UNLOCKING POTENTIAL

REPORT OF THE
SCOTTISH PRISON SERVICE
ORGANISATIONAL REVIEW

TRANSFORMING LIVES
# The National Framework and Justice Strategy: An Outcomes Approach

## Purpose
To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth.

## Vision
Our vision is of a justice system that contributes positively to a flourishing Scotland, helping to create an inclusive and respectful society in which all people and communities live in safety and security, individual and collective rights are supported and disputes are resolved fairly and swiftly.

## National Outcomes
- We live our lives safe from crime, disorder and danger
- We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others
- Our public services are high quality, continually improving, efficient and responsive to local people’s needs

## Justice Outcomes
- We experience low levels of crime
- We experience low levels of fear, alarm and distress
- We are at a low risk of unintentional harm
- Our public services are fair and accessible
- Our institutions and processes are effective and efficient
- Our public services respect the rights and voices of users

## Priorities
- Reducing crime, particularly violent and serious organised crime
- Tackling hate crime and sectarianism
- Enhancing efficiency
- Supporting victims and witnesses
- Widening access to justice and advancing law reform
- Reducing the damaging impacts of drug and alcohol problems
- Preventing offending by young people
- Reducing the harm from fires and other emergencies
- Increasing public confidence and reducing fear of crime
- Strengthening community engagement and resilience
- Transforming civil and administrative justice
- Preventing offending by young people
- Reducing the harm from fires and other emergencies
- Increasing public confidence and reducing fear of crime
- Strengthening community engagement and resilience
- Transforming civil and administrative justice
- Widening access to justice and advancing law reform

## Approach
- Building safer communities
- Whole system approach
- Making justice work
- Reassuring the public
- Police and fire reform
- Getting it right for every child
- Early years framework
- Achieving our potential
- Reducing reoffending II
INTERNATIONAL COVENANT ON CIVIL AND POLITICAL RIGHTS, ARTICLE 10 (3)

“The penitentiary system shall comprise treatment of prisoners the essential aim of which shall be their reformation and social rehabilitation.”

KENNY MACASKILL, INTRODUCTION TO ‘THE STRATEGY FOR JUSTICE IN SCOTLAND’, SEPT 2012

“While all crime should be duly punished, I believe that people can turn their lives around. But to do so they often need help and opportunities, support and compassion. Our justice system must therefore enable rehabilitation as well as punishment...this requires a holistic, joined-up approach that reaches out from justice into areas such as health, housing and education.”

THE STRATEGY FOR JUSTICE IN SCOTLAND [EDITORIAL FOR JUSTICE CHANGE NEWS: NOV 12]

“Our efforts must focus now on embracing the strategy across our organisations ensuring that our collective activities are always outcome focused, evidence based, innovative and with clear and ambitious priorities for the people of Scotland.”

Kenneth Hogg
(formerly) Director of Safer Communities

Bridget Campbell
Director of Justice

COLIN McCONNELL, ANNUAL LECTURE – SACRO, NOV 2012

“Think how much more could be achieved if we truly all work together with a common purpose of creating real, practical opportunities for change for those who truly want to take them, backed-up by their desire to make their lives better. Add that desire, matched by a transformed community-custody-community integrated service, working to feed that desire and to help to make that wish to desist from offending a real and sustainable goal. That would not only be a huge achievement for the Scottish criminal justice system, but for Scotland as a whole.”
INTRODUCTION FROM COLIN McCONNELL, CHIEF EXECUTIVE

This report is a robust and intelligent appraisal of where we are now and where we need to get to in future. It is long overdue. The authors persuasively make the case for SPS becoming an ambitious organisation that has at its core skilled and professionalised people who are highly trained and continually developed. Through our people I am convinced that we will achieve and honour the ambitions to which the report convincingly encourages us to aspire: Unlocking Potential, Transforming Lives. Our exciting future is set out in the pages of this report and, as I anticipated in the 2012 annual SACRO lecture, it heralds what I believe will be a golden age for the Scottish Prison Service.

The Scottish Prison Service has a strong record of service delivery, achievement and sound operational management. We need to build on these past successes and on our heritage, whilst having the courage to reflect and then decide what needs to change to meet future expectations. We need to demonstrate our effective contribution towards National Outcomes and the Strategy for Justice in Scotland. To be truly effective in this we cannot work alone. It is only by working together with other providers that we will make Scotland safer and stronger. We must focus on what we know works in reducing reoffending and provide sound evidence of our progress.

We need to transform our approach to offender management and our efforts to improve wellbeing. In particular, we need to reduce reoffending amongst those 9,000 - 10,000 short-term offenders leaving our care each year. Our future Vision will focus on each individual in our care throughout their time in custody and beyond. By taking an individualised asset-based approach we will continue to address risks and needs but also build on an individual’s strengths and potential. By doing this, we will empower those in our care to unlock their potential and transform their lives. This is a demanding agenda that should engage, challenge and motivate staff and offenders alike. It means we must develop our staff to be even better at what they do now and to take on the new things that they will need to do tomorrow as we operate in new and different ways, changing how we work both within and beyond the prison walls.

Some of you may still be questioning why we need to change. Now, not only as an organisation but as a nation, we have high and legitimate aspirations for our generation and for those who follow. If we are going to achieve these, we have to address the seemingly intractable issue of recidivism, a burden that is a millstone around our economy’s neck. To be clear, this is not a soft-touch liberal agenda; it makes hard-nosed economic sense to do so. Audit Scotland reported that the cost of crime in our country is about £3 billion every year. How many schools, hospitals, roads or houses does that represent? Moreover, for the victims of crime there can be no more powerful justification for tackling reoffending and supporting reintegration than doing so in their name to try, as best we can, to ensure that there are far fewer victims of crime in future.

The recommendations set out in the report change our aspirations as a national service. Much can be done immediately, as many of the recommendations are both practical and feasible. Some are so fundamental that we need to take time to consider them, seeking agreement on how we move forward. We will also need to consider affordability and cost in prioritising the order in which we take things forward. The
Organisational Review Report provides the basis of our future Road Map for change, change which will be both incremental and transformational. This change will enable our organisation to help to create a justice system in Scotland that is a model of excellence. I have accepted in principle the broad direction of the recommendations in the Report. This is a unique opportunity to deliver a singular Vision that we can all work together to achieve. I look forward to taking the journey with you.

Colin McConnell

COLIN McCONNELL
Chief Executive,
Scottish Prison Service.
REFRESH: OUR NEW VISION

The Scottish Prison Service (SPS) has a Vision of:
Helping to build a safer Scotland - Unlocking Potential - Transforming Lives.

RECONNECT: OUR NEW MISSION

The Mission of SPS is:
Providing services that help to transform the lives of people in our care so they can fulfil their potential and become responsible citizens.

In delivering our Vision and Mission our Operating Task is:
Helping to protect the public and reduce reoffending through the delivery of safe and secure custodial services that empower offenders to take responsibility and to fulfil their potential.

We deliver this through:
**Custody** – Managing safe and secure custodial environments;
**Order** – Providing stability and order that helps offenders to transform their lives;
**Care** – Supporting wellbeing and treating with respect and humanity all in our care; and
**Opportunity** – Providing opportunities which develop the potential of our staff, our partnerships and the people in our care.

REFORM: OUR STRATEGIC PRIORITIES

To deliver the Vision and Mission, SPS will focus on seven strategic priorities:
1. Embedding the New Vision;
2. Investing in SPS people;
3. Delivering effective and efficient services;
4. Developing a collaborative outcome focus;
5. Developing a person-centred, asset-based approach;
6. Becoming a learning organisation;
7. Promoting public confidence in SPS.
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<th>Description</th>
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<tr>
<td>ADSW</td>
<td>Association of Directors of Social Work</td>
<td>OODG</td>
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<tr>
<td>CCPES</td>
<td>Court Custody and Prison Escort Services</td>
<td>OR</td>
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<tr>
<td>CIPD</td>
<td>Chartered Institute of Personnel and Development</td>
<td>ORMAG</td>
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<tr>
<td>CJA</td>
<td>Criminal Justice Authority</td>
<td>ORT</td>
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<td>COPFS</td>
<td>Crown Office and Procurator Fiscal Service</td>
<td>PCB</td>
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<tr>
<td>COSLA</td>
<td>Convention of Scottish Local Authorities</td>
<td>PMAG</td>
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<td>CPP</td>
<td>Community Planning Partnerships</td>
<td>PMG</td>
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<td>CRP</td>
<td>Community Reintegration Plan</td>
<td>PPMS</td>
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<td>FOI</td>
<td>Freedom of Information</td>
<td>PQs</td>
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<td>GIC</td>
<td>Governor(s) in Charge</td>
<td>PR2</td>
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<td>HMCIP</td>
<td>Her Majesty’s Chief Inspector of Prisons</td>
<td>PRL</td>
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<td>HMIP</td>
<td>Her Majesty’s Inspectorate of Prisons</td>
<td>PTC</td>
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<tr>
<td>HMP</td>
<td>Her Majesty’s Prison</td>
<td>RRP</td>
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<tr>
<td>HRM</td>
<td>Human Resources Management</td>
<td>RRP2</td>
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<tr>
<td>ICM</td>
<td>Integrated Case Management</td>
<td>SG</td>
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<td>ICTEG</td>
<td>Incident Command Training Executive Group</td>
<td>SLA</td>
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<td>JAS</td>
<td>Justice Analytical Services</td>
<td>SOCG</td>
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<td>KPI</td>
<td>Key Performance Indicator</td>
<td>SPS</td>
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<td>MAPPA</td>
<td>Multi Agency Public Protection Arrangements</td>
<td>SPSC</td>
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<td>MOU</td>
<td>Memoranda of Understanding</td>
<td>SPSO</td>
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<td>MQPL</td>
<td>Measuring Quality Prison Life</td>
<td>SVQ</td>
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<td>NHS</td>
<td>National Health Service</td>
<td>TPB</td>
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<td>NPF</td>
<td>National Performance Framework</td>
<td>TOM</td>
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<td>ODPB</td>
<td>Operations Directorate Programme Board</td>
<td>TOR</td>
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<td>OFT</td>
<td>Officer Foundation Training</td>
<td>UKBA</td>
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<td>OGC</td>
<td>Office of Government Commerce</td>
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SECTION 1: REFRESH: THE NEED FOR A REVIEW OF SPS

BACKGROUND: THE SPS ORGANISATIONAL REVIEW

About the Organisational Review

1.1 The SPS Corporate Plan for 2012-2015 identified 5 key priorities for the three year planning period:
- Maximising our Contribution to Reducing Reoffending;
- Managing Prisoner Numbers, Custody and Accommodation;
- Building Partnerships and Plans that Deliver Agreed Outcomes;
- Developing our Organisation and our People to Deliver; and
- Communicating our Performance.

1.2 The Corporate Plan defined a key requirement over the planning period to develop “the capacity, capability, roles and structures to deliver and sustain positive improvements in reducing reoffending, protecting the public and delivering a best value service.” It also emphasised that, to be successful, SPS needed to build robust and progressive partnerships to deliver agreed justice priorities and improved outcomes at both local and national levels.

1.3 The horizon scan, provided by the Corporate Plan, pointed towards the need for a Refreshed vision for SPS that would herald a new era characterised by recharged and Reconnected relationships with Scottish Government (SG) and the justice community, and a Reformed SPS as an efficient and effective, outcome focused and future-enabled service.

1.4 In July 2012 the SPS Chief Executive announced:
“a high level Review and realignment of SPS Vision, Values and Core Business which will deliver improved policy integration with the Learning and Justice Family, enhanced communication and cooperation with key stakeholders and refreshed roles and responsibilities at Board level.”

1.5 The Scottish Prisons Organisational Review Team was constituted and an internal Review launched in mid-November 2012. This Report is the product of the Team’s work. It provides the basis for a Road Map which the Team believes will transform the way in which SPS operates and improve the effectiveness of the delivery of contributory outcomes as part of an integrated justice system across Scotland.

SCOPE OF THE ORGANISATIONAL REVIEW

1.6 The original scope and Terms of Reference (TOR) for the Team are at Annex 1. The terms included the delivery of strategic recommendations to the Chief Executive on the efficient organisation and structure of SPS above establishment level, with specific regard to:
- Vision, Mission, Policy, Strategy and Operating Philosophy – development and alignment;
- Governance and accountability – the role of the Board and Senior Management;
- Business support services and infrastructure;
- Definition and management of SPS core business operations;
- HR and organisational development;
- Effective leadership and partnerships across sectors; and
- A Road Map for the change to deliver the Vision, Mission and Justice Strategy.
1.7 The principal **benefits** to be realised by the Review are that SPS:

- Builds on its past successes and achievements to deliver a refreshed vision, renewed clarity of purpose and a delivery culture with a focus on outcomes and performance improvement;
- Reconnects, realigns and contributes efficiently and effectively to the delivery of SG purpose, outcomes and policy and fits with the wider structural and systems change in justice;
- Has a clear purpose and is structured in a simple, transparent and efficient manner that: improves accountability; reduces duplication; improves engagement; optimises the relationship between resource and delivery performance and reduces the overhead cost of administration;
- Has organisational roles and structures and a process of organisational and management development that supports the achievement of strategic priorities and outcomes, within foreseeable resources;
- Has clear leadership and the capacity and capability to deliver the new service vision, including leadership development and succession planning arrangements for the future;
- Contributes to protecting the public and reducing reoffending by working constructively with partners within prison and the community, both nationally and locally to improve outcomes and performance; and
- Has a clear Communication Strategy that meets the needs of internal and external stakeholders and reassures the public.

1.8 The Team believe that the challenging recommendations in this Report will, if taken forward, realise these benefits. Indeed the Report concludes that a major transformation across SPS operations will be required if the Service is to fully align with SG’s expectations and to realise the benefits of the Scottish Government Reducing Reoffending Programme (RRP). The transition will take time but the journey has already started.

**THE ORGANISATIONAL REVIEW STRUCTURE AND TIMETABLE**

1.9 The Review has been progressed in three phases. During the first phase, between Summer 2012 and the formal start up in November 2012, an experienced Change Manager from the Northern Ireland Prison Service worked with SPS to review high level structures above establishment level and to assist the Review Team in developing a new Target Operating Model for SPS. An outline of these initial activities is presented at Figure 1.1.
1.10 Early work resulted in a broader understanding of the significant portfolio of change required within SPS. The Review Team was established in November 2012 with a mandate to deliver a Strategic Review and a Road Map for change in SPS. The second phase of the Team’s work took place between December 2012 and May 2013 and is illustrated at Figure 1.2.
Figure 1.2: Organisational Review Phase 2 Activities

Stage 2.1: Project Start up and Initiation

**KEY ACTIVITY**
- Develop PiD, project structures and key documents
- Complete the review of the structure and function of the SPS Board and HQ Directorates and the overall aims and objectives of SPS
- Establish Steering Group.
- Establish key stakeholders consultation plan
- Develop an understanding of the role of SPS as seen by the wider justice family

**DELeVERABLES**
- Recommendations to the Chief Executive on the structure of SPS Board and function of HQ Directorates
- Provide a refreshed SPS Vision, Mission, Operating Philosophy and Organisational Structure
- Hold first Steering Group

**Stage 2.2: Main Activity and Research**

**KEY ACTIVITY**
- Plan for new Board and HQ Structure
- Engage with stakeholders to review the SPS Framework Agreement
- Hold stakeholder engagement meetings with internal and external organisations including GICS, TUS, Scottish Government, Branch Heads, Prisoner and Staff groups
- Logic Modelling workshops with SG Analytical Services
- Engage with Scottish Centre for Crime and Justice Research and other bodies who can help develop the work of SPS

**DELeVERABLES**
- Develop high level HQ structure
- Develop governance and accountability framework for the revised structures
- Produce revised Framework Document

**Stage 2.3: Review Delivery**

**KEY ACTIVITY**
- Analyse the future operating environment of SPS
- Consider the changes required to make the operating structure of SPS fit future needs
- Commence recruitment of corporate Change Manager
- Develop first draft Review Report

**DELeVERABLES**
- Evidence-based Review Report that informs the Corporate Plan for the next 3-5 years
- Develop the rationale for a corporate Change Management Unit
- Define key partnerships and options for any shared services
- Produce Review Handling Plan

Nov - Dec 2012  
Jan - April 2013  
April - May 2013

1.11 The third phase of activity followed the submission of the first draft report on 31st May 2013. The phase ran from June to November 2013 and will conclude with the launch and delivery of the final Report in November 2013 and the formation of the formal change programme. The third phase activities are outlined in Figure 1.3.
### Figure 1.3: Organisational Review Phase 3 Activities

#### Stage 3.1: Provide Enablers

**KEY ACTIVITY**
- Refine initial draft and recommendations
- Prepare for the launch of the final Review Report by ensuring that enabling activities and resources are in place

**DELIVERABLES**
- Second draft report
- Corporate Change Manager
- Corporate Change Unit
- Communications Manager
- Transformational Board Structure

**June - July 2013**

#### Stage 3.2: Complete Review

**KEY ACTIVITY**
- Finalise drafting
- Complete communications exercise with key stakeholders, including SG, Steering Group, TUS and SPS Board
- Revise Review Report as required following communication exercise
- Seek authority to issue final Review Report
- Develop Communications Plan for final report

**DELIVERABLES**
- Internal consultation on Review Report
- Develop Road Map for change
- Form Corporate Change Unit
- Deploy Change Leaders and commence communication plan

**July - Sept 2013**

#### Stage 3.3: Launch of Final Review

**KEY ACTIVITY**
- Launch of final Review Report in November 2013
- Commence Review Programme delivery
- Developing corporate planning process and plans

**DELIVERABLES**
- Handling plan for launch of Review Report
- Launch Programme
- Arrangements put in place for revised Corporate Plan and Delivery Plan for 2014/15 in April 2014
- Summary Report and Recommendations

**Oct - Nov 2013**
ABOUT THE SCOTTISH PRISON SERVICE

Background to SPS

1.12 SPS is an Executive Agency of the Scottish Government and was established in April 1993. The SPS Framework Document defines the policy and resources framework set by Scottish Ministers within which SPS is required to operate. The Framework Document is available on the SPS website and has also been refreshed as part of the Review process, for publication in due course.

1.13 As a public service-led delivery agency the aim of SPS is to contribute to a safer Scotland by contributing to reducing reoffending through the care, rehabilitation and reintegration of offenders committed into custody. The prison estate currently comprises 16 establishments located across Scotland, 14 of which are directly operated by SPS and 2 of which are operated by private sector companies under contracts that are managed by SPS on behalf of Scottish Ministers. The locations of all prisons are shown at Annex 2. The SPS budget for 2013/14 is £364.5 million. The Service directly employs around 4000 staff around Scotland.

1.14 The existing prison estate is designed to hold 7850 prisoners in custody. The newest prison at HMP Low Moss opened in March 2012. A new prison at HMP Grampian, will replace Aberdeen and Peterhead prisons with a planned opening in Spring 2014. Plans are also underway for the development of a new national women’s prison at HMP Inverclyde. Around 65% of the estate is assessed as being fully fit for purpose which will rise to about 73% with the opening of HMP Grampian. The scale of investment makes it essential that SPS maximises the benefits realised from a fit for purpose prison estate and improves the delivery of activities that will contribute to reduced reoffending.

1.15 SPS also manages the contract for Scotland wide Court Custody and Prisoner Escort Service on behalf of multi-agency justice partners, including Crown Office and Procurator Fiscal Service, Scottish Court Service and Police Scotland. A new 7 year contract was awarded to G4S in 2011 and commenced in January 2012.

1.16 SPS provides and hosts a wide range of health, social care and individual development services that support the diverse needs of offenders and their families. It also operates a Victim Notification Scheme for registered victims of crime.

1.17 A summary of the complex and diverse range of services that SPS currently delivers is provided at Annex 3. The table outlines both the architecture of the SPS organisation and the current arena of its principal activities. The Report recommendations take account of service gaps, areas for improvement and innovative work already taking place across the justice sector to consider whether there are opportunities to rethink traditional boundaries and to find new ways of supporting improved offender outcomes through collaboration between SPS and community partners.

The Prisoner Profile in Scotland

1.18 On 19 April 2013 the prison population in Scotland was 8,122, comprising of 7,792 in custody and 330 on Home Detention Curfew (HDC). There was a 4% rise in the average daily prison population to 8,178 between 2010/11 and 2011/12, driven by a 9% increase in remands and a 3% increase in the sentenced population with around a
further 365 low risk prisoners on Home Detention Curfew (HDC). The highest ever prisoner population recorded by SPS was recorded on 7 March 2012, totalling 8,788 with 8,420 prisoners in custody and 368 on HDC. The prison population is projected to rise to about 9,500 by 2020 if current trends continue. Since 2012 prison population levels have been at a generally lower level, most significantly the young offender population. It is too early to tell whether the lower numbers are the start of a downward trend. SG projections are still for an upward increase over time. Annex 4 provides a historical and projected view of prison population.

1.19 SPS and its staff face multiple challenges in accommodating a rising prisoner population, not just in terms of volume but also in dealing with the range of complex psychological, social and economic needs of those people sent into custody. Research in Scotland has shown that most prisoners originate from areas of high socio-economic deprivation e.g. 62% of prisoners’ addresses can be found in the 25% of the most deprived areas (Scottish Index of Multiple Deprivation). Imprisonment rates vary dramatically across Scotland from 340 per 100,000 population in Glasgow, to 30 per 100,000 in the Orkney Islands.

1.20 Just over a quarter (28%) of all prisoners report being looked after in care at some point in their childhood and a fifth indicate that they have problems with their reading (18%) and writing (21%). Nearly two-thirds (64%) admitted to using drugs in the 12 months before coming into prison and 39% were worried their drug use would be a problem on return to the community. One fifth (22%) were receiving a methadone prescription. One half (50%) of prisoners were drunk at the time of their offence and 38% conceded their drinking had affected their family relationships. The link between inequalities and offending rates is now well established and has significant implications as to how Scotland should view the role of prisons and their relationship to the communities to which prisoners belong and to which they will return.

Working with Prisoners

1.21 All SPS prisons operate regimes that provide purposeful activity aimed at meeting the diverse needs and risks presented by those in custody. Traditionally, for very short-term or remand prisoners, the most that might be expected is that prison stabilises health and wellbeing, enables a degree of preparation for court or liberation and provides links and signposts into community services and supports. However, the profile of the prisoner population is changing. The average length of sentence in 2011/12 was over 9 months (284 days). The population of people in prison serving very short sentences has fallen, with 53% of offenders receiving a sentence of less than 3 months in 2006/07, compared to 28% in 2011/12.

1.22 For the longer term prisoner, SPS provides a wide range of opportunities aimed at meeting prisoner need, managing risk, motivating change and providing skills and support to help equip prisoners for reintegration into the community. These processes are underpinned by an Integrated Case Management (ICM) process for statutory prisoners serving over 4 years (and over 6 months if a sex offender). ICM is designed to promote multi-disciplinary information sharing, risk and needs assessment, action planning and community reintegration. Short-term prisoners serving under 4 years sentences are subject to standard case management procedures rather than enhanced procedures. The standard ICM process is less robust and less resource intensive than the enhanced ICM process.
1.23 SPS work with prisoners is supported by an Intervention Strategy which is based on:
- Providing accredited programmes to relevant offenders who present the highest risk of harm to the public, and
- Providing interventions and activities that are appropriate to the needs of lower risk but habitual offenders to help them desist from offending behaviour.

1.24 Every prison has a Links Centre and vocational/learning facilities, which provide a range of community and prison-led services which have been developed to signpost and promote access to supports designed to assist community reintegration. A range of prison and community-based service providers are located in the Links Centres and provide activities and services aimed at addictions, throughcare, housing, employability, learning, skills, and ‘through the gate’ support. However, these services are variable across the estate and recent scrutiny by the Justice Committee, the Chief Inspector of Prisons and Audit Scotland has reinforced that prisoner activity is not always purposeful (aimed specifically at delivering offender outcomes) or aligned with the evidence of ‘what works’ to improve outcomes and reduce reoffending. It has also highlighted the adverse impact of prisoner volume and churn on prisons’ capacity to deliver purposeful activity.

1.25 Recent audit and inspection reports also point to gaps in service, inconsistent practice in motivating participation by offenders, too few activities being evidentially describable as purposeful and the lack of alignment between prison and available community interventions and opportunities. Reconviction frequency rates are, however, at their lowest point for thirteen years and general offending rates at their lowest for 37 years. In 2009/10 thirty per cent of offenders and in 2010/11 twenty nine percent of offenders were reconvicted within 1 year of completing their sentence. It is estimated that 1 in 5 offenders has ten or more convictions and somewhere between two thirds and three quarters of all crime is reoffending. Much of this reoffending is driven by the short-term persistent offender population who are subject to a proportionately less intensive case management approach. Accordingly they have become the focus of the SG Reducing Reoffending Programme. Short-term prisoners drive the high rate of reoffending and are responsible for significant cost and low level harm across Scottish communities. Tackling the cycle of offending across the population of shorter term offenders has become a priority for both SG and SPS. Better meeting the needs of short-term offenders is a core proposition within the Report recommendations. Strengthening the SPS approach to purposeful activity and delivering improved rehabilitative and reintegrative services lies at the heart of the Review.

1.26 In Scotland people are sent to prison as punishment and not for punishment. Beyond the fact of safe, decent and humane custody, the role of SPS is to support and help to prepare those in custody for release and to help reintegrate them back into society better able to contribute positively as responsible citizens. Protecting the public is a core role of SPS. However, such public safety is not best delivered by incapacitation alone. The public will be most fully protected if the work that prisons do contributes positively to supporting desistance from offending and promoting citizenship. Such an approach, the evidence suggests, will be more effective in reducing reoffending, delivering safer communities, reducing future victims and lowering the cost of crime.
1.27 Imprisonment is by its very nature incapacitating and excluding and is unlikely in itself to promote desistence from offending. Indeed evidence points to the efficacy of community-based solutions over prison-based ones. People released from short-term sentences are more likely to reoffend than those completing a community disposal. So, though prison is always the correct disposal for serious high risk offenders, for others, community-based interventions or community sentences are likely to be more effective ways of reducing the likelihood of future reoffending. Access to appropriate community-based services that support desistance from offending and which promote reintegration are essential components of improving performance in reducing reoffending rates for those people liberated from prisons across Scotland.

THE DRIVERS OF THE SPS ORGANISATIONAL REVIEW

Scottish Government Expectations

1.28 SPS operates within a rapidly changing environment. It cannot operate effectively in isolation from the wider justice community. Increasingly the need for improved alignment and continuity of service is challenging past organisational practice, which has often seen the scope and responsibility of SPS circumscribed by the ‘bricks, bars and bolts’ of the prison wall. Tackling siloed thinking and developing an appreciation of the ‘whole system’ are key ambitions of SG and are core to the thinking and recommendations of the Review. There is already significant reform across wider justice structures and a newly published Strategy for Justice in Scotland, which provides a clear vision, aims, objectives, and principles to underpin SPS future direction. These developments are transforming the SPS operating environment. However, service reform goes beyond simply using resources and assets more efficiently. The key drivers are meeting corporate responsibilities and ensuring effective contribution to the delivery of the Scottish Government Purpose and National Outcomes.

1.29 SG has placed a renewed focus on outcome-based accountability, extending and deepening local partnerships and delivering improved and more effective performance. These factors are already requiring SPS to be more flexible, agile and forward facing. As a key operational delivery partner, SPS has an important role to play in the strategic change programme being delivered across the justice sector in Scotland – the Justice Change Portfolio.

The Justice Change Portfolio

1.30 Figure 1.4 summaries some of the key drivers of change across the justice system in Scotland. In 2011 analysis of these factors formed the rationale and basis for the constitution and development of the Scottish Government Justice Change Portfolio.¹

¹ The Justice Change Portfolio is a national change programme comprising 5 major programmes of work. The Justice Change Portfolio comprises: Police and Fire Reform, Making Justice Work, Reducing Reoffending, Building Safer Communities and Reassuring the Public Programmes.
The Review represents the internal response from SPS to shape up to the challenges facing the Justice Change Portfolio. The Recommendations should ensure that SPS has the ambition, the systems, structures and the skills to take on the demands of a more closely integrated, efficient and effective justice system and that it plays its full part in the delivery of the Strategy for Justice in Scotland. The Justice Change Portfolio is sponsored by the Justice Board, which provides leadership and alignment across the justice system. The SPS Chief Executive is a member of the Justice Board and is committed to delivering a complementary new Vision and new ambition for SPS.

The Principles of Public Sector Reform

The four pillars of public sector reform identified by the Commission on the Future Delivery of Public Services,\(^3\) underpinned the Review Team’s thinking. However, the Team’s approach has followed the lead of the Scottish Government Safer Communities Programme and included a focus on realising POTENTIAL.

The Team has therefore designed the future operating model and its Recommendations to support:
- A decisive shift towards prevention – SPS and its partners should prioritise and invest in actions that impact on the whole system, support early interventions and help prevent problems;
- Greater integration of public services at a local level, driven by better partnership, collaboration and effective local delivery – SPS should share, work towards and support outcomes with partners at both national and local levels;

\(^2\) Adapted from Together Towards a Safer and Stronger Scotland – October 2011
\(^3\) “Renewing Scotland’s Public Services
Greater investment in the people who deliver services through enhanced workforce development and effective leadership – SPS should find new and effective ways of working, which make best use of talents, capabilities, assets and potential with increased involvement of people and communities in the design of services;

A sharp focus on improving performance, through improved processes, greater transparency, innovation and use of digital technology – SPS should review its processes and operating model to maximise effectiveness, efficiency and public value; and

An approach that seeks to realise the potential and assets of individuals and communities – SPS should implement a more challenging ‘asset and desistance based’ approach to engagement with offenders and in working with communities.

The Need for Efficiency and Effectiveness

1.34 The Review also recognises the significant financial pressures that the SG will face in prioritising future resource allocation in light of financial uncertainties beyond 2015/16. It is likely that Justice and SPS will continue to face significant downward pressures on budgets over the next decade. In line with Section 32 of the Public Sector Reform (Scotland) Act 2010 SPS has a duty to publish an annual statement of steps to improve efficiency, effectiveness and economy. The Cabinet Secretary for Finance and Sustainable Growth has made the ‘expectation’ clear that each public body should deliver annual operational savings of at least 3%. The SG proposed the following DEL/Treasury budgets for SPS during the spending review periods:

2011/12 £365.5m (Current £310.0m and Capital £47.5m)
2012/13 £400.6m (Current £325.1m and Capital £75.5m)
2013/14 £364.5m (Current £342m and Capital £22.5m)
2014/15 £382.3m (Current £368.9m and Capital £13.4m)
2015/16 £398.2m (Current £368.3m and Capital £30m)

1.35 The Review has a clear focus on strategic and operational effectiveness rather than economy, its outcomes suggests that efficiency should flow from increased effectiveness. The Report makes clear that financial constraints make it imperative that investment should be diverted into front-line services that deliver outcomes rather than bolstering back office functions. Therefore some efficiency gains should be expected as a consequence of the restructuring of SPS Headquarters and other functions above establishment level. Developing greater clarity about the unit cost and activity cost of services, alongside a robust programme of process improvement should result in, improved outputs and performance, and also more efficient use of SPS assets and resources.

1.36 In October 2012 SPS submitted an estimate to Audit Scotland that across current expenditure for 2010/11 SPS spent 79% of budget on restriction of offenders, 6% on rehabilitation activities, 15% on reintegration and virtually nothing on reparative activity. More recent estimates of the spend across the four areas suggest that in 2012/13 the picture is broadly the same but with increased emphasis on reintegrative activity, though this may be partly due to coding changes and the transfer of primary health care responsibility to the NHS. The 2012/13 distribution is estimated at Figure 1.5.4

4 The estimate provided is illustrative only and is based on a large number of assumptions. SPS will be seeking to develop a more robust costing model as part of the Review Recommendations.
1.37 The challenge for the service in the future will be to ensure that its effective spend on rehabilitation and reintegration is better balanced, yields best value and provides return on investment in terms of outcomes. Accordingly, where possible, resource should be shifted to lever improved results in relation to rehabilitation and reintegration outcomes.

**Making Justice Work**

1.38 SPS is already working hard to deliver justice efficiencies alongside SG and other justice partners as part of the Making Justice Work (MJW) Programme. While much of MJW is centred on court reforms and the front end of the justice system SPS is contributing to efficiency improvements in areas such as the use of digital technology to support remote court proceedings, agents/prison visits and wider work to improve information sharing across organisations as part of the integration and improvement of criminal justice information systems. SPS will continue to work with wider partners across boundaries to ensure justice efficiency in the future.

1.39 The Review Team also consulted with Scottish Government Directorate for Governance & Communities to look at wider propositions around sharing or relocating services to improve public service efficiency. SPS has already taken forward some helpful shared service work in the IT and Procurement areas. More work is required in relation to transactional work within SPS HQ. However, the Report makes only brief commentary on shared services though recommends that SPS should remain active in scoping and pursuing opportunities to support shared service work where there is a benefit to be gained.
1.40 During consultations it was suggested that SPS had often seemed slow to take new opportunities, to diversify its service or to offer alternatives to traditional prison services. The historical development of the national Court Custody and Prisoner Escort Service has shown SPS capacity and capability to innovate and run services on behalf of multi-agency partners. The Report makes clear that SPS should be more open to alternative and new joint working approaches.

1.41 A number of suggestions were made to the Review Team about options for change, which were beyond the scope of the terms of reference. Proposals included taking on the contract management for the operation of the SG Electronic Monitoring Contract, extending SPS role to include the operation of Police Custody Units and developing new, alternative accommodation services to support increased use of bail and alternatives to custody. The Review Team recognised the possible merit of some of these proposals but considered that these would be matters for SG Policy or would require considerable scoping of benefits, costs, risks and implementation issues. No specific recommendations are made on those options, which were considered outwith scope. However, SPS should always be prepared to work positively with wider justice partners to develop new ways of delivering services or using resources in more efficient ways.

1.42 Like all public bodies, SPS is required to deliver its services to meet the requirements of wider SG expectations. As an Agency of SG, SPS also has a duty to deliver Best Value and is assessed against relevant criteria by Audit Scotland. The Report Recommendations should help to improve SPS performance against the five generic themes and two cross cutting characteristics of Best Value:

- Vision and Leadership;
- Effective Partnerships;
- Governance and Accountability;
- Use of Resources;
- Performance Management; and, two cross cutting themes,
- Equality; and
- Sustainability.

1.43 The proposed Change Programme will also focus SPS on developing a continuous improvement approach across best value criteria. In 2006 Audit Scotland assessed SPS as ‘well developed’ across 6 of the defined characteristics of best value. Two specific areas were specified as still ‘under development’:

- Responsiveness and consultation, and
- Joint working

Implementing the Review Recommendations around developing partnerships will help SPS move to having well developed arrangements across the range of Best Value themes.

**Building Safer Communities and Reducing Reoffending**

1.44 The Scottish Government Safer Communities Programme proposes a vision for a:

“flourishing, optimistic Scotland in which resilient communities, families and individuals live safely free from crime.”
The Programme seeks to address the underlying causes of crime, to deter offending and to reduce opportunities to commit crime. Complementary to that, and at the centre of SPS rehabilitation and reintegration work, the Reducing Reoffending Programme seeks to improve the joint prison and community response to encouraging offenders to desist from offending. Both have relevance to the strategic approach of SPS.

1.45 SPS has a role to play in public protection and crime prevention. The Service already works closely with Police Scotland and other agencies. But new thinking around building safer communities is also influencing and shaping practice in relation to the management of the prison community as well as the SPS approach to collaborative, reintegration work. Figure 1.6 illustrates the key messages from SG evidence reviews about building safer communities.

**Figure 1.6: What Works to make Communities Safer**

<table>
<thead>
<tr>
<th>DETERRING OFFENDING</th>
<th>REDUCING OPPORTUNITIES TO COMMIT CRIME</th>
<th>TACKLING THE CAUSES OF CRIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understanding the real, social cost of crime</td>
<td>Reducing boundaries to accessing services</td>
<td>Building the perceived value of citizenship</td>
</tr>
<tr>
<td>Understanding the value of SPS contribution</td>
<td>Reducing misuse of drugs and alcohol</td>
<td>- Compassion/empathy</td>
</tr>
<tr>
<td>Upholding and operating within the rule of Law</td>
<td>Diversionary and supportive activities</td>
<td>- Dealing with trauma</td>
</tr>
<tr>
<td>Detecting crime</td>
<td>The importance of ‘place’ in deterring crime, in reducing opportunities to commit crime and in defining access to services that prevent crime or promote desistance</td>
<td>- Self-esteem/ambition</td>
</tr>
<tr>
<td>Deterring crime within the law</td>
<td></td>
<td>- Self-control</td>
</tr>
</tbody>
</table>

1.46 Prison staff looking at the scope of preventative principles will see parallels to the work that is performed daily across prison communities. However, introducing a more ‘preventative’ approach will have implications for SPS practice. Accordingly the Report recommends the development of a more asset driven and desistance-based approach within Scottish prisons that will complement wider SG work to reduce reoffending.

1.47 Phase 1 of RRP introduced the Community Payback Order, the piloting of the whole system approach for young people and the development of a nationwide directory of services aimed at reducing reoffending services and programmes. SPS has already seen potential benefit from the achievements of the first Reducing Reoffending Programme with, for example, a reduction in the young offender population. Though, it is too early to tell whether this is part of a sustained downward trend.
1.48  The SG is now leading the second phase of the RRP with 6 key projects. The projects cover:

- **A Comprehensive Review of Funding**
  This project is considering how the impact of funding can be maximised for services that work to reduce reoffending. In August 2012 SG launched the Reducing Reoffending Change Fund (RRCF), which provides mentorship and support to short-term offenders on release from prison across Scotland. The approach emphasised the importance of preventative spend and sought to ensure sustainable funding for third sector services through a Public Social Partnership (PSP) approach. SPS has also contributed to the fund. SPS needs to establish exactly how it can most effectively work with the new Public Social Partnerships to maximise the benefits of mentorship schemes across Scotland.

- **Service and Throughcare**
  This project builds upon early work to improve information, assessment and community integration planning for offenders. The work includes pilots at HM Prisons Perth, Cornton Vale and Greenock and the piloting of a Community Support Integration Officer role, which provides voluntary support for short-term offenders (along with community partners) for up to 6 weeks after liberation. This is a platform that SPS believes provides a real opportunity to extend the efficacy of team-based offender engagement beyond the prison wall with the third sector, community justice social work and other service providers.

- **Reforms to Improve Responses to Women who Offend**
  The project on ‘Women who Offend’ is overseeing the implementation of change in response to the recommendations of the Women’s Commission. A key product is a longer term (10-15 years) national strategy for women offenders. During the current year the first integrated community justice centres for women will be opened. SPS has a detailed Action Plan for delivering its Strategy for Women Offenders in Custody. Work being taken forward by SPS includes the development of the new national women’s prison at Inverclyde. The Review does not seek to cut across or make recommendations specific to the significant platform of work already being taken forward in relation to both women offenders and young people, though many Recommendations will have implications across all groups of offenders.

- **The Community Payback Order (CPO)**
  This project will ensure that the use of the CPO is maximised as an instrument of rehabilitation and to build upon the unpaid work aspect of the order.

- **Overhauling Performance Management**
  The project is considering how best to measure the delivery of justice outcomes and the contributory outcomes of each justice organisation towards the goal of reducing reoffending. SPS work, as part of the Review, will contribute to the development of the performance framework for justice and SPS will ensure that its own work and Key Performance Indicators (KPI) reflect, and are phased and implemented in such a way, as to contribute to the evolving justice performance framework as part of RRP2.
Redesigning the Community Justice System

The efficacy of current arrangements for delivering community justice is currently subject to a consultation on the best model of delivery for the future. This includes the current arrangements by which funding is dispersed to eight Community Justice Authorities (CJAs) who are responsible for setting the direction and priorities on reducing reoffending. The Team’s thinking takes into account community justice redesign options and ensures that SPS arrangements are capable of aligning with the preferred model, once known. SPS needs to be better connected into Community Planning Partnerships (CPPs) at national and local level.

Reducing Reoffending: The Evidence

1.49 SG published a summary of evidence\(^5\) in relation to reducing reoffending in October 2011. As part of its evidence-based approach, SPS has already factored many of the key messages from that research into its Intervention Strategy but there is significantly more to do. Improving the evidence base and knowledge transfer capacity of SPS will mean investing in increased research and development functionality. This should increase strategic reach, evidential impact and alignment with wider evidence-based policy development. The implications of current evidence for future practice have been incorporated into the development of a revised operational philosophy for the service. The key messages from research are that the most effective way to support change in offenders is to:

- Change thinking styles;
- Increase motivation to change and promote self-efficacy;
- Address practical needs;
- Develop pro-social skills;
- Reward positive behaviour; and
- Ensure interventions are appropriately targeted, sequenced, delivered and matched to offender level of motivation and need.

1.50 The SG evidence reviews provide helpful advice on the direction of travel for the future development of prison-based activities and services. Evidence shows that prison is not in itself a sufficient mechanism to motivate and support change. What is needed is a much more focused and concerted whole system approach that places the offender at the centre of strategy and practice and which shifts the treatment of the offender from object or subject to a person and citizen. A person-centred not prison-centred approach.

1.51 Evidence also suggests that the places where people live has a significant impact on quality of life. The ‘place’ where people live defines the opportunities that they have, the services that can be accessed, the environment that they live in and the connections that they have with neighbours and the wider world. There is already significant evidence that these factors are of critical importance to wellbeing, to equalities, to opportunity and to realising individual potential. People are no different, whether they are in prison or in the community. Therefore SPS needs to take this into account in its connections and linkages with the community and in the shape of its partnerships and collaborations.

\(^5\) What Works to Reduce Reoffending: A Summary of the Evidence  
1.52 Accordingly the Report focuses on how SPS can develop a more asset-based approach, working collaboratively with communities, to help prevent future inequalities and generational offending. Evidence suggests that 5 principles are critical to such an approach. These principles have influenced the new operating philosophy for the service. They are:

- **Relationships** are key to engagement and change;
- **Place** is important in understanding and aligning services to individual needs;
- **Citizenship** is the ultimate goal;
- **Inclusiveness** and alignment between community and prison approaches is essential to reintegration, and
- Understanding collective **assets** will be essential to make partnerships more effective.

### Penal Policy and Prison Population

1.53 No review of the change drivers for SPS would be complete without reference to the impact of a rising prisoner population. The population charts reproduced at Annex 4 make clear the scale of the operational challenge facing SPS, should current projections of prisoner population materialise. The most recent assessment, carried out as part of wider justice planning assumptions is that SPS will require to manage a prisoner population of 8,600 during 2013/14 (with potential for it to be slightly lower) and from 9,000-10,000 by 2020.

1.54 While penal policy is a matter for SG, SPS has a role to play in helping to inform policy as well as in delivering it. To this end SPS is working with SG to assess what can be sustained in terms of absorbing increased prisoner numbers; the impact that this may have on SPS ability to deliver work aimed at reducing reoffending; and the effect that increased prison numbers may have on the shape and organisation of the future prison estate. While increases in the prisoner population are a significant risk to the future effectiveness of SPS and to SPS capability to deliver the new operating model the Review does not seek to duplicate work already underway in relation to managing future population pressures.

1.55 The Cabinet Secretary for Justice has made Scottish Government penal policy clear. In a Parliamentary Debate in January 2009 he stated: 
“*We remain committed to providing a modern, fit for purpose and, for the most part, publicly run prison service. We have committed to three new prisons and we are investing a record £120 million each year in prison capacity. However, we cannot and will not keep building more and more prisons to fill with offenders who are caught in the cycle of low-tariff reoffending.*”

1.56 SPS has a key role to play in ‘breaking the cycle’ of low tariff reoffending and will require to develop improved capacity and capability to deliver increased motivational work and improved support and opportunities for short-term and remand prisoner populations. The Review takes cognisance of the operational difficulties that operating significantly over design capacity brings including:

- Capacity issues created by volume and range of need;
- Time constraints for activities created by volume and churn;
- Stretched capability created by volume of demand; and
- Operational issues and risks consequent to limited regimes.
SPS also recognises that operating significantly over design capacity will pose a major risk to the delivery of the proposed change agenda and will limit SPS capability to offer anything but humane containment. However, SPS cannot simply ignore the need to reduce ‘repeat business’ in its prisons. To do so would make SPS a part of the problem rather than part of the solution. This will require SPS to energise its change potential and to rigorously reassess its operational processes in terms of ensuring efficiency and effectiveness. SPS will need to do ‘better for less’ (and for more offenders). This is a key driver of the transformational change programme.

**Imprisonment in Scotland under Scrutiny**

During the past 5 years there has been an almost unprecedented focus on the effectiveness of justice, penal policy and the use and practice of imprisonment across Scotland. In July 2008 the Report of the Scottish Prisons Commission produced 23 recommendations around the purpose and impact of imprisonment in Scotland. In May 2008 Audit Scotland provided a report on the issues and impact of ‘Managing Increasing Prison Numbers in Scotland’[^6]. In June 2012 the Commission on Women Offenders[^7] reported its findings and in November of the same year Audit Scotland reported on Reducing Reoffending in Scotland[^8]. Most recently, in March 2013, the Justice Committee completed its ‘Inquiry into Purposeful Activity in Prisons’[^9]. In addition, routine scrutiny through a series of critical HMCIP reports echoed core messages for SPS around the need for improved strategic leadership, better engagement of offenders in rehabilitative activities, clearer understanding about the allocation of resources and the value derived, improved delivery of activities that support reintegrative outcomes and improved evidence of SPS contribution to reducing reoffending.

The Report Recommendations and the future Road Map will set out how SPS intends to rise to these challenges and to play a fuller part in contributing to improved practice across the operation of the justice system across Scotland.

The drivers for change impacting on SPS are summarised at Figure 1.7. The diagram illustrates that the scope of the Review needs to be wide, ambitious and far reaching. The Report provides a range of strategic Recommendations aimed at lifting organisational eyes to the horizon and setting a new strategic direction for the service. The Recommendations are ‘game changing’. The Report presents an ambitious Vision for the future, which has been developed by engaging internally and externally, in a strategic conversation about the effectiveness of Scottish Prisons. The Team has sought to keep the conversation real and the emerging recommendations practical.

Figure 1.7: Summary of Impact Factors Considered by the Organisational Review

**NEW OPERATIONAL DYNAMICS**
- Prison population
- Performance and purposeful activity
- Outcomes approach
- Segmentation of Women, YOIs, STPs
- Efficiency and effectiveness
- Capacity and capability
  - Maximising intervention efforts with STPs and Remands as a driver of reduced reoffending
  - Linkages to new throughcare partnerships

**INTERNAL GOVERNANCE**
- More functional roles and structures
- Better accountability and empowerment
- New ways of working
- New partnerships/collaboration
- Robust risk and change management
- Assure strategic approach to resource allocation and investment
- Assure quality of delivery and continuous improvement
- Improved information management
- Build organisational capability and succession planning
- Efficiency gains and savings demands

**NEW STRATEGIC DEMANDS**
- Justice Change
  - Reducing reoffending
  - Making justice work
  - Reassuring the public
  - Scottish Government expectations
    - Learning and young people
    - Local planning and local partnerships
    - Whole system prevention and early intervention
    - NHS partnerships
    - Community justice restructuring
    - Engaging with wider policy

**OVERCOMING TRADITION: DEVELOPING NEW CULTURE**
- Resetting the balance between Custody, Order, Care and Opportunity
- Putting the offender at the centre
- Object/Subject to Person/Citizen
- Opening ourselves to the challenge of evidence
- Shifting from a deficit to a strength/asset-based approach
- Shifting from ‘prison’ to ‘offender’ management
- Encouraging collaboration and trust
- Embracing wider social responsibility

**CHANGING OUR GAME**
Challenging traditional approaches, boundaries and silos. Rethinking our arena of activity

**CHANGING OUR RULES**
Changing our ethos, our culture and our services to create greater public value. Investing in new thinking

**CHANGING OUR PLAY**
Improving our leadership and level of operational performance, skill and efficiency
A STRONG ORGANISATION WITH A COMMITMENT TO CHANGE

1.61 The Review Team, like many stakeholders that were consulted, are clear that SPS is a good delivery organisation that has evidenced a significant record of achievement and sound operational management, often in the face of difficult circumstances.

1.62 At the 2013 'Cabinet Secretary for Justice Awards Ceremony' both the Cabinet Secretary and the Chief Executive referred to SPS as an 'outstanding' organisation and paid tribute to the job that SPS staff do on a day-to-day basis, often in challenging circumstance with some of Scotland’s most challenging people. SPS is an organisation that rightfully prides itself in its operational and custodial delivery.

1.63 Despite a rising population and associated pressures SPS has delivered an excellent record of success in terms of custody, good order and safety over the last decade. The basic requirement of a safe and stable prison system cannot be taken for granted or treated with complacency. SPS has improved its delivery against a range of key performance and service indicators and has delivered major change initiatives such as the opening of two new prisons, the retendering of the Court Custody and Prisoner Escort Service and the transition of prisoner healthcare to the NHS in November 2011. These are clear indicators of SPS capability to innovate, take on and drive change successfully. SG has also invested in modernising much of the prison estate, which is a strong enabler of service improvement and makes delivering a return on investment all the more important. Much of this success has been achieved through the significant commitment and operational skills of SPS staff. There is much for the Service to be proud of. However, this will not in itself be sufficient for future success.

1.64 The clear message from the Review is that SPS is a strong organisation with a sound record of custody and care. SPS has a stable platform of good practice that it will wish to retain but it is also an organisation that cannot afford to stand still. The stakes and the challenges facing the justice system in Scotland are too great. Expectations have changed and SPS will need to rise to new demands and be clearer about the public value of the services it provides.

1.65 This will not be a quick fix solution or a ‘big bang’. It is the beginning of a journey with a Road Map that will future enable SPS to play its full part in the delivery of SG’s ambitions, as set out in the Strategy for Justice in Scotland. It is the next step of a journey that began for SPS nearly a quarter of a century ago.
SESSION 2: RECONNECT AND REFORM: STAKEHOLDER ANALYSIS

RECONNECTING: OUR PLACE IN THE JUSTICE FAMILY

Introduction
2.1 This section summarises the views of SPS stakeholders in relation to the role, purpose, performance and change agenda for SPS. During the review process the Team conducted several field trips, workshops, internal and external consultations, a literature review and a horizon scan of international good practice. From each of these sessions the key messages about SPS future direction were distilled.

2.2 The diagnostic process covered two phases. The first phase from July to December 2012, involved individual interviews with key stakeholders, both internal and external. The feedback from stakeholders and the first phase Strategy Workshops formed the basis for developing a refreshed Vision and Mission, highlighted emerging strategic priorities and provided a set of principles to inform the future Target Operating Model (TOM) for SPS. Second phase work extended the consultations to consider the wider strategic operation and performance of SPS in the context of the changing justice environment and highlighted strengths, weaknesses and strategic opportunities.

Reconnecting with the Justice Family: External Stakeholder Feedback
2.3 The consultations highlighted the increasing need for an integrated justice system across Scotland. SPS has an important and singular role to play within justice but needs to operate in a collaborative and responsive way to the requirements of the wider justice system. The need to interface and cooperate across organisational boundaries is likely to intensify even further with the drive to make the justice system operate more efficiently and effectively.

2.4 New pressures to think across the whole system and to align SPS with the emerging justice and public service landscape required wide consultation with stakeholders to better understand the environmental factors that will impact on the future operation of SPS. The Organisational Review Steering Group also provided a strong external view and a robust challenge function.

2.5 Traditional tools, including SWOT and PESTLE analysis were used to identify the key issues arising from stakeholder feedback. A summary of the PESTLE suggestions is included at Annex 5 and a SWOT summary is at Annex 6.

2.6 Stakeholders provided views about what SPS did well and things it needed to do better. Areas of strength included agreement that SPS delivered well in relation to custody and good order and that it had strong governance and control with well embedded risk management. It was perceived as an organisation that gets things done. There was agreement that the ethos of delivering care and decency was a strength and that developments such as the transfer of primary health care in prison to the NHS presented a significant opportunity in whole system terms. Collaborative working within SPS was seen to be an improving area and staff engagement was believed to be positive. The SPS staff Engagement Index in the annual Civil Service Employee Survey in 2012 was 60%, slightly better than the Civil Service average of 58%. Finally the well-established Prison Survey was seen as a significant asset, though wider ‘user engagement’ was perceived as an area requiring further development. Others areas for development were suggested:
- A shift in focus from prisons at the ‘macro’ level to offenders at individual level;
- Improved transparency, less defensiveness and better integration within the justice family;
- Improved communications and a more consultative approach;
- A stronger strategic focus on rehabilitation and greater contribution to policy;
- More involvement with offenders’ families with better information and services;
- Intervention and Purposeful Activity Strategies for SPS should be better articulated, evidenced and aligned with community services and activities;
- Leadership, management and staff development needed increased priority;
- Improved clarity about how SPS engages and collaborates with partners; and
- The organisational transformation work needed to change the deep culture of SPS as well as systems and structures.

