they’re coming up for their tag, Parole, or progression.” (Personal Officer Quote 2022)

“I don’t know when my prisoners are due for a review of their categories ... I wouldn’t know that information offhand. I would get a prompt from the First Line Manager that it was coming up though, I’d have my input and then I would get notification when it had been completed and what the outcome was.” (Personal Officer Quote 2023)

The review team were left feeling that personal officers have lost sight of this important assessment and ‘how’ and ‘when’ the Prisoner Supervision System can support progression.

A large proportion of prisoners were able to confirm their supervision level, but they too did not really understand the Prisoner Supervision System in any degree of detail or indeed how it relates to CIP, ICM, and RMT arrangements. The vast majority did not know when their next Prisoner Supervision System review was due.

The review team questioned prisoners about the application of the Prisoner Supervision System and one quote encapsulated a common theme across all sites.

“I’ve done loads of sentences, been in loads of jails ... I’ve been in three jails this sentence ... I’ve done just short of four years this sentence ... and I’m still a medium category. I’m stuck. The staff won’t look at you until you’re actually in your parole or progression window, then they’ll give you a review ... if you push for it. But most of the time it’s too late, because you’ve got to have your low cat for a period of time before you before you can qualify for progression.” (LongTerm Prisoner Quote 2022)

Worryingly, the vast majority of longterm prisoners who engaged with the review were not at all clear about the difference between the Prisoner Supervision System and the full Risk Assessment process for ICM. Many stating, when questioned about their Risk Assessment status, that they had their low or medium category. This point was of serious concern.

Overall, the review team felt that the Prisoner Supervision System was a very cumbersome and to some extent, a malfunctioning procedure that appeared to be more aligned to satisfying a business process rather than it being aligned to the ICM and used to inform and enable prisoners to attain the lowest appropriate level of supervision at the earliest possible opportunity.

The reviews themselves specify that they should be conducted “within” a prescribed timescale, which would lead you to believe that this would be the “maximum” period of time for a further review to take place. In fact, the 6- and 12-month review periods appeared to be the standard period of time that an individual could expect to be reviewed rather than being reviewed at least at that frequency. This approach was evidently impacting on a number of people, from across the estate, who could and possibly should have been at a lower supervision level. We were also unable to establish whether the Prisoner Supervision System had been developed in a way that recognises the different security profile of women in custody. This led the review team to conclude that the Prisoner Supervision System was not being managed in an effective person-centred manner. To their credit the SPS have begun a review of the Prisoner Supervision System.

Prisoner Supervision System

Relevant Recommendation

- SPS should complete their full and comprehensive review of the Prisoner Supervision System arrangements.

10. Integrated Case Management (ICM) Standard and Enhanced

ICM is the framework that requires SPS to work together with other agencies to give help and support to prisoners throughout their time in custody. This support should be focused on reducing reoffending by ensuring, where possible, that risks and needs are identified, and a plan is put in place to meet identified needs and reduce those risks in a sequenced and coordinated manner, to support prisoners to navigate the progression pathways.

Prisoners should be encouraged to think about the areas of their life that they need to change and areas where they would like to engage in support. They should make plans for their progression and decide what prison supports/activities will help them to make a successful return to their community.

This approach should bring together the prisoner, key internal staff, Community-Based partners, and where appropriate, the family, to support prisoners through the progression pathways.

This approach was intended to prove useful in:

- (a) Keeping the prisoner at the centre of the ICM process.
- (b) Maintaining a focus on issues which are external to the prison as well as internal.
- (c) The sharing of relevant information across agencies.
- (d) Assessing and managing risk to enable progression.

ICM operates a two-tiered system:
Standard and Enhanced.

Standard ICM is for all prisoners who are not subject to post-release supervision, mainly shortterm prisoners serving a sentence of less than four years.

This process should be delivered primarily by internal and external specialist providers, including NHS (Primary Care, Substance Misuse and Mental Health), Housing and

Benefit providers and Links Centre staff. These providers should assess and add to the action plan within their area of expertise, and consistently update the CIP as the main prisoner file. Residential officers should provide the administrative overview to ensure the effective application of the Standard ICM process.

Enhanced ICM is for all prisoners who are subject to post-release statutory supervision, mainly longterm prisoners serving a sentence of four years or more, but also includes sentence specific prisoners, for example, those subject to Supervised Release Orders.

This process should utilise a full risk and needs assessment and a case conference model for action planning. This approach should bring together the prisoner, key internal and external staff, and where appropriate the family, to examine the prisoner's progress through custody.

The ICM Case Conference will also examine the prisoner's assessed risk of reoffending and risk of harm. The case conference should decide on appropriate interventions which are aimed at reducing those risks post-release.

The review team looked at three of the most important component parts of ICM:

1. Core Screen Assessment.
2. Community Integration Planning.
3. Case Conferences.

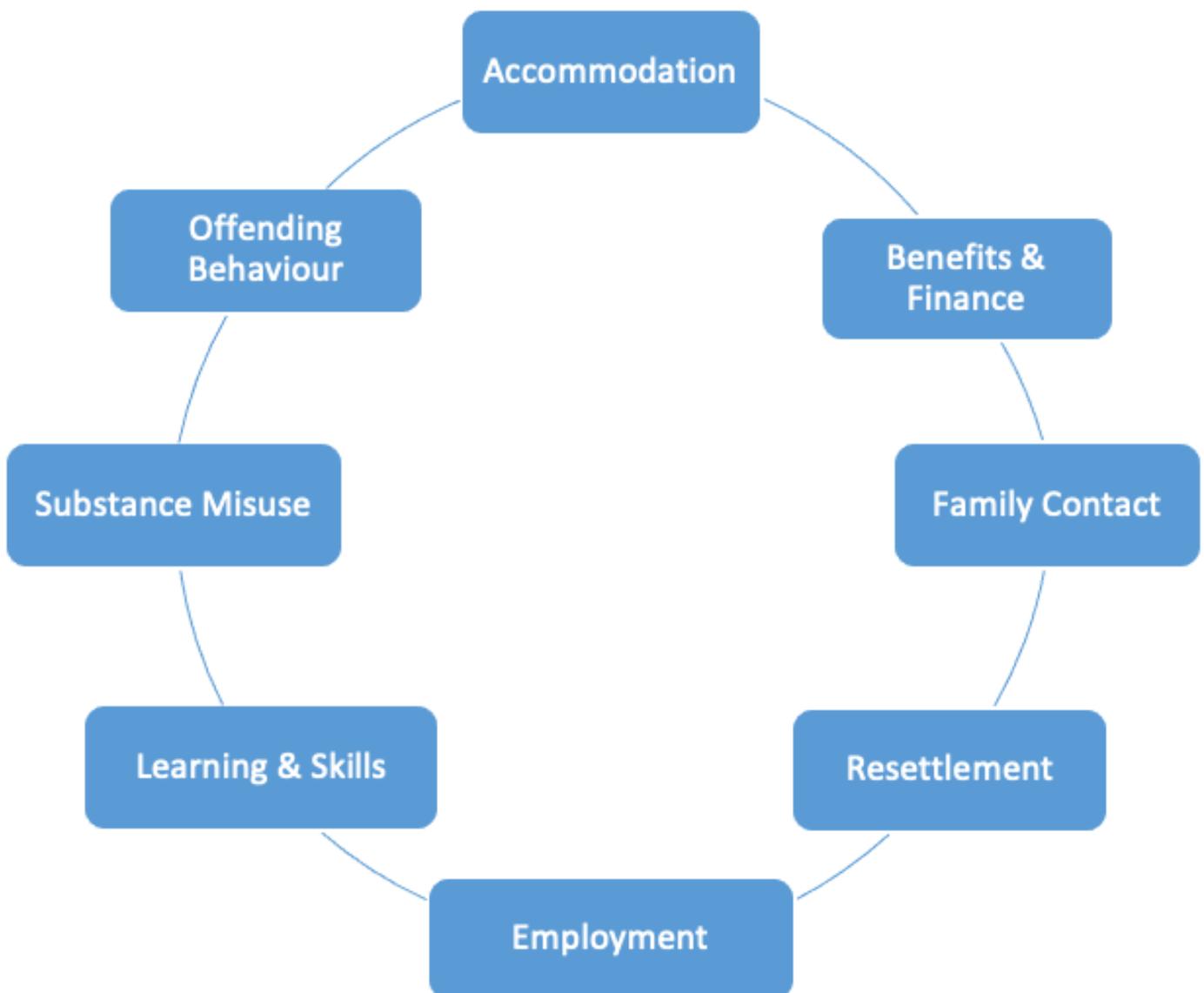
The following narrative outlines what each part of the ICM process is designed to do and more importantly, how they are being applied in day-to-day operations.

11. Standard and Enhanced ICM - Core Screen Assessment (CSA)

Prisoners serving seven days or more should receive a CSA carried out by a competent and appropriate SPS staff member within 72 hours of admission. Information from the CSA is entered on the SPS electronic prisoner record system (PR2) and appropriate referrals are then made to internal service providers.

The CSA process is the initial contact for all prisoners who will be involved in the ICM system and operates in the same way, regardless of the prisoner's sentence length and post-release supervision status. The information from CSA will provide the platform for specialist agencies to engage with the prisoner and plan activities via the CIP on PR2. For the prisoners who are subject to post-release supervision the information obtained during the CSA interview will be a valuable starting point for the full risk and needs assessment.

The purpose of the CSA is to identify any immediate needs as soon as possible in order to make the appropriate referrals to service providers and in order to have the best possible plan of action in place. The CSA screens for needs associated with:



CSA - Operational Reality

The nationally approved CSA is being used in some prisons, but others have modified or changed their assessment forms entirely. In some prisons induction officers or Links Centre staff are completing the CSA, while in other prisons it is residential officers. Consequently, there is no consistency in the application of the CSA or in the way that SPS gathers information from prisoners on admission to help inform the ICM process.

The inspection team found that in the majority of cases, CSAs are being used to initiate referrals to internal service providers (as per policy). However, once completed, the CSA is uploaded to PR2 and, to all intents and purposes, becomes redundant.

Personal officers are not required to complete the CSA. There is also no requirement on them to actively seek out the CSA outcomes to help them understand the early risks, warning signs, and responsivity needs of their personal prisoner case load.

A large proportion of personal officers conceded that they do not really understand what the CSA is, and they do not understand how it connects with the CIP or indeed the ICM process. In essence there was a very evident lack of awareness, knowledge and understanding among personal officers of the CSA process.

“I’ve heard of the CSA, but I’ve never had to complete one. In fact, as a personal officer in three different prisons, I’ve never even looked at one.” (Personal Officer Quote)

Similarly, the vast majority of prisoners did not know what the CSA was. When probed, prisoners could recall various settings, conversations with prison officers and questions being asked on admission, but they did not recognise the term as such. The following is a quote from a longterm prisoner that is indicative of many others that we heard across the estate.

“You get a chance to chat with staff in the Links Centre early on in your sentence ... they tend to get any issues sorted for you ... like a referral to NHS and stuff like that ... but that’s all part of the induction programme, I’ve never heard of it being called the core screen.” (LongTerm Prisoner Quote 2022)

It was evident to the review team that prisoners’ recollections of admission arrangements were, at best, a bit blurred. They understood that they had to attend the Links Centre on admission, but everything that happens during that period gets rolled up into “induction”.

The vast majority of prisoners thought that everything happens too quickly when you are admitted into custody, and many talked about the difficulty associated with retaining so much information.

One quote from a shortterm prisoner captured the thoughts of many.

