



National Offender
Management Service

National Security Framework			Ref: NSF 15.5
VETTING FUNCTION			
SECURITY VETTING – USING OFFENDERS AS MENTORS IN THE COMMUNITY AND IN CUSTODY			
This Instruction applies to :		Reference :	
NOMS Headquarters Prisons Providers of Probation Services		AI 26/2014 PSI 39/2014 PI 55/2014	
Issue Date	Effective Date	Expiry Date	
23 September 2014	23 September 2014	22 September 2018	
Issued on the authority of	NOMS Agency Board		
For action by	<p>All staff responsible for the development and publication of policy and instructions</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> NOMS HQ <input checked="" type="checkbox"/> National Probation Service (NPS) <input checked="" type="checkbox"/> Public Sector Prisons <input checked="" type="checkbox"/> Contracted Prisons* <input checked="" type="checkbox"/> Governors <input checked="" type="checkbox"/> Heads of Groups <input checked="" type="checkbox"/> Community Rehabilitation Companies (CRCs) <input checked="" type="checkbox"/> NOMS Rehabilitation Contract Services Team <input checked="" type="checkbox"/> Other Providers of Probation & Community Services <p><i>* If this box is marked, then in this document the term Governor also applies to Directors of Contracted Prisons</i></p>		
Instruction type	Service Improvement		
For information	All HQ, Prison staff, NPS staff, CRCs Contractors and voluntary workers.		
Provide a summary of the policy aim and the reason for its development	<i>This PSI provides an explanation of the policy and procedures that must be followed for the security vetting of all offenders serving their sentence, whether in custody, on a community or suspended sentence order; or on a licence post release from custody. It will also include any Post Sentence Supervision period requiring Standard Plus vetting.</i>		
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Associated documents	<p>Extant Target Operating Model PSI 27/2014 – AI 20/2014 – PI 23/2014 - Security Vetting Additional Risk Criteria for Ex-Offenders Working in Prison and Community Settings</p>		

[PSI 07/2014 - AI 05/2014 - PI 03/2014 Security Vetting](#)
[PSI 38/2013 – AI 16/2013 Reconsideration of central vetting decisions](#)
[PSI 27/2013 – AI 11/2013 Data Sharing Policy](#)
[PSI 24/2013 Exclusions of personnel on grounds of misconduct](#)
PI 31/2014 Authorisation as Officer of a Provider of Probation Services (Yet to be published)
[PSO 9020 Data Protection Act 1998; The Freedom of Information Act 2000; Environmental Regulations 2004](#)

Replaces the following documents which are hereby cancelled: None

Audit/monitoring: The Director of NPS in England, The Director of NOMS in Wales and NOMS Director of Rehabilitation Services for CRCs will monitor compliance with the mandatory requirements in this instruction.

NOMS contract management will hold providers to account for delivery of mandated instructions as required in the contract.

NOMS Deputy Directors of Custody and Controllers will monitor compliance with the mandatory actions set out in this Instruction.

Notes: *All Mandatory Actions throughout this instruction are in italics and must be strictly adhered to.*

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1. EXECUTIVE SUMMARY

Background

- 1.1 This instruction contains guidance and mandatory direction to be followed by Governors/Directors, Senior Managers in National Probation Service (NPS), Community Rehabilitation Companies (CRCs) and other providers of probation services. The instruction deals with the security vetting of offenders identified for potential mentoring roles in prison or community settings who are likely to fail the usual centralised vetting procedures due to their current and previous offending history. This instruction makes provision for them to be considered under a time limited vetting category called either 'Standard Plus - Prison' or 'Standard Plus- Community' dependant upon the primary location of the activity they will be undertaking. This can be run concurrently with normal vetting procedures. Governors and Directors retain the discretion to refuse access to a prison where security concerns about an individual are identified even where Standard Plus – Community clearance has been approved.
- 1.2 Offenders are defined as individuals who are serving their sentence, whether in custody, on a community or suspended sentence order; or on a licence post release from custody. It will also include any Post Sentence Supervision period.
- 1.3 It is acknowledged that some offenders, who are serving sentences for particular specified offences where the underlying risk posed to safety and security in a custodial or community setting is judged to remain significant, will be excluded from Standard Plus and only in exceptional circumstances will such a decision be reviewed. Guidance on the suitability for Standard Plus is given at [Annex E](#).
- 1.4 This instruction should also be read in conjunction with [PSI 07/2014 - AI 05/2014 - PI 03/2014 Security Vetting](#)

Desired Outcomes

- Greater flexibility for those providers of probation services engaged with reducing re-offending and rehabilitative activities to use offender mentors within a custodial or community setting to work with current offenders.
- Provide a policy framework which ensures that NPS, CRCs and other providers of probation services comply with relevant legislation and all offender mentors undergo consistent and appropriate security vetting checks.
- Provide assurance to the NOMS organisation that security vetting checks have been undertaken on all offenders engaged on mentoring and other rehabilitation activities in both custodial and probation community settings.
- Ensure all Standard Plus vetting clearances in the custodial and community setting are logged centrally at Shared Services.
- Ensure that accountability for the suitability of offender mentors is approved by Governor/Director, a Deputy Director for NPS and the Chief Executive of CRCs.

Policy Principles

- Standard Plus vetting is now split between those rehabilitation roles in a custodial setting and those relating to the provision of probation services, exclusively or almost exclusively in the community.

- Custody based roles will be called Standard Plus – Prison and community based roles, Standard Plus – Community.
- Deputy Directors for NPS and Chief Executives of CRCs are accountable for decisions on the suitability of offender mentors under Standard Plus – Community.
- Governors/Directors retain ultimate responsibility for decisions on the entry of offender mentors put forward by providers for Standard Plus – Prison into a prison. They are also responsible for decisions on those whose mentoring role is mainly undertaken in the community setting under Standard Plus – Community but who wish to enter a prison.

Mandatory Actions

1.5 *All mandatory actions in this instruction are indicated in italics, unless specified otherwise.*

Prisons

1.6 *DDCs, Governors/Directors must ensure that all relevant staff are aware of the mandatory actions in sections 2, 3, 4, 5, 6 & Annexes A, B, C, E and that the policy is implemented and adhered to*

Probation

1.7 *NPS Deputy Directors, Deputy Director of NOMS in Wales NPS and Partnerships, Chief Executives within the CRCs and providers of other probation services must ensure that all relevant staff are aware of the mandatory actions in sections 2, 3, 4, 5, 6 & Annexes D, E, F, G, H and that the policy is implemented and adhered to.*

1.8 It is the responsibility of the suppliers to ensure that the vetting of offender mentors remains up to date. *An audit trail must be retained for all vetting cases.* Rehabilitation Contract Services Teams and associated contract managers will ensure compliance with the mandatory requirements through contract management arrangements.