2.7 Key messages are highlighted diagrammatically in Figure 2.1.

Figure 2.1: Drivers for SPS Strategy in Future Change

2.8 The Review Team noted a high degree of consistency between the external stakeholder comments and those of internal stakeholders, which provided strong validation of the Recommendations arising from the Review. It is to the views of SPS internal stakeholders, managers, staff and Trade Union Side that the Report now turns.
REFORMING OUR SERVICE: INTERNAL STAKEHOLDER ANALYSIS

Internal Stakeholder Consultations

2.9 The Review also took a wide consultative approach with internal stakeholders. The scope of the internal consultation exercise was wide and consisted of five stages. These are outlined in Figure 2.2.

Figure 2.2: Scope of Internal Consultation Exercise

**STAGE 1**

**IDENTIFYING DRIVERS FOR CHANGE**

- Individualised Meetings with:
  - Directors
  - GICs
  - HQ Functional Heads

**STAGE 2**

**DEVELOPMENT OF EMERGING CORPORATE STRATEGY & OPERATING MODEL**

- Strategy Workshop with:
  - Directors
  - GICs
  - HQ Functional Heads

**STAGE 3**

**INFORMATION SHARING**

- Series of workshops with:
  - GICs
  - HQ Functional Heads
  - TUS
  - SPSC Leaders

**STAGE 4**

**GAINING FEEDBACK**

- GIC Cluster Workshops
  - HQ Functional Heads Small Workshops
  - TUS Small Workshop
  - Communications Workshop

**STAGE 5**

**AGREEING CORPORATE STRATEGY**

- Meetings with TUS & PGA
- Meetings with SPS Managers
- SPS Board presentations

Identifying the Drivers for Change

2.10 The objective of Stage 1 of the consultation was to provide context to internal stakeholders around the scope of the Review and to ascertain what they believed and understood to be the underpinning reasons for a fundamental review of the SPS corporate strategy, management framework and operating model.

2.11 Internal stakeholders were asked four standardised questions at an individualised meeting (Annex 7). Responses did not focus purely on the future SPS corporate strategy, management framework and operating model, internal stakeholders also took the opportunity to emphasise a variety of more general improvement points to the Review Team.

2.12 Internal stakeholders were clear about the existing corporate strategy, in particular, the Mission (COCO). As with external stakeholders staff believed that SPS is good at custody and order. In their view, this is supported by a well embedded understanding of, and belief in, the Mission on the part of staff. This appears to be confirmed by the SPS Staff Engagement Survey, autumn 2012 (the Staff Survey). When asked, 85% of respondents reported that they had a clear understanding of the SPS purpose and 82% advised they had a clear understanding of SPS objectives.
2.13 Some internal stakeholders voiced concerns that in order to progress, the organisation should not discard what is good and emphasised that safe, well run custody is an essential platform for any prison system. This caution was balanced against a desire that the organisation should embrace the Review for the opportunity it provided. Internal stakeholders were also clear that change needed to be managed appropriately and to engage all staff. Communications, in particular, were viewed as a key challenge in this regard.

2.14 When considering future corporate strategy, internal stakeholders were also clear that SPS needed to be more ‘expert’ and influential. One consultee suggested: “SPS should become the leaders and the driving force for change in penal policy and offender management.”

2.15 Moreover, internal stakeholders were ambitious in what they believed the organisation should seek to offer by way of a value proposition: “SPS activities should span the offender journey pre-custody, during custody and post custody including those on remand.”

2.16 In order to achieve such ambitions, internal stakeholders were clear that the reducing reoffending agenda required to be at the forefront of SPS corporate strategy and that all staff needed to be clear about how their role directly contributed to offender management: “...in respect of the Vision SPS needs to change its thinking... it is narrow to say that staff know the vision of SPS because they can quote COCO... staff need to understand their role in the future vision, it is not just an acronym.”

2.17 Internal stakeholders recognised that in order to deliver this ambition and a reshaped service, staff development will be required at all levels within the organisation and that SPS should strive to have a more professionally recognised and qualified prison officer.

2.18 In addition, there was an acknowledgement that to deliver this reshaped service, SPS needed to: “...clearly define who SPS partners are, the difference in working with central government, local government and third sector and to be robust in determining who is offering what is needed i.e. what works and is known to be effective.”

2.19 Internal stakeholders considered the current SPS corporate strategy, management framework and operating model had a number of strengths as well as weaknesses (see Annex 8). These are categorised by theme in Figure 2.3.
2.20 There are clear parallels between the key themes outlined from the internal stakeholder analysis and the Staff Survey. When asked if SPS was managed well, only 45% of respondents answered positively. Interestingly, only a third of respondents felt that poor performance was dealt with effectively within their team. In relation to the existing corporate management strategy, only 41% of respondents felt that there was a clear vision for the future with 37% having confidence in the decisions made by the organisation’s senior managers. When it came to change only 34% of respondents felt that was managed well within SPS. Moreover, only 44% believed that SPS kept them informed about matters that affect them.

2.21 Seven key drivers for changing the corporate strategy, management framework and operating model emerged as a consequence of this work. These are summarised in Figure 2.4.

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**Figure 2.3: Current Corporate Strategy, Management Framework & Operating Model: Strengths and Weaknesses**

<table>
<thead>
<tr>
<th>Key Theme</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Corporate Strategy</td>
<td>■ New Vision, Mission and Strategic Objectives are required</td>
</tr>
<tr>
<td></td>
<td>■ Need for alignment to the changing justice environment</td>
</tr>
<tr>
<td></td>
<td>■ Not evident how resources are spent on reducing reoffending</td>
</tr>
<tr>
<td>2. Operating Model and Corporate Management Framework</td>
<td>■ Role/structure unclear, some overlap, lack of clarity &amp; accountability</td>
</tr>
<tr>
<td></td>
<td>■ Leadership needs strengthened</td>
</tr>
<tr>
<td></td>
<td>■ Need to empower/delegate/be more strategic</td>
</tr>
<tr>
<td></td>
<td>■ Need to develop team approach</td>
</tr>
<tr>
<td></td>
<td>■ HQ not structured to support front-line services</td>
</tr>
<tr>
<td>3. Cross-functional/partnership working</td>
<td>■ Communications require to be improved</td>
</tr>
<tr>
<td></td>
<td>■ Poor sharing of good practice</td>
</tr>
<tr>
<td></td>
<td>■ Operation still too siloed</td>
</tr>
<tr>
<td>4. Support Services</td>
<td>■ Good internal systems/controls</td>
</tr>
<tr>
<td></td>
<td>■ High quality estate</td>
</tr>
<tr>
<td></td>
<td>■ Disproportionate emphasis on support services</td>
</tr>
<tr>
<td></td>
<td>■ Driven by finance focus on efficiency not effectiveness</td>
</tr>
<tr>
<td>5. Cultural and Change Management</td>
<td>■ Culture needs addressed</td>
</tr>
<tr>
<td></td>
<td>■ Organisation is risk averse/resistant to change</td>
</tr>
</tbody>
</table>
Developing the Future Operating Model

2.22 Stage 2 of the internal consultation exercise sought to further develop the emerging corporate strategy and operating model. A Strategy Workshop was convened in early November 2012, attended by both internal and external stakeholders. The product of this workshop was a draft Vision Statement, which provided direction for further refinement in developing a draft Mission Statement and Strategic Priorities for presentation to the SPS Board for consideration in December 2012. The refinement of the Vision and Mission has remained an iterative process throughout the life of the Organisational Review. The basis for developing the new Vision and Mission is covered in Section 3.

2.23 Following the Strategy Workshop, a number of design principles to underpin the development of a revised operating model for SPS were agreed with the Chief Executive, illustrated at Figure 2.5. These design principles formed the basis for developing a Target Operating Model to be applied to future SPS roles and structures.
2.24 Stage 3 of the internal consultation exercise commenced in January 2013 and over a two month period a series of workshops took place with internal stakeholders (Governors in Charge, HQ Functional Heads, the TUS and Scottish Prison Service College (SPSC) Leaders). These workshops provided internal stakeholders with firstly, a progress update and secondly, information on the shape of the emerging corporate strategy and the design principles for the Target Operating Model to be applied to future operational business.

2.25 The objective of the workshops was to gain feedback from internal stakeholders to inform not only the future direction of the emerging corporate strategy but also the construction of the structure underpinning the target operating model. In addition to sharing the above information, a series of questions were posed to internal stakeholders, Annex 9. Internal stakeholders were asked to discuss these questions in smaller groups at the workshops and were encouraged to reflect on both the information provided and questions posed in advance of providing feedback to the Review Team during Stage 4.

2.26 The workshop with SPSC Leaders, whilst providing a progress update and information on the shape of the emerging corporate strategy and operating model, had a slightly different focus. It sought to explore and begin to identify how SPS could develop and build the capacity and capability in its people to deliver the new corporate strategy. This is discussed in detail in Section 6.
Testing the Corporate Strategy and Operating Model

2.27 Due to timescales, there was some overlap between Stages 3 and 4 of the internal consultation exercise during February and March 2013. During Stage 4, at a series of workshops, feedback was sought from internal stakeholders (Governors-in-Charge, HQ Functional Heads, the TUS, PGA and SPS Executive Group) around the emerging corporate strategy and operating model presented to them during Stage 3.

2.28 Internal stakeholders’ feedback during Stage 4 was wide ranging, see Annex 10. There were some suggested risks around the emerging corporate strategy and operating model. In particular, that the proposals could prove too ambitious and that without collaboration with external partners, outcomes would not be capable of being realised by SPS alone. Such risks would need to be carefully managed. However, there was general acceptance that in order to demonstrate public value SPS needed to refresh the corporate strategy and operating model to ensure that it is sufficiently flexible to deliver future ambitions.

2.29 There was clear agreement amongst internal stakeholders that SPS should adopt a more offender-centric approach. In order to realise this ambition internal stakeholders were of the view that the organisation must have a common and shared understanding around a desistance and asset-based approach to offender management. A review of the current operating philosophy and how SPS will build an asset-based approach to offender management is explored in Section 4.

2.30 It was clear to internal stakeholders that there is a need for Directors, Governors-in-Charge and HQ Functional Heads to become both more strategic and champions of the transformational change. It was also recognised that there should be better connectedness between Headquarters and establishments and that clear, outcomes focused performance measures must be put in place. There was acceptance that the siloed way of working, which exists within the current structure had to change and that cohesive and efficient internal structures and systems required to be formulated. The design process and changes required to arrive at a revised operating model are outlined in Section 5.

2.31 Internal stakeholders identified a need to improve the organisation’s overall skills base. To this end, they were clear that improving leadership capacity and capability through staff development pathways will be a key part of the future Road Map for SPS. Moreover, the organisation will need to work hard around areas of professionalisation to improve parity in the perception of SPS with other professional organisations for example, social work and police. This is discussed further in Section 6.

2.32 It was also recognised by internal stakeholders that developing existing and building new, successful external partnerships will be crucial to SPS in realising its ambitions for reducing reoffending both pre and post custody. The importance of connecting with partners to deliver inter-organisational working arrangements was discussed by internal stakeholders. How SPS intends to achieve this is discussed in Section 7.
2.33 Internal stakeholders recognised that in terms of performance, SPS has proven itself to be efficient but not necessarily effective; hence the desire to move to outcomes focused performance measures. In redesigning the performance framework, internal stakeholders were clear that SPS should ensure alignment with both the National Performance and Justice Frameworks. How SPS will deliver new outcomes and improve performance is outlined in Section 8.

2.34 There was considerable discussion at the Stage 4 workshops around the importance of improving both internal and external communications in order to properly enable the transformational change and how that will set the tone for cultural change. Given this was a common thread through all Stages of the internal consultation exercise a separate Communications Workshop was convened with internal stakeholders in mid-March 2013. The final Sections of the Report deal with the management of change and communications in SPS.

2.35 Following the presentation to the SPS Board in December 2012, the Review Team provided an update on the internal and external consultation exercises to the SPS Executive Group. The Executive Group confirmed their support for the design principles underpinning the development of a revised operating model for SPS, which was agreed by the Chief Executive in December 2012.

Refreshing the Model

2.36 During the writing up period the Team continued to work with stakeholders and to run information sharing and ‘open door’ sessions for staff. Exploratory workshops to scope out how an asset-based approach might be applied and to explore improvement methodologies to help deliver better outcomes through collaborative effort were also run.
**NEW AMBITIONS FOR SPS**

**Contributing to the Strategy for Justice in Scotland**

3.1 The Strategy for Justice in Scotland sets out an ambition for a world-class justice system in Scotland which makes a real difference to Scottish society. It sets out a Vision for:

"a justice system that contributes positively to a flourishing Scotland, helping to create an inclusive and respectful society, in which all people and communities live in safety and security, individual and collective rights are supported, and disputes are resolved firmly and swiftly."

3.2 The Justice Strategy sets out eight Justice Outcomes and the associated priorities necessary to achieve the ambitious vision for justice in Scotland.

**Figure 3.1: Strategy for Justice in Scotland – Outcomes and Associated Priorities**

<table>
<thead>
<tr>
<th>Justice Outcomes</th>
<th>Associated Priorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>We experience low levels of crime</td>
<td>1. Reducing crime, particularly violent and serious organised crime</td>
</tr>
<tr>
<td></td>
<td>2. Reducing the damaging impact of drug and alcohol problems</td>
</tr>
<tr>
<td></td>
<td>3. Preventing offending by young people</td>
</tr>
<tr>
<td></td>
<td>4. Reducing reoffending</td>
</tr>
<tr>
<td>We experience low levels of fear, alarm and distress</td>
<td>5. Increasing public confidence and reducing fear of crime</td>
</tr>
<tr>
<td>We are at low risk of unintentional harm</td>
<td>6. Reducing the harm from fires and other emergencies</td>
</tr>
<tr>
<td>Our people and communities support and respect each other, exercising both their rights and their responsibilities</td>
<td>7. Tackling hate crime and sectarianism</td>
</tr>
<tr>
<td></td>
<td>8. Strengthening community engagement and resilience</td>
</tr>
<tr>
<td>We have high levels of confidence in justice institutions and processes</td>
<td>9. Transforming civil and administrative justice</td>
</tr>
<tr>
<td>Our public services are fair and accessible</td>
<td>10. Widening access to justice and advancing law reform</td>
</tr>
<tr>
<td>Our institutions and processes are effective and efficient</td>
<td>11. Enhancing efficiency</td>
</tr>
<tr>
<td>Our public service respect the rights and voices of users</td>
<td>12. Supporting victims and witnesses</td>
</tr>
</tbody>
</table>
3.3 SPS has both direct and indirect contributions to make to these outcomes. However, to deliver the full scope and scale of these ambitions will mean improving the fit of SPS within the whole system, changing culture, building organisational and individual capability and improving service quality and practice. Crucially, the wider ambitions for justice will test the understanding of the public value that SPS services deliver across Scotland, particularly if SPS performance as a public body is to be properly gauged and its delivery and resource allocation is to be more efficient and effective. The concept of public value is traditionally defined as covering three areas that citizens value: Outcomes, Service and Trust. These are recurring themes throughout the Report.

Delivering New Value

3.4 During the course of the Review it became evident that SPS needed to have a sharper focus on the value and transparency of the services it provides to the public, to be clearer about setting cultural expectations and priorities and to ensure direct alignment between organisational values and behaviour. The Review Team concluded that limited corporate recognition of SPS public value had manifested itself in a number of ways across the organisation, in the behaviour, practice and cultural artefacts of SPS. Some examples illustrating this ambiguity around public value which were suggested during consultations included:

- Critiques by Audit Scotland which made clear that SPS had:
  - Little evidence of the outcomes it delivered;
  - Limited understanding of technical and cost efficiency and even less so its allocative efficiency;
- References in HMIP reports to SPS being an organisation that ‘hid its light’, even when practice was good;
- The lack of information available to families and the wider public, including educational materials on the SPS internet site. This was seen as reflective of an inward facing organisation that did not recognise the needs of all its stakeholders.
- The lack of recognition given to the significant community information and education sessions actually delivered by SPS staff across Scotland. Such work should be corporately recognised and acknowledged as part of SPS efforts to reassure the public and to build confidence in its services and the justice system as a whole.

A New Opportunity and New Responsibility

3.5 Throughout consultations there were clear examples given that resonated with the need to develop SPS knowledge and transparency about outcomes, quality of service and public trust. Improving these dimensions will mean challenging some long standing practice and developing a new sense of purpose and direction.

3.6 The last underpinning statement of the operating philosophy of SPS was published in 1990, as ‘Opportunity and Responsibility’\(^\text{10}\). The Review concludes that the time is right to build upon the strong principles of Custody, Order, Care and Opportunity (COCO) to develop a new and defining statement of contribution that will provide a foundation for shifting organisational focus and culture and for improving operational practice and delivery of outcomes. The new operational philosophy will be focused on the delivery of a new Vision and Mission for SPS, will be underpinned by evidence and will fit with the tenets of the Strategy for Justice in Scotland.

3.7 Opportunity and Responsibility emerged as a consequence of several years of significant prisoner unrest between 1986 and the 1990s, when SPS experienced a period of serious and concerted disorder. The document introduced the concept of the ‘responsible prisoner’ as well as highlighting that justice, equality, fairness and proportionality are as important to positive prisons as they are to community wellbeing. The resulting changes to SPS operating practice and the shift in the role of the prison officer recognised that care and support, moral authority and legitimacy are all necessary to operate a stable and positive prison system.

3.8 However, to allow personal development towards citizenship or ‘human flourishing’, as Liebling\textsuperscript{11} puts it, will require a further step forward in prison practice and operation. Most importantly in taking forward this change will be a transformation in how staff are both led and skilled to support change. As Liebling states “We are not static creatures, but create and develop continually. An environment that keeps us static is essentially inhumane. That some, albeit few prisons facilitate ‘a feeling of personal development’ is a finding worthy of further exploration.” SPS intends to take forward that ‘exploration’ in an active and evidenced way.

3.9 It is the development of ‘high flourishing’ prisons that work to unlock potential that will drive the future transformation and culture change required within SPS and across its prisons. Changes will be required, not just in systems and structures, but in the leadership, skills and style of SPS and in the behaviours and the values that are embraced. Some of this thinking has already started with the development of a learning campus at Polmont and the new thinking going into Low Moss, Grampian and Inverclyde Prisons. However, SPS needs to build on such innovative platforms and develop good practice across the prison estate. This is a demanding agenda that should engage, challenge and motivate both staff and offenders alike. The change will be both incremental and transformational. It is an agenda about shifting the deep culture of Scottish prisons.

Creating New Culture and Values

3.10 The ethos and culture of organisations is important in determining the extent to which services either create or destroy value. SPS is no different. Cultural change lies at the heart of the transformation envisaged by the Review. A new ambition, a new vision and a new approach to delivering the SPS contribution to the Strategy for Justice in Scotland.

3.11 Few would deny the importance of culture in shaping prison management and the way services are delivered on the ground. Culture is of course formed by the attitudes, behaviours, assumptions and belief systems of those within the system, including prisoners, and is reinforced by organisational rules, roles and boundaries. It also shapes the ‘climate’ (the explicit behavioural characteristics that manifest in the organisation, e.g. the way that staff treat prisoners.) These factors have a major effect on the operation of prisons, the opportunities provided to offenders and the stability of the prison system itself. The cultural change required of SPS will mean developing a new Vision for a new Service.

\textsuperscript{11} Is there a Role for Prison in Desistance? Alison Liebling, University of Cambridge, June 2011 (Page11)
3.12 Values are of course also important in shifting culture. SPS already has an expressed set of values that define how individuals should interact with each other in order to collectively ensure that the organisation delivers its goals in an ethical way that promotes trust. These are currently described as:

- **Respect**: We work with fairness, justice and honesty and have proper regard for others needs and rights.
- **Integrity**: We apply high ethical, moral and professional standards in our conduct.
- **Teamwork**: We work together and with partners to provide safety, support, efficiency and improved outcomes.
- **Equality**: We work together to embed the principles of equality, diversity and inclusion to promote a culture of openness, transparency and fairness in all we do.

3.13 The Organisational Review Terms of Reference include a commitment to taking forward a ‘re-alignment of SPS Vision, Values and Core Business’. The need for well-defined guiding principles and values is further supported by the Investors in People Framework, which emphasises the need for ‘Clear core values [that] relate to vision and strategy’. But, most importantly as a human service organisation that is committed to human rights it is important to reflect the standards of behaviour and attitudes that are consistent with the unique nature and responsibilities of a prison service.

3.14 As an agency of the Civil Service, value statements are already set out within the Civil Service Code. The Code also states that any individual agency’s value statements must have the Civil Service values at their core. On assessment, it is evident that SPS values should explicitly embrace the Civil Service core values of integrity, honesty, objectivity and impartiality but in addition SPS should define and ensure the moral legitimacy of prison management and practice through the definition of additional organisation specific values that reflect the unique organisation that SPS aspires to be.

**RECOMMENDATION**

The current SPS values are reviewed and rationalised. Using the Civil Service values as a principal tenet, SPS should further define the additional values required of it as a unique service delivery organisation that recognises human rights are an integral part of good prison management. Complementary values should add legitimacy and ethics to SPS practice. The SPS organisational values will define the identity of SPS in 2014 and beyond and help to form an ethical code.

**POINT FOR ACTION**

The refresh of the statement of Values ensures internal consistency and fit with the new organisational Vision and Mission. SPS specific Values will be:

- **Belief** – we believe that people can change.
- **Respect** – we have proper regard for individuals, their needs and their human rights.
- **Integrity** – we apply high ethical, moral and professional standards.
- **Openness** – we work with others to achieve the best outcomes.
- **Courage** – we have the courage to care regardless of circumstances.
- **Humility** – we cannot do this on our own, we recognise we can learn from others.
RECOMMENDATION

SPS underpins its organisational values through the development of a professional Code of Ethics that starts with an assessment of the contents of The Scottish Executive Civil Service Code and the professional values, practice and behaviours required by refreshed organisational roles and relationships. The content should be developed and publicised to existing staff, incorporated in joiners’ packs and used as an organisational ‘moral compass’. This should include alignment or review of other existing SPS policy documents that relate to ethics, standards, behaviour, performance and conduct.

Refresh: A New Vision for a New Service

3.15 The Review Team ran a number of workshops and extensive consultations to inform the refresh of the Vision and Mission for SPS. This was a highly iterative process that generated significant debate but, through time, a growing consensus emerged. There was agreement that SPS needed a statement of ambition that looked beyond the walls of the prison and looked towards the role of the organisation in helping both people and ultimately Scottish communities to flourish. This is a vision that chimes with the SG’s purpose, the ambition of the Justice Strategy, the delivery of a whole system approach and the emerging vision of the RRP. The consensus was that the SPS Vision and Mission should reflect SPS connection to SG Outcomes and the human service and change potential of SPS in supporting people in custody to become responsible citizens.

The refreshed Vision for SPS proposed by the Review is:

Helping to build a safer Scotland – Unlocking Potential – Transforming Lives

3.16 This new Vision establishes that SPS has a responsibility to support and enable the reintegration of those in its custody and care. This proposition is a ‘game changer’ for SPS and is a key enabler for adding future value to the delivery of the Strategy for Justice in Scotland.

3.17 Of course the proposition is not about SPS ‘going solo’ or ‘playing on others pitches’. Quite the contrary, it is about SPS bringing its assets and resource allocation to invest in realising new potential in the management of the short-term and remand populations where service gaps are already in evidence and where real, sustainable partnerships will make the most difference. So the proposition builds on the platform of good practice already being developed by the RRP and will help ensure the efficacy of SG investment in mentorship programmes as part of the Justice Change Fund.

3.18 The Review Team is of the view that the scale of the challenge and the change envisaged is such that a full transformation in SPS services will be required. The transformation will not be sustained by a proliferation of ‘pilots’ or quick fixes but only by a deep and fundamental review of what SPS does, how it behaves and the ambitions that drive it.
Reconnecting: Our New Mission

3.19 The Team ran a series of workshops testing the need to change the SPS Mission. The current Mission Statement is now almost a quarter of a century old. Custody, Order, Care and Opportunity (COCO) is a mission, a task and an acronym that appears well embedded within the organisation.

3.20 However, the Team found four versions of the Mission in current usage. The Team sought to explore the rigidity of the thinking around the SPS Mission and the benefits and dis-benefits of maintaining it. Perhaps not surprisingly mixed views were received around the impact of changing the Mission for the service. The views ranged from the need to ‘stick with what is good from the past’ to a recognition that a continual focus on the perceived ‘hierarchy’ of the mission would perpetrate cultural values that emphasised the restrictive elements of imprisonment rather than promoting the rehabilitative ones. The Mission was perceived to be passive and inward looking and not reflective of the importance of partnership working in achieving offender outcomes. It also failed to recognise the importance of the community in realising improved offender outcomes. Some even suggested that the Mission needed to be turned on its head, not to diminish the importance of secure custody, but to recognise the shift in SPS efforts towards rehabilitation and reintegration. There was a definite sense that the balance of the existing mission statement needed re-orientated and that the scope of the Mission needed rethought – to better reflect the original precept formulated in ‘Opportunity and Responsibility’ that the prison system needs to ensure that the elements of its task are in equilibrium.

Figure 3.2: Rebalancing the Task of SPS

3.21 The Review Team took the revised Mission through a number of iterations. The process sought to test thinking against the language and standards used in the currency of the Scottish Government RRP and the lexicon of community colleagues. It also sought to recognise the complex and sometimes contradictory task of SPS and the need to focus clearly on ‘ends’ as well as ‘means’. The challenge set by the new Vision is for SPS to make a difference in supporting offenders towards responsible
citizenship, the new Mission of the service should reflect that journey. Indeed COCO had, the Review Team concluded, been elevated to the status of a ‘Mission’ rather than, as originally conceived, providing a statement of task. The Review concluded that COCO was no longer appropriate and that the SPS Mission needed to reflect the new ambition and the shift from outputs to outcomes.

3.22 Following the consultative process the Mission of SPS was succinctly redrafted to provide a strong statement that should serve to support the new Vision and the transformational change programme.

**SPS Mission**

*Providing services that help to transform the lives of people in our care so they can fulfil their potential and become responsible citizens.*

3.23 However, the Team believe that the ‘Task’ of SPS as conceptualised by Custody, Order, Care and Opportunity remains valid. Indeed it is so well embedded in the organisation that it would be counterproductive to seek to remove it. A survey of the task as defined across international prison services suggested a lot of convergence between the SPS Statement of Task and those of other jurisdictions. Accordingly the Review Team recommended that the task of the service should continue to be described by the acronym COCO. However, some redefinition is suggested.

**The Operating Task of SPS**

*Helping to protect the public and reduce reoffending through the delivery of safe and secure custodial services that empower offenders to take responsibility and to fulfil their potential. We deliver this through:*

- **Custody** — Managing safe and secure custodial environments;
- **Order** — Providing stability and order that helps offenders to transform their lives;
- **Care** — Supporting wellbeing and treating with respect and humanity all in our care; and
- **Opportunity** — Providing opportunities which develop the potential of our staff, our partnerships and the people in our care.

3.24 The consultations suggested five key areas which should underpin the delivery of the Mission of SPS. These were tested with focus groups and a degree of consensus was found, though a sixth area, ‘Public Value’, emerged through discussions. The components of the emergent model are shown at Figure 3.3.
3.25 These elements appeared central to the reform programme and should focus SPS in developing its strategic priorities and its activities, in delivering the programme of transformational change and in defining key performance areas over the current planning period. The elements also recognised the need for SPS to promote trust and confidence amongst all its stakeholders and ultimately to reassure the public about the value of its services and its outcomes.

Reforming: Seven Strategic Priorities
3.26 The new Vision and Mission of SPS are a call to action which will drive SPS decisions, resource allocation, actions and priorities. The Vision looks well beyond the short-term and, while the Review sets out the start of a Road Map for change over the next three years, the Review Team believe that the programme for change will take significantly longer to deliver, progressing over the next decade. The Vision and Mission provide for SPS both the driving ambition and a structural reference point. In short it provides a ‘touchstone’ for prioritising and ensuring that all SPS does makes a contribution to delivering the Vision and the new culture that will support it.

3.27 The analysis of the environmental impact factors and the demands of the new Vision have suggested a significant gap between the present position of the Service and its desired future state and ambition. The Review therefore proposes a set of strategic priorities for the service to take forward over the current planning period.
3.28 The Strategic Priorities or goals for SPS over the planning period will be:

### 7 Strategic Priorities

1. **Embedding the New SPS Vision and Operating Model.**
2. **Investing in SPS people and their professional capability to lead, support and inspire change.**
3. **Delivering effective and efficient custodial and throughcare services.**
4. **Developing a collaborative, outcome focus through sustainable community partnerships that create both value and knowledge.**
5. **Putting people first and implementing a person-centred and asset-based approach that matches the risks and needs of different population segments including women, young people and short-term prisoners.**
6. **Becoming a learning organisation with redesigned knowledge and performance management, resource allocation and continuous improvement processes.**
7. **Promoting public confidence in SPS and the wider Justice Strategy through improved use of evidence, information management and communication about SPS public value.**

### Going Forward: The Change Programme

3.29 In order to deliver the new Vision and Mission through taking forward the seven identified strategic priorities the Team has developed a number of Recommendations spanning across the whole business of SPS. For convenience these have been consolidated into five 'change domains' which are explored within the next five sections of the Report. These are illustrated at Figure 3.4. The Report concludes with a description of the Change Programme and Communication Strategy to support it.

---

**Figure 3.4: The Organisational Review Outcomes Summarised**

**A NEW ROAD MAP FOR CHANGE**

**Vision**
Helping to build a safer Scotland – Unlocking Potential – Transforming Lives

**Mission**
Providing services that help to transform the lives of people in care so they can fulfil their potential and become responsible citizens

---

**PRINCIPLE CHANGE DRIVER**
**DELIVERING THE NEW AMBITION**

**PRINCIPLE CHANGE DOMAINS**

**CHALLENGE, CHANGE, TRANSFORM AND IMPROVE**

**PRINCIPLE PRIORITIES**
**SEVEN STRATEGIC GOALS**
- Embedding the New Vision
- Investing in SPS people
- Delivering effective and efficient services
- Developing a collaborative outcome focus
- Developing a person-centred, asset-based approach
- Developing a learning organisation
- Promoting public confidence in SPS
3.30 The following sections of the Report set out the strategic ambitions, Recommendations and other points of action for taking SPS forward in delivering its seven strategic goals. Section 4 commences with a review of SPS core business in working with offenders.

<table>
<thead>
<tr>
<th>Vision</th>
<th>Helping to build a safer Scotland – Unlocking Potential – Transforming Lives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission</td>
<td>Providing services that help to transform the lives of people in our care so they can fulfil their potential and become responsible citizens.</td>
</tr>
</tbody>
</table>

**The Operating Task of SPS**

Helping to protect the public and reduce reoffending through the delivery of safe and secure custodial services that empower offenders to take responsibility and fulfil their potential. We deliver this through:

<table>
<thead>
<tr>
<th>Custody</th>
<th>Managing safe and secure custodial environments;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Order</td>
<td>Providing stability and order that helps offenders to transform their lives;</td>
</tr>
<tr>
<td>Care</td>
<td>Supporting wellbeing and treating with respect and humanity all in our care; and</td>
</tr>
<tr>
<td>Opportunity</td>
<td>Providing opportunities which develop the potential of our staff, our partnerships and the people in our care.</td>
</tr>
</tbody>
</table>

**Values**

<table>
<thead>
<tr>
<th>Belief</th>
<th>– we believe that people can change.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respect</td>
<td>– we have proper regard for individuals, their needs and their human rights.</td>
</tr>
<tr>
<td>Integrity</td>
<td>– we apply high ethical, moral and professional standards.</td>
</tr>
<tr>
<td>Openness</td>
<td>– we work with others to achieve the best outcomes.</td>
</tr>
<tr>
<td>Courage</td>
<td>– we have the courage to care regardless of circumstances.</td>
</tr>
<tr>
<td>Humility</td>
<td>– we cannot do this on our own, we recognise we can learn from others.</td>
</tr>
</tbody>
</table>

**7 Strategic Priorities**

To deliver the Vision and Mission, SPS will focus on seven strategic priorities:

- Embedding the New Vision;
- Investing in SPS people;
- Delivering effective and efficient services;
- Developing a collaborative outcome focus;
- Developing a person-centred, asset-based approach;
- Becoming a learning organisation; and
- Promoting public confidence in SPS.
SECTION 4: UNLOCKING POTENTIAL: TRANSFORMING LIVES

AN OPERATING PHILOSOPHY FOR THE 21ST CENTURY

Working with Offenders: Introduction to Desistance Thinking

4.1 SPS has a strong track record in delivering safe, secure and humane custodial services. It has a committed and professional staff base who carry out a challenging role that is often unrecognised but essential to making Scotland safer. The men and women who work in Scotland’s prisons, from front-line officers to non-operational workers, negotiate on a daily basis a complex environment, balancing competing demands to work with the people whom society has deemed it necessary to send to prison in order to protect itself.

4.2 Earlier sections set out how the SG is setting out to shift justice in Scotland from an approach with a predominant focus on processes and offender management to a dynamic and outcomes driven approach focused on reducing reoffending. The approach outlined in this section of the Report describes how SPS will support the aims and priorities of the Justice Strategy.

4.3 Scotland’s prison population, particularly its short-term prisoner population, has until recently continued to increase despite reductions in both the Scottish crime rate and reoffending rates. The number of women in prison, in particular, has risen disproportionately over the last decade. Scotland’s imprisonment rate is one of the highest in Western Europe and Scotland’s prison population is substantially comprised of people from areas of social and economic deprivation, people with mental health and substance misuse problems, and people who were in care as children. Prison custody, whilst necessary to protect the public from those committing the most serious offences, can also have a harmful effect, both on those imprisoned and their families. An estimated 16,500 children in Scotland have parents in custody. Failure to tackle the underlying factors which contribute to people committing offences and to support those leaving custody to build a better life for themselves and their families, results in further harm to victims and communities. Keeping prisoners in custody, caring for them humanely and creating a stable and orderly environment in which people can live and work safely will remain an essential part of what prisons do. However, whilst fundamental to SPS operations, these aims can no longer be considered its sole raison d’être.

4.4 In recent years, the approach to reducing reoffending has been centred on the identification and management of social and psychological deficits within the prisoner population. Emerging research, both in the fields of prisons and desistance (as well as in related disciplines such as public health), point to the importance of a more forward looking, positive view that concentrates on the strengths and potential of individuals and cultivates the assets found within families, social networks and communities to sustain effective change.

4.5 Whereas much traditional criminological research explores the causes and nature of crime, desistance research explores how people who have committed offences subsequently stop. This area of research is therefore of great relevance to SPS, as it focuses more on reducing the likelihood of those who have committed offences in the past doing so again after release. There are many naturally occurring events or stages that can contribute to people reducing or stopping their offending behaviour; ageing

12  http://www.sccyp.org.uk/
it has been said that the 30th birthday is the greatest tool in violence prevention), having a family or finding a meaningful and fulfilling job. Research in this area suggests the importance of the individual discovering a more positive identify for themselves and ‘meaning’ in their life. Whilst many aspects of the desistance process could be described as being ‘naturally occurring’ (e.g. maturation, developing relationships, changes in family circumstances), desistance research also suggests that the way in which criminal justice practitioners engage with offenders can assist or accelerate the desistance process. This has resonance with and relevance to how SPS staff are trained and carry out their work.

4.6 In approaching the application of desistance research to the prison setting, it is therefore important to consider not just what work SPS does with offenders, but how it goes about it. Figure 4.1 compares the approach that would be used to support desistance with the current ‘what works’ approach, which has traditionally been organised around responding by way of interventions, to the identification and ‘correction’ of deficits.

Figure 4.1: Aspects of a Desistance Approach

<table>
<thead>
<tr>
<th>A What Works Paradigm</th>
<th>A Desistance Paradigm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intervention required to reduce reoffending and protect the public.</td>
<td>Help in navigating towards desistance to reduce harm and make good to offenders and victims.</td>
</tr>
<tr>
<td>Professional assessment of risk and need governed by structured assessment instruments.</td>
<td>Explicit dialogue and negotiation assessing risks, needs, strengths and resources and offering opportunities to make good.</td>
</tr>
<tr>
<td>Compulsory engagement in structured programmes and management processes as required elements of legal orders imposed irrespective of consent.</td>
<td>Collaboratively defined tasks which tackle risks, needs and obstacles to desistance by using and developing the offender’s human and social capital.</td>
</tr>
</tbody>
</table>

(McNeill, 2010)13

4.7 The table at Figure 4.2 outlines the six central themes of desistance and what these mean for the application of desistance theory within criminal justice practice.

**Figure 4.2: Six Themes of a Desistance Approach**

<table>
<thead>
<tr>
<th>Six central themes of desistance (McNeill, 2012)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Since desistance is an inherently individualised and subjective process, approaches to intervention must accommodate and exploit issues of identify and diversity (Weaver &amp; McNeill, 2010).</td>
</tr>
<tr>
<td>2. The development and maintenance not just of motivation but also of hope become key tasks for workers (Farrall &amp; Calverley, 2006).</td>
</tr>
<tr>
<td>3. Desistance can only be understood within the context of human relationships; not just relationships between workers and offenders (though these matter a great deal) but also between offenders and those who matter to them (Burnett &amp; McNeill, 2005; McNeill, 2006).</td>
</tr>
<tr>
<td>4. Although we tend to focus on offenders’ risk and needs, they also have strengths and resources that they can use to overcome obstacles to desistance – both personal strengths and resources and strengths and resources in their social networks. Supervision needs to support and develop these capacities (Maruna &amp; LeBel, 2003).</td>
</tr>
<tr>
<td>5. Since desistance is about discovering agency, interventions need to encourage and respect self-determination; this means working with offenders not on them (McCulloch, 2005; McNeill, 2006).</td>
</tr>
<tr>
<td>6. Interventions should work on ‘human capital’ (or developing offenders’ capacities and skills) (Maguire &amp; Raynor, 2006), but also on ‘social capital’ (developing relationships and networks that generate opportunities) (Farrall, 2002, 2004; McNeill &amp; Maruna, 2007, McNeill &amp; Whyte, 2007).</td>
</tr>
</tbody>
</table>

4.8 As will be outlined later in this section, aspects of this approach can already be found in many initiatives carried out in prisons in Scotland. However, provision is disparate with certain aspects (such as employability and learning) emphasised and services to address other issues (such as trauma and bereavement) less prevalent. There are a number of logistical factors that contribute to this, including the complex landscape of the justice system, the volume and churn of the prisoner population, the geographical distribution of prisoners, the design of many services around the needs of the adult male population and the need to provide high volume purposeful activities.

4.9 The challenge presented to SPS is therefore to consolidate the examples of good practice that currently exist into a strategic, consistent and targeted approach that facilitates services based upon the segmented needs of prisoners, regardless of their physical location whilst in prison or their postcode, when in the community. An approach that provides continuity from the community, through custody and back into the community.

4.10 There is, however, a risk in overstating the contribution that a prison service can make on its own to reducing reoffending. Whilst SPS can encourage and motivate prisoners to use their time in custody to develop their skills, abilities and resilience, it is unlikely to be able to provide, in isolation, the opportunities necessary for them to sustain positive and crime-free lives when they return to the communities from which they were imprisoned.
4.11 This section articulates how SPS will shift its approach to protecting the public and reducing reoffending. It provides a platform for a programme of transformational change that will place reducing reoffending at the heart of SPS. A key element of this will be incorporating an asset-based approach, which is informed by desistance research and rooted in clear evidence. Central to this programme of change will be the ability of SPS to develop its entire workforce to support positive change in people and in practice – concentrating on the things that make individuals and communities flourish.

**KEY MESSAGES**

- SPS has a strong track record in delivering excellent custodial services.
- The core function of SPS now needs to extend beyond running safe, humane and orderly prisons to playing a lead role in working with justice partners to reduce reoffending.
- SPS is exploring the benefits of applying a desistance and asset-based approach to working with prisoners.
- There are already many good and innovative examples of such work, but SPS now needs a consistent, ambitious and connected approach throughout and across the Justice and related sectors.

**Opportunity and Responsibility Revisited**

4.12 Published in 1990, ‘Opportunity and Responsibility: Developing new approaches to the Management of the Long Term Prison System in Scotland’ was a watershed in the development of SPS. It changed the organisational ethos, contrasting earlier conflicted messages contained in the other SPS publications in the late 1980s, ‘Assessment and Control’ and ‘Custody and Care’. ‘Opportunity and Responsibility’ presented an operating philosophy that saw prisoners as responsible people, stating “we concluded that our concern should be to relate to the offender in ways which would assist the individual to return to the community more able to act as a responsible citizen and to cope both personally in himself and with his environment.” A message that still has a resonance today.

4.13 ‘Opportunity and Responsibility’ recognised that removing prisoners from life in the community is inherently harmful, and that these harms should be mitigated as far as practicable by the Service and by providing a ‘threshold quality of life’. It regarded prisoners as responsible individuals who should be presented with a range of opportunities to use their time in custody for personal development and recognised the importance of encouraging and enabling prisoners to be involved in decisions relating to how they would spend their sentence. It also emphasised that prisoners should be held with the minimum degree of security commensurate with ensuring secure custody and protecting the public, and articulated the important principle of having a regime that carefully balanced the elements of Custody, Order, Care and Opportunity.

4.14 The quality of relationships between staff and prisoners was identified as a key factor in the maintenance of order within prisons, with this being dependent upon the skill and humanity with which the prison was led and the diligence with which staff carried out their role. Developing the skills, professionalism and confidence of management and staff at all levels was stated as a key objective. Prison staff, especially Personal Officers, were described as ‘facilitators’ in the process of change and personal development of prisoners.

4.15 Many of the key tenets contained within ‘Opportunity and Responsibility’ remain as relevant today as when they were written, over twenty years ago. However, while some of the concepts have remained fundamental to SPS operations, a subsequent focus on risks, needs and responsivity and ‘what works’ approaches has changed the language to a more interventionist approach, emphasising the risk-based dimensions of SPS work. While needs and risk-based approaches remain necessary – prisons will always contain dangerous and disruptive people reluctant or unready to engage and assessment of risk is required at key progression or transition points - such approaches are not sufficient in themselves.

4.16 An approach that supports prisoners to change their lives has to look forward as well as backward. Whilst an understanding of the factors that contributed to an individual starting to offend is important, research suggests that it may be other factors that provide the motivation and ability for them to stop. Efforts focusing entirely on the criminogenic needs and behaviours of the offender are often undermined unless due attention is also given to the practical needs and aspirations of the person, and to supporting and motivating their achievement.

4.17 There are also some limitations to the approach described in ‘Opportunity and Responsibility’, although many of these reflect the time and circumstances during which it was written. It focused upon the long-term prisoner system – (although at the time it was written, this included any prisoner serving 18 months or more. In 1993 the definition of long-term prisoners was redefined as those serving a sentence of 4 years or over). Since this redefinition, there has been at least a limited application of a standardised or structured approach to working with short-term prisoners, some of whom could spend almost 2 years in custody. ‘Opportunity and Responsibility’ did not fully recognise the need for SPS to engage proactively with partners in the community to support reintegration. The approach to providing prisoners with opportunities was overly passive and there was insufficient consideration of the requirement to proactively engage, motivate and challenge prisoners, or to recognise the important role that officers have in advocacy to negotiate the sometimes complex interfaces involved in the justice system and in supporting access to wider services in the community.

4.18 A combination of changes in legislation, developments in knowledge and research about what is effective in working with offenders and significant growth in the prisoner population has meant that many of the positive aspects of ‘Opportunity and Responsibility’ have not been fully realised. Whilst most prisons operate some form of Personal Officer scheme for long-term prisoners, the approach to working with those serving shorter, but in many cases still substantial, terms in custody remains fragmented and ad hoc.
4.19 ‘Opportunity and Responsibility’ was a forward looking, some may say visionary, document much of which has stood the test of time. A ‘rights and responsibilities’ ethos remains appropriate for the 21st century. However, its outlook was bounded by the operating environment of the time and was confined within the physical boundaries of the prison wall. In recent years, developments in penal practice, research and policy have pointed to the importance of throughcare, collaborative working and the development of both personal and community assets.

4.20 ‘Opportunity and Responsibility’ largely defined ‘Opportunity’ in terms of the development of prisoners’ individual capacities while ‘Responsibility’ was centred upon the responsibility of the prisoner to take up opportunities provided for personal development, with the responsibility of SPS being to provide a safe and orderly environment. The new approach will need to incorporate building strengths, skills and abilities whilst also recognising the importance of developing positive networks, resources and opportunities in the community. This work has already started but is not something that can be achieved by SPS in isolation. Such an approach will require strong and willing collaboration across community planning areas, sectors and the organisations within them. The enormity of such a challenge cannot be overstated.

4.21 SPS policy will need to reaffirm the importance of prisoners taking responsibility for achieving their aspirations and leading constructive lives, but also to recognise the responsibility of SPS and society to encourage and challenge them to take agency for their own lives and to support them on their journey towards desistance from offending. SPS revised concepts converge in the new Mission centred on ‘Citizenship’, with organisational practice focused upon supporting this both within the prison community and within society.

**KEY MESSAGES**

- The concept that prisoners are responsible individuals remains valid.
- The quality relationships that exist between officers and prisoners, and which are fundamental to maintaining safe and orderly prisons, should be positively used to act as a change catalyst from which individuals can build towards improving their life chances.
- This new Vision can only be achieved by working in ways which are centred on the individual and that close gaps in service provision that result from the range of different organisations involved.
- SPS staff will need updated knowledge and skills, new working relationships with partner organisations and new tools and techniques that can support change.
UNLOCKING POTENTIAL: DEVELOPING AN ASSET-BASED APPROACH

Citizenship - Connecting with communities to improve outcomes for all
“People do not simply desist; they desist into something. Desistance is perhaps best understood as part of the individual’s on-going journey towards successful reintegration with the community. Rehabilitation, therefore, is not just about sorting out the individual’s readiness or fitness for reintegration; it is as much about rebuilding the social relationships without which reintegration is impossible.”
Fergus McNeill

4.22 Prisoners ultimately return to the same communities from which they were sent to custody. Whilst imprisonment is necessary to protect the public from the most serious offenders, the negative consequences of a stay in prison are well recognised. Time spent in prison disrupts positive pro-social relationships that may exist with friends, family or the community; decreases the chances of people finding stable employment on release; and has the effect of removing, both physically and psychologically, those incarcerated from the very communities with whom they most need to reconnect. Whilst SPS and other justice partners can do much to engage with and motivate the imprisoned to lead positive lives on release, ultimately they need to be able to positively re-engage with and legitimately contribute to the general wellbeing of their community if they are to reconnect with their communities and desist from crime.

4.23 The Strategy for Justice in Scotland highlights the economic and social impact of frequent, but less serious, crimes committed by repeat offenders. Such offences have destructive effects on individuals, families and communities. Some of the largest increases in the prisoner population over the last decade have been in those serving six months to less than two years, and two to under four years. Short-term sentences are associated with a relatively high rate of reoffending and it is therefore crucial to tackle the ‘revolving door’ experienced by many people who serve intermittent periods in custody, some of whom will go on to serve long-term sentences in the future, others long-term sentences by instalments. Even relatively short periods in custody can have consequences which, if not addressed, can result in significant and long-term difficulties for prisoners on release, including family disconnection and, the loss of a tenancy, employment or training opportunities. Lack of community support, stable accommodation and relevant employment are some of the factors associated with reoffending. Many prisoners, both pre and post custody, have experienced difficulty in accessing universal services such as housing and healthcare and have had sporadic and, in some cases, troubled experiences of education and employment. The closer integration of services to help prisoners access health, housing and support into employment when they leave custody is therefore fundamental to reducing reoffending rates. Working with communities to educate and inform about the support that works best when trying to prevent reoffending, and therefore further victimisation, is also essential to creating an environment where support is available to prisoners on release.

17 Fergus McNeill, Four Forms of Offender Rehabilitation, February 2012
4.24 In recognition of the important role of active communities, asset-based approaches are increasingly being adopted by public sector organisations, particularly in public health and community development, whose preventative and whole system approaches are likely to have the greatest impact on community and individual wellbeing. Their work requires them to engage with and empower citizens to become active participants in improving services, outcomes or wellbeing. This approach fits well with the recommendations of the Christie Commission, which stated: “Reforms must aim to empower individuals and communities receiving public services by involving them in the design and delivery of the services they use.”

4.25 Asset-based approaches consider the combination of human and social capital that exist within society, and seek to empower both individuals and communities to build upon these assets to improve health and wellbeing. This approach, aiming to harness and develop what’s already good within communities, stems from the public health concept of salutogenesis. Salutogenesis differs from traditional approaches to health, which are mostly concerned with the prevention, diagnosis and treatment of disease. Instead, it focuses on those factors that support and nurture human health and wellbeing. Asset-based approaches are not intended to replace traditional models of service delivery (e.g. medical services provided through the NHS) but rather to complement and enhance them.

4.26 Similarly, in a prison context asset-based approaches could complement traditional models of delivery. Although expressed in different terms, the underpinning ideas – developing strengths, empowering individuals and communities to improve their life chances, focusing on potential, rather than solely on deficits, working with people as opposed to just delivering services to them and promoting wellbeing – all of these ideas closely resonate with the principles presented in ‘Opportunity and Responsibility’.

4.27 Asset-based approaches fit well with emerging research and models based around the concept of desistance. Both approaches emphasise the importance of empowering individuals and communities to improve their lives, focusing on strengths and potential rather than starting from what’s wrong. They emphasise developing individual capacity, networks of support and access to opportunities within communities. Asset-based approaches in the prison context would complement, not replace, existing risks and need-based provision. One of the difficulties with the current approach, which focuses almost exclusively on the correction of deficits, is that it does little to support the development of alternative lifestyles and personal identities which are necessary in order to be able to move away from crime.
4.28 On a practical level too, SPS also has many physical assets which are not fully utilised (for example, in the evenings or at the weekends). This includes learning assets and spaces that could be used or shared to provide services to visiting families and the local community.

RECOMMENDATION

SPS develops new ways to support communities, wellbeing and offender services through improved and combined use of assets. This will include exploring, alongside Community Justice (and other) service providers, the scope to use SPS facilities to increase integration between prison and community services and to support delivery of other services such as Community Payback Orders.

POINT FOR ACTION

Staff in SPS have many skills beyond being prison officers. SPS encourages staff to use their skills to promote purposeful activity and to engage, support and assist prisoners in building new talents and interests that will help sustain them on liberation from prison.

4.29 Figure 4.3 has been adapted from a I&DeA report – A glass half full. It summarises where SPS is now and where an asset way of thinking takes SPS and its practice.

