



CHALLENGE TO CHANGE

MANAGEMENT MANUAL

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Introduction

The Kainos Community Programme is a structured programme of learning and activity set inside a residential therapeutic unit.

This hybrid programme has been designed to address four key criminogenic risk factors, accepted by the accreditation panel, that underpin crimes committed by the majority of offenders in prison. The programme achieves this through a combination of established cognitive behavioural and group reasoning processes delivered within four main modules, with generalisation and internalisation of these processes reinforced through identifying behavioural targets for change which can be practiced and reviewed through participation within the therapeutic community processes.

Using the ‘community as method’ also provides a system of addressing problems as a community which further enhances the internalisation of pro-social skills.

The programme is run in three phases:

The induction phase

The pre-admission stage has three primary aims: to provide basic information about the Kainos community; to provide a detailed assessment of the individual’s suitability for the main programme; and to prepare potential participants for what they can expect from primary treatment.

The core-phase

The core phase incorporates the main modules of structured group treatment:

In the **Community Living Module** participants explore in more detail the ethos and processes of the Challenge to Change Community. Each module is split into sessions, each considering a core concept around living as part of the community and highlighting further behavioural skills necessary to achieve this.

In the **Focus Module** participants start looking at their beliefs and how these affect their behaviour, through exploring their comfort walls and motivations that have manifested in the (criminal) choices made in the past. By helping participants to understand how they regulate their behaviour according to their beliefs, gives a starting point for each individual to consider how they reached this point in their life. This module then provides participants with skills to help them to begin to consider the value of a pro-social future, and identifying core targets for change that they can practice within the TC to achieve this.

In the **Interpersonal Relationships Module** participants are encouraged to identify elements which directly relate to their relationships with others both inside and outside of prison. There is an emphasis upon communication skills. The sessions require participants to consider and understand the importance of negotiation and how to successfully resolve conflict through empathy and mediation. The sessions also consider the victim’s perspective, looking at the effects of crime in general and the specific crime committed by the prisoner. It is important to consider emotions, emotional responses and emotional triggers to enable individual reactions to be understood and appropriately controlled.

In the **Citizenship Module** participants are encouraged to think about the new roles of responsibility they have developed within the therapeutic community, and link these to models of social behaviour both within the wider prison environment, and within their community following release. They are then encouraged to consider relapse prevention strategies to assist them in further building upon pro-social skills, and beliefs.

The review phase

Within the last two weeks of the programme, individuals no longer take part in the formal modules, but still take an active part in leading the processes of the therapeutic community. Their role at this stage is threefold: Firstly to support other TC members in developing pro-social skills within the community, both within community meetings and on a one-to-one basis; secondly to continue to practice and internalise the skills learnt on the programme in the safe TC setting; and thirdly to consider how to generalise these skills in more detail following discharge from the TC, including developing personal relapse prevention plans and how to manage any ongoing needs including linking in to relevant professionals.

The purpose of this manual is to provide the rehabilitation management team, consisting of the programme manager, facilitator, treatment manager and throughcare manager, with guidance on the policies, procedures and minimum operating conditions required to run this hybrid programme effectively.

This manual is divided in to five sections:

Section 1: Describes the roles and responsibilities of each member of the tripartite management team and the prison regime in running the programme.

Section 2: Sets out the operating conditions required for effective programme delivery, including maintaining treatment integrity and effective models of throughcare.

Section 3: Details management of group facilitators. This section includes tutor selection, training, support, supervision and deselection.

Section 4: Describes the management of offenders on the programme. This section includes offender selection, assessment and deselection procedures (More information is available on assessment processes in the Evaluation manual)

Section 5: Describes the throughcare processes supporting effective support of the prisoners following discharge from the programme

NB - All paperwork associated with assessment or evaluation processes can be found within the Assessment and Evaluation manual

Section one: Programme Management within the prison

The level of prison commitment

In order for the Kainos management team to commit resources to deliver a programme within a prison, a letter of commitment to run the programmes as laid out in the manuals is required from the prison's governing governor. The letter includes:

- A clear description of the prison structural resources made available to run the programme
- A clear description of the prison's staffing resources made available to run the programme
- The number of residents the TC wing will accommodate
- The agreed annual KPT for both entrance into the programme, as well as programme completers
- A commitment that the programme will be supported and integrated into the prison regime
- A commitment to conduct awareness training for all prison staff on at least a yearly basis

The minimum management team that can be agreed to oversee the local programme is:

A Programme Manager
An Assistant Manager
A Programme Facilitator
A Treatment Manager
A Throughcare Manager

The agreed responsibilities for each management role are as follows:

Programme Manager Responsibilities

The main role of the programme manager is to ensure that the systems required within the prison in order to best support the programme are in place and being maintained.

As such it is expected that the programme manager would normally be a Governor grade and should have sufficient line management authority to be able to fulfil this role. In order to maintain programme integrity the programme manager would be expected to be responsible for the following:

- Maintaining a waiting list of those waiting to come on to the induction phase of the programme.
- All financial resources required to keep the programme in place are secured and that all increased budget requirements are included in the establishment's integrated planning process.
- Offenders are available to attend all required sessions, unless they have a valid medical note detailing reasons why they cannot attend.
- That all required programme equipment and facilities, such as group rooms, pens/paper, OHPs, powerpoint projectors are available and satisfactory for the intended purposes.
- That all accommodation on the wing supports the methods, principles and practice of the programme. This includes managing such issues as offender mix, pro-social modelling of uniformed staff, number of offenders assigned to a cell/dorm etc.

- Offenders receive the correct payment for their participation in the programme.
- Staff facilitators are available to attend all required sessions and have enough time built into their weekly duties for preparation and review of the programme elements.
- Sentence planning procedures and throughcare processes are integrated into the functioning of the programme.
- Time is made available for the appropriate selection, training and supervision of group facilitators.
- Time is made available for pre and post programme assessments and report writing.
- To attend monthly tri-partite management meetings to ensure the above is being implemented
- That all uniformed staff within the prison receive awareness training detailing the principles and practices of the rehabilitation programme.
- To ensure all participants sign a voluntary drug testing compact and are urine tested in line with PSO 3620.
- To monitor the performance of staff working in the team. Subsequent under performance is dealt with through supervision and appraisal and ultimately through formal discipline or competency procedures.
- To ensure that each member of staff receives a formal monthly noted one to one meeting. He/she will in turn receive a formal monthly one to one meeting with his/her line manager. The agreed notes are kept in the individual personnel file.
- To attend local management meetings on a monthly basis.
- To take full responsibility for the audit requirements.

Treatment Manager Responsibilities

The central role of the Treatment Manager is to ensure that the manner in which the programme is delivered by tutors maximises treatment effectiveness.

The Treatment Manager should be experienced in delivery of the programme, with additional experience of managing staff. The Treatment Manager must be able to demonstrate a range of competencies detailed in his/her Job Description. If they do not meet these criteria clear systems must be in place within their establishment to ensure they develop and are able to achieve competency.

In order to maintain treatment integrity, the Treatment Manager is responsible for the following:

- To ensure that the programme is structured, delivered and monitored in accordance with that detailed in the manuals
- To ensure that the appropriate assessment and selection procedures for offenders are

implemented.

- To ensure that the appropriate assessment and selection procedures for group facilitators are implemented.
- To provide both line management and clinical supervision to facilitators, including assistance on how sessions are planned, monitored and progressed.
- To monitor and feedback to staff upon the quality of their ongoing and final reports on offenders as they progress through the programme.
- To monitor and feedback to staff upon the quality of their delivery of the programme, through sitting in on sessions, evaluating associated paperwork and taking a lead in facilitator review sessions.
- To maintain a log of their own programme/staff monitoring and assessment procedures.
- To attend local tri-partite managers' meetings on a monthly basis.
- To provide both line management and supervision to Managers and Facilitators, including assistance on how sessions are planned, monitored and progressed.
- To monitor and feedback to staff regarding the quality of their ongoing and final reports on offenders as they progress through the programme
- To monitor and feedback to staff on the quality of their delivery of the programme, through sitting in on sessions, evaluating associated paperwork and taking a lead in Facilitator review sessions
- To assist in the co-ordination and the provision of services arising from the throughcare plan or its review.

Throughcare Manager's Responsibilities

The central function of the Throughcare Manager is to ensure that the practical, emotional and interpersonal needs that may increase the risk of relapse following programme completion, have been appropriately assessed and management plans put into place. This is seen as a fundamental element in enhancing outcome efficacy. It is thus expected that the Throughcare Manager would have a good understanding of the probation process and structure.

In order to enhance the likelihood of continued abstinence from offending following course completion, the Throughcare Manager is responsible for the following:

- To liaise with the outside agencies when appropriate, encouraging their contact with offenders whilst still in the programme.
- To work with the offender in conjunction with group facilitators to ensure the offender relapse prevention plans are realistic and strategies are put in place to also make them achievable.
- To work in conjunction with group facilitators to put in to place other outstanding needs not identified in their relapse plan, but identified by staff.

- To assist in the co-ordination and the provision of services arising from the throughcare plan or its review and maintain a log of their own programme/staff monitoring and assessment procedures.
- To participate in throughcare assessments and the preparation of relevant throughcare plans and attend managers' meetings within the prison on a monthly basis.
- To set up, develop and manage the 'Kainos in the Community' programme
- To work with the offender in conjunction with group facilitators to ensure the offender relapse prevention plans are realistic and strategies are put in place to also make them achievable.
- To ensure the provision of probation involvement in the throughcare and resettlement of the offender.
- To attend monthly tri-partite management meetings to ensure the above are being managed and implemented effectively.

Assistant Manager's responsibilities

The central function of the Assistant Manager is to assist the Programme Manager in running the programme. Also ensuring that the practical, emotional and interpersonal needs of the prisoners following programme completion have been appropriately assessed, and management plans put into place. This is seen as a fundamental element in enhancing outcome efficacy.

Main Responsibilities:

- To assist the Programme Manager with the core work of the Unit
- To familiarise him or herself with all national rules which apply to the Prison Service as well as instructions which relate to the Kainos Community.
- To take a leading role in regard to the welfare and care of all resident participants of the project including any agreed counselling both on a one to one basis and group work.
- To assist in the smooth running of the Unit and to be responsible for its management in the absence of the Programme Manager.
- Working with and supporting volunteers on the Wing.
- Delivering the programme interventions in a classroom setting.
- Working with offenders in a community setting.
- The organisation and preparation of materials for the course programme.
- Liaison with relevant outside organizations.
- The attendance at various evening activities in the absence of the Programme Manager.
- The selection of participants for the project.

- To assist with the maintenance of an effective monitoring system for all programme participants.
- Administrative duties in support of the programme.
- To undertake such other duties that may reasonably be expected by the Programme Manager.
- To attend monthly management meetings within the prison when the Programme Manager is not available.

Management Policies

Kainos Community has developed robust management policies based upon good practice and current legislation. An HR group which has an elected staff representative on it, meets three times a year to review, revise and update policies.

Management Policies are kept in files in every Kainos office and can be accessed by all staff.
(see appendix for examples)

They include:

- Disciplinary and Dismissal Policy and Procedure
- Grievance Policy and Procedure
- Annual Leave Policy
- Special Leave Policy
- 'Blowing the Whistle' Policy
- Harassment & Bullying Policy and Procedure
- Staff Appraisal Policy
- Maternity Policy
- Equal Opportunities Policy
- Diversity Policy
- Data Protection Policy
- Environment Policy
- Health and Safety Policy
- Recruitment Policy and Procedure
- Training and Development Policy
- Redundancy Policy

Section 2: Maintaining programme and treatment integrity

The maintenance of programme integrity has been shown to be important in the effective delivery of evidence based programmes.

Three main threats can arise to challenge integrity, namely:

1. ***Programme drift*** - A gradual shift of the programme's delivery causing the aims of the programme to be gradually changed eg. changes to session learning points over time.
2. ***Programme reversal*** - When programme delivery accidentally reverses the intended outcome of treatment e.g. unintended collusion with pro-criminal beliefs
3. ***Programme non compliance*** - When elements of programme delivery are deliberately omitted due to personal vagaries.

It is thus important for these reasons that the following programme guidelines and administrative processes are adhered to, in order to reduce these threats.

Group size

Groups are to be run with no more than ten residents

Group location

In order to preserve the integrity of the TC, it is imperative that residents must remain isolated from non-TC prisoners within the establishment whenever possible during the programme. Any activities which must occur outside of the TC unit should be managed in such a way as to reduce mixing of TC and non TC prisoners.

There should always be enough resources available to run all elements of the programme as specified in the manuals.

Use of professional staff

All facilitators should be selected and trained in the manner detailed in this manual (see section 3). There should always be enough trained facilitators available to cover sick leave and holidays.

All staff who support the delivery of the programme should adhere to the ethos, principles and values of the TC at all times.

Module Delivery

The modular elements of the programme are structured as follows:

- Induction phase - four weeks, four sessions per week. Each session one hour in duration
- Core module phase- seventeen weeks, four sessions per week. Each session two hours in duration
- Review phase- three weeks, no formal sessions

These are run every morning, Monday to Thursday.

Maintaining the integrity of these modules is detailed in the Assessment and Evaluation manual, but briefly consists of:

- The treatment manager sitting in on one session in five, and reviewing this session in relation to best practice during supervision with staff facilitators
- Programme facilitators engaging in reflective practice and maintaining sessional review sheets for discussion within weekly supervision

Management of Daily Living processes within the TC

The community consists of the following structured elements, more details for which can be found in the TC manual:

Community meetings once per week
Spur/group therapy meetings on a daily basis
Therapeutic Duties on a daily basis
Exercise twice per week
Bible study (optional) once per week

It is imperative that this daily structure is adhered to, as are the TC rules, which are maintained through discussion and constructive challenge within the spur and community meetings.

It is the responsibility of both the programme and treatment manager to ensure that the structural elements of the TC are being run as described within the TC programme manual.