Resource Implications

1.9 Prisons will need to ensure that sufficient resources are available for carrying out the risk assessment and the supervision of offender mentors granted Standard Plus. NPS, CRCs and other providers of probation services, will also need to have similar arrangements in place to manage the offender mentors on licence and post-sentence supervision working for them.

(Signed)

Digby Griffith,
Director of National Operational Services, NOMS.

2. INTRODUCTION

- 2.1 This instruction requires each prison establishment, NPS location, CRCs and other providers of probation services to have in place a process for considering offenders for a limited and time bound 'Standard Plus' security vetting clearance to enable them to undertake mentoring roles. The policy scope also covers those offenders undertaking mentoring roles for CRCs and their subcontractors contracted to support the provision of probation services.
- 2.2 Standard Plus vetting is split between those rehabilitation roles in a custodial setting and those undertaking mentoring roles for a provider of probation services exclusively or almost exclusively in the community. Roles in the custodial setting will fall under the Standard Plus – Prison vetting category and community based roles under Standard Plus – Community. [Annex I](#) sets out the roles and responsibilities for both processes.
- 2.3 Standard Plus is for offenders who will be engaged in delivering rehabilitative and mentoring activities who would not usually be successful under the normal security vetting procedures because of their current and previous convictions. *For those undertaking mentoring roles in prisons on a frequent basis, the Standard Plus – Prison clearance is subject to a risk assessment, limited to one specific prison location and must be reviewed annually to ensure that any underlying risks are identified and managed accordingly.* For community based roles the Standard Plus – Community clearance will be national unless there are compelling reasons to restrict its scope in particular cases which will be logged. It will also expire after 1 year and be subject to regular review and renewal in the same way.
- 2.4 It is the responsibility of either the prison, NPS or the CRC provider to request Standard Plus is renewed for another year, by using the template forms at [Annex C](#) or [Annex H](#) to notify the Approvals and Compliance Team (ACT). Those sponsoring the offender mentor will make an evaluation of their suitability to continue in their job role, prior to requesting the renewal. The ACT will check if there are any changes of circumstances that will affect their continued suitability for the mentoring role.
- 2.5 NOMS Rehabilitation Contract Services Team and other associated contract managers will undertake appropriate audit assurance checks for compliance purposes on the application of the policy as part of their contract management responsibility.
- 2.6 It is at the discretion of the Governor/Director to evaluate and decide the suitability of applications for Standard Plus for entry to their prison. Where the mentoring role is mainly focused in a community setting, access to a prison on an infrequent basis will also be at the discretion of the Governor.
- 2.7 CRCs and associated providers of probation services should not assume that because they have successfully nominated an individual for Standard Plus – Prison at one location he/she will automatically be accepted into others. *Where a service provider covers more than one location and wishes an individual to have access across a range of sites they must make a separate application to each one.* This is on the basis that each prison needs to take account of the specific risks relating to their operation.
- 2.8 Individual CRCs will need to decide if the security vetting process is undertaken in-house, for which guidance is provided in the Annexes and associated policies, or through the use of NOMS Shared Services. It is the responsibility of senior CRC managers to ensure the policies outlined within this instruction are monitored and adhered to. Where CRC staff seek entry to a prison on a regular basis their security vetting will need to be verified by them presenting documentary evidence in advance or by the prison verifying through Shared Services.

- 2.9 *For community based activities outside prisons offenders deemed suitable to provide mentoring must be evaluated, approved and supervised by NPS or CRCs as appropriate. Senior NPS or CRC managers must ensure that any offender mentors engaged directly or through their sub contracted providers are vetted in accordance with [PSI 07/2014 - AI 05/2014 - PI 03/2014 Security Vetting](#) and will be signed off and approved in all cases by a senior manager in the CRC. A full audit trail must be retained by the CRC.*
- 2.10 *All Standard Plus vetting clearances in a community based setting must be logged by the NPS or CRC and the record retained for audit purposes.*

Standard Plus – Prison

- 2.11 Standard Plus -Prison is only for offender mentors who will provide services to other offenders in a custodial setting. Governors will maintain ultimate authority in relation to decisions made concerning individual offender mentor's suitability to undertake mentoring roles in their prison establishment. Further information on the consideration of suitability is available in [Annex E](#).

Standard Plus – Community

- 2.12 Standard Plus includes offenders undertaking mentoring roles in the community in association with NPS, CRCs and other providers of probation services. These roles will be community based with limited custodial activity. A decision on the suitability of an offender to mentor other offenders in the community will be subject to the same considerations as all other vetting cases. *Each case must be signed off for approval by a senior manager within the NPS or CRC.* In this way direct accountability is ensured. It is accepted that not all applications submitted for a standard plus clearance will be successful.
- 2.13 Part of the changes in the delivery of probation services, specifies that CRCs or other providers of probation services will be given the choice of using the central vetting process or undertaking this process themselves. This will require them to take full responsibility and be fully accountable for the security vetting of all staff and workers within the CRC and adhere fully with the vetting requirements specified within this policy and the Security Vetting policy. This will enable CRCs to assess the suitability of offenders for Standard Plus – Community.
- 2.14 However, when offenders also seek to provide mentoring activities in a custodial setting on a regular basis, they will also be subject to prison security vetting checks. They will therefore be considered for Standard Plus – Prison for the specific location in line with the usual approach. Governors retain ultimate authority to approve or refuse applicants where they are deemed to pose a potential risk to the safety and security of the prison establishment in all circumstances.
- 2.15 In cases held by the NPS, the NOMS central vetting process will be used for offenders who may fail the normal security and vetting process. Advice on an offender's suitability for Standard Plus vetting will be given by the Approvals and Compliance Team. NOMS Deputy Directors, the Director of NPS in England and Director of NOMS in Wales and NOMS Director of Rehabilitation Services for CRCs will maintain the ultimate authority in relation to decisions made concerning individual offenders suitability to undertake mentoring roles in their divisions and Wales. *An audit trail must be maintained for accountability purposes for all cases.*

Expiry of Standard Plus

- 2.16 All Standard Plus clearances will expire after one year. Offender mentors cannot continue to undertake a mentoring role in a custodial or community setting without renewed vetting clearance. NOMS Shared Services will close the vetting record unless the prison, CRC or

NPS confirms that the clearance is still required after review. This can be confirmed by e-mail in the format outlined at [Annex C](#) for prison based programmes based in the custodial setting and [Annex H](#) for community based programmes. *Prisons, business units or CRCs and NPS must notify the Approvals and Compliance Team (ACT) of any changes in the offender mentor's circumstances, for example if an offender mentor or resigns from the programme or activity, the contract or service being provided is completed or terminated, or, if a particular offender mentor has been excluded due to non compliance with local security arrangements.* The Standard Plus vetting level will be closed by ACT via NOMS Shared Services in each case.