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18 I&DeA – A glass half full: how an asset approach can improve community health and well being, 2010
**Figure 4.3: What the New Approach means for SPS**

<table>
<thead>
<tr>
<th>Where we are now – the deficit approach</th>
<th>Where an asset way of thinking takes us</th>
<th>What this means for SPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start with deficiencies and needs in the community</td>
<td>Start with assets in the community</td>
<td>Identify and capitalise on all available assets in prison and in the community</td>
</tr>
<tr>
<td>Respond to problems</td>
<td>Identify opportunities and strengths</td>
<td>Skill and develop professional prison officers to both respond to problems and identify opportunities and strengths</td>
</tr>
<tr>
<td>Provide services to users</td>
<td>Invest in people as citizens</td>
<td>Support offenders to take responsibility and agency for transforming their lives</td>
</tr>
<tr>
<td>Emphasise the role of agencies</td>
<td>Emphasise the role of civil society</td>
<td>Recognise the potential of offenders, staff, communities and civil society to support and motivate positive change and outcomes</td>
</tr>
<tr>
<td>Focus on individuals</td>
<td>Focus on communities/ neighbourhoods and the common good</td>
<td>Develop relationships that help individuals and communities to flourish</td>
</tr>
<tr>
<td>See people as clients and consumers receiving services</td>
<td>See people as citizens and co-producers with something to offer</td>
<td>Create environment that engages and challenges offenders to tackle the causes of reoffending</td>
</tr>
<tr>
<td>Treat people as passive and done-to</td>
<td>Help people to take control of their lives</td>
<td>Support offenders to take responsibility and agency for transforming their lives</td>
</tr>
<tr>
<td>‘Fix people’</td>
<td>Support people to develop their potential</td>
<td>Help offenders to grow and develop skills, self-sufficiency and self-esteem</td>
</tr>
<tr>
<td>Implement programmes as the answer</td>
<td>See people as the answer</td>
<td>Encourage offenders to participate in productive activities whilst in prison</td>
</tr>
</tbody>
</table>

4.30 As part of the Review, a collaborative event was held with asset-based practitioners and experts to explore the potential application of asset-based approaches by SPS. This identified many existing examples of practice which are consistent with an asset-based approach and focused on connecting prisoners, prisons and officers with communities.
CASE STUDY – HMP Low Moss – Family Contact

HMP Low Moss have introduced a new approach to visits and family contacts. Contrary to standard practice elsewhere, the number of visits that prisoners can take is restricted only by availability. Children’s visits are held daily at 17.15 where prisoners who are parents or grandparents can play with their children and help them with homework. The ethos of the prison is to work towards promoting a positive environment in which positive contact can support and develop relationships with their families. At some sessions, volunteers work with the prisoners and their families, including ex-teachers and a storyteller, and a scout and guides group has been established with the assistance of local volunteer leaders.

CASE STUDY – HMP Barlinnie – The Croft

‘The Croft’ is an initiative which opened in 2012 to provide families and friends of prisoners with a Visitors’ Centre close to HMP Barlinnie. It was set up by a group of organisations interested in the welfare of prisoners’ families, including local churches and Toybox, and provides a relaxing space for families before and after visits. Families can also access the services of the Citizens Advice Bureau.

CASE STUDY – Open Estate – Prisoner/Staff forum

A prisoner/staff forum has been created within the Open Estate to cultivate a sense of community within the prison and to challenge traditional custodial cultural ‘norms’. The forum has a clear remit to consider matters of prison community relevance and encourages the prisoners to participate fully in seeking resolution to issues that affect everyone. The role of chair of the forum rotates between the prisoners and members of staff. The forum has delivered real improvements to the visit experience for families and friends of prisoners. In addition, the forum is generating a range of alternative recreational arrangements which will allow prisoners to try new activities (some for the first time) and is encouraged to organise formal recreational clubs to be organised and operated by prisoners for both prisoners and staff. It is hoped that this will encourage and support the identification and use of individual strengths and skills within the prisoner population. This opportunity to exercise real responsibility also supports the asset-based approach to the development of a sense of purpose and individual and community agency. It is intended to widen the remit of the forum to encourage and develop self-help groups within the prison and to explore the potential to extend existing peer mentoring and support.
SPS increases engagement with civil society (e.g. faith-based organisations, community associations, recreational groups) and provides support to community-led initiatives such as the visitor centre at HMP Barlinnie and other family help hubs.

4.31 The collaborative event provided learning from the use of asset-based community development approaches by other public sector organisations, such as the NHS and Local Authorities and Early Years collaboratives. Whilst SPS has contributed to the development of the Directory of Interventions as part of RRP1, which maps the provision of criminal justice services available in custody and in the community across Scotland, asset mapping would take this work further by identifying not just the services provided to a community but also the assets to be found within it. Assets which might be combined in different ways to better effect between and across organisations.

4.32 Ultimately, SPS should aim to work with prisoners in such a way as to minimise the dependency of those trying to move on from offending upon criminal justice services. However, the difficulties in making the transition from life in prison to becoming an integrated part of the community should not be underestimated. The role of SPS and community justice partners should therefore be to support prisoners to make this transition on release, but with the aim of achieving this through empowering individuals, their families and communities rather than viewing them solely as recipients of services.

SPS, in partnership with SG and third sector organisations, carry out asset mapping exercises, both in custody and in the community. This may consist of utilising or building upon existing or developing work including the SG Interventions Catalogue.

Communities have an important role to play in supporting desistance from offending.

SPS needs to support offender transitions, which are both critical but difficult times for individuals and their families.

Partnership working needs to extend beyond criminal justice partners and link people into the assets and universal services that can be found within communities.
Working with Partners to Focus Assets on Doing What Works

4.33 To achieve its new Vision, SPS will need to adopt a more integrated and collaborative approach to delivering the still relevant concepts first introduced in ‘Opportunity and Responsibility’, both in theory and in practice. A fundamental aspect of the new Vision will be close, collaborative working with a range of partners to ensure an integrated approach to the offender journey with continuity between the key transitions from community, custody and return to the community. This requires an organisational approach that is less linear and which works more effectively to change the cyclical trajectory currently experienced by many offenders between community and prison, so breaking the cycle of reoffending.

4.34 In the future, effective approaches will need to be collaborative and integrated across the justice family and able to cross geographical and sectorial boundaries. The impact of services related to, but not part of, the justice landscape are also critical to the success of SPS Vision. Stable accommodation, for example, is a major factor in resettlement of prisoners on release and in obtaining employment.

4.35 This means that it will be critical to develop closer working relationships not just with traditional justice partners, such as Criminal Justice Social Work, Police Scotland and, more recently, third sector providers of criminal justice services, but also with universal services such as housing, health and social care. The fact that service provision is rarely coterminous (there is now one Police Service, 32 Local Authorities, 8 Community Justice Authorities, 6 Sheriffdoms and 14 Health Boards) adds significant complexity to achieving integrated planning and delivery, and SPS will need to be innovative in exploring ways to plan and deliver shared outcomes with other public sector agencies. This is further complicated by the geographical distribution of prisoners, some of whom are held in local prisons (although even this is likely to be outwith the Local Authority area for most) and others in national facilities. Improvement will require greater involvement in Community Planning Partnerships, and perhaps, some suggested, the development of working arrangements that mirror the Federation (North, East and West) Structure adopted by the single Police and Fire Services and the Crown Office and Procurator Fiscal Service.

RECOMMENDATION

SPS works with justice partners to raise awareness of the needs of those who offend with critical services out with criminal justice (health, housing, education, employers). SPS should also be proactive in engaging and developing more effective ways to work with Community Planning Partnerships to improve planning, co-working and access to universal services.

POINT FOR ACTION

SPS reviews its current arrangements for providing support to Community Justice Authorities and should seek to strengthen linkages to Community Planning Partnerships and to build its ‘local planning capability’ to fit with emerging community justice arrangements.
POINT FOR ACTION

SPS seconds an expert in housing and benefits, to review current SPS arrangements and provide recommendations about how to improve outcomes for prisoners in these critical areas. Arrangements should take account of the outcome of the current SG review of community justice structures.

4.36 Achieving greater collaboration will require SPS to reach out beyond the prison walls and to 'open up' to the community in order to close gaps in provision. This will require close cooperation with a wide variety of public, private and third sector organisations, both those that work directly to provide justice services and those who provide other community and universal services. SPS will require to develop a transparent Partnering Strategy which is considered in Section 7.

POINT FOR ACTION

SPS further develops constructive, purposeful and collaborative relationships, with partners in the justice family and with providers of community and universal services. Relationships should be founded on the achievement of mutual and complementary outcomes. At the heart of this will be a clear and sustainable partnership engagement strategy.

4.37 Just as the factors that lead people to offend are multiple and complex, so are the factors that support them to desist from crime. Opportunities to build strengths, skills and abilities provided in prison will be ineffectual if not accompanied by the development of positive networks, resources and opportunities in the community. Working with organisations active in the community, including organisations that expressly provide criminal justice services, will be required to develop an asset-based approach, which can help to support ex-prisoners sustain positive lives in the community. The ultimate aim should be for ex-prisoners to be able to engage with mainstream services in the community as people, with less dependency upon criminal justice services. This should be regarded as a third transition in the offender’s journey (although it can be anticipated that people may not progress through these stages in a linear fashion, but will move between them):

Figure 4.4: Model of Community Transition

- **FIRST TRANSITION**
  - Community to custody

- **SECOND TRANSITION**
  - Custody to community justice support

- **THIRD TRANSITION**
  - Community justice support to universal services
4.38 Improvements in access to universal services can also be brought about by the direct provision of services to prisoners whilst they are in custody. For example, the provision of Primary Healthcare in Scotland’s prisons was transferred from SPS to the NHS in November 2011. This now provides parity of access to health services broadly comparable with those in the community for those in custody, whilst also vesting delivery of these services with those best placed to provide them. These arrangements should also complement a whole system approach to wellbeing and in tackling health irregularities. There are other prison-based services that would benefit from a similar approach.

**CASE STUDY – National Health Service**

The responsibility and accountability for the provision of health care services to prisoners transferred from SPS to the National Health Service on 1 November 2011. These services are now provided by the respective local Health Boards. This means that NHS standards and targets for health care provision now apply equally to the provision of care within a custodial setting. This direct model of provision aligns prisoner healthcare in Scotland with European and international standards which state that healthcare for prisoners should be equitable and consistent with that provided in the community. It also builds the potential for a ‘whole system’ approach that supports not just offender wellbeing but also the wellbeing of their families and communities.

**RECOMMENDATION**

SPS considers the potential for the transfer of responsibility of relevant community-based services, such as Education, Community Learning and Development and Prison-Based Social Work to an appropriate mainstream service provider where there is assessed benefit and such a transfer will improve the efficient delivery of services and community and offender outcomes.

4.39 SPS should play a proactive role, in partnership with SG, in identifying gaps in provision for prisoners on release, and in advocating on their behalf, either for the provision of new services, or (more likely) for the realisation of services to which they are already entitled as citizens of Scotland. In some Nordic countries the penal policy includes a ‘Rehabilitation Guarantee’ which defines the support and access arrangements for prisoners leaving custody. Increasing the effectiveness of access arrangements in Scotland should strengthen the collaborative response to reducing reoffending.

**POINT FOR ACTION**

SPS explores with SG the potential to develop a Reintegration Guarantee for young people and for those leaving custody for the first time. This should make explicit the universal services they are entitled to and arrangements provided to support access where required.

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19 [http://www.kriminalomsorgen.no/english.293899.no.html](http://www.kriminalomsorgen.no/english.293899.no.html)
4.40 Service provision will require to be evidence-based, centred upon prisoners rather than prisons, targeted and focused upon reducing future demand for services. In order to meet the requirements of the Justice Strategy, policy development and delivery will need to be rooted in evidence. This will require a more strategic approach to planning, designing, delivering and evaluating services, with delivery based upon an analysis of need, demand, what works and cost. A combination of basing policy and practice on evidence, whilst also permitting space for creativity and innovation, will require a broader approach than that which has come to be adopted under a pure ‘what works’ model. Policy and practice should therefore be evidence-based – founded on what should work using knowledge extrapolated from existing research and good practice. The exchange and co-production of knowledge between practitioners, policy makers, academics and service users will be important in further developing desistance informed and asset-based practices on the ground.

**RECOMMENDATION**

SPS proactively develops its working relationships with academic institutions (such as the Scottish Centre for Crime and Justice Research) to ensure that the exchange and co-production of knowledge between practitioners, policy makers, academics and service users supports the development of evidence-based practice and robust evaluation.

**KEY MESSAGES**

- SPS needs to work closely with a disparate range of statutory, voluntary, public, private and community organisations in order to support prisoners to live positive lives on release.
- The way in which this is delivered will need to be individualised and focused on what best meets the interests of the individual, rather than on traditional organisational boundaries (e.g. community reintegration support may be provided in some cases by officers, in others by social work, third sector or voluntary providers, and in others support may not be required at all).
- SPS must base its approach on evidence, and therefore needs to establish new ways of working with academics, prisoners and staff to ensure that the best possible evidence and knowledge base is available, and that it combines academic, policy, practitioner and user voices.

**Supporting People Leaving Custody to Take Responsibility for Changing Their Lives**

4.41 In order to reduce reoffending, SPS must consider both how prisoners use their time in custody, purposefully and productively, and how they plan to reintegrate with the community on release. Currently, case management and throughcare is mainly focused on serious and long-term offenders. SPS and partners have well developed and defined collaborative practices for managing the risks and needs of prisoners subject to statutory post-release supervision. Case Management within the context of SPS means the approach to the assessment, planning, implementation, review and coordination of access to a range of services for any prisoner. The DOMICE project,  

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20 Prisoners serving sentences of four years or over, or six months or over for sexual offences, or subject to Supervised Release Orders
(Developing Offender Management in Corrections in Europe) identified that case management should place the offender at the centre of a whole system perspective and should focus upon what happens after release rather than what happens in prison (i.e. the efforts should be make good citizens and not good prisoners). This is an important repositioning for SPS practice.

4.42 Integrated Case Management (ICM) and Multi-Agency Public Protection Arrangements (MAPPA) were jointly developed and implemented by the SG, SPS, Association of the Directors of Social Work (ADSW), Police Scotland and the Voluntary Sector. ICM is designed to incorporate a multi-agency approach focused on reducing reoffending by ensuring, so far as possible, that risks are identified and a plan is in place for each prisoner to reduce those risks in a sequenced and coordinated manner. In custody, ICM uses a multi-agency team-based approach with a Personal Officer responsible for the day-to-day interactions with the prisoner and an ICM Case Coordinator responsible for carrying out assessments of risk and needs and organising the input from the multi-agency representatives attending the case conferences. Community Justice Social Workers take an active role in working with officers and the offender throughout their time in custody to prepare for release. This model of case management focuses on assessing risks and needs and providing interventions designed to address deficits. This approach requires a considerable resource and works well for those offenders who present the greatest risks to the public. Whilst representing a relatively small proportion of the prison population, the safe management of these prisoners will remain, for matters of public protection, an important focus for SPS.

**RECOMMENDATION**

SPS rationalises Risks and Needs Assessment practice to ensure alignment with national tools and practice, remove duplication, improve access to purposeful activity and provide better quality information on both individual and aggregated needs.

4.43 Some establishments have already begun piloting throughcare support and Community Reintegration Planning for short-term prisoners. There are also several pilots and proof of concept initiatives being delivered in several prisons for short sentenced prisoners which have been developed under the Scottish Government RRP. These are due to be evaluated during 2014. The focus of SPS to develop good practice models should fully support the benefits realisation of RRP. The core of all of these pilots is the realisation that more has to be done to improve engagement with short-term prisoners in order to reduce the harm caused by persistent offending.
HMP Low Moss will deliver a fully integrated short-term offender strategy that will focus on engaging and motivating offenders on a self-directed pathway that will promote desistance from offending. SPS staff and community supports will work with offenders to develop their skills and capacity (Human capital) and assist in developing a supportive network that will help reconnect (Social Capital).

Development work
HMP Low Moss are developing the practical elements described below using the whole prison approach which will include co-production between prisoners, officers and other third sector and statutory agencies.

- Developing the skill set of prisoner management staff to provide one-to-one engagement with offenders from admission through into the community.
- Identifying the fluid role of officers and third sector staff working together with offenders to support the self-directed desistance pathway.
- Developing the key inputs and processes required to develop human and social capital including assessment, casework, interventions and throughcare.
- Reviewing existing internal and external structures and identifying opportunities and inhibitors to the strategy.

The development work is well underway. Staff are in place in the throughcare team from the third sector and prison officers and are now working in the community. The short-term intervention programme core modules have been fully developed and are going through the later stages of the pilot phase. The casework structure and allocation is in place and managers are now at the stage of identifying training for staff to properly deliver the case management support role this will be progressed imminently. An asset inquiry report has also been developed and is in early draft form to be piloted and reviewed. Over the next few months model, tools and processes will be continuously reviewed to then promote the best model to take forward.

A product of the Scottish Government RRP (Phase 1) is that the Scottish Prison Service, Scottish Court Service and several Local Authorities are actively examining how enhanced throughcare services might improve outcomes for a targeted group of offenders, serving short-term sentences, in selected prisons and Local Authority areas. An evaluation of these community reintegration tests will be completed during 2014.

SPS recognises, in its operational strategies, a holistic desistance-based approach to working with short-term prisoners. SPS training and practice will be adjusted accordingly to improve outcomes, whilst risk, needs and responsivity will also remain important factors in the SPS approach to understanding and engaging with prisoners and managing their risks.
4.44 For remand prisoners, there is currently little structured planning, although some work is undertaken by third sector organisations who may have had existing relationships with prisoners in the community (for example, Time for Change). Whilst there are some difficulties and constraints in working with prisoners on remand, including the unpredictable duration of their time in custody, it is possible to adopt a scaled and positive approach, which addresses practical needs and issues and focuses on sustaining community connections.

4.45 In order to contribute effectively to reducing reoffending, it is essential to learn from and build upon these innovative examples and the work of RRP to develop a consistent and evidence-based approach to Community Reintegration Planning that supports prisoners to lead positive lives on release and to reintegrate as positive citizens.

POINT FOR ACTION

SPS develops and implements a consistent and evidence-based approach to Community Reintegration Planning (CRP) for short-term prisoners, and a scaled version of CRP for prisoners on remand. These plans should focus on maintaining community connections, addressing practical needs and should fit with the emerging principles of RRP2.

POINT FOR ACTION

SPS extends the testing and evaluation of the effectiveness of the Community Reintegration Planning and throughcare support model by piloting a workable model in a large local establishment, such as Barlinnie, in order to develop arrangements that are practical, realistic and focused on outcomes, rather than compliance with processes.

4.46 There are four key aspects that need to be addressed in developing co-produced Community Reintegration Plans:

- the quality of the relationships between the prisoner and Personal Officer/Community Reintegration Officer/contact person in the community;
- the provision of consistency and continuity throughout the time in custody and into the community;
- the incorporation of practical needs, strengths and community assets as well as a consideration of risks, needs and responsivity issues; and
- the involvement of partners with the necessary assets and skills to support plans and transitions.

4.47 Community Reintegration Planning should start at the earliest point possible and there should be consistency for offenders through the allocation of a trained and professional Personal Officer as a single point of contact during each period in custody, where this is practicable, and where this single point of contact continues to provide support in the immediate post-custody period in the community.
4.48 The active participation of community-based workers throughout the period the person is in custody and, in some cases, post-release support by prison officers working in the community will be critical to improving outcomes from short-term case management. The relatively short time spent in custody means that any action plan needs to continue between custody and the community, and that the relationship between prisoner and key workers both in custody and the community need to be well established prior to release.

4.49 Utilising this approach the role of Personal Officer will be to work with the prisoner, to assess the needs, assets, supports and resources of the prisoner to co-produce a workable plan, and to arrange, coordinate, monitor, evaluate, and advocate for services on his/her behalf. Applying a desistance and asset-based approach to Community Reintegration Planning engages with the prisoner in a different way, seeking to recognise and build on assets and resources both within themselves and in the communities, including the prison, to which they are attached.

4.50 Traditionally, the role of the Personal Officer has ceased at the point of the prison gates with the prisoners liberation into the community, regardless of whether the individual was subject to statutory post-release supervision or not. Partner agencies or voluntary organisations should then pick up the responsibility for support in the community or to meet post-release supervision requirements. In essence the criminal justice system ‘relay baton’ is handed over to the organisation responsible for the next ‘leg’ of the journey. The stark reality, however, is that currently the vast majority of people liberated from prison, who have no statutory supervision element to their sentence, pass through prisons doors on liberation without requesting or accessing voluntary throughcare support.

4.51 The evidence from desistance and asset-based approaches champions the importance of relationships, self-determination of goals, hope, building on individual and community strengths, recognising individual potential and the development of new personal identities as factors which contribute towards an individual leading a more productive and positive life. It therefore seems counterintuitive for a relationship, carefully developed to support those needs in SPS custody, should cease at the point of release. At that point, in reality, the distractions and negative influences that former prisoners are likely to have to confront in the wider community environment are at their most critical and people are at their most vulnerable to lapsing back in to their previously characteristic and often chaotic lifestyles.

4.52 Figure 4.5 outlines the five key dimensions which are critical to Community Reintegration Planning. It should be noted that these will not necessarily be progressed through sequentially, but may run concurrently or cyclically depending upon the individual concerned. It is envisaged that this approach would be scalable. For example, for remand prisoners or those serving very short sentences (e.g. 6 months or less), efforts are likely to be concentrated on three areas – stabilising, addressing practical needs and sustaining and building connections.
A new approach to community reintegration should be developed from the learning and best practice identified from the current Community Integration Planning pilots in Perth, Greenock, Cornton Vale and Edinburgh. Innovative work currently being piloted in HMP Low Moss and HMP Greenock to develop structured approaches to working with short-term prisoners and providing immediate post-release support in the community will provide additional evidence in building the future approach.

The aims of Community Reintegration Planning will be to:

- ensure continuity between custody and the community;
- encourage prisoners to begin preparing for release from an early stage in their sentence;
- support and empower prisoners to access relevant justice and universal services which could help them to sustain improved wellbeing and crime free lives on release;
- develop a trusting yet challenging relationship which can help prisoners to realise their aims;
- motivate prisoners to participate in productive activities whilst in custody that can help them to develop skills, build resilience and empower them to make positive change;
- deliver immediate post-release support to help them make the transition from custody back into the community, either directly through Community Reintegration Officers, or by linking in with Voluntary Throughcare, Mentoring or third sector providers in the community; and
- make best use of the assets between partners supporting community reintegration on the basis of what will work best to promote responsible citizenship.
4.55 Community Reintegration Planning will be centred upon close working between the prisoner and the Personal Officer. While participation would be voluntary at this time, Personal Officers will have a key role in encouraging and motivating prisoners to participate in the opportunities available. The approach would therefore rely on those who aren’t ready to participate opting out, rather than opting in. Due to the numbers of prisoners who will be eligible to participate, and the relatively short periods of time that some of them spend in custody, tools and techniques will need to be developed that allow a straightforward, flexible and individualised approach. An approach which is relational, practical and in which interventions are brief. Whilst a key element of the Personal Officer’s role will be to encourage and motivate prisoners to participate in the process, the ultimate responsibility for taking up and fully engaging in Community Reintegration Planning can only remain with the prisoner. This is critical if prisoners are to take ownership and responsibility for preparing for life in the community. It is therefore important that assessments and plans are realistic, achievable and reflect the prisoner’s capability, interests and priorities. Assessment and planning should be a joint enterprise between the prisoner and the Personal Officer, and the CRP process must be designed with these outcomes in mind.

RECOMMENDATION

SPS explores options to ensure that prisoners have a voice in developing individual plans (e.g. a form of self-assessment) and promotes the appropriate support of families in Community Reintegration Planning. This should include options for involving friends or other positive community supports where family engagement is either not available or not appropriate.

4.56 Where prisoners wish to take up immediate post-release support directly provided by Community Reintegration Officers, such support should not extend beyond six weeks. Indeed support on release may be best provided by other agents such as mentors or other universal service providers. In such cases the Personal Officer should act as a signpost. The aim of this provision, which will require investment by SPS, is to provide the prisoner with the best possible chance of sustaining a positive life in the community in the critical days following release. This is a period of time fraught with difficulties in accessing housing and other supports, and in some cases in resisting negative peer or family influences. Where longer term support is required, this should be provided by voluntary throughcare or other statutory services where applicable. In cases where community-based provision is either more practicable (for example, for those prisoners located in national facilities) or an existing relationship is in place, Personal Officers should work with the community provider at the earliest stage possible to ensure that there is a consistent and aligned approach, and that the prisoner and mentor or other worker are able to develop a working relationship prior to release.
4.57 Whilst it is best practice to begin to plan for release at an early stage in a prisoner’s sentence, it should also be recognised that many prisoners may require time to stabilise and adjust on admission to custody. The very first days or even weeks may not, depending on the circumstances of the individual, be the appropriate time at which to encourage the prisoner to work towards release. For some, there may be issues of drug withdrawal, others may take time to adjust to the custodial environment or experience shock from the loss of liberty and close relationships with loved ones. It will therefore be important for there to be a degree of flexibility within the process to allow the Personal Officer and prisoner to jointly judge the most appropriate time to begin active planning for release. This does not mean that engagement should not begin straight away – but rather that personal circumstances should be taken into account when sequencing and coordinating the different phases of Community Reintegration Planning. The key phases of the reintegration processes are shown at Figure 4.6.

**Figure 4.6: Key Phases of Community Reintegration Planning**

**STABILISE**
- Stabilise
- Exchange information
- Engage and motivate
- Review (if returned to custody)

**ASSESS**
- Strengths and potential
- Risks and needs
- Responsivity and motivation

**ENABLE**
- Co-produce plans
- Recognise achievements
- Challenge constructively

**CONNECT**
- Involve family and friends
- Integrate with community
- Plan for release from admission

**SUPPORT**
- Review progress
- Provide/arrange immediate post-release support

**POINT FOR ACTION**

SPS develops Community Reintegration Planning in alignment with RRP and in partnership with community and voluntary throughcare service providers i.e. Social Work and third sector organisations including PSP leads, so that one tool can be used by different providers to build a whole system approach that ensures that services do not duplicate each other. This should follow the principle of one person, one plan.

4.58 In developing the new desistance and asset-based approach towards Community Reintegration Planning and to further enhance the support arrangements available at the point of release and beyond for those who do not attract statutory post-release supervision, SPS will require to review existing practices and procedures in order to release the resource required to make this new value proposition deliverable and sustainable.
4.59 As the current prisoner records system is already limited in providing aggregated information from which to plan services even for the relatively small proportion of prisoners to whom the Enhanced ICM process applies, significant improvements will be required to support a case management approach for short-term prisoners which may encompass several periods in custody (possibly in different establishments). SPS will need to review the efficiency of its prisoner records system to support new requirements.

4.60 The role of the Personal Officer will be considered a core role and not a ‘secondary duty’. Whilst SPS recognises that appropriate custody must be provided for those sent by the courts, it also recognises that transformational change commences with a refocusing of priorities. The Justice Strategy identifies that SPS focus must recognise the need to reduce reoffending - how SPS works constructively with offenders to support a change in their lives must therefore become a key priority.

4.61 Personal Officers will need to be freed up from routine transactional tasks in order to deliver the quality work that will add rehabilitative value. In order to enable Personal Officers to allocate time to developing the necessary constructive relationship with those in custody, SPS will need to review current practice and reprioritise and reduce the range of transactional and administrative tasks currently being undertaken, with a view to removing duplication and streamlining processes.

**RECOMMENDATION**

SPS invests in appropriate technology that reduces staff time spent on routine transactions and administration such as menu selection, visits arrangements and so forth. Such arrangements will allow investment of staff time in positively engaging with prisoners and should allow prisoners to exercise more agency.

**POINT FOR ACTION**

SPS provides Community Reintegration Planning to all STPs and remand prisoners who wish to take it up, but the process should be scalable, transferrable to community providers, and designed to be deliverable by Personal Officers, rather than specialist roles. Overly bureaucratic/centralised systems are likely to be unachievable.

**RECOMMENDATION**

SPS develops a clear strategy and clear role descriptions for both the Personal Officer and Community Reintegration Officer roles. Training, guidance and processes should be developed for those officers who work in the community to ensure that they are able to operate professionally, safely and effectively within the different legislative provisions that apply once a prisoner has left custody.
KEY MESSAGES

- The immediate post-release period is critical and risky - SPS must work more effectively with partners to improve transitions and outcomes during the first six weeks following release, without extending dependency beyond this timeframe.
- The existence of a supportive, trusting and constructively challenging professional relationship can support desistance and it is therefore important that there is continuity of support between custody and the community.
- Community reintegration planning must focus on strengths as well as needs, and on the development of positive networks in the community.

Investing in the Full Potential of Our People to Inspire Change

4.62 Adopting an asset-based approach and increasing collaboration and integration has implications for the leadership, culture, values, training, and professional development of all within SPS. Developing and skilling SPS people will be central to the transformational change envisaged for the service. The creation of new processes and initiatives to reduce reoffending will be ineffectual unless SPS also takes an asset-based approach to developing its greatest strength and resource – SPS staff.

4.63 The introduction of new systems, roles and processes will not of themselves bring about change. At the heart of transforming lives, will be a change in how staff engage and interact on a daily basis with the prisoner population. However, this cannot be left to individuals to implement alone. Organisational structures, priorities and supports will need to be in place to fully enable and drive forward change across the organisation. Whilst the Personal Officer role is an important one, a whole system, whole prison, whole person approach will require staff in all functions, operational and non-operational, to play their part in supporting and encouraging change.

4.64 Desistance research makes clear that respectful relationships which encourage agency and a focus on strengths as well as needs to co-create action plans jointly show more benefits and improved outcomes. A respectful, participatory and flexible relationship between a prisoner and supervisor (or in the prison context, a prison officer) can help trigger and support the motivation to change.

4.65 In ‘Towards Effective Practice in Offender Supervision’, Fergus McNeill outlines three necessary conditions of change, suggesting that both offenders and those working with them need to have the motivation, capacities and opportunities to effect change.
Figure 4.7: Staff Roles in Promoting Desistance (McNeill, TEPIO21)

A counsellor who helps to develop and deploy motivation

Motivation

An educator who helps to develop and deploy human capital

Capacities

An advocate who helps to develop and deploy social capital

Opportunities

4.66 Figure 4.8 is taken from the DOMICE project (Developing Offender Management in Corrections in Europe22). The table synthesises key themes from relevant research about the core skills and abilities required by people working in case management. Many aspects of this model can be applied to staff and leaders in other roles and functions within the prison context. If work carried out by those involved directly in Community Reintegration Planning and Integrated Case Management is to be supported and built upon, rather than possibly unintentionally undermined by other characteristics of the system, it is important that these skills and abilities are reflected in people working across the prison and across the organisation.

22 “The Specification for Effective Case Management People”, DOMICE (Developing Offender Management in Corrections in Europe)
### Figure 4.8: The Core Skills of Case Management

<table>
<thead>
<tr>
<th>Core Correctional Practice</th>
<th>From Dowden and Andrews</th>
</tr>
</thead>
<tbody>
<tr>
<td>Warm, empathetic working relationships</td>
<td>Teach concrete social and problem skills</td>
</tr>
<tr>
<td>Make good use of existing resources</td>
<td>Firm and fair use of authority</td>
</tr>
<tr>
<td>Modelling pro-social behaviour and attitudes</td>
<td>Cognitive-behavioural approach</td>
</tr>
<tr>
<td>Desistance</td>
<td>From McNeill et al</td>
</tr>
<tr>
<td>Optimistic; believing in the ability to change</td>
<td>Motivational</td>
</tr>
<tr>
<td>Active and participatory in style</td>
<td>Able to establish ‘moral legitimacy’</td>
</tr>
<tr>
<td>Transparent, open and reflective</td>
<td>Reflexive assessment skills</td>
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<tr>
<td>Appreciative and responsive to diversity</td>
<td>Collaborative planning and review</td>
</tr>
<tr>
<td>Able to develop practice from evidence</td>
<td>Emotional resilience</td>
</tr>
<tr>
<td>Holt’s 4 Cs</td>
<td>From Holt</td>
</tr>
<tr>
<td>Consistency</td>
<td>Commitment (genuineness)</td>
</tr>
<tr>
<td>Continuity (building incrementally)</td>
<td>Consolidation (applying new learning)</td>
</tr>
</tbody>
</table>

4.67 Some of the key principles that will be central to the new ethos and which shape how those working with prisoners will go about their job are summarised:

- Every interaction is an opportunity to move the prisoner towards a positive destination or can put them a step back. The officer’s role is to keep the prisoner moving forward;
- When a prisoner is not motivated to engage it is the job of the officer to constructively motivate and challenge the prisoner to improve engagement;
- Where prisoners are motivated to change the officer will listen, support, plan progress, and make opportunities available; and
- Officers understand the wider role and context, and actively work with others who are important to successful reintegration, including the family of offenders.

**RECOMMENDATION**

SPS ensures that staff are trained specifically to support appropriate relationships, motivational techniques, advocacy and change according to their role - from generic change skills to specific skills for those working in the community to support offenders, mentors and team-based engagement.
4.68 The complexity and conflicted nature of the role of the prison officer should not be underestimated. Whilst social workers also experience conflicting demands due to requirements of risk assessment, compliance with licence conditions and public protection, arguably these potential transitions are even more complicated in a custodial environment. Prison officers are required as part of their role to maintain secure custody and promote public order within their areas of responsibility. The ‘duality’ required of an officer as they go about their day-to-day jobs can be conceptualised more as a balancing act than an act of negotiating professional boundaries especially for those carrying out the role of Personal Officer. Prison officers have legitimate authority which they are required to exercise to uphold the rule of law in prison and equally they must understand how to develop effective relationships which seek to promote strengths and support the individual towards desistance. Such relationships must be challenging, not merely ‘good’.

4.69 Whilst the contribution of all staff who work for SPS, whether operational or non-operational, in establishments or in headquarters, will be critical to delivering the new Vision and Mission of SPS, there is a particular need to consider the role of staff who work directly with prisoners, especially those who fulfil Residential and Personal Officer roles. Residential Officers and First Line Managers have a unique opportunity to lead by example, motivate and constructively challenge prisoners because they work in the space in which prisoners live. This daily interaction provides many opportunities for pro-social modelling, brief interventions, restorative practices and conflict resolution. Personal Officers were identified as playing a key role in sentence planning in ‘Opportunity and Responsibility’, working with prisoners as facilitators and engaging them in jointly planning how best to use their time in custody. A Community Reintegration Planning process grounded in desistance which adopts an asset-based approach will require Personal Officers to refocus on co-producing plans, whilst being aware of the vulnerabilities prevalent in the prisoner population which will make this a complex task for some. Staff will require education, training and support to deliver new roles effectively; a point perhaps missed in the intervening period following the launch of ‘Opportunity and Responsibility’.

4.70 The relationships that are formed in support of Community Reintegration Planning are critical to its success. The importance of these relationships between the operational prison staff and prisoners is further explained below. However, SPS will need to develop a clearer articulation of roles for the future and clear practice standards, education and training requirements. The right to perform a complex body of human service work should be dependent upon competence, capability and delivering professional standards.

**Operations Officers**

4.71 Operations officers have an important role to play in the management of any prison. They provide essential security and custody, order and basic care services, and the way in which they perform their role can have a significant impact on how prisoners view the credibility and likelihood of SPS staff to be a positive and sensitive support.

4.72 The interactions Operations Officers have with those in the care of SPS can have an impact both positive and negative beyond any intentions of the actual spoken words. For example, what may be considered funny by one can be deeply distressing to another. A single comment can undermine months of positive interactions and also destroy any perception of an individual asset or strength. It is therefore important
that all staff understand the operating philosophy and the approach to Community Reintegration Planning and understand how best to apply this in their daily interactions with prisoners in a professional way.

4.73 Operations Officers are in the main the first point of contact any prisoner or visitor has with SPS. It is therefore fundamentally important that a supportive tone and approach is deployed for the prisoner and visitor. Some also carry out the role of Family Contact Development Officers and therefore have a critical role to play in recognising and strengthening positive bonds between prisoners and their families. They are also able to identify areas of concern – either for the care or welfare of the prisoner or his or her family.

**Personal Officers**

4.74 There is currently no standard definition of a Personal Officer. Depending upon which establishment, or even which hall, Residential Officers work in, there may be a formal, defined approach to the role as part of a Personal Officer scheme but often with little guidance as to exactly what the role entails. In some areas there are no recognised Personal Officer duties (usually in remand or admission establishments). However, despite the lack of a consistent approach to the Personal Officer role, Residential Officers across Scotland already carry out many of the aspects integral to the job. They provide support to prisoners within their area of responsibility in a number of different ways – dealing with welfare issues, listening to problems, encouraging participation in activities and mediating in cases of conflict. This crucial area of work is often unrecognised, as it is not recorded or actively monitored, but it is an essential and valuable aspect of the prison officers’ role, and underpins the safe and orderly running of the establishment as well as influencing the likelihood of effecting positive change. Such work is some of the most purposeful activity that happens in prisons. However, officers have been given little formal or structured training beyond procedural aspects (for Integrated Case Management) to carry out this vital role. In order to support an asset/desistance-based approach, it will be necessary to give clear guidance about the role of the Personal Officer, and to provide officers with appropriate training and development opportunities to enable them to carry their work out professionally. This will require a fundamental review of the ‘core to role’ training and education that is currently compulsory in order to ensure best fit for the refocusing of the SPS Vision and Mission and the future role of the professional prison officer.

4.75 Personal Officers have a crucial role to play in supporting prisoners to build agency to achieve their full potential as contributing citizens and in helping them to prepare and plan for release. Personal Officers will support the prisoner to identify assets and resources, identify risks and needs (where appropriate), challenge and motivate prisoners to engage in services available in custody, signpost to relevant community-based services and advocate on behalf of the prisoner. Personal Officers and the relationship that is established with prisoners throughout their time in custody has the potential to unlock the gateway to prisoners’ commitment to change and engage with community-based services. Personal Officers can also provide the key linkages to other supports and service providers both within and outside the custodial environment. Risk and needs assessment, asset recognition, mentoring, coaching and motivational interviewing are key skills associated with this role. These are all key skills that future Personal Officers will require both education and training in.
4.76 The professional way in which staff perform their role has a critical impact on how prisoners view their credibility as positive role models who can support and motivate positive change. In the Vision for the future Personal Officers will:

- Be professional and qualified with tools and techniques to support ‘human change management’. They will be required to undertake continuing professional development.
- Be able to operate as part of a multi-disciplinary team both within the prison and the community. Their views will be listened to and respected. They will be skilled in engaging with other practitioners and professionals.
- Be skilled in semi-structured conversation with active listening and feedback. They will use skills in assessment and interventions routinely.
- Be skilled in motivational techniques including interviewing, challenging and engaging prisoners in a way that involves and builds agency, self-esteem and achievement.
- Have the knowledge and skills to support prisoners in planning and making decisions about taking opportunities and improving life chances.
- Have the capacity to identify strengths and assets as well as risk factors. They will develop clear plans with prisoners and motivate success as the prisoner moves towards positive destinations.

4.77 Some of the specific education and training required to support achievement of this ambitious Vision might include:

- Inter personal skills
- Coaching, mentoring and advocacy skills
- Developing partnerships and collaborative working
- Recognising and developing strengths – community and individual
- Asset mapping
- Appreciative inquiry skills
- Contextual understanding to inform decision making, planning and multi-disciplinary work.

4.78 Of course such a transition will take both investment and time but is a necessary and fundamental aspect of the transformational change required of SPS. It lies at the heart of the professionalisation of SPS.

**POINT FOR ACTION**

SPS ensures that the roll out of the revised Personal Officer and Community Reintegration Officers roles is supported by appropriate professional education, training and development, both for the officers who will carry out these roles and the managers who will be required to supervise and coach them. This should include any practical and scaled development of relevant professional qualifications in the longer term.
Community Reintegration Officers

4.79 SPS has only limited experience of the Community Integration Officer role but SPS believe Community Reintegration Officers have a key role in supporting individuals prior to and post-release. Officers can help to navigate through the often complex environment of support networks and services within communities. Community Reintegration Officers will provide advocacy and motivate and support the individual to transition between custodial services to community-led services and sustain engagement in necessary services whether they are health, social care, learning and employability or accommodation related.

4.80 Like Personal Officers the way in which these officers perform their role has a critical impact on how prisoners view staff as role models. In addition it is critically important that Community Reintegration Officers have the necessary skills in relationship building and motivational interviewing, partnership development, advocacy, coaching and mentoring in order that partner organisations and most importantly those seeking support believe SPS is credible when it operates in the community. Further work will be required in defining roles, core role requirements and practical transition arrangements over time.

RECOMMENDATION

SPS commissions work to scope out the best way to develop the professionalisation of the Service, including options for content, structure and methods of delivery for learning and development, the possibility of introducing a requirement for Continuing Professional Development (CPD), initially for all managers, and a Road Map to professionalisation for staff in all roles and levels within the service. This should be supported by the SPS People Strategy.

CASE STUDY

HMP Greenock has begun a pilot to provide post-release support to prisoners leaving custody. This innovative work is aimed at supporting prisoners to reintegrate into the community, with Throughcare Support Officers working with them to plan for release, and then subsequently to provide face to face support during the first six weeks after release. There are now two full time Throughcare Support Officers, who work alongside Personal Officers, third sector providers, other public sector organisations and the prisoners themselves, beginning at an early stage in the prisoner’s sentence, to provide continuity of support and to motivate prisoners to sustain positive lives on release. The officers undertake various tasks, including accompanying former prisoners to appointments such as health checks and social work review, and acting as points-of-contact if they need immediate advice and guidance. There is a high level of uptake of this service, and the University of Edinburgh has been engaged at an early stage to evaluate the initiative. Throughcare Support Officers received training in coaching tools and techniques to support them to carry out this role.
First Line Manager

4.81 In addition to those staff who will be responsible for direct contact and management with the prisoner, First Line Managers have an important role in coaching, mentoring and supervising the staff who are engaged in supporting prisoners to change their lives and fulfil their potential. It is the First Line Manager that will create the correct environment that encourages use of the available time, resources and space to be used by officers to engage with prisoners and to develop the necessary relationships that will support the journey to desistance. First Line Managers should be trained to coach and mentor staff and should be supported in this by appropriately qualified coaching supervisors. In future the First Line Manager should provide professional supervision and support as well as line management.

Middle/Senior Managers

4.82 Managers/leaders at all levels in the organisation will require to develop their professional expertise, especially in those aspects relating to desistance and asset-based approaches, in order to support and drive change in the organisation.

4.83 They will also require the ability to positively influence and reassurance on the work that is done in prisons, and to advocate for opportunities to be provided to offenders upon their return to the community.

4.84 Leaders at all levels will require the skills to manage productive working relationships out-with the direct delivery dimension – this will include, in addition to the direct line management of staff within their function, the management of some services through contracts, and the ability to manage, negotiate and influence equal partnerships with a range of government, third sector and community service providers (e.g. social work, NHS, voluntary sector).

RECOMMENDATION

SPS ensures that processes, systems and organisational structures support professionalisation by empowering staff at all levels and realigning FLM and Unit Manager roles to concentrate on leadership, coaching, practice supervision and empowerment balancing the current overriding emphasis on compliance, audit and assurance.

4.85 Senior Managers should also play a visible role in leading and supporting change throughout the organisation.

POINT FOR ACTION

The SPS Executive Team will be responsible for leading, supporting and driving change and should consider introducing structured leadership walk-arounds to support and embed the changes required to deliver new ways of working and to see and hear about the difference that is being made in front-line services. Transformational leadership skills will be key requirements for Senior Managers across SPS.
Non-operational staff

4.86 Staff who are not prison officers also carry out important roles, both within establishments and in centralised services such as the Scottish Prison Service College, Central Stores and Headquarters. They provide valuable support to front-line staff to free them up to work with prisoners, and to directly provide services that are essential to prisoners such as the administration of mail, visits and handed in cash. They also need to understand desistance and asset-based approaches in order to be able to provide the best quality service. Having properly developed and trained administrative and specialist staff is essential to the smooth and efficient running of front-line services, and this contribution needs to be fully recognised.

POINT FOR ACTION

SPS ensures roles and responsibilities reflect the new culture and the organisation it wants to be. SPS should ensure that roles are clear and transparent and clearly connected to delivery of justice and offender outcomes. SPS approach will be to see the whole system and to make decisions on the use of assets on basis of effectiveness and efficiency.

POINT FOR ACTION

SPS trains staff to support the learning experience and to bring their own skills and potential to improve effectiveness and extend challenge, motivation and innovation across the services offered within SPS prisons.

KEY MESSAGES

- Effective relationships with colleagues, partners and prisoners will be critical to achieving change.
- Adopting an asset-based approach to working with prisoners will mean focusing on developing and nurturing the potential of SPS greatest strength - its staff.
- Whilst there are some roles which require particular development (e.g. Personal Officer, Community Reintegration Officer, FLM roles), staff development across all roles will be important to achieving change, and leaders must ensure that their actions drive forward and support staff in achieving this.
- The role of the Personal Officer can no longer be viewed as a secondary duty, but must become a core element of the Residential Officer role.
- Specify the education and potential development requirement of future roles will be important as well as new skills, tools and techniques.
NEW PURPOSE WITH NEW ACTIVITY

Encouraging Uptake of Learning, Skills and Development Opportunities during Custody

4.87 The SPS Interventions Policy published in September 2010, sets out three broad objectives:

■ Developing a suite of improved programmes for offenders including streamlined provision and better delivery models.

■ Using the interventions delivered in custody to build a desistance approach among offenders (particularly those receiving shorter sentences) to support them to break the cycle of reoffending. Activities to be aimed at building individual capabilities and focusing on social inclusion and economic participation.

■ Developing an evaluation and monitoring framework to support the policy and provide evidence-based activity and outcomes measures to inform decisions about current and future resource investment and service provision.

4.88 The Intervention Strategy identifies a twin-track approach of:

■ Providing accredited programmes of proven worth to those offenders who present a high risk of harm to the public, and

■ Addressing the needs of lower risk but habitual offenders to help them desist from the behaviour that leads to reoffending and to make the transition from prison to the community.

4.89 Recent internal reviews of the policy emphasise the importance of providing activities focused upon lower risk of harm (but often more prolific) short-term prisoners to support them towards desistance. However, desistance is a complex and subjective process to which there can be no single solution. The focus of systems and processes within SPS has tended to be upon longer term, higher risk prisoners. So there is not yet a fully strategic approach to purposeful activity for the wider short-term prisoner population. This needs to be developed and work is already in hand to develop a Purposeful Activity Strategy for SPS.

4.90 SPS still works to achieve the nine offender outcomes first set out in the National Strategy for the Management of Offenders. Whilst these outcomes set out in Figure 4.9, remain essential to working with prisoner and to improving their life chances on release, desistance and asset-based approaches would suggest that a more holistic approach is required to develop the motivation and hope required to move on from offending.
4.91 Learning and personal development within SPS has tended to focus on what can be classed as structured or formal activities. The delivery of programmes, vocational training, classroom-based education is often delivered by specialists. So programmes and work party officers, teachers and psychologists often concentrate on addressing personal, social and psychological needs (or deficits). Such an approach fails to recognise the rich dynamic of relational and motivational work by prison officers which is so important in effecting change. In recent years, this has also been influenced by a corporate definition of purposeful activities for Key Performance Indicator (KPI) reporting. An ethos focused on citizenship will require a widening out and refocusing of purposeful activities to include activities which support the identification and promotion of strengths and aspirations, encourage the development of pro-social networks and resources and which enable prisoners to actively and meaningfully contribute to both the prison community and society (including volunteering and social enterprises). Figure 4.10 outlines a model view of Purposeful Activity which could achieve a better balance between working on deficits and building on strengths, and Figure 4.11 outlines the type of activities that could be brigaded under each heading.
**Figure 4.10: An Holistic Approach to Purposeful Activity**

**Figure 4.11: A New Typology of Purposeful Activity**

**Holistic approach to Purposeful Activities**

**Wellbeing**

- Contact with family and friends
- Hobbies/personal interest
- Physical exercise and sport
- Creative arts
- Developing caring skills (such as Paws for Progress)
- Support groups like Alcoholics Anonymous
- Library access
- Health promotion (e.g. sexual health, well women, etc.)
- Sustained or improved physical and mental wellbeing
- Youth work
- Spiritual activities
- ‘Busy activities’ that provide opportunity for social interaction and give someone a reason to get out of their bed in the morning
Citizenship, volunteering and reparation

- Time bank
- Volunteering and community engagement – in prison (e.g. poppies, veterans garden at open estate etc.)
- Community work (for those with community access)
- Reparative work (e.g. building things in prison that can be used by the community)
- Social enterprises (e.g. YES project in Polmont)
- Peer support (such as Listener’s Scheme)
- Equality and diversity

Life skills and resilience

- Practical life skills (e.g. cooking, cleaning, mending, personal financial management, decorating/DIY) and independent living
- Communication needs
- Parenting
- Services to improve mental health
- Trauma and bereavement services
- Assertiveness and self-esteem
- Resettlement services (e.g. help with housing, benefits etc.)

Offending behaviour

- Accredited programmes
- Approved activities
- Substance misuse
- Domestic abuse
- Cognitive Behavioural Therapy
- Brief interventions
- Assessment, casework and motivational work

Learning and employability

- Education
- Peer mentoring (e.g. Toe by toe literary support)
- Work
- Skills Development Scotland/Jobcentre plus services
- Work based learning and skills
- Literacy
- Numeracy
- Embedded learning opportunities
4.92 Programmes aimed at addressing prisoners’ offending behaviour and other structured activities retain an important place within the overall approach. Accredited programmes have an important place within the area of purposeful activities and are most effective when careful assessment has taken place to establish the suitability for participants. However, they are only one of a range of options, and delivered with the cognisance that over-intervention or inappropriate intervention can be counter-productive and can unintentionally act to escalate offending behaviour or serve to maintain it. Under a revised model such interventions become one of a wider, more holistic range of activities designed to build upon strengths, potential and social networks as well as addressing risks and needs. It is also important to address practical needs, such as life skills and resettlement issues, alongside any interventions. Interventions and activities need to be appropriate, proportionate and relevant to agreed needs and risks.

**RECOMMENDATION**

SPS develops a Strategy for Purposeful Activity which promotes balance between the different elements of the emergent, holistic model, recognising the importance of activities which enable prisoners to contribute meaningfully to communities, both in prison and outwith. This should include reviewing the practice and activities for short-term prisoners to develop positive motivational work that promotes strengths, builds skills and encourages familial, social and economic relationships with the community.

**POINT FOR ACTION**

SPS reviews the range of Purposeful Activities available in its prisons to ensure they support the individualised nature of the desistance journey and encourage the development and building of individual and community assets. The Activity Review should take account of the need to align prison and community supports and activities as well as access to universal services.

4.93 Purposeful activity should also support the development of resilience and independence. Research suggests that successful desisters from offending don’t necessarily face fewer social problems than persisters, but that they tend to be more resilient and hopeful. Approaches that address the full range of criminogenic, personal and social issues that prisoners may face are therefore more likely to reduce reoffending. Volunteering and activities that promote citizenship can also be extremely beneficial as they enable prisoners to contribute something positive to society, and to build skills and experience through developing strengths. This can include reparative work, which enables prisoners to give something back to society through the provision of time and services. This kind of work can be particularly effective where there is a tangible link between the volunteering or reparative activity, the prisoners who carry it out and the community into which they will eventually be released. Positive community support is important to the resettlement of those released from prison and reparative work that can benefit both the individual and the community can develop and strengthen this support.
**CASE STUDY**

Former veterans among the staff and prisoners within Castle Huntly wanted to develop a Memorial and Contemplation Garden within the prison grounds. The team of prisoners and staff identified a waste piece of ground upon which to site the garden. Once permission had been granted to use this site there commenced a period of sustained joint planning and activity. The prisoners and staff used their own resources, knowledge and skills to plan, design, source plants and materials and eventually create the garden. The garden was formally opened on Remembrance Sunday 2012 with members of the British Legion, prisoners, staff and several local dignitaries in attendance. The opening ceremony was also marked by the planting of a Yew tree by the local area MSP Mr John Swinney and the Governor. The transformation of waste ground into an area with a real purpose is a wonderful example of what can be achieved by staff and prisoners using their assets and working together towards a common objective.

**POINT FOR ACTION**

SPS extends the range of constructive placements available and the robustness of arrangements for supporting such placements. SPS will consider how it will support improved practice learning opportunities for prisoners and will look externally in developing a range of placement providers with suitable support and robust arrangements for supporting such placements. As part of this work SPS should seek to source new relationships with Local Authorities and communities to seek new social responsibility and mutually beneficial, reparative opportunities.

**POINT FOR ACTION**

SPS considers how it will improve its record of reparative work in communities establish the value of a more restorative approach by seeking opportunities to support communities through its purposeful activity.

4.94 In taking an asset-based approach and when coupled to the underpinning principles of desistance it is entirely appropriate for SPS to seek to develop skills and agency within the prisoner population that can be put to use supporting other prisoners. This would also enable prison officers to focus on supporting those individuals who deliver support to their peers.

**POINT FOR ACTION**

SPS develops and extends opportunities for prisoners which enable them to develop the skills, abilities and confidence required to provide peer support and mentoring to other prisoners.
4.95 Work has already commenced with Learning Directorate and Education Scotland on alternative delivery models and curriculum development. This should be expanded with a view to broadening and making learning services more relevant with increased effectiveness and reach.

4.96 Opportunities to diversify prison employment also exist – prison work parties operating grounds and other in prison services were once commonplace. However, these have reduced over the years in the interests of efficiency. SPS will revisit the opportunities it makes available to prisoners in order to extend the relevance and availability of good quality experiential and vocational learning.