“This is my first time in custody, so my head was all over the place on admission, and I was really struggling to settle down. Within a couple of days, I was whisked down to the Links Centre and given loads of information. However, it was like listening to white noise ... I wasn’t in any fit state to participate, but I was told that I had to go.” (ShortTerm Prisoner Quote 2023)

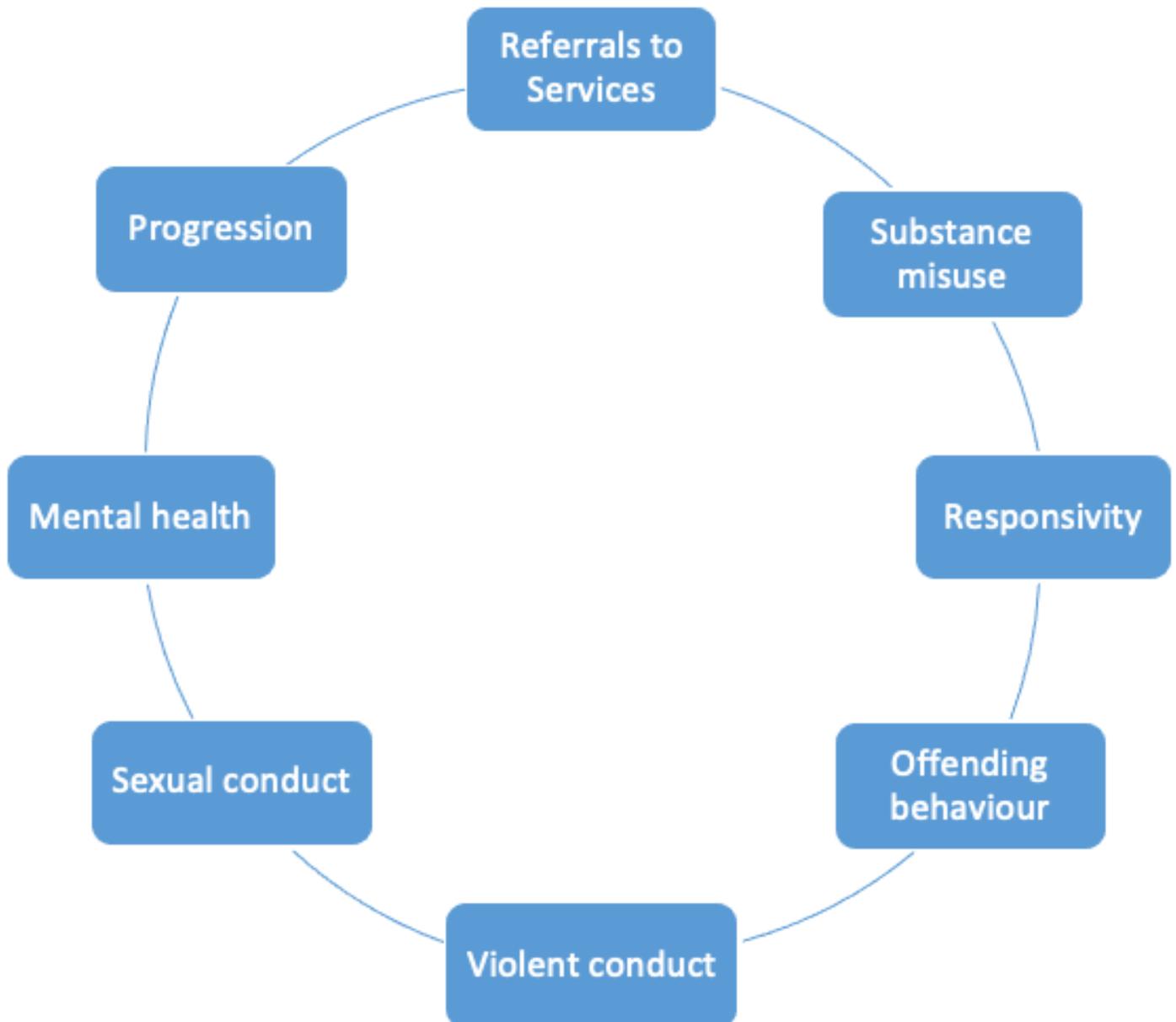
Integrated Case Management (ICM) and Core Screen Assessment (CSA)

Relevant Recommendations

- SPS should standardise the Core Screen Assessment document as well as the arrangements for gathering early information on prisoners’ risks and needs.
- Management, staff, and prisoners need to be clear on the aims and objectives of the CSA, and how it provides a starting point for meeting prisoners’ needs.

12. Standard and Enhanced ICM - Community Integration Plan (CIP)

The CIP is the document that exists in both electronic and hard copy format that contains all relevant information with regards to an individual case file. The CIP is a screen within the PR2 system that comprises of various screen canvases. All agencies involved in the case management process should record all relevant information in each area of the screen, which includes:



The concept of the CIP is to provide a single point of information sharing for all agencies to access, update and utilise the information available to enhance the case management process. This should provide the opportunity for real time information to be available to all.

The format of the CIP has been adapted to increase suitability for the diverse range of service providers to provide a consistent approach for action planning and case management.

The CIP within PR2 has the functionality to print a hard copy plan that can also be emailed to relevant service providers in the community, where appropriate - including to the prisoner themselves.

In addition to CIP, there are also other ICM reports and Risk Assessment domains. This provides the opportunity for all risk assessments and ICM Case Conference minutes to be stored electronically in their parent format.

Community Integration Plan - Operational Reality

The inspection team found that the CIP is vastly underutilised by personal officers across the estate. It was evident to the team, that some senior management teams were actively encouraging personal officers to complete regular narratives by way of supporting the ICM process, but unfortunately there was little evidence to suggest that this was having the desired impact. In other prisons there did not appear to be any emphasis being placed on this important task.

Many personal officers did not understand the purpose of the CIP or what it was to be used for. They did know that prisoner narratives were supposed to be updated on a regular basis, but they referred to "responsivity" sections rather than the CIP. They also conceded, in the majority of cases, that they were not updating said narratives on a regular basis.

It was clear to the inspection team, from file reviews, interviews and focus groups with personal officers, that the CIP was not being

used in the way it was intended. Where narratives were being entered on PR2, they were, in the main, very light on substance and depth. It was clear to see that the entries were being made on the basis of an observation, intelligence gathering or quick catch-ups in the residential area.

Personal officers, across the estate, stated quite categorically, that they did not have time available during their shift to take prisoners aside and have a private conversation about their ICM progress.

"You don't get enough time in your day to deal with ICM ... you're on the go from the start of your day to the finish of your day ... it just never stops ... when it's that manic on the landing, how are you supposed to stop for half an hour, to get yourself in the right head space, to then interview a prisoner about his personal issues ... it's a really hard thing to do ..."
(Personal Officer Quote 2023)

Once again, it felt very much like personal officers lacked awareness and understanding of their associated responsibilities for managing the CIP and the interrelationship with the ICM Case Conference arrangements. To a large extent, the review team felt that this was attributable to two key issues:

- Although foundational training is provided for new recruits, there is no in-depth structured corporate training module or refresher programme in place.
- There is no formal segment allocated within the core day for staff to conduct ICM-related activity.

Some GICs have been trialling an approach that sees the staff engaging with ICM after they return from their allocated dinner slot. In essence these prisons are adopting a weekend type regime wherein prisoners are locked up at approximately 6pm. With a full staff still deployed, this allows the GIC to create the time and space to facilitate staff/prisoner engagement in tandem with some other locally allocated purposeful activity.

In principle, the review team felt that this was a positive step forward, however, the feedback from personal officers and prisoners was that this approach was not having much impact on improving the level of contact and interaction between staff and their allocated prisoners. Staff indicated that senior management were allowing an ever-increasing number of activities into the evening regime, which in turn, they claim, was committing the staff resources to other activities.

Prisoners agreed that this approach should generate the best outcomes for all, but their feeling was that staff were not supportive of the idea. Many prisoners indicated that they could still hear staff being drawn to the central control point on the landing and chatting with their colleagues. None of the prisoners we spoke to had access to their personal officers during this period and all of them believe that it was not happening anywhere in their respective prisons.

“Every day is just a weekend routine, that’s the way this jail works now ... the new culture. We’re locked up after dinner and the staff are still on duty till 9 o’clock, but they don’t use this valuable time for ICM, it’s just an opportunity for them to chill, get a cup of tea and a blether with their mates.” (Long-Term Prisoner Quote 2023)

These sentiments were shared by many prisoners who were in prisons that had adopted this type of regime.

A serious consequence of this lack of engagement between personal officers and prisoners is that both lack real understanding of the CIP and its primary role within ICM, which was a reported source of relationships being, at times, strained.

The vast majority of prisoners that we spoke to during the review stated that they had never heard of the term CIP, in any context.

“I’ve never heard of the CIP and I’ve done loads of short sentences in this jail and one long-term. Nobody has ever talked to me about my CIP, my risks, my needs and nobody has ever come near me to

talk about progression. I just keep my head down and do my porridge. I think prison officers like that, it suits them ... they just leave you alone and you blend into the background ... and you never hear anything about ICM ever again .” (ShortTerm Prisoner Quote 2022)

When the inspection team asked prisoners whether or not they had a ‘plan’ in place to help them manage their way through their sentence, we were met with confused faces, and a resounding ‘no’. Prisoners very evidently have no knowledge or understanding about the CSA or the CIP.

Many stated that they had never met with their personal officers to discuss CSA outcomes, CIP updates, progress with referrals or any other ICM related matters.

The only positive responses we received were from longterm prisoners whose personal officers had been in attendance at the annual ICM Case Conference.

From the evidence that we have collected during our site visits, it is evident that the vast majority of shortterm prisoners and longterm prisoners are not being supported through the ICM processes and a large proportion are not being afforded the opportunity to progress to open conditions.

Community Integration Planning Relevant Recommendations

- SPS should consider creating the space and time within operational and regime planning that facilitates regular and structured ICM activity and demonstrate the effective impact of this.
- SPS should ensure that there are robust arrangements in place to inform prison staff and prisoners on the aims and objectives of the CIP and how it provides the interface and direct link with ICM.

13. Standard and Enhanced ICM - Case Conferences

The Case Conference is held at set intervals during a prisoner's sentence as outlined in the ICM process, with the following aims:

- to examine, utilise and agree the risk assessment in relation to the prisoner
- to affirm the prisoner's level of need across several key areas relating to their risk
- to explain the above to the prisoner and seek their views on same
- to discuss ways of reducing or managing the assessed risks, particularly by meeting the assessed needs
- to involve the prisoner in developing an action plan for the next reporting period, including referrals via the electronic prisoner records system to service providers for appropriately sequenced interventions

The ICM case conference has a core membership of the following staff:

- ICM Case Coordinator
- Personal Officer
- Prisoner
- Prison-Based Social Work
- Community-Based Social Work

This group constitutes the minimum expected membership for the case conference to take place. Case conferences should be scheduled with careful consideration and sensitivity towards maximising the availability of the Community-Based Supervising Officer to attend.

The initial ICM Case Conference should take place within six months of sentence and prisoners should go no more than 12 calendar months between annual case conferences.

ICM Case Conference should be chaired by either the Prison-Based Social Worker or the ICM Case coordinator. In general terms, the case conference has four key tasks, which are related to: risk assessment, planning, intervention, and evaluation/review.

At least two weeks prior to the ICM case conference, the ICM Case coordinator should send the completed Risk and Needs Assessment to the prisoner's personal officer and to Community-Based Social Work. It is the personal officer's responsibility to disclose the assessment to the prisoner and check their understanding of the contents.

A key task for the ICM case conference is to examine, utilise, and agree the prisoner's risk assessment. Fundamentally, this process involves all the relevant parties in:

- sharing information
- being clear about the accuracy, validity, and usefulness of that information
- making explicit their views on what action is necessary to minimise the risks
- setting timescales for a review of the risk assessment

All prisoners within the Enhanced ICM process should have a structured risk assessment completed by PBSW, which should be carried out prior to the initial case conference and then annually thereafter. Staff will have differing degrees of familiarity with the risk assessment tools used for this purpose. The prisoner (and his/her family) in the majority of cases, is unaware of how these tools have been developed or how they operate. It is vitally important that the authors of the risk assessment explain the process that has been undertaken and the data that has been used to inform the risk assessment and, indeed, the outcome of any risk assessment.

ICM Case Conference - Operational Reality

In every prison, it is the ICM team who make all of the necessary arrangements to schedule, organise, and facilitate the ICM case conference for longterm prisoners.

The majority of personal officers stated that they do make every effort to attend their prisoners' annual case conference, "where they can".

Personal officers talked about a range of challenges that had the potential to impact on their attendance at the case conference. They referred to basic issues such as being on rest days or annual leave, occasions that should have been factored into the planning schedule. However, they also cited three other examples that regularly had a negative impact on their availability.

1. A high proportion of staff sick absence resulting in shortages, meaning that posts and the associated workload had to be covered.
2. ICM teams providing personal officers with late notice that the case conference is taking place, which impacted on availability and preparation time for the event.
3. Being required to stay in the hall for "other" operational priorities as designated by First Line Managers and Unit Managers.

"People greatly underestimate the amount of work that goes on in residential. You get pushed and pulled in every direction and often, we're working under capacity with our staffing ... when that's happening, you can't just walk out of the hall to attend a case conference and leave it all to your colleagues to deal with." (Personal Officer Quote 2023)

Some personal officers spoke openly about not feeling motivated to attend case conferences. Many stated that they felt like their contribution was not required or was not valued. The feeling was that the ICM team are now assuming overall responsibility for everything to do with

the ICM Case Conference, except a prison officer's update on the prisoner's conduct, attitude, and behaviour within the hall.