- 2.17 *If an offender mentor is identified as continuing to provide mentoring activities beyond the expiry date of their Standard Plus clearance they must be removed immediately from their activities until a new clearance has been approved. Governors/Directors, NPS senior managers and Chief Executives of CRCs will be accountable for failures to adhere fully to the policy.*

3. OBJECTIVES, SCOPE AND LIMITATIONS OF THE POLICY

- 3.1 The main objective of the policy remains to provide mentoring opportunities for offenders defined as those still serving their sentence whether in custody on a Community or Suspended Sentence order or those subject to a Post-Sentence Supervision period to provide mentoring services to other offenders. These individuals will be considered for mentoring roles both within custodial and community settings, but only on the basis of a sufficiently rigorous screening procedure to ensure safety and security is not compromised.
- 3.2 This is not a policy that can be applied generically to all applicants who have previous criminal convictions. It is limited to the offenders seeking to act as mentors to other offenders in association with the CRCs, the NPS or other providers of probation services, whether in a custodial or community setting. Offenders and ex-offenders seeking to provide *other services or fulfil other roles must be managed through the normal security vetting procedure as outlined within [PSI 07/2014 - AI 05/2014 - PI 03/2014 Security Vetting](#).*

The High Security and Young People's Estates

- 3.3 It will not always be possible to facilitate Standard Plus – Prison within the High Security Estate (HSE) where additional security measures may need to be in place or, equally, in the Young People's estate where there will be additional limitations and welfare measures to meet the specific vetting requirements for working with children and young people.

Qualification Criteria and Mandatory Safeguards on Suitability for Mentoring Roles

- 3.4 *NPS, CRCs and other providers of probation services must comply with the following mandatory safeguards in order to assess an offenders' suitability to be a mentor.*
- *the agreement to peer mentor an offender must be voluntary and not a condition of their licence, Post Sentence Supervision period or Community/Suspended Sentence Order;*
 - *An offender who is currently serving his licence or Post-Sentence Supervision period must obtain permission from his Supervising Officer/Supervisor before undertaking a mentoring role, whether that role is paid or in a voluntary capacity. Such permission is a standard licence condition and post-sentence supervision requirement regarding employment;*
 - *The provider of probation services must ensure that any offenders engaged to undertake the role of mentors are vetted in accordance with agreed policy on vetting, which includes an assessment of their suitability to undertake the mentoring role, focusing on areas such as risk of serious harm (which must not be assessed as currently being high), likelihood of re-offending (general). The provider of probation services must also assess the proposed mentor to consider the nature of the previous offending convictions and behaviour by the potential mentor and the individual circumstances of the mentee. There must be an assessment of the risks of the mentor accessing sensitive personal data relating to the mentee in order to minimise the risks of inappropriate disclosure of such data; the assessment must also consider anything in the potential mentor's previous behaviour or offending which might indicate a risk of using the role to exert pressure on or victimise, in any way, the mentee. Where such a risk is identified, the offender must be considered unsuitable to act as a mentor;*

- *The offender must not have been assessed as currently posing a high/very high Risk of Serious Harm;*
- *An offender undertaking the role of mentor must not be used by the NPS, CRC or other provider of probation services to replace or cover for an existing employee;*
- *An offender undertaking a mentoring role must not undertake the statutory duties of a Responsible Officer, Supervising Officer or Supervisor;*
- *Lack of agreement or engagement between the Mentor and Mentee must not be used by the NPS, CRC or other provider of probation services as evidence in support of breach or recall proceedings against the Mentor, and*
- *The NPS, CRC or other provider of probation services must be able to demonstrate to the Authority, on request that these checks, including an appropriate risk assessment have been carried out for any offender who is appointed as an offender mentor.*
- *Those offenders who are successfully cleared for Standard Plus who breach their licence conditions must be removed from their role with immediate effect.*

Risk Evaluation Guidance – Good Practice Conditions for Mentoring Roles

3.5 The following is a list of conditions which we recommend as good practice for all cases, where offenders are considered for mentoring roles under this instruction.

- The offender should have served at least half of the licence element of their sentence for those who have received custodial sentences or at least half of their CO/SSO for those in the community. NPS, CRCs and other providers of probation services may wish to take into account any previous mentoring experience carried out in custody or in the community;
- The offender should not have been convicted of or received an out of court disposal during the preceding 12 months for a new offence before commencing the role of mentor;
- The offender should not be subject to Level 2 or 3* MAPPA management;
- Information relating to inappropriate behaviour or activities by either the mentor or mentee should be referred to the appropriate Responsible Officer/Supervising Officer/Supervisor (RO/SO), who should take the appropriate action;
- The NPS, CRC or other provider of probation services should have assured itself that the offender has received mentoring training guidance or support to undertake the role.
- The offender should have received an assessment of progress against the objectives set out in their Plan, highlighting positive steps taken to change their offending related behaviour; This assessment should include an evaluation of any behaviour/attitudes which might indicate either suitability or unsuitability to act as a mentor; and

- Once appointed the offender mentor should keep in regular contact with both their own RO/SO and the allocated RO/SO for the mentee in order to discuss the ongoing progress of the mentoring relationship.

*There are three levels of MAPPA management. Level 1 is ordinary agency management, increasing to Level 2 which is active multi-agency management, with Level 3 the most intensive with active multi-agency management.