**RECOMMENDATION**

SPS explores options to develop in-house opportunities for prisoners to learn and deploy new skills. This should include reviewing how SPS specialist trades could appropriately employ prisoners as ‘apprentices’.

4.97 There are also innovative examples of work parties involving third sector organisations, such as Recyke-a-bike as well as private business opportunities that increase the skills market available to offenders. Businesses such as Timpsons have already engaged in interviewing prisoners in custody for employment on release. Social enterprises such as Homeboy Industries and the Delancey Street Foundation in America also offer a potential model for purposeful activity that can aid desistance on release. Of course such models would need to be relevant and tailored for Scotland but are worthy of further exploration. HM Prison Low Moss is developing new relationships with relevant Local Authorities that might provide benefits that are replicable across Scotland. SPS should ensure that it builds on this good practice and develops a more strategic approach to engaging with different sectors to improve employability, skills and learning as well as community payback.

**RECOMMENDATION**

SPS develops a clear Employability/Industries Strategy for developing, delivering and commissioning productive work. The strategy should generate purposeful activity, provide local flexibility to allow for variations in services between local partners and support innovation, such as active engagement with private industry, Local Authorities and social enterprise.

4.98 The current KPI definition of purposeful activity is narrow and potentially inhibits the recognition of important work that already occurs daily in prisons. Constructive relationships that motivate change are crucial and personal interactions between prisoners and a wide range of prison-based staff, which supports pro-social behaviours and the development of trusting, but challenging, relationships between staff and prisoners is not captured within the current definitions. The current measures could even have the effect of unintentionally discouraging such work in favour of any activity which is considered to be structured, with little consideration as to the quality or relative benefits of each activity. Some areas critical to supporting prisoners on release, such as quality contact with family, friends and networks of
support, could be left uncredited within the current definition of purposeful activity. The Review of Purposeful Activity needs to ensure that the new strategy also places value on the relational and motivational work of staff.

4.99 Whilst traditional forms of delivery will remain important, they should be viewed as one of a possible range of options for learning and personal development, which might be combined along with pro-social modelling, brief interventions and alternative forms of delivery (e.g. youth work, creative arts, restorative practice, opportunities for volunteering and peer mentoring). Whilst SPS directly deliver some purposeful activities, others are provided by third sector organisations, education providers, the NHS and, in some examples, partnerships with private sector business and social enterprises. This multiplicity of provision enables the delivery of a wide range of activities, and the creation and development of the community links that are so vital to supporting prisoners on release.

4.100 Levels of motivation should also be considered when designing and targeting activities. Motivation should be seen not just as a criterion for participation in purposeful activity or programmes, but as an area for development in itself. Personal Officers, and Activities Officers, should take into account, and directly engage with, the level of motivation of the person concerned. Figure 4.12 provides a simple model of how change can be supported.

**Figure 4.12: A Simple Model of Change**
4.101 Activity in prison serves many different purposes. There is merit in having some activity which is designed to keep prisoners occupied, build a sense of routine and to give structure and purpose to the day. Those serving relatively long periods in custody could not be expected to do in-depth programme work or interventions continuously, and to attempt to do so is likely to undermine their efficacy. It is therefore important to have a balanced approach to activity provision, which takes into account the different capabilities and stages of the prisoner population in each establishment and which recognises the value of relational work beyond structured activity.

**POINT FOR ACTION**

SPS develops systems and processes to ensure that activities and services provided, both at an establishment and at corporate level, are based on and meet the aggregated needs of the prisoner population, and reflect and align with community-based opportunities and that good practice is shared across and between organisations.

4.102 The underpinning aims of purposeful activity should be to increase the participation and productivity of prisoners, but also to improve social connectedness, and to give structure and purpose to the prisoner’s time in custody and on release. Purposeful activity underpins the journey towards citizenship.

4.103 Current timetabling and scheduling systems are disparate across the estate, over reliant upon complex and unintuitive manual systems and often fail to replicate delivery norms in the community (e.g. 3 hour sessions for young offenders attending education). Access to many resources which prisoners would need to function in the community is denied due to the increasing proliferation of services available to citizens online. Enabling prisoners to access digital services prior to liberation would help to prepare offenders for reintegration into the community.

**RECOMMENDATION**

SPS explores and pilots options for introducing technology which can support the timetabling, scheduling, recording and monitoring of purposeful activity and which will inform future delivery. SPS also considers options for introducing access to digital services to support learning and connection with government and community-based services which are provided via digital access.

**RECOMMENDATION**

SPS Prisoner Record System is reviewed to incorporate the data it requires to promote improved recording of outcomes, activity and case management. PR2 should be fully evaluated in terms of fitness for purpose as a case management tool and, subject to affordability, should be re-specified, redeveloped or replaced.
SPS considers operating a sessional approach to purposeful activity which recognises the needs of the individual and better reflects modes of learning and participation in the community.

4.104 There is therefore also a need to review and improve the structures and systems that facilitate access to purposeful activity, and to explore how aggregated and meaningful data can be used to inform activity design and provision as well as informing about outcomes, both at a corporate and establishment level.

4.105 In order to be effective, the planning of activities needs to be matched to the population held in each establishment. This requires regular and structured reviews of provision, with the ability to quickly adapt in order to meet changing need or to reflect the availability and structure of learning, personal development, wellbeing and employment activities in society. A simple redefinition of purposeful activity is likely to exacerbate existing difficulties in creating meaningful ways of measuring and monitoring the extent and impact of the delivery of purposeful activities. Improvements in the use of technology within SPS for measuring and monitoring prisoners needs and attendance at activities at both an individual and aggregate level will therefore be required to improve accuracy, reliability and meaningfulness of interventions.

4.106 Purposeful activity provision also needs to be developed in a way that encourages the diverse prisoner population to engage with the activities on offer. Many prisoners have had negative experiences of education and mainstream services over a sustained period of time, and effective activity design needs to be mindful of this. Whilst it is right that some activities should be designed solely by professionals (e.g. accredited programmes) in other cases it is important that prisoners have a voice in the range and nature of activities provided, and in their design.

The revised SPS Strategy on Purposeful Activity includes mechanisms for engaging with prisoners on a regular basis to seek their views about the appropriateness of the range of activities offered, the way in which they are delivered and their efficacy in supporting them to lead positive lives.

4.107 There are many positive examples across SPS of innovative and challenging purposeful activities, which support prisoners to lead positive lives on release. However, there is more that can be done to ensure that there is a strategic and structured approach to purposeful activity, which builds on people’s strengths as well as addressing their needs and support the development of supportive relationships and networks in the community.
CASE STUDY

Bike Station is one of the largest bicycle recycling charities in the UK. Originally established in Edinburgh, the organisation now has shops in Perth and Glasgow. Bike Station aims to promote cycling and improve social inclusion, whilst also reducing the number of bicycles which end up in landfill sites every year. Bike work sheds now operate in HM YOI Polmont, and HM Prisons Shotts, Edinburgh and the Open Estate. HMP & YOI Cornton Vale has a similar relationship with Recyke-a-Bike in Stirling. Prisoners receive invaluable work experience, training and qualifications through these projects, which also enable them to provide a service to the community through the refurbishment of bicycles which would otherwise be thrown away.

4.108 In recognition of the work required in this area, SPS has engaged a senior manager and project team to review and take forward development of the SPS Purposeful Activity Strategy.

KEY MESSAGES

■ The range of purposeful activity on offer within each prison should be based upon analysis of the needs of the population held there and provision should be flexible enough to respond to changing needs or norms in society.

■ Purposeful activity should support the development of strengths and potential, as well as addressing risks and needs. It should develop practical life skills and enable prisoners to contribute meaningfully to prison and outside communities through participation in voluntary work that generates self-esteem, transferable skills and connectivity with the community.

■ Prisons require appropriate information technology and systems to enable the effective and efficient planning, delivery, monitoring and improvement of purposeful activity at individual, functional, establishment and corporate levels.

■ Staff empowerment as educators, facilitators and advocates is an important contributor to purposeful activity.

Engaging Offenders Appropriately with Care, Respect and Humanity

4.109 Engaging with the prisoners with respect and humanity is an essential part of working in prisons. It contributes to the safe and orderly running of the prison, and ensures that human rights, which are not removed when someone is sent to prison, are upheld. The fact that at times this can be a challenging aspect of the role serves to make it all the more important. Those who work in prisons must lead by example, demonstrating pro-social behaviours and holding themselves to the highest ethical and professional standards.

4.110 In a system in which the vast majority of prisoners are adult men, it is therefore particularly important to ensure that services and working practices are tailored to meet the needs of adult women, young women and young men. SPS is progressing several important areas of work to ensure that this is achieved, including the design of a new, purpose built national facility for women at Inverclyde and innovative work
being taken forward in partnership with Education Scotland to develop HM YOI Polmont into a secure learning environment. Such developments point to the need to ensure that the SPS Estates Strategy supports new models of service delivery.

**RECOMMENDATION**

SPS reviews its Estate Development Plans and Population Management Strategies in line with emergent SG penal policy, prisoner projections, prisoner segmentation and regional service delivery in order to ensure fitness for purpose in the future and support for the new Vision and Mission of the Service.

4.111 The female prison population has doubled over the last 10 years. There is a high prevalence in the women’s population of social problems, substance misuse and mental health issues, with many women serving repeat short sentences for relatively low level offences.

4.112 Women in custody are likely to be of lower risk to public safety than men. Many have dependent children and histories of trauma, sexual abuse, self-harm and victimisation. There are some innovative services tailored towards the need of women in the Criminal Justice system, however, most services are designed with the needs of adult men in mind. As community-facing prisons are developed, careful consideration will need to be given as to how to ensure that the needs of women are met in a wider range of establishments with a majority population of short-term adult men.

**CASE STUDY – HMP Inverclyde**

A dedicated team has been set up to develop the Women Offender’s strategy, and to inform the design, build and operation of a new, purpose built specialist national facility for women in Inverclyde. This will support SPS to meet the recommendations of the Commission on Women Offenders and to improve outcomes for women in custody.

4.113 There are also gender differences in the process of desistance from crime. Whilst many of the issues faced by women in custody (mental health, substance misuse, trauma, bereavement, stable accommodation on release) are also faced by men, they are more prevalent and more acute within the female prisoner population. An often forgotten group is young women, who tend either be grouped in with adult women or young men where policy and service design is concerned. Young women need a tailor made, holistic approach that recognises that they are both women and young, and which provides continuity of care.

4.114 Interpersonal skills are of particular importance in working with adult and young women. Staff require support and gender specific training. An approach that seeks to redefine how opportunities are provided to offenders will need to be proportionate, holistic, age and gender appropriate, motivational and be done with offenders and not to them.
RECOMMENDATION

SPS ensures that appropriate services are available to adult women and young women, and that appropriate training is provided to the staff who work with them. Training must be relevant to working with specific groups and should provide a ‘passport to practice’.

POINT FOR ACTION

SPS considers how best to ensure that it is able to deliver the requirements of the young people’s and women’s strategies across a more diversified estate ensuring connectivity to local services that aid the reintegration of individuals into appropriate community and universal services.

4.115 As community-facing prisons are developed, careful consideration will need to be given as to how to ensure that the needs of women, young people and children are met in a wider range of establishments with a majority population of short-term adult men. A disproportionate proportion of young people in custody were looked after as children. Work with young people shows better results when a holistic approach is used that considers the whole range of needs and where support is integrated both in prison and in the community. This support needs to be longer term, and not just in the early weeks upon release.

4.116 The development of basic life skills is important, as are coping/resilience skills, including the development of meaningful links with community-based services whilst in custody (preferably including developing working relationships with key workers). Some young people in custody, whose early lives may have included time in residential care or secure units, may have little sustained experience of living in the community as a young adult. Care should be taken in applying a risk assessment approach to young people who offend. Such an approach has the potential to pre-emptively stigmatise young people and entrench offending behaviour. Asset-based approaches therefore have particular potential for use with young people. The approach enshrined in the SGs ‘Getting it Right for Every Child’ (GIRFEC) policy is asset-based, whilst also taking into account issues of resilience and vulnerability.

4.117 Currently, the vast majority of young people under the age of 21 are cared for in Young Offenders Institutions. This means that they are provided with age appropriate services, tailored to their needs. However, the legislation which provides for young people to be held separately from adults also allows for young people admitted to custody under the age of 21 to remain in Young Offenders Institutions until the age of 23. In practice, this very rarely happens. A small number of young people remain in HM YOI Polmont beyond their 21st birthday, but rarely for significant periods of time. Many organisations providing services to young people in the community recognise youth or young adulthood extending until the age of 24. The European Rules for Juveniles Subject to Sanctions or Measures also supports the extension of youth justice systems to young adults. The development of a person-centred, asset-based approach to working with young people would therefore suggest that greater use should be made of the provision to allow young people to remain in Young Offenders...
Institutions for substantially longer periods, depending upon both their needs and any potential risk they present to younger prisoners. It may be more appropriate to consider it the norm that young people who begin their sentence in a YOI complete it there, with those for whom this is not appropriate being transferred into the adult system as the exception.

**POINT FOR ACTION**

SPS considers the benefits of managing young people up to the age of 23 as appropriate in Young Offenders Institutions, and incorporate any Recommendations into the Strategy for the Management of Young People in Custody.

**POINT FOR ACTION**

SPS adopts the principles, outcomes and indicators of GIRFEC and train and develop staff to work specifically with young people to develop their assets and improve life chances.

4.118 SPS published its first Equality Mainstreaming Report in April 2013. Mainstreaming equality simply means integrating equality into the day-to-day working of SPS. This means taking equality into account in the way SPS exercises all its functions. In other words, equality should be a component of everything SPS does. SPS takes an approach to equality which is underpinned by human rights values. The equalities report also identifies 5 Equality Outcomes:

- SPS inclusively supports those in its care to become more effective contributors and responsible citizens in society;
- Everyone SPS engages with is valued and treated with respect and dignity, advancing a culture where all people in custody, staff, partner agencies and the public feel they are treated equally;
- Everyone understands and advances our equality and diversity policies;
- SPS develops its policies and test the appropriateness of its decisions using accurate data with a clear evidence base; and
- Employees feel respected and valued at work and experience equality of opportunity to achieve their full potential.

The overall direction of the Review is supported by the human rights approach which underpins the Equality Mainstreaming Report.

**POINT FOR ACTION**

SPS ensures that appropriate adjustments are made to services to ensure access to appropriate services where there is an equalities issue, and ensures that the Change Programme is fully impact assessed and supports the 5 Equalities Outcomes identified in the Equality Mainstreaming Report.
4.119 Whilst there is much more that could be said about delivering appropriate and tailored services for women and young people in custody, there are already significant and ambitious programmes of work being taken forward to address these issues. It is important that these programmes are informed by and aligned with the overall programme of transformational change for SPS, and that they form the vanguard in developing and implementing desistance and asset-based approaches. The dramatic and disproportionate rise of number of women in custody in Scotland is well recognised, and there has been increasing focus on the importance of working with young people to divert them from a life of crime, and to help them to realise their potential.

**POINT FOR ACTION**

SPS ensures that the strategies and programmes already being taken forward to develop and improve the approach to purposeful activity and working with young people and women in custody are aligned with the overall change programme, and that mechanisms are in place to ensure that learning and best practice are shared between all the programmes.

**CASE STUDY – Whole Systems Approach**

The Whole Systems Approach was formally launched by the SG in September 2011. The aim of the approach is ‘to achieve positive outcomes for some of our most vulnerable young people, helping them to fulfil their potential and become valuable contributors to their communities’. The approach works across all systems and agencies involved in working with young people, bringing together the SG’s key policy frameworks into one holistic approach for young people who offend. This involves putting in place streamlined and consistent planning, assessment and decision making processes for young people to ensure they receive the right help at the right time. A key aspect of the approach is ensuring best practice for reintegration and transitions for young people who spend time in secure care or custody. SPS has worked closely with Childrens and Families, Youth Justice and Criminal Justice Social Work teams and third sector organisations across Scotland to develop and implement a more integrated approach to working with 16 and 17 year olds in custody.
Young people and women need age and gender appropriate approaches that are delivered consistently regardless of location.

Specific and appropriate training is required to support staff who work with adult women, young women and young men.

Asset-based approaches have particular potential for use with young people, and are already reflected in SG policy, such as GIRFEC.

**Promoting Public Confidence – a Safe, Secure and Effective Service**

4.120 The balance between Custody, Order, Care and Opportunity, which have formed the task of SPS for over two decades, are essential to maintaining the moral legitimacy of prisons. Little else can be achieved within a prison system unless those who live and work there are safe, processes are seen to be comprehensible and equitable, prisoners are cared for with humanity and dignity and secure custody is maintained. SPS has a strong track record in delivering these elements, achieved by the committed efforts of the men and women who work in Scotland’s prisons.

4.121 Whilst the new approaches outlined in this document will require transformational change in the way SPS conceptualises its work and in how it carried it out, this does not mean leaving behind everything that has been achieved over the past decades, but rather building upon the strong foundations that already exist. The tenets of normalisation, moral legitimacy, safety and security outlined in ‘Opportunity and Responsibility’ remain fundamental to the operation of a safe and humane prison service, and provide an essential foundation for working to reduce reoffending. Caring for prisoners with humanity is an important feature of any civilised society. An approach that treats people with fairness, openness, respect and dignity is also essential to achieving a stable and orderly environment within which staff and prisoners can live and work together safely to achieve change. These are the foundations of dynamic security.

4.122 Over recent years, there have been many initiatives and developments which have improved how SPS safely manages and works with those who present the greatest risk. Multi-disciplinary Risk Management Teams now operate in every prison, to both provide robust assessment of the suitability and readiness of prisoners to transfer to the open estate, and to develop management plans and monitor the progress of those prisoners who either cause serious disruption within custody or have been identified as presenting particular risks to the public. Multi-Agency Public Protection Arrangements ensure that SPS, Police Scotland, Criminal Justice Social Work and other community-based agencies work closely together to manage the risks presented by sex offenders subject to sex offender notification requirements, both prior to and on release. There remain a range of options to manage prisoners who behave in ways which cause serious disruption, or who present an imminent threat to others, including removal from association. The importance of continuing to engage and work with prisoners for whom there has been no alternative option but to remove them from association is, however, recognised within the Rule 98 guidance, and multi-disciplinary case conferencing has an important role in addressing the issues, which have led to removal and in rebuilding the connections and capabilities required for the prisoner to be reintegrated into mainstream accommodation, once this is deemed appropriate.
CASE STUDY – Prison Watch Scheme

A team consisting of staff at HMP Edinburgh, SPS HQ and Lothian & Borders Police received a Butler Trust Award for their contributions to the development and management of the establishment’s ‘Prison Watch Scheme’. The scheme engages the local community and prisoners’ families in helping to keep the prison and its surroundings safe, has contributed to a dramatic reduction in prohibited items entering the prison and is now being rolled out across the estate. Prison Watch has also helped police gather intelligence on individuals involved in organised crime, who were attempting to continue engaging in criminal activity while behind bars.

4.123 It has long been recognised in Scotland that for the majority of prisoners, stability and order is achieved through the strength of the ‘right’ working relationships between officers and prisoners, which requires a balance between treating prisoners with care and respect whilst also exercising legitimate use of authority to challenge inappropriate or anti-social behaviour. The importance of well recognised and responsive systems for prisoners to raise complaints or grievances, and of safeguards such as independent inspection and monitoring are also well established in Scotland. As referred to earlier in this section, many officers already actively engage in listening to, motivating, challenging and supporting prisoners in a variety of ways in their day-to-day role. However, this aspect of their role is under developed, little training is provided to support effective practice and organisational systems at times constrain it. Whilst many staff will welcome the development of the desistance and asset-based approach outlined in this section, there may also be concerns that this could result in people ignoring or failing to tackle risks, needs and inappropriate behaviour, which in turn could undermine the maintenance of stability and order within prisons. SPS will continue to manage risk and to keep public protection clearly in its sights.

4.124 In reality working more proactively with prisoners to motivate and support them to bring about change is not a ‘soft’ option. This way of working is about challenging people to be the best that they can and in many respects this is a far tougher approach than settling for one which allows people to live up to fairly low expectations and then simply seek to contain and manage their risks. Another aspect critical to future success will therefore be to ensure that staff (at all levels) are well educated and informed about what the new Vision and approach means for their role, and to make clear that it does not mean ignoring problems or risks, but rather taking a more holistic approach which is practice-based, challenging and aspirational. This is also essential to increasing public confidence and, given the importance of relationships to maintaining a safe and orderly environment, adopting an asset and desistance-based approach should further enhance SPS dynamic security and ability to achieve all aspects of the new Mission.
SPS ensures that staff at all levels are well educated and informed about adopting a desistance and asset-based approach, what this means, and the positive impact that this can have on maintaining a safe and orderly environment. This is incorporated into the SPS strategy for engaging and assuring the public.

**POINT FOR ACTION**

- Prisons that are safe, secure and orderly remain critical to delivering the Mission.
- It has long been recognised in Scotland that for the majority this is achieved through the strengths of the relationships between officers and the prisoners they care for, and that having avenues to raise legitimate concerns and requests are fundamental to this. For those prisoners who do not respond positively to this approach, there remains a range of options to safely manage them.
- Adopting an asset-based approach does not mean ignoring risks or needs, or permitting unacceptable behaviour. There is a difference between ‘right’ relationships and ‘good’ relationships. Engaging prisoners with care, humanity and respect is not about being soft, but about developing balanced relationships where prisoners are constructively challenged and supported to turn their lives around.

**KEY MESSAGES**

4.125 Fundamentally, the change in Vision is about expanding SPS horizons, its ambitions and its effectiveness. Previously, SPS focus has been on those elements over which it had direct control. However, as the factors that lead individuals to offend are multiple and complex, so are the things that help to give them the reason, meaning and capacity to stop. A strict focus on working within the constraints of organisational boundaries means that people can get lost in the gaps between service provision and service providers. There is no one organisation or agency in Scotland that can resolve these multiple and complex factors in isolation, and so long as each organisation involved focuses only upon what it can directly deliver, the impact upon reoffending will also be constrained, less effective and in many cases undermined.

4.126 Stepping out from beyond these constraints is both an exciting and a daunting prospect. Public sector organisations have seen an increased weight placed upon the measurement of their success through metrics and Key Performance Indicators. There will be legitimate concerns about how SPS can be held to account for outcomes that require the collective working of the whole justice system (and beyond). However, failure to take this step will continue to fetter and undermine SPS ability to make Scotland safer. As a respected and professional justice organisation, with a valuable and diverse range of collective skills and abilities that can and should be used to do more, it is right that SPS should play a lead role in driving forward a transformational change that supports the aspiration of justice across Scotland.
4.127 Figure 4.13 summarises the key concepts underpinning a rebalanced prison service. The model is centred on the people who pass through SPS care. The new professionalism of all SPS people underpins everything that SPS does. Care and Order, which can be conceptualised as two sides of the same coin, are not diametrically opposed, but go hand in hand in achieving a prison system in which people are safe, secure, cared for, treated with humanity and provided with a threshold quality of life. Working in this way achieves moral legitimacy, which in turn means that prisoners are more likely to engage positively and uphold the rules, regulations and activities within the prison. Prisoners will feel that they are treated fairly and with respect. This provides an essential foundation for an approach centred on the individual growth of people in SPS care, which aims to improve and build upon their wellbeing, strengths and potential. The ambition is to work with offenders to develop their individual capacities, to increase networks of support and opportunity in the community. The ultimate goal is to increase the offender’s belief in the possibility of citizenship. People who have a sense of purpose and belonging in the community, who are both enabled and able to repair damaged links with their family, friends and neighbours, are more likely to become responsible citizens.

**Figure 4.13: Contribution of Prisons to Human Flourishing**

- **Citizenship**
  - Contribution
  - Purpose
  - Belonging
  - Reparation

- **Person**
  - Strengths
  - Potential
  - Safety
  - Security
  - Moral Legitimacy
  - Normalisation
  - Threshold quality of life

- **Order**
  - Personal development
  - Agency
  - Responsibility

- **Rehabilitation**
  - Opportunity

- **Reintegration**
  - Social connectedness
  - Families

- **Professionalism**
SECTION 5: OUR PROCESSES

STRUCTURE AND OPERATING MODEL

Introduction
5.1 In order to deliver these changes and to meet new demands SPS will need to reorganise and review its processes and structures to build and sustain the future capability of the organisation. One of the priorities for the Review is to make Recommendations on an organisational structure that will support the delivery of the new SPS Vision and Mission. As part of this process SPS will need to ensure that its operating and business systems are efficient and effective and that all staff are well led and supported in both delivering and developing their roles. The recommended Target Operating Model, and structures described in this section, organises SPS in a manner that will enable it to be more effective in securing its goals and in delivering a best value service. The restructuring of SPS Directorates will impact on every level of the organisation from Headquarters (HQ) to the front-line and will require a significant reshaping of existing processes. The reality of moving from the current structure to the recommended structure will be complex and will take time. The issues involved will go beyond reshuffling structural reporting relationships or the simple allocation of functions and activities across the key Directorates. The Review report raises questions about how a restructured SPS should be led and managed, the culture needed to support it and the ways in which staff should approach and carry out their jobs to deliver the principles of the new SPS operating philosophy.

The Current SPS Operating Model
5.2 SPS is headed by a Chief Executive who is responsible to Scottish Ministers, within the terms of an agreed Framework Document, for the management, operational delivery, performance and development of the Service within the broad context of the National Performance Framework. The Chief Executive and four Directors, who currently head each Directorate, comprise the SPS Executive Group and are supplemented by six Non-Executive Directors. Combined these Directors form the SPS Board.

SPS HQ is currently organised into four Directorates as follows:
- Partnerships and Commissioning Directorate;
- Operations Directorate;
- Business Services Directorate; and
- Human Resources Directorate

5.3 Figure 5.1 depicts the current structure of SPS HQ (as of Autumn 2013) and its functional divisions, including the current Director/Project Executive responsible for the delivery of the Review. The figure also includes the recent migration of finance responsibilities to the Chief Executive’s Office. Until August 2013 the current Business Services Directorate was known as Finance and Business Services Directorate (FABS) but was reconfigured following the retiral of the Director of Finance and Business Services during the same month.
5.4 The four Directorates are responsible to the Chief Executive for the delivery of their defined functional areas of activity. Each Directorate comprises of Branches which are organised to deliver specific HQ functions. The Governors in Charge (GIC) for the fourteen public sector prisons, currently report to the Director of Operations. Each GIC is responsible for the prisons’ operations and performance. The two private sector prisons and the Court Custody and Prisoner Escort Services contract are managed, via a Contracts Team that currently reports to the Director of Partnerships and Commissioning. The responsibility for operational business is therefore currently split across two Directorates. Human Resources and associated services are managed from the Human Resources Directorate. Business services, including Information Systems & Strategy, Procurement Policy & Services, Estates & Technical Services, and Healthcare Chaplaincy, are managed from the Business Services Directorate. Directors in Charge of the fourteen public sector prisons and Directors in Charge of the two private sector prisons are responsible for the prisons’ operations and performance. The SPS Organisational Review Team is responsible for organisational review and development.
5.5 The current Directorate structure and functions have emerged as a result of the opportunistic dissolution of two Directorates over the last three years. These were Health and Care Directorate (2012) and Corporate Services Directorate (2009). The residual functions and activities of these Directorates have been disaggregated across the remaining Directorates in an expedient fashion rather than form following function. This has created some role ambiguity and dysfunction between Directorates. A clear need for the reorganisation of SPS Directorates has been recognised at Board level for some considerable time. The current Review provides the opportunity to ensure that the structure of the SPS HQ supports new organisational demands and efficient and effective operation.

5.6 The current SPS operating model and structure has evolved considerably since its original conception as an Executive Agency in 1993. The shape of Senior Management and the Board has taken several forms during its development to current state. Much of the current structure has been shaped by the functional requirement and managerial energy put into dealing with increasing population pressures and the need to develop a fit for purpose prison estate.

5.7 These pressures have led to a significant focus on estate development, new prison buildings, and subsequent population segmentation and prisoner management issues. Consequently the service has tended to concentrate on custody, order, compliance and associated performance which, alongside a strong agenda to ensure the competitiveness of the public sector estate, has created a strong governance focus around process and efficiency. This has resulted in a weaker culture of innovation, and improvement with a limited focus on rehabilitation outcomes.

5.8 The introduction of prison business reviews, the requirement to meet key performance indicators, performance measures and an era of quality assurance and process audit has led to a significant organisational driver being the pursuit of management efficiency, economy, and the development of a rather limiting performance culture. This has put considerable emphasis on the achievement of measurable outputs and less on effectiveness or the achievement of successful offender outcomes. As one commentator put it, ‘we hit the targets, but missed the point’. Efficiency is important but effectiveness in delivering outcomes is fundamental to realising real public value.

5.9 Public perception, the media and attention on significant offender cases and critical incidents has further, but understandably, resulted in an era of tight risk management with a focus on public protection as the primary goal of SPS. However, security alone is unlikely to make Scotland safer in the longer term, and a better balance is required between custody and rehabilitation with an increased focus on delivering better offender outcomes and purposeful activity that helps to reduce reoffending. SPS has coped well with pressures and complex redevelopment logistics. The organisation has adapted and developed structures, processes and systems that support custodial flexibility and adaptability. However, the demands on the service are different and the architecture of the current operating model is no longer fit for purpose and needs to be realigned to meet SG expectations and the principles of the new Vision and Mission.
The Need for Greater Alignment

5.10 Scottish Ministers have set out the strategic objectives and expectations for the justice system in Scotland and those for the public bodies that deliver them. SG is responsible for setting the policy and resources framework within which the Agency operates. Scottish Ministers are responsible for:
- setting the strategic objectives and related performance targets;
- approving the Agency’s corporate and business plans;
- holding the Chief Executive to account for SPS performance;
- setting public expenditure provisions for the Agency;
- receiving the Annual Report and audited financial accounts from the Chief Executive;
- approving the appointment of the Chief Executive; and
- approving the Framework Document for the Agency and any revisions to it.

5.11 Scottish Ministers’ responsibilities are discharged in the light of advice from the Director-General for Learning and Justice. Therefore the new SPS organisational structure needs to take into account the current Learning and Justice context and the policy environment within which SPS operates. Each component part of the Scottish justice family is facing significant challenge and review at present and across justice there is significant activity, consultation and major change taking place. SPS is already part of the wider work to review justice efficiency and effectiveness. Accordingly the new Target Operating Model must not only support SPS operations but also the wider change agenda. SPS needs to discharge its accountabilities in line with SG expectations and must have greater alignment to and play its full role in contributing to the delivery of justice policy across Scotland.

OVERVIEW OF BOARD AND EXECUTIVE STRUCTURES

5.12 In order to improve corporate alignment new guidance has recently been issued by SG on the roles and responsibilities of Agency Chief Executives and Management Advisory Boards. These have been reflected in the revisions to the SPS Framework Document as part of the Review process. The key points are noted below.

The Role and Responsibilities of the Chief Executive

5.13 The Chief Executive is answerable to the Scottish Ministers for the outcomes delivered by SPS and for planning its future development. The role holder acts as Chair of the Management Advisory Board and responsibility for operational matters is delegated to the Chief Executive by the Director-General Learning and Justice. Principal duties of the SPS Chief Executive include:
- discharging the Scottish Ministers’ functions in relation to prisons and offenders;
- providing advice and information to the Cabinet Secretary for Justice, other parts of SG on prison service matters and, in particular, to Justice Directorate in support of wider justice and penal policy;
- progressing towards and achievement of the Agency’s strategic priorities and playing a full part in the delivery of the Strategy for Justice in Scotland;
- carrying out their duties to support the Director-General Learning and Justice;
- working collaboratively with the SG, in particular, with the Director-General Learning and Justice’s senior management team to support progress towards the National Outcomes;
- responsibility for the operations and financial management of the Agency and for its performance against key targets;
- providing regular briefings to relevant portfolio Ministers on progress and activities of SPS;
- providing independent professional advice, information and evidence to Scottish Ministers, relevant SG departments and key national bodies including those responsible for funding, policy development, management, inspection and monitoring of quality and delivery of prison and justice services;
- acting as Accountable Officer for the management of the Agency’s resources, as appointed by the Permanent Secretary;
- ensuring that all relevant financial considerations and SG guidance, including issues of propriety, regularity, efficiency and value for money are taken into account in delivering the Agency’s business, providing an annual governance statement to this effect;
- providing regular and comprehensive information about the Agency’s financial and operational performance to the Director-General Learning and Justice;
- preparing and publishing annual reports, accounts, corporate and business plans, subject to Ministerial approval;
- leading, managing and developing the Agency’s staff, paying due regard to the principles of the SG’s People Strategy;
- ensuring Best Value, specifically through participation in shared services arrangements, when putting in place appropriate operational structures, business systems and procedures - including systems for financial management and control, internal audit and risk management;
- replying to correspondence from MSPs on operational issues within the Agency’s responsibilities and otherwise supporting Ministers by preparing Ministerial briefing and responses to Ministerial correspondence and written or oral parliamentary questions;
- meeting SG Corporate Expectations;
- keeping the content of the Agency’s framework document under review, discussing changes with the Director-General Learning and Justice; and
- establishing and chairing a Management Advisory Board which comprises SPS executive Directors and Non-Executive Directors.

The Role and Responsibilities of the Management Advisory Board

5.14 SPS has a Management Advisory Board, which includes Non-Executive members. The Management Advisory Board has no role in holding the Chief Executive to account for the Agency’s performance and no power to issue directions to him or her. Non-Executive Directors appointed to an Agency are supportive, advisory and enabling. They support the Chief Executive in the discharge of their role. The role of Non-Executive Directors may include:

- **Strategy** – constructively challenging and contributing to the development of strategy, suggesting ambitious and customer focused targets and innovative approaches for delivery;
- **Performance** – scrutinising the performance of management in meeting goals and objectives and monitoring the reporting of performance; and
- **Risk** – Satisfying themselves of the reliability and integrity of risk management and internal control arrangement. Providing assurance that the framework for organisational governance is operating effectively.

5.15 Consultations with SG indicated that the future role and constitution of the current SPS Management Advisory Board needed to be in line with the new guidance. In addition, the Director-General expressed a desire for alignment, where appropriate,
between the two main agencies in the Learning & Justice Directorate, namely SPS and Education Scotland. Accordingly the refreshed Framework Document for SPS has a broadly similar shape to the Education Scotland Framework, however, there are acknowledged differences in specific details given the differences in role and the particular nature and risks associated with an operational service such as SPS.

**Design Principles for a New Target Operating Model (TOM)**

5.16 This section defines the key principles and objectives that underpin the design of the new operating model for SPS, above establishment level. As outlined in Section 2 of this report, a number of design principles that should underpin the development of a revised operating model for SPS were agreed with the Chief Executive, see Figure 2.5.

5.17 Based on these design principles and prior to designing the revised high level structures for HQ, a TOM to shape and drive the future operational business within SPS was proposed. Following discussion with the SPS Board in December 2012, the new organisational model was agreed as an effective basis for meeting the design principles and which would form a fit for purpose management structure for the service. The resultant framework is as defined at Figure 5.2.

**Figure 5.2: Design Principles for New Target Operating Model (TOM) for SPS**

<table>
<thead>
<tr>
<th>STRATEGIC LEADERSHIP</th>
<th>Governance &amp; Planning</th>
<th>Performance &amp; Compliance</th>
<th>Branding &amp; Communications</th>
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<tbody>
<tr>
<td>Operational Delivery</td>
<td>Strategy &amp; Innovation</td>
<td>Corporate Services</td>
<td>Organisational Reform</td>
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<td>Public Sector Prisons</td>
<td>Policy Development</td>
<td>HRM/Organisational</td>
<td>(Interim)</td>
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<td>Private Sector Prisons</td>
<td>Needs Assessment &amp;</td>
<td>Development</td>
<td>Organisational Review</td>
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<td>Security &amp; Intelligence</td>
<td>Commissioning</td>
<td>Cultural Transformation</td>
<td>Women’s Strategy</td>
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<td>Prisoner Escorting</td>
<td>Healthcare &amp; Chaplaincy</td>
<td>Estates</td>
<td>Relocation of HQ</td>
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<td>Learning &amp; Skills/</td>
<td>Commercial Services</td>
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<td>Employability</td>
<td>Information Technology,</td>
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<td>Other Offender Services</td>
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<td>Assurance</td>
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5.18 The final design principles, the recommended TOM and three options for the new HQ Directorate structure were also presented to the SPS Board in December 2012. The options presented were assessed against six criteria which provided 11 evaluation points. The details are provided in Tables 5.4, 5.6 and 5.8. The three structural options considered are illustrated at Figures 5.3, 5.5 and 5.7.
5.19 Each of the Directorate Structure Options were constructed on the basis of the TOM and were presented to the SPS Board. They were discussed and evaluated against the agreed design principles. Table 5.4 shows the assessed compliance of the Option 1 model. Option 1 maintained the current four Directorate Structure with two Directors delivering the corporate services functions. The Chief Executive’s Office continues to provide a corporate challenge, change and assurance function and an interim role of Change Manager is included to support the Change Programme.
### Figure 5.4: Evaluation of Option 1

<table>
<thead>
<tr>
<th>NO</th>
<th>EVALUATION OF MODEL AGAINST DESIGN PRINCIPLES OPTION 1</th>
<th>STATUS</th>
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<tbody>
<tr>
<td>1</td>
<td>Designed for business need</td>
<td>Did not comply</td>
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<td></td>
<td>a Alignment to SG priorities</td>
<td>Did not comply</td>
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<td></td>
<td>b Development of partnership working</td>
<td>Full compliance</td>
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<td></td>
<td>c Need for policy input to SG policy development</td>
<td>Full compliance</td>
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<td></td>
<td>d Focus on the development of effective services for offenders</td>
<td>Full compliance</td>
</tr>
<tr>
<td></td>
<td>e Appropriate balance between prison service operations and support services</td>
<td>Did not comply</td>
</tr>
<tr>
<td>2</td>
<td>Provide capacity and capability to deliver the reform programme</td>
<td>Full compliance</td>
</tr>
<tr>
<td>3</td>
<td>Ensure clear roles and reporting lines</td>
<td>Full compliance</td>
</tr>
<tr>
<td>4</td>
<td>Embed leadership and accountability</td>
<td>Full compliance</td>
</tr>
<tr>
<td>5</td>
<td>Provide appropriate spans of control</td>
<td>Partially complied</td>
</tr>
<tr>
<td>6</td>
<td>Lean operation and contributory reduction in Senior Civil Service Grades</td>
<td>Did not comply</td>
</tr>
</tbody>
</table>

5.20 The evaluation of Option 1 identified that it did not meet all the design principles. In respect of the overall business need it was not deemed to fully meet SG priorities or the need for efficiency particularly in reducing Senior Civil Service Posts or in providing an appropriate balance between SPS operations and corporate support services. The model would arguably expand the current executive function. It was assessed that even if the model combined the role of the Change Manager with the role of Director of Human Resources the structure would retain the imbalances of the current structure and would evaluate with non-compliances against the assessment criteria.
5.21 Option 2 maintained two Directorates with an operational focus on delivering offender management and reducing reoffending, the Director of Operations and the Director of Strategy and Innovation. The model structure combined the Director of Business Services with the Director of Human Resources to generate a new Directorate, Corporate Services. The role of Change Manager was included to sustain and support the SPS transformational change programme. The evaluation of Option 2 identified that it fully met the design principles. While the structure was lean and carried some additional risks these were assessed as manageable. The provision of a Change Manager would allow the separation of delivery of business as usual from the delivery of change. Directors would be responsible for delivering the change supported by the Change Management Unit and, with properly considered design and construction of Directorate functionality, it was considered that this would be a workable and preferred model.
Figure 5.6: Evaluation of Option 2

<table>
<thead>
<tr>
<th>NO</th>
<th>EVALUATION OF MODEL AGAINST DESIGN PRINCIPLES OPTION 2</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Designed for business need</td>
<td>Full compliance</td>
</tr>
<tr>
<td>a</td>
<td>Alignment to SG priorities</td>
<td>Full compliance</td>
</tr>
<tr>
<td>b</td>
<td>Development of partnership working</td>
<td>Full compliance</td>
</tr>
<tr>
<td>c</td>
<td>Need for policy input to SG policy development</td>
<td>Full compliance</td>
</tr>
<tr>
<td>d</td>
<td>Focus on the development of effective services for offenders</td>
<td>Full compliance</td>
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<td>6</td>
<td>Lean operation and contributory reduction in Senior Civil Service Grades</td>
<td>Full compliance</td>
</tr>
</tbody>
</table>

Figure 5.7: Directorate Structure Option 3
5.22 Option 3 also maintained the Director of Operations and the Director of Strategy and Innovation. It originally combined the Director of Finance and Business Services with the Director of Human Resources to generate a new Directorate, Corporate Services. In Option 3 the Change Management Function was also included within Corporate Services, (given the strong HR lead required in driving cultural change and an effective People Strategy). No dedicated Change Manager was envisaged in this model. Since the evaluation a further change has taken place with the movement of Financial Service functions to the Chief Executive’s Office.

**Figure 5.8: Evaluation of Option 3**

<table>
<thead>
<tr>
<th>NO</th>
<th>EVALUATION OF MODEL AGAINST DESIGN PRINCIPLES OPTION 3</th>
<th>STATUS</th>
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<tbody>
<tr>
<td>1</td>
<td>Designed for business need</td>
<td>Full compliance</td>
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<tr>
<td>a</td>
<td>Alignment to SG priorities</td>
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<td>Development of partnership working</td>
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<td>d</td>
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<td>Full compliance</td>
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<td>e</td>
<td>Appropriate balance between prison service operations and support services</td>
<td>Full compliance</td>
</tr>
<tr>
<td>2</td>
<td>Provide capacity and capability to deliver the reform programme</td>
<td>Did not comply</td>
</tr>
<tr>
<td>3</td>
<td>Ensure clear roles and reporting lines</td>
<td>Partially complied</td>
</tr>
<tr>
<td>4</td>
<td>Embed leadership and accountability</td>
<td>Full compliance</td>
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<tr>
<td>5</td>
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<tr>
<td>6</td>
<td>Lean operation and contributory reduction in Senior Civil Service Grades</td>
<td>Full compliance</td>
</tr>
</tbody>
</table>

5.23 The evaluation of Option 3 identified that it did not meet the design principles. Particularly, because it did not provide the capacity and capability to deliver the reform programme with Corporate Services being deemed too large with the addition of the corporate change management responsibilities. The lean operation was believed to create too many risks to delivering the change programme.

5.24 Based on this evaluation it was considered that Option 2 was the only option which wholly aligned to the agreed design principles. The SPS Board confirmed their support for the design principles underpinning the recommended TOM and the Option 2 structure in February 2013.
The Implications of the New Target Operating Model (TOM)

5.25 The new TOM is one that has been designed to meet the new organisational requirements of SPS. Change is often trammelled by the status quo of the existing culture and systems of organisations. This is particularly true of prisons. In recent history, SPS changes have often resulted in new structures being superimposed on current practice or new structures or functions being formed without an appropriate impact assessment or horizon scanning. Such change has often been driven by expediency and opportunism rather than crafting a solution to deliver the most effective and efficient organisational outcome. The new organisational model should open up fresh opportunities that will be enablers to the transformation of SPS services. The changes to SPS Directorates will impact on all aspects of the organisation, and should ensure that SPS has the structure to support the strategic leadership, communications and skills required and available to reform the organisation and to transform current operating practice.

5.26 The key features of the new organisational model and high level structure are as follows:

POINTS OF NOTE

- The reduction in Directorates from four to three.
- The convergence of the HR Directorate and Business Services into a new Corporate Services Directorate.
- The introduction of two operational functions, Strategy and Innovation Directorate and Operations Directorate.
- The establishment of Corporate Challenge and Change functions within the Chief Executive’s Office as a secretariat to support corporate planning, change management and corporate performance. The Chief Executive’s Office now includes the Finance role.
- The establishment of a change management function and appointment of a Change Manager (which is likely to be a circa three year appointment) to coordinate the continuous improvement of SPS and the implementation of the change agenda. This is not a separate Directorate and will report directly to the Chief Executive.

5.27 The new TOM will meet the business needs of SPS and is designed to be responsive to the identified gaps in the current operating model as described in earlier sections. The new structure is organised on the principle of lean operation and provides the SPS contribution to a reduction in the Senior Civil Service with three Executive Directors accounting to the Chief Executive instead of four as in the current operating model. This is broadly equivalent to comparable organisation such as Scottish Court Service. This structure will provide a fit for purpose HQ organisation that reflects the new relationships with SG and will improve transparency and accountability, support the corporate expectations of SG and reduce duplication and bureaucracy.
5.28 The Chief Executive will have four key Executive posts reporting directly to him:

- Director of Operations;
- Director of Strategy and Innovation;
- Director of Corporate Services; and
- Change Manager (Interim Post).

The Chief Executive’s Office will consist of corporate business and challenge functions that include, communications and branding, compliance, legal services, administration, financial policy and services, and performance and audit. The Chief Executive will define the reporting arrangements for the Chief Executive’s Business Unit including the Head of Corporate Business, the Head of Corporate Communications, the Head of Finance and the Head of Audit Services.

**RECOMMENDATION**

SPS immediately implements the Target Operating Model Option 2, including the restructure of Financial Policy and Services to the Chief Executive’s Office with a direct reporting line to the Chief Executive.

**RECOMMENDATION**

SPS reorganises its structures at Directorate level in line with the principles and high level structures outlined in the report of the Review and evaluates these posts in line with Scottish Government Civil Service Rules and expeditiously recruits to these posts.

**DIRECTORATE OPERATING ROLES AND STRUCTURES**

5.29 Figure 5.9 defines the recommended functions that will make up each Directorate. Note that whilst the Change Manager directly reports to the Chief Executive, the post holder will work closely with all of the Directors. Each Director will be accountable for transformational change as part of their roles and responsibilities as Senior Executives. This section explores in more detail these structures and, in particular, the:

- role of the Corporate Challenge and Business function;
- role and responsibilities of the Change Manager;
- key features and functions within each of the three Directorates; and
- roles and responsibilities of SPS Directors.
Figure 5.9: New Headquarters Structure (View 1)
Chief Executives Office and Corporate Challenge Function

5.30 The Chief Executive’s Office and Corporate Challenge Function is designed to support the delivery of Chief Executive’s business and governance requirements, to increase the transparency and accountability of the organisation to external stakeholders, and to support the continued development of an effective and positive relationship with SG. It is the ambition of SPS to be a fully effective public body that meets the expectations of SG and the full characteristics of a best value organisation. The Chief Executive has overall accountability for the effective leadership and maintenance of professional relationships across Government. The Chief Executive’s Office is made up of four specific functional groups all of whom report directly to the Chief Executive. These are:

- Communications & Branding;
- Compliance and Legal Services;
- Financial Policy & Services; and
- Performance and Audits.

The roles of the Chief Executive’s Office and Corporate Challenge Function are shown in greater detail in Figure 5.10.

Figure 5.10: The Chief Executive’s Office and Corporate Challenge Function
5.31 The introduction of a Corporate Challenge Function will create an effective secretariat for the Chief Executive and the SPS Advisory Board. It will coordinate responses to Scottish Ministers, the Justice Committee, other high profile administrations and the Justice Board. It will ensure a high standard of submission and where necessary will provide feedback about improvement requirements in this important aspect of SPS business. The function will also determine the extent to which resources are aligned with SG and SPS strategic priorities. The Chief Executive’s Office will also monitor the delivery of the Corporate Plan and advise the Board on significant, strategic level projects and on legal compliance and challenges. Further improving the quality of information and accountability for organisational results, including finance are a key element of the Corporate Challenge Function. This new function will provide challenge and expertise to the organisation based on both external and internal drivers of change. Governance and challenge will become integral parts of SPS improvement process.

The Roles and Responsibilities of the Change Manager

5.32 The Review recommends that in order to successfully deliver the necessary culture change and to effectively monitor its progress, a suitable Change Manager should be recruited or appointed. The Change Manager will be the senior responsible owner of the change programme, reporting directly to the Chief Executive and responsible to the SPS Management Advisory Board. It is recommended that this will be an interim post spanning circa 3-5 years, with a review date in 2015. The Change Manager will:

- Define and develop the change programme and manage the transition of organisational change, ensuring delivery of agreed outcomes in line with the agreed Road Map timescales;
- Identify the resources required to deliver the change programme, manage the programme change team and lead change management activity;
- Measure and monitor the change programme delivery targets, identify and manage risks and issues brief the SPS Board as well as report on benefits realised;
- Develop a strategy for stakeholder engagement and communications;
- Develop the change management governance model;
- Ensure the delivery of change whilst operational stability is maintained; and
- Provide leadership and coordination on strategic level projects.
THE KEY FUNCTIONS OF THE DIRECTORATES

Summary of New Directorates

5.33 The SPS Directors, as Primary Accountable Officers, will make best use of SPS resources and allocate them in a way that makes planned progress toward the overall organisational vision and refreshed operating practice in line with the Review Road Map. They will lead by example, setting the right tone and pace of change. The Directors will regard one of their responsibilities as being guardians of the corporate conscience, organisational values and overall direction. They will ensure that those who govern and manage, account appropriately to stakeholders, and that any corporate risk is identified and controlled. They will drive the efficiency and effectiveness of the teams that they lead and will be accountable for, and will instil a culture of innovation and continuous improvement.

5.34 Figure 5.11 provides a ‘value’ model view of the impact of the new Target Operating Model. Corporate Services within this diagram provides clear support to the operational Directorates both in terms of putting in place the necessary enablers for supporting the change process but also in ensuring efficient corporate services to assure the day to day running of SPS operational business. Strategy and Innovation and Operations Directorates will work together to ensure the delivery of change, efficient services on the ground, delivery of the benefits of the Justice Strategy and improving standards of service and outcomes for offenders.

Figure 5.11: New Target Operating Model (View 2)
5.35 The **Strategy and Innovation Director** will have responsibility for developing partnership working, providing strategy development and service commissioning in a collaborative manner. This includes providing policy input to SG that is informed by a greater emphasis on research, planning and innovation and by focusing on ‘what works’, and the development of effective services for offenders. This will provide greater business alignment to the National Performance Framework and the Justice Strategy. This Director will look to ‘break silos’ and share outcomes with the Operations Director. The Director will contribute to corporate planning, the operational business meeting structure and the quality business review process.

5.36 The **Operations Director** will work collaboratively with the Strategy and Innovation Director to provide an agreed working model for the effective operational delivery and continuous improvement of SPS strategic priorities. This Directorate is primarily focused on the effective outcomes of Offender Services, Offender Management, and Prisons Management. The relationship between both the Operations and Strategy Directorates is a key determinant of the ability of SPS to effectively contribute to the SPS Vision of supporting offenders on their journey to positive citizenship. The support of the Corporate Services Directorate is similarly important in supporting the operational delivery of services.

5.37 The **Corporate Services Directorate** will deliver best value services that support and enable the SPS Operating Philosophy, Vision, Mission and Strategic Priorities to be delivered. The centralisation of support services will help to drive forward the shared services and efficiency agenda. The brigading of HR within Corporate Services will improve communications and reduce silo working, allow for new synergies, reengineering of processes and opportunities to share services and processes. The requirement of the Corporate Services Director to be involved in the Strategic Development Board (SDB) see 5.45 that will replace the existing Offender Outcomes Development Group (OODG) will ensure that the Corporate Services function develop their functional priorities based on the overall direction of the business and provide an offender-centric approach. There are some risks associated with the scale of the new Directorate. SPS has a large human resource and organisational development agenda to take forward, however, the model structure provides that this work can be taken forward within the roles and responsibilities of the new Directorates, supported by the Change Manager. There will still be a need for competent and capable HR professionals as well as other specialist corporate services staff across the Directorate beneath the Corporate Services Director.
THE ROLES AND RESPONSIBILITIES OF THE NEW DIRECTORATES

5.38 The following paragraphs provide more detailed definition of the key roles and responsibilities, and the necessary interactions between the Directors in the new structure. The descriptors for each Directorate provide only broad structural changes at high level. It will be for Directors to construct their individual Directorates to support new business requirements and to agree changes as the organisation evolves. Indeed the Review recognises that Directorates will need increased flexibility to change and adapt to a rapidly changing environment with new demands. SPS should ensure that roles and structures in the future do not ‘fossilise’ but are dynamic and responsive to shifting role requirements.