"I don't go to them now ... the last two that I went to were a farce. I felt a bit foolish actually and didn't really feel that what I had to say was going to provide any real value to the discussion. I felt like I was made to sit in the corner and told to wait until I was spoken to." (Personal Officer Quote 2022)

The inspection team got the distinct feeling, in a number of prisons, that the prisoner's annual case conference was not considered to be an "operational" priority by residential First Line Managers or personal officers.

We found that prisoners held very strong views on the current ICM Case Conference. The majority of longterm prisoners did not see much value coming from the case conference itself, until they were at a more advanced stage of their sentence.

That said, most prisoners we talked to felt that too many things were being put off and left until nearer the time of the progression window opening and by that time it was often too late. The most notable examples included Risk Assessments, Generic Programme Assessments being completed and having access to Offender Behaviour Programmes (OBPs).

Longterm prisoners did not believe that they were being given the opportunity to prepare properly for their initial or annual case conference. They gave clear indication that they are not being afforded the opportunity to examine, utilise or agree any completed risk assessment, to affirm their level of need across a number of key areas relating to their risk or to discuss ways of reducing or managing the assessed risks.

Longterm prisoners stated that they did not have any form of plan that clearly evidenced where they had been, where they were now, or, more importantly, where they were going in the future. Prisoners, in the main, felt that the case conference took place to satisfy an element of the ICM process.

Prisoners reported feeling that nothing was done in terms of planning or progress throughout the year. They noted that there tended to be a burst of activity immediately prior to the ICM case conference which they perceived as a “boxticking” exercise.

The general view of prisoners who participated in the thematic review, is that personal officers do not attend the ICM case conference. These sentiments were endorsed by a number of ICM teams across the estate. The inspection team also took the opportunity to observe a number of ICM case conferences in most prisons. Our general findings corroborated these views.

Some prisoners talked about having had their personal officer in attendance, but more often than not, they felt that they did not really make a meaningful contribution to proceedings. Many felt that the personal officers who did attend were ill prepared.

Other prisoners talked about having a residential prison officer in attendance, often someone who has been sent to the case conference to represent the residential area and often someone who did not really know the prisoner or their story.

The inspection team were extremely surprised at how little knowledge and understanding prisoners had around the purpose and remit of the ICM Case Conference and the interrelationship with Risk Management Team arrangements.

A key concern is that some prisons are experiencing real difficulty in getting LS/CMI (standard risk and needs assessment tool) assessments completed by Social Work partners at an early enough stage to help to inform ICM discussions. Even when LS/CMI is available, it does not seem to feature strongly enough in ICM Case Conference deliberations.

Prison-Based Social Work in some prisons indicated that SPS do not often view the risk assessment at all, even the particularly specialised assessments, as useful, despite them being required to help inform critical discussions.

Some PBSW teams feel that there is an over reliance on the overall risk/need levels being stated (that is high, medium, or low) rather than taking full account of the corresponding risk and need scores and pattern, nature, seriousness, and likelihood of future offending which forms the critical narrative of risk (a fundament of effective risk management).

PBSW teams are not always confident that Risk Management Teams, take full account of the depth of analysis offered or that key decision makers always understand the significance or purpose of risk assessments to inform the ICM case conference.

If the status and purpose of various processes or assessments are not clear or there is not a shared understanding, then it is more difficult for personal officers, prisoners and ICM teams to understand what they mean or what they are for.

ICM Case Conference

Relevant Recommendations

- SPS should have a robust assurance process in place to ensure that “Standard ICM” and “Enhanced ICM” are being facilitated consistently across the prison estate and fully explore the outcomes from the LS/CMI assessment.
- SPS should have a communication strategy that demonstrates that prisoners are provided with comprehensive information about Standard ICM and Enhanced ICM arrangements and regular updates on their individual progress and that each prisoner has a unique person-centred plan which effectively reflects their ICM activity and progress.
- PBSW should comply with the LS/CMI guidance and complete assessments within six months of admission.

14. Personal Officer Role and Associated Responsibilities

The personal officer role is defined within the ICM Practice Guidance Manual, which was published jointly by SPS, the Association of Directors of Social Work and the then Scottish Executive in 2007. The role is not to develop the initial action plan; rather, to provide support to their allocated prisoner, and coordinate with identified service providers to ensure agreed actions are implemented. To achieve this, their key duties include:

Prisoner Liaison

- motivating the prisoner to engage in the ICM process, by promoting the benefits and periodically revisiting the prisoner, especially if their motivation to engage is low or there is risk of deselection from an intervention
- liaising with service providers on the prisoner's behalf to ensure the prisoner can access the service and that the service is meeting their needs
- monitoring the prisoner's progress and promoting other options in between review periods
- making mid-review referrals as and when appropriate

Case Conferences

- ensuring relevant paperwork, for example, the Full Risk and Needs Assessment, is disclosed to the prisoner prior to and following the Case Conference, and that their understanding is checked
- attending the Case Conference with the prisoner to support, advocate and input as required
- ensuring the prisoner is agreeable to the action plan
- supporting the case coordinator/Links staff in arranging the case conference.

Community Integration Plan

- generally monitoring the CIP to ensure the action plan is being carried out as it should, and that service providers are maintaining up-to-date records of work being conducted and work planned
- where work is not being undertaken as planned, contacting the service providers directly, and liaising with the case coordinator if necessary

The Role of the Personal Officer - Operational Reality

The inspection team found a clear difference between policy and practice.

The majority of personal officers did not know that this role profile existed. Indeed, the only two activities that were referred to in any detail, were in relation to updating narrative entries on the CIP and attending the annual case conference.

The review team were left feeling that personal officers, and indeed SPS management, have lost sight of the role profile and consequently there is no great oversight or scrutiny being placed on whether or not these important tasks are being carried out.

"ICM has never really been a priority in this jail ... there's nothing in my job description or my Core Role Outputs that talks about me as a personal officer or about facilitating ICM ... Management in here focus on what's important to Operations Directorate ... reducing violence, staff assaults, drugs, serious and organised crime groups ... oh and drones ... but certainly not ICM."
(Personal Officer Quote 2022)

Similarly, prisoners did not recognise any of the role profile requirements. All but a very small number of prisoners believe that prison officers have absolutely “disconnected” from the Standard and Enhanced ICM processes, with many believing that prison officers do not see ICM as part of their job. In general terms, prisoners do not believe that they are getting any help or support from personal officers to work through the progression pathways.

In every prison in Scotland, prisoners talked about staff being reluctant to get involved with or support ICM in any way.

Personal officers should have been familiar with the progression pathways and the underpinning processes and procedures that support them. They should, have been mindful of their prisoners’ critical dates, aware of the CSA outcomes and monitoring the CIP by encouraging, supporting, guiding, and helping the prisoners with whom they are working to navigate the progression pathways.

Personal Officer Role and Associated Responsibilities

Relevant Recommendations

- SPS should consider whether the Personal Officer Scheme or an alternative model is best suited to the full estate.
- SPS should ensure that personal officers have clearly articulated and coherent job descriptions that adequately describe their role.
- SPS should demonstrate that personal officers have appropriate support and supervision from management and access to ongoing learning to remain effective in their role.

15. First Line Manager Role and Associated Responsibilities

In principle, the SPS First Line Manager job description should clearly state the essential job requirements, job duties, job responsibilities, and skills that are required to perform this business-critical role.

It does highlight the need for First Line Managers to provide assurance that all systems and procedures are being followed within their designated area of responsibility. It also highlights the fact that First Line Managers should provide effective monitoring and auditing of risk management of the prisoners within their area of responsibility. It also specifies that First Line Managers ensure that these responsibilities are delivered in line with SPS policy, strategies, and designated timescales.

First Line Manager Role and Associated Responsibilities - The Operational Reality

The review team felt that the job description contained very generic statements that did not appear to place great emphasis on First Line Managers providing scrutiny of case management activities.

To compound this issue further, there is no reference to the role of the First Line Manager within any of the current policy, guidance, or strategy documents outlined in Section 3 of this report. The review team believed this to be a fundamental flaw in the arrangements to facilitate ICM delivery and RMT referrals.

The review team questioned First Line Managers about their role and the extent to which they manage ICM and RMT and two quotes encapsulated two common themes across the prison estate.

“It’s really difficult to push ICM on in this prison ... I’ve tried, trust me ... but as First Line Managers you take your direction from unit managers, who take their direction from the Deputy Governor ... ICM gets mentioned now and again,

but we have a lot of violence in this jail, we have a problem with serious and organised crime, we have a high proportion of prisoners who are taking drugs, our prisoner numbers go past our design capacity on a regular basis, we’ve got high sick levels coupled with a high number of vacancies ... we have a lot of new and inexperienced staff ... the list goes on and on ... and all of this deflects our attention away from ICM ... and for that matter prisoner progression.” (First Line Manager Quote 2023)

“First Line Managers don’t really get involved in ICM and RMT. The ICM team take care of all the arrangements. I take my steer from them ... they would let me know if anything was outstanding ... my main involvement would then be getting staff to do their narratives on PR2 or to prepare their ICM update in advance of an ICM Case Conference.” (First Line Manager Quote 2022)

The majority of First Line Managers stated that they do try to support personal officers get the time to complete relevant reports and to attend their prisoners annual case conference, “where they can”.

In a similar vein to personal officer responses about personal officer attendance at the ICM Case Conference, they talked about the range of operational challenges that they faced in making this a reality. In particular, First Line Managers gave examples of high staff sick absence, a number of residential vacancies and consequently regularly uncovered posts.

The majority of First Line Managers had no awareness or understanding of the personal officer role profile contained in the ICM Practice Guidance document.

The majority of First Line Managers had worked in more than one establishment, and many talked about the different approaches taken between management teams and the different cultures that had been allowed to develop. The general feeling was that the priority status given to ICM was different depending on the senior management team in place at that time. The following quotes captured some profound themes among the First Line Managers.

“I’ve been in the service for over 25 years, and I can tell you that a change in GIC or Dep can have a big impact on what gets delivered in here and what doesn’t. There’s never been a consistent drive to do ICM ... It’s in fashion, then it’s out of fashion ... its important, then it isn’t important. It changes like the wind. I’d be keen to get back to what we used to do, but you need to feel like your unit manager and the Dep see it as an important task and give you support to get it done.” (First Line Manager Quote 2022)

“I’ve been in this prison for about 10 months now ... its completely different from my last prison ... the long-term culture of the way things work in here can create barriers to improving engagement with prisoners and how well ICM processes are supported. For example - there doesn’t appear to have been an expectation for standard ICM to be facilitated.

“There is a culture of self-directed learning here too, so staff do not always appear to be aware of what they should know and what they should do. Similarly, some staff are aware of what’s required, but there is no major impetus for them to carry out tasks, learn about key processes in any detail or even to explain and discuss them with prisoners.

My observation is that it is the newer prison officers who engage best, write the best reports, and have the motivation to seek out information and inform prisoners. This may be a reflection that they have not yet been affected by the culture.”

First Line Manager

Relevant Recommendation

- SPS should ensure that First Line Managers have clearly articulated and coherent job descriptions that adequately describe their role in leading, supporting, and monitoring ICM processes and procedures.

16. Integrated Case Management (ICM) Teams Role and Associated Responsibilities

ICM teams typically comprise: of an ICM coordinator; one or more ICM case coordinators; and ICM administrators. The team is managed by the ICM coordinator who assumes responsibility for leading the delivery of ICM within the establishment. As a subject matter expert, the ICM coordinator monitors performance of the ICM process in the establishment and ensures mechanisms are in place for multiagency working to support the Risk Management Team.

The ICM case coordinator, as the title suggests, is responsible for coordinating the ICM process at a case-by-case level. The coordinator will collate information gathered from key stakeholders, including the personal officer, Prison-Based Social Work and others to populate the risk and needs assessments within set timescales. Often the case coordinators will chair the case conferences and will also ensure appropriate referrals are made following the development of the action plan.

ICM Teams - The Operational Reality

To all intents and purposes, ICM teams are assuming direct responsibility for the successful delivery of all ICM processes.

It was evident to the review team that ICM teams are working continually to encourage people to fully engage with ICM. This included prisoners, service providers and personal officers. In particular, we heard endless accounts of how it is becoming increasingly difficult for them to engage prison officers in maintaining CIPs and attending ICM Case Conferences. They appear to be working tirelessly to keep ICM fully operational, to a large extent, with little support from some SMTs, First Line Managers or personal officers.