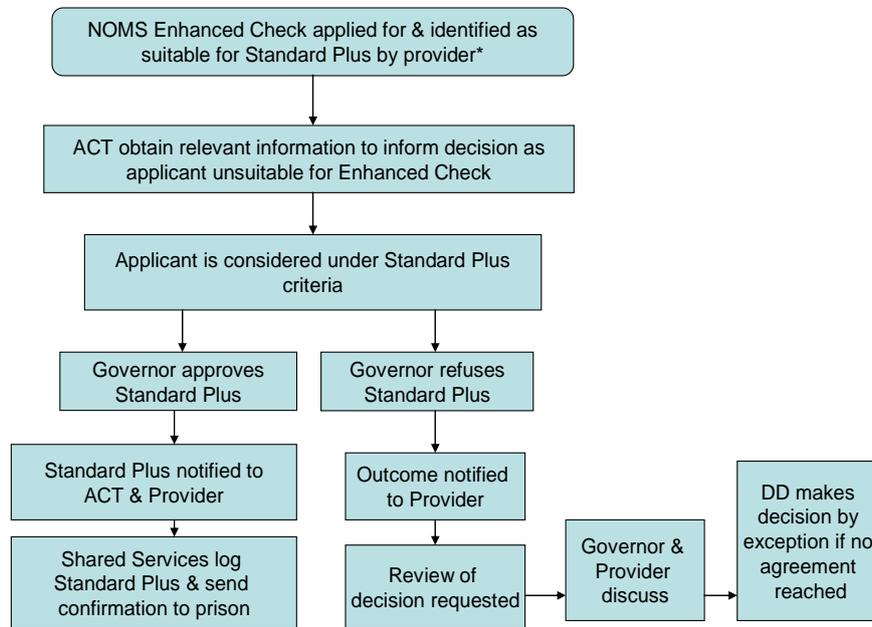
4. OVERVIEW OF PROCEDURE

- 4.1 Each applicant will complete the appropriate security vetting procedure dependant on the mandatory vetting levels specified in the Security Vetting policy. These will vary between prison and community settings. The vetting application will be processed and the criminal records check carried out as part of the vetting process.
- 4.2 Where it is identified that the applicant is likely to fail the normal vetting procedure due to their offending history, the prison, NPS or CRC can mark the application for consideration under the Standard Plus – Prison or Standard Plus - Community vetting procedure at the start of the process. For those cases managed through central vetting procedures, this will mean that consideration for Standard Plus – Prison or Standard Plus - Community can run concurrently with the normal procedure once the criminal record check is complete. This will reduce processing time and help allow any decision on suitability to be considered promptly.
- 4.3 All security vetting checks for custodial and community based mentoring roles will be subject to the NOMS vetting policy requirements. All applications under this policy will require complete declarations of current spent and unspent convictions prior to consideration for Standard Plus. Where Standard Plus is refused a reason for the outcome will be advised. Further information is referred in Section 6.
- 4.4 Completing a security vetting application is the easiest and most consistent mechanism for ensuring that each case is logged centrally (through the Shared Services function), or locally (by the CRC) and the possibility of Standard Plus being considered.
- For custody-based roles this application will need to be logged with the Governor/Director of the individual prison or divisional location concerned. It will then be possible to run the normal vetting application alongside the application for Standard Plus to save time.
 - *For community based roles only, CRCs and other providers of probation services opting to undertake their vetting through Shared Services and the NPS will have the application logged centrally and the outcome notified. CRCs undertaking their own vetting on offenders must ensure they comply fully with the NOMS vetting requirement and if approved for Standard Plus - Community must report each new case on at least a monthly basis to the Approvals and Compliance Team. This is to ensure that a central record is captured for all Standard Plus cases across the NOMS organisation.*
- 4.5 For prison based roles, the Approvals and Compliance Team (ACT) will provide information to the prison on the result of full criminal convictions (including spent convictions) and any evidence that the applicant has previously been excluded from any prisons, as well as other information that may assist in assessing any potential risk posed by the applicant should the application be approved. The information will be assessed by the Governor/Director and if he/she agrees to the Standard Plus – Prison application. The prison will confirm acceptance to the ACT using the form at [Annex B](#).
- 4.6 *On the basis of this information and knowledge of the mentoring role applied for, Governors must identify a responsible head of function who will complete a risk assessment ([Annex A](#)) forwarding it to their Governor/Director for consideration and decision. [Annex A](#) includes examples of the main issues and factors that the Governor/Director should consider but other considerations may be taken into account. This risk assessment must be carried out and reviewed annually.*

- 4.7 For custody-based based roles, it is the responsibility of the Governor/Director to approve or decline the Standard Plus vetting level. *If approved, the decision will be advised on the [Standard Plus Prison Confirmation Form \(Annex B\)](#), which must be e-mailed to Shared Services via the ACT team and must state any particular considerations or limitations relating to the applicant (i.e. escorted or supervised at all times, suitability to handle keys). They will log and pass the confirmation to Shared Services to update the individual's Oracle vetting record. The Shared Services vetting team will then issue a confirmation to the prison that Standard Plus has been approved.*
- 4.8 For community based roles, the CRC or NPS will make the decision to accept or decline the application for the Standard Plus vetting. *This must take account of mandatory conditions referred to at 3.3 and the good practice guidance conditions outlined in Section 5. If it is to be processed through the central Shared Services, a decision on suitability will be advised on the [Standard Plus Community Confirmation Form \(Annex G\)](#) from the Approvals and Compliance Team. Each case will be logged and updated on the individual's Oracle vetting record. The Shared Services vetting team will then issue a confirmation to the CRC or the NPS that Standard Plus has been approved.*
- 4.9 *Where a provider of probation services requires offenders cleared under Standard Plus – Community to provide mentoring services in a custodial setting on a regular basis prior notice must be requested from the relevant prison establishments. This is in order that the Governor may make an individual assessment of risk within their prison.*
- 4.10 *The CRC must have procedures in place to manage offenders as mentors in accordance with their contractual obligations and in compliance with NOMS policies. A CRC senior manager is responsible for approving any Standard Plus - Community application on a case by case basis if the CRC has undertaken all of the vetting checks themselves. [Annex E](#) provides guidance for those CRCs or other providers of probation services who decide to undertake their own internal vetting process. [Annex D](#) provides a CRC risk assessment form and [Annex G](#) the Standard Plus - Community confirmation form.*
- 4.11 If the application was dealt with locally through the NPS, CRC or another provider of probation services it is their responsibility to notify each applicant of the outcome. *Once a Standard Plus clearance is approved, the CRC or NPS must notify each case approved to the Approvals Team located at Shared Services, using the e mail address recruitment-decisions@hmps.qsi.gov.uk. In this way a full record of all Standard Plus cases is maintained centrally.*

Procedure for Standard Plus – Prison

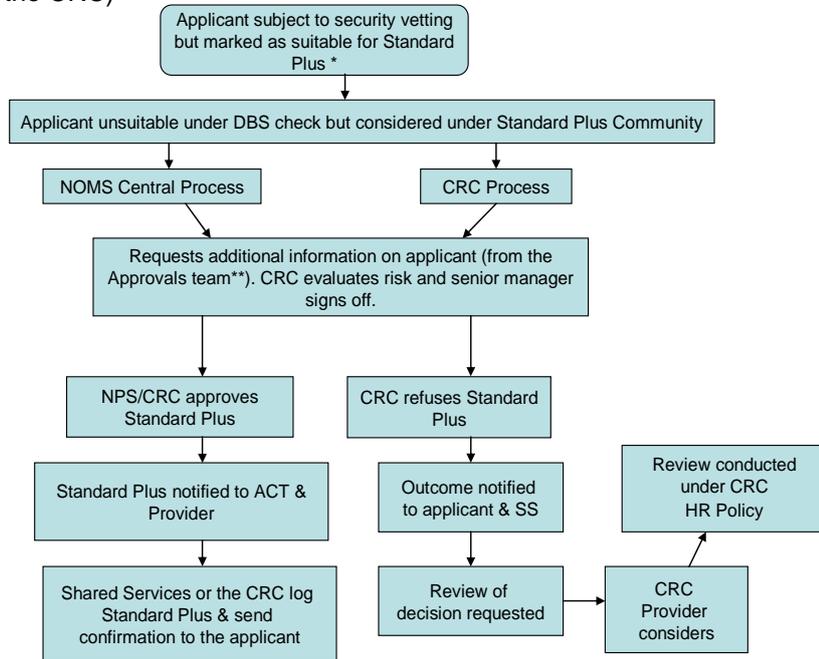
(processed by Shared Services)



* CRCs, NPS or other providers of probation services

Procedure for Standard Plus - Community

(processed by Shared Services for NPS and CRCs opting to use *** or directly by the CRC)



* Standard Plus - Community applications processed through Shared Services will follow the same process as outlined for Standard Plus - Prison including the appeal process.