It is the responsibility of the treatment manager to ensure that the TC processes as described within the TC programme manual are being adhered to. This is managed by:

- Daily review of TC process sheets filled in by Kainos facilitators
- Sitting in on community meetings every week
- Sitting in on one spur meeting per week
- Supervision of staff facilitators

Individual learning plan

During the induction phase all residents are expected to fill in their Individual Learning plan in collaboration with their Key worker (see below). It is the responsibility of the treatment manager to ensure this has been completed, and clear targets for change identified. Within treatment, the key worker is required to review this plan with the resident during each individual session.

Hybrid weekly structure

A typical week is displayed below:

Date	Morning Group 1	Morning Group 2	Morning Group 3	Afternoon Group 1	Afternoon Group 2	Afternoon Group 3	Evening
Mon	Citizenship - 1 <i>TV Room 1 Roger</i>	Citizenship - 1 <i>TV Room3 Jenny</i>	Cleaning & Community Activities	Mentors Meeting – TV room 1 Spur meeting Community Meeting Community Activities			Bible study (optional) Run by Chaplaincy
Tues	Cleaning & Community Activities	Citizenship - 2 <i>TV Room3 Jenny</i>	Citizenship - 1 <i>TV Room1 Steve</i>	Spur meeting Gym and One to One's Therapeutic duties/Work			
Wed	Citizenship - 2 <i>TV Room2 Roger</i>	Citizenship - 3 <i>TV Room3 Jenny</i>	Citizenship – 2 <i>TV Room 1 Steve</i>	Ancillary Period Spur Meeting Therapeutic duties/work			
Thurs	Citizenship – 3 <i>TV Room2 Roger</i>	Cleaning & Community Activities	Citizenship – 3 <i>TV Room1 Steve</i>	Therapeutic duties/work Spur meeting Gym and One to One's			<i>Social Evening with Volunteers</i>
Fri	Quiz <i>CommunityRoom Roger</i>			Free Association Spur meeting Community Activities Therapeutic duties/work			

NB this is a sample week for a programme running three parallel programmes

Resident work and roles

The Kainos TC provides an orderly and rational process for TC members to progress through the peer work structure and hierarchy.

· Peer group member:

When TC members first enter the community, they are assigned to a specific spur. They are asked to perform simple tasks and are assessed to determine their attitudes, personal and work habits and basic self-management skills, such as following directions and accepting supervisor's authority.

· Peer supporter: (MENTOR)

When TC members have shown initiative and the willingness to take on more responsibility, they may be assigned to be probationary mentors and given responsibility for supporting other TC members. Probationary mentors focus on improving work relations and self management, while promoting a strong work ethic.

· Advanced peer leadership:

TC members who have performed well as probationary mentors may advance to more responsible positions such as full mentor or senior mentor/community President. In these positions, TC Management Manual, Mar 09 mp

members are responsible for maintaining the safety and healing environment of the TC by making sure rules are followed and systems are maintained. They also make sure that new prisoners are fully inducted into the programme and liaise with Kainos and Wing staff. They are considered peer leaders who are role models for right living.

The management of the mentor process is detailed within the TC programme manual, but briefly, consists of:

Mentor Proposal Procedures:

- All Prisoners must have been on the wing for a minimum of 15 weeks and have successfully completed the Focus Module.
- The Mentor proposal form is completed and is handed to the Spur Mentor.
- Kainos and Wing staff are informed of the proposal.
- The proposal is raised at the Mentor's meeting.
- The Mentors interview the proposed Mentor to ask him about his motivation for wanting to be a Mentor
- A decision is made by Kainos staff after discussion with the interviewing Mentors
- If the candidate is successful he will be informed by Kainos staff and his six week probationary period will start immediately
- The newly appointed Mentor will give an introductory speech at the next community meeting.
- If a candidate is unsuccessful, Kainos staff will explain why and discuss any areas that he may need to address. The unsuccessful candidate may re-apply to become a Mentor after a one month period.
- At the end of the six week probationary period a decision will be made by Kainos staff to fully appoint the Mentor or not.
- If the probationary Mentor has not been successful he will be told the reasons by Kainos staff and advised on any appropriate action the unsuccessful Mentor would need to take to become a Mentor.

Mentor Removal Procedure

- A Mentor will be removed from his position if his behaviour/attitude is unacceptable and he is not willing to change it
- If a Mentor receives an incentive warning or breeches prison rules while he is a mentor his position will be reviewed.
- If a Mentor breaks confidence at any time his position will be reviewed.
- In the above situations a meeting will be held with all the Mentors present, the Mentor who has been asked to step down will be present for this meeting where he can put forward his case. If the subject is considered too sensitive for an open meeting the meeting will be held without the mentors being present, this may be the case if the offence has an impact on specific prison security in any way.
- Should it be necessary that a mentor is to be removed he will be informed (where possible) of all the reasons for this and all the mentors will be present for this process.

Use of Volunteers

Volunteers are an important part of the programme. The end of programme feedback by graduates of the programme to date has shown that such commitment from community volunteers is greatly valued and respected. Results have shown that volunteers are effectively used in pro social modelling within the programme.

In order to maintain treatment integrity, it is imperative that volunteers are monitored in the delivery of their elements within the programme. In the Challenge to Change programme, volunteers need to have a good understanding of their role and how it fits into the programme. The volunteers also need to have an understanding of the programme ethos and aims.

Volunteers are permitted onto the Unit at the discretion of the Governor on the advice of the Wing Manager and the Programme Managers. Security considerations are paramount.

Any person from the surrounding community may apply to become a volunteer. Training for KC volunteers is comprehensive and includes training on various security and relational aspects of their role within the prison and the programme (See Training Manual)

The volunteers are supervised by the Programme Manager and are expected to conform to the rules, regulations and requirements of the Prison. Volunteers are escorted from the gate to the community room. All activities are supervised by a member of Kainos staff at all times and where possible also a member of prison staff.

Volunteer Selection and Deselection

After a prospective volunteer has made initial contact with the Kainos office from either the Kainos web site, or another source, the person is contacted by the Programme Manager at the prison nearest to them. The Programme Manager then arranges a date to meet the prospective volunteer to give them more information and discuss what the volunteer role would be and get a security application form completed in order that the prison can process their details and get the necessary clearance for them to be admitted onto the wing. The prospective volunteer is asked for two references from a people unrelated to them. Existing volunteers may also recommend prospective new volunteers. The next stage in the process is an interview which will include an existing volunteer as well as the Programme Manager as part of the interview panel.

If after interview, a volunteer is not accepted they are contacted by letter letting them know that they have not been successful.

After the prospective volunteer has been security cleared by the prison he/she will then be trained within the prison and the programme (See Training Manual).

Each Volunteer is given a copy of the Volunteer policy which gives clear guidelines on volunteering procedures and principles. The volunteer would also sign a volunteer agreement (see appendix) accepting the volunteering conditions stating that they have been trained and understand the prison requirements and rules as well as their role in the programme.

If for any reason a volunteer's behaviour becomes a concern to Kainos or the Prison, the volunteer is suspended from any volunteer work inside and outside the prison until an investigation has been carried out

Complaints can be made against a volunteer or a paid member of staff, and it should be made clear to Volunteers that should they need to make a complaint themselves this should be done through the Kainos Community Grievance Procedure. A Copy of which is available to them in every Kainos Community office.

All volunteers are asked to make themselves aware of the Kainos Community Disciplinary Procedure, making them aware that all volunteers and staff are bound by this Policy and procedures.

Resident progression through the structure of the Kainos Community

When the Prisoner is accepted on the programme and has signed the compact (see appendix) he is met by a member of Kainos staff who will welcome him onto the wing. The Prisoner is introduced to the spur that he is going into by the spur mentors who will explain the spur rules to the new Prisoner.

In the first week of the Prisoner being on the wing he has a formal spur meeting dedicated to him. It is chaired by the spur mentor with a member of Kainos staff present. The purpose of this is to formally introduce the Prisoner to the spur and to discuss any questions or queries that the Prisoner may have about any rules.

The Prisoner is also introduced to the entire community at the community meeting where he is free to ask any questions about the community. After that meeting he is formally introduced to all the Mentors in the community so that if he ever needs anything clarified, or any assistance he is able to approach any one of them.

The new Prisoner is taken and introduced to the Kainos volunteers during the Social Development evening where he is welcomed and invited to join in the conversation.

The Prisoner is seen by the Programme Manager or the Assistant Manager in the first week to check that he has settled into the spur, to discuss and answer any questions about the Programme and to complete any outstanding assessments.

Once 15 weeks of the Programme has been completed, he can be recommended for consideration as a mentor, with which comes greater responsibility in the community. This process is detailed within the TC programme manual.

Any mentor who has passed their probationary period of six weeks can then be recommended for consideration for advanced peer leadership.

Engagement within the programme

Attendance by residents at staff led module sessions is mandatory for all residents. They are also expected to produce at least one behaviour target for change at the end of each formal session which is added to their ILP. Any violation of this rule is immediately brought up at the spur meeting, and if not managed at this level, is taken to the community meeting for sanction.

Should a resident refuse to attend sessions and/or complete a daily behavioural target for change on more than two occasions, they then are at risk of being removed from the programme. This is reviewed on a case by case basis by the TC staff and community president.

Use of Key workers

The Treatment Manager must ensure that each resident has a named key worker allocated for the duration of the programme. (This may be any member of the Kainos staff team)

The key worker's main responsibilities are to:

- Provide a one to one session twice within the induction phase.
- Provide a one to one session once every two weeks for the remainder of the programme.
- Help the resident identify their progress to date in relation to their ILP and targets for change.
- Assist in clarification of any issues not understood by the resident regarding module content.
- Help the resident identify any future targets for change not likely to be covered within the core modules.
- Record this progress and the content of the one to one session.
- Identify when the resident's role within the community could be moved forward or changed.

Administrative processes to support the programme

After each module session it is the Programme Manager's task to ensure that the following tasks are carried out:

- An attendance register is completed, giving details where appropriate (e.g. late or missed session).
- Observations of Prisoners' behaviour, attitudes during breaks, demonstration of social skills etc.
- Assessment of any assignments.
- Pre and post intervention questionnaires by the Prisoners (See Assessment and Evaluation Manual) .
- A brief report detailing all observations about the prisoner is written. The report along with any notes is filed in each Prisoners' personal folder.
- Make comments on their weekly events log.
- A bi monthly report is completed and distributed to the Governor and Kainos Operations Director, logging meaningful activity hours, adjudications, assaults, Voluntary Drug Tests (VDT's), Mandatory Drug Tests (MDT's) (See Assessment and Evaluation Manual).

After each Community Activity:

- Social Development Meeting: An attendance register is completed by a facilitator, with comments for a validated absence.
- Community Meeting; an attendance register is completed by a mentor, noting absences and late arrivals.
- Spur Meetings: The duty mentor makes notes in the mentors' book of all items raised, so that they might be brought forward to the Community Meeting. Staff facilitators ensure that this book is up to date and that items are raised at the Weekly Community Meeting.
- Group Discussion Sessions: A note is made of any absences (only permitted for valid reasons e.g. Health Centre appointment). A one to one session happens with each absent resident later in the day to ensure that they are brought up to date with discussion subjects and relevant points raised.

Missing Sessions

Normally if a session has to be missed because of a valid appointment elsewhere or illness, time needs to be set aside by the facilitator to run a 'catch up session, in which a mentor may assist. If unforeseen circumstances arise where it is not possible for a prisoner to attend all the sessions and it is impossible for the prisoner to catch up the sessions, a case review should be held to discuss the progress of the prisoner. The Programme Manager, Assistant Manager, and/or Facilitator, and the Personal Officer of the prisoner would be required for the review. All extenuating circumstances need to be taken into account.

Resident's file

Every resident within the programme should have their file maintained, providing a progressive account of their development within the programme. This must consist of:

- Individual learning plan (ILP)
- Programme assessments
- Signed compact
- Key work record
- Targets for change portfolio
- Behavioural monitoring sheets

Effective evaluation of the programme

The methods used to assess outcome efficacy are detailed more fully in the Evaluation Manual. It is the responsibility of the Programme Manager to ensure that the following are undertaken:

Behavioural Assessments

Throughout their time participating in 'Challenge to Change' the behaviour of Residents is monitored by:

1. Recorded adjudications throughout all three phases of the programme
2. Recorded MDT & VDT negative and positive tests
3. Behavioural assessments from wing officers and Kainos staff on observed behaviour written up on an events/history sheet (See Assessment and Evaluation Manual)

Behaviour post programme completion is monitored through adjudications on the wing to which they have moved and this is measured against their behaviour and adjudication rate pre programme.

In order to more fully assess actual rates of recidivism following course completion graduates are monitored by the current IIS (Inmate Information System) on the LIDs system in the prison using the Home Office measure up to two years after release.

Post Programme Reports

A Post Programme Report is compiled for each Prisoner who completes the Kainos Programme (See Assessment and Evaluation Manual). The report documents the individual's progress and how well he has developed each of the cognitive skills targeted. A section on overall progress is also completed.

The quality of each report remains the responsibility of the Treatment Manager, who should ensure that the content is balanced, specific and as objective as possible. It is therefore important that examples of behaviour and events are factually described.

If the report writer is giving their impressions rather than describing specific instances, care needs to be taken to qualify these statements with phrases such as "it appeared that", "it sometimes seemed as if". It should be remembered that where Residents do not demonstrate skills or understanding but nevertheless have not demonstrated the opposite of what was expected, this is not in itself evidence of deficits and should be reported in terms such as "there was insufficient evidence to assess."

Residents must have sight of their reports prior to the Programme review and must be given adequate time to read and make comments. The report is then copied and circulated to all relevant departments, i.e. the supervising probation officer, the sentence management officer, the sentence management file/parole file and OBPU. The report is to be signed by the Programme Manager and the resident.

If the resident refuses to sign his report, it, should still be sent to all relevant departments with a note that the resident has refused to sign it. Copies of Post Programme Reports and Semi Structured Interviews should be kept and archived; they are **not** to be destroyed.