Strategy and Innovation Directorate

5.39 The Strategy and Innovation Directorate has a key role to play in developing the plans and strategy by which SPS will improve its effectiveness and business delivery. The Directorate has offender services and interventions development, knowledge management, strategic development, and innovation in reducing reoffending at its core. This function will develop strategy focused on ‘what works’ for offenders as well as growth strategies that generate significant new value for SPS partners in the provision of services to offenders, victims, families and communities. The Directorate will provide the evidence of the effectiveness of SPS practice, which will be informed by empirical research, knowledge partnerships, needs assessment, emerging trends, improved activities and innovation in practice. Strategic innovation takes the road less travelled. It challenges the organisation to look beyond its established boundaries and current mental models to participate in collaborative, open-minded, creative exploration of new opportunities and responsibilities. Figure 5.12 provides the proposed high level structure for the Strategy and Innovation Directorate. The Director of Strategy and Innovation will have three proposed key Branch Head posts reporting directly to them:

- Strategic Development and Commissioning;
- Offender Services and Interventions Development; and
- Research, Planning and Innovation.
The key features of the recommended structure for Strategy and Innovation Directorate are:

- To provide key input to SG and other stakeholders, including those in the justice community in relation to offender and justice policy development and its implementation within SPS strategy and programmes of work, applying SG policies and where necessary tailoring to meet SPS specific operational requirements;
- Responsibility for the coordination of the SPS Corporate and Delivery Plans and performance measures ensuring alignment with wider SG and Justice Strategies;
- Responsibility for the development of a research and innovation function and an analysis methodology that drives continuous improvement within SPS and which impacts and informs the successful achievement of wider Justice outcomes and knowledge;
- The provision of leadership to ensure the effective operationalisation of strategy in conjunction with the Operations Directorate and the Corporate Services Directorate;
The principal accountability for the development of Offender Services & Interventions with the inclusion of the Psychology Team into their function; and
Ensuring the growth in areas of evidence-based research and planning to enable the continued development of an innovative and robust value proposition for SPS with knowledge partnerships that support innovation in its strategy and practice.

Roles and Responsibilities – Director of Strategy and Innovation

Leadership and General Management
- Supports the Justice Strategy agenda and the National Performance Framework, contributes to corporate leadership, change and the organisational development of the service, focus on outcomes and is seen to be a champion of the transformation programme. The Director of Strategy and Innovation is a member of the SPS Management Advisory Board;
- Provide positive and professional leadership to staff in the Strategy and Innovation Directorate, ensuring that the Directorate is well managed to support the activities of SPS;
- Principal source of advice to the Chief Executive and fellow Directors (and, where appropriate the Director-General Learning and Justice and Cabinet Secretary for Justice) in relation to the approach to offender management and delivery of offender services;
- Actively driving a reduction in bureaucracy, duplication of processes and establishing a problem solving attitude across the Directorate. Creating and delivering new ways of working to increase efficiency and effectiveness;
- Key input to SG and other stakeholders, including those in the Justice Community in relation to offender and justice policy development and its implementation within SPS strategy and programmes of work, applying SG policies and where necessary tailoring to meet SPS specific requirements; and
- Leading the development of SPS Corporate and Business Plans.

Strategy and Innovation
- Horizon scanning and benchmarking SPS against other providers and jurisdictions and ensuring that good practice is shared across SPS;
- Responsibility for developing and agreeing offender strategy with SPS Management Advisory Board and ensuring that programmes of work are implemented consistently across the organisation. Strategy developed will provide a framework for offenders’ lives in custody and through release; and
- Development of SPS national needs and risk assessment, offender management, offender support, advice and throughcare strategy; ensuring that these are impact assessed and consistently implemented across all establishments in line with segmentation of prisoners.
Policy and Strategy
Lead responsibility for developing and agreeing offender policy and strategy with the Chief Executive and Management Advisory Board, ensuring that agreed policies are implemented consistently across the organisation. Strategies developed will provide a framework for prisoners’ lives in custody and their transition into the community. In fulfilling this role the post holder will:

- Work closely with strategic policy holders within the SG agreeing operational policy priorities;
- Provide strategic leadership to the planning and management of policy development and its implementation across an extensive group of policies many of which are politically sensitive and impact directly on all prisoners;
- Ensure the policy team devises the most efficient and effective way of developing and implementing SG policy;
- Communicate and engage with a wide range of stakeholders in the development of policy;
- Oversee the drafting of business cases and impact assessments arising from policy development/modification;
- Oversee and approve all advice to the Chief Executive, Director-General Learning and Justice and the Cabinet Secretary for Justice relating to offender policies, identifying potential reputational issues and liaising with communications branch to appropriately to address these;
- Coordinating the development of Corporate and Delivery plans that support the Justice Strategy; and
- Measure the effectiveness of SPS key performance areas and strategic delivery.

Partnerships
Lead responsibility for developing strategic partnerships for the provision of offender, victim, family and community services. This includes:

- Effective contribution as SPS representative to the SG-led cross departmental/agency Justice Strategy;
- Working with members of the wider Criminal Justice Family to provide joined up services which are focused on reducing reoffending;
- Development of a strategy for provision of offender services which provides for a mixed economy of delivery (incorporating in-house, voluntary, third sector and private sector providers);
- Working with statutory, voluntary and community organisations to develop appropriate partnerships focused on the rehabilitation of offenders. Such partnerships must ensure effective throughcare from the prison to the community setting;
- Fostering and developing partnerships with and support for families and community organisations in the development of a desistance strategy; and
- Developing mechanisms for listening and feeding back to users.
Learning and Skills
Lead responsibility for ensuring that high quality learning and skills provision is available to offenders during their custodial period. This includes:
- Acting as Senior Responsible Owner in the implementation of Recommendations arising from the Review regarding learning and skills;
- Ensuring effective commissioning of learning and skills provision based on identified prisoner need; and
- Ensuring effective contract management of the learning and skills providers, leading strategic review meetings and acting as senior liaison with the appointed provider.

Programme and Interventions
Lead responsibility for ensuring that an interventions programme is provided in line with identified offender need and that effectiveness of delivery and outcomes are evaluated. This includes:
- Ensuring the effective commissioning of serviced based on a mixed economy of service delivery;
- Ensuring that commissioned services are accredited and approved for delivery in prisons and are aligned with community services; and
- Ensuring that effective monitoring arrangements are in place to deliver high quality interventions to offenders.

Offender Services
Lead responsibility for the development of an offender management model that will contribute to reduced reoffending and ensuring that this is consistently applied across SPS in line with population segmentation;

Lead responsibility for the provision of other offender services the development of SPS value proposition and commissioning new service models. This includes but is not limited to:
- Pathway services linked to resettlement planning and universal services;
- Regimes development;
- Catering services; and
- Commissioning services and activities to meet need.

Health and Social Care Management
Key liaison with the NHS in relation to the provision of healthcare services to offenders, supporting Health Improvement, Social Work and Chaplaincy Services in prison. This includes:
- Acting as the SPS representative on the National Prisoner Health Network (NPHN) and other strategic governance structures relating to healthcare;
- Key liaison with the NHS in relation to the provision of healthcare services to offenders and in promoting wellbeing and health improvement in prison;
- Liaising with NHS Scotland regarding the planning of healthcare services for offenders;
- Ensuring the effective monitoring of the quality of healthcare services provided to offenders and ensuring that action is taken to address any issues identified;
- Coordination of prison-based social work arrangements and associated Local Authority relationships; and
- Management and Coordination of Chaplaincy Services, linkages and partnerships with Faith Communities.
5.40 Shared Responsibilities in Developing Strategy

To ensure excellence and effectiveness in the operational delivery of SG Policy, Figure 5.13 illustrates the governance model for SPS Policy and Strategy Development. This is based on a principal–agent model where the Director of Strategy and Innovation is the principal owner of Strategy and Policy Development. This model is described below.

**Figure 5.13: Governance Model for Policy Development**

- **1. Interpretation**
  - **Strategy & Innovation Directorate**
  - **Principal Ownership**
  - Interpret Scottish Government Policy

- **2. Organisation**
  - **Strategy & Innovation and Operations Directorates**
  - Principal – Agent Review
  - Organise an Agreed Working Model

- **3. Application**
  - **Operations Directorate**
  - Agent Ownership
  - Application of Agreed Strategy in Offender Services

- **4. Improvement**
  - **Strategic Development Board**
  - Principal – Agent Review
  - Check and Continuously Improve

5.40.1 Interpretation – The principal owner of the interpretation of SG Policy into SPS Strategy is the Director of Strategy and Innovation. As principal owner, the Director will chair a regular Strategic Development Board (previously OODG), attended by the Director of Operations and the Director of Corporate Services. This executive group will determine the direction, resources and appropriate inputs to both operationalise and support policy and the appropriate timescales for delivery. This group will utilise the Strategy Advisory Group (SAG), previously ORMAG, and other knowledge partnerships to support its work and to decide upon appropriate membership for the most effective outcomes.
5.40.2 **Organisation** – The primary collaborative working is completed jointly between the Strategy and Innovation and Operations Directorates. Corporate Services will be included when required to support specific elements of the strategy. This is known as the ‘principal – agent’ review process and will result in an agreed working model for implementation within Operations Directorate and across prisons. This collaboration will include the Directorate of Strategy and Innovation leading the GIC strategic planning activity and agreeing and monitoring contributions to strategic initiatives at local operational level with the Director of Operations.

5.40.3 **Application** – The principal owner of the application of the agreed working model for implementation is the Operations Directorate. The strategic role of this Directorate is outlined later in this section.

5.40.4 **Improvement** – Assurance of the effectiveness and the continuous improvement of policy is also subject to principal agent review. The Director of Strategy and Innovation will hold a quarterly meeting – Strategic Assurance and Improvement Review (SAIR) with all GICs to feedback the effectiveness of the implemented policy and to feed forward continuous improvement recommendations for on-going policy development. This meeting will also be attended by Corporate Services Functional Heads to provide assurance of the effectiveness and appropriateness of services and any necessary further developments required. This may be done as part of the routine of the traditional monthly GIC Meeting.

5.41 Of course all Directorates still have a strategic role. Figure 5.14 describes the strategic role of each Directorate and provides context in relation to the specific role of Strategy and Innovation in developing and achieving strategic objectives.
### Figure 5.14: The Strategic Role of the Three Directorates

<table>
<thead>
<tr>
<th>Role Action</th>
<th>Strategic Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DEVELOPING</strong></td>
<td>Understanding and developing strategy that delivers the SG Justice Strategy and framework.</td>
</tr>
<tr>
<td><strong>SUPPORTING</strong></td>
<td>Collaboration in the operationalisation of strategy, contribute to decisions, ensure consistency and appropriateness.</td>
</tr>
<tr>
<td><strong>DRIVING</strong></td>
<td>Provide foundation of strategy (research, knowledge and information), develop long-term capabilities and continuous improvement.</td>
</tr>
</tbody>
</table>

### THE STRATEGIC ROLE OF THE STRATEGY & INNOVATION FUNCTION

<table>
<thead>
<tr>
<th>Role Action</th>
<th>Strategic Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IMPLEMENTING</strong></td>
<td>Operationalise strategy, explain practicalities, deliver outcomes and project management.</td>
</tr>
<tr>
<td><strong>SUPPORTING</strong></td>
<td>Understand strategy, contribute to decisions, ensure consistency and appropriateness.</td>
</tr>
<tr>
<td><strong>DRIVING</strong></td>
<td>Provide realisation of strategy (delivery), integrate into working practice and continuous improvement feedback.</td>
</tr>
</tbody>
</table>

### THE STRATEGIC ROLE OF THE OPERATIONS FUNCTION

<table>
<thead>
<tr>
<th>Role Action</th>
<th>Strategic Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SUPPORTING</strong></td>
<td>Provide the necessary resources required to implement strategy and commercial requirements.</td>
</tr>
<tr>
<td><strong>DEVELOPING</strong></td>
<td>Develop appropriate tools and systems to implement strategy, contribute to decisions, ensure consistency.</td>
</tr>
<tr>
<td><strong>DRIVING</strong></td>
<td>Provide realisation of strategy (training and systems), integrate into working practice and continuous improvement feedback.</td>
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</tbody>
</table>
**Operations Directorate**

5.42 Operations Directorate is responsible for the operational delivery of prison services. The Directorate is involved in the design, delivery and continuous improvement of agreed SPS strategy and services, the implementation of the new SPS Operating Philosophy in a manner that is focused on effective offender outcomes and overall best value. The Director of Operations has 12 senior management direct reports, including 10 Senior Governors (I Band). The Deputy Director of Operations has a further 8 senior management direct reports, including 4 Governors (H Band). During consultations with Governors in Charge and HQ Functional Heads, various options to lessen the burden of direct reports and the subsequent workload for the Operations Director were explored, including the introduction of Regional Directors, however, this was not deemed to be a workable, or even a positive solution. It was considered that this would introduce a tier of bureaucracy that was not currently required to manage business operations but simply to manage the span of reporting responsibilities. Instead the three key Operations Directorate posts holders will have key accountability for significant governance areas on behalf of the Operations Directorate with a view to improved distribution of workload. These HQ Posts are shown in Figure 5.15 and are as follows:

- Head of Public Protection Unit
- Head of Offender and Casework Management (Reducing Reoffending Unit)
- Head of Prisoner Services and Contracts (Planning & Projects.)
Figure 5.15: The Operations Directorate

H Band Governors

Assistant Deputy Director of Operations

Head of Public Protection Unit

Head of Offender & Casework Management (Reducing Reoffending Unit)

Head of Prisoner Services and Contracts, (Planning & Projects)

I Band Governors

Establishment Management

Prison Performance Delivery & Improvements

Local Community Partnership working

National Community Partnership Development

Operational Delivery of SPS Strategy and Operating practice

Workforce Planning

PMG & Population Management

National Intelligence & SOCG

Security Policy Head of Operations Lead

Operational Resilience and ICTEG Lead

Police Liaison

MAPPA

VISOR

PMAG & Significant Case Reviews

Victim Notification

Delivery of Purposeful Activity & Head of Offender Outcomes Lead

Community Prisons Model & Progression

Offender Casework Systems

Population Management & PMG

Offender Wellbeing

Operational

SDB* Lead & SAG Lead** Coordinator

Private Prisons

CCPES

Central Stores

Operations Finance

Performance Management & Administration

Staff Resourcing Planning

FOI’s/UKBA/PO’s & Complaints

Operations Projects Coordination & ODPB Lead

Establishment Management

Prison Performance Delivery & Improvements

Local Community Partnership working

National Community Partnership Development

Operational Delivery of SPS Strategy and Operating practice

SDB* - Strategic Development Board - previously OODG

SAG** - Strategic Advisory Group - previously ORMAG
5.43 The key features of the recommended Operations Directorate Structure are as follows:

- Responsibility for operational business including leading public protection and operational resilience, issuing operational guidance and tactical advice, future capabilities, national tasking and operational campaigns. The Operations Directorate works with other agencies to drive performance delivery, operating model design and continuous improvement. The Director of Operations is the professional lead on delivery of prisoner population management and prisoner regimes, prisoner engagement and casework management, purposeful activity and interventions and the delivery of the key performance indicators;

- The introduction of a Head of Offender & Casework Management Role provides the delivery of effective offender management and wellbeing services and is the key linkage with the Strategy and Innovation Directorate on the joint working model (Principal – Agent). This role will hold responsibility at the Strategic Development Board for providing the lead from an operational delivery perspective and will coordinate various Strategic Advisory Groups. This might be termed the ‘Reducing Reoffending Unit’;

- The Head of Public Protection Unit will hold accountability for the leadership of the Incident Command Executive Group (ICTEG) and other security and intelligence work; and

- The privately operated prisons will for the first time be the operational responsibility of the Director of Operations through the Head of Prison Services and Contracts. This will include overall responsibility for the management of the Court Custody and Prisoner Escort Service, ensuring that the external provider delivers agreed outcomes to agreed performance standards and to contract. The inclusion of a Head of Prisoner Services, Contracts, Planning and Projects to the Operations Function will also provide leadership and accountability for the Operations Directorate Project Board (ODPM).

Roles and Responsibilities – The Operations Director

Leadership and General Management

- Supports the Justice Strategy agenda and the National Performance Framework, contributes to corporate leadership, change and the organisational development of the service, focus on outcomes and is seen to be a champion of the transformation programme. The Operations Director is a member of the SPS Management Advisory Board;

- Overall performance for the 14 public sector prisons and the 2 private sector prison contracts across Scotland; including performance evaluation against agreed business plans and contract;

- Management of Operations Directorate at HQ and the engagement of SPS Governors as senior executives to develop the capability of SPS to deliver strategic requirements and programmes;

- Actively driving a reduction in bureaucracy, duplication of processes and establishing a problem solving attitude across the Directorate. Creating and delivering new ways of working to increase efficiency and effectiveness;

- Liaison with senior officials in SG and other key external stakeholders regarding operational and service delivery matters;

- Provides advice to SPS Chief Executive and Cabinet Secretary for Justice on operational and resilience matters; and

- Deputising for the Chief Executive as required.
Prison Operations

- Line management responsibility for governing Governors and for ensuring that they deliver against agreed targets (and financial and non-financial accountabilities) and focus and deliver on outcomes;
- Responsibility for leading public protection and operational resilience, operational guidance and tactical advice, future capabilities, national tasking and operational campaigns. Development of operational accountability arrangements with governing Governors and ensuring that they are kept briefed on the key issues across the organisation;
- Responsibility for implementing appropriate regimes in custodial establishments to ensure prisoners are held safely, securely and in decent and humane conditions and that of prisoner casework, management and throughcare services aimed at reintegration and rehabilitation of prisoners are enabled, supported and effective;
- Liaising and meeting the agreed requirements of HM Inspector of Prisons and other external accountability and scrutiny bodies;
- Developing security and other operating standards and ensuring that these are documented in the form of operating instructions;
- Liaising with external law enforcement agencies to ensure that up-to-date security and intelligence is available to the Chief Executive, Director-General Learning and Justice and Cabinet Secretary;
- Overall responsibility for management of the major prison and custody contracts, ensuring that external providers deliver agreed outcomes, to agreed performance standards and that all contracts are appropriately managed; and
- Population management and planning in line with segmentation of service delivery in conjunction with SG.

The Link Between Strategy and Operations

5.44 For SPS to be truly excellent and ground breaking in achieving effective outcomes, each part of the organisation must work properly together. The Operations Directorate plays a pivotal role in this. It is the delivery arm of the core business of SPS. It has already been stated that the strategic role of operations is summarised as implementer, supporter and driver. SG Policy is the key context which drives SPS service development through policy. The principal owner of strategic interpretation of SG policy is the Strategy and Innovation Directorate. The role of the Operations Directorate is to effectively and collaboratively develop strategy into a workable and effective product that is delivered to the right standard, quality and outcome on the ground. A significant supporting role is also held by Corporate Services in supporting and resourcing the necessary services. The most successful products and services have a clear and simple value proposition that is understood and can be clearly articulated and specified. Improved specification of services will enable the correct advisors to be selected based on whether the product is targeted at specific offender segments or at other relevant specialist areas across offender segments. Figure 5.16 reflects the suggested operational design team model and key process ownership.
Developing Strategy into Practice

5.45 The ‘principal owner’ of strategy interpretation from SG Policy is the Strategy and Innovation Directorate. The Director of Strategy and Innovation will chair a regular Strategic Development Board (SDB) attended by Operations Directorate’s Head of Offender and Casework Management as the ‘principal accountable owner’. This will also be attended by Corporate Services. This meeting will provide the platform where strategic development and product modelling can take place and potential solutions, highlighted costs, risk and benefits can be discussed. Dependent on the purpose of the product the Head of Offender and Casework Management will identify product advisor leads. These advisors will be senior operational leaders and in many cases relevant GICs will be selected. The SDB, coordinated by the Head of Offender and Casework Management will work to develop the new service or operations product, and put together a model or pilot with a final implementation plan. The SDB coordinator may have several workstreams operating simultaneously and these workstreams will contain, as appropriate, members of the Corporate Services Directorate. Operations Directorate will implement the agreed strategy and will utilise the localised project management function led by the Head of Prisoners Services, Contracts, Planning and Projects. The responsible owner of the operations Design Team model is the Director of Operations. Continuous Improvement will be discussed at a quarterly meeting chaired by the Director of Strategy and Innovation.
The Corporate Services Directorate

5.46 The Corporate Services Directorate, overseen by the Director of Corporate Services, is a newly established Directorate brigading four areas of expertise:
- Human Resources and Organisational Development;
- Procurement Policy and Services;
- ICT, Information Systems and Assurance; and
- Estates Management.

5.47 The collective role of Corporate Services is to provide the specialist and corporate support to the operational business and to ensure that the core functions have the appropriate skills, capability, systems, resources and knowledge to enable prison staff to focus on the delivery of the SPS Vision, Mission and Strategic Priorities. These four distinct functions are primarily focused on enabling SPS to improve its capability and increase public value by facilitating and supporting organisational change and improvement. The aim of Corporate Services should be to provide high quality services that are simple to access and centred around the needs of all stakeholders. Whether the Corporate Services function exists to provide ‘supporting’ services as opposed to ‘advisory’ services is central to any discussion on its appropriate role. Stakeholders suggest that the functions represented by Corporate Services are sometimes perceived as inhibitors to progress, and at times can appear to impede rather than to assist in the progression of an issue. Corporate Services staff will counter that they have the best knowledge of policies, the governance and accountability regime and that their ‘clients’ simply do not wish to be advised or that they lack the capability to be an ‘intelligent client’. As a result of these opposing positions, relationships between the respective parties have at times been unsatisfactory and have contributed to disconnection, disharmony and inefficiency. The organisation should seek to develop greater coherence of corporate direction and improved understanding between the respective parts of the organisation.

5.48 Throughout the consultation process, field staff and corporate services staff themselves, identified issues strongly suggesting a disconnect between corporate services and the operating core of the organisation. This is not satisfactory. Siloed thinking will not support the delivery of the new Vision and Mission. The issue is recognised to varying degrees but the prevalent model of support services is that they operate as advisers rather than service providers. The customer focus of Corporate Services should be sharpened. It is important that the disconnect, regardless of its origin, is repaired and that SPS develops a culture of learning and continual improvement in managing internal supply chain relationships and developing skills to support improved specification by internal customers.

POINT FOR ACTION

In respect to the role and purpose of Corporate Services the Director of Corporate Services should convene the Corporate Services leadership team with a view to refocusing the purpose of the Directorate to that of primarily a service orientation.
5.49 The key features of the recommended Corporate Services Directorate model are:

- Responsibility for the development, implementation and evaluation of corporate services strategies for the provision of services that are responsive to business need and are sufficiently dynamic to respond to changes in governmental direction and legislative change.

- Overall management responsibility for the provision of quality services that reflect SPS corporate strategy.

- Promoting and championing new ways of working with internal and external partners to achieve more effective and customer focused levels of service within SPS current and future strategy for service development and delivery.

- Contributing to corporate leadership of change and organisational development, focusing on effective outcomes and acting as a champion of the transformation programme through the implementation of the People Strategy.

Figure 5.17 suggests the proposed structure of Corporate Services Directorate.
Roles and Responsibilities – The Corporate Services Director

**Leadership and General Management**

- Supports the Justice Strategy agenda and the National Performance Framework, contributes to corporate leadership, change and the organisational development of the service, focus on outcomes and is seen to be a champion of the transformation programme through leading the SPS People Strategy. The Director of Corporate Services is a member of the SPS Management Advisory Board;
- Provides positive and professional leadership to staff in the Corporate Services Directorate, ensuring that the Directorate is well managed to support the activities of SPS;
- Applies SG polices relating to HR, Estates and Technical Services, Information Systems and Strategy and Commercial Services, Shared Services and, where necessary, tailor to meet SPS specific requirements;
Actively driving a reduction in bureaucracy, duplication of processes and establishing a problem solving attitude across the Directorate. Creating and delivering new ways of working to increase efficiency, effectiveness and improved commissioning; and

Contribution to continuous improvement within SPS and for ensuring that services deliver best value.

**Human Resource Management**

- Delivering the SPS People Strategy;
- Lead in shaping a shift in culture to place the offender and their needs at the centre of SPS focus and to transform SPS into an integrated and responsive part of the wider criminal justice system;
- Responsible for development and implementation of a succession planning strategy that ensures that SPS has the leadership talent required to operate effectively in the wider criminal justice environment and to deliver the transformation agenda;
- Development and implementation of a leadership/management development programme within SPS which professionalises staff and provides them with the skills required to operate in an offender focused environment;
- Corporate lead in industrial relations, responsible for working with trade union partners to successfully embed transformational change in SPS;
- Development and implementation of a suitable reward and recognition strategy which attracts high calibre staff to SPS;
- Ensure an on-going supply of highly skilled people through effective workforce planning and recruitment and selection and retention practices;
- Corporate lead in relation to development and implementation of a Performance Management system which recognises and rewards good performance and challenges and addresses poor performance;

**Estates and Technical Services**

- Leads on the development of an estates strategy in conjunction with SG which will ensure that appropriate, high quality, accommodation is provided to meet the needs of the differing prisoner groups of SPS;
- Overall responsibility for development, management and maintenance of the prison estate;

**Information Systems and Strategy**

- Responsible for development and implementation of an IT strategy which uses technology to drive forward transformational change in SPS service, and provides prisoners with appropriate access to services focused on reducing reoffending and
- Oversight of IT and records management services within SPS

**Procurement Policy and Services**

- Leads on the development of the Procurement Strategy in conjunction with SG which will ensure that appropriate, high quality, procurement and supply chain services are delivered.
- Provision of a procurement and contract management function within SPS.
Human Resources Management (HRM) & Organisational Development

5.50 The creation of the SPS People Strategy (supporting the principles of the SG Strategy) is a significant change domain for SPS. HRM is a strategic priority for organisational development and is the key to successful culture change within SPS.

RECOMMENDATION

The Director of Corporate Services will have specific HRM specialist capability given the particular importance of organisational development and human resource management to the programme of cultural change and the SPS People Strategy.

5.51 The HRM Branch of Corporate Services provides an integral range of services and plays a pivotal role in the industrial relations arena. In an organisation where people issues are predominant, not only in a staffing sense, but also in the management of offenders the significance of this function is paramount. The details of the Recommendations for HRM are addressed in full in Section 6.

RECOMMENDATION

Directors should ensure that their Directorates are fully fit for purpose, jobs are evaluated as required and organised so that Directorates are organised in an effective and efficient manner to support the on-going business as well as the wider SPS change agenda.

IMPROVING AND IMPLEMENTING NEW BUSINESS PROCESSES

5.52 Of course the Review is not just concerned with matters of structure. Throughout the review process, the need to deliver system and process improvements, efficiencies and economies that reduce or remove duplication, waste and unnecessary bureaucracy were highlighted.

The Need to Review Systems and Processes

5.53 There is little doubt that to implement the full extent of the Review Recommendations will require significant changes to current processes and practice. This will mean stopping doing some things where there are overlapping, ineffective or redundant processes. SPS has traditionally found it difficult to stop existing practice and often new practice is simply layered on top of old practice. This can create inefficiency and maintains the status quo when change is required. The Review is clear that to build SPS capacity to develop new operational practice as envisaged, SPS will need to find new ways of investing time, resource and staff skills into the front-line services that will increase effectiveness. This will mean a significant period of upfront review and re-engineering of processes during the early years of the change programme. SPS should seek to maximise efficient and effective investment in front-line services.

5.54 Throughout the Review, stakeholders pointed to processes and transactional activity that appeared over engineered, over bureaucratic, outdated and inefficient. These ranged from simple ‘irritants’ such as the number of signatures required to produce a Travel & Subsistence form to concerns around the current time spent on and the
unintended consequences of the current Prisoner Supervision System (PSS). Suggestions for improvements included rationalising assessment processes for offenders, greater use of technology to take out routine prisoner transactions such as visits booking, meal choices, canteen, wages and so forth, and improved use of technology for real time recording of data to support the offender management process (PR2 was seen to lack the functionality required to support offender engagement and casework). Additionally there was a recognised need for improved understanding of the efficacy of SPS processes in order to ensure the allocation of resources and assets to the most effective practices.

5.55 While the Review did not undertake a full process audit or review it believes a fuller understanding of current processes will be necessary in order to ensure SPS resources and assets are deployed in the most efficient and effective manner. Accordingly the Review Team recommend that a full programme of process improvement and reengineering should be scoped and undertaken over the first years of the Change Programme in order to ensure investment in front line rehabilitative and reintegrative services. SPS may need to import specific skills to support this critical work.

RECOMMENDATION

The Change Programme for SPS embarks on a review of critical business processes in order to maximise investment of SPS assets in effective rehabilitative and reintegrative services for offenders. A dedicated team may be required to specifically support process review work. This work should commence in the first year of the change programme.

RECOMMENDATION

SPS supports the Process Audit and Review Programme by including 4 key areas for action as part of the overall change Road Map by:
- Introducing an SPS Process Improvement Model;
- Developing SPS approach to supporting SG expectations on developing shared services;
- Implementing an Activity and Unit Costing approach; and
- Modernising operations by improving innovative use of technological solutions.

The Introduction of an SPS Process Improvement Model

5.56 Like all organisations, the overall organisational business processes of SPS provide an excellent opportunity for creating greater efficiencies. By integrating and ensuring that agile and leaner work-flow systems operate throughout the organisation and ensuring that processes are clearly documented, understood and optimised SPS can improve its efficiency and organisational stretch to deliver new organisational requirements. A good process takes into account how it impacts on the overall operation of the end-to-end system, on the organisation at large, and on stakeholders (both internal and external). The following model Figure 5.18 provides a basis for understanding process improvement and for developing the overall Review Programme.
Figure 5.18: A Generic Process Improvement Model to be Developed for SPS

<table>
<thead>
<tr>
<th>DETERMINE STRATEGY</th>
<th>CONDUCT ANALYSIS</th>
<th>DESIGN &amp; TEST</th>
<th>ESTABLISH</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. SET PRIORITIES</strong></td>
<td><strong>2. SOLUTIONISE</strong></td>
<td><strong>3. PROCESS TESTING</strong></td>
<td><strong>4. OPTIMISE</strong></td>
</tr>
<tr>
<td>- SPS Strategy &amp; Road Map</td>
<td>- Conduct current process analysis/mapping from ‘as is’ to ‘to be’</td>
<td>- Manage, assign and train in the agreed trial solution</td>
<td>- Implement solution in accordance to change plan</td>
</tr>
<tr>
<td>- Determine Organisational Priorities</td>
<td>- Analyse alternatives &amp; identify options</td>
<td>- Prototype solution and adjust as required</td>
<td>- Perform deployment</td>
</tr>
<tr>
<td>- Identify reform needs</td>
<td>- Identify process capability improvements</td>
<td>- Develop documentation</td>
<td>- Track Costs/Schedule &amp; Performance</td>
</tr>
<tr>
<td>- Determine funding requirements</td>
<td>- Identify process metrics and evaluation &amp; test plan</td>
<td>- Identify any gaps</td>
<td>- Improve the process as required and standardise and publish latest version of documentation</td>
</tr>
<tr>
<td>- Select business process</td>
<td>- Agree the trial solution</td>
<td>- Develop change plan</td>
<td></td>
</tr>
<tr>
<td>- Determine Terms of Reference</td>
<td>- Establish Work Teams</td>
<td>- Establish Work Teams &amp; verify implementation costs/efficiencies</td>
<td></td>
</tr>
<tr>
<td>- Establish Work Teams</td>
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</tr>
</tbody>
</table>

5.57 While the proposed SPS Process Improvement Model is a general model for process improvement it can be further tailored for SPS use. The model emphasises the key stages that will be required and the new discipline in terms of ensuring improved recording and standardisation of key processes across SPS. As a consequence, the organisation will also need to improve its information sharing and version control when deploying such tools as SharePoint or the Prison Resource Library (PRL).

**POINT FOR ACTION**

The appropriate architecture is generated to develop the current Prison Resources Library (PRL) system to have a suite of key version controlled procedures, effective quality system and improved management and functionality.
The Development and Growth of Shared Services

5.58 The SG Statement of Corporate Expectations for Public Bodies\(^\text{23}\) includes an expectation that public bodies “will assess the business case for shared service options before proceeding with plans to invest in corporate systems.” Consequently as part of the Review process the Team consulted with SG Corporate leads and support teams, including stakeholders from the Public Bodies Unit. The Review Team wanted to ensure that SPS could provide assurance on its alignment to the corporate expectations in relation to shared services and to show progress against them.

**POINT FOR ACTION**

In line with SG Corporate Expectations of Public Bodies the Director of Corporate Services actively ensures that SPS continues to grow and develop the level of sharing of corporate services where it makes business sense to do so and that SPS is connected into and supports wider developments across SG.

5.59 During discussions with various stakeholders it became clear that the particular nature of SPS as an operational delivery organisation suggested that while certain transactional work may be relevant for shared services with wider SG other areas such as HR Policy would likely best be left with SPS as a consequence of the specific requirements of SPS HR management, not least of which is the Partnership Arrangements with the TUS and the Voluntary Industrial Relations Agreement (VIRA). The Review Team concluded that decisions regarding the benefits and risk of shared services were not matters for specific Recommendation within the timeframe of the current strategic review.

5.60 However, the way that Corporate Services work in the future must ensure that there is greater synergy of process and that services are shared where feasible and beneficial to do so. The drive to improve internal shared services will be important to realise benefits and to ensure that the four functional areas in Corporate Services Directorate are aligned with business needs and that maximum resources are deployed into front line services.

5.61 There have already been some initial developments in shared services. SPS as an organisation is clear that there is a presumption against standalone corporate services activity. Moreover, SPS accepts that in considering a Scottish solution to the sharing of corporate services, SG has suggested that neither a single, nor a multiplicity of providers is appropriate. Accordingly, there is no mandated ‘one-size fits all’ approach to sharing services across the SG family and instead organisations within it are being encouraged to look to grow activities over a period of time that could be carried out on a shared basis where possible, particularly where similar or shared technology platforms are available. Of course such arrangements need to make both operational and business sense.

5.62 Discussions with SG Stakeholders suggested that the overall approach across SG was in early stages but that the approach would undoubtedly pick up momentum over the coming years. At the time of writing, a first draft of the Scottish Government Sector Shared Services Directory was being developed. SPS had not been included in the first

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\(^{23}\) http://www.scotland.gov.uk/Topics/Government/public-bodies/pubs/Resources
draft of the Directory. Following discussion with SG stakeholders and given the range and resilience of services that SPS is required to support across Scotland the Review Team would recommend that SPS should actively engage with SG to be included in the SG Shared Services Directory.

**POINT FOR ACTION**

The Director of Corporate Services engages with SG to ensure that SPS is represented within the Shared Services Directory currently under development.

5.63 Currently SPS is not fully ready to operate as a service provider to the wider SG family but this does not mean that it should not aspire to do so in the future. It is noted that some good work has already been done in relation to SPS receiving corporate services from other members of the SG family, for example, the migration of the SPS Data Centre to SG. The McClelland Report (June 2011) provided a detailed review of the use and strategic management of information and communications technology (ICT) within the public sector in Scotland. Recommendations within the report included the suggestion that use of shared ICT platforms would reduce the proportion of cost invested in ICT by individual organisations and deliver local savings which might be partially reinvested in advancing the progress of ICT.

5.64 SG has invested heavily in a top of the range Data Centre to provide extra capacity to permit the strategic shift suggested by the McClelland Report. Accordingly, the SPS Data Centre has now moved to SG (Saughton House). A Service Level Agreement (SLA) has been negotiated with SG. Separately, the Data Centre back-up had previously been outsourced to a private supplier. This service has recently been renegotiated and has been moved to a new public sector supplier in South Lanarkshire Council. The transition from a private to a public sector provider is extremely positive from a shared service perspective. SPS should continue to contribute to wider SG development work in IT including the use of Shared ICT platforms, the development of data hubs, the roll out of the Digital Strategy for Scotland$^{24}$ and more recent work on a Digital Strategy for Justice. The Director of Corporate Services should ensure that SPS has appropriate representation with SG through a suitable SPS Digital Champion.

5.65 Commercial Services which include both Procurement and Finance also provide opportunities for shared services. These functions underpin SPS as a value for money organisation. There is scope to further develop an internal shared services model for procurement whereby low value/level local activity is line managed by the Central Procurement Team on a clustered basis, (work is on-going in this regard). This internal shared services model will provide a joined up service ensuring compliance and quality of services. SPS currently participates in the Central Government Procurement Supervisory Board and SPS is part of a Centre of Excellence with SG. SPS works on a collaborative basis with SG in relation to national level contracts, for example, SG coordinates Utilities but recently SPS has also led on the Occupational Health and Employee Assistance contracts for SG. SPS may also be well positioned with other organisations e.g. Police or the NHS and this is an area for future development in considering potential shared services.

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**E-Procurement and Finance**

5.66 SPS is now playing catch up with other organisations in the adoption of eProcurement Capability. The intent of the McClelland report (March 2006) was that ‘eProcurement Scotland should be adopted as the standard within the public sector’. SG has recently launched Catalogue Content Management (CCM). This is an electronic catalogue management solution for the public sector in Scotland and provides online shopping functionality which would enable end users to have quick and easy access to contracted goods and services. In a future state this type of system could be developed to enable prisoners to purchase canteen and other sundry items. SPS has carried out extensive research, working with suppliers of eSystems, stakeholders, and end users to review available options and to understand the scope of work required in the delivery of an eProcurement system (ePS). The project team identify that annually SPS has around 60,000 transactions, costing SPS an estimated £650K p.a. to process. With a full transition to ePS and the implementation of a consistent and lean process it is estimated that these costs could be reduced to £200k. The implementation of the ePS should be delivered on an incremental basis i.e. no big bang approach and the Review Team recommend that this work is commenced quickly to support process efficiency improvements.

**POINT FOR ACTION**

The introduction of e-Procurement currently being scoped and which will link in with the financial system is recommended to be taken forward by SPS, subject to affordability assessment.

5.67 The introduction of this technology will provide better tools for teams, supports efficient purchasing and create efficiencies in procurement.

5.68 There is also a central Finance Team at HQ and Finance Managers in local establishments. The current central team is relatively small given the size of the organisation and budget. The current structure/activities have already been assessed and it has been agreed that there is scope to further develop an internal shared services model for finance whereby local Finance Managers would be focused on financial responsibilities, would possess the necessary skills to perform such a role and could be line managed by the central Finance Team on a regional basis. This model has been tested during the start-up of Low Moss and Grampian. With regards to the future, work is on-going to develop proposals for the potential expansion of this regional model across the estate but the timing of this requires to be developed to ensure clarity of purpose and to manage any concerns amongst Finance Managers and their staff.

**POINT FOR ACTION**

The initial work started with FABS Directorate on scoping an internal shared service model for Finance should be continued and the fit ensured in light of the new arrangements for Financial Services Branch as part of the Chief Executive’s Office.
SPS should develop greater internal shared services capability. The Report recommends that SPS maintains a continuous focus on how it can either become a provider of shared services or look to others in the SG Family to provide some of its shared service requirements in line with the development of the SG Shared Services Directory.

The Implementation of an Activity Costing Approach

5.69 As suggested in earlier sections SPS has limited line of sight between the allocation of resources and the efficacy of outcome. SPS needs a much sharper focus on its allocative efficiency if it is to use its assets more efficiently in the future. SPS needs a clearer understanding of its actual costs to enable it to resource and target activities that will result in the best and most efficient contribution to overall outcomes. Despite multiple IT systems that gather data on SPS activities (Finance, Prisoner Records, SPS People) the organisation currently has few mechanisms to gather detailed information on the costs of the individual activities it undertakes in a format that allows easy extrapolation and analysis. In cost terms SPS is data rich and information poor. SPS know the cost per prisoner place but has more limited information on what outputs or outcomes are actually ‘bought’ for that cost.

5.70 SPS has significant financial information on pay costs and non-pay costs accrued to different areas of the organisation. This information is generally in the form of costs and budgets against specific Cost and Activity Centres. However, these centres generally accrue costs at the operational unit or activity level and are poor at providing information for individual elements such as programmes and specific prisoner activities. This is understandable given that these recording mechanisms are designed to monitor costs against budgets and to provide accrual accounts in a specific form. They are not primarily designed to allow managers to examine costs at the activity level or to easily carry out analysis of how costs differ across the organisation or the relative efficiency of specific activities.

5.71 This issue was first highlighted in 2004 by Audit Scotland, whilst undertaking a review of prisoner activities. Audit Scotland found difficulty in extracting information on the cost of these activities and recommended that SPS carry out work to improve its systems for gathering costs and analysing the effectiveness in following areas:-

- Links/Throughcare;
- Employment Activities for Prisoners;
- Addictions Treatment\(^25\);
- Education
- Offending Behaviour, and
- Approved Activities.

5.72 These activities fall within the general headings of rehabilitation and reintegration activities. However it is equally important for SPS to understand the cost elements of activities relating to the care and wellbeing of offenders, restriction of liberty and the maintenance of good order. The aim of the recommendations made by Audit Scotland

\(^{25}\) Since the report was completed the responsibility for healthcare and addictions treatment and associated costs has transferred to NHS Scotland
has been to encourage SPS to achieve a better understanding of the costs of activities and associated overheads and how these costs influence the ability of SPS to use limited resources to deliver its core aims. Trying to define and quantify costs associated with particular activities is, of course, not new. Various models seeking to compile Activity Based Costs (ABC) have been developed since the 1980s and whilst these have tended to concentrate on the commercial sector significant activity has also been seen in the government sector where a similar need to identify and quantify costs and cost drivers has been recognised, (The Team looked at work in England and Wales in the National Offender Management Service (NOMS) as part of its considerations). However, SPS has not, to date, developed a satisfactory modelling mechanism for costs in this manner as part of its routine activity. However, the most recent recommendation made by Audit Scotland, the increasing importance of identifying the most efficient and economical means of delivering its activities and the need to maximise investment in front-line rehabilitative services make it imperative that SPS considers how it can develop such a system. Initial scoping work by the Review Team has confirmed the potential for a proportionate activity costing model to be developed. SPS should take forward the initial scoping work developed by the Review Team.

**RECOMMENDATION**

**SPS sets up an appropriate stand-alone project to review the methods by which Activity Based and Unit Costs could be captured and utilised within the organisation.** The aim of the project should be to scope, cost, design and implement a solution that responds both to the issues raised by Audit Scotland and assists SPS in identifying the most efficient and effective use of resources in delivering required outcomes.

**POINT FOR ACTION**

**The Core Plus Model is reviewed and made fit for purpose in terms of meeting new rehabilitative and reintegrative requirements and is used as a basis for future activity costing in line with Audit Scotland recommendations.**

**Modernising the Organisation with Technological Solutions**

5.73 Over the last ten years SPS has embarked on an estates redevelopment programme that has been driven by operational efficiencies and maximising prisoner spaces against a backdrop of an increasing prisoner population. The redevelopment programme has not included any significant developments for IT-enabled services, leaving upgrades of hardware and software as independent projects not clearly aligned to the estates development strategy. The development programme is on-going with HMP Grampian under construction and planning underway for distinct new designs for female offenders at Inverclyde and Edinburgh. Consequently SPS has a mix of very modern estate and very old estate. There are two modern privately run prisons in Scotland that were constructed by developers incorporating IT systems that are prisoner facing and which provide an efficient approach to managing daily operational activities. The benefits of these systems have been commented on by other interests including the Justice Committee and HMCIP.
5.74 SPS has relied traditionally upon manual systems to deliver the majority of transactional business that it currently undertakes. This includes paper systems for the administration of prisoners’ canteen, wage payments, menu requests, visit booking, complaint handling, service referrals, property requests, pin phone requests, subject access requests and personal private cash. This occupies significant effort for the operational, residential staff who are required to administer much of this activity manually, tying them down to mundane housekeeping duties rather than active prisoner engagement. The Prisoner Records System (PR2) has evolved to manage some elements of these transactions but relies on manual input by prison and administrative staff, which is often completed via batch input some time after the transaction has occurred. In addition, document management systems such as SharePoint, and other data recording systems such as MS Excel and MS Access are used. None of these systems are currently efficiently integrated. Figure 5.19 describes the Current Prisoner Services system.

Figure 5.19: Current Distributed Model of Prisoner Services

5.75 The situation is further complicated. Separate contract providers of education have also implemented stand-alone IT systems which allow delivery of basic IT functionality within learning centres in each prison. These are locally networked in some instances to allow tutor monitoring of activities but offer no enhanced learning capability other than what is available via standalone software packages.

5.76 Additional service providers both statutory and third sector operate under the same manual systems restrictions with the exception of JobcentrePlus who have dedicated network laptops linking them to the national Department of Work and Pensions database. Such manual systems create lag, inaccurate data capture and limit the capacity of partners and SPS to respond to internal and external enquiries and to use data to inform service development.
5.77 The Prisoner Technology Convergence (PTC) Project, endorsed by the Review Team, envisages a prisoner-user systems interface which allows the transfer of responsibility for transactional business from operational staff onto the prisoner. This is in line with the new SPS Vision supporting enablers to encourage agency and responsible citizenship. Crucially such development will also free up time for staff to engage with prisoners in a more positive fashion and make better use of staff time in pursuit of the more purposeful activity. The recommended system encompasses four broad strands of service delivery.

- Transactional Business
- Communication
- Throughcare and Learning
- Entertainment

**POINT FOR ACTION**

The Prisoner Technology Convergence (PTC) Project prioritises transactional business and throughcare and learning for its investment as these will deliver the most benefits in line with the Review of Purposeful Activity and provide platforms for improving outcomes and delivering SPS Vision.

**Putting the PTC into Practice: Transactional Business Improvement**

5.78 This prisoner transactional business solution proposes that it will be the responsibility of the prisoner to check on their personal details and to manage routine regime requirements. There will be functionality for prisoners to be able to select, confirm and interrogate information held about them and to make choices on the services available to them.

5.79 This could be done via a cell-based communications portal (i.e. TV screen, keyboard and mouse) which could carry the content delivery for selected services to the prisoner, though other scalable options are also available such as the use of communal kiosks. The system will operate via a Personal Identification Number (PIN) login, unique to each prisoner, which then allows access to varied services as required. The system could have the optional capability for cell-based communications via a handset or VOIP (voice over internet protocol) should it be required. A generic hall-based kiosk service would augment in-cell facilities or provide a scalable and affordable interim solution.

5.80 The portal will provide menu-based services for all transactional business to allow the prisoner to choose meals, enquire after wages and PPC balance, view upcoming appointments, request referrals and services as required as well as message staff. It will provide real time information to the prisoner on information currently held on them and all regime activity within their hall and the establishment. SPS policy will adjust to allow access to such case management information as is deemed appropriate so that the prisoner may view real-time information held on them. The success of similar portals has already been evidenced in private sector prisons.
5.81 Parallel to this are mirrored services that enable staff to interrogate and enter information electronically in real time to update system information. This may be in the form of a handheld device issued to staff or via various input stations throughout the establishment. The principle, underpinning the vision, is to release operational staff from routine *domestic* activities to concentrate on prisoner engagement activity. This means there will be considerably more time for casework management, in-hall activity, programme delivery and other officer-based interventions. This aligns with the intent of the Review to increase service capability and capacity to contribute to activities designed to reduce reoffending.

**Putting the PTC into Practice: Throughcare Access and Learning through Technology**

5.82 Prisoners should also have access to approved online data services from all statutory public services for access to benefits, housing and healthcare via an approved referral system to enhance their self-reliance as part of any preparation for release programme. This will enable alignment with public service migration to online services and information as part of the vision for a Digital Scotland.

5.83 The system should allow bespoke learning environments for prisoners after referral through the education centre and contribute to SG objectives for the Curriculum for Excellence. This could include white list (approved site) access to services for primary, secondary and tertiary level education. All educational activity would be monitored, recorded and audited via the system to provide scalable learning experiences and the capacity to respond to changes in national policy. A cell-based solution would allow cell based activity to be directly linked to purposeful activity delivery and national performance outcomes. However, this would need to be subject to a full Business Case and would need to be affordable and practical.

**RECOMMENDATION**

The Prisoner Technology Convergence (PTC) project paper and vision document is fully scoped, costed and implemented as relevant in stages as part of the overall change programme, subject to proper specification of benefits and costs, prioritisation, acceptability and affordability.
SECTION 6: OUR PEOPLE

NEW AMBITIONS FOR A NEW SERVICE

The Human Resources Context

6.1 This Report sets out a refreshed and ambitious SPS Vision which looks beyond prison walls and focuses on the role of the organisation in helping both people and communities to flourish. To deliver this ambitious agenda, a full transformation of both SPS services and its people will be required. This will be achieved through delivering the commitment of its new Vision which will mean investing in the full potential of its people to inspire change.

6.2 SPS has a loyal workforce many of whom have worked for the organisation for a considerable number of years. The organisation needs to build on this strong foundation by developing its people to be even better in everything they do whilst at the same time operating in new and different ways as SPS changes how it works within and beyond prison walls. This delivery of the Mission will be merely aspirational without the Human Resources (HR) mechanisms and structures required to make it a reality and to realise the potential of SPS staff in supporting human change. This Review has concluded that the full mechanisms are not currently in place at present to deliver SPS ambitions.

6.3 SPS HR activity in recent years has concentrated on workforce planning to facilitate the recruitment, promotion, training and development of staff, particularly Operations and Residential Officers. This has been essential to ensure that new prisons, such as HMP Low Moss, are properly resourced with appropriately trained staff. Whilst training and development is delivered through a blended national (SPSC) and local (prison-based) approach complemented by e-learning, SPSC is the main operational training provider. It delivers a six week Officer Foundation Training (OFT) programme to all new Operations Officer recruits and a one week transitional training course to those promoted to Residential Officer. SPSC also provides transitional training and leadership support to those promoted to, and within, the various SPS management levels, details of which can be found at Annex 11.

6.4 Workforce planning will continue to remain a priority with the opening of HMP Grampian in 2014. However, this activity is not currently part of any overarching people, leadership, engagement, talent or succession management strategies. It is recognised that the SPS HR function is already in a process of change. It must now focus not on what it has traditionally done but on what needs to change to enable it to effectively develop the capability of the organisation’s people to deliver the ambitions of its Vision and Mission.

What Needs to Change?

6.5 It would be reasonable to say that as an organisation SPS has always endeavoured to continuously improve and respond to the changing needs of the business. However, changes have not always been embedded at a grass roots level and have sometimes been slow, reactive and responsive rather than pro-active. In many respects the rhetoric of the organisation’s past ambition has not always been matched by its leadership actions. The internal stakeholder consultation exercise, summarised in Section 3, recognised the absence of a strategic approach to people management within the organisation. It provided evidence of the drivers for changing how SPS manages and develops its people and the challenges the organisation currently faces in this regard.
6.6 Internal stakeholders identified that SPS needs to create not only a strong and transparent culture consistent with stated organisational values but also systems and processes that will develop improved organisational professionalism and leadership capacity. They felt that leaders at all levels of the organisation need to be more aligned to and accountable for strategic business priorities, evidencing performance outcomes and continuously driving improvement. Internal stakeholders also identified a need for better systems for recruitment and progression within the organisation, allowing early identification and development of future leaders. Investment in both existing and future leaders through supported personal development plans was also viewed as an imperative. Moreover, internal stakeholders were of the view that the development of existing staff aligned to business need and strategic priorities was an essential part of delivering the new Vision and Mission. They believed that any development activity should grow from and be supported by an effective appraisal system that recognises and promotes good performance at all levels.

6.7 Results from recent SPS Staff Surveys mirror some of the concerns articulated by internal stakeholders. Specific issues were highlighted around leadership and the management of not only the organisation but also its people and the management of change, see Figure 6.1.