** Approvals and Compliance Team are the operational team located at Newport evaluating suitability for appointment.

*** NPS will use the Shared Services route as part of NOMS

5. RISK MANAGEMENT

Risk Ownership and Decision Making - Prisons

- 5.1 For custody based mentoring programmes the risk evaluation is the responsibility of the Governor/Director. In some instances offenders will be refused Standard Plus clearance on the basis that the underlying risk is deemed too high or too resource intensive to manage. *Where the applicant has been refused under Standard Plus the reason for refusal must be notified to the sponsoring organisation.*

Risk Ownership and Decision Making – NPS, CRCs and other Providers of Contracted Services

- 5.2 For Community based activities there are distinct differences in risk ownership and responsibilities for the NPS, CRCs, and other providers of probation services who engage with offenders. Whilst custody based activities provide challenging and more obvious security risks, community based options require careful risk management to ensure contractual obligations are adhered to. This includes ensuring that all staff are security vetted to the appropriate level and information about them is appropriately managed and stored. *There are also public protection and safeguarding issues (children and vulnerable adults) that must be considered in relation to community based probation activities.* Suitability for providing probation and similar services in the community will remain the responsibility of a nominated senior manager in the CRC. If refused the reason needs to be explained to ensure an open dialogue is maintained and all parties are clear on the reasons why an applicant has been refused. *As each case must be signed off, accountability for decisions on suitability will remain with the CRC provider.* [Annex D](#) provides an example of localised risk assessment for CRC use.

Risk Evaluation Considerations – Prisons

- 5.3 *Consideration must be given to the balance of the benefits that an offender can offer, against the potential additional risks posed in accordance with the criteria set out within para 3.3 and 5.3 above.* This risk assessment needs to consider the possibility of, for example, longer term attempts at infiltration by criminal networks or by the media as well as the potential susceptibility to conditioning by other offenders, whilst providing mentoring services within a custodial setting (which is also true for any directly employed member of staff). The job of Governor/Director is to consider if the individual presents significant additional risks to an establishment.
- Examples of factors for the risk assessment are shown in [Annex A](#).

Risk Evaluation Considerations – Community

- 5.4 *Senior NPS, CRC or other providers of probation services managers must ensure that for community based programmes all offender mentors are properly vetted to ensure that they are suitable to deliver probation activities and do not pose an ongoing risk of causing harm to the public.* As with custody based programmes the risks of infiltration and conditioning need to be considered and managed accordingly. *All providers must comply with the mandatory and discretionary conditions set out in this and other relevant instructions and conduct appropriate risk based assessments for all offender mentors.*
- Examples of factors for the risk assessment are shown in [Annex D](#).

6 REVIEW PROCESS

- 6.1 External applicants declined for Standard Plus where their application has been processed through the Shared Service route, can request a review through the NPS/CRC. For Standard Plus – Prison the NPS/CRC can write to the Governor/Director. For Standard Plus – Community the NPS/CRC can write directly to the Approvals and Compliance Team located at Shared Services (if they are responsible for processing the vetting application for Standard Plus) asking for clarification of the decision. Reviews that cannot be resolved will be considered independently by the relevant Deputy Director who is responsible for the particular region, division or functional area who is also responsible for ensuring a degree of consistency in decision making. It is anticipated that this will be the exception not the norm.
- 6.2 *Where serious security concerns about an offender mentor approved under Standard Plus are identified, the person must be removed from his mentoring role immediately and until such time as relevant investigations are concluded. An explanation of the reason for the exclusion will need to be given to the service provider in writing and copied to the Approvals and Compliance Team. This will follow the normal Exclusion policy for prison based roles under [PSI 24/2013 Exclusion of Personnel on Grounds of Misconduct](#) and for officers of a provider of probation services job roles under PI 31/2014 Authorisation as Officer of a Provider of Probation Services.*
- 6.3 The appeal process for Standard Plus - Prison and those Standard Plus - Community applications processed through Shared Services will follow the procedures set out within [PSI 38/2012 Reconsideration of Central Vetting Decisions by Exception](#). The decision of the DDC having considered all of the information presented will be final for custodial roles and Deputy Directors for community related posts elsewhere.
- 6.4 *The process for applicants refused Standard Plus-Community where the vetting clearance has been completed by the CRC themselves must reflect the arrangements above. The appeals process for Standard Plus - Community applications will be handled through the relevant CRCs policies and procedures. The outcome must be notified to the Approvals and Compliance Team.*

7. EQUAL OPPORTUNITIES

- 7.1 All applicants subject to security vetting are subject to a risk assessment and the same evaluation of suitability. Any consideration of Standard Plus will be based on an assessment of benefit against risk for the rehabilitation activities involved.
- 7.2 All applicants deemed suitable to be considered under Standard Plus vetting as a result of their previous offending history, will be monitored by use of the ethnic monitoring section of the vetting questionnaire. This is to ensure we can monitor its impact on all individual's who apply to ensure consistency of treatment.