On-going monitoring processes

Aiding in the process of maintaining both facilitator motivation and treatment integrity the following processes are employed:

- The Kainos database collects core data information on the programmes for monitoring purposes. Bi-monthly reports are produced to evaluate progress and assess where attention is required.
- Copies of the bi-monthly reports are sent to the, Kainos Chief Executive and the Governor of the Prison. This information is passed on to staff overseeing the programme to ensure that monitoring continues to take place and that key performance indicators can be reviewed
- The Programme Manager is responsible for ensuring that the required data is systematically collected and given to the Treatment Manager for collation.
- Twice a year all Kainos staff undertake a residential training week away from the prison. This ensures that pressures of work and the prison regime do not interfere with the training. The week provides an opportunity to undertake training in specific areas and review the programme in detail. It also gives staff time to reflect on the way the programme is functioning and explore team dynamics.
- The Kainos programme is a hybrid model, with a variety of complexities and it is important that staff develop a culture where it is possible to acknowledge shortcomings recognising that mistakes are made. Kainos wants to develop a culture that encourages openness and sharing within the team, which allows for issues to be aired and shortcomings to be rectified, without the need for blame.

- Where possible, non completers are also assessed on discharge from the programme. By comparing participants' scores on these measures between admission and discharge it is possible to get a measure of the programmes impact in most of the factors it seeks to address.
- Participants are required to assess their own progress with their individual learning plans at set times during the programme (week 4, week 9, week 17 and week 23) this assessment is done with a member of Kainos staff.
- In addition, feedback is sought from participants on their perceptions of the programme; this is done during the Evaluation stage. Throughout the programme participants are given the opportunity to feedback to staff on concerns and suggestions for the programme via a number of mechanisms – spur meetings, community meetings, through mentors, in assessment sessions, through their personal officers etc.
- There are a number of mechanisms built into the programme such as staff supervision, staff meetings and the training/review weeks for evaluating the effect that working in the programme has on the staff. The programme depends on close team work and the ability for staff to be open with each other about their thoughts and feelings emanating from their work.
- The effectiveness of the programme needs to be kept under constant review and the weekly staff meetings are pivotal in providing a forum for staff to explore the impact that the work has on themselves and the participants. This opportunity to discuss and 'take stock' has proved to be very beneficial in maintaining drive, motivation and commitment of staff in running a programme that at times can be unrelenting in the pressure and demands it makes on a relatively small team.

Section 3: Management of Programme Facilitators

Management of Staff Selection Process

Recruitment and Selection of Kainos Staff

Kainos has a well defined recruitment and selection policy which is adhered to for all posts within the organisation. All information regarding recruitment and selection is in the Recruitment Policy and Procedures (see Appendix)

Individuals are initially assessed at shortlisting on the essential competencies of the particular Person Specification . Further Selection is through interview and practical assessment depending upon the post applied for.

Understanding the Theory and Cognitive skills Of the Kainos Programme

In order to deliver the programme in an effective manner candidates for all posts in the Programme need to demonstrate or have an understanding of the following:

- An understanding of the cognitive behavioural model underlying the programme.
- Familiarity with the research which underlies the programme.
- Familiarity with documentation related to the running of the programme, as in the manager's manual.
- An understanding of the selection and assessment procedures.
- Awareness of the importance of style and pace.
- An understanding of the TC skills necessary for working within the community.
- Supervision skills.
- Demonstrate non-sexist and non-racist behaviours to others. At all times to behave professionally and abstain from behaving in a way that would discredit the programme.
- Time management skills.
- Effective communication, management and team working skills.
- Ability to carry out simple research.

Staff Training

New staff are trained in group facilitation by an internal Kainos trainer. All are provided with a copy of the Kainos manuals. Within their Induction period, adequate time is given to read through the material. In their induction programme they also shadow and receive training from existing experienced Kainos staff in different establishments. For further information on staff training see (Staff Training Manual)

Before delivering a programme all Kainos staff are required to be competent in the following areas:

- Group Work (preparation, delivery & evaluation)
- Planning & preparing intervention / group activity
- Facilitating TC processes
- Supporting Prisoners in interventions / activities
- Evaluating interventions / and group activities

See staff training manual

Supervision

Supervision is the method by which the quality of programme delivery is maintained and developed. The definition of supervision would be: “A working alliance between professionals where supervisees can offer an account of their work, reflect on it and receive guidance and advice. The object is to enable the worker to gain in competence, confidence and creativity, so as to give the best possible advice to clients”. Supervision sessions are logged in a supervision log and the supervisor and supervisee complete a supervision contract. (see appendix)

There are four purposes for supervision:

- Programme integrity
- Training
- Advice
- Support

Kainos supervision has a dual role:

- To protect prisoners by providing a regularised critical reflection on practice, through managing and promoting the insight of Kainos staff in the ‘traps’ this type of work can involve.
- To protect staff from stress, client burn out and falling into the stereotypical labelling possible within this type of client work.

Supervision will take place in a group setting in the one and a half hours set-aside during the week. Individual supervision will take place where there may be a concern or an area of sensitivity that may be an issue specific to an individual tutor. If any discipline staff are involved in delivering any element of the programme it will be recommended that they attend the supervision sessions.

Supervision Availability

Supervision is available for all Kainos staff. The Programme Manager who will have training in supervision skills should conduct it. The Assistant Manager should also receive supervision training.

Supervision within Kainos

Kainos provides two types of support:

Line Management

Kainos gives supervision in its annual staff appraisal (SPDR) and training needs analysis / development, as well as personnel support and guidance from specialist advice e.g. from the Trustee base and others (when necessary).

Group Supervision

This is combined with the provision group supervision sessions that take place a minimum of three times a week. This gives staff an opportunity to reflect, with others or a line manager, on the delivery of client work, enabling an identification of good practice, traps, learning and identification of practice that can be improved to reduce risk to prisoners and their families.

Process for Supervision

Any staff member wanting 1:1 time with their line manager is entitled to expect that a simple request will enable them to have a meeting with their line manager within 4 working days. In extreme circumstances, this would reduce to within 1 day, acknowledging that this may have to be out of hours or by phone, followed up by a meeting within a reasonable time frame.

- For routine line management, there is an annual appraisal and a regular 1 to 1 weekly meeting at which to address any pertinent issue.
- The second opportunity for the staff member to reflect on an issue is to use the group supervision sessions. The following points are an outline of the scope of authority of the group sessions:
 - The origins of the issues and who said what at the meetings would be contained within the meetings
 - The minutes will be circulated to attendees only
 - Any decisions taken would be corporately owned
 - Agendas would be agreed at each meeting
 - The remit is the smooth running of Kainos; ensuring the effective and efficient service for prisoners
 - That any issue raised by a staff group will be presented with some idea for potential resolutions of the issue.

Expectations of staff

All Kainos staff can expect:

- To have a prepared and attentive supervision session and an opportunity at mutual convenience to see and be heard by their line manager.
- That their supervisors are in supervision.
- Respect and acknowledgement of the work delivered.

Expectations of Kainos

Kainos expects:

- Staff to operate within the guidelines laid down within the Kainos training, managers manual and within the parameters set out by the Prison Service. This protects staff and prisoners from risk and mitigates harm.
- Staff to prepare for and create an appropriate agenda for supervision, this will need to be open and honest with a readiness to address issues that are difficult and challenging.
- Staff to constructively raise any issue of concern at the point at which it becomes concerning, not once it has become an issue of distress / grievance.
- Respect and acknowledgement of the constraints placed upon Kainos and the environment it operates in.

Confidentiality Boundaries

Kainos staff may discuss any issue related to their work in confidence. The only exceptions to this are where a specific concern may be raised.

- Where a staff member has a problem which has potential to impact on their ability to deliver their job role safely (e.g. if the staff member shows that their stress levels are such that they may be endangering their, or others health)
- Where a staff member may be considered to be bringing Kainos or the Prison Service into risk or disrepute. Examples of risk and disrepute would include:
 - Breaching policy e.g. confidentiality / anti discriminatory practice;
 - Inappropriate social interactions with prisoners
 - Sexual or intimate relationships with prisoners
 - Making regular promises, which are inappropriate to prisoners such as maintaining confidentiality, which contravenes the safe working framework or another policy
 - Inappropriate behaviour e.g. racist, sexist, discriminatory.
- Where a third party, or specifically a child is at risk.

Minimum clinical supervision standards are:

- Bi Weekly line management supervision by the Programme Manager and/or Treatment Manager
- Weekly group supervision by the Treatment manager
- Monthly personal supervision by external line manager

Prison Staff Awareness Training

The Programme Manager is responsible for ensuring that awareness training is routinely available for all Prison Service staff (uniformed and civilian) and volunteers, as well as a training session for new prison staff joining the establishment.

A PowerPoint training presentation for Prison staff covers the following:

- The aims of the Kainos Programme
- Evidence about the effectiveness of the programme
- A description of the Programme content
- How the community works
- What staff can do to support the programme
(See Training Manual appendix)

The Programme Manager and Assistant Manager normally deliver each session.

Kainos Staff Disciplinary and Dismissal Policy

The Kainos Staff disciplinary and dismissal policy sets out a common understanding and achievement of standards of performance and patterns of behaviour acceptable to Kainos Community.

The document sets out the charity's policy and procedure in relation to counselling and disciplinary matters, including conduct and non-health capability issues. It is designed to ensure that managers and employees are aware of their rights and obligations in matters relating to discipline and dismissal and that disciplinary action is taken in a correct and fair manner throughout the charity.

The procedures have been designed in accordance with the principles of natural justice and the recommendations of the ACAS Code of Practice on Disciplinary Procedures

Responsibilities of Programme Facilitators

The term facilitator rather than tutor highlights the importance of the reflective nature of staff interaction with offenders within the programme, rather than the merely teaching stance taken by other programmes. Sensitivity to group and individual interpersonal dynamics are of central importance in the effecting running of the Challenge to Change programme.

Main Responsibilities:

- To deliver the programme in compliance with the agreed SLA for the establishment.
- Address anti-social behaviour with the Prisoners in accordance with programme rules.
- Manage volunteers and motivate the Prisoners in their social development.
- Give adequate support to the Prisoners to enable them to successfully complete the programme.
- Obtain feedback from Prisoners on the quality of the programme.
- To be involved in the pre-admission phase in order to build initial rapport with offenders, but also to facilitate groups that identify the principles, processes and boundaries of the programme.
- To ensure that offenders complete pre and post assessment forms.
- To deliver the programme as outlined in the programme manual.
- To provide individual support for offenders who are struggling in the programme, or who have missed a session.
- To help identify, select and support peer supporters.
- To use a socratic, reflective and collaborative approach in running group sessions that utilises peers, to offer challenges to signs of thinking errors such as minimising and denial.

- To use staff review and supervision sessions to reflect upon their own practice and any group dynamics that may be reducing programme effectiveness.
- To keep a record of attendance and assignment completions.
- To maintain a record of session processes and individual offender progress throughout the programme.
- To amend their interpersonal style according to any concerns noted by the treatment manager.
- To work with offenders and throughcare staff to ensure that prisoner Individual Learning Plans are realistic and strategies put in place to make them achievable.

Staff Deselection

Staff may be considered for deselection only after repeated demonstration of the following:

- Performance below that required for appropriate delivery of the programme
- Evidence of deliberately altering programme delivery
- Poor record keeping

Should such behaviour be in evidence, the Treatment Manager in consultation with the Programme Manager will meet with the facilitator to discuss one of the following options:

- Retraining
- Review and monitoring of core competencies
- Removal from the group (temporary or permanent)

The management of this process should be such to allow maximum opportunity for facilitators to prove their abilities whilst at the same time minimising disruption to the effective delivery of the programme. This process will also be implemented for any external staff, but in this instance the procedure must be undertaken with full understanding and assistance from the individual's external line manager.

Section 4: Selection and management of Prisoners

Management of Offender Selection Process

Recruitment and referral

Participants for the Kainos programme are identified through the following mechanisms:

- **OMU (Offender Management Unit):** Prisoners are identified who have deficits in areas that have been identified as needing attention through their own assessment process. The assessors may make a direct referral to the Kainos team.
- **Induction:** All prisoners have an induction period on arrival at the prisons that they are in. Members of the Kainos team have space for a presentation in the weekly induction programme that all the prisoners need to attend within the prison. The prisoners are informed about the Kainos programme by the Kainos team and are able to answer any questions in this forum.
- **Personal Officer:** Each prisoner is allocated a personal officer when they arrive on a wing. The personal officer will get to know a specific prisoners needs quite well in a relatively short period of time. They are able to make direct referrals to the Kainos team.
- **Other Prison Staff:** Other prison staff who come into daily contact with prisoners, e.g. Healthcare staff, or teachers could identify prisoners who may display specific types of behavioural traits that may be addressed by the Kainos programme.
- **Other Prisons:** Other prisons can identify prisoners who could benefit from the Kainos programme. The prisoner must have at least twelve months to their earliest possible release date. The referral must come via the OMU or the prisoner's personal officer and therefore an OASys assessment is usually completed. The prisoner's personal officer is required to provide information on the prisoner's general behaviour and their perceived suitability for the programme.

Selection Criteria

Prisoners are selected according to the following criteria:

- If they have a medium to high risk of offending, as identified by an OGRS score of above 30.
- If there is evidence to support the presence of two or more criminogenic needs target by the programme, namely:
 - Deficits in self management, decision making and problem solving
 - Poor cognitive skills
 - Poor pro-social interpersonal skills
 - Cognitive support for offending

These are assessed using the methods detailed below:

Selection process

The methodology employed to select prisoners is detailed in the Evaluation and Assessment manual, but briefly consists of:

Initial referral:

Anyone from within the prison can refer themselves, or be referred by a member of staff with the offender's permission, for initial assessment, as long as they have an OGRS score of above 30.

Pre-admission assessment:

Once a referral has been received, all are assessed initially by use of the following psychometrics (details of which are to be found in the evaluation and assessment manual):

- Barratt Impulsivity Scale (BIS-II)
- Crimes PICs (PICs-II)

In addition a Kainos staff member administers a semi-structured questionnaire to assess further their abilities to problem solve, think consequentially and react pro-socially in defined social situations.

Due to evidence from research suggesting that more effective programmes are those which target more than one risk factor, offenders are only selected for the induction phase of the programme if they are deemed through this assessment to have two or more of the targeted risk factors.

If the prisoner is assessed as having two or more of the dynamic risk factors targeted by the programme, they are then moved into the initial four week assessment phase.