Figure 6.1: SPS Staff Survey Questions 2010/12

<table>
<thead>
<tr>
<th>SPS Staff Survey Question</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>% Positive Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>I feel that SPS as a whole is well managed</td>
<td>38</td>
<td>40</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>I feel change is managed well in SPS</td>
<td>27</td>
<td>33</td>
<td>34</td>
<td></td>
</tr>
<tr>
<td>Poor performance is dealt with effectively in my team</td>
<td>28</td>
<td>31</td>
<td>33</td>
<td></td>
</tr>
<tr>
<td>I believe the Board has a clear vision of the future for SPS</td>
<td>33</td>
<td>40</td>
<td>41</td>
<td></td>
</tr>
<tr>
<td>Overall I have confidence in decisions made by senior managers in SPS</td>
<td>29</td>
<td>35</td>
<td>37</td>
<td></td>
</tr>
<tr>
<td>SPS keeps me informed about matters that affect me</td>
<td>39</td>
<td>44</td>
<td>44</td>
<td></td>
</tr>
<tr>
<td>Overall Engagement Index</td>
<td>56</td>
<td>58</td>
<td>60</td>
<td></td>
</tr>
</tbody>
</table>

6.8 Whilst the overall SPS Engagement Index (EI) has increased in an encouraging way over the last three years, and in 2012 was 2% higher than both the Civil Service average and the SG’s score, it was still 3% less than high performing Civil Service organisations.
6.9 Arguably SPS, like many organisations, does not have a sustained record of translating survey findings into action. Again, this is reinforced by the 2012 Survey with only 28% of respondents reporting that they believed that SPS would take action following the results of the survey. Simply undertaking a staff survey is insufficient in itself; it is only by addressing significant issues that progress will be made. Repeatedly surveying without an enthusiastic management response to issues raised is likely to be a significant dissatisfier for the organisation’s people and to quickly lead to survey fatigue. Work is currently underway, across the organisation, on local action plans to address issues raised via the Staff Survey, which will then be collated at a national level to provide a corporate approach. Whilst it is important that the organisation implement effective action planning following the annual staff survey, it should also consider how best to capitalise on other employee engagement mechanisms currently in use, for example, Investors in People. SPS should develop new, additional and effective methods of engaging with staff, for example suggestion schemes. The Review Team is aware of SG work on the ‘Quality Street’ suggestion scheme and the success of the initial pilot of that scheme. A suitable improvement and involvement model might be helpfully adopted by SPS.

### RECOMMENDATION

Corporate and local action plans in relation to the Staff Survey are closely monitored at a national level to ensure delivery on the ‘You said, we did’ organisational promise. The effectiveness of existing engagement tools should be reviewed and the introduction of new methods of employee engagement and ‘idea generation’ considered.

6.10 The internal stakeholder consultation exercise and recent staff survey results provide clear evidence of what needs to change to enable the effective development of people in SPS to deliver the corporate strategy. SPS is therefore developing a bespoke strategy.

**An SPS People Strategy**

6.11 As outlined in Section 3, during the internal consultation exercise a workshop took place with SPSC Leaders. It sought to assess how SPS can develop the capability of its people to deliver the Vision and Mission. An essential component emerging from the discussions of this will be the development of an SPS People Strategy, which will be a realistic plan of how the organisation will manage and inspire its most important asset, its staff. The SPS People Strategy will sit firmly in support of the new Vision, Mission and strategic commitment and will provide a platform for SPS to develop a different, more professional way of working with its staff having defined capabilities and identified clear priorities. The SPS People Strategy is informed by the strategic environment and drivers within which the organisation works, including the SG context and framework and SPS Corporate and Delivery Plans, see Figure 6.2.
6.12 The SPS People Strategy will clearly put staff engagement and development at the forefront of the continued success of SPS as an organisation. It will address those areas where the need for change has been identified and put in place the organisational and individual capacity and capability to take the new Vision for SPS forward. Work is on-going in this regard, the current acting Director of HR, together with a Non-Executive Director, are further developing the SPS People Strategy of which the SPS Leadership Strategy will form one part. These will then be subject to consultation.

RECOMMENDATION

The SPS People Strategy is developed and launched as a matter of priority. The People Strategy fully aligns and supports the delivery of the Road Map for change envisaged by the Recommendations of the Review Report.

6.13 Discussions at the workshop with SPSC Leaders essentially centred on some of the core design principles which require to underpin an SPS People Strategy i.e. culture, professionalism, leadership, development and HR Effectiveness as outlined in Figure 6.3.
**Changing the Culture**

6.14 In Section 3 the importance of changing the culture of SPS was emphasised. The SPS People Strategy needs to enable a strong and transparent culture aligned with the necessary and stated organisational values. A clear and consistent articulation of the organisational values and behaviours expected from staff is required which must be shared and understood across all levels of the organisation. It is worth noting that currently there are several, different ‘live’ versions of the organisation’s stated values. In addition, the professional standards and performance outcomes expected from staff must be made clear and embedded in practice.

6.15 Currently, the organisation refers to a variety of Civil Service publications and SPS policies as reference points for the values, behaviours and professional standards expected from staff. Consequently, at times it can be unclear to staff what the organisation expects from them. Equally, it can be unclear to both staff and managers which publications or policies they should access to deal with issues, particularly where an issue can be dealt with in a variety of ways. For example, a behavioural issue can be managed under the appraisal system, through the unacceptable behaviour policy or treated as a grievance or disciplinary matter. Consequently, this leads to confusion, inconsistency and inappropriate use of publications and policies.

**POINT FOR ACTION**

Organisational values, behaviours and professional standards are clearly and simply defined and explained to staff, for example through a new professional Code of Ethics. Existing publications and policies are critically reviewed with a view to streamlining and replacing them if necessary, cutting out overlap between policies where possible to avoid confusion for staff and managers.
6.16 Having established the organisational values, behaviours and professional standards expected from staff, appropriate and straightforward mechanisms must be in place to manage situations where expected performance outcomes are not met. The current performance management systems, in particular, PPMS and the Charter for Helping are frequently criticised as ineffective tools for the management of staff. Criticisms include that they are overly bureaucratic and time consuming and that in reality they fail to put delivery of performance outcomes and accountability at the centre of the staff/manager relationship. In light of the results of recent Staff Surveys SPS must also question whether it has adequately trained and supported managers to have honest and difficult conversations with staff where performance outcomes have fallen short of expected professional standards.

**RECOMMENDATION**

SPS performance management systems are critically reviewed. They should be meaningful, straightforward to use and capable of implementation over reasonable timescales. Expected performance outcomes are aligned to corporate strategy and are clearly explained to staff together with the consequences of not meeting these. Managers are appropriately skilled to support staff to develop and achieve expected professional standards and performance outcomes and to confidently manage staff where they do not meet these.

6.17 Having established the organisational values and behaviours expected from staff these need to be reflected through the SPS Behavioural Competency Framework. A refreshed framework of behavioural competencies truly reflective of the established organisational values and behaviours will be at the heart of HR policies and processes, for example, recruitment, performance management systems and personal learning and development plans. These linkages must be clear and self-evident to staff to ensure that the behaviours required to deliver the new corporate strategy are embedded in the organisation’s culture. To assist with this cultural shift, a refreshed framework of behavioural competencies should have a clear and high profile within the organisation.

**POINT FOR ACTION**

The SPS Behavioural Competency Framework is refreshed to reflect the behaviours required to deliver the new corporate strategy. This requires to be re-launched within the organisation to help embed cultural change.

6.18 Change can be a complex and difficult process, every individual’s journey through change will be unique. Achieving sustainable change in how SPS operates will be realised not only by introducing a new corporate strategy and management framework but through strong professional and values-led leadership which provides a reference point for culture change. Section 9 outlines how the change programme which follows from the Review Recommendations will be developed and managed. Supporting staff through this journey should be a priority for the organisation, particularly given that they have told the organisation that they do not think it manages change well. HR will have a key role to play. The development of a comprehensive communications strategy as an enabler of change is crucial and is discussed in more detail in Section 10.
The organisation communicates better with staff, clearly setting out expectations, listening to feedback and supporting managers at all levels in leading through the changes that follow this Review, to equip them to best support successful change. A Communications Strategy should also be fully developed setting out how the organisation will support and inform staff through the change programme.

**Building SPS Professionalism**

6.19 Internal stakeholders expressed a desire to professionalise the organisation in order that, in particular, the role of the prison officer is respected and recognised throughout the criminal justice system, a status which the role, arguably does not currently enjoy. This is not a new organisational perspective. In 2001, an SPS Team considered how the organisation could enable and deliver correctional excellence and concluded that:

“...if Correctional Excellence is to be achieved, this would necessitate prison officers working in a very different way, with a very different cultural orientation, with very different educational and skill levels. Our conclusion was that ‘professionalism’ in our Vision meant, literally, professionalising the operational line and raising its statue to that of ‘professional’. We took the view that ‘prison officer’ as a profession could carry the same public status as that of nurse, teacher or social worker. Indeed, those professions would become the reference groups for prison officers, i.e. ‘caring professions’ who work with people to facilitate personal change, rather than the current reference group, the police.”

6.20 The proposal was never pursued and lacked leadership commitment at that time. Now, over ten years later, as SPS adopts a new corporate strategy, SPS leadership is ready and positioned to take these steps and wants to be clearer with staff, prisoners, partners and the public about the nature of its ambition and its professionalism. The Review believes that such recognition is also an ambition of the organisation’s TUS partners. However, there is no one definition of what it means to be professional. Frequently, professions, by their very nature, are associated with being set apart from other areas of employment due to their status, knowledge and self-regulation for example, medicine and the law. The creation of a regulatory body to which prison officers would be accountable may be something SPS wishes to consider in the future or it may conclude that such a body would be of limited utility and a step too far for a national service. At the moment the Review Team recommends, as a first step, that the main driver for professionalising the organisation should be bringing the organisation closer to the community in order that the ethos and professional standards and knowledge and skills of staff, both operational and non-operational, are widely understood and appreciated. But, most importantly, that the organisation’s staff have the training tools, techniques and supervision to engage and promote change within offenders and to work effectively on the ground with partners.

SPS undertakes further work to scope and define what ‘professionalisation’ means for the organisation and what will be required to realise this, for example, changes to working practices, formal learning opportunities, self-regulation. Consideration of professionalism is not restricted solely to the role of the prison officer and includes both operational and non-operational roles. SPS will engage the TUS in these considerations.

6.21 The Review Team considered how the organisation would equip staff in terms of developing their knowledge and skills to support offenders to become positive citizens both in and after custody and what it might need to do differently. As outlined in Section 4, this is a fundamental rethink of the role of both the prison and the prison officer. It will require SPS to explore what needs to change in order for prisons to play a more positive role in reducing reoffending and for the organisation to become a more effective supporter of desistance. This will result in challenges for the organisation to rethink the nature, purpose and practice of custody. Having identified the new mission of the prison in playing a more positive role in reducing reoffending, consideration will have to be given as to how the organisation transforms itself into that ideal. SPS needs to understand what this means for the prison regime, working practices and staff in terms of reshaping their roles as it seeks to change relationships with prisoners, partners and communities, both within and beyond the prison walls. Moreover, the organisation must be transparent with staff, prisoners, partners and the public about what it intends to do both behind and beyond the prison walls and how it will do it in partnership.

SPS commissions research that explores the role for the prison in desistance from crime. This research addresses what this means in real terms for the prison regime, working practices and the role of the prison officer both within and beyond the prison walls. Proper consideration must be given to the practicalities of deploying staff within communities ensuring that their safety and any identified risks are appropriately managed and that they are suitably qualified and equipped to work within the wider community setting.

6.22 Having ascertained the role of the prison and the prison officer in desistance from crime this will present opportunities for knowledge enhancement of staff through formal learning. To this end, the organisation needs to explore how it can provide staff with the underpinning knowledge to support desistance. Formal learning opportunities require to be identified that can best develop staff to engage constructively and creatively with people in their care in order to support and sustain positive change. In addition, a wider understanding of criminal justice is needed in order that staff are better equipped to work cooperatively with other organisations. Clearly redefining the role of the prison officer and providing formal learning opportunities to support them will contribute towards the desire to professionalise the organisation. In developing an educational qualification for prison officers, the organisation must consider the issue of applicability (i.e. will all prison officers be required to undertake a formal learning opportunity and the consequential issues around this).
Appropriate formal learning opportunities are developed and provided to staff to enable them to understand and adopt a desistance-based approach. Consideration must be given to what this means for both existing and new staff in terms of applicability and a suitable professionalising plan developed.

6.23 Whilst providing formal learning opportunities for staff at all levels is imperative in supporting a desistance-based approach, it is recognised that this will not be sufficient of itself. Currently the OFT Programme, understandably, is heavily weighted towards establishment custodial elements. Moreover, the transitional training provided on promotion from operations officer to residential officer only lasts for one week. The workshop with SPSC Leaders considered whether, even prior to any re-think of the role of the prison officer, existing training and development was in fact sufficient for the organisation to not only bridge the knowledge gap and set the change in expectations between the two roles but also to reinforce the desired behaviours. Internal stakeholders noted that HMCIP have acknowledged the importance of the role of the Residential Officer and have identified a training deficit in relation to the Personal Officer scheme, which if well designed and implemented, could make a significant difference to how prisoners are mentored and prepared for reintegration. HMCIP have recommended that the organisation urgently reviews the Personal Officer scheme and takes action to improve it. The Personal Officer scheme was introduced twenty years ago but has always remained a secondary role with no or limited formal training made available to staff. As one internal stakeholder observed the organisation provides training on how to search cells through SVQs but in supporting people in changing lives has offered little. This is not satisfactory. Accordingly, the Review Team believes that there is a clear imperative to review existing training and development programmes. Moreover, the adoption of a refreshed framework of behavioural competencies will also necessitate such a review.

6.24 The existing framework of behavioural competencies does not necessarily encompass the softer, more relational skills and leadership behaviours the organisation will require from its staff to support offenders to become positive citizens. Whilst there is no one agreed definition, the Chartered Institute of Personnel and Development (CIPD) define ‘soft skills’ as experientially acquired self-, people- and task-related behaviours that complement the use of technical knowledge and skills in the workplace that enable individuals to navigate successfully the requirements, challenges and opportunities of their job role in pursuit of personal, team or organisational goals. As existing training and development programmes are reviewed there must be a particular focus on how soft skills can be bolstered as SPS asks every staff member to engage constructively and creatively with people in their care. The workshop considered the types of soft and other skills required for future ways of working as at Annex 12. Having established the role of the prison, what that means for the regime and staff at all levels and revised the existing behavioural competency framework accordingly, the types of skills (including soft skills) and training required needs further

detailed consideration. The Review, however, is clear that it is wholly unsatisfactory that staff employed to support people in changing their lives are not equipped nor their practice supervised appropriately but have traditionally been left to manage constructive relationships and change on an intuitive basis for the most part. This has implications for the role and training of First Line Managers too.

**POINT FOR ACTION**

Existing training and development programmes are reviewed with a particular focus on identifying the soft skills required to support future ways of working and effective delivery of outcomes.

**Growing Leadership and Development Capability**

6.25 Good leadership distributed at all levels within SPS will be essential in order to achieve sustainable change and performance. In delivering the refreshed Vision, it is imperative that managers across the organisation take responsibility for leadership, leading by influence through their own personal attributes and behaviours. Historically SPS has mostly expected and rewarded command and control type behaviours and a shift in both organisational focus and culture will be required at all managerial levels to move beyond this. The observable behaviours of highly visible senior manager role models, such as Governors-in-Charge will be a key driver in changing the organisational culture in this regard.

6.26 There is a need to define what good leadership means and looks like for SPS, recognising the need for managers to flex between using a command and control style of management, frequently required in an operational setting, and a more participative approach to leading at other times. The Review suggests that in this regard there are likely to be synergies with on-going work within the SG aimed at developing their existing and future leaders to be strategic thinkers with good people management and influential behaviour, underpinned by self-awareness, personal presence and awareness of impact on others, emotional intelligence and coaching approaches. Whilst these leadership qualities are undoubtedly important what will be equally important for managers within SPS is the ability to successfully lead staff through the change programme that will follow the agreed Recommendations from this Review. Senior managers will need to become transformational leaders.

6.27 Managers at all levels across SPS will need to operate as successful change agents in times of ambiguity. Senior managers such as Governors-in-Charge will require to align change at a local level with organisational strategy, providing leadership to make change happen, communicating effectively both internally and externally, continually monitoring and evaluating after implementation. Whilst line managers will require to own their part in change cascading communications and preparing teams for implementation. Against this backdrop the SPS Leadership Strategy should set out what constitutes good leadership expressing this through the refreshed framework of behavioural competencies.
6.28 The SPS Leadership Strategy should also set out how it intends to support the development of leadership skills. To do this, the organisation will require to undertake an audit to understand current levels of capability in existing leaders. This will enable the identification of development needs. Evidence presented as a result of recent recruitment and promotion activity, managers’ performance appraisals and the Staff Survey should assist in developing an understanding of the current leadership capability, demonstrating areas of strength, weakness and development need. The organisation has commenced an audit of existing senior operational leaders’ capabilities to plot development interventions and development potential within the organisation, using well-known diagnostic and personal development tools.

6.29 Following identification of development areas and opportunities, there are many tools and techniques that could be used to develop leadership skills including coaching and mentoring (already offered by SPSC), secondments, peer networks, workshops, training courses and seminars. In addition, the organisation is actively seeking out opportunities to collaborate with other organisations with existing successful leadership programmes, e.g. NHSScotland and Police Scotland.

6.30 Moreover, collaborative opportunities should not be restricted to the area of leadership. The organisation should continue to build collaborative partnerships with external parties and the local communities in which it operates, combining resources and capabilities to share ideas, knowledge and learning to advance mutual interests and shared objectives, to help integrate people back into their communities. The report provides further comment on this in later sections.

6.31 An essential component of delivering the new corporate strategy is planning for the future to ensure the organisation has the right staff at the right time with the right skills, which includes future-fit leaders. Historically, SPS has taken a short to medium-term focus on workforce planning. There has until now been less focus on longer term, strategic, succession planning.

6.32 Adopting a longer term, strategic approach to succession planning will enable SPS to identify and develop potential future leaders and managers who are adaptable and capable of filling a number of roles as well as business critical positions. It will also assist in retaining talented individuals who wish to progress within the organisation and manage their careers proactively. SPS must consider which senior roles it intends to cover under a succession planning programme. The method of selecting
participants in succession planning programmes must also be determined and should be integrated with the refreshed SPS Behavioural Competency Framework. Succession planning should be owned by line managers, led by the Chief Executive with HR supporting and facilitating the process. Those responsible for succession planning must understand how as a business SPS is likely to change in the future as this will affect the numbers of participants involved in succession planning and the skills they require to possess.

6.33 Related to the need to strategically plan the workforce is the issue of 'talent management' which covers a wide range of activities designed to attract external talent and retain and develop internal talent. Succession planning is central to the internal element of talent management as it permits SPS to promote from within the existing talent pool where the there is a high degree of organisation-specific knowledge.

6.34 In recent years SPS has used different initiatives to identify and develop future leaders. A Leadership and Management Development Strategy Group has been created to consider learning from previous organisational approaches with a view to ensuring a coordinated and integrated approach to how future leaders are recruited into, developed and promoted within the organisation. Work is on-going currently in this regard with the launch of internal and external graduate trainee manager programmes and the recent commencement of a Master of Studies programme via Cambridge University. As outlined previously, there has been recent activity to nurture existing senior operational leaders’ talents by plotting development interventions and development potential.

**POINT FOR ACTION**

Workforce planning activity is developed to flexibly manage both short and long-term, strategic future needs. The SPS People Strategy ensures that it includes succession planning and talent management programmes to attract and develop existing and future-fit leaders.

**Building HR Effectiveness**

6.35 As outlined in Section 5, the new corporate management framework establishes a Corporate Services Directorate, which will refocus to better support the operational and strategic arms of the business, HR will be a central part at the centre of this service. HR services will continue to be delivered through a blended national and local model of delivery. HR services within the Corporate Services Directorate will be reorganised into three distinct functional groups as illustrated in Figure 6.4.
6.36 HR Operations will continue to have responsibility for the delivery of HR services at a local level. Recent developments where some local HR service delivery is provided by way of a clustered internal shared services model will continue on an iterative basis. The introduction of an e-HR system supports such a clustered model. In addition, the introduction of technology, like the recent introduction of an e-Recruitment system, enables a culture shift whereby HR staff can move away from HR transaction handling to a more front-line, proactive approach to HR service delivery. Furthermore, electronic systems such as e-HR and e-Recruitment have been developed having defined the measures for the benefits, which they will bring, setting targets for these measures and having the capability to monitor and track delivery against benefits. They provide intelligent management information, the insights from which can be communicated to inform action enabling HR to deliver maximum strategic impact.

6.37 Changing the structure of HR and introducing better systems and processes will not deliver the necessary benefits unless there is also a focus on improving HR capability, through equipping HR staff with increased knowledge. Work is on-going on a knowledge development programme to improve capacity and capability of HR staff. The current Acting Director of HR is committed to a professional model of HR and is working closely with the CIPD to adopt a programme aligned with the CIPD HR Profession map. This will assist the organisation in identifying development needs and career planning for HR staff.
6.38 HR activities such as recruitment, induction, appraisal, promotion and training and development activity are all opportunities for managers together with HR to embed the organisational values and behaviours expected from staff. They underpin good leadership and will drive culture change and sustained performance improvement. However, as outlined earlier in this section further work will require to be done to align policies, systems and processes to the new SPS People Strategy.

**RECOMMENDATION**

Having developed an SPS People Strategy, those core HR policies, systems and processes (including IT) which support it are reviewed to ensure they are fit for purpose in supporting delivery of the Vision and Mission.

6.39 Development of an SPS People Strategy is the start of a journey for HR to enable it to better align outcomes with the needs of the business. This section has outlined some of the design principles that are core to its development. HR effectiveness will be evaluated through the impact of the SPS People Strategy, which will be assessed through both intelligent management information and engagement tools such as the Staff Survey. Evidence should be sought which demonstrates increased capability and performance.

**POINT FOR ACTION**

The newly created SPS People Strategy is evaluated annually allowing new priorities to emerge which will inform the shape of the annual Capability Plan.

6.40 The SPS People Strategy will provide a platform from which to develop an annual organisational Capability Plan outlining the skills and capacity needed to support the delivery of the new corporate strategy and how these will be delivered.

6.41 The foundations of a Capability Plan have already been laid in the recent development of the Leadership and Management Development Strategic Initiatives Action Plan. This will evolve into a Capability Plan as the SPS People Strategy develops. There will be a need to regularly assess and establish the present position throughout the organisation, identifying gaps in skills and knowledge. Evidence should be sought to identify these gaps, for example from recruitment and promotion activity, appraisals and workforce planning and talent development activities. This will then identify current capabilities and dictate strategic priorities and inform workforce, learning and development and HR service delivery planning.
RECOMMENDATION

SPS creates a Capability Plan, updated annually, which brings identified gaps together with strategic priorities to inform planning at a local and national level.

6.42 This section has outlined how SPS will invest in the full potential of its people to inspire change in delivering the commitments of the organisation’s new Vision and Mission. The next section explores how the organisation will work in partnership more effectively and collaboratively and focus its assets on doing what works to reduce reoffending.
SECTION 7: OUR PARTNERSHIPS

BETTER OUTCOMES THROUGH COLLABORATION

“Integrate the structures within the system so as to provide an increasingly seamless service looking for every opportunity to co-operate and to share skills, knowledge, information and resources across and throughout the offender journey – work together for a more common perhaps single, goal.”

The Need for Collaboration

7.1 The Strategy for Justice in Scotland makes clear the centrality of partnership working to delivering improved outcomes for Scotland. Successful delivery of the Justice Strategy will be dependent upon collaborative working across the range of justice and community justice organisations and will span universal and mainstream services such as education, health and housing sectors. The Justice Strategy envisions strengthened collaboration across public, private and third sector interests to deliver a whole system approach in which partners:

■ Achieve shared outcomes;
■ Take collective responsibility;
■ Work collaboratively to deliver priorities; and
■ Support the efficient and effective operation of the justice system.

7.2 In essence, working collectively will achieve more effective outcomes than would be delivered by each organisation separately. The evidence for this approach lies at the heart of the Christie Commission recommendations, which point to positive approaches already being taken forward across Scotland, often at local level. This approach, best described as an asset-based approach runs counter to more traditional public service philosophy that tends to treat people as passive recipients of services rather than active agents in their own lives. It is this ethos, with its emphasis on building personal and community ‘capacity, resilience and autonomy’, that provides the basis of the revised Vision, Mission and Strategic Objectives for SPS.

7.3 This is an approach that will have significant impact on how SPS views its partnerships and collaborations and how it views its relationship with the people in prisons, both staff and prisoners.

7.4 SPS has many partnerships and partners. The nature of the task and evidence about imprisonment suggests that institutions are seldom a good way to solve social issues such as health and social inequalities or, by extension, the accompanying causes of crime which blight some of Scotland’s most vulnerable families and communities. Prevention is always better than cure. Tackling root causes to reduce and prevent reoffending through the provision of support and opportunities, aimed at improving wellbeing and life choices at critical stages in people’s lives, is likely to provide better outcomes and safer and stronger communities than exclusion and reduced eligibility through reliance on containment and prison as punishment alone.

Chief Executive. SPS 2013 Offender Management Conference
7.5 SPS has, over the past 5 years, developed an approach, often termed as ‘community facing’, which aims to provide regional and local alignment between prison rehabilitation and reintegration services and those offered within the communities to which prisoners will return at the end of their custodial sentence. The ambition behind this concept has been to improve throughcare, accessibility and partnership working through increased connectedness and collaboration between local service partners. The approach derived from SPS response to the creation of the 8 Community Justice Authorities (CJAs) in 2006, however, progress in developing the concept has been slowed by a lack of definition, the practical implications of managing significant levels of over population, estate limitations, a focus on ‘geography’ rather than service coterminosity and capacity and capability issues in meeting the specific and complex needs of groups such as women and young offenders in a more distributed model. HM Prisons Addiewell and Lowmoss provided a limited test of concept. However, HM Prison Grampian has been developed to test the benefits, risks and potential of a fully developed ‘community’ model prison. Beyond the limited concept of ‘community facing prisons’ lies the need to ensure ‘offender-facing communities’.

7.6 There has of course been other innovative practice in supporting new types of partnerships aimed at improving rehabilitative and reintegrative outcomes. Work has included the provision of Links Centres to support co-working between community and prison services as well as recent developments in the provision of Visitors Centres and Help Hubs at a number of prisons. However, the full strength of a community facing approach can only be realised by new collaborations that challenge the traditional ‘pushing out’ model from prison to a ‘pull through’ model from custody by the community (justice, social justice and universal services). SPS also needs to be clear on how a regionalised solution to prisoner reintegration will operate and how that will best be supported by both the future development of the estate and population management. PSPs, highlighted earlier, are a good exemplar of more innovative partnership practice.

The Nature of SPS Collaboration

7.7 SPS will need to rely on the contributions and the efforts of others to succeed in its mission. It is one component of a justice and social justice value chain, which aims to improve the wellbeing of communities, families, victims and offenders. The network of partnerships that SPS has is wide and diverse and the relationship between partners is complex.

7.8 OGC30 defines partnering as a form of collaborative working between partners which: “in contrast with traditional ‘arm’s length’ procurement and contract management approaches, partnering is characterised by a greater degree of openness, communication, mutual trust and sharing information”. Partnering arrangements are often expressed in outcome terms rather than outputs and success is often dependent on the people and relational aspects of working together. Positive examples of this such as the Low Moss PSP are already in evidence. While the OGC definition is primarily aimed at partners in a supply chain as part of a more formal operational service delivery arrangement, the basic tenets are as relevant to the operation of even the most informal collaborative arrangements. All collaborations need to have a basic structuring of expectations, roles and responsibilities to be effective.

30 Effective Partnering – an overview for customers and suppliers OGC 2003
7.9 The current range of partnerships and partnering mechanisms SPS is involved in includes:

- Complex (whole service) contracts for the provision of prisons and prisoner places at HM Prisons Addiewell and Kilmarnock;
- Complex multi-partner contracts for services such as the Court Custody and Prisoner Escort Service;
- Diverse and large service contracts ranging from provision of prisoner education to estate development;
- Strategic arrangements with other public bodies underpinned by Memoranda of Understanding (MOU) including Multi Agency Public Protection Arrangements (MAPPA) and Community Justice Authorities;
- Justice family and wider SG collaborations in relation to policy and service development;
- Relationships with public service delivery bodies, such as the NHS and Health Boards for the delivery of primary health care services, underpinned by MOU;
- Relationships with Local Authority Social Work Services for the delivery of prison-based social work underpinned by Service Level Agreements (SLA);
- Relationships with third sector delivery organisations often supported by external funding bodies through Partnership Agreements;
- Arrangements with police and emergency services for incident management and resilience planning;
- Co-production and co-working in collaborative practice with Public Social Partnerships such as mentoring schemes being developed through the innovative Justice Change Fund;
- Various Information Sharing Protocols with other government and public bodies;
- An array of loose collaborations aimed at rehabilitative activity in local prisons with often informal arrangements;
- Volunteering and ‘good society’ schemes such as prison visitors schemes supported by such organisations as ‘Hope’ and other charitable and restorative schemes such as ‘Timebanking’;
- Connectedness to local planning arrangements through CJA plans, Community Safety Partnerships and Community Planning Partnerships. Though involvement of prisons can be variable depending on locality and Local Authority arrangements; and
- Evolving social responsibility and prisoner employment arrangements with private sector companies currently being piloted at HM Prison Grampian.

7.10 The SPS Partnership network is complex and covers the full range of relationships from simple contact and communication, through cooperative and coordinated activity, to fully collaborative and convergent (integrated) partnership working as outlined in the continuum of collaboration at Figure 7.1. Each step along this continuum requires increasingly formal and complex understanding of roles, relationships, structures and performance expectations.
Obstacles to Effective Collaboration

7.11 SPS is both experienced and practiced along the continuum of collaboration at strategic and operational levels, yet feedback to the Review Team and recent evaluations of partnerships activity, such as the Reducing Reoffending Change Fund Evaluation of Year 1 – Public Social Partnerships, have continued to suggest, that despite recent improvements, SPS is still not always considered to be a fully effective partner. Feedback suggests:

- The prison environment and culture can create barriers to fully effective collaboration because of differing priorities, lack of understanding/ownership and competing operational requirements;
- The organisation is perceived as being contractually orientated and has difficulty in shifting from the role of service commissioner to the role of equal and active partner;
- The added value of partnerships and alternative perspectives and approaches is sometimes not appreciated by SPS management and staff;
- Mutual performance requirements are sometimes not agreed or measured;
- While SPS is now more involved in the policy and improvement work across justice, the organisation still has capacity to contribute more and to improve knowledge transfer;
- Relationships with local and community planning partners are variable and often dependent upon individual Governors and service managers rather than developing a consistent community engagement approach;
- Specific tools to support partnership working such as the Partnership Development Framework are not always used effectively in a standardised way;
- Tools that should be helpful in developing effective interventions and partnerships (the RRP1 Interventions Catalogue) are not always effectively used or kept up-to-date; and
- SPS resources and assets could be better aligned with the needs of the prisoner population and duplication of service or activity could be removed.
7.12 The move towards a more rehabilitative and reintegrative approach to imprisonment and throughcare will be dependent not only on changes in practice but also to the deep culture of SPS. This will need changes in leadership style and the development of new capability in SPS people. The range of issues identified suggests some clear, achievable Recommendations for future collaborations.

A Shared Understanding of an Asset-Based Approach

7.13 Earlier sections illustrated that the mission and purpose developed by Opportunity and Responsibility effectively diminished rehabilitation to a secondary role and failed to appreciate the importance of partnership in reintegrative activity. In 2008 the McLeish Report suggested that as a guiding principle: “communities can and should be at the centre of a strategy for working with offenders.” Hence the new approach should focus on the community and on the potential of citizenship rather than the label of ‘offender’. It positions prisons within the whole system with a focus on reducing reoffending, unlocking potential and promoting positive citizenship. This will undoubtedly require a reorientation of SPS partnerships - from being prison-led, to being jointly or community-led. This will be a challenge that will require a clear and communicated strategy.

**RECOMMENDATION**

SPS develops, in collaboration with SG, Health and other social care and justice interests, a strategy for understanding and developing a more asset-based approach to prison and throughcare practice in Scotland. (The connectivity between this Recommendation and the continuing work of RRP2 is recognised.)

The Need for an Holistic, Inclusive Approach

7.14 There is promising evidence that holistic approaches to reintegrative activities such as resettlement can help to reduce reoffending and that activities such as mentoring alongside programmes that strengthen thinking skills, motivation and post-release contact can all have a positive impact in improving offender outcomes. Developing a model of interventions that supports and brings the community into the prison, while supporting the offender out of it, will be crucial to improving rehabilitative effectiveness. Figure 7.2 provides a model for understanding the relationships between the community, the prison and the individual and the necessary permeability required of a whole system and asset-based approach to collaboration that puts the offender at the centre of its efforts.

The model makes clear the complex network of relationships, resources and opportunities that need to be brought together to build on the strengths and meet the needs of offenders, in a person-centred model. This includes strengthening family and social networks as well as providing access to real world opportunities that can help bolster social and economic inclusion. Already some recent developments are reflecting this shift including the creation of Visitor Centres and Help Hubs in prisons. Other work such as the piloting of ‘real work’ employment opportunities with local companies who wish to mix business with social responsibility are challenging traditional ways of doing things. The segments within the model are not constrained by organisational silos but rather propose that assets are combined across organisational boundaries to deliver services in ways that better meet individual needs.
7.16 A significant inclusion in the model is the recognition that culture can either help or diminish the offender’s motivation to take up opportunities for personal growth. Prisons and throughcare services have already harnessed the benefits of peer mentors and peer tutors and SPS should increase the use of these opportunities given the good practice and benefits already delivered. Such practice not only makes sense in shifting the underlying prison culture but also in developing truly participative and purposeful activity and in making best use of resources. Discussions on rehabilitation in prison cannot ignore the daily collaboration between all of those participating in the prison setting and the need to communicate, listen and involve offenders in creating an environment where human change and inspiration is nurtured and not diminished. It also needs to recognise that offending behaviour and diversions from positive destinations, such as continued drug taking or other criminal activity, also needs to be tackled and minimised in prison.

**RECOMMENDATION**

SPS develops a fuller understanding of the components that build a positive prison culture which unlocks and promotes individual potential and allows people to flourish. This should include:

- Better use of evidence-based practice including knowledge transfer;
- Measurement of the ‘human change potential’ in its prisons;
- A clear communication strategy detailing the responsibility of offenders in changing their own lives;
- Increased use of consultation and ‘user voice’; and
- Increased use of peer support to create a more restorative and relational environment.

7.17 The benefits that an asset-based approach may bring in both improving lives and the wellbeing of communities can be supported by the approach that is taken in prison. Finding ways to better support civil society and recognising that SPS does its best work when it works with others to promote common interests will be key to the new way of working. The linkage between postcode and economic, health and social inequalities is well evidenced, as is the interrelatedness of the prevalence rates of offending behaviour and the crime victimisation rate. Capitalising on this evidence and using the combined assets of prisons and community in new and innovative ways to create new leverage and better outcomes has never been more important.

**Bringing the Outside In**

7.18 Hence the transfer of primary healthcare for prisoners to the NHS on 1 November 2011 takes on new significance as an opportunity to tackle wider public health and social care issues. During the consultations the Review Team ran a consultative workshop on developing an asset-based approach in prisons, which will be published as a companion document to strengthen further thought in thinking through the practical implications of this approach.
7.19 The Review Team further believe that SPS should consider whether there are other services that should be offender-facing and community-led rather than SPS commissioned. In particular, the Review Team is convinced, through both experience and stakeholder comments, that the current Service Level Agreement process for the commissioning of prison-based social work services is outdated, ineffective and inefficient. SPS should discuss with SG and Local Authorities the development of new arrangements for transferring responsibility and budget for commissioning prison-based social work services. This may best be taken forward as part of the Review of Community Justice Funding Structures, (RRP2).

**RECOMMENDATION**

Responsibility for commissioning Prison-Based Social Work Services becomes a community justice responsibility and should be transferred from SPS as part of the evolving future arrangements for community justice through the structuring and funding work of RRP2.

7.20 In similar terms and in line with the recommendations of the broad ranging independent Review of Offender Learning\(^3^2\) published in January 2010 which proposed to “identify how best to deliver effective integrated learning, skills and employability provision for young people and adults in the justice system”, SPS should re-consider the benefits of new models of offender learning. The 2010 Review recommended that SPS should “Weigh up the options for commissioning learning, skills and employability services suited to the emerging prison estate: match the approach to the prison type (community facing and national) and take joint decisions with mainstream agencies responsible for adult learning, training and employability.” The Review Team is aware of the innovative work underway to transform HM YOI Polmont into a learning campus and the significant interest of justice and learning partners in improving life chances for young people. This joint work with Education Scotland, Skills Development Scotland and other mainstream learning organisations provides an opportunity to consider the development of new platforms for the delivery of Learning, Skills and Education arrangements across prisons.

**POINT FOR ACTION**

SPS continues to scope with Education Scotland and other partners whether there are more effective models for delivering learning, skills and education arrangements within prisons that will improve connectedness into mainstream services and positive destinations for offenders.

7.21 SPS should adopt a similarly flexible approach in considering the benefits of alternative delivery arrangements for new or existing services in the future. The critical question should be who will deliver the service best, rather than, who has traditionally delivered it.

\(^3^2\) Offender learning options for improvement – Skills for Scotland
7.22 Increased permeability of prisons and a more strategic approach to combining assets might also be helpful in supporting the availability and integrity of community justice services. Prisons might in the future offer opportunities such as joint intervention delivery, the provision of amenities such as prison workshops and the provision of skills or advice that might support the resilience of the Community Payback Order. The Review Team believe that these options may be worth further exploration between SPS, SG and Local Authorities in order to get the optimum impact from collective assets and strengths.

7.23 Similarly the Review Team has pointed out that SPS prison officers bring particular relational strengths and capabilities that can help to support throughcare, improve the coordination of pre-release activity and prison/community ‘handover’. Using collective and combined resources in new ways to coordinate and support team-based post-release engagement should allow SPS, PSPs, and Local Authorities to provide proportionate, relevant and targeted support and advocacy for people post-release. This in turn may improve the delivery of outcomes in the community.

**POINT FOR ACTION**

SPS develops further the evolving model of Community Reintegration Support and ensure its efficacy, transferability and alignment with the emerging work of the RRP. As part of this SPS will scope the option of extending the pilot work to cover HM Prison Barlinnie. Such a pilot will test more fully the benefits to be realised by the wider justice system of a more integrated approach to supporting short-term offender community integration and the types of collaboration that best supports it.

**Lessons Learned from the Third Sector**

7.24 SPS has learned that there is much to value from improved working with the third sector. The Partnership Development Initiative made clear the benefits of working closely with third sector organisations. These benefits included:

- New, innovative and individualised approaches to meeting clients’ needs;
- A non-authoritarian relationship with clients that can improve support;
- Links to continuous throughcare services on liberation;
- A network of contacts and access to knowledge which can improve the tailoring of service; and
- Access to funding from cumulative sources to cover non-statutory service gaps.

7.25 The value of third sector provision has also been recognised by recent SG investment in creating a nationwide network of mentoring PSP pilots. As part of the development of these services there has been wide scale consultation with users as well as wider stakeholders. Such consultation is a critical part of designing effective services and in leveraging value from an asset-based model of operation. Such an approach may challenge more traditional SPS thinking and approaches. SPS already has a well-established record of using surveys to inform its activities, however, the concept of ‘user voice’ is not consistently established and public consultations within SPS have been relatively rare over previous years. The consultations on Women Offenders and revised Prison Rules have been recent examples. Such consultations help to inform service development and can increase transparency, public knowledge and engagement in the work SPS does.
SPS adopts a more considered and robust approach to public consultation. Involving citizens and promoting participation in consultations can improve legitimacy, future engagement and develop trust and understanding about the challenging work SPS does.

**RECOMMENDATION**

SPS ensures that the Third Sector Partnership Framework, currently recognised by SPS, is applied consistently across the service to maximise the benefits of this cross-sector and agreed partnering process.

**POINT FOR ACTION**

Notwithstanding the current review of Community Justice Structures, SPS will agree with Local Authority partners both national and local arrangements for involvement in community engagement and community planning in order to ensure a consistent representation and standard of contribution.

**RECOMMENDATION**

SPS publishes a clear statement of its Partnership Strategy in order to ensure clarity, trust, innovation, efficient use of collective assets and efficiency in delivering shared outcomes.
Toward a Future Strategy for Partnership Working

7.27 The Review Team supported by SG Justice Analytical Services staff conducted a significant logic modelling exercise as part of the review process. The results of the exercise are reflected at Annex 13.

7.28 Logic models are simplified models of a programme of work which show the logical relationships between resources invested, the activities undertaken and the outcomes and benefits of these activities. The logic modelling was intended to draw out an agreed picture of SPS contributory outcomes to reducing reoffending and to understand more fully how SPS work complements the work of other justice (and social justice) delivery partners. It should also help in the setting of more appropriate outcome-based Key Performance Measures.

7.29 The Review Team is grateful for the work of Justice Analytical Services in facilitating three stakeholder workshops and several prisoner focus groups that contributed to developing the logic behind the models.

Figure 7.3: SPS Logic Modelling Workshops

- **Workshop 1**
  - Senior managers from across the organisation.
  - February 2013

- **Workshop 2**
  - First line managers and staff from across the organisation.
  - February 2013

- **Workshop 3**
  - Community justice authorities and partner organisations.
  - March 2013

- **Prisoner Focus Groups**
  - Female prisoner group
  - Young adult group
  - Short-term prisoner group
  - Long-term male prisoner group
  - March/April 2013
The logic modelling suggested 4 key areas of relevance to developing a strategy for SPS Partnership Working.

**Figure 7.4: Improving Partnership Working to Deliver Long-Term Outcomes**

<table>
<thead>
<tr>
<th>Long-Term Outcome</th>
<th>Suggested Key Activities</th>
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| Being part of a Fully Integrated Justice Family        | ■ Develop improved integration of Information Sharing Systems.  
 ■ More co-production, co-working and joint training.  
 ■ Alignment and access to appropriate interventions and opportunities for individual offenders in both the prison and the community. |
| An Offender Focused SPS                                | ■ Redefine the role of the Personal Officer as a key role and a key activity.  
 ■ Select and train staff with specific skills for the role.  
 ■ Reflect offender outcomes in both corporate and individual performance management.  
 ■ Measure individual change and progress and use knowledge to inform future service. |
| An Asset-Based Approach with Reduced Reoffending as an outcome | ■ Actively manage the change to deliver long term goals.  
 ■ Redefine the ‘role’ of the prisoner and emphasise responsibility, activity, reintegration, motivation and achievement.  
 ■ Ensure service provision is targeted to meet the changing needs of offenders.  
 ■ Clear communication with offenders, shift the prison culture and establish the offenders’ responsibilities as well as service expectations. |
| Improved Integration of offenders as Positive Citizens  | ■ Communication strategy to improve public confidence about the work of prisons and the potential of offenders.  
 ■ Improved communication and services for families.  
 ■ Improved communication and clarity on how SPS works with partners and how it can contribute to the integrative ideal of citizenship. |

7.30 The Review Team propose that the Partnership Strategy should seek to deliver five clear aims. The broad outcomes and approaches supporting the aims are outlined below and should serve as a basis for taking forward the development of a transparent partnering approach.

7.31 The first aim of the Partnership Strategy should be: to develop clear strategic and local planning arrangements that ensure positive engagement with SG, portfolio partners and community planning partners to develop, deliver and monitor progress towards both national and local outcomes in Single Outcome Agreements.
POINTS OF NOTE

In order to achieve its first partnership aim SPS will:

- Review planning arrangements to ensure fit with the Justice Strategy and alignment with Scottish Government Justice Board and portfolio partners plans and assumptions;
- Make a full contribution to cross-justice programmes and projects;
- Increase SPS involvement in the Justice Leaders Network;
- Ensure strong, supportive engagement and mutual clarity on collaborative working and consultation at national and strategic level with Local Authorities;
- Ensure clarity of structure, representation, authority and support for planning SPS contributions to local planning in pursuit of Single Outcome Agreements; and
- Re-profile the role of the CJA Liaison Managers to provide community planning expertise to SPS at local and national levels.

7.32 The second aim of the Partnership Strategy should be: to build trusting, strong and resilient collaborative relationships with key strategic partners that will deliver commitment and improvement to the delivery of shared outcomes. These key relationships should be at both strategic and operational levels of the organisation.

POINTS OF NOTE

In order to achieve the second partnership aim SPS will:

- Provide leadership development to build effective transformational leadership and relationship management skills;
- Invest in its highly skilled staff and in volunteers or third sector staff where such investment is advantageous;
- Involve wider stakeholders in internal planning and adopt a more targeted approach to national consultations;
- Conduct a full audit of the operational delivery partnerships with each prison and review gaps, duplication and evidence of efficacy where available;
- Articulate clearly on the SPS website the type of partnerships SPS is involved in and the governance and performance aspects attributable to them;
- Make clear the partnering opportunities available and the sustainability if collaborations are effective; and
- Communicate joint performance and successes.
7.33 The third strategic aim of the Partnership Strategy should be: to create an innovative, collaborative culture within SPS that gets the right results from doing the right things with the right people and which delivers on all partners collective ambitions.

**POINTS OF NOTE**

In order to achieve the third partnership aim SPS will:
- Develop professional staff to be skilled in multi-disciplinary working and to have a voice that is valued and considered ‘expert’ by others;
- Develop communications and approaches that inspire both staff and partners and that build recognition that SPS collaborations are high achieving in terms of impact;
- Benchmark ourselves and learn from others;
- Build staff engagement and contribution to new ideas and improvement;
- Celebrate success and the ‘coming of age’ of new ideas;
- Build a more entrepreneurial approach to taking opportunities while maintaining effective risk management;
- Learn from failures as well as success;
- Build continuous improvement into SPS approach to collaboration; and
- Evaluate all future partnerships and interventions regularly for efficacy.

7.34 The fourth aim should be: to develop a collective vision of the benefits that might be delivered by the deployment of an asset-based approach to reducing reoffending. This will mean, defining more clearly the part each component plays in the ‘value chain’, the gaps in the system and how assets and resources might be used more effectively in collaboration with key partners.

**POINTS OF NOTE**

In order to achieve the fourth partnership aim SPS will:
- Develop in collaboration with key stakeholders the practical application of an asset-based model to rehabilitative and reintegration planning for prisoners;
- Ensure that maximum resources are invested in front-line services and that it puts in place arrangements for working with new community-based mentoring schemes and other community supports;
- Conduct a review of all its partnerships and publish a list of all its partners and new partnering opportunities;
- Put in place planning arrangements that are consultative with flexibility to ensure that SPS is able and prepared to combine resources, assets, capabilities and core competencies to promote mutual and priority goals; and
- Assure that SPS delivers what it commits to.
7.35 The final aim should be: to build SPS knowledge and understanding of effective prison and reintegrative practice and to share the collective knowledge with partners and the public in order to continually improve service outcomes and public confidence in SPS services.

**POINTS OF NOTE**

In order to achieve the fifth partnership aim SPS will:
- Put in place a clear and effective communication strategy to meet the needs of all stakeholders;
- Invest in its research and analytical capacity and capability to improve its understanding of what works, performance and contribution to outcomes;
- Invest in the knowledge base of its staff through strategic partnerships with centres of academic excellence. Such knowledge exchange partnerships should provide academic support to make operational desistance focused practice;
- Develop academic linkages within the service and provide support for graduate and PhD research;
- Promote learning through sponsorship of occasional papers and lectures to develop joint understanding of contemporary issues and new approaches between partners;
- Publish key information about its work and its performance regularly;
- Work with SG and wider justice partners to reassure the public about the collective outcomes of services;
- Develop with Scottish Universities a professional qualification in human change management for prison officers and others; and
- Provide a platform that supports public access to information and education about SPS and partners’ work in reducing reoffending.

7.36 The Review Team believes that the five aims and associated activities should provide a clear Road Map of actions for future collaborative working. This will improve the effectiveness of co-production and co-working relationships both at national and local levels and should result in increased synergy and focus on working together rather than continuing to operate in a fragmented way, spending disproportionate time working out how to operate together as partners. The detail of the Partnership Strategy should be developed in a way that engages partners.

7.37 The proposed terms of the Partnership Strategy are broad and build on themes raised and highlighted across the various sections of the report. While the Report does not specify all of the suggested actions the Review Team believe that in adopting the key Recommendation to have a published Partnership Strategy SPS will strengthen the effectiveness of its collaborations and the use of its assets. SPS should develop each of the proposed aims for inclusion and development as part of the overall change programme.
Background

8.1 The final change domain covered by the Report seeks to improve the planning and performance management of SPS. The preceding sections highlighted the things that SPS can do to improve its performance. This domain considers how SPS will know that it is delivering on its ambitions and how it can improve its corporate performance measurement and management. Performance management in this report describes the process by which SPS translates SG direction into service delivery and creates value for all its stakeholders whether they are offenders, prisoner’s families, victims, staff, partners or even whole communities. Specifically, performance management is the corporate system that integrates and aligns organisational strategic management, performance information, monitoring, evaluation and reporting. It tells the organisation whether it is delivering the things that it set out to achieve and whether those achievements are delivering the value that was intended.

8.2 The Recommendations in this section seek to ensure that SPS delivery aligns with the Scottish Government Performance Framework, that it supports continual improvement, provides transparency about performance and makes clear the public value of services.

8.3 The current performance management approach has arguably been fostered during the era of ‘new public management’, prevalent in the nineties with a strong emphasis on inputs and outputs, meeting performance targets and management through performance contracts. This has since evolved into a system of Service Agreements for publicly operated prisons, designed to complement the service contracts of the two private prisons. The Service Level Agreements enshrine both Key Performance Indicators, which are set by Scottish Ministers for SPS, and a small number of service indicators as measures of local performance. The Service Framework has become increasingly challenged in terms of its over simplicity, relevance, cultural significance and impact on continuous improvement. A brief history of performance management in SPS is included at Annex 14.

Scope of Performance Management Recommendations

8.4 The Review Team has taken a broad view of performance management. The work has made clear that good performance management and corporate alignment goes well beyond simply defining ‘what is measured’ and that SPS now requires to develop a renewed approach to corporate planning, continual improvement and performance metrics. Improving corporate performance measurement and management is a mission critical activity for SPS. Shifting the current corporate performance culture to one capable of fully supporting the delivery of the new Vision will be a core part of the future Road Map of change.
8.5 The emergent thinking takes into account expressed concerns about developing the strategic role of the SPS Advisory Board and improving strategic leadership across SPS. It also seeks to improve the relevance, reliability and validity of SPS KPIs to make clear service standards for SPS and the quality of outputs; to develop SPS capability to continually improve performance; and to provide strong and suitable metrics to track strategic progress. There must be a clear strategy in place for gathering evidence about service effectiveness and contribution to outcomes using a consistent and high quality methodology.

8.6 The Recommendations recognise that SPS cannot operate in isolation from wider justice change. So the Review Team has also worked with Justice Analytical Services (JAS) and the Reducing Reoffending Programme team to ensure alignment in thinking, which will better support the development of a cross-justice performance framework. SPS will continue to work alongside SG in developing its model of contributory outcomes and KPIs. In order to support this process logic models have been created which will help to define the contributory outcomes of SPS and which will help inform the future performance management model for the service. The logic models are represented at Annex 13.

**Current Status of Performance Management in SPS**

8.7 The findings of the Review (Phase 1 Interim Report) were considered by the SPS Board on the 19th December 2012. The Interim Report clearly pointed to the strength of SPS as an organisation, with well-established risk management procedures and tight financial control. It also suggested that SPS was operationally strong. However, these strengths were also seen to be a potential inhibitor to developing a flexible, participative and innovative culture. SPS appeared to value the tried and tested, the status quo and the routine. This resulted in a tendency for SPS to be seen as operating in a defensive way which could create drag and reduced flexibility and drive in terms of continuous improvement.

8.8 The Review considered how SPS can best support and develop the improvement culture, which will be necessary for taking forward the agenda of transformational change. The Team has concluded that the current format of Service Agreements and the disaggregation of input/output-based measures have driven behaviours within SPS that make the organisation appear operationally efficient around basic aspects of its activities. However, these also serve to dilute its outcomes focus, stifle change and innovation and reduce transparency. Additionally SPS has little understanding of the impact, effectiveness or allocative efficiency of its services. The consultations, with both internal and external stakeholders, about improvements to SPS performance management suggested:

- The SPS Board has ambitions to operate in a more strategic way;
- Previous structural changes and the client/provider split has blurred executive accountabilities;
- There needs to be greater engagement of senior managers, including the field, in corporate planning as well as improved alignment of Corporate and Delivery Plans, nationally and locally;
- The current Service Framework does not provide sufficient challenge or strategic linkage to drive performance improvement;
- Current measures are not outcome-based, and do not encourage performance stretch;
SPS quality standards lack clarity and the systems used to communicate them, such as the Prison Resource Library, need improved coordination and management;

Information systems and information quality need to be improved and evidence needs to be used more effectively;

SPS should make better use of knowledge management and the emerging SPS culture should be better placed to leverage value-based evidence through new Research and Development capability;

The Performance Measurement Framework should contain a realistic and holistic suite of measures that properly reflect the entire organisational endeavour of SPS; and

SPS Performance Management System should be complementary, showing consistency of approach from strategic to individual level.