“... it seems to us (ICM team) that the more stuff that residential won't do ... can't do ... or don't do well enough ... goes to other people ... Links Centre staff, Induction staff ... prerelease staff ... and 'us' ... with ICM and case conferences ... in essence, someone else picks it up because its important and it has to be done ... as a result, the residential role in ICM seems to be diminishing ...” (ICM Coordinator Quote 2022)

ICM teams were very evidently scheduling, coordinating, and facilitating initial and annual ICM Case Conferences within the prescribed timelines.

The ICM teams ensured that invitations to attend the ICM Case Conference were issued no less than four weeks before the scheduled date. (Both prisoners and personal officers in most prisons contested this issue quite vigorously.)

These invitations included PBSW, CBSW, the prisoner and the personal officer, as well as any other member of staff involved in the case management plan.

Each and every case conference was chaired by either the ICM team or in the case of a prerelease case conference, PBSW.

SPS staff with responsibility for chairing case conferences indicated, in the vast majority of cases, that they had not received any formal training to equip them with the knowledge or skills to undertake the role competently. In essence, like so many other members of staff working within the ICM arena, their learning and development was self-driven.

Consequently, the review team witnessed a variety of different approaches to the way in which establishments facilitated the ICM Case Conference, in particular, the structure, the content, the depth of discussion and the action planning going forward.

The major concern for every ICM team was the lack of personal officer engagement at the case conference itself. The vast majority of those with whom we spoke stated that Personal Officers did not see ICM as a priority, with many personal officers demonstrating apathy towards it.

“... the staff in this prison tend not to attend the case conference ... in fact, it’s very rare to get a written report as a substitute ... don’t get me wrong, you get some staff who know what their job is ... and they do it well, but that doesn’t seem to inspire other personal officers to do the same ... it ends up being us (ICM team) that do a lot of the work in preparing for the case conference ... a lot of the time you’ve got no hall report and there’s very little, if anything, on the CIP ... but you scour PR2 to find out what you can and make some calls ... the alternative is you make endless calls to the hall managers and most of the time it’s just not worth the effort for what you eventually get back ...” (ICM Case Coordinator 2022)

ICM teams provided assurances that they were recording the outcomes of the case conference on appropriate documentation and then uploading them on to the ICM section on PR2 as soon as possible after the case conference. They also ensured that the prisoner obtained a copy of the record of the case conference outcomes.

In essence the review team were left feeling that the ICM teams were the glue that held ICM together and enabled the process to dovetail seamlessly with the RMT arrangements. Staff were knowledgeable, they understood the wholesystem and how each component functioned, they were enthusiastic, conscientious, and professional in their approach.

As all of these were small teams which were mostly led by one experienced individual who held the majority of the knowledge of ICM, this becomes a single point of failure with no effective resilience if this person was unavailable.

ICM Team Role and Associated Responsibilities

Relevant Recommendations

- SPS should rapidly review and consider standardising the responsibilities and working arrangements of ICM teams across the estate.
- SPS should demonstrate that ICM teams – and particularly managers – are effectively supported in their roles and that there is adequate resilience in such teams.

17. Integrated Case Management (ICM) - Supplementary Resources

In two public sector prisons, the review team saw the benefits associated with having supplementary resources available to support the ICM processes and procedures as well as the RMT arrangements.

One Governor had realigned some local resources by way of introducing a Case Management Team that works in tandem with personal officers, the ICM team and the RMT. Their aim is to ensure that, with signposting, guidance and support, the standard of RMT submissions by personal officers will improve significantly. A by-product of that work will hopefully see an improvement in the quality of engagement between personal officers and prisoner as well as an improvement in ICM case conference reports.

Case Management Officers facilitate:

- a Case Management Development Programme that is designed to support and empower staff through development of case management knowledge and skills, effectively contributing to raising standards and having a positive impact on prisoners
- one-to-one support to personal officers
- personal officer awareness sessions
- drop-in clinics for personal officers
- arrangements for producing First Grant of Temporary Release applications

One Governor has realigned some local resources by way of introducing an Outreach Team that works in tandem with personal officers, the ICM Team and the RMT. Their aim is to ensure that they identify, support, and signpost prisoners who struggle to engage with standard processes and procedures. They also support personal officers and partners to deliver successful care and case management plans.

In essence the Outreach Team target the more challenging and complex cases in the prison, whatever the circumstances, and work with those people to help them work through their issues and reengage with ICM.

There is evidently a substantial cost associated with both of these approaches, however the review team felt that the benefits definitely outweighed those costs.

In speaking to the managers and staff working within these teams, it was apparent that although there were case management benefits in both approaches, the prisons were tackling the gaps in ICM service delivery from two different angles.

The Case Management Team were very much focusing on personal officers and improving their level of engagement, interaction and report writing.

The Outreach Team were focusing in on improving the prisoner's level of engagement and interaction.

The review team concluded that both approaches were highly beneficial in supporting ICM Teams, personal officers, and Deputy Governors and more importantly, prisoners.

Integrated Case Management (ICM) - Supplementary Resources

Relevant Recommendation

- SPS should undertake a full and timebound evaluation of the Case Management Team and Outreach approaches, with a view to making some informed decisions about ICM resourcing going forward.

18. Offending Behaviour Programmes (OBPs)

The following provides an overview of current OBP delivery in SPS.

Programme	Target Group	Duration	Location
Ultimate Self	Adult Females	Max 8 months	Polmont
Youth Justice Programme	Young Men	Max 6 months	Polmont
Constructs	Adult Males	Max 3 months	9 prisons
Pathways	Adult Males	Approx 6 months	9 prisons
Discovery	Adult Males	Max 3 months	9 prisons
Moving Forward 2 Change	Sexual Offenders	Approx 8 months	Edinburgh/Barlinnie
Self-Change Programme	Adult Males	Approx 10 months	Low Moss/ Shotts/Glenochil/ Edinburgh/Perth
Short-Term Intervention Programme	Short-Term Prisoner	Max 6 months	Low Moss/Barlinnie

SPS are committed to delivering and developing a comprehensive range of OBPs to address the criminogenic needs of those in our care, as part of their rehabilitative journey. All of the OBPs within the SPS are either accredited or in the process of developing towards that status. Accreditation means that the programme meets a standard set of criteria that are recognised by risk justice professionals as being effective in assisting individuals reduce their risk of reoffending.

OBPs are evaluated and reviewed in order to maintain their accreditation, and in order to look for any ways in which they can be improved. This ensures that OBPs are updated with any changes in psychological literature to allow SPS to best support prisoners' criminogenic needs.

SPS operate a prioritisation policy that aims to ensure that all reasonable steps to ensure that individuals with identified OBP needs, are provided with the opportunity to attend prior to their critical dates for progression.

To manage access to OBPs, SPS have created national waiting lists to, as far as possible, ensure fair and equitable allocation of available programmes. SPS calculate the programmes prioritisation date for everyone on the National Waiting List, depending on their sentence type and length.

When an individual reaches the top of the waiting list, they will be offered the next available place on the programme. This may be in a different prison to the one they currently reside in. If the prisoner decides to accept that place, they will then be transferred to access the programme. The principle of the National Waiting List is to ensure that individuals are not disadvantaged if the programme they require is not currently running in the prison in which they reside.

There are currently two stages in identifying a prisoner's need to participate on an OBP, the Generic Programme Assessment and then an endorsement from the Programme Case Management Board.

The Generic Programme Assessments are completed by prison officers working in the Programmes Team or by a member of the prison-based psychology team. The Generic Programme Assessment involves a comprehensive file review (index offence, previous convictions, background history, readiness to participate) and then a one-to-one interview. The completed Generic Programme Assessment will then be considered by the Programme Case Management Board.

The Programme Case Management Board is a multidisciplinary meeting in which an individual's criminogenic needs are identified and recommendations are made to meet those needs. The prioritisation and sequencing of interventions is also considered. The board is typically chaired by a psychologist although Social Workers are also core attendees and a Social Work risk assessment is also required.

OBP - The Operational Reality

Although completion of offender behaviour programmes is not always required for progression or parole, accessing programmes was nevertheless one of the main barriers to progression identified by prisoners during our inspection.

Many individuals highlighted that accessing a Generic Programme Assessment to inform their programme needs was challenging. This was often due to waiting lists and local practices which meant that individuals serving long sentences would not be considered for assessment until closer to the point where they had served enough of their sentence to qualify for progression. This practice was problematic, as it often meant that individuals were unable to access the interventions in time to progress in line with their progression window. They perceived this as a delay to progression.

Once assessed, individuals joined lengthy national waiting lists for identified programmes. As previously noted, these waiting lists are ordered by critical dates – meaning that an individual's place on the list can change frequently as new people are added. This approach caused confusion and frustration amongst the prisoner group.

“It took me a long time to get my Generic Programme Assessment completed and then I had to wait for the board (Programme Case Management Board) to confirm my programme. I had heard horror stories about waiting times, but I thought that they might be exaggerated a bit, so I decided to tell my family that my assessment was completed and that I was just waiting for a space on the programme. That was 14 months ago. I feel like I've done everything right this sentence and this just takes the wind right out of your sails, and you get disillusioned ... the waiting list situation is a joke.” (LongTerm Prisoner Quote 2022)

It was evident to the review team that there is a significant emphasis on programme engagement within the SPS. Despite this, programme provision appears to be under resourced, with need far outstripping availability. Additionally, there appears to be a lack of alternative ways for individuals to address their identified needs, such as through engagement with one-to-one work or bespoke interventions.

“It’s amazing ... the prison service say you can’t go to open conditions until you’ve done your programme, the Parole Board say that you can’t be released early until you’ve done your programme, so it doesn’t matter how well you’ve done in your sentence, you’re not getting progression, because the SPS can’t resource the programmes ... how can that be fair?” (LongTerm Prisoner Quote 2023)

Furthermore, many prisoners indicated that they felt forced into programme engagement due to their perception that their progression or release was contingent upon it or appearing to be contingent upon it. They expressed doubt that engagement would change their attitudes or behaviours and viewed engagement as a box that needed ticked to move on with their sentence. These current difficulties may therefore be creating a culture which undermines the effectiveness of OBPs.

Offending Behaviour Programmes

Relevant Recommendations

- SPS and partners should undertake a review of the OBP strategy with a view to introducing alternative approaches and pathways to ensure they can evidence a reduction in risk within the progression window.
- SPS must adequately resource the delivery of programmes to ensure no prisoner is prevented from progressing at their earliest opportunity or disadvantaged at Parole Board hearings through delays in accessing programmes.
- SPS should consider whether a peripatetic approach to the delivery of programmes would speed up delivery and prevent individuals from having to transfer to a different prison when they are settled in a prison near their family. If prison transfers are essential to access programmes and the performance of the prison transport contractor delays transfers taking place, alternative solutions must be found.
- SPS should actively consider the possibility of outsourcing the delivery of OBP or using alternative resources.
- SPS should harness the use of technology as an aid to improving prisoner access to OBP, including digital solutions.

19. Risk Management Teams - Role and Associated Responsibilities

During the period of review, the team directly observed RMT meetings across the prison estate. The number of cases for discussion varied between one and eight with the majority of meetings considering two or three cases at each individual sitting. In the majority of prisons, the RMT was chaired by the Deputy Governor and some were chaired by the Governor in their absence.

The RMT is the SPS decision making body which considers individuals' suitability for management in less secure conditions and/or community access. The RMT is multidisciplinary and is chaired by Deputy Governor of the establishment. The RMT is guided by two key documents, the 'Risk Management, Progression and Temporary Release Guidance' (August 2018) and the 'Supplementary Guidance for RMT Decision Makers' (December 2018).

This guidance draws upon the RMAs Framework for Risk Assessment, Management and Evaluation (FRAME) principles designed to ensure proportionate, meaningful risk practice that is grounded in shared principles, values and standards (FRAME, p4).

When considering progression, the guidance documents above outline that an RMT should:

- ensure that the degree of management is proportionate to the degree of risk posed by the individual. Management plans should be tailored to the individual and responsive to change
- work collaboratively with the individual and professionals involved in their management. This supports engagement from the individual and ensures appropriate information sharing between professionals
- have an appropriate level of knowledge and skill and an investigative stance and proactive approach

RMT - Operational Reality

Over the course of the thematic review, inspectors shadowed the RMT meetings to consider how the guidance translated into practice. The findings are limited by RMTs running with fewer than expected cases in several establishments. This was typically due to cases being withdrawn at the last minute, the rationale for this being explained as a change in circumstances or incomplete paperwork. Two main themes were generated.