Four week assessment phase/Induction:

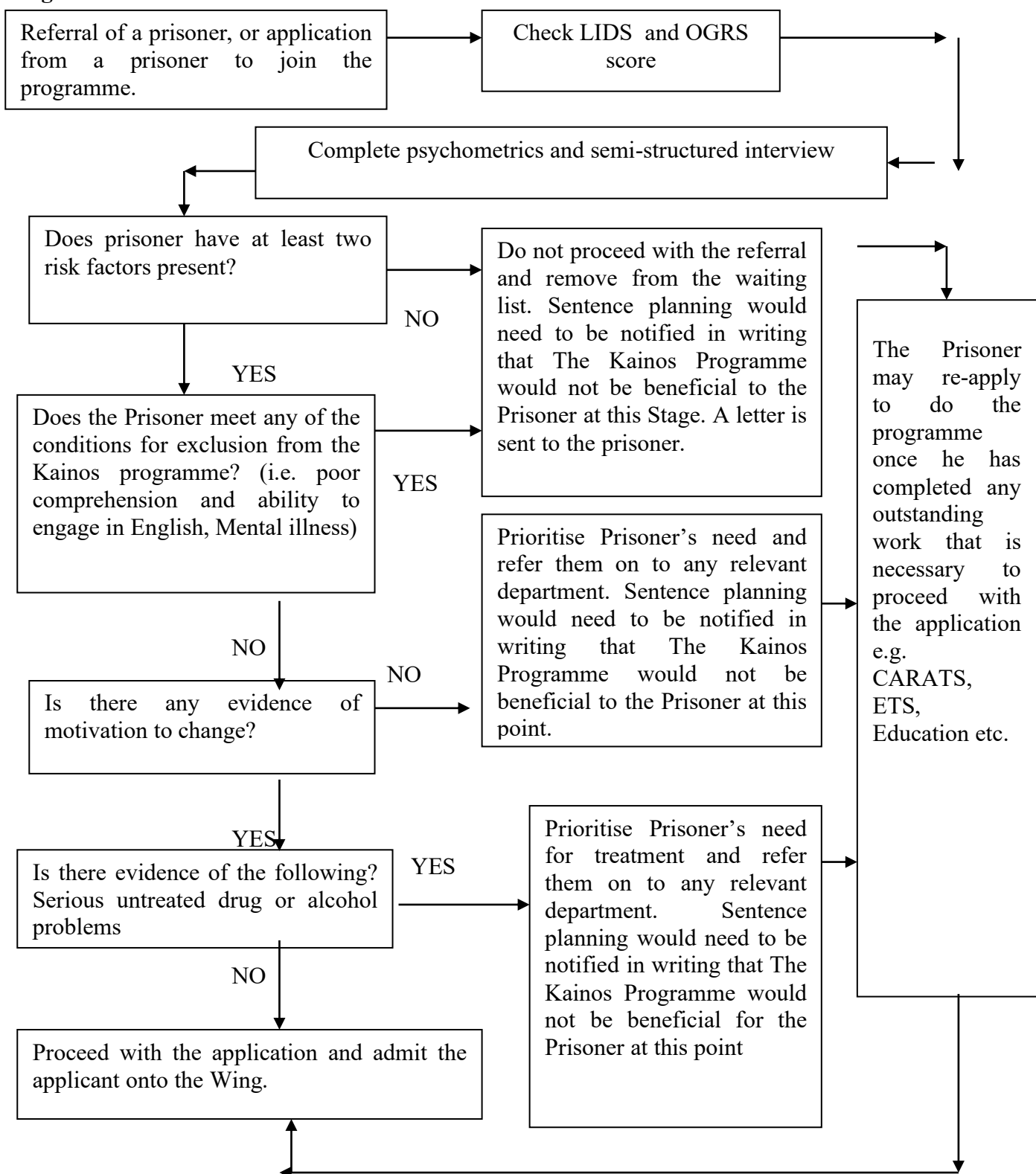
Once within the induction phase of the programme, prisoners are observed by staff through the use of a behavioural checklist to assess the extent to which prisoners are displaying these risk factors within the TC setting. The EPQ-R is also administered, to assess the personality style that each prisoner displays, as this can inform both how they are likely to present, and the intervention style most likely to be effective. This then informs the production of their Individual Learning Plan, where initial targets for change are agreed with the prisoner ready for when they begin to enter the core phase of the programme.

Exclusion criteria

Prisoners would be excluded from the programme under the following criteria:

- If the prisoner refuses to complete the psychometrics for the programme
- If the prisoner has less than 7 months to serve
- If the prisoner was unable to function at the required literacy level (that of an average 10 year old)
- If the prisoner does not speak any English – the programme cannot be carried out through a translator.
- If the prisoner has a clear mental health condition
- If concerns are raised during the four week induction of possible psychopathy, and they were then assessed and scored above 30 on the Hare Psychopathy checklist.
- If they were unable to remain drug free during the four week induction phase

Algorithm for the selection of Prisoners



Deselection processes

Deselection is primarily the treatment manager's responsibility, but consideration for deselection should be undertaken in conjunction with the programme and throughcare managers. Facilitators should NOT make this decision, as it could jeopardise their relationships within the TC.

The possible deselection should also be discussed with the prisoner, who should be given clear reasons for the possibility, and if at all possible without compromising the TC rules be given every opportunity to change within the TC regime. This deselection process should be seen as the last resort.

Possible reasons for deselection could be any of the following, but these should be considered on a case by case basis:

- A positive drug test
- Violence or consistent threats of violence
- Persistent failure to adhere to TC or module rules
- Consistent manipulation or intimidation of others

Where the prisoner is deselected, the end of treatment report should be completed up to the point of his departure.

If possible, prisoners should be given the opportunity to return on to the next Programme, should they be able to display behavioural changes likely to reduce their risk of future deselection.

Administration of the selection and prisoner assessment process

Pre-admission

Once a referral has been received a member of the Kainos staff checks the prisoner's name on the LIDs system to ensure that the prisoner has sufficient time to complete the programme and that the information supplied is correctly recorded on the application form (See Assessment and Evaluation Manual).

If the prisoner's application is unsuccessful e.g. the prisoner's earliest possible release date prevents them from completing the programme, a letter (See Assessment and Evaluation Manual).

stating the reasons is sent to inform them that their application cannot be accepted. If the prisoner is unsuccessful (either because he does not fully meet the criteria or it is felt that it is not appropriate due to security information or behaviour) an appropriate letter (See Assessment and Evaluation Manual) is sent informing him. Copies of these letters are passed on to the Offender Management Unit.

Once a prisoner has been moved onto the wing he will begin the induction phase where he will complete the other psychometric measures used to assess the presence of risk factors targeted by the programme.

Induction phase

Before agreeing to start a programme Prisoners need to be formally advised of a number of conditions:

- Completing the Kainos Programme is not a guarantee of parole, ROTL (Release on Temporary Licence) , HDC (Home Detention Curfew) or any other early release option.
- The quality of their post programme report is more important than the fact that they have attended the course.

The Residents will need to complete a compact (See Assessment and Evaluation Manual) that sets out guidelines for their behaviour and attendance.

Having been advised of the requirements of the programme the prisoner should be asked if they have any special needs, or anticipate any problems with these conditions. If so the Programme Manager should then explore if these can be accommodated whilst still adhering to the course requirements.

In the Induction phase of the programme Individual Learning Plans are completed with each participant (See Assessment and Evaluation Manual).

Post-programme

The purpose of the exit review is to ensure the participant receives a formal review of what they have learnt/achieved whilst on the programme and to identify actions for future learning. An in depth discussion with the participant will identify formal and broader goals to action for future learning, within custody or in the community, and enable the motivational sharing of success.

Once the participant has completed the programme, a copy of the completed ILP is forwarded to Sentence Planning and is placed in the prisoner's file.

Section 5: Throughcare and Resettlement

Throughcare in the Prison Service

Initial referral to the assessment stage of the programme can come through either self referral or from any prison member of staff. It is good for all staff who are involved in the throughcare of prisoners to be aware and work in conjunction with other initiatives run by the prison service and other organisations such as The Prisons Partnership Programme which involves specific staff who are responsible for the individual's progression through the prison system. It is important that wing staff i.e. personal officers are informed of the outcome of the assessment process at the assessment phase and progression through the programme is fed back to relevant wing staff on a regular basis.

Case conference

After programme completion, full details of their progression through the programme and recommendations for further work is written up and follows the offender through the rest of their sentence. This document is finalised through a case conference with all staff involved with that prisoner during his time within the TC.

Details in these comprehensive notes include levels of participation, treatment progress, current commitment for ongoing change, recommendations for further work and remaining risk. The post programme report is detailed in the evaluation manual.

Family Day

This is seen as a central event in the throughcare support of the resident immediately following programme completion. This process is detailed within the TC programme manual, but briefly comprises of:

- Kainos staff, discipline staff, the governor and prisoner meet with the participants families, from 10:30am to 3:30pm, with a lunch included
- An opportunity for Kainos and discipline staff to interact and discuss with the family what progress the prisoner has made on the programme.
- Ensuring that the family members are aware of the changes that have taken place within the prisoner in order for them to be prepared for this upon release.

Development of throughcare network

A throughcare network is drawn together both during the core programme and following programme completion. The individual's plans for maintaining change is supported and monitored by the treatment team and the throughcare manager, with the post programme TC phase providing an opportunity for the process to be supported in either 'bedding down' or being adapted as necessary.

The Kainos Challenge to Change programme also integrates with many other treatment interventions. For some offenders the programme simply could not be considered until the processes underlying their drug abuse had been fully addressed and coping strategies for continued abstinence developed, and such individuals may be referred to a specific drugs programme before entering into the Kainos TC.

Any risk factors not fully addressed in the core phase are highlighted in the post programme report. Should individuals have enough time left to serve, they are then encouraged to attend the relevant programme such as the CSCP, which may mean a transfer to another prison. Attempts are always made to house graduates on a drugs free or TC wing of a prison running such programmes. Should offenders not have enough time left, the resettlement unit ensures through-care is carried on into the community, including residential rehabilitation centres and/or continued offender work with community probation.

Throughcare in preparation for release

For those offenders preparing for release, throughcare needs into the community are met by active involvement during the post programme phase of programme, with the involvement of the resettlement team, prison and community probation, friends and family and, where appropriate, religious support groups. A key aim of the programme is to ensure community networks are available and are aware of the issues needed to support the progress made by graduates of the programme. Probation input, although complementary, is seen as an important part of the post programme phase and is detailed in the programme manual.

Resettlement

In the final weeks of the programme (Evaluation module) there are timetabled meetings to address issues that may arise and for representatives from support agencies to outline what support can be offered. This section of the programme also gives residents the opportunity to explore any deep issues that ‘come up’ for them in thinking about any problems or fears that have arisen during the course of the programme that have still not been resolved.

Another objective in this period is to prepare residents for re-entry into the community or movement to another wing or prison. It gives opportunities for residents to discuss their concerns about moving off the programme and the wing.

Alongside these meetings residents continue to participate in spur and community meetings as well as discussion groups. Additional meetings are also arranged with visits from outside community based programmes who can offer help with housing, training and employment.

Referrals to community based programmes are made in conjunction with the prison’s IAG (information and guidance) as well as Resettlement and Probation.

Where possible, Kainos’s Regional Manager makes contact and arranges volunteer/mentor support on release and or contact with other networks that offer support to ex-offenders.

For those residents who will be moving from Kainos to another Wing or Prison, Staff discuss with them where want to go for family reasons or employment benefits.

Lists are made available of every prison and every course to those remaining in prison, in order that they might be able to make informed decisions and requests.

Discussions take place with the resident and his Personal officers regarding sentence planning and/or personal goals.

Staff make sure that additional needs that have been identified in the TC that require specialist intervention and support outside the scope of the Programme, such as education needs, training etc. These are passed on so that they can be included in the sentence planning process.

If a course is agreed upon, Staff contact the establishment offering this to see if it is possible to arrange transfer there.

Those who are remaining in the same establishment but transferring out of Kainos to another wing have arrangements made to be visited by their new Personal Officer. All graduates remaining in the prison may continue with Kainos Social Development evenings if they wish.

All residents are issued with a card identifying them as Kainos Community residents, with Kainos contact details and are encouraged to keep in touch via letter or the website.

A section of the website is available to graduates of the Programme. Ex residents are made aware of this.

All residents are given a small work book which they are encouraged to work through in their first month 'post Kainos' with their Probation Officer or Personal Officer. The purpose of this is to reinforce what they have learnt on the programme and to remind them of the goals they have set themselves..

Kainos in the Community

Kainos is developing a comprehensive programme of support for ex-residents on release. A pilot project has been started with a Regional Manager in post to develop Kainos in the Community in the Midlands. Support and assistance will be available to all to graduates on and after their release in the Midlands area.

This support will include:

- a network of trained volunteers to be mentors.
- facilitating available support from other agencies such as NACRO, Salvation Army Hostels, Langley House Trust, Stoneham Housing etc, to give practical advice and support with housing and employment opportunities.
- facilitating family support such as Relate

Prisoners who are released are given the opportunity to met at the gate by a Kainos employee or representative to welcome the ex prisoner to the outside world. The prisoner is taken to breakfast where he can chat informally about his feelings, concerns or fears. After breakfast, arrangements to ensure the ex offender gets to his destination, or fulfil his licence conditions are undertaken.

Practical advice is available for the newly released ex prisoner on the following areas if he requires it:

- Housing Contacts and Advice
- Help with Substance Abuse
- Help with Self Worth
- Employment Contacts and Advice
- Education Pointers
- Environment Pointer
- Family Issues
- Help with Budgeting and Finance

Additional links are being developed with the business sector to explore more long term sustainable job opportunities for released graduates.

If possible, and with the offender's permission, contact is made by one of Kainos' volunteers in the community with his family, to assure them of support when the offender is released. This support will mirror that given by volunteers 'inside', in that a visit will be made once a week for 90 minutes to simply to chat in a social context, as well as providing contacts in the community who might be able to support with specific issues.

Volunteers will also be available for phone support and to accompany the ex offender to his first interview or to accompany him to the Job Centre. This support offered is not counselling, but that of mentoring. It is expected that the support will be more intensive in the first few weeks after release but that after one year it will be needed less as the ex offender is encouraged to develop his own support networks.