8.9 The Review has concluded that a significant overhaul of SPS performance management is long overdue. The new process needed to satisfy multiple objectives including measuring service outputs, satisfaction, outcomes and soft concepts such as trust and legitimacy. It also needed to support a new desistance ethos with greater emphasis on a multi-faceted approach that listens to service users, citizens and stakeholders.

THE FUTURE OF SPS PERFORMANCE MANAGEMENT

The SPS Value Model & Value Chain

8.10 The future of SPS Performance Management needs to be defined in the context of the pursuit of the new Vision, Mission and Strategic Priorities. Figure 8.1 shows the SPS Value Model that describes the necessary alignment between SG direction and the strategy and operational delivery requirements of SPS. The model shows both the alignment of SPS strategy and the value of its activities. It provides the foundation of the thinking behind the development of a revised corporate performance framework. SPS must deliver public value-add and assure its delivery through a system that provides evidence of contribution to the SG Performance Framework with a clear path that links the Vision, Mission and strategy to service delivery, plans and resource allocation. SPS KPIs should be designed to measure the extent to which actual results (corporate outcomes) meet SG planned policy objectives. Future measurement systems need to reflect not just corporate performance but the contribution of individual prisons and Directorates to the strategic goals of SPS through improved operational delivery and clear standards of service. It is the fulfilment of these add value relationships that produce public value from public services. It is that public value that will reassure the public about the work of SPS and the wider justice system.
Figure 8.1: Value Model for SPS

![Diagram showing the Value Model for SPS]

- **EXTERNAL INFLUENCES**
  - Stakeholder Expectations
  - Drivers (PESTLE)

- **PUBLIC VALUE**
  - Justice Outcomes
  - Contribution to Public Protection
  - Contribution to Reduced Reoffending
  - Public Confidence
  - Best Value

- **GOVERNANCE**
  - Strategic Direction
  - Investment Decisions
  - Performance Management
  - Performance Improvement
  - Issues and Risks
  - Evidence and Assurance
  - Compliance

- **SCOTTISH GOVERNMENT DIRECTION**
  - National Performance Framework
  - Justice Strategy
  - Reducing Reoffending Programme

- **SCOTTISH PRISON SERVICE DIRECTION**
  - Vision
  - Mission
  - Strategic Priorities

- **SCOTTISH PRISON SERVICE DELIVERY**
  - Deliverables/Standards
  - Engagement

- **SERVICES**
  - Partnerships
  - Change Portfolio
  - Capabilities
  - Process
  - Projects
  - Programs

- **SPS VALUE**
  - SG Corporate Expectations
  - Justice Outcomes
  - Strategic Outcomes
  - Performance Outcomes
8.11 These relationships can also be described as a Value Chain. A Value Chain model for SPS activity is illustrated at Figure 8.2. Such a diagram can help understanding regarding the relationships between the component parts of the system. The SG direction is provided by a set of outcomes, which are further defined through clearly articulated expectations, priorities and approaches. These are reproduced at the front of the report for ease of reference. The model shows the strategic alignment which SPS internal planning processes need to support. Feedback received by the Review Team clearly suggests that planning mechanisms are not currently aligned in such a way as to optimise SPS delivery and that they need to be improved.

Figure 8.2: The SPS Value Chain
RECOMMENDATION

SPS establishes a new strategic planning and performance process that aligns with SG expectations, the Justice Strategy and the direction of the wider ‘justice system’. The new process will:

■ Deliver clearer alignment between policy, strategy and operational delivery;
■ Produce a single SPS Corporate Plan as a strategic focus on delivery of corporate priorities;
■ Develop local delivery plans that drive and track key strategic contribution and continual improvement;
■ Design measures and targets which improve knowledge transfer and line of sight to outcomes; and
■ Provide clear reporting of results and public value which ties directly into the planning cycle.

A New Sense of Direction

8.12 The Report sets out a new direction and a new set of strategic priorities for SPS. These will focus SPS corporate efforts over the forward planning period.

■ Embedding the New Vision;
■ Investing in SPS people;
■ Delivering effective and efficient services;
■ Developing a collaborative outcome focus;
■ Developing a person-centred, asset-based approach;
■ Developing a learning organisation; and
■ Promoting public confidence in SPS.

8.13 In order to deliver these strategic priorities SPS is developing a medium to long-term Road Map for change that will form the basis of a revised Corporate Plan, which will be published for April 2014 onward. That plan will set out the starting direction of the journey rather than necessarily defining a final destination. SPS will need to develop new mechanisms for continually identifying the priority areas in which to improve services and outcomes. That mechanism will need to work proactively through effective horizon scanning as well as reactively in response to ‘events’, as tends to be current practice. SPS undoubtedly needs to become less events driven and to be more innovative and proactive in its approach.

8.14 In order to achieve this SPS will need to refresh and reinvigorate its planning process (the timing and sequencing as well as the connectedness that is necessary both across the organisation and with other service organisations external to SPS). SPS also need to ensure a proper cycle of review and action planning that meets both corporate strategy requirements and annual business planning needs. Figure 8.3 shows how SPS should create a continual cycle of improvement covering the 3 year corporate planning period, annual delivery and continual improvement in year (supported by quarterly business reviews).
8.15 The cycle of Corporate Plans, Delivery Plans and business improvement supplemented by robust risk management processes at national and local levels will also fit with the SG Spending Review and Justice Directorate corporate planning cycle. Improved coterminosity will improve organisational alignment, capacity to meet SG corporate expectations and should increase synergy and reduce negative impacts between justice partners.
A New Strategic Performance and Planning Cycle

8.16 The proposed strategic performance, corporate calendar and planning cycle is shown at Figure 8.4. The main differences and advantages over the current arrangements are that the Corporate Plan is aligned to the Vision, Mission and Strategic Priorities and the plan is owned and developed in conjunction with the SPS Advisory Board, who also provide the necessary strategic leadership. Over the next few years the scale of change and the skills required to manage the changes consequent to the Review will require the development of a Change Management Unit as defined in Section 5. Proposals as to how that unit fits with the planning cycle are outlined in Section 9 of the Report. National, corporate and local priorities will inform the planning process and it will be important that a clear structure is put in place for managing these interfaces and that the process has explicit links to the annual Delivery Plan. The Delivery Plan will be reviewed annually by the SPS Advisory Board to reflect new environmental dynamics and developments in SPS knowledge.

POINT FOR ACTION

A clear timetable and structure that supports the new planning process will be put in place which allows the SPS Advisory Board to develop and lead the formation of the Corporate Plan and Delivery Plan. National and local improvement plans will be subject to regular and continuous improvement review.

8.17 The service agreements should no longer exist for publicly operated prisons in service agreements current form and should be replaced by Improvement Plans that deliver the SPS strategic priorities. The service framework for publicly operated prisons was heavily criticised during the stakeholder sessions and is seen as driving unhelpful corporate behaviours. The new establishment Improvement Plans will be owned by the GIC but agreed by the relevant Directors who will also agree stretch targets for each prison. Establishments will contribute to the development of Corporate and Delivery Plans.

POINT FOR ACTION

SPS replaces the current Service Framework for publicly operated prisons, including Local Improvement Plans, with a reinvigorated business review process which will involve both the Director of Operations and the Director of Strategy at key stages to help drive strategic change and improved outcomes.
8.18 Figure 8.4 provides a corporate calendar for tactical and strategic phases in the proposed planning cycle.

Figure 8.4: Corporate Calendar for SPS Delivery Planning

Regular monitoring and evaluation of performance throughout the year.

Quarterly Reviews with the Director of Operations/Director of Strategy and Innovation and GICs to monitor progress and to nudge any necessary directional changes or improvements.
8.19 The proposed planning and Performance Management Framework will shift the organisation from the current constraints and stasis of the Service Framework with its limited and limiting measures of input/output. This will focus SPS on a gradual shift to outcomes and ‘scorecard’ based assessments that will help the organisation to orientate itself along its organisational change programme and to evidence the value of its contributory outcomes. Underpinning the new planning process will be evidence and knowledge harnessed through new research capability and through performance measures and management information obtained from improvement processes. The management of the transition process from inputs and outputs to outcome measurement will be critical to the success of developing an outcome-focused approach. Outcome measures will provide a much more rounded measurement of SPS services and their contribution to both the Justice Strategy and the National Performance Framework.

8.20 The development of a fully defined model of performance management and associated measures will take time and investment to develop. SPS will need to:

- Invest in improved IT functionality to improve information capture;
- Encourage high quality data management;
- Improve analysis and transparency of achievement;
- Ensure staff at all levels understand the importance of accurate and high quality information;
- Ensure proportionate benefit between information used and cost of data capture;
- Develop technical solutions to sharing information across agencies (such as the ‘data hub’ concept) which shares specific information between SPS and SG;
- Align its measures with other SG performance frameworks;
- Work with partners to share data across boundaries; and
- Develop measures of SPS contributory outcomes.

8.21 SPS cannot expect to be in a position to have a fully redesigned and fully functional Performance Management Framework immediately. It will take time, most likely years. However, the basic structures and systems can be designed and put in place now.

POINT FOR ACTION

SPS builds on the Review Recommendations to design the tools, techniques and timetable that will support new strategic and operational planning requirements.
Measuring SPS Performance: The Model Framework

8.22 In order to better understand the new value proposition, the stakeholder value of SPS services and the linkages to SG outcomes the Review Team has developed two prototype pieces of work. The first is a logic model developed in conjunction with SG JAS in order to improve understanding of SPS contributory outcomes in reducing reoffending. The second is an indicative and adapted ‘balanced scorecard’ that presents the value propositions and key resources that underpin successful delivery of SPS services.

8.23 The indicative scorecard developed is at Annex 15 and shows new areas that might demand measurement. The Review Team is clear, however, that if everything is a priority then, in real terms, nothing is. Therefore implementing the new Vision, Mission and Strategic Priorities should be the primary determinants of what should be measured and reflected in the scorecard for the organisation.

8.24 The scorecard as it stands is busy and complex. However, this reflects reality both in terms of the complexity of the SPS role as a public body and also in terms of the scale and diversity of its operational deliverables. The role of SPS is multi-faceted. SPS goals at times can be contradictory and the ultimate ambition ‘supporting human change’ lacks the straight line determinism of ‘input-process-output’ systems or production lines. Successful outcomes are difficult to capture, measure or evidence. So any measurement system will need to represent complexity in simple and proportionate ways. This will take time and research to get right. The approach reflected in the draft scorecard seeks to extend the thinking about what is organisationally important beyond the current suite of measures that are designed more for their measurability than their meaningfulness. Work will need to be taken forward in prioritising the key measures within the scorecard and in developing the model into a proportionate and practical tool.

8.25 The indicative model scorecard sets out the management information and measurement areas across four domains as described below.

Learning and Growth

8.26 Information and knowledge are the ‘lifeblood’ of the organisation. SPS is rich with data but due to variable data quality, system constraints and lack of technical ability information is often difficult to capture or to use meaningfully without significant cleaning and analysis. The scorecard begins to sketch out the critical components of corporate knowledge that will need to be captured and understood and where SPS should develop improved information and information sharing arrangements.

Core Processes

8.27 The scorecard defines four core processes that drive the new operating model for the service. There are two operational processes that relate to the custody and care functions and the human change and case management processes, which are critical to supporting prisoners to desist from offending. Another key process provides for governance and assures that SPS is delivering the things it says it will and the fourth domain, for the first time, provides recognition of knowledge and innovation as being mission critical components of a learning organisation whose core ambition is to support change in people. The Review Team believe that this is an important aspect of the work of SPS which has been a low priority in the past. Performance management is of course itself a key element of knowledge management and transfer.
Stakeholder Value
8.28 The scorecard offers a range of outcomes and areas for measurement that will be important in recognising the value delivered to SPS stakeholders and for transparency and reporting purposes. SPS should consider developing information across the range of these areas. Meeting stakeholder requirements is a key capability of any successful organisation.

Best Value and Financials
8.29 SPS is of course also required to meet the requirements of SG in terms of delivering value for money, efficiency and effectiveness. It also needs to meet and audit itself against the requirements of best value. SPS also needs to improve its measurement of allocative efficiency as the Report has already outlined. In the current fiscal climate maximising the benefit obtained from SPS spend will be very important for the delivery of a best value service.

8.30 The Review Team believes that a more balanced appreciation of performance is required and suggests that SPS develops this indicative scorecard model to create a measurement framework appropriate for both national and local recording.

POINT FOR ACTION

SPS develops the principles of the indicative Balanced Scorecard produced by the Review to produce a workable model which will provide a dashboard for improved performance management and an improved approach to measuring the value and outcomes of its services.

8.31 Analysis of the indicative scorecard suggests that the new SPS performance measurement framework needs to be capable of supporting information for different stakeholders and different purposes. The proposed framework is described below.

THE PROPOSED SPS PERFORMANCE FRAMEWORK

The Performance Triangle
8.32 The Review proposes that performance measures are required at 4 levels. Each of these levels should be capable of accommodating stretch targets for the organisation and for each establishment. Such targets should be developed and set through the planning, audit and continual improvement process.

8.33 The Framework can be diagrammatically represented as a ‘Performance Triangle’, illustrated in Figure 8.5.
8.34 The Performance Triangle provides guidance on both the nature of the measures and the principle stakeholders who will benefit from the information, though others will often be interested in performance at different levels too.

**Key Performance Indicators**

8.35 KPIs are set by Scottish Ministers and should reflect the contributory outcomes of SPS to delivering the Strategy for Justice in Scotland. The current set of measures has been challenged in terms of relevance and meaningfulness to the new SG Performance Framework. In order to support future thinking the Review Team conducted a Logic Modelling Exercise with various stakeholders, focusing on the outcomes and activities required of a future, offender-centred SPS that focuses on reducing reoffending and supporting people on a journey to positive citizenship.

8.36 The logic developed a range of long, medium and short-term contributory outcomes that emerge from the work of SPS (and its partners). These are areas where progress might be important to measure, though such measurement may not be simple. SPS has shared the logic models with the Scottish Government team developing the future performance framework for community justice. The Review Team is of a view that SPS should continue work with SG to ensure alignment of its contributory outcomes and KPIs with emerging justice proposals. In the interim SPS should develop ‘shadow measures’ so that SPS capacity to mine suitable data and produce information in a sustainable and proportionate way is tested and developed to better reflect ministerial interest and the policy benefits to SG. It is recognised that in some instances measures may still need to be ‘proxies’ for actual outcomes.
POINT FOR ACTION

SPS uses the logic modelling work completed to date to develop a shadow suite of contributory outcomes that will provide a test for more meaningful KPIs to be set for SPS and which will fit and align with the requirements of the RRP and the Strategy for Justice in Scotland.

A Balanced and Rich Picture Approach to Performance

8.37 The indicative scorecard suggests that there is a range of information that will be important to understanding the efficiency and effectiveness of SPS in delivering its outcomes. The draft scorecard should provide a richer picture of SPS performance than current approaches. Included in this information is specific reference to utilising the ‘Measuring Quality Prison Life’ (MQPL) tool. Use of this tool should allow SPS to develop a clearer view of best practice across prisons and to evidence the types of activities and regimes that are effective in unlocking potential and delivering improved outcomes.

RECOMMENDATION

SPS develops national and local scorecards that provide both knowledge and evidence of good practice as well as efficiency and effectiveness in contributing to reducing reoffending and delivering positive outcomes.

POINT FOR ACTION

The Recommendation for the new SPS Performance Measurement Framework looks to measure the overall quality of life of a people in custody. To do this the following tools/areas for measurement are recommended.

- MQPL self-assessments including engaging in appreciative inquiry methodology.
- Improved utilisation and analysis of prisoner surveys extending this to the entry and exit interviews of short-term repeat offenders.
- Correlation of prisoner needs identified versus needs fulfilled, the availability of services and the effectiveness of outcomes.
- Improved utilisation of prisoner complaints data and introduction of mechanism for a better understanding of the ‘user’s voice’. 
8.38 Stakeholders within SPS also suggested that there can be a lack of transparency and prioritisation around the quality standards that should apply across prisons in Scotland. Much of the required information is embedded in the Prison Resource Library (PRL) System. A good toolkit but one which can be cluttered and lacking in prioritisation. Standards tend to be measured by self-audit and internal audit against PRL Standards with more of a focus on process than quality.

8.39 The Review Team has concluded that the standards that Scottish prisons work to and the targets for improvement need to be clearer with improved standardisation of process and clarity about the quality of service. This has been a criticism of HMIP in the past. During initial discussion with HMIP the Review Team were advised that the Inspectorate were reviewing the standards by which they inspect prisons in Scotland. The Review Team believe that SPS should consider adapting or at least referencing HMIP Standards more clearly as one of the benchmarks against which Scottish prison standards are measured. Standards contained within PRL therefore should be rationalised in line with the new HMIP Standards once published. This approach will provide external validity to measurement will provide stretch targets across prisons and will carry the advantage of having read across to an independent body which is part of the National Preventative Mechanism. It would also provide assurance across areas likely to be addressed by the new prison monitoring arrangements, which will be introduced across Scotland, consequent to the Review of prison Visiting Committees. Such an arrangement will help to crystalise the key quality standards for the organisation, introduce challenge as a mechanism for improvement and provide stretch targets for continuous improvement purposes.

SPS considers the feasibility of adapting the new Standards being developed by HMCIP as the Benchmark for setting internal quality standards and improvement areas. Measures should take account of quality as well as compliance within SPS assurance processes.

The content of PRL are rationalised, focused and prioritised in line with new quality standards and the future management and housekeeping of the system should be improved.

Strategic Direction and Corporate Change

8.40 There is currently limited alignment between the Corporate Plan and the Delivery Plan at national and local levels. There is significant disconnect between local plans (where they exist) and a lack of explicit and direct contribution to the delivery of corporate objectives. The Review Team suggest that each establishment and Directorate should be able to show direct alignment between their outcomes, their activities and the delivery of SPS Strategic Priorities and, by extension, to SG Justice Strategy and outcomes.
8.41 In order to ensure that all establishments embark on their continuous improvement journey with a suitable sense of direction the Review Team has developed a simple process for measuring strategic contribution within each prison and suggest the development of a Strategic Compass and Strategic Radar Chart. This compass will measure the progress of prisons in delivering agreed strategic initiatives and be reset every three years in alignment with the Corporate Plan. Progress will be formally reviewed a minimum of six times during the planning period. Each of the steps aligned to the mission are sequential. Purely for illustrative purposes an indicative Strategic Compass is shown at Figure 8.6. A functional model will need to be fully developed.
<table>
<thead>
<tr>
<th>DELIVERING THE MISSION YEAR 1</th>
<th>CONTINUOUS IMPROVEMENT JOURNEY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EMBEDDING THE NEW VISION</strong> 1. IMPLEMENTING THE NEW OPERATING MODEL</td>
<td>&gt;50% of all staff are trained in the new vision, mission, operating task, strategic priorities and the new operating philosophy</td>
</tr>
<tr>
<td>2. INVESTING IN SPS PEOPLE AND THEIR PROFESSIONAL CAPABILITY TO LEAD, SUPPORT AND INSPIRE CHANGE</td>
<td>&gt;80% of all staff are trained in the new vision, mission, operating task, strategic priorities and the new operating philosophy</td>
</tr>
<tr>
<td><strong>DELIVERING EFFECTIVE AND EFFICIENT SERVICES</strong> 3. DELIVERING EFFECTIVE AND EFFICIENT CUSTODIAL AND THROUGHCARE SERVICES</td>
<td>Evidence exists that each establishment/function understands each of the processes that they are responsible for and the purpose of the processes</td>
</tr>
<tr>
<td>4. DEVELOPING A COLLABORATIVE OUTCOME FOCUS</td>
<td>Be able to list all partners currently working with your establishment function and the extent/nature of this relationship and the cost of service</td>
</tr>
<tr>
<td>5. PUTTING PEOPLE FIRST AND IMPLEMENTING A PERSON-CENTRED AND ASSET-BASED APPROACH THAT MATCHES RISKS &amp; NEEDS OF PRISONER POPULATION SEGMENTS</td>
<td>Compile a feasibility study as to whether these relationships should continue based on the evaluation of impact to desired outcomes</td>
</tr>
<tr>
<td><strong>DEVELOPING A COLLABORATIVE OUTCOME FOCUS</strong> 6. LISTEN TO THE VOICE OF USERS</td>
<td>&gt;25% of all prisoners have an individual plan that not only focuses on risks and needs but demonstrates strengths and potential</td>
</tr>
<tr>
<td><strong>BECOMING A LEARNING ORGANISATION</strong> 7. PROMOTING PUBLIC CONFIDENCE IN SPS AND THE WIDER JUSTICE STRATEGY THROUGH IMPROVED USE OF EVIDENCE, INFORMATION MANAGEMENT AND COMMUNICATIONS ABOUT PUBLIC VALUE</td>
<td>&gt;50% of all prisoners have an individual plan that not only focuses on risks and needs but demonstrates strengths and potential</td>
</tr>
<tr>
<td><strong>PROMOTING PUBLIC CONFIDENCE</strong></td>
<td>Establishments have a very clear view on prisoners’ complaints, trend analysis and focused action plans with key owners</td>
</tr>
</tbody>
</table>

Establishments have undertaken a full review of the prisoners’ survey and understand the key messages and have focused action plans with key owners |

Develop and hold a community open day that aims to explain to the local community the sense of our new vision, mission, operating task, strategic priorities and the new operating philosophy |
Strategic Radar Chart
8.42 Each establishment will be required to provide a narrative of their progressive, strategic journey based around the strategic compass. This can be incorporated into the establishments Improvement Plans and they will work to develop the steps on the Strategic Radar Chart illustrated at Figure 8.7. Progress on initiatives, activities and contribution will be reviewed every six months.

Figure 8.7: Illustrative Strategic Radar Chart

POINT FOR ACTION

SPS fully prototypes the Strategic Compass and Radar Model for tracking establishments contribution to the Corporate Plan and these are incorporated into relevant scorecard processes. These will form part of each establishment’s Improvement Plan.
Strategic Progress and the Continuous Improvement Cycle

8.43 The results of the scorecard, quarterly reviews, benchmarking against new quality standards, the establishment of best practice and the nudges in strategic direction are all part of the strategic progress and continuous improvement cycle. Innovation and knowledge transfer are also key elements of strategic leadership, and delivering operational excellence for SPS. In order to be effective in making informed strategic directional shifts; in influencing penal policy, and in developing organisational capability with a culture of continuous improvement, it is imperative that SPS understands the holistic rich picture of prison delivery. The rich picture is the collective depth and detail of information that SPS collects about the effectiveness of its business, its interaction with offenders, its care, its outcomes and its value to key stakeholders. This picture can be developed through the correlation of multimodal data, appreciative inquiry, and the use and interpretation of tacit and explicit knowledge. Better use of such knowledge will help SPS to select appropriate research projects and to engage where appropriate with Knowledge Transfer Partnerships (KTP) and to effectively data mine and extract information from data sets that will transform data into an understandable structure that builds the SPS knowledge base and improves practice.

8.44 SPS currently has limited investment in research and innovation. There is currently no clear, singular conduit for information gathering, data interrogation and analysis of current data sources, and only limited communication, dissemination and application of research. This will need to be reprioritised.

RECOMMENDATION

SPS develops a Research and Innovation function and analytical capability to drive continuous improvement. This will impact and inform the successful achievement of wider justice outcomes creating a broader, deeper bank of knowledge.

VALUE CREATION METHODOLOGY AND THE VIRTUOUS CIRCLE

8.45 Value creation is a primary aim of any organisation. Understanding where, how and why value is created within SPS can only be achieved by gaining a much better understanding through analysis and by acting on the results. This is a continuous improvement cycle that informs strategic leadership, planning, review and investment strategy. It is also a commonly understood model.

A Virtuous Circle for SPS – Plan, Do, Check and Act

8.46 The virtuous circle for building organisational excellence and value in SPS starts with the planning stage. To summarise the four key stages are:

PLAN: This process starts with the formation of the Corporate Plan and strategic vision that is agreed by the SPS Advisory Board and Scottish Ministers. The Plan sets out the direction, expectations and outlook for SPS over the next 1-3 years. This is then translated into an annual Delivery Plan. The plan is then communicated and implemented.
DO: Achievement of the plan is then measured in a two track process. The first is the financial management of the allocated budgets and the second is organisational performance. The performance of the organisation is measured in various ways to build the SPS evidence base and to measure both organisational efficiency and the effectiveness of planned outcomes and stretch goals. This allows SPS to take corrective action and to determine the need for further research or the commissioning of further work.

CHECK: The purpose of this stage is to perform explanatory research to show why relationships, patterns and links occur. Research may take the form of both quantitative and qualitative studies. Research may be highly focused or speculative and developmental, so that, SPS can understand future implications of potential new ways of working. Research will be carried out by internal analytical staff or as a commissioned piece of work as part of agreed knowledge transfer partnerships. Knowledge transfer partnerships are partnerships between SPS, academia and high calibre students. They provide a mechanism for staff development, organisational growth and practical challenge through accessing the knowledge and expertise available within UK Universities and Colleges. The SPS Corporate Challenge Unit will also provide audit and assurance that can provide rich information.

ACT: The resultant operational performance data and specific research is reviewed at regular business reviews and discussed with various ‘think tanks’ or agreed knowledge transfer forums and consultations. This may be to inform or influence penal policy through evidence led data or to effectively share a common vision and improve engagement with the public. The outcomes of these reviews will be evaluated by the SPS Advisory Board to determine if the strategic plan needs to be adapted or changed based on the latest evidence. These Stages provide a continual improvement cycle by which SPS can grow its value and performance. The model is diagrammatically represented at Figure 8.8.
Value is created by building the SPS corporate knowledge base, by sharing it and building best practice. This means SPS placing a significant emphasis on knowledge and evidence. Central to this is the development of Knowledge Transfer Partnerships.

DEVELOPING KNOWLEDGE TRANSFER PARTNERSHIPS

8.47 Knowledge Transfer Partnerships take advantage of the wide range of expertise and knowledge available in relevant universities. Organisational development can be enhanced by acquiring the knowledge and skills of high calibre graduates and their academic supervisors who can inject fresh ideas and actions into innovative developments. Knowledge partnerships are a way of seeding and supporting learning alliances and using the investment in careers of recently qualified people to further build up a skills and knowledge bank within Scotland.

RECOMMENDATION

SPS develops a collaborative strategy and programme for a Knowledge Transfer Partnership (KTP) with leading and relevant UK Universities and other research and analytical service providers.
Developing Knowledge Transfer Collaborations

8.48 The Review Team proposes the increased use of knowledge transfer collaborations or ‘think tanks’. The purpose of these collaborative think tanks is to review, assess and understand the evidence through collective intelligence with a view to taking positive action for change. These should take place at an SPS national level in the form of Quarterly Business Reviews including Governors in Charge and with the Director of Operations and other subject experts. These should be led by the Director of Strategy and Innovation. Other collaborative forums should also be initiated:

- To enhance transparency of the work of SPS and the understanding with wider stakeholders of SPS operational and organisational issues.
- To enhance evidence-led decision making with its partners and key stakeholders and to actively contribute to the advancement of penal policy in Scotland.
- To improve SPS contribution to outcomes through the use of best practice forums.
- To embed the SG Improvement Methodology and develop relevant ‘Collaborations’ to take forward critical whole system work with key partners.

POINT FOR ACTION

Develop a Strategy and Programme of knowledge collaborations with key stakeholders and work to impact positive change through positive articles, journals, podcasts and public engagement forums and ensuring alignment between all SPS performance management processes.

POINT FOR ACTION

SPS improves the overall capability of the organisation through the learning, development and expertise of its staff. In particular, it is recommended that:

- A refreshed personal Performance Management system is developed.
- SPS seeks via a communication strategy to increase positive attitudes about prisons and offenders.
- Activities and communications with services and families and offenders give a clear message in relation to expectations related to reducing reoffending.
- Measurement of new training achieved.
- Improved utilisation and analysis of staff surveys as they are pivotal to the overall outcome for offenders and the greatest asset in supporting positive citizenship.

8.49 In summary the SPS Performance Management Framework will be developed to lever significant improvement in both performance and knowledge management.
The new Performance management Framework will:

■ Define and agree a revised set of relevant National Key Performance Indicators that are outcome-based.

■ Strengthen accountability and transparency for the public and communities by demonstrating its public value.

■ Ensure its quality assurance assessments and quality standards measure the direct effects of day-to-day activities and broader processes and have a stronger focus on offender experiences.

■ Enable the development of joint outcome agreements and co-working with Local Authorities to provide better and timelier information and opportunities, where necessary to hold each other to account.

■ Promote the use of real time information in local establishment Performance management reports.

■ Deliver measures to provide bi-annual indication of direction of travel towards the SPS refreshed Mission that assesses the progress of each local establishment.

■ Introduce balanced scorecards that will realise new key performance indicators, and provide rich picture data for each establishment and the complete performance of SPS.

■ Develop a system that provides a timely response to poor performance and enables coordinated action where poor performance threatens delivery.

■ Embed the coordination of the local establishment Improvement Plans building the capability of staff and to use tools and techniques to improve business performance.

■ Create direct links between new SPS Performance Framework and the Personal Performance Management System.

■ Utilise the SG Improvement Framework to build impactful ‘Collaboratives’ that focus on significant changes in key outcome areas.
SECTION 9: DELIVERING THE TRANSFORMATION

DEVELOPING THE CHANGE MODEL

The Challenge of Change

9.1 The Review Recommendations set out an ambitious and challenging change agenda. The changes will deliver a new Vision, Mission and Strategic Priorities and will provide the direction and impetus for taking forward the transformational changes required to refresh, reconnect and reform SPS.

9.2 The Recommendations in Summary:

- Improve strategic leadership and connection to the Strategy for Justice in Scotland;
- Focus its efforts on outcomes that matter;
- Shift resources and culture toward those activities that prevent reoffending;
- Integrate its services with other public sector and not-for-profit organisations who share similar goals;
- Invest substantially in its people to ensure they have the professional tools and skills required to deliver its aims; and
- Focus on improving its service delivery through knowledge transfer, innovation in policy, practice and use of technology.

9.3 The scope and scale of the changes across the organisation will be unprecedented. Achieving its goals will mean not just changing the hard artefacts of the SPS organisation such as systems and structures but also the ‘softer’ aspects that shape the underpinning culture of such as values, skill base and style of management and delivery.

9.4 This will require drive, determination and careful management of the change projects that will form the change management portfolio. In order to achieve successful delivery of outcomes SPS will need to create the right environment for change, have the right people to champion the change and put in place the right control and governance structures to plan and drive change. SPS, however, is not rich in the capabilities to drive or coordinate a change programme of the scale envisaged nor does it have a developed cadre of project managers that will be experienced to support the programme going forward.

RECOMMENDATION

SPS employs or develops a suitable Change Manager who will lead the Change Management Unit and provide the drive and programme management support to underpin the delivery of a diverse programme of change over the next three years. This unit should include a team of competent and capable project managers who will provide the right knowledge and support to the delivery of individual projects and the programme as a whole.
Underpinning Benefits of the Change Model

9.5 The Review Team has used the ‘3-step Improvement Framework for Scotland’s Public Services’ to guide its early thinking and believe it provides a useful model for positioning the portfolio of work. The Review Team also suggest that the broad principles of Cabinet Office Guidance on Portfolio, Programme and Project Office (P3O) provides a helpful framework for structuring and controlling change management within SPS. Whilst the detailed structures may be established to a different model by the Change Manager the principles of P3O model are generally applicable to all scales and types of change control.

Three Step Improvement Framework

9.6 The three step improvement framework provides a helpful model for considering the levels, stages and activity required by large scale organisational change. Figure 9.1 provides a diagrammatic representation of the model.

Figure 9.1: Three Step Improvement Framework adapted for SPS

9.7 The 3 levels of the model suggest that implementing a shared strategic vision about the nature of the service and its boundaries should be the first step in developing a game-changing transformation. The Review Report provides that platform. The next step will be to review the rules, authorities and the values that drive the prevailing organisational culture and to ‘redefine the rules’ of the game. The Review provides the broad narrative for challenging the existing culture and practice and makes recommendations that, when enacted, will commence the shift to the desired organisational position. The final step will be to implement the strategies and redefine the levels of operational, skill, performance and efficiency to deliver the organisation’s strategic goals. The remainder of this section sets out the proposed mechanisms for making the improvements.

9.8 The Review Team has tested SPS readiness for change against six questions provided by the 3 Step Improvement Framework. These are at Figure 9.2.
### Figure 9.2: Six Fundamental Questions Assessing Readiness for Change

<table>
<thead>
<tr>
<th>1. AIM</th>
<th>2. CORRECT CHANGES</th>
<th>3. CHANGE METHOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there an agreed aim that is understood by everybody in the Organisation?</td>
<td>Have we identified the right changes and priorities those that are likely to have the greatest impact?</td>
<td>Is there a clear change method?</td>
</tr>
<tr>
<td>The Review has suggested a new Vision, Mission and set of Strategic Objectives for SPS.</td>
<td>The Review has consulted widely and provided a range of reasoned options for change.</td>
<td>The Review has suggested the establishment of a Change Management Board and that a Change Manager should be recruited to oversee the programme.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. MEASUREMENT</th>
<th>5. CAPACITY AND CAPABILITY</th>
<th>6. SHARED PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Can we measure and report progress?</td>
<td>Are our resources deployed in the best way to improve performance?</td>
<td>Have we set our plans for innovation, testing and implementing change?</td>
</tr>
<tr>
<td>The Review has provided a range of changes to the way we currently measure and evaluate our activity and performance.</td>
<td>The Board restructure will take place in late 2013 and arrangements will be further developed during 2014. Implementing specific recommendations will further increase organisational capacity and capability.</td>
<td>The Review is only the starting point in a lengthy process that may go on for several years and will develop over time. SPS is developing a Road Map for change that will be embedded in the Corporate Plan.</td>
</tr>
</tbody>
</table>
THE CHANGE JOURNEY: A THREE STEP MODEL

Step 1 – Seven Points to ‘Change the World’

9.9 There are seven points of good practice that tend to be found in successful change programmes. The summary below contextualises these in line with the work of the review to date.

- **A vision** – Capable of setting the scene and able to serve as a constant reference and anchor point as the change moves forward. With the agreement of the Chief Executive, the SPS Board and TUS the new Vision and Mission and strategic direction for SPS for the next 3-5 years has been set.

- **A story** – An explanation of where SPS has come from and where it wishes to go. The report sets out both the evolution of the SPS current position and a compelling rationale for future change.

- **A set of actions** – The report makes a series of detailed Recommendations for change and improvement in SPS will be considered, shaped and agreed with the Chief Executive as the plan and Road Map for its future direction.

- **A clear framework for improvement** – The SPS Advisory Board has agreed on the process for controlling and managing change via the creation of a Corporate Change Unit and a Corporate Challenge Unit. The Review report suggests the establishment of a Transformational Programme Board to control the innovation and improvement process.

- **A strategy to engage and empower the workforce** – The Review Team consulted widely with the TUS and will continue to do so. It is a cornerstone of the Review that staff are engaged throughout the full change process. Enhancing the skills of the workforce is paramount to achieving its aims. SPS will look for Change Champions from across the organisation to help it through the journey.

- **An understanding of how the change will work locally (everywhere)** – Each Directorate and establishment will have their own needs and priorities. Each will have significant opportunities to champion change at a local level. Each will plan and contribute to delivering SPS strategy.

- **A guiding coalition** – A body of expertise methods and staff that can help to authorise, guide and manage the change process and feedback about what is going well or where flexibility is required to adapt to new demands. SPS plans to utilise a network of change champions and advocates across all levels of SPS to support the work of the Change Manager and Transformational Programme Board.

Step 2 – Creating the Conditions for Change

9.10 The future direction and the need for change in SPS has been well heralded both in the speeches made by the Chief Executive and by the actions and activities of the Review Team. This has created a clear sense of urgency and expectation about the need for and nature of change required across both SPS and wider stakeholders. The Review is creating a unified vision for change that will need to be communicated and delivered. The topic of the importance of communication is picked up in Section 10 of the Report.

9.11 The Review has created an environment which is recognising the need for improvement. This will be further driven by empowering and engaging local project leaders and other change champions with the tools and techniques that will deliver SPS key messages and its collective goals.
Step 3 – Making the Improvements

9.12 The Review Report has used simple models for delivering improvements such as the Plan, Do, Check and Act methodology. There are other variations on this simple feedback loop but essentially they are similar in delivery and all seek to create a virtuous circle of improvement. Figure 9.3 provides a simple but effective structure for ensuring that the change programme within SPS is controlled and that the right objectives are delivered in the right order.

Figure 9.3: A Simple Change Control Model

Correct any significant differences between actual and planned results once the root cause of the variation is known.

Establish the objectives and processes necessary to deliver results in accordance with SPS targets and goals. Start on a small scale to test possible effects.

Study the actual results measured and collected in ‘DO’ and compare against the expected results.

Implement the plan, execute the process, make the product. Collect data for charting and analysis in the following ‘CHECK’ and ‘ACT’ steps.

9.13 Of course there is more to change than this simple model would suggest. The changes will need to be fully anchored in SPS corporate culture. This means ensuring buy-in; committing to the change programme; reflecting changes in the way things are done; ensuring people and performance management strategies meet SPS needs and ensuring that SPS has succession planning for the change management roles in the future. The Review also recommends changes that will provide platforms for anchoring the change process in the everyday activities of SPS. However, it is clear that change on the magnitude envisaged by the Review will need robust governance and structure to coordinate planned change actions.
9.14 In accepting the Recommendations of the report the Chief Executive will commit SPS to the delivery of a Change Portfolio requiring an extensive period of complex and potentially difficult organisational change. Controlling the change process and providing effective portfolio management and structure across the range of necessary integrated programmes and projects will require the creation of a dedicated Portfolio Management Office.

Building SPS Programme Management Capacity and Capability

9.15 To date SPS has operated a variety of dedicated and ad hoc project management groups, which have utilised a variety of operating structures, standards and governance arrangements that, generally, are based upon a scaled PRINCE 2 control model. These current arrangements have meant that inter-project learning has been limited and has not always allowed the potential wealth of knowledge developed in these projects to be captured and reused nor the development of deep exposure in the management of projects or change.

9.16 Figure 9.4 summarises some of the issues raised about SPS change capacity during the Review and suggest some ways that project management can be improved through the establishment of a common Portfolio, Programme and Project control structure.
### Figure 9.4: SPS Capacity for Change

<table>
<thead>
<tr>
<th>Current capability of SPS to manage major transformational change projects</th>
<th>Proposed future capability based upon via establishment of a Corporate Portfolio Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is no common approach to managing programmes across individual Directorates or the organisation as a whole and there is a wide range of project management skills and controls in place.</td>
<td>Programme management standards are tailored at corporate level to ensure consistency and leading to appropriate application of best practice and greater programme control.</td>
</tr>
<tr>
<td>There is a lack of understanding of the differences between projects and programmes and the benefits of improving the coordination of project activity relating to change management programmes.</td>
<td>Roles and responsibilities within the programme are well defined, understood and communicated.</td>
</tr>
<tr>
<td>The culture is currently project-centric; SPS seeks to deliver specific objectives and sometimes fails to look for wider benefits through closer coordination of activities.</td>
<td>The culture becomes both outcome and benefits-centric, ensuring that projects deliver outputs that will enable a wide range of benefits to be achieved.</td>
</tr>
<tr>
<td>There is no internal training Road Map for individuals to develop and sustain project management skills.</td>
<td>Training development plans exist to enable individuals to develop their programme management capability. Project and programme management should be considered to be appropriate career goals.</td>
</tr>
<tr>
<td>There is limited ability at department or organisation-wide picture of progress to be established and measured against the corporate plan to ensure that SPS makes best use of its financial resources.</td>
<td>Overview of progress and delivery against plan can be monitored effectively across the whole range of projects underway and sound financial judgements made on likely benefits.</td>
</tr>
<tr>
<td>Limited ability for learning of lessons – the same issues is experienced time and time again by new projects and programmes.</td>
<td>The development of a robust Knowledge Management library should ensure improved project planning and implementation and that mistakes are not repeated.</td>
</tr>
<tr>
<td>Limited review of project delivery and compliance with project management standards for most projects. Some large projects have undertaken formal Gateway reviews but this is not the norm for all.</td>
<td>Assurance and review of project delivery and compliance with project management standards set by the Corporate Challenge Unit (CCU).</td>
</tr>
<tr>
<td>Risks are usually managed at a project level with limited mechanisms are currently in place to review risks at a portfolio level out with the corporate risk register. Given the scale of the change portfolio a separate risk management structure will be required.</td>
<td>The CCU can monitor and evaluate the aggregate level of portfolio risk and provide guidance which allows for an appropriate level of risk-taking.</td>
</tr>
</tbody>
</table>
THE FUNCTION OF THE CORPORATE CHANGE UNIT

9.17 In managing large corporate level change issues, organisations have found that it is helpful to create an overarching portfolio and project governance framework and establish a Portfolio Office, which has sole responsibility for the monitoring and evaluation of the wide range of change activities underway within the organisation at any one time. SPS will also find this methodology helpful. This Portfolio Office function will be the SPS Corporate Change Unit.

9.18 Detailed guidance on the functions of Portfolio Offices methodology is available from Cabinet Office Major Projects Authority. It is envisaged that the Portfolio Office will oversee much of the high level planning and coordination for the Change Portfolio, however, overall authority for the change portfolio will remain with the Chief Executive as Senior Responsible Owner. The Chief Executive will be supported by a Transformational Programme Board, which will operate as a guiding coalition that will provide advice and oversight of the change portfolio. The role of the Transformational Programme Board is explored in detail later. Managing the change programme within a Portfolio framework offers specific advantages:

■ Provision of a central innovation gateway through which all corporate investment decisions can be measured against the corporate plan;
■ Development of a centre of excellence for project management and expertise within SPS which has, to date, been lacking;
■ Tracking of projects cost against budgets;
■ Clear outcomes and benefit realisations targets derived from the Corporate Plan;
■ Management of high level risks can be set at the appropriate level within the organisation;
■ Clear accountability framework;
■ Issues that cut across several Directorates or establishments or which require the development of national policy can be appropriately assigned and managed; and
■ Addresses the need to separate the on-going, day-to-day business of SPS from the transformational process to avoid the inherent tensions that arise from simultaneously running and changing an organisation.

9.19 Changing any business can create internal tensions between the operational activity that must continue and the change activity that introduces new process and direction into the organisation. These tensions derive from a variety of sources but are mainly related to the timing, pace and direction of change required and the ability of any management structure to deliver change whilst simultaneously managing an on-going business activity. Accordingly SPS should structure the Change Programme in such a way that the Change Management function is separate from the day-to-day business but which derives value from the cycle of innovation shown in Figure 9.5.

33 Portfolio, Programme and Project Offices (P3O) http://www.p3o-officialsite.com/
Figure 9.5: The Cycle of Innovation: Transformation and Business as Usual

Increased performance derived from our changing operating model.
Change that enhances the business.

RUN THE BUSINESS

CHANGE THE BUSINESS (TRANSFORMATION)

Opportunities coming from the operational business that can be exploited to enhance change.

RECOMMENDATION

A Transformational Programme Board, set aside from the day-to-day activities of SPS, is established to supervise and authorise the activities of the Change Programme and transformational portfolio.

Developing a Delivery Road Map

9.20 In order to take this programme of work forward SPS is already in the process of recruiting a Change Manager and has a suitable Project Manager in place. The next steps for the Change Manager will be to:

- Define the governance framework;
- Build the infrastructure to support the framework;
- Set up the Corporate Change Unit;
- Set up the tools to support portfolio management and project governance;
- Set up a Portfolio Governance Framework; and
- Develop the Road Map that will inform both the Corporate Plan and the future programme of activity of SPS.
Setting Up The Governance Framework

9.21 Whilst strong mechanisms exist to run SPS day-to-day business it will need separate transformational governance and control structures to robustly support business change. This proposed governance structure is shown at Figure 9.5. The structure will:

- Establish a guiding coalition in the form of a Transformational Programme Board;
- The Transformational Programme Board should stand apart from the day-to-day activities of SPS and concentrate solely upon delivering improvements at a Strategic level, controlling change at the organisational level and ensuring that appropriate change management structures are in place to assure delivery at operational level;
- The Transformational Programme Board will take responsibility and be accountable for the selection, prioritisation and authorisation of all change programmes and projects;
- The Transformational Programme Board will be chaired by the Change Manager;
- The Change Manager, supported by the head of the Corporate Change Unit (CChU) should act as Portfolio Lead and support the SRO and Transformational Programme Board;
- The Change Manager will attend the monthly SPS Advisory board to provide an update on Programme Progress and escalate any concerns that may be addressed by that group;
- The Change Manager and the Programme Manager will provide a quarterly update with which to brief the Chief Executive prior to his attendance at the Audit Committee;
- The CChU will require to be sufficiently resourced to act as the corporate Portfolio planner and to control the entire portfolio of activities in play throughout the organisation (NB this does not mean that the CChU will deliver all these changes but it must be sufficiently resourced to coordinate and advise on change programmes and projects delivered at the activity level of SPS);
- The CChU will provide a secretariat function ensuring due diligence is observed through the provision of Transformational Programme Board meeting information packs, agendas, action logs and minutes;
- The Executive Directors, as senior change agents within the three Directorates, should be responsible to the Board and SRO for delivery of change; and
- Use should be made of the Gateway Review Process to provide the SRO and Transformational Programme Board with an independent assessment of progress, risks and external issues that may affect the outcome of the change portfolio.
The Role of the Project Control Board

9.22 Each Project will hold a fortnightly Project Control Board (PCB) meeting. The PCB will consist of the Programme Manager, The Project Manager, Workstream Leads, and the relevant Key Stakeholder group. The PCB provides scrutiny of each project’s progress and provides the necessary escalation path for delays or resource issues. This Board tactically tracks:
- Progress against project milestones;
- Risk and issue management;
- Action Log.

The Role of the Transformational Programme Board

9.23 The Transformational Programme Board (TPB) will meet monthly. Attending will be the Change Manager, the Programme Manager, the Corporate Challenge Unit and the Executive Directors or their delegates. The TPB is a decision making forum, providing guidance and assurance to the programme. The board’s strategic responsibilities are:
- Track progress against programme level milestones;
- Oversee risk, issue, assumption and dependency management;
- Ensure a consistent approach taken to evaluation of all parts of the portfolio;
- Provide a mechanism to ensure good concepts are captured and nurtured and concepts that have little chance of success are terminated or restructured;
- Offer an appropriate control over the resources of the service to ensure that SPS does not overstretch its ability to deliver successfully.
The Change Manager develops full Terms of Reference for the effective operation of the Transformational Programme Board and to ensure its fit with the overall governance structure for SPS.

In addition to the oversight of the Transformational Programme Board the Review recommends that full use of the Gateway Review Process is made as a form of external programme assurance to the SRO and Transformational Programme Board.

THE ROLE OF THE CORPORATE CHANGE UNIT

9.24 Constructing the Corporate Change Unit to act in the capacity as portfolio management office offers SPS structure, governance, functions and services required for defining a balanced portfolio of change and ensuring consistent delivery of programmes and projects across SPS. How the unit will be formally structured will be decided in the near future by the SRO and the Corporate Change Manager, once selected.

9.25 The suggested structure for the Corporate Change Unit is proposed below in terms of planned functions and activities. This structure should:

- Ensure that the planned portfolio of change is realised and SPS is supported in delivering projects on a major scale;
- Assure effective delivery by providing specialist Programme and Project Managers;
- Provide a single structure to coordinate and manage the large volume of changes across core operational functions;
- Offer a structure to manage project support resources and capacity to support Project Managers;
- Consolidate specialist project resources for the transformational change process to ensure best value and sharing of good practice;
- Provide assurance on Project Delivery and Risk and Issues Management; and
- Fulfil a librarian function in the storage of plans, reports, budgets and presentations with version control that will facilitate audit compliance.
Figure 9.7: Functional Model of Corporate Change Unit

The Corporate Change Unit is suitably resourced to deliver its activities. The necessary resources are identified and agreed as a matter of priority.

- **Decision Management**
  - Owns Investment Strategy
  - Supports project owners in appraising individual projects and programmes
  - Reviews all programmes and projects to ensure alignment with overall strategy

- **Performance Management**
  - Assesses costs and benefits and risks of all portfolio activities
  - Supports decision making by the Transformational Board
  - Challenges all investment decisions within the Portfolio
  - Verifies input and outputs

- **Portfolio Reporting**
  - Owns the Portfolio database and plan
  - Manages CCU SharePoint site
  - Provides core reports to CCM/SRO and Board
  - Ensures that status reports from individual programs and projects are reviewed and evaluated

- **Project Support**
  - Provides project management and analytical support and expertise
  - Maintains sufficient resources to meet portfolio needs
  - Develops project manager capacity and skills

- **Change Request Management**
  - Owns the change management and control process for the portfolio
  - Manages and prioritises all changes in the portfolio
  - Supports individual programmes and project change management structures and controls

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POINT FOR ACTION

The Corporate Change Unit is suitably resourced to deliver its activities. The necessary resources are identified and agreed as a matter of priority.
**Challenge and Change: The Road to Success**

9.26 SPS has never embarked on such a radical programme of change and cultural transformation. This will present challenges and risks that will need to be managed and mitigated. Early work should be taken forward to extend the Review’s Risk and Issues log in line with the developing Road Map for change. Leadership, programme management and governance will be critical to the success of the change programme. Communicating a clear understanding of the need for change and engaging with all its stakeholders will be mission critical to SPS ambitions. It is to the Communications requirements that the Review now turns in the concluding section.
SECTION 10: COMMUNICATION

10.1 The Review and the refresh of its Vision, Mission and Values will require an effective communication process to ensure that key messages are delivered to stakeholders both internally and externally. As part of the review process a number of workshops were held which allowed a discussion of the key communication issues facing the organisation and aided in the identification of its key internal and external stakeholders.

10.2 Key Stakeholders identified are as follows:

<table>
<thead>
<tr>
<th>Internal Stakeholders</th>
<th>External Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governors in Charge</td>
<td>Scottish Government</td>
</tr>
<tr>
<td>Senior Managers at HQ</td>
<td>Police</td>
</tr>
<tr>
<td>Trade Unions</td>
<td>Courts</td>
</tr>
<tr>
<td>Staff</td>
<td>COSLA</td>
</tr>
<tr>
<td>Prisoners</td>
<td>Crown Office</td>
</tr>
<tr>
<td>Internal Partners (PBSW, NHS, Education)</td>
<td>ADSW</td>
</tr>
<tr>
<td>Private Prisons</td>
<td>CJA</td>
</tr>
<tr>
<td>Escort Provider</td>
<td>Law Society/Euro Parliament</td>
</tr>
<tr>
<td>Board</td>
<td>Public/Media</td>
</tr>
<tr>
<td>New Recruits</td>
<td>Third Sector (APEX, Families Outside), etc.</td>
</tr>
<tr>
<td></td>
<td>Victims</td>
</tr>
<tr>
<td></td>
<td>Future Workforce and Partners</td>
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<tr>
<td></td>
<td>Academia</td>
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<tr>
<td></td>
<td>Politics – Cab Sec, DG, Justice Committee</td>
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<td></td>
<td>HMCIP and SPSO</td>
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<td>Justice Board</td>
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<td></td>
<td>Faith Communities</td>
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<td></td>
<td>Industry and Employers</td>
</tr>
</tbody>
</table>

Communication Channels

10.3 SPS already employs a number of communication channels including face-to-face staff briefings, magazines, staff bulletins, email, intranet, SharePoint, etc. As part of the review process SPS has taken steps to improve its current communication channels, and undertaken a refresh of its brand. It is also revamping the organisation’s website, as well as having launched a corporate intranet allowing two-way communication between staff groups and the centre.

Communication Strategy

10.4 The key to successful communications will be the evolution of an effective Communications Strategy and Plan. The Strategy will outline the key messages to be delivered as an outcome of the Review and refresh of the SPS Vision, Mission and Values. The Communication Plan will establish a timeline and milestones for key communication activity over the next two years to ensure the embedding of cultural change and the articulation of the Vision, Mission and Values. The Communication Plan will indicate the target audiences for these messages and communication channels.
Key Themes
10.5 The key themes for communication include:
- The need for greater connectivity with SG and the National Performance Framework;
- SPS as part of a bigger picture, the need to involve others in order to achieve the outcomes it desires;
- The need for effective partnership working, with statutory and third sector partners and the families of those in SPS care;
- The shift from outputs to outcomes;
- An asset-based approach that is offender-centred; and
- Professionalisation of the role of Prison Officer, linked to the new people strategy.