8. DATA PROTECTION

- 8.1 The policy adheres to provisions of the Data Protection Act. All personal information will be held securely and in line with the [PSO 9020 Data Protection Act 1998; The Freedom of Information Act 2000; Environmental Regulations 2004](#) and [PSI 27/2013 – AI 11/2013 Data Sharing Policy](#)

Annex A BEST PRACTICE LOCAL RISK ASSESSMENT – STANDARD PLUS PRISON

Prison Establishment	
Information on applicant	
Applicant's name	
Prison/NOMIS number	
Date of last known convictions, warnings, reprimands, or sentence expiry date	
Has the offender completed at least half of the current period of Community/Suspended Sentence Order, Licence or Post Sentence Supervision and has been granted permission from their Responsible Officer/Supervising Officer to undertake the mentoring role?.	<input type="checkbox"/> Yes <input type="checkbox"/> No If permission has not been granted, then the offender is unsuitable for the role.
Is the individual on either of the barred lists for children or adults?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, then the offender is unsuitable for the role
Nature of applicant's role	
What work will the applicant will be undertaking?	
Examples of previous experience and/or competence e.g. attendance at offending behaviour programmes, rehabilitative work or community based voluntary work (in date order), which demonstrate commitment to a law abiding way of life	
Does the applicant have references supporting the application from the organisation(s) they have worked for? – if so summarise here	
Working environment	
Applicant's working hours and times	
What is the current security risk assessment for the area as per the NSF/ LSS?	Low/ Medium/ HIGH
Ways to reduce the risk(s)	
Contact with prisoners and staff	
What frequency and type of contact will the applicant have with prisoners – supervised or un-supervised?	
What frequency and type of contact will the applicant have with staff?	
Overall risk rating for prisoner/staff contact	Low/ Medium/ HIGH
Ways to manage risk	
Security controls	
Is access to keys required for the job role?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the applicant have access to personal information held on ICT systems?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Any other security measures to be carried out?	

I have carried out a security risk assessment which has considered the applicants suitability for the role, including looking at the risk of serious harm level, likelihood of re-offending and MAPPA level.	
(Name and role in CAPITALS)	
Decision	
Applicant's name	
Overall risk rating	Refused / Approved with conditions/ Approved
Ways to manage risk	
Conclusion	
Sign off	
Sign off by Governor/Director	
Name in Block Capitals	
Date of submission	

This risk assessment must be carried out and re-assessed annually.

Annex B

STANDARD PLUS – PRISON CONFIRMATION/REFUSAL FORM



Ministry of JUSTICE

National Offender
Management Service

STANDARD PLUS – PRISON CONFIRMATION/REFUSAL

To: Approvals and Compliance Team

This form must be completed in every case where a Governor/Director in charge or their delegated manager, confirms they are either willing to accept or refuse an offender working as a mentor on rehabilitative /through the gate activities within the prison establishment. Once completed and in order for this to be processed and logged, this report must be:

1. Sent to the Approvals and Compliance Team located at Shared Services, electronically via e-mail to the team's mailbox at:
[Recruitment-Decisions](#) OFFICIAL - SENSITIVE - Security - Standard Plus – Prison Confirmation
2. A hard or soft copy of the report form must be retained locally for audit purposes.

Personal Details of Applicant <i>(this section must be completed in all cases)</i>	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
Prison/NOMIS number	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
Name of CRC, Provider of probation services or, Voluntary Organisation (where appropriate)	
Job Role (enter in box)	
Which rehabilitative activities is this linked to?	
Full Name Governor/Director/Assigned Manager (enter in box)	
Job Role	

Location of Business Unit/Establishment	
Risk Assessment Completed? Y/N	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confirmed/Refused	
FOR COMPLETION BY APPROVALS AND COMPLIANCE TEAM ONLY	
Date Received	
Standard Plus – Prison Confirmed Y/N	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
Examined by Approvals and Compliance Team	
Name in BLOCK CAPITALS	
Date	
Oracle Updated (please insert date)	

When you have completed please send a copy via e-mail to the Approvals and Compliance mailbox:

Recruitment-decisions@hmps.gsi.gov.uk

For correspondence, their address is:

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

When you have completed, retain a copy locally.

Annex C

REQUEST FOR RENEWAL OF STANDARD PLUS - PRISON



Ministry of JUSTICE

National Offender
Management Service

REQUEST FOR RENEWAL OF STANDARD PLUS - PRISON

To: Approvals and Compliance Team

The following not directly employed worker has been subject to Standard Plus under the rehabilitative activities. After local review, we wish to renew the Standard Plus – Prison for another year.

1. Confirmation must be sent to Approvals and Compliance Team located at Shared Services, electronically via e-mail to the team's mailbox at: [Recruitment-Decisions](#) marked OFFICIAL - SENSITIVE – Security - Standard Plus - Prison

Personal Details of Applicant (<i>this section must be completed in all cases</i>)	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
Prison/NOMIS number	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
Name of CRC, Provider of probation services or Voluntary Organisation (where appropriate)	
Job Role (enter in box)	
Which mentoring activities is this linked to?	
Full Name Governor/Director/Assigned Manager (enter in box)	
Job Role	
Location of Business Unit/Establishment	

Risk Assessment Completed? Y/N	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confirmed/Refused	
Date Received	
Examined by Approvals and Compliance Team	
Name in BLOCK CAPITALS	
Date	

The vetting record will be updated on the vetting database by Shared Services.

For correspondence, their address is:

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

When you have completed, retain a copy locally.

Annex D - BEST PRACTICE LOCAL RISK ASSESSMENT – STANDARD PLUS COMMUNITY

This a nationally approved risk assessment in order to apply consistent criteria for each application. Although suppliers may choose to develop their own risk assessment, the information included here will need to be reflected in any alternatives for audit trail purposes.

Type of Organisation and Location – CRC/ NPS/Other	
INFORMATION ON APPLICANT	
Applicant's name (BLOCK CAPITALS)	
Proposed Job Role	
Prison/NOMIS number	
Has the offender completed at least half of the current period of the community/suspended sentence order; licence or post sentence supervision. and been granted permission from their Responsible Officer/Supervising Officer to undertake a mentoring role?	<input type="checkbox"/> Yes <input type="checkbox"/> No If permission has not been granted, then the offender is unsuitable for the role.
Date of last known convictions, warnings, reprimands, or sentence expiry date	
MAPPA Status (click on drop downs under Category & Level)	Category: Not applicable Level: Not applicable MAPPA Level 2 or 3 cases should not normally be considered suitable for the role
Did the offender serve a sentence for a specified offence?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, what is the clear and compelling argument to merit the override of the presumption of refusal and what safeguards can be put in place to mitigate any risks?	
Do any of the above or their most recent Plan suggest any concerns in relation to contact with offenders adults?	
Is the individual on either of the barred lists for children or adults?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, then the offender is unsuitable for the role
NATURE OF APPLICANT'S WORK	
What work will the applicant will be undertaking?	
Business Case (the importance and urgency for bringing in the applicant to carry out this work within a community setting)	
Examples of previous experience and/or competence e.g. attendance at offending behaviour programmes, rehabilitative work or community based voluntary work (in date order), which demonstrate commitment to a law abiding way of life and relevant expertise of	

value in a community setting?	
Does the applicant have credible references supporting the application from the organisation(s) they have worked for? – if so summarise here	
WORKING ENVIRONMENT	
Applicant's working hours and times	
Will the applicant need to visit prisons Y/N?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the applicant be required to visit offenders at home? Y/N	<input type="checkbox"/> Yes <input type="checkbox"/> No
CONTACT WITH COMMUNITY OFFENDERS, PRISONERS AND CRC STAFF	
What frequency and type of contact will the applicant have with offenders, prisoners – supervised or un-supervised?	
What frequency and type of contact will the applicant have with NPS/CRC staff?	
What frequency and type of contact will the applicant have with children	
SECURITY CONTROLS	
Will the applicant have access to keys/entry to the building?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the applicant be subject to Supervision?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the applicant have access to personal information held on ICT systems?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will the applicant have access to money/travel warrants?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Any other security measures to be carried out or required?	
I have carried out a security risk assessment which has considered the applicants suitability for the role, including looking at risk of serious harm level, likelihood of re-offending and MAPPA level.	
DECISION	
Applicant's name (BLOCK CAPITALS)	
Decision on Suitability	Refused / Approved with conditions/ Approved
Ways to manage risk	
Conclusion	
Sign off	