Collaboration/Partnership Working

Attendance at RMT meetings mainly complied with the guidance. The meetings were chaired by the Deputy Governor or GIC and professionals such as Psychology, PBSW and CBSW, operational staff (typically ICM Coordinators, First Line Managers, Residential Managers, Personal Officers, representatives from the prison Intelligence Unit, etc) and NHS representatives were present in most cases observed.

Attendance was usually a mix of in person and virtual. Indeed, members reflected that representation of community partners had increased since the advent of videoconferencing.

The subject of the RMT discussion was rarely invited to attend. It was noted at some establishments that the RMT was held in a nonsecure area which prevented prisoner attendance. In the few occasions that individuals did attend, they were generally brought in at the end of discussions to receive feedback. There was limited evidence of true collaboration with the individual.

It was also observed that personal officers were rarely in attendance. In some instances, attempts were made to mitigate for this absence via attendance of another member of residential staff, or the hall manager. This limited the information available to the RMT regarding the individual's usual presentation and engagement.

Additionally, in progression cases where the individual had been identified as requiring management via MAPPA, partners such as Police Scotland were often not in attendance, potentially limiting the sharing of information.

In terms of professional collaboration, it was observed that RMT members worked cohesively to consider each person under discussion. The Chairs typically sought a summary of the individual case before taking evidence from each professional present. Conflicting evidence and professional disagreements were worked through systematically to try and reach a clear and defensible decision upon which all members were agreed.

However, it would be accurate to reflect that in a number of cases the end decision would not have met the test of being a "defensible decision" (as defined in the FRAME document) due, in the main, to either a lack of thorough discussion, or of all the relevant factors related to the management of risk being fully considered.

A number of Chairs indicated that their training and preparedness to chair RMT meetings was either inadequate or "on the job" learning – most were not familiar with the existence of the FRAME document. This was reflected in a general lack of understanding of key concepts such as what constituted a protective factor when assessing risk and there was a lack of shared understanding of what an effective Risk Management Plan was.

Assessment and communication of Risk

The challenge of assessing and managing risk draws together a diverse range of professions in the shared objective of protecting the public by preventing or minimising harm.

As noted above, decision making within the RMT should be grounded upon an evidence-based assessment of risk. The "Annex A" (application for National Top End or Open Conditions) document is produced, usually by ICM staff, to collate evidence to inform RMT decision making. The standard of this document was variable across establishments and cases, with extensive repetition and poor organisation evident in many cases. For individuals serving short-term sentences (under four years) there was a lack of information within the Annex A document.

In the majority of cases PBSW partners provided risk assessments (for example, Level of Service Case Management Inventory (LS/CMI) and/or Stable and Acute (SA07)) to inform decision making.

The LS/CMI has the option for the assessor to complete a fuller risk of serious harm assessment where indicated by the appropriate application of the tool. It was clear that there were inconsistencies in the interpretation of when such an assessment was indicated and in the quality of assessments completed. This potentially limited the information available to RMTs when making decisions relating to risk management and progression as the nature of the risks was not fully understood.

Outcomes of risk assessments were communicated by PBSW and psychology partners. Whilst all RMTs did incorporate some discussion about risk, the depth and quality of those discussions varied significantly. Outcomes were described in terms of “high, medium, and low risk” without reference to an agreed definition to support a shared understanding.

Good practice was observed in a small number of cases where risk was clearly communicated in terms of pattern, nature, seriousness, likelihood, and imminence in line with FRAME guidelines; however, this was not normally the case. Protective factors, when considered, typically lacked consideration of whether the identified factors had previously been shown to be protective for that individual. Deputy Governors, in their role as RMT Chairs, appeared to lack confidence in interrogating risk assessment outcomes.

Individuals subject to the Order for Lifelong Restriction (OLR) were reviewed by RMTs to consider their management, and in some cases, for progression. Individuals subject to the OLR will have a Risk Management Plan (RMP) which has been approved by the RMA; this plan should be central to the individual’s management outlining how they will be managed to reduce risk and promote rehabilitation. In a number of instances members of the RMT were not in possession of the RMP for the individual being discussed. Decisions were made without considering the risk assessments within the plan, or the ongoing suitability of the risk management strategies.

Section 6 of the Annex A is designed to provide a “community access risk assessment” and a “community risk management plan” for all progression cases. This section was completed by a senior psychologist in all instances; generally, without contact with the individual being considered.

For individuals serving short sentences Section 6 tended to be heavily caveated due to the lack of information available to inform decision making. It was also noted that Section 6 was completed for OLR cases resulting in repetition and RMT members failing to focus on the approved RMP. The review of management strategies within RMPs (for both OLRs and for longterm/shortterm prisoners) was limited. There was also rarely any discussion relating to early warning signs or contingency plans.

Within establishments providing community access to individuals the RMTs also considered concerning behaviours and adverse circumstances where a negative development had occurred. It was clear that RMTs were motivated to support individuals to stay on their progression journey, if appropriate, despite setbacks.

However, whilst circumstances were well explored by the group, there was rarely any consideration of the need to update risk assessments in response to a significant change in circumstances or manageability. Decision making was not therefore based on an appropriate assessment of risk.

Risk Management Team - Role and Associated Responsibilities

Relevant Recommendations

- SPS should invite the subject of the RMT to the meetings as a default position and clearly record the reasons if the subject is not invited.
- SPS should ensure that officers who have a knowledgeable relationship with the prisoner should attend and make a positive contribution to the RMT on a consistent basis.
- SPS should ensure with RMT cases, where there is relevant MAPPA involvement, that the Police are routinely invited to attend.
- SPS should ensure that RMT Chairs are adequately trained and supported to undertake this role and have a robust working knowledge of the FRAME principles on effective risk assessment and risk management planning.
- SPS and partners should work together to improve the quality of the information contained in the Annex A paperwork when considering shortterm prisoners at the RMT.
- SPS and partners should ensure a shared understanding of the use of risk assessment tools, what they are used for, what the findings mean when completed and how the findings are reported and summarised in the RMT, etc.
- SPS and partners should ensure that the full Level of Service/Case Management Inventory (LS/CMI) Risk Assessment, together with any other risk assessments carried out, should be considered in full at the RMT.
- SPS and RMT partners should have a shared and evidenced understanding of what an effective Risk Management Plan consists of as defined in the FRAME document.
- SPS must demonstrate that in cases where the RMT are considering OLR cases, that the Chair ensures that all attendees have appropriate access to the current Risk Management Plan.
- SPS and partners must demonstrate that when compiling a "community access risk assessment" and a "community risk management plan", there is direct contact with the prisoner concerned in order that all relevant information is collated.
- SPS and partners must ensure that the RMT Chairs update risk assessments in response to a significant change in circumstances.

20. Risk Management Team Referral Form (Annex A)

“Annex A” is the ICM referral process used when a prisoner is going before the RMT to be considered for progression to less secure conditions. The Annex A document provides a comprehensive overview of the prisoner’s journey to that point in time. It draws together key pieces of information that, when combined, afford the RMT the opportunity to make an informed decision about the prisoner’s suitability to progress.

RMT Referral Form (Annex A) – The Operational Reality

ICM Teams and Case Management Teams demonstrated a depth of knowledge and understanding of the Annex A as well as a degree of competence in its construction. Prison officers, in the main, knew what the purpose of the Annex A was, but the majority of staff had never been involved in completing one.

There are a minority of prisons who require personal officers or other prison officers to complete the Annex A. In these prisons, staff were more aware of the purpose of the document and its component parts. This was probably as a result of the local support arrangements put in place. However, there was a general feeling that the document was too complex and difficult to complete.

In most prisons, the vast majority of personal officers and prison officers do not complete the Annex A. In these prisons the working knowledge of the document was very limited. Many stated that they had never heard of the Annex A.

“I’ve worked in this prison for just over 11 years, and this is the first time I’ve ever heard of an Annex A for the RMT. My involvement in ICM and RMT is quite minimal. I deal with issues that are raised by my prisoners ... like check categories and check critical dates for parole and progression. The only other thing that’s required of me is to prepare a general

update if one of my prisoners is going up to an ICM Case Conference or an RMT.”
(Personal Officer Quote 2023)

Prisoners, in every prison, did not understand what the Annex A was. They referred to RMT paperwork, but they had very little awareness or understanding of the purpose or design of the paperwork as well as very limited awareness and understanding of the information that was captured in the document.

“I was up at the RMT recently. I was told by my personal officer that my name was going up. My personal officer asked me some stuff about my sentence for his report, then one of the ICM officers came to see me before the RMT. She had paperwork in front of her, but she was just skipping through the pages to get clarification in certain sections. I never once heard any reference to Annex A or RMT Referral.” (Prisoner Quote 2023)

The review team, along with many Deputy Governors, Personal Officers, and prisoners did not like the term “Annex A”. There was a general acceptance of the fact that there was a need to rebrand this document, as well as streamlining it to enable people to understand it and fully engage with the process.

RMT Referral Form (Annex A)

Relevant Recommendations

- SPS should streamline the RMT Referral paperwork to avoid repetition of information and improve clarity of purpose.
- SPS should ensure that there are effective arrangements in place to inform prison staff and prisoners on the purpose of the RMT Referral and how it is used to assess suitability for progression.

21. First Grant of Temporary Release (FGTR)

Ministerial approval is required before a life sentenced prisoner can be considered for any type of temporary release for the first time. In addition, the decision to transfer a life sentence prisoner (having obtained FGTR) to the Open Estate is taken by the Director of Strategy and Stakeholder Engagement, on behalf of Scottish Ministers.

A life sentence prisoner in NTE will not be granted a community work placement unless the Governor has obtained the prior consent of the Scottish Ministers to approve the life sentence prisoner's FGTR. This is a process which requires a full case review of the individual's Index Offence, previous offending, and response to custody.

A life sentenced prisoner who has been released and subsequently recalled to prison needs to be granted temporary release by Scottish Ministers before they can move from the receiving prison to the Open Estate.

A life sentenced prisoner, who has been granted FGTR and is returned to closed conditions but remains at low supervision level, can recommence temporary release if approved by the RMT, without further approval from Scottish Ministers once they return to NTE, CIU or Open Estate.

FGTR - The Operational Reality

Deputy Governors, in NTE and mainstream prisons, as well as life sentence prisoners, all indicated during our review that the FGTR process was too complex and took too long to complete. During the period of our review, we looked at several FGTR applications that had been under consideration for over one year. Often the application was moving backwards and forwards between the establishment and SPS HQ. Invariably, the issue was focused on whether there was sufficient information contained in the submission or the submission itself had not been completed to the required standard. This prolonged exercise was challenging for prisons and HQ to manage and had a negative impact on prisoners who are waiting for such decisions to be made.

However, to their credit SPS HQ had undertaken work during 2023 and 2024 with local establishments to improve the quality of the applications for FGTR, which is now significantly reducing timescales. The average number of days for approval of an application has reduced from 319 days in 2020 to 99 days in 2023 and 69 days in April 2024.

First Grant of Temporary Release

Relevant Recommendations

- SPS should provide prisoners with a copy of the Annex A application and give detailed information on the purpose, the structure, and the content of the FGTR application.
- Prisoners should be told when their FGTR has been submitted and kept informed of progress.
- SPS should continue to ensure that the FGTR process provides speedier decisions about a life sentence prisoner's suitability to access the community.

22. National Top End (NTE)

Within the SPS Estate, eligible individuals can progress to conditions of gradually increasing freedoms as a first step, prior to progressing to fully open conditions at Castle Huntly. This provision is referred to as the “National Top End”. These facilities provide a staged approach to community access and are typically reserved for individuals serving long sentences, such as those serving a life sentence or an OLR. NTE facilities for adult males are currently available at HMPs Barlinnie and Greenock.

The NTE facilities differ in many ways to those in the closed prison estate. There are lower staff to prisoner ratios and individuals have a key to their own room. There is a less structured regime. These changes are designed to encourage the individual to be more independent.

The NTE also provides individuals with the opportunity to take their first steps back into the community, initially via the Special Escorted Leave (SEL) Scheme where they access the community under escort; and latterly through short periods of unescorted access to the community to attend a work placement. This community access provides initial testing of the individual’s ability to adhere to licence conditions, manage their risks and cope with problems. It also provides the opportunity to build family and professional relationships as well as employment skills.