Communication Objectives
10.6 Although closely interlinked the communication objectives can be broadly categorised under these main themes:
- Ensuring effective communication of the Review and the launch of the New Vision;
- Implementation of the refresh of the SPS brand identity;
- Ensuring a clear understanding both internally and externally of the asset-based approach;
- Communication of the change journey, its key milestones and markers to staff, partner agencies and stakeholders; and
- Communication of the new People Strategy.

Communication Channels
10.7 Each of these areas will require the creation of a variety of different products and the use of a variety of different channels.
- Printed materials;
- Web/Intranet materials;
- Audio visual; and
- New Media, etc.

Material will be required to support management briefing of staff, public information, stakeholder engagement and the creation of buy in from partners across the justice family.

THE ROAD MAP TO CHANGE

Launching the Review
10.8 The launch of the Review and Vision, Mission and Values refresh will take place at the SPS National Conference on 18/19 November 2013. At that event a variety of materials will be available to support the communication of the Review outcomes and the new Vision, including:
- A Summary Document;
- A statement of Vision and Values, and
- The final draft Review Report will be published on the intranet.

These materials will form the basis of briefing to be rolled out across the estate. The further briefing and communication will be supported centrally and materials will be produced as required.
Continuing Communication: Internal

10.9 SPS has established a new intranet which will allow interactive communications with staff and an area has been dedicated to the new Vision which will be further populated with the material produced for the launch.

10.10 As SPS moves forward into the future it recognises the need to provide material for managers and leaders within the organisation to clearly communicate the new SPS organisational objectives and to help us develop credible measurements of outcomes it is able to achieve with those in SPS care.

10.11 SPS also recognises the need to ensure that it celebrates stories of success and articulate that success, both what it means for those in its care and the staff who work for it.

10.12 Clear and proper communication of the People Strategy will be an essential part of the journey forward. SPS will work with colleagues in HR to develop materials to support the role out of this strategy.

10.13 The communication process must also reflect and mirror the kind of behaviours SPS is hoping to see within the organisation as it moves forward. Working with colleagues in HR to clearly explain the people strategy and to encourage staff to engage with that strategy and with the wider corporate aims of the organisation will be an important objective for the overall communication process.

Continuing Communication: External

10.14 ■ SPS has commissioned a revamp of its website to provide more targeted information for external partners and stakeholders.
 ■ A particular focus of this revamp will be the provision of a ‘family zone’ for those affected by imprisonment.
 ■ SPS will develop a range of materials that will be easily accessible, written in clear and plain English, to explain the new Vision of the service and encourage others to play a part.
 ■ These materials will be provided in a range of formats to meet the needs of divergent audiences.
 ■ SPS will ensure that the approaches it takes are properly impact assessed in terms of equality and diversity.
 ■ In addition, SPS will continue to develop joint approaches with partner agencies in both the statutory and voluntary sectors to promote the SPS Vision and Values.

Assessment

10.15 SPS will put in place mechanisms to assess the effectiveness of its communication processes to ensure that it has effectively communicated its Key messages. SPS will support the embedding of these messages by the provision of support material as required.
**Actions**

10.16 Following the launch of the Review Report a detailed communication plan and timeline will be developed in conjunction with the Change Management Unit. This plan will identify:
- Key messages;
- Key milestones;
- Stakeholder engagement;
- Products to support the process; and
- What we all need to do to help the change.

**Taking Change Forward**

10.17 The Report sets out challenging and ambitious Recommendations. Change is necessary to keep SPS fresh and ready to meet the new demands of justice. We know that many of the proposals will already have the support of our staff and will meet our shared aspiration to make a real difference to the lives of people in Scotland. It also recognises that SPS will face other pressures in the future, however, it needs to be bold in its vision to help provide solutions.

10.18 We recognise that change can be a difficult process and that people react in different ways when faced with the challenges that change can bring. One of our priorities will be to support staff on this journey.

10.19 SPS staff will be required to embrace change and it will be important that leaders at all levels reflect the new professional behaviours and values all of their actions. This will help embed a new culture within SPS over time.

10.20 Professional behaviours to support change include:
- Improved communications at all levels of the organisation;
- All staff taking personal responsibility for their personal development to support change;
- All staff taking personal responsibility by maximising the use of SPS resources; and
- All staff contributing to ideas to improve our Service.

**HOW WILL WE SUPPORT YOU TO LEAD CHANGE?**

- We will keep you informed on a regular basis, so you understand what is happening, when and why.
- We will be clear about our expectations of you in supporting the redesign of SPS.
- We will listen to your feedback and concerns, value and encourage your input and ideas to help improve SPS.
- We will support leaders at all levels in leading through the change and working through the impacts of change.
- We will invest in staff to make sure that they are equipped to take an active role in developing the organisation.
- We will work in partnership to deliver our shared ambitions.
When will we be able to tell you more?
This is a living document, as we progress through this wide-ranging change, we will produce subsequent versions which will be issued at key milestones.

What are the next steps?
- We will be providing follow up roadshows during December 2013 – January 2014.
- We will develop a prioritised Road Map by March 2014.
- We will publish a revised Corporate Plan for 2014-2017 in April 2014.
- We will publish our annual Delivery Plan for 2014 in April 2014.
Project Title: Strategic Refresh and Organisational Review of SPS

Background
1. The SPS Corporate Plan for 2012 to 2015 identifies a number of key priorities including the requirement that SPS develops its organisation and people to deliver it, stating that:

“We will ensure that we have the capacity, capability, roles and structures to deliver and sustain positive improvements in reducing reoffending, protecting the public and delivering a best value service.”

2. The plan also emphasises the need for SPS to build robust and progressive partnerships that deliver agreed justice priorities and outcomes at local and national levels.

3. The horizon scan provided by the Corporate Plan provides a basis for developing a refreshed vision and a new era for SPS characterised by recharged relationships with the justice community, improved delivery of justice outcomes and an efficient and effective future-enabled service.

4. In July 2012, the Chief Executive announced: “a high level Review and realignment of SPS Vision, Values and Core Business, which will deliver improved policy integration with the Learning and Justice Family, enhanced communication and cooperation with key stakeholders and refreshed roles and responsibilities at SPS Board level.”

Context of the Review
5. SPS operates within a rapidly changing environment. Environmental factors include potential constitutional change, constrained public spending, the need to both achieve more with less and to ensure the effectiveness of our services. There is already significant reform across wider justice structures and a newly published Strategy for Justice in Scotland with very clear aims, objectives, vision and principles. These developments are transforming our operating environment, however, reform goes beyond effectively used resources, it is about effective delivery of national outcomes. Scottish Government has placed a renewed focus on outcome-based accountability and governance, extending and deepening local partnerships, delivering an improved and more effective performance. These factors will require SPS to be flexible, agile and forward facing with the capability to respond quickly to emerging demands as the programme of wider changes moves forward.

6. SPS has a key role to play in the strategic change programme being delivered across justice in Scotland.

7. The organisation has a successful track record of delivery, but it cannot stand still in the face of new demands or in taking on new opportunities that build on its success. As a starting point this means SPS needs to reshape its organisation and to ensure it is structured to support the demands of the new era. It has been nearly two decades since SPS conducted a fundamental Review of the efficiency and effectiveness of its organisation.
8. Launching the SPS Vision of a future-enabled service will require a Review and Refresh of the alignment between strategic and operational business at the top of the SPS organisation and the implementation of an efficient Headquarters (HQ) structure that is capable of supporting business delivery, contributing to wider policy development and directing the necessary programme of change.

9. The need for a Review of HQ Directorate structures with a redistribution of HQ responsibilities is both recognised and overdue. In recent years, the dissolution of Corporate Services Directorate in 2010, the reorganisation of Health and Care Directorate in 2012 and further personnel changes in the SPS Executive Group have made a Review of the organisation not only timely but necessary.

10. This document provides the Terms of Reference for reviewing the organisation of SPS. The Terms of Reference provide guidance for the conduct of the Review in respect of context, scope method, deliverables, timeframes and interfaces.

**Purpose of the Organisational Review**

11. The purpose of the Review is to undertake a Refresh of the Vision, Mission, Operating Philosophies, Principles and Business Strategy of SPS and in light of these requirements to review the organisation of SPS above establishment level. It will make Recommendations to the Chief Executive on the revised, roles, structure and responsibilities of the SPS Board and Executive Group to take forward new business demands and a refreshed Framework Document.

12. This Review will include a broader, forward looking assessment of proposed changes to the current personnel, organisational structure and management arrangements at SPS Directorate/HQ level and associate functions. This will ensure clarity in relation to accountabilities, responsibility and governance, connectedness to justice policy, efficient brigading of work and effective decision making.

13. The Review will also provide an assessment of the wider implications for the organisation and a Road Map of Recommendations for the programme of change, which will be necessary to ensure organisational capacity and capability to support and deliver the new Vision and to meet new demands, within foreseeable resources.

**Scope of the Review**

14. This Review is internally focused, but will complement wider work across Scottish Government and the delivery of ‘The Safer Scotland’ agenda. In particular, the Review will ensure organisational fit with both the Strategy for Justice in Scotland and the Justice Change Portfolio, including the Reducing Reoffending, Building Safer Communities, Reassuring the Public, Making Justice Work programmes and other Government approaches. A key consideration of the Review will be to clarify the relationship between the policy and delivery elements of SPS work and to refresh SPS connections with justice, and wider Scottish Government and the communities’ we serve. The Review will also transform our approach to working with Community Justice, Health, third sector and wider agencies service providers to deliver better outcomes.
15. The Review will be underpinned by the 4 strategic principles outlined in the Scottish Government response to the Christie Commission:

- A decisive shift towards preventative spending;
- Greater integration of public services at a local level driven by better partnership, collaboration and effective local delivery;
- Greater investment in the people who deliver services through enhanced workforce development and effective leadership; and
- A focus on improving performance, through greater transparency, innovation and use of digital technology.

16. The scope of the Review will therefore include Recommendations on the efficient organisation and structure of SPS above establishment level in regard to:

- Vision, Mission, Policy, Strategy and Operating Philosophy – development and alignment;
- Governance and accountability – the role of the Board and Senior management;
- Business support services and infrastructure;
- Definition and management of SPS core business operations;
- HR and organisational development; and
- Effective leadership and partnerships across sectors.

17. The Review will also pay due regard in its findings to:

- SPS connectedness into the wider SG purpose, expectations and outcomes;
- On-going work by government to reshape the Senior Civil Service;
- The imperatives and ambitions of the Business Strategy for Scottish Government;
- Supporting the aspirations of the SG People Strategy;
- The design assumptions and principles of Workforce 2015;
- Any benefits to be derived from shared service opportunities and the work of the SG Strategic Corporate Services Board;
- Potential benefits to be derived from Scotland’s Digital Strategy;
- SPS fit with the ‘SG Workplace of the Future Programme’, interfacing with Project 3 of the SPS change programme on the future location of SPS HQ; and
- Delivering agreed priorities for improved integration and sustainability of services at local level with robust partnerships and effective delivery.

18. Whilst the initial stages of the Review are primarily aimed at determining the SPS Operating Philosophy and the subsequent transformation of the structure, personnel and management arrangements of the organisation above establishment level, the Review will also consider wider issues and transformational changes needed for the future business and organisation. This is to ensure the effective delivery of future business and organisational objectives.

19. Clearly the reorganisation of operational structures at HQ level will also impact on the role relationships with Governors and their establishments. Additionally, the Review will need to consider the role of Governors in community planning and their role as transformational leaders as part of the wider Justice Family.
Review Approach

20. The Review will be taken forward in two overlapping phases:
   ■ The first phase has been agreed by the Chief Executive and commenced in August 2012 to scope the broad context of the change programme and will redefine the Board and Executive Structure to efficiently support the operational business and the high level transformational change programme required to deliver the refreshed SPS Vision and wider SG ambitions. The phase will conclude with the implementation of the new Board structure in early 2014.
   ■ The second phase of the Review will develop the initial scoping work into a high level change programme into agreed change proposals, which are underpinned by clear plans, deliverables and products that are to be taken forward over the next three years.

21. The two Review phases will therefore be followed by a significant period of programmed organisational change and benefits realisation. The proposed timescale for the two Review phases is between August 2012 and May 2013 with staged implementation of agreed Recommendations being taken forward as part of the SPS Change Programme. During the change process, arrangements will be such as to maintain and manage on-going procedures – the business as usual as well as managing the transition to new arrangements.

Project Key Deliverables - Phase 1

■ Key Deliverable 1: Board and Executive Structure
To provide the Chief Executive with Recommendations for a reformed SPS Board and Executive structure including the defined roles, responsibilities and functional structure for each Directorate and to be completed by 19th December 2012.

■ Key Products Deliverable 1
   a) Produce the overall organisational structure for the SPS Board and Executive Team.
   b) Define the Roles and Responsibilities for each Director.
   c) Generate a High Level Functional Structure for each Directorate.

■ Key Deliverable 2: Vision, Mission and Organisational Design
To provide the Chief Executive with Recommendations for refreshing the SPS Vision, Mission, Operating Philosophy and the Organisation Structure and Roles that are required to deliver it. An interim report will be submitted by 19th December 2012.

Key Products Deliverable 2
   a) Generate and commence a Scottish Government/Justice Family Engagement and Communications Strategy.
   b) Generate and commence an SPS Staff and TUS Engagement Communications Strategy.
   c) Provide Data Analysis of key SPS and SG data that will inform the strategy.
   d) Generate a report that informs and recommends a refreshed SPS Vision, Mission and a first draft of the recommended SPS Operating Philosophy.
   e) Generate a report that informs and recommends the design principles for SPS, including the context elements of HQ structuring.
Project Key Deliverables - Phase 2

Key Deliverable 1: HQ Structure and Migration
To recommend to the Chief Executive an effective plan for implementation of the new Board and Executive structures and a staged migration plan for regrouping necessary HQ functions, activities roles and responsibilities. The current headquarters, structures and functions will efficiently support the new organisational Vision, Mission and Operating Principles. The transition to the fully effective model structure for HQ is expected to extend beyond the formation of the new Directorates and will form part of the wider SPS programme of change (the revised Board arrangements will be operational from early 2014).

Phase 2 - Key Products Deliverable 1
a) Generate an HQ interim structure, aligned to Phase 1 - Key Deliverable 2 and define the outcomes for each level of the structure in collaboration with the relevant Directors.
b) Prepare a cost analysis of all proposed changes.
c) Ensure HR policies support the change management process.
d) Generate an HR migration plan for the new interim regrouped HQ functions.

Key Deliverable 2: Framework Document and Performance Management
To make Recommendations to the Chief Executive on the content of the SPS Framework Document to ensure that it remains fit for purpose, that it clarifies necessary roles and responsibilities and enables efficient alignment between wider policy and operational delivery. The revised SPS Framework Document should be agreed by the Cabinet Secretary for Justice and in place by April 2014.

Key Products Deliverable 2
a) Generate a Logic Model, define SPS contributory outcomes to inform the Performance Management Model.
b) Develop and agree a Governance, Planning and Accountability Model.
c) Generate and recommend a new SPS Framework Document.

Key Deliverable 3: Transformational Change Programme
To conduct a broad forward looking Review and to make Recommendations to the Chief Executive by 31st May 2013 on the wider programme of organisational and structural change required in the medium to long-term. The Change Programme to be agreed through the new Board Structure and consolidated within the SPS Corporate and Delivery Plans for agreement by the Cabinet Secretary for Justice. These Recommendations are to ensure that SPS:

- Builds on its past successes and achievements to deliver a refreshed Vision, renewed clarity of purpose and a delivery culture with a focus on outcomes and performance improvement;
- Reconnects, realigns and contributes efficiently and effectively to the delivery of Scottish Government purpose, outcomes and policy and fits with the wider structural and systems changes in justice;
- Has a clear purpose and is structured in a simple, transparent and efficient manner that: improves accountability; reduces duplication; improves engagement; optimises the relationship between resource and delivery performance and reduces the overhead cost of administration;
- Has organisational roles and structures and a process of organisational and management development that supports the achievement of strategic priorities and outcomes, within foreseeable resources;
- Has clear leadership and the capacity and capability to deliver the new service vision, including leadership development and succession planning arrangements for the future;
- Contributes to protecting the public and reducing reoffending by working constructively with partners within prison and within the community, both nationally and locally to improve outcomes and performance;
- Has a clear Communication Strategy that meets the needs of internal and external stakeholders and reassures the public.

**Key Products Deliverable 3**

a) Generate an evidence-based Organisational Review Report that informs the Corporate Plan for the next 1-3 Years.

b) Generate a 1-3 year Corporate Plan in alignment with the new SPS Vision, Mission and Operating Philosophy that meets the new business objectives.

c) Generate Terms of Reference that recommends the creation of a Business Change Management Unit.

d) Define key partnerships and make Recommendations on options for shared services to be taken forward.

**Project Leads and Project Team**

- Review Sponsor – Colin McConnell
- Review Director – Eric Murch
- Workstream lead – HR and support services (F/T Katharine McGivern)
- Workstream lead – Policy, Strategy and connecting with justice (F/T, Heather Keir)
- Workstream lead – Operational delivery (Governor/Deputy Governor F/T, Natalie Beal)
- Workstream lead – Research and Operating Philosophy (F/T Hazel Mehta)
- Workstream lead – Leadership, professionalism and staff development (P/T David Abernethy – subject to review)
- Communication lead – (P/T Tom Fox)
- Review and Project Management – Graeme Mitchell
- Project Administration and Configuration Librarian – Janice Reid

**Project Advisors**

- Organisational Review Expert – Jenny Small, Northern Ireland Prison Service (P/T, Phase 1, Phase 2 to January 2013)
- SG Policy Advice – Alastair Merrill
- SG Justice Advice – Linda Hamilton
- SG HR Advice – Barbara Allison
- OD and Leadership – Zoe Van Zwanenberg
- Justice Analytical Services – Peter Conlong and Carol Edwards
- Desistance Outcomes – Fergus McNeill
Project Steering Group
- Chief Executive SPS – Colin McConnell
- Director of Operations SPS – Daniel Gunn
- SG Director of Justice Directorate – Bridget Campbell
- Professor of Criminology and Social Work – Fergus McNeill
- SPS Board (Non-Executive) – Alan Burns
- SPS Board (Non-Executive) – Bill Morton (resigned 19th December 2012)
- SG Director of Safer Communities – Kenneth Hogg

Project Time Constraints
The first phase of the Project is time critical with the new Board and HQ first phase structure being in place for early 2014.

Project Reporting Arrangements
The project lead will report progress to and take direction and guidance from a National Steering Group, chaired by the Chief Executive of the Scottish Prison Service.

From 1st April 2012, the SPS Board will, as part of their operating framework, take on the role and responsibility of directing the programme of change through agreed Change Management Programme and governance arrangements.

The Review will be subject to a defined Gateway Review process.
During March/April 2014 HM Prison Grampian will be opened and mobilised on the current site of HM Prison Peterhead. The new prison will replace both HM Prison Aberdeen and HM Prison Peterhead.
### NATURE AND BOUNDARIES OF OUR CURRENT ARENA OF ACTIVITY

Helping to build a Safer and Stronger Scotland by protecting the public and contributing to reduced reoffending through the care, rehabilitation and reintegration of people committed into custody by the courts across Scotland.

<table>
<thead>
<tr>
<th>Pre-Sentence Services</th>
<th>Custody and Care Services</th>
<th>Restriction and Supervision Services</th>
<th>Rehabilitation Services</th>
<th>Reintegration and Throughcare Services</th>
<th>Post Custodial Supervision and Restriction</th>
<th>Post Sentence Support</th>
<th>Corporate Services</th>
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<tbody>
<tr>
<td>CCPES (Court Custody and Prisoner Escort Service)</td>
<td>Open Supervision</td>
<td>Employability, Work Experience, Training and Prisoner Earnings</td>
<td>Occupational Placements</td>
<td>MAPPA Level 3 (occasional)</td>
<td>Pilot – Community Support Officer HMP Greenock</td>
<td>Procurement</td>
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<td>Remand Services</td>
<td>Incident Management + Resilience</td>
<td>Closed Supervision</td>
<td>Integrated Case Management (ICM)</td>
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<tr>
<td>Institutional Management and application of prison rules</td>
<td>HDC Operational Management</td>
<td>Learning, Qualifications and Skills Development</td>
<td>Family Contact Services and Centres</td>
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<tr>
<td>Security, Public order and safety</td>
<td>Supervised Home Visits</td>
<td>Mental Health Services</td>
<td>Home Leave</td>
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<tr>
<td>Intelligence, prisoner supervision, and logistics</td>
<td>Community Access</td>
<td>Health improvement and promotion</td>
<td>Community Integration Planning</td>
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<tr>
<td>Drug Interdiction</td>
<td>Risk Assessment</td>
<td>Prioner Programmes &amp; Interventions</td>
<td>Partnership and Community Links Services</td>
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<td>Primary Health &amp; Public Health Services</td>
<td>Warrants Management</td>
<td>Drug Support and Rehabilitation</td>
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<td>Spiritual and Pastoral Care</td>
<td>External Escorts (Non Core)</td>
<td>Service Needs Assessment &amp; Commissioning</td>
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<td>Catering and Canteen</td>
<td>MAPPA</td>
<td>Victim Services</td>
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<td>Accommodation, Facilities &amp; Estates Services</td>
<td>OLRI Prisoner Management</td>
<td>Public Information</td>
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<td>Recreational Services</td>
<td>Separatism and Care</td>
<td>Programmes/ Activities</td>
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<td>Safeguarding and self-harm risk management</td>
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<td>Motivational Work and Brief Interventions</td>
<td>Community Reintegration Units</td>
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<td>Internal justice and complaints management, requests and fair administration</td>
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<td>Physical Education</td>
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ANNEX 4

THE PRISONER POPULATION IN SCOTLAND

Chart 1: Average daily prison population (Scotland) 1900 to 2011/12 (Annual Statistics Bulletin)

Chart 2: Projected Prisoner Population and Prison Design Capacity

SG Estimated monthly population Based on Dec 2011 Data
ANNEX 5

PESTLE ANALYSIS – SCOTTISH PRISON SERVICE ORGANISATIONAL REVIEW

PESTLE analysis (Political, Economic, Social, Technological, Legal and Environmental issues suggested during consultations to be impacting upon the operating environment of SPS)
**POLITICAL**
- Redefined relationship between SPS and SG to provide clearer roles responsibilities & accountability within the revised Framework Document arrangements
- Reconnecting with the Justice Family requires clarity about SPS role definition
- Clear steer on preferred investment in things that reduce reoffending (effectiveness)
- Mandate to move to ‘Evidence Based’ portfolio of activity (Only do what works)
- Referendum will bring as yet unknown changes to Scottish constitution
- Late 2013 before the future shape of community justice and the role of Local Authorities in justice will be defined

**ECONOMIC**
- Preventative spending and early intervention likely to continue pressure to increase justice reinvestment
- Macro-economic environment will continue to influence government spending levels and priorities for next decade
- Continued pressure for public bodies to find on-going economies and efficiencies
- Pressure of ‘austerity’/future economic measures and uncertainties
- Budget pressures, static or falling budgets
- Possible new pressures on partnership arrangements
- Penal policy and financial pressures may slow future capital build projects to provide fit for purpose prisoner places
- On-going budget restraint drives need for efficiencies or savings
- Pressure to do more for less

**SOCIAL**
- Public expects prison to protect them and that people then less likely to reoffend. Audit Scotland Report requires SPS to improve outcomes
- Economic impact on offender population levels and patterns.
- Current trends and media/public opinions continues the drive to lock up a disproportionate number of people in prison = 9,500 people in prison by 2020
- Prison demographics are changing the average age of offenders in the prison population is increasing
- Social inequalities may increase and impact on needs and size of our population
- There is growing evidence that prisons are less effective with particular offender groups than alternatives and community-based solutions
- Commentary on Justice and Prisons issues are increasingly common in the media
- Discreet socio-economic groups are disproportionately represented in the offender population
- Changes in criminal activity and patterns
- Evidence of high levels of reoffending following short-term custodial sentences

**TECHNOLOGICAL**
- Increase in accuracy and availability of information that targets the efficiency of the justice system
- Improved communications allow involvement of a wide range of stakeholders and information sharing (e.g. Video Conference, LSCMI, MAPPA)
- The F.O.I Act has prompted SPS to be more transparent
- Provides new alternatives to custody – potential new entrants or new service solutions
- SPS lag behind in horizon scanning new technology that could improve individual agency and outcomes for offenders and/or take cost out of the business
- Technology access costs are reducing
- Christie Report prompts greater Public Sector involvement in providing services via new technologies
- Allows SPS to share services or access to services
- Difficulty in choosing best fit technological solutions
- Digital Scotland should prompt new learning methods and increased capacity for offenders’ development
- Technical advances in platform and micro technology are also potential challenges to prison security
- Much of cross justice technical innovation drives front end efficiency (MJW) need a balance in emphasising offender case management and reducing reoffending as part of a whole system
- Still significant issues in developing technical capacity to share information
- Prisoner Records System (PR2) is not helping SPS to manage offenders – needs redesigned
LEGAL

- Future Framework Agreement regularities sets out the new arrangements for accountability of the Chief Executive, Director-General Learning and Justice and Ministers.
- Human rights issues will continue. Recent CPT visit showed continuing need for compliance. Other challenges were raised regarding access to programmes and interventions and decisions around progression and release.
- Increased obligations of information sharing and security.
- Employment legislation changes may prompt increase in requests for greater flexibility in working patterns.
- Changes in our relationship with CJA's or new structures.
- Drive to increased use of non-custodial court disposals.
- Meeting the specific duties of the 2010 Equality Act.
- Achieving and maintaining a positive and safe living and working environment. Risks rise with increasing pressure of population and the changing dynamic of the prison population.
- Improving awareness and capability to manage increased challenge, scrutiny and individual accountability in relation to decision making.

ENVIRONMENTAL

- Fit for purpose estate.
- Need to reduce SPS carbon footprint – video conferencing, green energy and make fuller use of our facilities and new technologies.
- Location of SPS HQ.
- Community amenities (housing, visitor centres).
- Rationalisation of services with other agencies such as police, SCS, NHS (Scotland).
- Education of offenders and skills to increase sustainability.
- In-prison recycling solutions.
- SPS has Sustainability Strategy but faces significant challenges to achieve targets.
<table>
<thead>
<tr>
<th>STRENGTHS + OPPORTUNITIES</th>
<th>WEAKNESSES + THREATS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Well managed and controlled. Organisation of operational things done well. Money is managed and systems work.</td>
<td>SPS sensitivity to risk has created an emphasis on 'tried and tested' rather than the innovative practice.</td>
</tr>
<tr>
<td>General morale and engagement of staff in SPS is good at grass roots level. Staff take a pride in being good at delivering secure, safe and ordered custody. SPS gets things done and does operational things well.</td>
<td>SPS needs to develop an improvement culture. It needs to continually improve.</td>
</tr>
<tr>
<td>SPS perceived as a good employer.</td>
<td>External challenge and scrutiny should be helpful Better and more self-assessment would be helpful to SPS.</td>
</tr>
<tr>
<td>Good internal systems of control and strong financial control.</td>
<td>SPS needs to improve benchmarking and sharing good practice as well as learning from innovations elsewhere.</td>
</tr>
<tr>
<td>Many staff have high level of commitment and desire to be recognised as professional.</td>
<td>Focus is prison management, less so on offender management. Future focus needs to shift to active engagement in the Reducing Reoffending agenda.</td>
</tr>
<tr>
<td>Scottish Prisons have a good ethos with a focus on humane care of prisoners.</td>
<td>A clearer vision would be helpful.</td>
</tr>
<tr>
<td>SPS has an acute and systematic awareness of risk which is well embedded within the organisation.</td>
<td>A new Vision is required that focuses on partnership and rehabilitation.</td>
</tr>
<tr>
<td>Relationship working has improved but partnership is still a work in progress.</td>
<td>SPS does not articulate what our prisons and services do particularly for those looking at SPS from the outside.</td>
</tr>
<tr>
<td>Approach to CJAs has been positive with evident commitment to improving information sharing and removing boundaries.</td>
<td>SPS lacks transparency in terms of governance and authority environment for external stakeholders.</td>
</tr>
<tr>
<td>Some progress in integrating with wider justice family and other stakeholders but SPS needs a more focused and targeted influencing strategy.</td>
<td>Custody is very tightly defined. There are gradations of custody and imprisonment. Are there new opportunities and solutions for Scotland?</td>
</tr>
<tr>
<td>Recent improvement in using ex-offenders to support reintegration but needs expanded and supported more widely.</td>
<td>SPS is not perceived as strategic in approach – too operational in focus which limits its capability to contribute to Policy.</td>
</tr>
<tr>
<td>Prisoner and Staff Surveys are good practice. Need a clear ‘you said, we did’ approach and build the ‘user voice’ into our service thinking.</td>
<td>Better alignment between Justice Policy and SPS Corporate Strategy is required.</td>
</tr>
</tbody>
</table>

*Comments and opinions received do not necessarily reflect the view or evidence of the Review Team but reflect in summary form the range of comments made.*
<table>
<thead>
<tr>
<th>STRENGTHS + OPPORTUNITIES</th>
<th>WEAKNESSES + THREATS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Changes to primary health delivery arrangements welcome. Opportunity to build a more asset-based and public health approach.</td>
<td>Lack of focus on women and young people in the past evidenced the need for clearer strategic leadership.</td>
</tr>
<tr>
<td>SPS has delivered on SG investment with a much improved estate. SPS needs to optimise benefits of new ‘fitness for purpose’ with effective and purposeful activity.</td>
<td>SPS is defensive and does not view challenge as a positive opportunity to improve practice and process.</td>
</tr>
<tr>
<td>Benefits seen by CJAs in prisons delivering where a more ‘community facing’ approach has been adopted. But definition and benefits to be realised need to be more clearly defined.</td>
<td>Openness and transparency have not been a traditional part of SPS culture in engagement with wider communities. This has increased mistrust.</td>
</tr>
<tr>
<td></td>
<td>Equally, SPS has ‘hidden its light under a bushel’.</td>
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<td></td>
<td>SPS needs to engage both internal and external stakeholders in taking forward change.</td>
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<td></td>
<td>Historically, SPS is perceived as insular and protective ‘In but not of’ the Justice Family.</td>
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<td></td>
<td>Relationships have improved but still seen as ‘closed’ and ‘difficult’ to work with.</td>
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<td></td>
<td>The relationship with Justice Directorate needs to be clarified and improved SPS should develop alignment and trust.</td>
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<td>Strategic leadership needs to be stronger and succession planning needs to be improved.</td>
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<td></td>
<td>Leadership needs to be improved at all levels.</td>
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<td></td>
<td>Families should be treated better by SPS with improved information, greater involvement and better access to support – nationally and at each prison.</td>
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<td></td>
<td>Remand offenders have poorest access to activities – this needs improved.</td>
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<td></td>
<td>SPS needs to commission work to increase purposeful activity for remands and short-term prisoners.</td>
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<td></td>
<td>Role of the Board needs to be clarified as well as the role of the Non-Executive Directors.</td>
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<tr>
<td>STRENGTHS + OPPORTUNITIES</td>
<td>WEAKNESSES + THREATS</td>
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<tr>
<td>SPS needs to improve information sharing across the justice family, including a full contribution to making justice work in such areas as case management and video conferencing. SPS Corporate Strategy needs to reflect these broader strategies.</td>
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<tr>
<td>SPS needs to be clear on what purposeful activity is and to deliver it.</td>
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<td>Culture of SPS needs addressed as much, if not more, than structures.</td>
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<tr>
<td>Communications internally and externally needs to be improved.</td>
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<tr>
<td>Preparation for release should be at the centre of prisoner activities in prison.</td>
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<tr>
<td>Future training for staff to deliver change will really matter. It will need to:</td>
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<tr>
<td>■ Look for deeper qualities;</td>
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<td>■ Improve engagement focus and skills;</td>
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<td>■ Develop motivational techniques;</td>
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<tr>
<td>■ Emphasise care, and</td>
<td></td>
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<tr>
<td>■ Prepare for change to professional orientation.</td>
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<tr>
<td>Service has a range of interventions, activities and programmes. However, SPS lacks a clear evaluation framework for interventions and has a focus on ‘inputs’ and ‘outputs’ rather than outcomes.</td>
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<tr>
<td>SPS needs the right skills for engaging in collaborative partnerships.</td>
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<tr>
<td>SPS is not clear in how it engages in effective partnerships.</td>
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</table>
ANNEX 7

STAGE 1 INTERNAL CONSULTATION EXERCISE FEEDBACK

Four Standardised Questions

1. Based on the overview of the Organisational Review, what do you believe the key challenges for the Review Team are and why?

2. What do we need to change and why?

3. What concerns do you have at the outset of the Organisational Review and what advice do you want to give the Review Team?

4. What in your opinion is the best model for communicating, involving and keeping up-to-date with the Governors and HQ Functional Heads for the duration of the project?
ANNEX 8

STAGE 1 INTERNAL CONSULTATION EXERCISE

Current Corporate Strategy, Management Framework & Operating Model

Strengths and Weaknesses

Strengths
- Good internal systems and controls – strong financial controls.
- High quality estate being added to the portfolio.

Weaknesses
- Not strategic, operationally focused.
- SPS risk adverse and resistant to change.
- SPS driven by finance, too much focus on efficiency not effectiveness.
- Need to address the culture, problems perceived as cultural not structural.
- Role of Executive and Non-Executive Board needs to be clarified and communicated.
- Relationships within the Board need improvement, need to develop team approach, improve visibility.
- Leadership by the Board is perceived to be a problem, delegation needs improvement.
- Need to empower senior managers, harnessing the skills of the Governors, clarifying their role in the management structures.
- HQ in its current format does not meet the needs of the business.
- HQ is too slow to respond to needs of the business, not flexible enough.
- Disproportionate emphasis on support services in the Directorate structure.
- Policy development should be more collaborative with input from users. Policy should be written by the people who own it alongside the people who deliver it. Strategic development requires more of a shared insight in terms of development, translation and implementation.
- HR is seen as a problem area. Succession planning, leadership and management development, professionalisation of staff and performance management are all areas for development.
- Lack of understanding around role of Partnerships & Commissioning. Lack of clarity on roles of Operations Directorate and Partnerships & Commissioning.
- Responsibility for health care services needs to be clearly articulated.
- Operations Directorate is too big, breadth of responsibilities is too great.
- SPS does not embrace the power of Information Technology to deliver the solution.
- Communications (internal and external) are perceived to be weak and need significant improvement.
STAGE 3 INTERNAL CONSULTATION EXERCISE

Information Sharing Workshops Standardised Questions

1. How do the roles of the GICs and HQ Functional Heads need to change to lead and support the refreshed Vision, Mission and Strategic Priorities?

2. What processes and responsibilities for continual improvement should GICs and HQ Functional Heads have?

3. The proposal will be that SPS has three Directorates – Operations, Strategy and Corporate Services. How will this best work to prevent silo working?

4. a) How should Operations Directorate be structured and why?
   b) How should Corporate Services be structured and why?

5. What does an outcomes focused performance model look like in the absence of an SLA?

6. What would we need to put in place to support GICs and Senior Management to deliver a different style of performance model?
STAGE 4 INTERNAL CONSULTATION EXERCISE: SUMMARY OF FEEDBACK

Feedback on Stage 3 Standardised Questions

Corporate Management Framework and Operating Model

- The narrower Board structure will need/result in an extra layer of senior managers under each Director.
- Likely Functional Head roles will be much bigger so the span of control will be much wider.
- Functional Head roles and responsibilities will require to be more strategic, they will not be able to get into the detail.
- Deputy Directors, will these roles continue to exist? If so, more responsibility than present – will the Director role become more strategic?
- The Functional Head role can differ between Directorates, it is perceived some Functional Heads have greater professional responsibilities than others, how will this be quantified in a three Directorate model?
- All Directors need Functional Heads who can work together and collectively to one agenda – no internal market/conflict.
- Collaboration between Directors is crucial. The principle should be ‘we always collaborate’.
- Functional Heads need to feel like they are part of a connected entity.
- SPS needs a management model that looks less silo-based and more ‘one team’ orientated.
- Silo working – separation of responsibilities/silo working maintained in three Directorate model.
- Current situation is confused. In the new structure we need to be clear on role of Director of Strategy and Innovation and how private prisons operate and are positioned.
- Strategy should be part of Operations Directorate, two Directors with Assistant Directors. If strategy is splintered then outcome will not be linked together. Having Strategy separate creates artificial divides, need a single sense of purpose. If we have three Directorates it is no different to current situation. Have Strategy in the Chief’s office and resource it.
- GICs should have a key role in respect of Justice Policy by offender segmentation, providing feedback and continuous improvement into Strategy Directorate.
- Corporate Services – there needs to be discussion around centralising, decentralising or a hybrid approach and the governance of the chosen model. Fear of full decentralisation to prisons due to potential for inconsistency.
- Work needs to be undertaken to develop standardised and revision controlled standard operating procedures for use in all establishments.
- Work needs to be undertaken to standardise the format of the Senior Management Teams in all establishments.
- There is a need to ensure the continued focus on protecting the public.

Cross Functional/Partnership Working

- Greater cross Directorate working and relationship building across internal and external stakeholders.
- Functional Heads should be less insular and work more actively with external partners, closer collaboration e.g. shared services?
- Functional Heads are the ‘missing middle’ - they should discuss strategy and delivery learn/share success and failure - this is important.
Leadership

- Directors’ competence versus strategic leadership, do Directors need any technical competence?
- Functional Head technical competence versus leadership, qualities vary within each Directorate across HQ.
- Functional Heads have a dual role – professional representation versus corporate role.
- Corporate challenge function – dictates collaborative approach, reinforces leadership agenda.
- Staff Appraisal question quality/time/cost/outcome of current system.
- Recognition of a deficit in SPS overall skills base. Staff development pathways must be improved, as part of the future Road Map.
- We need to work hard around areas of professionalisation and improve parity in the perception of SPS with bodies such as social work and the police.

Culture and Change Management

- The Functional Head role has to be able to articulate and champion the need for and benefits of change.
- Transformational change is very important – Functional Head role requires to drive change in addition to Directors. A change of title for Functional Heads could help with change.
- There should be a culture where change and innovation are embraced and encouraged.

Offender Engagement

- We need to have a shared understanding of what desistance is.
- Focus of the SPS value proposition for SPS should be around the areas of resettlement and focus on STPs, must get involved in reporting and case management at the front end of CIP.

Outcomes and Performance

- Function objectives should be aligned to corporate objectives.
- Functional Heads need to establish a functional delivery plan to support corporate plan.
- Lack of corporate success measures cascaded down to Functional Head level e.g. savings benefits, learning hours, outputs and outcomes.
- There is a need to clearly articulate who does what – shared objectives, shared goals, shared success criteria.
- Targets need to be corporate and not prison specific e.g. learning hours.
- New language, new targets, new appraisal focus – should link to NPF.
- If we move to outcomes we cannot work in isolation.
- Outcomes focused – what works? What does a narrative style look like? Does someone do it well now?
- We should benchmark best practice.
- As a ‘business’ we will still need financial and performance targets.
- Must consider what can we achieve in delivering the person-centred approach with limited resources. An outcomes model cannot create unrealistic measures.
- ‘Prisoner Distance travelled’ measures should be brigaded under National Performance Framework (NPF) headings.
- We do need to say what success looks like – is that for each prison/prisoner?
- Narrative style – telling stories with good outcomes.
- Collective subjective assessments which describe our performance – prison survey, staff survey complaints/grievances.
- Business Improvement Manager role need to be standardised and up skilled.
- PRL audits need to provide more thematic relevance as opposed to sometimes being used as a tool to uncover known problems, rather than manage by accountability.
- To gain a better understanding of effectiveness we need to be able to measure identified risks and needs as defined by core screening and determine what has actually been achieved with the offender.
- Necessity for shared performance targets with partners in respect to achieving justice and NPF outcomes.
### Communications

- Talking to our service users and stakeholders – prisoners, victims, partners and the public.
- Simplicity so what we are doing can be easily communicated.
- All senior managers need media training and guidance on appropriate use of social media.
- There should be a standardised approach to communications in the new model.
SPS currently offers staff on promotion or on moving to a specialist role a range of transitional training opportunities. These include:

Operational Leadership Development Programme

ILM Level III Certificate in First Line Management

ILM Level III Award in Workplace Coaching

ILM Level IV Award in Management

ILM Level V Diploma in Management

Strategic Leadership Development Programme

Introduction to Training Practice

CIPD Certificate in Training Practice
ANNEX 12

SKILLS REQUIRED TO SUPPORT FUTURE WAYS OF WORKING

The new roles and responsibilities required to develop a more professional approach to offender engagement which will support future ways of working might include but not be limited to:

- Influencing and Assertiveness Skills;
- Casework and Individual Service Community Skills;
- Interviewing Skills;
- Counselling Skills;
- Neuro-Linguistic Programming;
- Transactional Analysis Skills;
- Mentoring and Coaching Skills;
- Emotional Quotient;
- Negotiating Skills;
- Role Modelling;
- Goal Setting Skills;
- Motivational Skills;
- Report Writing Skills;
- Problem Solving and Analytical Skills;
- Organising and Supporting;
- Partnership and Collaborative Working;
- Conflict Management;
- Advocacy Skills;
- Mental Health Awareness; and
- Contextual Understanding of Human Change
LOGIC MODEL 1: MANAGEMENT VIEW

**Inputs**
- Review
- Money
- Staff
- Partnerships
- Time
- Legislation
- Policies
- Technology
- Buildings & facilities
- Research base
- Prisoners

**Outputs**
- Offenders & accused
- Communities, media & employers

**Participation**
- SPS & partners
- SPS staff

**Activities**
- Information sharing systems developed & implemented
- Joint criminal justice training
- Identification and provision of link to appropriate range of interventions & services
- Improved performance management - increased focus on offenders engaging in suitable activities (SPS & staff)
- Management of change – monitoring & evaluation
- Review of processes & funding to allow individualised offender-focused approach
- Change in job role definition for officers, increased range of tasks
- Review of recruitment rules re convictions, & required skills & attributes
- Staff training & support – mentoring, offender-focus, relationship skills
- Risk/needs/asset assessment
- Activities & interventions tailored to individual offender needs
- Increased family involvement activities
- Long-term integration plan developed & agreed with offender & relevant partners
- Increased contact/interaction with public, media & employers

**Workshop 1**
- Participants were Senior Managers from across the organisation.

**Situation**
- Creating opportunities for offenders in Scotland to change their lives and fulfil their potential as valued citizens.

**Outputs**
- Short-term
- Medium-term
- Long-term

**Inputs**
- Activities
- Participation

**Outcomes**
- Increased ability & willingness to share information
- Increased knowledge, integration & buy in across justice family
- Increased knowledge about progress
- SPS staff & unions buy in to new SPS & their role in it
- Increased officer skills, knowledge, motivation & job satisfaction
- Staff & offenders feel supported
- Offenders feel they are expected to engage in relevant activities
- Increased pro-social attitudes & skills
- Improved job seeking skills
- Improved self esteem
- Increased life management & coping skills
- Increased recognition of personal agency & self-efficacy
- Increased interpersonal skills, awareness & understanding
- Increased motivation to change
- Employers (including SPS) willing & able to employ ex-offenders
- Community willing to accept ex-offenders as citizens
- SPS & other employers take on ex-offenders

**Outputs**
- Effective information sharing
- Robust partnership working
- Shared or complementary goals, vision & outcomes across CJS
- Increased joint working within & outwith walls
- Increased use of monitoring data & other knowledge to improve, manage change & re-evaluate plans
- Positive influencing (role model) relationship enacted between officers & offenders
- Officers support, encourage, advocate for & signpost offenders
- Improved staff & SPS performance to new outcomes
- Increased offender participation in relevant activities
- Increased physical & mental wellbeing
- Reduced substance misuse and/or risky behaviour
- Offenders apply problem solving & anger management skills in everyday lives
- Improved positive personal relationships & engagement with pro-social networks
- Maintenance of stability & increased self-sufficiency
- Increased uptake of education and/or increased employment
- SPS staff & unions buy in to new SPS & their role in it
- Increased officer skills, knowledge, motivation & job satisfaction
- Staff & offenders feel supported

**Provision**
- Information sharing systems developed & implemented
- Joint criminal justice training
- Identification and provision of link to appropriate range of interventions & services
- Improved performance management - increased focus on offenders engaging in suitable activities (SPS & staff)
- Management of change – monitoring & evaluation
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- Risk/needs/asset assessment
- Activities & interventions tailored to individual offender needs
- Increased family involvement activities
- Long-term integration plan developed & agreed with offender & relevant partners
- Increased contact/interaction with public, media & employers

**Achievements**
- Full integration justice family
- Offender-focused SPS
- Professionalised SPS
- Positive influencing (role model) relationship enacted between officers & offenders
- Officers support, encourage, advocate for & signpost offenders
- Improved staff & SPS performance to new outcomes
- Increased offender participation in relevant activities
- Increased physical & mental wellbeing
- Reduced substance misuse and/or risky behaviour
- Offenders apply problem solving & anger management skills in everyday lives
- Improved positive personal relationships & engagement with pro-social networks
- Maintenance of stability & increased self-sufficiency
- Increased uptake of education and/or increased employment
- SPS staff & unions buy in to new SPS & their role in it
- Increased officer skills, knowledge, motivation & job satisfaction
- Staff & offenders feel supported

**Workshop 1**
- Participants were Senior Managers from across the organisation.
LOGIC MODEL 2: STAFF VIEW

Situation – Creating opportunities for offenders in Scotland to change their lives and fulfill their potential as valued citizens.

**Inputs**
- Review
- Money
- Staff
- Partnerships
- Time
- Legislation
- Policies
- Technology
- Buildings & facilities
- Research base
- Prisoners

**Activities**
- Joined-up information sharing systems developed & implemented
- Identification of statutory & third sector partners, & move to joint working
- Review of processes, structure & funding to allow individualised offender-focused approach
- Review of recruitment & promotion structure
- Change in training for all staff to reflect offender-focus, and emphasise fit of job role into outcomes and wider CJS
- On-going support of staff to provide offender-focused work
- Communication of change throughout SPS (from top)
- Active management of staff culture change, including challenging attitudes at every level
- Reallocation of resource to align with offender-focus (including skills matching of staff)
- Redefinition of job role of for officers – professionalisation & offender-focus
- Redefinition of prisoner role – emphasis on activity & reintegration
- Risk/needs/asset assessment with individual offenders & increase in (visible) activities with offenders in communities
- Communication strategy to increase positive communication about prisons & offenders to media & community

**Outputs**
- SPS & partners
- SPS staff

**Participation**
- Increased SPS & partner ability & willingness to share information
- Staff across CJS see themselves as part of justice family, and buy in to partnership working
- Increased staff buy in to offender-focus & own role in outcomes
- Increased officer understanding of offenders as individuals
- Increased officer understanding of individuals' needs
- Increased officer empathy with & positivity about offenders
- Increased staff motivation to work in a different way
- Increased staff willingness to challenge others & selves for positive change
- Increased understanding of offenders' needs & strengths as well as risks
- Increased staff skills to match role
- Increased staff morale, motivation & job satisfaction
- Offenders believe they are required to engage in relevant activities & services while in prison
- Increased offender motivation, aspirations, pro-social attitudes, attitudes & skills
- Improved community perceptions of prisons & offenders
- Communities & SPS recognise positive offender change & behaviour
- Communities are increasingly supportive of offenders

**Outcomes**
- Increased communication across SPS & partners about individual offenders & coordination of services & interventions
- SPS & partners work together to develop appropriate services
- SPS & partners work to common goals
- Staff challenge themselves & one another for positive change & improvement
- Increased staff performance with offender-focus
- Staff treat offenders as individuals, supporting & challenging them to engage & change
- Officers act as role models for offenders
- Services provided to meet individual needs inside & outside of prison
- Individual offenders' needs addressed
- Increased communication about prisons & offenders to media & community
- Improved community perceptions of prisons & offenders
- Increased prisoner links with the community – reparation, demonstrating change
- Offender-focused SPS

**Inputs**
- Workshop 2 - Participants were Staff drawn from across the organisation.

**Outputs**
- Participation

**Participation**
- Reduced reoffending
- Increased integration as positive citizens
- Improved prisoner links with the community – reparation, demonstrating change
- Communities & SPS recognise positive offender change & behaviour
- Communities are increasingly supportive of offenders
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**Outcomes**
- Fully integrated justice family
- Offender-focused SPS
- Reduced reoffending
- Increased integration as positive citizens
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- Reduced reoffending
- Increased integration as positive citizens
- Improved community perceptions of prisons & offenders
- Increased prisoner links with the community – reparation, demonstrating change
- Offender-focused SPS
## Annex 14

### A Brief History of Performance Management in SPS

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
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<tbody>
<tr>
<td>Pre 1988</td>
<td>SPS Task almost exclusively custody orientated with Governors required to submit an annual report. The content of these reports is left to individual Governors. The motto of the prison service is ‘Dare to Care’.</td>
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<tr>
<td>1988</td>
<td>‘Custody and Care’ is published outlining the Aims, Objectives, Targets and Statement of Purpose for prisons in Scotland for the first time.</td>
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<tr>
<td>1989</td>
<td>The first three year ‘Business Plan’ is published which contains a Mission Statement and task for the service of Custody, Order, Care and Opportunity (COCO), which is established as core business.</td>
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<tr>
<td>1990</td>
<td>‘Opportunity and Responsibility’ is published. This reaffirms the operational approach to managing the long-term offender population.</td>
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<tr>
<td>1990</td>
<td>‘Organising for Excellence’ is published. First identification of the need to monitor progress against strategic objectives. Establishments produce first Strategic Plans.</td>
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<td>1992</td>
<td>Key Performance Indicators (KPIs) are first introduced for the service.</td>
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<tr>
<td>1993</td>
<td>SPS becomes an Agency. The Agency Framework Document establishes Business Planning and Annual Reporting requirements. KPIs are set annually as part of the reporting process.</td>
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<tr>
<td>1999</td>
<td>The SPS Estates Review highlights differences in transparency about performance and a competitive gap between public and private sector providers.</td>
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<tr>
<td>2000</td>
<td>SPS launches its Vision for Correctional Excellence – ‘SPS will be recognised as the leader in prisons correctional work which helps reduce recidivism and therefore offers value for money for the taxpayer’.</td>
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<td>2002</td>
<td>The SPS Estates Review concludes. Public prisons are to have greater focus and clarity on performance through published performance agreements for publicly run prisons and full reporting of performance against these targets.</td>
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<tr>
<td>2003</td>
<td>Service Level Agreements are introduced to all public sector prisons.</td>
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<td>2006</td>
<td>Community Justice Authorities (CJAs) are formed following the Management of Offenders, etc. (Scotland) Act 2005. All eight authorities prepare plans and local measures to which SPS contributes as a ‘duty to co-operate’ partner. Offender outcomes are introduced.</td>
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<td>2007</td>
<td>National Concordat signed and Single Outcome Agreements are launched by Scottish Government.</td>
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<tr>
<td>2008</td>
<td>Scottish Government publishes the National Performance Framework.</td>
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<td>2008</td>
<td>SPS commences move away from client/provider structure and implements the SPS Service Agreement Framework.</td>
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<tr>
<td>2009</td>
<td>Performance Indicators with disaggregated targets are replaced by Service Indicators and trend monitoring.</td>
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<td>2009</td>
<td>Scottish Government announces a more coordinated approach to ‘stopping the revolving door of reoffending’. This becomes the RRP.</td>
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<tr>
<td>2012</td>
<td>Scottish Government issues its Corporate Expectations for public bodies.</td>
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<tr>
<td>2012</td>
<td>RRP2 commences including a commitment to reviewing outputs for measuring performance in relation to reducing reoffending.</td>
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<tr>
<td>May 2012</td>
<td>SPS publishes its first Corporate Plan for seven years. The plan is aligned to the Strategy for Justice in Scotland and Scottish Government Purpose and Outcomes. One year Delivery Plans are reviewed between agencies and Directorates within Justice to ensure alignment.</td>
</tr>
<tr>
<td>July 2012</td>
<td>The internal SPS Organisational Review is announced. The Review is to include a high level review of performance management within SPS.</td>
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