Appendices

Contents:

1. Prisoner Compact
2. Supervision Log Template
3. Supervision Contract
4. Supervisee Supervision Form
5. Volunteer Agreement
6. Recruitment Policy
7. Training and Development Policy
8. Discipline and Dismissal Policy
9. Grievance Policy
10. Annual Leave Policy and Procedure
11. 'Blowing the Whistle' Policy
12. Harassment and Bullying Policy
13. Staff Appraisal policy

Prisoner Compact

THE COMPACT

- 1 **I agree** to participate fully in all aspects of the KAINOS COMMUNITY Programme as agreed for me. **I agree** to live by the principles it teaches and to be supportive of all other members.
- 2 **I agree** to take responsibility for my own actions, to work for change within my own life and to be a positive influence within the Prison and the wider community. **Any violent, abusive or threatening behaviour deemed unacceptable will result in a review of incentive level and possible removal from the Wing.**
- 3 **I will** keep my personal area/cell and myself clean; **I will** respect and enhance the environment in which I live and will undertake to share any extra cleaning tasks as requested.
- 4 As a prisoner in the Programme on the Kainos Unit, **I accept** that I am still subject to normal Prison rules and regulations, and that information recorded may be used at any time to check re-offending statistics.
- 5 **I will** work as required, co-operate fully with the sentence planning system and attend any offending behaviour groups and courses recommended for me.
- 6 **I will not** be involved in the use of, or trafficking in, drugs, alcohol or pornography, or take part in gambling within the Unit or the Prison, and readily **agree** to be drug tested on a frequent ad hoc basis if required and searched in line with normal prison procedures. **I accept** that Kainos is a Voluntary Testing Unit and that it operates a zero tolerance drugs policy.
- 7 **I agree that if I test positive for the use of any illicit substances, fail to attend, or if any sample I give proves to have been adulterated, my incentive level will be reviewed. I will be removed from the Kainos Community, and Sentence Management will be informed.**
- 8 **I agree** to commit myself to the Kainos Programme and to participate fully in all the interventions as agreed with me, so as to ensure that I get the maximum benefit from it.
- 9 **I accept** that anyone not complying with the above may be removed from the Programme and the wing at the discretion of the Wing Principal Officer, Senior Officer or Programme Manager and, if appropriate, returned to the Prison of transfer, or back to the wing of origin.
- 10 As I have committed myself to participate fully in this Programme as agreed with me, **I accept** that **no transfer applications** will be processed during the period of the Programme **except** in very special circumstances in agreement with the Programme Manager and Principal Officer.
- 11 As part of the Challenge to Change Programme Photos may be taken on some occasions and published to promote the Programme, but that I can refuse consent for my image to be used.

Have you read and do you understand the COMPACT?

YES

☐

NO

☐

I give my consent to allow my picture to be used in publications

YES

☐

NO

☐

Do you agree to abide by the COMPACT?

YES

☐

NO

☐

Applicant's signature:Date:

Wing S.O's comments

PRINT NAME:Signed:.....Date:

Supervision Log Template

Date	Duration	Supervisor	Areas of work discussed, intended actions, reflections on practice : Intervention presentation Maintaining treatment integrity Managing offender issues Managing process issues Pro-social modelling Administrative issues



Supervision Contract

Contract drawn up between (Mike Philips), and (Jeremy Butler) for supervision

1. Supervision will take place on a monthly basis. One hour will be allowed for each session. The sessions will be booked in advance, if either party needs to change the arrangement an alternative will be booked.
2. Sessions will be uninterrupted
3. The line manager will take the notes for each session. The notes will be approved at the start of the following session at which time any action required by the notes will be checked to ensure follow up.
4. The focus of the session will be primarily on Jeremy Butler's performance in role. It will be task centred and examine ways of enhancing Jeremy Butler's performance. Attention will also be given to how Jeremy Butler is feeling about his working situation and other issues that may be affecting his performance.
5. Both Mike Philips and Jeremy Butler will prepare in advance for supervision sessions.
6. The sessions will be confidential except for information which arises in the session which needs to be shared with the management team. If any information needs to be shared this will be clarified beforehand.
7. Both Mike Philips and Jeremy Butler are aware of the importance for their relationship to be open and honest. Any difficult issues should be raised in this forum rather than letting them fester.
8. Should any difficulties emerge within the supervisory relationship, it will be open to Jeremy Butler to request a three way meeting between himself, his line manager and his line manager's manager.

Signed(Line Manager) Date.....

Signed(Staff Member) Date.....

Supervisee Supervision Form



Name:

Date:

What is enabling you to do your job?

What is restricting you your doing your job to a high standard? Is there something that could be done differently?

Supervisee Issues

Team Issues

General Issues

Diversity Issues

Sickness / other absence:

A/L taken this month:

A/L remaining:

Please give an example of a recent piece of work that you felt proud of or something that went well, or something which you found challenging.

Are there any areas needing extra focus or assistance? (if relevant)

What training have you been on this month? And what future training has been identified for you

Any other comments?

Date of Next Supervision:

Signed (Supervisee):

Signed (line manager):

Volunteer Policy

1. Kainos Community's Mission Statement

Inspired by Christian values of social concern, Kainos Community seeks to expand delivery of community based programmes within and outside prison. These programmes aim to reduce re-offending and enable people to live purposeful and stable lives both during their sentence and after release.

This mission will be carried out by:

- 1.1 Helping as many prisoners as possible develop healthy relationships through the combination of community life and Christian values by example.
- 1.2 Work outside the prison, including with other agencies, to help families as well as the Kainos graduates, both during the remainder of their sentence and following their release
- 1.3 Welcoming all prisoners who fit the accreditation criteria, regardless of their personal beliefs or backgrounds, who wish to embrace the Challenge to Change programme, and will respect the practices of the Community
- 1.4 Being a respected, professional agency working cooperatively with the Prison Service and its Chaplaincies, Prison Fellowship, Alpha and other agencies to deliver a programme which is complementary to the courses delivered by other providers
- 1.5 In the medium term, developing programmes based on Kainos values and principles for delivery in new settings such as women's prisons, secure young offenders institutions and non-custodial settings.

2. Statement of Principles for Involving Volunteers

- 2.1 KAINOS COMMUNITY encourages the participation of volunteers (subject to security checks) in a variety of its activities including direct involvement in fundraising, publicity and administration.
- 2.2 No volunteers are able to start activities with KAINOS COMMUNITY until a volunteer application form has been completed and two satisfactory references received and the Kainos Community Volunteer Agreement signed.
- 2.3 It is acknowledged that volunteers are involved in a way that complements the work of paid staff, and bring an invaluable variety of skills, interests and experience.

2.4 Within their role as volunteers it is recognised that they can give help in ways that would not be possible for paid staff, but are not expected to fill staff roles.

2.5 KAINOS COMMUNITY recognises that volunteers also provide valuable links with their local area and groups and businesses in a way that is not possible for staff.

2.6 KAINOS COMMUNITY acknowledges that by involving volunteers, the charity has a responsibility to provide information, appropriate training and adequate support and supervision.

3. The Work of Volunteers

KAINOS COMMUNITY volunteers work with the guidance and support of their named support person (who may be a paid member of staff or trustee).

- To raise awareness of the work undertaken by Kainos Community
- To support work on prison premises to enable the offenders to interact with members of the community
- To raise awareness in the community at large of this work and to encourage the local community and beyond to raise funds for this work
- To set up prayer networks in their local areas
- To give administrative support

4. Involvement and Commitment

4.1 The nature of your involvement and KAINOS COMMUNITY's expectations regarding your commitment to your work as a volunteer will be clearly explained by your contact person.

4.2 Should you be dissatisfied with your involvement or wish to discontinue your involvement as a volunteer, it is expected that you will discuss this with your contact person.

5. Equal Opportunities

5.1 KAINOS COMMUNITY is committed to the principles of Equal Opportunities. It is committed to promoting equal opportunities and preventing discrimination on the grounds of:

Age
Culture
Disability
Employment Status
Financial Status
Gender
Ethnic to national origin
Colour
Race
Creed
Sexual orientation
Marital Status
Domestic Circumstances
HIV status
Social Class

5.2 This Equal Opportunities policy (published elsewhere in accordance with Kainos Community policy) applies both to how the charity's objects are applied and to its own employment practices, and has been interpreted to include employees and unpaid helpers.

5.3 In accordance with this KAINOS COMMUNITY will recruit new volunteers on task-related criteria only.

5.4 All volunteers will receive basic equal opportunities training at their induction and are expected to comply with this in their own work for KAINOS COMMUNITY

6. Expenses

6.1 KAINOS COMMUNITY will pay all necessary travel expenses for volunteers at the either the public transport rate or current mileage rate if using your own car

6.2 You are also entitled to claim out of pocket expenses related to your work., such as postage, envelopes etc with prior approval of Kainos Community Staff

6.3 The method of how to claim this is clearly explained to new volunteers during their initial induction programme

6.4 Payment will normally be made by BACS at the end of a month, and volunteers are asked to provide their bank details and National Insurance Number to the charity

6.5 You will be provided with the appropriate equipment to be able to carry out your tasks to the agreed standard, you will not be expected to provide these yourself.

7. Training, Support and Supervision

7.1 KAINOS COMMUNITY is committed to providing the necessary training, support and supervision to enable their volunteers to work confidently and effectively. This will not only enhance their effectiveness and their contribution to the charity but equally important, to their own job satisfaction.

7.2 Initial training for volunteers will provide the opportunity to gain information about the aims and objectives of the charity.

7.3 Volunteers assisting KAINOS COMMUNITY on HM Prison Property are required to undergo basic training for volunteers on issues such as Health and Safety, Fire, Security etc

7.4 Volunteers should be encouraged to make suggestions about the type of training they feel they need to assist them in their work.

7.5 Due to the nature of the work it is recognised that on occasions volunteers may feel the need for extra training in listening skills or matters such as security. This extra support will be given after discussion with your support member of staff.

7.6 Volunteers might also need to discuss their own feelings about crime and victim issues. Confidential support is given by KAINOS COMMUNITY.

8. Health and Safety

8.1 In premises used by the organisation KAINOS COMMUNITY has a legal duty to provide staff and volunteers with a safe working environment.

8.2 All volunteers will receive basic health and safety, and security training at their initial induction.

9. Insurance

9.1 Mindful of its responsibilities to staff and volunteers KAINOS COMMUNITY has arranged the following insurance cover on behalf of all paid staff and volunteer workers whilst they are engaged upon normal KAINOS COMMUNITY activities

9.1.1 Third Party Liability

9.1.2 Public Liability

9.1.3 Cash handling (NOTE: this will be invalid if the person concerned has not taken 'adequate care' whilst handling monies for the charity)

9.2 If you need to use your car in order to carry out your work as a volunteer, mileage rate will be paid at the agreed rate at the time. (See Expenses) BUT

9.2.1 You need to inform your insurance company that you are using your car for this purpose, and to indemnify KAINOS COMMUNITY against Third Party claims.

9.2.2 A form is available for you to send to your Insurance company.

9.2.3 You MUST NOT use your car as a volunteer until this has been done.

9.2.4 A copy of their reply and also of your driving licence will need to be kept by KAINOS COMMUNITY.

10. Cash Handling

10.1 KAINOS COMMUNITY is required by law to exercise 'a duty of care' when recruiting volunteers who may have to handle money.

10.2 When any money is collected an official receipt must always be given in accordance with current KAINOS COMMUNITY policy on handling money (a copy of which will be given to volunteers at induction)

10.3 KAINOS COMMUNITY has arranged insurance cover for volunteers in relation to cash handling, however this will be invalidated if 'adequate care' is not taken by the volunteer.

11. Data Protection Act 2000(1984)

11.1 KAINOS COMMUNITY is a registered user under the above Act. Limited essential information is held about volunteers on computer.

11.2 As required by the Act a supporter has access to all such information held about them.

11.3 Any information held by volunteers on other supporters, whether on computer card index or paper, has to be kept in a secure locked place, where no third party has access to it.

11.4 All information given or acquired by a volunteer during their time with KAINOS COMMUNITY must be regarded as confidential and must not be passed on to any third party either during or after their time with KAINOS COMMUNITY.

12. Grievance Procedure

12.1 Complaints can be made against a volunteer or a paid member of staff, they may be brought by the volunteer, a member of paid staff or a member of the public.

12.2 If a volunteer should have a formal grievance they should follow the agreed Grievance Procedure.

12.3 Volunteers are also subject to the Kainos Community Grievance Procedure. A Copy of which is available in every Kainos Community office.

13. Disciplinary Procedure

13.1 All volunteers are asked to make themselves aware of the Kainos Community Disciplinary Procedure.

All volunteers and staff are bound by this Policy and its procedures

PAR July 2008



Volunteer Agreement

Name of Volunteer _____

Address _____

Telephone no. _____

e. mail address _____

Accountable to _____

My involvement as a volunteer with **Kainos Community** commenced on _____

and as discussed with _____

I agree to undertake the following:

The following hours have been agreed with me _____

I have read and understood the Kainos Community Volunteer Policy Agreement that has been given to me and agree to abide by it.

Signed _____ Date _____

Recruitment Policy

1. Outline

- 1.1 The following sets out KAINOS Community's policy in relation to recruitment and selection of staff.
- 1.2 KAINOS COMMUNITY aims to provide equality of opportunity to all people regardless of age, race, religion, gender or disability.
- 1.3 All posts must be within the current establishment of the charity for which budgeting provision has been made.
- 1.4 Prior to a post being advertised, the following must be in place:
 - A job description
 - A person specification
 - An outline induction plan
 - A set of selection criteria

2. Advertising and Shortlisting

- 2.1 All posts must be advertised
- 2.2 The advertisement should contain sufficient information to avoid inappropriate applications where possible.
- 2.3 The advert should include notice of the closing date (no less than 7 days and ideally 14 days) opportunity for late entrants to return their applications up to the end of business on that day should be given.
- 2.4 All applications received must be logged and considered.
- 2.5 Shortlisting should be on the basis of established criteria before the receipt of the application.
- 2.6 All responders should receive a reply indicating whether they have been shortlisted and, if not, the phrase 'we have had a number of applications to consider from people whose qualifications and experience more closely matched the requirements of this post, and regrettably therefore we will not be taking your application further at this time' must be included.