Following a successful period at NTE, individuals will be considered again by the RMT for progression to the Open Estate where home leave is available. The SPS guidance suggests that a period of approximately 24 months in NTE should provide adequate time to benefit from the full range of community access afforded by the NTE.

NTE - The Operational Reality

The theme of delays was again evident when individuals spoke to the review team about accessing NTE. It was reiterated that delays accessing programmes had resulted in the majority of individuals being significantly beyond their progression window by the time they progressed to NTE. In addition, for many, the RMT decision to approve a move to NTE was followed by a long wait for a space. Unlike the Open Estate which has operated below capacity for a number of years, both NTE sites are full, with waiting lists for places. These delays were felt to be a source of stress for individuals keen to progress with their sentence.

Once at the NTE, many spoke about further delays in accessing the Special Escorted Leave Scheme. Problems with the prisoner transport provider in recent years has resulted in many special escorted leaves being cancelled, often at short notice, impacting on the individual and their families whom many had made arrangements to meet. Prisoners highlighted that these difficulties impacted on their ability to demonstrate a reduction in their risk, and they felt this prolonged their time spent at NTE. It is acknowledged that in many cases, SPS staff were drafted in to support special escorted leaves, however this was not always possible. During our review, it was clear that many individuals had spent over three years in NTE facilities, with no onward progression on the horizon.

In a similar vein to previous sections on ICM, prisoners reported that they had little contact with personal officers at NTE and had limited understanding of the ICM process. Indeed, many highlighted that they felt the NTE facilities were not responsive to their needs, particularly when they had additional learning needs or physical health problems. This lack of perceived support and responsiveness often led individuals to feel they were being set up to fail.

One prisoner's quote was reiterated by prisoners on both sites:

"NTE has been a bigger challenge than closed jails, it's been a big let-down. I had hoped that there would be more engagement with personal officers through here, more interaction and working on plans for getting to the Castle (Huntly), but ICM is worse here. The staff in here are just managing processes. There's still no real case management, there's no management plan, there's nothing. You feel like you're walking on eggshells all the time and the staff are just sitting back waiting for you to fail." (LongTerm Prisoner Quote 2022)

We did not get an opportunity to speak to many personal officers in either NTE, but the few that we did speak to, painted a slightly different picture of life in NTE.

The staff did appear to have a bit more insight into SPS policy on ICM and progression pathways than those personal officers working in closed conditions. They were able to talk, with some degree of confidence, about key components of the ICM and RMT arrangements and had a reasonably good understanding of how these component parts worked together.

However, the review team did find that these personal officers lacked fervour and enthusiasm for the important work they were doing.

The personal officers did concede that ICM was not carried out in any structured or formal way, however, they stated that where prisoners came forward for guidance, help or support, they would certainly get it but only if the prisoner had initiated the ask in the first place.

Personal officers and prisoners picked up on the fact that the FGTR process has historically presented difficulties in managing cases through to the Open Estate. Many felt that it was a laborious and complex procedure that has contributed to the slow turnover from NTE to the Open Estate. All were very much of the view that the whole process needed to be streamlined with more reliance being placed on the ICM and RMT documentation. However, the SPS were able to provide evidence that the process for considering applications for the Open Estate has speeded up markedly over the last year, with the average time reducing from 229 days in 2022 to 70 days in 2023 and 40 days in April 2024.

One other common theme that was highlighted by prisoners was in relation to the generally poor conditions of the buildings, facilities and living arrangements. Many prisoners indicated that it did not look or feel like they had progressed, given what they had left behind in newer, more modern establishments. Many indicated that they knew people who would not progress due to the conditions. Some also questioned the fact that SPS had only allocated NTE facilities on the west coast of Scotland.

NTE

Relevant Recommendations

- SPS should demonstrate that personal officers working in the NTE have access to the most comprehensive training packages on the role of a personal officer and appropriate support and guidance to undertake their role.
- The SPS should improve the quality of the regime and accommodation available in the NTE so it acts as a further incentive towards progression.
- The SPS should develop greater capacity for NTE to meet the need.

23. Open Estate

The Open Estate provides an opportunity for longterm prisoners to normalise, to take on the additional responsibilities associated with increasing freedoms in the community and to practice their desistance from offending.

The deprivations and adverse effects of imprisonment are well documented. Open prison provides an opportunity for prisoners to learn, relearn and practice new skills in restrictive but supportive conditions. It provides a suitable locus for the relevant authorities in partnership with the SPS, to assist offenders to build and develop their protective factors which promote desistance from crime. In doing this, the Open Estate also provides a test of the prisoner's response, motivation, and adjustment to altered freedoms and responsibilities.

For suitable shortterm prisoners it is considered that open conditions provide the opportunity to serve a proportion of their sentence in conditions with less restrictive security arrangements, giving access to improved personal development opportunities and the capacity to build and importantly to maintain family and community relationships. It helps to protect them in part from some of the more negative aspects of the process of imprisonment.

The Open Estate is currently available to a broad spectrum of sentence ranges. The view of SPS, of Government and of many other commentators is that allowing longterm prisoners controlled access to the community is a necessary contribution to assessing their suitability for parole or conditional release. Those prisoners who have committed serious offences invariably spend a long time in secure custody and are therefore the most in need and the most likely to benefit from the opportunities that open prisons offer. Accordingly, community access often figures as a specific requirement for individual prisoners in Parole Board recommendations.

Open Estate - The Operational Reality

Surprisingly, the review team found that prisoners who were located at the Open Estate were still dealing with some of the challenges that were being experienced by those prisoners in NTE.

The lack of regular and structured dialogue with their personal officers was a serious concern. In essence this was one of the key "themes" to come from the review. The key difference at the Open Estate is that when prisoners sought out their personal officers to talk about their case management, personal officers were more than happy to take prisoners aside and talk to them privately. In addition, prisoners indicated that personal officers were much more inclined to take forward issues, support needs and concerns in a helpful and compassionate way.

Prisoners still felt that living and working at the Open Estate was an extremely difficult challenge. Prisoners indicated that they felt like the further you progressed in the system, the easier it was to be downgraded. Various examples were discussed during focus groups, of people who had been downgraded in the last few months for issues that, on the face of it, prisoners felt, could have been dealt with at the Open Estate.

A quote from one longterm prisoner was referenced a few times during our visit:

"It is good here, I like it and the home leaves make it all worthwhile, but sometimes it's hard. If you get a good personal officer, you've cracked it, but if you don't ... you end up feeling like you're walking on a knife edge all the time ... any misdemeanour and you're shipped back to where you came from ... there's a real fear factor here." (LongTerm Prisoner Quote 2022)

All of the personal officers that we came into contact with demonstrated real interest and enthusiasm for their work. Personal officers and the ICM team had a good grasp on ICM and progression pathways. They were able to talk, with real confidence, about the key components of the ICM and RMT arrangements and had a good understanding of how these component parts dovetailed with each other. Interestingly, they did state that there needed to be a clearer strategy agreed and a fundamental review of the documentation that was used in ICM and RMT. They also highlighted the fact that they felt they would benefit greatly, individually and as a team, from formal training.

One personal officer quote was referenced on a few occasions at the Open Estate, but also wider afield.

“I’m much more involved in ICM than I was in my last prison ... but it’s the same here, you learn from who you’re working with and you learn from doing the job ... in some ways that creates problems with people demonstrating varying degrees of knowledge, skills and confidence ... the good thing here is that the First Line Managers in ICM and residential are much better informed than my last jail ... and they’re very supportive too ... but I still think the SPS should provide formal training for all personal officers.”
(Personal Officer Quote 2022)

Open Estate

Relevant Recommendations

- SPS should demonstrate that all the personal officers in the Open Estate get access to comprehensive training packages.
- The SPS should improve the quality of accommodation at the Open Estate to further incentivise and reward good behaviour and constructive progression related activity.
- SPS should demonstrate ongoing practice and policy development to ensure that the Open Estate is always used to its fullest capacity.

24. Community Integration Units (CIUs)

The purpose of CIUs is to provide an opportunity to access the local community for those longterm prisoners coming towards the end of their sentence, where it can be evidenced that there is a rationale for it being of benefit to them on release. Potential benefits include helping adjust to the community environment, the opportunity to strengthen self-management and other skills, helping to maintain/establish links with community services that may be required post-release, or which may contribute to wellbeing and risk management and help to strengthen links with important support networks.

Longterm prisoners, life sentence, and OLR offenders can also progress to community access at CIUs in HMP & YOI Grampian and HMP Greenock at the discretion of the RMT. It should be noted, however, that a FGTR would be required prior to those serving life sentences accessing the community unsupervised.

CIU - The Operational Reality

The review team found that the CIUs are completely underutilised across the SPS estate. In one prison the CIU facility was not operational and had been repurposed for storage and a staff facility. In one prison the current and historical numbers accessing it had been traditionally low.

One quote from a longterm prisoner epitomised many other thoughts and feelings from prisoners across the estate when they were asked about the purpose of the CIU.

“I’m not sure, I think it’s where some longterm prisoners go before they progress to the Castle or get out on parole ... but nobody in SPS talks about the CIUs ... it actually feels like it’s harder to get into a CIU than it is getting up to the Castle.” (LongTerm Prisoner Quote 2023)

One personal officer quote epitomised many other thoughts and feelings from staff when they were asked about the purpose of the CIU.

“To me, it’s just typical of the SPS ... some senior people at HQ probably saw it as a good idea at the time, but the dream has fizzled out and now they don’t know what to do with them.” (Personal Officer Quote 2022)

CIU

Relevant Recommendation

- SPS should conduct a rapid review and publish the purpose, remit, and operating philosophy of the CIU with a view to maximising the usage of this valuable resource and consider whether they should be reconfigured as part of the NTE estate.

25. Prison-Based Social Work

As part of their overall responsibility for justice social work services, local authorities are required to undertake a number of statutory and other mandatory core responsibilities and duties within prisons. PBSW teams are employed by local authorities and are based in all of Scotland's prisons, Community Custody Units, and Young Offender Institutions. They are an integral part of comprehensive, national justice social work throughcare provision. The term "throughcare" relates to the provision of a range of social work and associated services to prisoners and their families from the point of sentence or remand, during the period of imprisonment and following release into the community.

PBSW teams provide an important social work service to people in custody who will be subject to statutory supervision by Community-Based justice social work services on release. For example, people in prison serving the following type of sentences (each of which has its own legislative basis) require a PBSW service:

- Supervised Release Order
- Long-Term sentence (four or more years)
- Extended Sentence
- Life Sentence
- Order for Lifelong Restriction (OLR)
- People subject to a Short-Term Sex Offender Licence
- Recalled prisoners

The core responsibilities and tasks of Prison-Based Social Work Services include:

- the provision of risk assessments, case and risk management plans, and reports to the Parole Board for Scotland to inform sentence and release planning

- attending and contributing to release planning meetings such as ICM Case Conferences
- working with prisoners, their families, the SPS, internal and external agencies, and other social supports, including Community-Based justice social work services, to reduce the risk of reoffending and harm on release and to assist reintegration within the community

PBSW - The Operational Reality

The complement of PBSW staff in each establishment varied according to the size and profile of the establishment. Most PBSW teams reported that they held the relevant experience and training.

The PBSW teams were generally able to fulfil their contribution to progression processes, however there were significant pressures on capacity. This pressure on PBSW was exacerbated by frequent and significant changes in the profile of the prisoner population in some establishments.

PBSW prioritised statutory responsibilities. Where there was an increase in longterm and more complex prisoners, the PBSW resource was significantly tested, which resulted in LS/CMI assessments not always being completed within stipulated timescales and not therefore available for discussion at ICM. SPS submitted an internal audit that reviewed 30 ICM case conference minutes across two large prisons and found that in 17 of those LS/CMI had not been completed, a factor that delays the identification of programme needs. There was also limited capacity to work with shortterm prisoners out with legal duty responsibilities. In addition, opportunities to contribute to the delivery of interventions out with statutory and procedural requirements had reduced.

"The relentlessness of the population left little time to review the service being provided." (PBSW Team Manager Quote)

In general, PBSW staff perceived working relationships with staff from other agencies as positive. This supported good collaboration and contributed to the effectiveness of key progression processes. Where there were challenges, cooperative working between the responsible authorities assisted in resolving the issues.

In the main, support from Community-Based local authority management was viewed positively, as was the direct support from senior SPS staff in the respective establishment.

PBSW views on progression for individuals were consistent across establishments. PBSW staff believed their role was valued. They welcomed the positive feedback received from senior prison staff about the quality of their contribution to key processes. This professional respect supported good collaboration across teams.