Sign off by CRC Chief Executive/NPS Senior Manager	
Name in Block Capitals	
Date of approval	

This risk assessment must be re-assessed and renewed annually if required

Annex E – Guidance on suitability for Standard Plus Prison and Community

The Approvals and Compliance Team (ACT) is made up of operational managers who are based at the NOMS Shared Services in Newport. Their role is to consider those vetting applications where normal criminal record checks have identified either undeclared previous convictions, or, declared previous convictions which appear on the specified offences list. They will consider this information and provide information relating to the suitability of an individual for prisoner/offender facing roles.

The ACT will consider all applications for Standard Plus – Prisons. They will also consider those individual's requiring Standard Plus – Community, from the NPS and where a CRC has opted to use the central vetting route or where an individual with Standard Plus - Community clearance wishes to have infrequent/limited access to a prison.

In these circumstances NPS and CRCs must complete the form at [Annex G](#) and submit it to the Approvals and Compliance Team. The ACT will run background checks on the offender. When these checks are complete the ACT must notify the Governor of their findings in order that the Governor has all the information they require to make an informed decision on whether to allow access.

A national record will be maintained of all applications, including refusals.

For CRCs who decide to undertake their own vetting through a process that complies with the NOMS Vetting Policy, the following considerations should be taken into account when assessing the suitability of an individual to engage with prisoners or offenders on a rehabilitation activities or pathways.

- Any gaps in available information / proof i.e. insufficient documentation presented to prove address, employment and missing or delayed references.
- Any negative references
- Criminal record histories (see also specified offences below)
- Series of discrepancies in information provided/obtained
- Outcome of Baseline Personnel Security Standard (BPSS) and Disclosure and Barring Service (DBS) checks

On the basis of vetting information available the CRC or provider of probation services must:

- *Make balanced judgements based on an evaluation of the evidence collated to judge its credibility*
- *Ensure compliance with Vetting Policy as laid out in [PSI 07/2014 - AI 05/2014 - PI 03/2014 Security Vetting](#)*
- *Make decisions based on Security Vetting Guidance*
- *Confirm applicants have the Right to Work **within** the UK*
- *Ensure consistency in Vetting Decisions*
- *Ensure Security Vetting Levels are assigned appropriately and consistently to the role*
- *Decide suitability to work*
- *Request/contact candidate for further information / to discuss where appropriate*
- *Report all approved applications under Standard Plus – Community to [Recruitment- Decisions](#) providing full name, date of birth, NI number, Contract Package Area.*
- ***Refer to a Senior managers for a final decision and sign off***

Specified Offences - Serious offences requiring risk management

For information on specified offences, click on the link below.

<https://www.gov.uk/government/publications/dbs-list-of-offences-that-will-never-be-filtered-from-a-criminal-record-check>

When assessing offenders for Standard Plus – Prison or Community, Prison or Governors and *Senior Managers in NPS and CRCs*, must carefully consider the risks of engaging an individual where they have been convicted of one of the more serious specified offences. Although not definitive these specifically include:

- Offences relating to terrorism / offences under the Anti Terrorism and Crime Act 2003 / Prevention of Terrorism Act 1989 / Terrorism Act 2000 & 2006
- Offences relating to children / offences under the Children and Young Persons Act 1933 / Child Abduction Act 1984
- False Imprisonment – Common Law
- Kidnapping – Common Law
- Murder - Common Law
- Racially / religiously aggravated offences / offences under the Crime and Disorder act 1998
- Supply controlled drug / offences under the Misuse of Drugs Act 1971 in prison settings.
- Violent and/or serious offences / Offences against the Person act 1861/ offences under the Public Order Act 1986
- Sex offences / any offence under the Sexual Offences Act 1956
- Stalking involving fear of violence or serious alarm or distress

In these circumstances where these and similar offences are identified there will be a presumption of refusal, although there may be exceptions where a clear and compelling argument is made to merit their appointment.

Where necessary, the CRC may also consider putting in place safeguards to mitigate any risks.



Annex F STANDARD PLUS – COMMUNITY REQUEST FOR PRISON VISIT

**STANDARD PLUS – COMMUNITY
REQUEST FOR A PRISON VISIT FROM A NPS/CRC**

To: Approvals and Compliance Team

This applicant has been granted Standard Plus - Community and the NPS/CRC is now applying for them to undertake occasional prison visits.

Can you please provide any relevant information that you hold in order that I can evaluate the evidence against the associated risks of allowing the offender to perform their assigned responsibilities.

Signed by Governor/Director

1. Sent to Approvals and Compliance Team located at Shared Services, via e-mail to the team's mailbox at: [Recruitment-Decisions](#) marked OFFICIAL – SENSITIVE - Security - Standard Plus - Community

Personal Details of Applicant (<i>this section must be completed in all cases</i>)	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
Prison/NOMIS number	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
When was the offender released on a licence post release from custody, community or suspended sentence order and when does it expire?	
Name of Main CRC, Provider of probation services or Voluntary Organisation (where appropriate)	
Job Role (enter in box)	

Why is the applicant required to visit a prison?	
Location of Prison(s) visits	
Full Name of NPS/CRC Senior Manager(enter in box)	
Job Role	
NPS/CRC Correspondence Address	
Risk Assessment Completed? Y/N	<input type="checkbox"/> Yes <input type="checkbox"/> No
FOR COMPLETION BY APPROVALS AND COMPLIANCE TEAM ONLY	
Date Received	
Has additional information been sent	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
Examined by Approvals and Compliance Team	
Name in BLOCK CAPITALS	
Date	

When you have completed please send a copy via e-mail to the Approvals and Compliance mailbox and retain a copy locally:

Recruitment-decisions@hmps.gsi.gov.uk

For correspondence, their address is:

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

Annex G

STANDARD PLUS – COMMUNITY CONFIRMATION/REFUSAL

STANDARD PLUS – COMMUNITY CONFIRMATION/REFUSAL

To: Approvals and Compliance Team

This form must be completed in every case where a CRC Senior Manager, NPS Senior Manager, Governor or their delegated manager, confirms they are willing to accept or alternatively refuse an offender cleared under Standard Plus – Community.