3. Interviews

- 3.1 All applicants should be given the same opportunity to show how they meet the criteria.
- 3.2 The interview panel should consist of two or more people one of who must be a line manager.
- 3.3 Panel members must record and retain all thoughts and conclusions in respect of each applicant interviewed.
- 3.4 The final decision must be capable of being supported by factual information and records.
- 3.5 Following interview, the successful candidate should be offered the post as soon as possible, by telephone if practicable and followed with a formal offer in writing.
- 3.6 References will not be taken up until the post is offered, this is to avoid jeopardising existing employment opportunities for candidates. All post offers will be conditional upon receipt of satisfactory references.
- 3.7 Unsuccessful candidates will be offered the opportunity of feedback about their performance if requested.

PAR

January 2008

Training and Development Policy

1. General

KAINOS COMMUNITY recognises that its current and future well-being depends largely on the knowledge, skills and motivation of all its staff and volunteers. Training enables new skills and knowledge to be acquired, and existing skills and expertise developed.

The Aims of KAINOS COMMUNITY Training Policy are:

- 1.1 To ensure that all staff and volunteers have access to opportunities to develop the skills, attitudes and knowledge needed to perform their current job effectively, and in line with the organisation's planned objectives
- 1.2 To develop individual members of staff potential to meet the future needs of the organisation
- 1.3 To recognise that training and development is a continuous and systematic process. All training and development should be based on the identifications of the relevant training needs of the organisation as a whole, the varied functions within it, and of individual members of staff and volunteers
- 1.4 To ensure that the best use is made of the natural abilities of its staff by developing their skills, aptitude and potential for furthering their careers within the organisation
- 1.5 To support new and existing policies of the organisation (e.g. equal opportunities) by providing specific training
- 1.6 Where appropriate to provide encouragement for developing an individual's potential for future career opportunities

No individual will be excluded from receiving training on the grounds of age, gender, race, grade, disability or any other criterion which could be deemed as discriminatory or divisive

2. Responsibility and Process

- 2.1 The Board of Trustees are ultimately responsible for ensuring that all KAINOS COMMUNITY training and development activity is coherent and co-ordinated, and is in accordance with the organisation's overall planned objectives and equal opportunities policy.
- 2.2 This responsibility is delegated to the **Training Committee** which is authorised to make recommendations for training courses, etc on behalf of the Trustees.

- 2.3 Each Manager has the lead responsibility for the training and development needs of their staff. Requests by an individual for training are made through the individual's immediate line manager, who will then forward it to **The Training Committee**. These requests need to state dates, duration and cost of training as well as expected benefits to the individual and to KAINOS COMMUNITY.

Monitoring

The training policy will be monitored in the following ways:

- 3.1 A full evaluation is to be made of all training undertaken
- 3.2 Records kept of all training undertaken, training resources available and costs of training
- 3.3 A monitoring paper to be prepared by the **Training Committee** and brought to the full board of the Trustees once a year

4. Identification of Training Needs

- 4.1 Training and Development support is normally identified through the appraisal process, during an induction period, or when new or changed work requires additional skills.
- 4.2 From time to time, more general training requirements (e.g. whole organisation) may need to be met. Possibly training to accompany introduction of new technology or new policies/initiatives, when the training may be recommended by the Trustee Board.
- 4.4 Details of all Internal Training programmes will be distributed to all staff and volunteers on a regular basis
- 4.5 A minimum of two weeks training will be given to all Programme staff in each year

5 Support for Training

In considering the level of financial and other support for training requests, the following guidelines will apply:

- 5.1 Where the training request is related directly to support for individuals in their current posts, and is in line with KAINOS COMMUNITY objectives, the organisation will meet all costs connected with the training including course fees. Time off from work will be allowed where appropriate.
- 5.2 Where the request is related to an employee's potential to meet future needs of the organisation, or to further their potential career with the organisation, cases will be considered carefully on an individual basis by the **Training Committee**. However, normally, at least a proportion of the costs will be met by KAINOS COMMUNITY.

- 5.4 Where Kainos Community has met all or a proportion of the training costs and the member of staff leaves the charity within one year of the course completion, all of the training costs paid will be reimbursed to the charity.
- 5.3 Where the request is related to future career development outside the organisation, the costs will not normally be covered, with the exception of pre-retirement courses. Time off will normally have to be taken from holiday allowance, but each case will be considered individually. However it is expected that personal support and advice will be given by the Training Committee.

6 Evaluation

KAINOS COMMUNITY recognises the relevance of training evaluation in order to assess its effectiveness and benefits. Evaluation will be carried out in three ways:

- 6.1 All staff and volunteers who have participated in training which has received the organisation's support will be required to complete a post evaluation training report for the **Training Committee**.
- 6.2 Any training undertaken will be evaluated at the individual's next appraisal
- 6.3 Through the overall work and activities of the individual or group.

7 Training Budget

- 7.1 The total cost of training and development will be agreed annually in the forward budget projection at the beginning of the financial year.
From time to time, special budgetary provision will be allocated, e.g. computer training, NVQ's etc
- 7.2 Details of the training budget will be given to all members of staff.
- 7.3 All invoices for training received both paid for by the organisation and by individuals should be passed to the **Chief Executive's Office** so that accurate records may be kept

November 2007
PAR

Grievance Procedure

1 Introduction

- 1.1 The procedure aims to help resolve individual grievances in a manner which is as fair and expeditious as possible. It is the Charity's policy to find a solution to individual grievances as early in the procedure as possible.
- 1.2 Employees who have a grievance or those against whom a grievance is raised have the right to be represented by a recognised trade union representative or a friend or workplace colleague acting in a non professional capacity.
- 1.3 This Grievance Procedure has been produced on the basis of recognised models of good practice.

2. Scope

- 2.1 This procedure applies to all staff and volunteers of the Charity. Its purpose is the resolution of disputes and problems.
- 2.2 The following items are specifically excluded from this procedure:
 - Contractual matters
 - Disciplinary matters(for which a separate procedure exists)
 - Income tax or National Insurance
 - Superannuation and superannuation rights
 - The result of recruitment procedures for posts at the Charity
 - Governance Decisions of the Board of Trustees
 - Matters where the Charity's procedures apply
 - Any matter for which the Charity is not directly responsible
- 2.3 This policy is not intended to provide a mechanism for staff and volunteers to question the Charity's policies, rules and regulations, nor the decisions of managers in implementing these. A grievance is legitimate where the employee has grounds to believe that the policies, rules and regulations have not been properly or appropriately applied. With this in mind, the following procedure has been agreed.
- 2.4 This Procedure covers all staff employed in the service of KAINOS COMMUNITY including those on secondments, on part time, fixed term, temporary, hourly paid, or honorary contracts, and volunteers.
- 2.5 The Charity's Board and Management believe that before formally invoking the Procedure, staff should seek to resolve any concerns/problems relating to their employment with the member of staff concerned or their line manager as appropriate in the circumstances. Staff members are also reminded that they may seek a meeting with the Chief Executive at any

time. Staff who are members of a trade union may wish to consult their local trade union representative before invoking the formal procedure. Staff are advised that their future prospects will not be affected should they consider it necessary to invoke this Procedure.

- 2.6 At any formal stage of the Procedure either party may be represented at any meeting as in (1.2).
- 2.7 All parties attending the meeting will be in receipt of relevant papers at least 24 hours prior to the meeting.
- 2.8 If similar grievances are received from several members of staff or volunteers, it may be appropriate to consider them all at the same time.
- 2.9 Advice on similar procedure for the Chief Executive in his/her relations with the Trustees is set out below.

3. Informal Stage

- 3.1. If an employee has a grievance relating to his/her employment, the matter should be raised initially with the line manager. The grievance should be raised orally in the first instance, although the complainant may be requested to put it in writing.
- 3.2 The line manager will attempt to resolve the complaint informally. He/she shall enquire into the grievance and will discuss it with the complainant and will advise the complainant of the decision within five working days after the complaint is received.
- 3.3 The decision will normally be communicated to the complainant orally. In the event that the complainant does not find the decision acceptable, he/she may request that the manager provide a written decision.
- 3.4 If, upon receipt of the written decision the complainant is still dissatisfied with the decision, he/she may progress the grievance to Stage 1 within five working days.

4. Stages

4.1. Stage 1.

Where the matter cannot be resolved informally the member of staff concerned should submit a formal written notice of the grievance to his/her line manager (as defined in his/her Job Description). If however, the grievance is against a manager, other than the Chief Executive, then the grievance should be submitted to the next level of line management. This will receive a written acknowledgement within five working days. At the same time he/she may request a personal meeting which should be held as soon as possible.

4.2 Stage 2 – Appointment of a Panel

A Panel of three people shall be appointed by the CEO to investigate the grievance. The CEO shall nominate one of the three to be the Chair of the Panel. At least one of the three shall be a Trustee, and one a woman. These panel members must not have any direct involvement in the case, nor can they have been involved in previous meetings related to the grievance.

4.3 Stage 3 – Presentation to the Panel

- 4.3.1 The panel shall undertake a full hearing of the case, listening first to the aggrieved and any witnesses, and then to the other party(ies) and witnesses. Each party may be represented by a trade union representative or workplace colleague.
- 4.3.2 Each party will be entitled to cross examine the other party and any other witnesses. Members of the Panel may ask any questions to clarify the evidence which should be as clear and complete as possible by the end of the meeting.
- 4.3.3 Witnesses will be in the hearing room only during the time they give evidence and appropriate arrangements will be made to ensure that witnesses of the respective parties are in separate rooms, and that witnesses who have already given evidence cannot contact witnesses yet to be called by the Panel. The Panel may decide to adjourn the hearing temporarily at any stage in order that advice may be sought or points clarified.
- 4.3.4 The Panel and their representatives will withdraw at the end of the Hearing in order for the Panel to consider the evidence. In the light of the evidence presented the Panel will determine either that the grievance has been substantiated or it has not. The decision will be made by a simple majority vote, the Chair shall have the casting vote.
- 4.3.5 Where the grievance has been substantiated the Panel will decide on any appropriate course of action.
- 4.3.6 The decision shall be summarised and circulated to each Panel member to sign as an accurate record before the decision is announced.
- 4.3.7 The Panel's decision, and whether it was unanimous or a majority decision, will be confirmed to the parties in writing within five working days and give the reasons for the decision, details of any action proposed, and notification of right of appeal.
- 4.3.8 The decision of the Panel will normally be final. However, in exceptional circumstances, a hearing by a third party such as ACAS or NCVO's Mediation Service will be arranged if the grievance cannot be satisfactorily resolved internally.

5. Grievances against the CEO

- 5.1 Any member of staff or volunteer who has a grievance against the CEO shall approach the Chair of Trustees.
- 5.2 The Chair of Trustees shall respond by following the procedures as outlined above.

6. Grievance Procedure for the CEO

- 6.1 Where the CEO has a grievance he/she should first endeavour to resolve the matter by direct approach to the person concerned. If it is not resolved he/she should then discuss the matter personally with the Chair of Trustees.
- 6.2 Where the matter remains unresolved the CEO shall submit a formal written notice of the grievance to the Secretary to the Trustees. The Secretary shall forward the complaint to a Panel of Trustees appointed by the Board to deal with the matter.
- 6.3 The Secretary of the Trustees shall arrange for the Panel to convene within ten working days or as soon as practicable thereafter. The procedures to be followed in considering the grievance shall be as detailed above. The CEO and any other person involved may be entitled to representation as above.

7. General Advice

- 7.1 In cases where the person or panel hearing the grievance needs to obtain further information, or to enquire about policy or other issues beyond their sphere of authority, it is open for them to defer the matter for a period of time agreed with the member of staff and his/her representative to enable enquiries to be made.
- 7.2 In all cases, it is open to the person hearing the grievance to consult informally, with the aggrieved person or his/her representatives to assist in resolving the grievance. In addition, at the relevant stage the CEO or Panel may wish to consult informally with the Chair of the Trustees.

APPENDIX 1

Notes on the operation of the procedure

Conditions

An individual with a grievance should not be used to challenge a general policy of the Trustees. The grievance should relate to the application of the policy to an individual, or a small group of individuals. Separate collective procedures may need to be used to discuss general policy questions relating to terms and conditions of employment.

It is fundamental to any grievance procedure agreement that normal working hours must be maintained until all stages of the procedure have been exhausted. Where the grievance under discussion is concerned with proposed changes in working hours or customary arrangements, the status quo should not be disturbed whilst the matter is under consideration.

In other circumstances, it shall be open to the aggrieved person at the beginning of the grievance procedure to establish whether the status quo applies.

Disciplinary Questions

The Grievance Procedure is separate and distinct from the Charity's Staff Procedures on Alleged Misconduct and Unsatisfactory Performance. All questions arising from the formal discipline of the staff of the Charity shall be dealt with under the Appeals provisions of these separate Procedures which will be the Charity's final decision in the matter concerned.

Time Limits

A Grievance Procedure is intended to provide a speedy method of resolving grievances and so far as is practicable the prescribed time limits should be observed. For the purposes of this procedure it is suggested that a working day shall be a day on which the member of staff is scheduled to be at work. However, there may arise on either side substantial reasons why exceptionally it would be desirable to extend the time limits. Any such extension should be agreed as reasonable by all parties.

APPENDIX 2

GUIDANCE TO MANAGERS HOLDING A MEETING UNDER THE STAGES OF THE INDIVIDUAL GRIEVANCE PROCEDURE

1. Before the Interview

If possible before the meeting, the manager should obtain all documents in connection with the grievance, and confirm that appropriate steps to resolve the grievance under Section (3) of the Procedure have been taken. If appropriate, these preliminary investigations should include consultation with the CEO at an early stage. Any records or other documents which the member of staff or volunteer considers relevant should not unreasonably be withheld. In some situations where it may not be appropriate to release complete documents an extract or synopsis may be supplied.

2. At the Interview

2.1 The Procedure should first be explained.

2.2 The facts of the matter should be established as clearly and openly as possible, and every effort made to enable this to happen. **Staff or volunteers of the Charity who are to give evidence are required to attend Grievance Hearings, whichever party calls upon them.**

2.3 Staff and volunteers of the Charity are entitled to know the basis of any decision which causes their complaint or grievance.