PBSW teams recognised a recent improvement in RMT functioning. Consistency was seen as important. While there was an impact when prison leadership in an establishment changed or when chairing responsibilities changed, the experience of other members of the RMT (including PBSW) helped to ensure stability.

In relation to the scheduling and coordination of RMT meetings, PBSW viewed the processes as providing them with sufficient notice of what assessments and reports were required and by when. The significant scheduling efforts made to accommodate the needs of Community-Based Social Work was also recognised.

PBSW were confident they consistently provided accurate, fit-for-purpose assessments to inform defensible decision making. However, our review found that FGTR secondary assurance processes suggested this was not always the case.

When there were delays, these related to the impact of competing PBSW workload demands and their capacity to deliver within expected timescales. On such occasions, ICM and RMT coordinators pursued the documents they required of PBSW for SPS requirements. At times contributing to interprofessional

tensions.

PBSW team managers were permanent members of all RMTs. PBSW would, on occasion, attend RMT where the needs of the individual case required.

The relationship and contribution of staff attending RMT meetings was viewed positively across establishments.

Collaboration between PBSW, psychology staff and ICM teams was described positively and recognised as a strength.

PBSW noted that effective information sharing was achieved through establishing positive professional relationships with an individual's personal officer. This worked particularly well where the personal officer knew the prisoners well. Often this was not the case or was undermined when personal officers and residential staff did not recognise the importance of their role and knowledge to informing assessments.

As noted earlier, PBSW shared the view that personal officers were largely disconnected from ICM and lacked knowledge of the RMT processes. There was recognition that multiagency training on the functioning of RMT offered opportunities for staff to develop a shared understanding of the processes and their respective roles.

PBSW noted that the length of time for progressing applications for FGTR was a source of frustration for prisoners and staff alike, contributing to significant delays in case management, however, significant improvements in processing times have been achieved in 2023 and 2024.

Where prisoners transferred between establishments to move to less restrictive environments or to access programmes, the transfer of information and dossiers was not always efficient. There is a clear need for PBSW to move away from paperbased records to using digital platforms for transferring documents between prisons.

Prisoners often lacked awareness of how assessments may change when they move to less restrictive environments. As a result, there was often a perception that social work assessments were a barrier to release. There was a need for risk to be better explained and articulated to individuals by all relevant staff throughout their sentence, in ICM and at RMT.

PBSW reported a variety of opinion with regards to the completion of Risk of Serious Harm assessments. Views often differed across PBSW in different establishments and between PBSW and CBSW. The main issue related to the tension between the SPS and PBSW as to when a Risk of Serious Harm assessment is required.

PBSW reported challenges in ensuring a shared understanding of risk assessments. It was frequently noted that SPS processes demand an overall risk level that does not give the same overview as the more detailed articulation of risk and need that LS/CMI provides.

Enhanced ICM for longterm prisoners was well established within PBSW. The routine coordination of ICM allowed PBSW services to make effective contributions to case management.

PBSW and CBSW consistently attended and contributed to the ICM.

While the experience of ICM case conferences was largely positive, PBSW often experienced the timing as overly process-driven rather than based on needs or risk. A more targeted approach to case conferences was viewed as offering more purpose and in supporting more consistent and meaningful engagement from all parties.

There were local examples of flexibility in arrangements whereby ICM coordinators aligned prerelease case conferences with preparation of parole dossiers. This usefully contributed to continuity of information provision and planning between PBSW and prison staff. These locally arranged solutions supported more effective and cooperative interprofessional working to meet the needs of prisoners.

PBSW relationships with both community and prison-based healthcare services were less well developed. This was a particular difficulty for prisoners with significant health and care needs requiring transitional care on release. PBSW also reported barriers to effective preparation for release when there was a need for a community mental health service.

The exponential rise in the number of Parole Board oral hearings was a significant challenge for all PBSW teams in terms of the time and commitment required to prepare and attend. There were occasions where PBSW staff had a negative experience within hearings which were described as “adversarial” and as contributing to further delay for individual prisoners. PBSW raised concerns that such hearings contributed to a negative impact on the relationship between the social worker and the individual prisoner.

PBSW

Relevant Recommendations

- SPS and partners should ensure that PBSW teams are fully involved with the development of any multiagency training on the functioning of the RMT.
- SPS should work collaboratively with Local Authorities to carry out an evaluation of the allocated PBSW resources to ensure that PBSW have sufficient capacity to meet statutory obligations commensurate with the population demographics.
- PBSW should work collaboratively with SPS to ensure that Risk Assessments are completed at an early enough stage of a longterm prisoner’s sentence to help inform case management planning.
- PBSW should ensure that prisoners are fully informed about the outcomes of risk assessments.
- There is a clear need for PBSW to move away from paperbased records to using digital platforms for transferring documents between prisons.

26. Scottish Prison Service (SPS) Learning and Development (ICM and RMT)

SPS supports learning and development in various ways. The Scottish Prison Service College (SPSC) offers a broad spectrum of learning facilities and staff training; facilitates elearning; supports the local staff training network; and helps staff and managers access external sources of learning and development.

SPSC use National Occupational Standards and Custodial Care Standards as the primary point of reference in the design and development of their products.

National Occupational Standards define individual competence in performance terms. They are concerned with what people can do, not just what they know. National Occupational Standards specify the standards of performance that people are expected to achieve in their work, and the knowledge and skills they need to perform effectively. The standards have been agreed by the Scottish Qualifications Authority.

SPS see learning and development as a systematic process to enhance an employee's skills, knowledge, and competency, resulting in better performance in a work setting.

The goal of learning and development is to develop or change the behaviour of individuals or groups for the better, sharing knowledge and insights that enable them to do their work better, or cultivate attitudes that help them perform better.

SPS training is aimed at teaching immediately applicable knowledge, skills, competencies, and behaviours to be used in a specific job. Training may focus on delivering better performance in the current role or to overcome future changes. Training has specific goals of improving [capability](#), [capacity](#), [productivity](#) and [performance](#).

This outline provides a solid platform for SPSC to work from. They have subject matter experts in all areas and enthusiastic and professional staff trainers in place. However, there is evidently a significant gap in the range of training products that are available to prisons by way of ensuring that prison staff are adequately equipped with the knowledge, skills and behaviours required to work within the ICM and RMT sphere.

Learning and Development - ICM for Prison Officers

SPSC facilitates a Residential Officer Foundation Programme intended to provide staff training in the most common and critical requirements of the residential officer role. This is a mandatory requirement for all new prison officers who are promoted from Operations Officer to Residential or those new prison officers who come into the organisation through an external recruitment pathway.

One of the overarching Learning Outcomes for the Residential Officer Foundation Programme states that Learners will be able to assess and respond to the assets, needs, and risks of individuals in custody to support their case management and personal development.

Eleven distinct training products are delivered under the umbrella of this Learning Outcome, which focus, as detailed above, on developing residential officers to engage with and provide support to individuals through the ICM process, in their role as personal officers.

The ICM Core Training Package is designed to ensure that learners gain an awareness of the Risk Assessment process, the RMT function and the progression pathways.

The ICM product is approximately 11 hours long and is delivered over a day and a half with 11 learning outcomes that do cover the spectrum of ICM and RMT.

This ICM Core Training Package is also available to experienced prison officers as part of the SPSC Prospectus. However, SPSC records show that this package has not been delivered in the last five years.

Learning and Development - ICM and RMT for Senior Management Teams

SPSC previously delivered ICM Chairperson training products and RMT training products, but these were archived in 2017-18.

The only other training product that is being delivered now is during the Middle Management Induction programme that is delivered by the SPSC Leadership Team to both internally and externally appointed Operational Unit Managers. For external delegates, this involves a six-to-eight-week induction programme that includes a session on ICM and Prisoner Progression.

Learning and Development (ICM and RMT) - Operational Reality

The review team found that very few personal officers, ICM staff, First Line Managers or Deputy Governors spoke of having any type of formal training to undertake their ICM or RMT role and associated responsibilities. It was probably one of the most common complaints from staff at all levels and in all prisons. SPS staff were very much of the view that SPS do not provide the necessary training to undertake key aspects of their role when a new policy or process comes into operation.

Prison officers in particular were very vocal in their assertion that SPS never provide good quality training to support and underpin the introduction of new policies and new ways of working.

The overwhelming majority of personal officers, ICM staff, First Line Managers and Deputy Governors referred to being self-taught. In the main this was through self-directed learning, that is shadowing, observing, speaking to peers, taking direction from managers, practising, and undertaking some reflective practice.

In principle, these methods of learning and development are tried and tested. However, they are heavily reliant on people learning from people who are knowledgeable, skilled, and competent. Unfortunately, we heard from members of prison staff, at all levels, that this was not always the case.

One good example of this came from a personal officer focus group, where a prison officer who had been working in ICM previously, was now supporting residential colleagues to undertake their ICM duties.

"I've learned some things from you guys this morning (the review team) that I didn't even know about, and I was working in ICM. Some of the things that you've brought into the discussion today have unsettled me, things that absolutely contradict some of the things that I've been doing and things that I've been saying to other prison officers over the course of the last couple of years ... I can't believe it, but that's what I was told and how I was shown how to do it when I took over in ICM." (Personal Officer Quote 2022)

With regards to the SPS Core-to-Role training products, First Line Managers, and some members of senior management teams questioned the value of the current arrangements and asked whether or not that resource would be better placed in supporting personal officers to undertake accredited learning.

"I don't think that SPS want to train staff to be a good personal officer. There's a culture of 'learning from each other' that's been around the SPS for a quarter of a century. SPS are just making sure that you're trained in areas that bring about an element of corporate risk... the 'core-to-role' training ... health and safety, fire safety, Talk to Me, professional boundaries, control and restraint, etc ... There's nothing in the core-to-role training about being a competent personal officer." (Senior Management Team Quote 2023)

“I don’t understand how the SPS haven’t made the ICM Core Training part of the Core-to-Role suite of programmes for personal officers? ... that would surely provide absolute clarity around roles and responsibilities.” (First Line Manager Quote 2022)

Prison officers who had been promoted from operations officer to residential officer and prison officers who had been recruited through the Residential Officer Foundation Programme external pathway, gave a critical account of their training at SPSC.

The vast majority of staff felt like the ICM module was very light touch and certainly did not equip them with the knowledge and skills required to undertake their role as a personal officer. They certainly did not feel that the training went into any great depth or indeed provide true substance.

“The ICM module was ok, but it really didn’t give you much insight into the reality of how ICM is delivered day-to-day in a prison. You just get a very highlevel overview of what ICM and RMT are and some things about how they should function. I found it difficult to get my head around it ... and now that I’m working in a prison there are things that we do here that wasn’t in the training and there are things in the training that we don’t do here.” (Personal Officer Quote 2023)

The lack of strategic oversight and scrutiny on how ICM and RMT learning is being facilitated and transferred back into the workplace, was particularly disconcerting for the review team.

SPS Learning and Development - ICM and RMT

Relevant Recommendations

- SPS should commission a full review of the Training, Learning and Development opportunities that are being made available to staff working within the ICM and RMT sphere and ensure more comprehensive training packages are made available.
- As part of this review, SPS should consider which of these Training, Learning and Development opportunities should form part of the SPS Core-to-Role training activities and whether they need regular refreshment.

27. Overall Conclusions

This review was informed by the views of over 500 prison staff and over 600 prisoners, providing a comprehensive evidence base. They confirmed what multiple inspection reports and Independent Prison Monitor findings have suggested for some time – the progression system simply is not working. The current system is not achieving its stated aims, with for example, unacceptable delays for many prisoners in accessing programmes that they have been assessed as needing to manage risk effectively and which are therefore currently essential to their prospects at a Parole Board hearing. Too many times we heard of prisoners being told by the Parole Board that they needed to go on a programme before their next Parole Board hearing, but then being denied the opportunity to do so timeously.

At almost every stage of the process, prisoners felt frustrated about the length of time it takes to progress to the National Top End or the Open Estate. They also feel frustrated by not being given clear information and feedback on what they need to do to progress and when things will happen. Worryingly, some personal officers were also not clear or sometimes actually wrong in their knowledge.

The deployment of Personal Officers in the ICM process was inconsistent in delivering an effective and efficient mechanism to support progression. The SPS either needs to invest in more meaningful and comprehensive training, support and supervision for personal officers and ensure they are given adequate time to perform the role and contribute effectively to the ICM process or consider an alternative model.