Once completed and in order for this to be processed and logged, this report must be:

1. *Sent to the Approvals and Compliance Team located at Shared Services, via e-mail to the team's mailbox at: [Recruitment-Decisions](#) marked OFFICIAL – SENSITIVE - Security - Standard Plus – Community Confirmation/Refusal*
2. *Sponsoring NPS/CRC. A hard or soft copy of the report form must be retained locally for audit purposes.*

Personal Details of Applicant (<i>this section must be completed in all cases</i>)	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
Prison/NOMIS number	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
Name of NPS Division, CRC, Provider of Probation Services or Voluntary Organisation (where appropriate)	
Job Role (enter in box)	
Full Name Governor/Director Manager (enter in box)	
Job Role	
Prison	

Risk Assessment Completed? Y/N	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Confirmed/Refused		
FOR COMPLETION BY APPROVALS AND COMPLIANCE TEAM ONLY		
Date Received		
Standard Plus Confirmed Y/N		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
Examined by Approvals and Compliance Team		
Name in BLOCK CAPITALS		
Date		
Oracle Updated (please insert date)		

When you have completed please send a copy via e-mail to the Approvals and Compliance mailbox:

Recruitment-decisions@hmps.gsi.gov.uk

For correspondence, their address is:

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

When you have completed, retain a copy locally.



Annex H

STANDARD PLUS – COMMUNITY REQUEST FOR RENEWAL

STANDARD PLUS – COMMUNITY REQUEST FOR RENEWAL

To: Approvals and Compliance Team

The following not directly employed worker has been subject to Standard Plus Community. After local review, we wish to renew the Standard Plus for another year.

1. Confirmation must be sent to Shared Services Approvals and Compliance Team, electronically via e-mail to the team's mailbox at: [Recruitment-Decisions](#) marked OFFICIAL - SENSITIVE - Security - Standard Plus – Community.

Personal Details of Applicant (<i>this section must be completed in all cases</i>)	
Surname (enter in box)	
Forename (enter in box)	
Title (enter in box)	
Prison/NOMIS number	
National Insurance Number (AANNNNNNA) e.g. ZZ123456D	
Date of Birth (Enter DD MON YYYY) e.g. 23 Jun 1984	
Name of the CRC, Provider of probation services, Voluntary Organisation (where appropriate)re appropriate	
Job Role (enter in box)	
How is the role linked to delivering probation rehabilitative services in the community?	
Full Name of NPS/CRC Senior Manager (enter in box)	
Job Role	
NPS/CRC Community programme address	

Risk Assessment Completed? Y/N	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confirmed/Refused	
Date Received	
Examined by Approvals and Compliance Team	
Name in BLOCK CAPITALS	
Date	

The vetting record will be updated on the vetting database by Shared Services and noted by the Approvals and Compliance Team.

For correspondence, their address is:

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

When you have completed, retain a copy locally.

Annex I Roles and Responsibilities

Approvals and Compliance Team (ACT)

This comprises a multi disciplinary team of experienced operational managers who evaluate and decide the suitability of applicants subject to pre appointment security vetting procedures. They will also provide background information to a Governor/Director (or Senior CRC Manager where appropriate) when considering the suitability of vetting at Standard Plus level for offenders in order that an informed decision can be made.

National Probation Service (NPS)

NPS, as a directly managed delivery function within NOMS, will carry out the critical roles of providing advice to court, assessing the risk an offender poses to the public and directly managing those who pose the highest risk to the public, who have committed the most serious crimes. The Service is operated by a Director of Probation and a Director NOMS Wales (whose remit will include and extend beyond the NPS in Wales). It will deliver services under a service level agreement.

Community Rehabilitation Companies (CRCs)

These organisations will cover the 21 Contract Package Areas delivering offender management services in the community. They will be responsible for the management of offenders assessed to present a low/medium risk of serious harm to the public. They will provide rehabilitation activities under contract, which may involve the use of mentoring or support using offenders. CRCs can either undertake their own vetting or opt to use the centralised NOMS system through Shared Services. They will be responsible dealing with any Standard Plus refusals where the application has been dealt with internally. They are also accountable for signing off the suitability of any applicant put forward for Standard Plus – Community vetting.

Providers of probation services, VCSE and Partner Organisations

These organisations will work with CRCs in the delivery of rehabilitation activities. *Any concerns expressed by workers relating to their refusal under the Standard Plus vetting level must be managed by the service providers.* It is the responsibility of the sponsoring organisation to advise the worker that they have been refused due to security considerations. The organisation can ask for this to be reconsidered through the management line to the DDC for prison related job roles (if considered through Shared Services centrally), whose decision will be final. Alternatively a Senior Manager within the CRC for Standard Plus – Community will hold the same responsibility. Governors and Heads of Unit will not engage in direct correspondence with individual workers on acceptance or refusal to grant security vetting.

Deputy Director of Custody (DDC)

The DDC and Deputy Director Contracted Custodial Services will consider any cases under the Standard Plus criteria from the sponsoring organisation or via the Governor where this has been refused.

Governors/Directors

Governors are responsible for managing and assessing the risk in their prison, taking into account how they could grant the Standard Plus vetting level for those with previous criminal convictions. It is at the discretion of the Governor if the vetting level is granted. Governors maintain ultimate authority in relation to decisions made concerning individual offenders and the implementation of any mentoring schemes linked to their prison establishment.

Shared Services

Shared Services are responsible for maintaining securely all vetting records across the organisation and processing staff and not directly employed worker applications. They will issue a confirmation of the Standard Plus vetting level where granted, direct to the Governor, as well as closing the record down after one year unless the prison make a request to renew the Standard Plus for another year. They will issue confirmation to those CRCs that opt to use the Shared Services vetting route.

Annex J**Glossary of Terms**

ACT	Approvals and Compliance Team
AI	Agency Instruction
CRC	Community Rehabilitation Company
CTC	Counter Terrorism Check
DBS	Disclosure and Barring Service
DDC	Deputy Director of Custody
HSE	High Security Estate
NDE	Not Directly Employed
NOMS	National Offender Management Service
NPS	National Probation Service
PI	Probation Instruction
PSI	Prison Service Instruction
SC	Security Check (a national security clearance level above CTC)
SS	Shared Services
Offender	Person who has completed at least 50% of their community/suspended sentence order; licence or post sentence supervision in the community under licence.
Standard Plus - Prison	Applicable to prison based activities
Standard Plus - Community	Applicable to community based activities
VCP	Vetting Contact Point
Providers of probation services	Organisations working directly with the NPS and CRCs in the delivery of probation services.