2.4 It may be appropriate to adjourn the meeting:

- To carry out further necessary investigation
- To allow time to arrive at a considered decision.
- The length and any adjournment will depend on the circumstances of the case and could vary from a few minutes to a number of days. It should not be unduly prolonged and the parties concerned should be advised of the reasons for any delay.

3. Communication the Decision

3.1 The Decision, and the Reasons for that decisions should first be communicated orally to the member of staff or volunteer as soon as practicable and normally no later than two working days following the meeting. If there has been any adjournment, the meeting should, where practicable, be reconvened for the purpose of giving the decision. If this is not feasible, the decision *in extreme circumstances* may initially be communicated by telephone.

3.2 In any case, the Decision should be confirmed in writing and a copy forwarded to any representative of the aggrieved person, to the CEO, and, if appropriate, to the person's Line Manager.

3.3 Wherever appropriate, the opportunity should also be taken to give advice to one or both parties on dealing with problems which have given rise to grievances.

APPEALS PROCEDURE

Any aggrieved person has the right to appeal against the outcome of the Panel hearings and the Decision thus made.

In order to appeal, the aggrieved person must notify the CEO in writing within five working days of the Decision being communicated to him/her.

If the CEO cannot resolve the matter, then he/she must advise the Chair of Trustees. If the matter does not involve the CEO the Chair and the CEO shall jointly decide whether the matter needs further investigation, if it involves the CEO, the Chair and the Secretary of the Trustees shall make the decision.

If it is decided to take the matter further, a panel of the Trustees appointed by the Board shall make the final determination in the matter.

PAR

November 2007

Disciplinary and Dismissal Policy

1. Introduction

- 1.1. The purpose of this policy is to ensure a common understanding and achievement of standards of performance and patterns of behaviour acceptable to Kainos Community. The document sets out the charity's policy and procedure in relation to counselling and disciplinary matters, including conduct and non-health capability issues. It is designed to ensure that managers and employees are aware of their rights and obligations in matters relating to discipline and dismissal and that disciplinary action is taken in a correct and fair manner throughout the Charity.
- 1.2. This procedure has been designed to operate in accordance with the principles of natural justice and the recommendations of the ACAS Code of Practice on Disciplinary Procedures, and to be applied as promptly as necessary investigation will allow

2. Policy Statement

- 2.1 It is the policy of the Charity to ensure that in matters of discipline and dismissal all employees are subject to fair and consistent treatment.

3. Equality of Treatment

- 3.1 No member of a particular sex, racial or minority group shall be disciplined for performance or behaviour which would be overlooked or condoned in other groups. Effective disciplinary action will be taken to deal with discrimination, victimisation or harassment. It will not be assumed that complaints regarding such matters are made by those who are over-sensitive.

4. Standards

The Chief Executive is responsible to the Board of Trustees for the efficient management and discipline of the charity and ensuring that:

- A guide to appropriate standards of conduct contained in the Policies for Charity Staff is made available to all employees
- All employees are given necessary training, help and advice in connection with their work and
- All employees are made aware of the standards of work and conduct expected of them

5. Informal Action

- 5.1 Counselling is not a disciplinary act and managers are encouraged to counsel staff when necessary, in order to avoid recourse to disciplinary action.
- 5.2 Where appropriate it is expected that managers will try to correct perceived failings on the part of staff through normal management action without recourse to the formal procedure
- 5.3 Counselling is normally an informal private one to one discussion designed to offer advice and guidance. The manager should inform the employee of the concerns about his/her standards of behaviour and/or performance and ascertain whether there are any underlying reasons or gaps in understanding about the standards expected.
- 5.4 The manager should explain carefully and clearly the degree of improvement that is required and agree with the employee how this may be achieved. If the Manager expects to see improvement within a time limit, this must be clearly stated to the employee. The employee should also be made aware that failure to achieve the standards expected, or repetition of a particular incident, could lead to formal disciplinary action.
- 5.5 If, during the meeting, it becomes clear that the matter is more serious, the discussion can be adjourned at the request of either side. It should be made clear that the matter will be pursued under the formal disciplinary procedure. The manager should keep a brief note of any counselling, for reference purposes, to include when the counselling took place, why it was necessary, and a brief summary of what was agreed during the discussion.
- 5.6 Counselling should not be confused with action taken under the formal disciplinary procedure, should formal disciplinary action ever be required, managers should not refer to counselling, where such counselling has no relevance to the matters for which disciplinary action is necessary.

6. Formation, Investigation and Representation

- 6.1 Managers will ensure that before disciplinary action is taken against any employee, there will be adequate investigation of the circumstances surrounding any breach of acceptable standards/behaviour.
- 6.2 The member of staff concerned should be informed of the complaint(s) against him/her in writing. Staff should have at least 3 working days' notice of a disciplinary interview and should be informed of their right to be accompanied by a representative of their recognised staff organisation or by a fellow employee of their choice. It is an employee's responsibility to arrange his/her own representation.
- 6.3 At the disciplinary interview, management should again explain the complaint, the seriousness with which it is viewed and the supporting evidence. The employee should be given adequate opportunity to state his/her case and any mitigating circumstances. If any new facts emerge, the interview can be adjourned to allow time for further investigation.
- 6.4 The employee should be informed of the outcome of the disciplinary interview verbally; this should then be followed by written confirmation, which explains the right to appeal.

7. Suspension with Pay

7.1 When a manager considers that suspension is necessary, and employee will be suspended with full pay. Suspension should only rarely be used and only for the least amount of time. Suspension with pay is not a disciplinary measure. It should be implemented to enable a thorough examination of the facts to be made or when it is clearly undesirable for the employee to remain on duty.

7.2 The Chief Executive must approve the Manager's decision to suspend.

8. Record of Disciplinary Action/Time Limit of Written Warning

8.1 Any disciplinary action taken must be confirmed to the employee in writing within seven days, setting out the nature of the unsatisfactory behaviour. All written warnings, other than single stage final warnings, will be removed from the employee's file after a period of one year from the date of the disciplinary hearing, after which their validity will lapse.

9. Procedure

9.1 The procedure consists of the following stages: first warning, single stage final warning and dismissal. In all disciplinary matters, the employee is entitled to be accompanied should be present at all disciplinary interviews.

10. First Written Warnings

10.1A first written warning may be given following an unacceptable standard of performance and/or behaviour.

11. Final Warnings

11.1 A final written warning may be given when the behaviour and/or performance subject of the first written warning or related behaviour and/or performance is repeated or, when an individual's overall attitude to work exemplified by persistent breaches of acceptable behaviour and/or performance requires more serious disciplinary action.

11.2 In cases of serious breaches of expected standards performance and/or behaviour, a single stage final warning may be used.

11.3 Such warnings will be valid for a period of two years before being removed from the employee's file.

12. Dismissal

12.1 No employee should be dismissed for a first breach of expected standards except in cases of gross misconduct eg. crime committed in work, violence, etc. gross misconduct represents situations where the employer can no longer reasonably retain the employee in post.

12.2 In certain circumstances, an employee may be dismissed if convicted of a criminal offence unconnected with work.

12.3 Dismissal will be appropriate where none of the other stages produces the required improvement.

13. Alternatives To Dismissal

- 13.1 As an alternative to dismissal in certain cases and with agreement of the employee, management may decide upon a downgrading and/or a period of suspension without pay may represent a suitable remedy. However, in such cases a final warning will also be issued and the rights of appeal are not affected.
- 13.2 Where an employee's conduct or performance warrants further disciplinary action after the employee has lodged an appeal against a final warning, the appeal should be heard prior to the further disciplinary action as this would normally be dismissal and the outcome of the appeal might alter such a penalty.
- 13.3 This process should not be used in the case of gross misconduct.

14. Disciplinary Rules

- 14.1 The Chief Executive is responsible to the Board of Trustees for the efficient management and discipline of the Charity and ensuring that a guide to appropriate standards of conduct, contained in the Policies for Charity Staff, is made available to all employees
- 14.2 All employees are given necessary training, help and advice in connection with their work and all employees are made aware of the standard of work and conduct expected of them
- 14.2 Employees should familiarise themselves with these rules and the likely consequence of breaking such rules.

15. Appeals Machinery

- 15.1 Appeals must be lodged in writing not later than 21 calendar days from the date of receipt of the disciplinary letter and should be addressed to the Chief Executive . The date of receipt will be recorded as two days after the date that the disciplinary letter was sent to the employee's home address by recorded delivery. Appeals arising from this policy and procedure will be dealt with under a separate procedure which is available for inspection .

16. Review of Policy and Procedure Document

- 16.1 The Human Resources Working Group will ensure that this document is reviewed as necessary.

November 2007
PAR

GROSS MISCONDUCT

1. The following examples of offences that may be regarded by KAINOS COMMUNITY (the charity), in the light of the circumstances and nature of each particular case, as gross misconduct thus warranting dismissal without previous warnings. This list is to be regarded neither as exclusive nor exhaustive and is meant only to serve as a guide:
 - 1.1 Ill-treatment or wilful neglect of prisoners.
 - 1.2 Intentional unauthorised removal of the property belonging to the charity
 - 1.3 Stealing from the charity, its trustees, members of staff, prisoners, volunteers or the public.
 - 1.4 Misuse of drugs e.g. through misappropriation of drugs, or being under the influence of drugs etc.
 - 1.5 Being under the influence of alcohol.
 - 1.6 Sexual misconduct at work.
 - 1.7 Violence or other exceptionally offensive behaviour.
 - 1.8 Falsification or remuneration (including time sheets, subsistence and expenses claims etc).
 - 1.9 Falsification of qualifications which are a stated requirement of employment; or any information used in support of an application for any post in the employment of the charity (subject to conditions of the Rehabilitation of Offenders Act 1974); or any misrepresentation which results, or could result, in financial gain.
 - 1.10 Damage caused maliciously, or by gross negligence, to the charity's property or records, written or automatically processed.
 - 1.11 Breaches of safety regulations, e.g. regulations, endangering oneself or other people. including deliberate damage to, neglect of, or misappropriation of safety equipment. Reckless behaviour which constitutes a danger to health or safety of any person
 - 1.12 Criminal conduct at work.
 - 1.13 Breaches of confidentiality relating to prisoners or staff or other persons.
 - 1.14 Falsification or improper alteration of documents or records written or automatically processed, relating to prisoners, staff, or other persons.
 - 1.15 Engaging in outside employment during the hours when contracted to work for the charity.
 - 1.16 Breaches of policies, procedure and rules relating to particular departments/disciplines, where such breaches are specified as gross misconduct depending upon the circumstances.
 - 1.17 Corrupt or improper practice e.g. when an employee improperly uses, or attempts to use, his/her official position for his/her own private advantage or to the advantage of some other person.
 - 1.18 Criminal conduct other than at work. An offence unconnected with work will not in itself be a reason for disciplinary action but when deciding the gravity of such an offence the charity will have regard to the relevance of the offence to the duties and tasks the employee is required to perform. In such cases, the charity's decision may be affected by the view taken of the employee by the appropriate statutory body.
 - 1.19 Discrimination against a member of staff, prisoner, volunteer or member of the public on the grounds of sex, sexual orientation, colour, race, creed, disability, nationality or ethnic origin.
 - 1.20 Any tampering with, or unauthorised access to, as defined in the Computer Misuse Act 1990 programmes and data within a computer.

MISCONDUCT

2. Listed below are examples of offences of misconduct, other than gross misconduct, which may result in disciplinary action and/or counselling in the light of the circumstances of each case. This list is to be regarded neither as exclusive or exhaustive. Other forms of misconduct may also give rise to disciplinary action:

2.1 Disobeying instructions

When an employee without sufficient cause disobeys, omits or neglects to carry out a lawful and reasonable instruction, (whether in writing or not) or failing to observe operational regulations and standing orders of the charity or local area of work.

2.2 Insubordination, bullying and harassment

When an employee uses offensive, intimidating, malicious, insulting or humiliating behaviour in order to undermine an individual or group of employees.

2.3 Abuse of authority

When an employee abuses his status or position when dealing with fellow employees or members of the public.

2.4 Absences from duty

When an employee, without sufficient cause, leaves his/her place of work.

2.5 Neglect of duty and/or inadequate performance

When an employee, without sufficient cause:

- (a) fails to discharge the obligation which statute or his/her contract of employment places upon him/her.
- (b) fails (after due instruction) to undertake the duties/responsibilities connected with his/her work in a satisfactory and competent manner.
- (c) causes any loss, damage or injury to occur to any person or property, by carelessness or neglect.
- (d) fails to report any matter which it is his/her duty to report.
- (e) fails to make any entry, which it is his/her duty to make, in any book or document.
- (f) fails properly to account for, or to make a prompt and true return of, any money or property that comes into his/her possession in the course of his/her duties.

2.6 Outside Employment

The charity advises its employees engaging in employment in off duty hours to ensure that such employment does not adversely affect their work in KAINOS COMMUNITY. This disciplinary procedure may be invoked if the charity feels that the employee's performance is thereby affected or if the interests of the charity are adversely affected by the nature of the outside employment.

2.7 Falsehood

When an employee, knowingly or through neglect makes any false, misleading or inaccurate oral or written statement or entry in any record or document written or automatically processed

2.8 Misconduct in relation to official documents

When an employee, without sufficient cause, destroys or mutilates any record or document written or automatically processed for the purposes of the charity or later, erases or adds to any entry in such a record or document written or automatically processed.

2.9 Improper or unlawful disclosure of information

When an employee of the charity, without proper authority advertently or inadvertently communicated to any person, information given to him/her in confidence, or information generally accepted as confidential. Or when an employee communicates to any person information to which s/he has access which is of a confidential nature. This covers breaches of Data Protection regulations.

2.10 Damage to the charity's property

- (a) Where an employee, wilfully or without due care, causes any waste or loss or damage to any property of the charity or fails to take proper care thereof.
- (b) Where an employee fails to report any loss or damage to any such property entrusted to his/her care.