Any case management system should be subject to both quantitative and qualitative standards and/or key performance indicators. There also needs to be a system in place to ensure all establishments follow the agreed processes rigorously and monitor progress against set timescales robustly to ensure timelines are complied with.

Communication came out as a clear issue at all levels. The need for effective communication and feedback mechanisms at every part of the prisoner's journey through custody is essential to its effectiveness. Staff and prisoners should be clear about the individual's person-centred plan and where they are in the process.

The function and purpose of the Risk Management Teams and how risk assessment tools such as the Level of Service/Case Management Inventory (LS/CMI) are maximised should be reviewed by the SPS and its partners.

The findings and conclusions can be brigaded into five clear areas.

- 1. Need for review.** Existing processes and functions are not delivering an effective service. A multiagency refresh and review, taking account of lived experience, is required to ensure effective service delivery, equality of access and allow the agencies to optimise the use of the available resources.
- 2. Resourcing.** Staff at all levels evidenced a lack of knowledge, and concomitant ability. To be effective, clear job descriptions for all roles including the RMT, with allocated time, training, professional support, and supervision to be competent and confident needs to be developed. Alternatives to the current resourcing model for both programme delivery and personal officer also need to be considered.

3. Accountability, Governance and Assurance. The perceived lack of assurance delivered an inconsistent delivery and for prisoners it lacked transparency and credibility. The system requires the development of qualitative and quantitative standards, which are subject to ongoing scrutiny and revision underpinned by a collaborative approach. Equally, SPS HQ should ensure that all establishments follow the processes laid down in policy and practice documents to increase policy coherence and practice standards across the whole estate.

4. Communication. At all levels, communication and information to staff, prisoners and families is lacking. There needs to be an evidentially effective communication structure, and as a minimum for prisoners, a copy of their individual person-centred plan. For example, PBSW should, on completion of a LS/CMI discuss the outcome of that assessment and evidence that the person has fully understood the risk and needs captured within the report.

5. Estate. The spaces in the Open Estate and the Community Integration Units arguably evidences the ineffectiveness of the processes. A strategy to address the blockages and optimise the capacity of the facilities available is required. In addition, given the aging population, efforts need to be made to ensure those with protected characteristics can access conditions of reduced restriction.

The current system is failing prisoners who rightly wish to progress in a timely manner. Nor does it help the Parole Board in its difficult decision making, or indeed victims of crime, if a person's offending behaviours and criminological tendencies are not addressed appropriately during their period of custody. This report highlights a large number of deficiencies in the current system that need tackled, including some areas where the SPS with its partner organisations must either strengthen existing processes or consider alternative models. In making that suggestion, we nevertheless believe that the majority of our recommendations will not be contentious, and we hope that implementation of these can be achieved speedily, for the benefit of everyone with an interest in a more effective progression system.

28. Recommendations

SPS Policy and Strategy

- SPS should provide clear strategic oversight of ICM and create a new positive vision for ICM delivery that demonstrates how it underpins the successful delivery of the progression pathways.
- SPS should review and refresh the ICM Practice Guidance Manual 2007 and dovetail this document with the SPS Risk Management Progression and Temporary Release Guidance and the Supplementary Guidance for Risk Management Teams, by way of creating a single policy.
- SPS should introduce a series of Key Performance Indicators and assurance processes that provide a focus for strategic and operational improvement in both case management and risk management related activity.
- SPS should commission a root-and-branch review of the PRL standards for ICM and RMT.

Progression Pathways

- SPS should have a communication strategy to demonstrate that there are effective arrangements in place to inform prison management, prison staff, and prisoners on the agreed minimum qualifying criteria that prisoners must satisfy to qualify for progression to the Open Estate.
- SPS should demonstrate that Personal Officers are engaged and proactive in seeking out suitable longterm prisoners and shortterm prisoners for progression to maximise opportunities for all prisoners.
- A system of assurance should be developed to ensure those who meet the criteria have been assessed and progressed within the expected timeframe.

Prisoner Supervision System

- SPS should complete a full and comprehensive review of the Prisoner Supervision System arrangements.

Integrated Case Management (ICM) and Core Screen Assessment (CSA)

- SPS should standardise the Core Screen Assessment document as well as the arrangements for gathering early information on prisoners' risks and needs.
- Management, staff, and prisoners need to be clear on the aims and objectives of the CSA, and how it provides a starting point for meeting prisoners' needs.

Community Integration Planning

- SPS should look at creating the space and time within operational and regime planning that facilitates regular and structured ICM activity and demonstrate the effective impact of this.
- SPS should ensure that there are robust arrangements in place to inform prison staff and prisoners on the aims and objectives of the CIP and how it provides the interface and direct link with ICM.

ICM Case Conference

- SPS should have a robust assurance process in place to ensure that “Standard ICM” and “Enhanced ICM” are being facilitated consistently across the prison estate.
- SPS should have a communication strategy that demonstrates that prisoners are provided with comprehensive information about Standard ICM and Enhanced ICM arrangements and regular updates on their individual progress and that each prisoner has a unique person-centred plan which effectively reflects their ICM activity and progress.
- PBSW should comply with the LS/CMI guidance and complete assessments within six months of admission.

Personal Officer Role and Associated Responsibilities

- SPS should consider whether the Personal Officer Scheme is a model best suited to the full estate.
- SPS should ensure that Personal Officers have clearly articulated and coherent job descriptions that adequately describe their role.
- SPS should demonstrate that Personal Officers have appropriate support and supervision from management and access to ongoing learning to remain effective in their role.

First Line Manager

- SPS should ensure that First Line Managers have clearly articulated and coherent job descriptions that adequately describe their role in leading, supporting, and monitoring ICM processes and procedures.

ICM Team Role and Associated Responsibilities

- SPS should rapidly review and standardise the responsibilities and working arrangements of ICM teams across the estate.
- SPS should demonstrate that ICM teams - and particularly managers - are effectively supported in their roles and that there is adequate resilience in such teams.

Integrated Case Management (ICM) - Supplementary Resources

- SPS should undertake a full and timebound evaluation of the Case Management Team and Outreach approaches, with a view to making some informed decisions about ICM resourcing going forward.

OBP

- SPS and partners should undertake a review of the OBP strategy with a view to introducing alternative approaches and pathways to ensure they can evidence a reduction in risk within the progression window.
- SPS must adequately resource the delivery of programmes to ensure no prisoner is prevented from progressing at their earliest opportunity or disadvantaged at Parole Board hearings through delays in accessing programmes. SPS should consider whether a peripatetic approach to the delivery of programmes would speed up delivery and prevent individuals from having to transfer to a different prison when they are settled in a prison near their family. If prison transfers are essential to access programmes and the performance of the prison transport contractor delays transfers taking place, alternative solutions must be found.
- SPS should consider the possibility of either outsourcing the delivery of OBP or using alternative resources.
- SPS should harness the use of technology as an aid to improving prisoner access to OBP, including digital solutions.

Risk Management Team - Role and Associated Responsibilities

- SPS should invite the subject of the RMT to the meetings as a default position and clearly record the reasons if the subject is not invited.
- SPS should ensure that officers who have a knowledgeable relationship with the prisoner should attend and make a positive contribution to the RMT on a consistent basis.
- SPS should ensure with RMT cases, where there is MAPPA involvement, that the Police are routinely in attendance.
- SPS should ensure that RMT Chairs are adequately trained and supported to undertake this role and have a robust working knowledge of the FRAME principles on effective risk assessment and risk management planning.
- SPS and partners should work together to improve the quality of the information contained in the Annex A paperwork when considering shortterm prisoners at the RMT.
- SPS and partners should ensure a shared understanding of the use of risk assessment tools, what they are used for, what the findings mean when completed and how the findings are reported and summarised in the RMT, etc.
- SPS and partners should ensure that the full Level of Service/Case Management Inventory (LS/CMI) Risk Assessment, together with any other risk assessments carried out, should be considered in full at the RMT.
- SPS and RMT partners should have a shared and evidenced understanding of what an effective Risk Management Plan consists of as defined in the FRAME document.
- SPS must demonstrate that in cases where the RMT are considering OLR cases, that the Chair ensures that all attendees have appropriate access to the current Risk Management Plan.
- SPS and partners must demonstrate that when compiling a "community access risk assessment" and a "community risk management plan", there is direct contact with the prisoner concerned in order that all relevant information is collated.
- SPS and partners must ensure that the RMT Chairs update risk assessments in response to a significant change in circumstances.

RMT Referral Form (Annex A)

- SPS should streamline the RMT Referral paperwork to avoid repetition of information and improve clarity of purpose.
- SPS should ensure that there are effective arrangements in place to inform prison staff and prisoners on the purpose of the RMT Referral and how it is used to assess suitability for progression.

First Grant of Temporary Release (FGTR)

- SPS should provide prisoners with a copy of the Annex A application and give detailed information on the purpose, the structure, and the content of the FGTR application.
- Prisoners should be told when their FGTR has been submitted and kept informed of progress.
- SPS should continue to ensure that the FGTR process provides speedier decisions about a life sentence prisoner's suitability to access the community.

National Top End (NTE)

- SPS should demonstrate that Personal Officers working in the NTE have access to the most comprehensive training packages on the role of a Personal Officer and appropriate support and guidance to undertake their role.
- The SPS should improve the quality of the regime and accommodation available in the NTE so it acts as a further incentive towards progression.
- The SPS should develop greater capacity for NTE to meet the need.

Open Estate

- SPS should demonstrate that all the personal officers in the Open Estate get access to comprehensive training packages.
- The SPS should improve the quality of accommodation at the Open Estate to further incentivise and reward good behaviour and constructive progression related activity.
- SPS should demonstrate ongoing practice and policy development to ensure that the Open Estate is always used to its fullest capacity.

CIU

- SPS should conduct a rapid review and publish the purpose, remit, and operating philosophy of the CIU with a view to maximising the usage of this valuable resource and consider whether they should be reconfigured as part of the NTE estate.

SPS Learning and Development - ICM and RMT

- SPS should commission a full review of the Training, Learning and Development opportunities that are being made available to staff working within the ICM and RMT sphere and ensure more comprehensive training packages are made available.
- As part of this review, SPS should consider which of these Training, Learning and Development opportunities should form part of the SPS Core to Role training activities and whether they need regular refreshment.

PBSW

Relevant Recommendations

- SPS and partners should ensure that PBSW teams are fully involved with the development of any multiagency training on the functioning of the RMT.
- SPS should work collaboratively with Local Authorities to carry out an evaluation of the allocated PBSW resources to ensure that PBSW have sufficient capacity to meet statutory obligations commensurate with the population demographics.
- PBSW should work collaboratively with SPS to ensure that Risk Assessments are completed at an early enough stage of a longterm prisoner's sentence to help inform case management planning.
- PBSW should ensure that prisoners are fully informed about the outcomes of risk assessments.
- There is a clear need for PBSW to move away from paperbased records to using digital platforms for transferring documents between prisons.

SPS Learning and Development - ICM and RMT

Relevant Recommendations

- SPS should commission a full review of the Training, Learning and Development opportunities that are being made available to staff working within the ICM and RMT sphere and ensure more comprehensive training packages are made available.
- As part of this review, SPS should consider which of these Training, Learning and Development opportunities should form part of the SPS Core-to-Role training activities and whether they need regular refreshment.

29. Glossary

CBSW	Community-Based Social Work	RMA	Risk Management Authority
CIP	Community Integration Plan	RMP	Risk Management Plan
CIU	Community Integration Unit	RMT	Risk Management Team
CSA	Core Screen Assessment	SMT	Senior Management Team
FGTR	First Grant of Temporary Release	SPS	Scottish Prison Service
FRAME	Framework for Risk Assessment, Management and Evaluation	SPSC	Scottish Prison Service College
HMCIPS	His Majesty's Chief Inspector of Prisons for Scotland	SPS HQ	Scottish Prison Services Headquarters
HMP	His Majesty's Prison		
ICM	Integrated Case Management		
ICM CC	Integrated Case Management Case Conference		
ICM CIP	Integrated Case Management - Community Integration Plan		
ICM CSA	Integrated Case Management - Core Screen Assessment		
LLO/ERLO	Lifer Liaison Officer/Early Release Liaison Officer		
LS/CMI	Level of Service/Case Management Inventory		
MAPPA	MultiAgency Public Protection Arrangements		
NTE	National Top End		
OBP	Offending Behaviour Programme		
OLR	Order for Lifelong Restriction		
PBSW	Prison-Based Social Work		
PRL	Prisons Resource Library		
PR2	SPS electronic prisoner record system		



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