2.11 Being under the influence of drink or drugs (other than those which have been medically prescribed)

Where an employee renders himself unfit, through the use of drink or drugs for duties which s/he is, or required to perform or which s/he may reasonably foresee having to perform.

2.12 Being an accessory to disciplinary offence

When an employee connives at, or is knowingly an accessory to, an offence against discipline.

Annual Leave Policy

1. Introduction

- 1.1 This document replaces all other statements of holiday leave entitlement.
- 1.2 All contracted staff are entitled to a period of Annual Leave. This includes all Public and Bank Holidays. The individual entitlement is dependant upon the employee's length of service with KAINOS COMMUNITY.

2. Purpose

- 2.1.1 The purpose of this policy is to provide guidance to employees and managers on the application and management of Annual Leave, to ensure that all staff take adequate rest away from work whilst maintaining the needs of the charity
- 2.1.2 It is the policy of KAINOS COMMUNITY to encourage all employees to take their periods of Annual Leave in blocks throughout the year, to ensure that they gain full benefit of a rest and a break away from work and to help with the overall smooth planning of holiday cover
- 2.1.3 Employees should take their full entitlement each year and it is the responsibility of managers to ensure that this happens.

3. Responsibilities

3.1 Responsibility of the Chief Executive

- 3.1.1 It is the responsibility of the Chief Executive's Office to devise a Policy and Procedure on the monitoring of Annual Leave and to ensure that it is updated in line with any organisational or legislative changes.
- 3.1.2 The CEO will provide advice and support in the application of the Policy in individual cases if required.

3.2 Responsibility of Line Managers

- 3.2.1 It is the Responsibility of each line manager to ensure that this policy is applied fairly to all employees.
- 3.2.2 To ensure that employees are made aware of the procedure for requesting Annual Leave within their own prison/region and to ensure that each employee is aware of their own entitlement.
- 3.2.3 To keep accurate Annual Leave records for all employees that they manage and monitor the uptake of Annual Leave to ensure that employees are taking regular breaks away from work.

3.3 Responsibility of the Employee

- 3.3.1 To make themselves aware of the Annual Leave Policy.
- 3.3.2 To request Annual Leave in line with the KAINOS COMMUNITY Procedures.
- 3.3.3 To obtain approval for leave PRIOR to committing to holiday plans.
- 3.3.4 To take their allocated leave.

4. Principles

4.1 The Leave Year

- 4.1.1 The Leave Year runs from 1st April to 31st March.
- 4.1.2 All staff should ensure that they take their full entitlement of Annual Leave in consultation and agreement with their Line Manager.
- 4.1.3 In exceptional circumstances, and with prior signed agreement of their line manager, an employee may carry Annual Leave into the next year subject to a maximum of 5 days (pro rata for part time staff).
- 4.1.4 Any agreed carried over leave days MUST be used up by 31st May of the new leave year, otherwise it is forfeited (unless caused by unforeseen contingencies of the work).

4.2. Holiday Entitlement

- 4.2.1 The Annual Leave entitlement with KAINOS COMMUNITY includes an allowance for all statutory Bank and Public Holidays. The Statutory holidays are seen as normal working days but the number of Annual Statutory Holidays are included in the calculation of the Annual Leave entitlement.

- 4.2.2 An employee's Annual Leave entitlement is determined by the length of aggregated service with KAINOS COMMUNITY. After 1 complete year of employment an employee will be entitled to one extra Annual Leave day. This will continue up until 5 years of employment have been completed.

Period of Service	Leave entitlement
Up to 1 year	33 days
1 year to 2 years	34 days
2 years to 3 years	35 days
3 years to 4 years	36 days
4 years to 5 years	37 days
After 5 years	38 days

- 4.2.3 Part time employees Annual Leave entitlement are pro rated depending on their hours/days of work.
- 4.2.4 The majority of holiday leave are taken in blocks of full weeks to the extent that this is practicable.
- 4.2.5 Any member of staff who wishes to take more than 2 weeks leave in any one block must put their request in writing to their line manger at least 3 months in advance to ensure that adequate cover can be maintained in their absence, in accordance with the needs of the work.
- 4.2.6 If an employee falls sick during a period of Annual Leave, and wishes their Annual Leave to be recorded as sickness, they must comply with KAINOS COMMUNITY's Sickness absence reporting procedure and produce a medical certificate to cover the period of sickness. In these circumstances and in the absence of a doctor's medical certificate, the period of absence will continue to be recorded as Annual Leave.

- 4.2.7 If a member of staff joins or leaves KAINOS COMMUNITY in the middle of a leave year, all Annual Leave is calculated in accordance with a completed months work. New starters' entitlements are calculated with effect from the first day of the following month. Line managers must ensure that all starter dates are sent to the office to ensure that Annual Leave is recorded accurately.
- 4.2.6 Employees who are on sick leave, adoption leave, or maternity leave will continue to accrue Annual Leave in accordance with KAINOS Community's Sickness Policy and Maternity Policy.

5. Half Day for Christmas Shopping

- 5.1 All full time staff are entitled to take an extra half day in addition to their Annual Leave for shopping in December (pro rata for part time staff).
- 5.2 This must be taken at a time mutually agreed with the line manager and before December 25th or it will be forfeited.

6. Monitoring Leave

A record of all Annual Leave that has been taken by members of staff is kept in their Personnel Records and on the Payroll database for future reference.

Annual Leave Procedure

1. Introduction

The following procedures must be followed by all staff with regard to Annual Leave. Any failure to do so will result in disciplinary action.

2. Procedures

2.1 Employees must ensure that their line manager has approved all Annual Leave before they take their leave.

2.2 If an employee takes any Annual Leave without prior approval then KAINOS COMMUNITY will consider this as unauthorised absence and this is unpaid.

2.3 In addition the employee (unless exceptional circumstances apply) is subject to disciplinary action.

2.4 All requests for Annual Leave should be made on KAINOS Community's Annual Leave Request Forms, giving as much notice as possible to assist in the management of the work, and approved by the line manager

2.5 The line manager must consider the application made by the employee, taking into account the needs of the work, and adequate cover. The record should be signed by the line manager and a copy given to the employee. The form should be sent within 24 hours to the CEO's office.

2.6 If the line manager cannot authorise the leave due to operational reasons, these reasons for refusal should be discussed with the member of staff at the earliest possible opportunity and not later than 48hours.

2.7 In the event of any dispute over Annual Leave the employee should pursue this through KAINOS Community's Grievance Procedure.

2.8 Employees should not commit themselves to any holiday plans or book holiday accommodation etc, until they have received approval from their line manager to avoid disruptions too the work and to avoid any potential disputes.

3. Christmas Half Day

3.1 In accordance with the Annual Leave Policy this must be taken in the month of December, prior to the 25th or it will be forfeited

3.2 This time must be agreed with the employee's line manager but does not need written authorisation

‘Blowing the Whistle’ Policy

1. Purpose of the Policy

1.1 Kainos Community wants to be able to facilitate volunteers and employees to ‘speak out’ when they believe something is seriously wrong in the workplace, or they have concerns about questionable or poor practice, without victimisation or fear of reprisal. Its main aim is to allow matters raised to be investigated by others.

2. Current Registration

2.1 The Public Interest Disclosure Act 1998 became law in July 1999. This Act protects the ‘whistle-blowers’ from victimisation and dismissal when they speak out.

2.2 The Act allows a ‘whistle-blower’, if victimised for his or her actions, to take a claim to an employment tribunal.

2.3 As an employee, an ‘interim-order’ can be applied for if the individual is dismissed which allows them to keep their job pending a hearing.

2.4 The Act stated that there is no qualifying period for bringing an unfair dismissal claim.

3. Type of Disclosures

3.1 A ‘whistle-blowing’ disclosure must be of a specific nature and only be disclosed through specific channels.

3.2 It must show that one or more of the following has occurred:

1. A criminal act
2. Failure to comply with legal obligations
3. A miscarriage of justice
4. Damage to health and safety
5. Damage to the environment
6. An attempt to cover up any of these

3.2 An example might be an employee being concerned about a risk to a prisoner, or financial malpractice.

4. Recommended Procedure

4.1 There are several ways to 'blow-the-whistle' that can apply to Kainos Community.

4.1.1 Internally-i.e. the Line Manager or Chief Executive directly

4.1.2 To a Legal Advisor in the course of obtaining legal advice

4.1.3 To a prescribed person such as:

- The Health and Safety Executive
- The Audit Commission
- The Data Protection Registrar
- Independent Standards Commission

4.2 Procedure to Follow

4.2.1 In the first instance, raise the issue internally with the Line Manager or Chief Executive

4.2.2 Give the employer a reasonable time to respond before taking any further action.

4.2.3 Seek advice from Public Concerns at Work (www.pcaw.co.uk) or other advisory body

4.3 What can you Expect

4.3.1 A record of your concerns are taken in writing by the Line Manager or Chief Executive

4.3.2 An internal investigation will take place with reference to the allegation made, a prescribed person contacted where appropriate.

4.3.3 All information is held in the strictest confidence.

4.3.4 Any malpractice-under the heading Types of Disclosure are dealt with in line with organisation disciplinary procedure.

Harassment and Bullying Policy

1. Introduction

- 1.1 Kainos Community is committed to protecting its staff from harassment and bullying. All forms of harassment are unacceptable, and any incidents of harassment will not be tolerated by the charity.
- 1.2 It is imperative, for the well-being of staff and service delivery and for the performance of the charity, that each member of staff is free to conduct their duties without interference from harassment. For the purposes of this policy, the term ‘staff’ relates to all managers, non-managerial employees, volunteers and contractors.
- 1.3 This policy applies to all staff and to volunteers; volunteers are expected to abide by this policy.
- 1.4 Kainos community believes that its staff and prisoners have the right to be treated with courtesy, dignity, fairness and respect at all times. This anti-harassment policy is our commitment to good employment practice, to good practice in equal opportunities, and to the fulfilment of our legal and professional obligations.

2. Awareness

- 2.1 All staff and volunteers have a duty to be aware of how their behaviour affects others. Behaviour which is acceptable to some is not acceptable to others; what matters is how a particular action or piece of behaviour feels like to the individual on the receiving end of the behaviour. Only they can decide what is acceptable to them and what is not.
- 2.2 Staff and volunteers are urged, and required, to be aware of how their behaviour may affect others.
- 2.3 The policy is designed to promote awareness of the acceptability, or otherwise, of certain types of behaviour amongst staff and volunteers. The policy describes instances of behaviour which may be deemed unacceptable and outlines the procedures and support mechanisms available to staff who are subject to harassment.
- 2.4 The policy is supported by the Charity’s Management. Managers have a specific duty to be vigilant of the behaviour of others and are responsible for addressing actions which might cause offence. It is not always necessary to wait for a complaint to be registered. Early identification and action should be the objectives of all those with managerial responsibility.

- 2.5 All staff have a responsibility to be pro-active in promoting an atmosphere free from harassment and to challenge instances of harassment wherever they are encountered.
- 2.6 Staff whose behaviour breaches this policy is subject to disciplinary action. Harassment, in any form, could constitute gross misconduct and lead to dismissal.
- 2.7 Volunteers whose behaviour breaches this policy may be warned by the charity's management that any continuation of the unacceptable behaviour may lead to their voluntary work being suspended. This charity will support any of its staff who are subject to harassment. All employees are encouraged to report incidents of harassment in the knowledge that complaints are considered promptly and sensitively and in strict confidence.

3. What constitutes harassment?

- 3.1 Harassment may be defined as any action or behaviour which is offensive and threatening to another and which is unreciprocated and unwanted. Harassment takes many forms, and may be based on any of the following:
- Gender
 - Race
 - Religion
 - Colour
 - Ethnic or national origin
 - Age
 - Disability
 - Sexual orientation
 - Real or suspected infection with HIV/AIDS
 - Health status
 - Marital status
 - Political conviction, including willingness to advocate for a particular cause
 - Membership or non-membership of a trade union
 - Status of ex-offenders
 - Power
 - Willingness to challenge harassment
- 3.2 Harassment can be related to a person's position, for example a person in a position of authority abusing that authority. It can also be related to someone's appearance, or through someone simply taking a personal dislike to a colleague or employee. Harassment may be physical, verbal or non-verbal conduct, and it may be an isolated incident or repeated action.
- 3.3 The charity will not permit or tolerate harassment in any form. The following are examples of unacceptable conduct. The list is not exhaustive.

4. Examples of Bullying

- Shouting at a colleague of volunteer.
- Persistent negative attacks on a colleague's personal or professional performance.
- Persistent undervaluing a colleague's contribution, such as ignoring a colleague's opinion.
- Publicly criticising a colleague in their presence.
- Persistently setting objectives with impossible deadlines or setting unachievable tasks; placing unreasonable demands on a colleague.
- Removing and replacing areas of responsibility with tasks of a lower status or menial or trivial tasks.
- Over-monitoring a colleague's performance.
- Withholding information with the intent of deliberately affecting a colleague's performance.
- Spreading malicious rumours/making malicious allegations, including unwarranted allegations of harassment, made with malicious intent or in bad faith
- Excluding others by talking solely to third parties to isolate another
- Open hostility to a colleague or employee.

5. Examples of Racial Harassment

- Derogatory nicknames or racial name calling
- Conduct that denigrates or ridicules a colleague because his or her race, such as derogatory remarks, graffiti, jokes.
- The display or sending of offensive letters or publications, racist graffiti or threatening behaviour.
- Being 'frozen out' of conversations.
- Jostling or assault, or other non-accidental physical contact e.g. slamming doors in someone's face.
- Open hostility to colleagues/employees from a particular ethnic or racial group.
- The undermining of a colleague's work specifically because of their race; or ignoring or dismissing the quality of a colleague's work, contribution or experience because of their race.

6. Examples of Sexual Harassment

- Unwanted, non-accidental physical contact ranging from unnecessary touching, e.g. patting, pinching or brushing against a colleague's or employee's body to assault and coercing sexual relations.
- Lewd comments, leering, whistling, or making sexually-suggestive comments or gestures; innuendoes.
- Suggestions that sexual favours may further a colleague's career, or that refusal may hinder it, e.g. promotions, access to training etc.
- The display of pornographic or sexually suggestive pictures, objects or written materials.

- Unwelcome sexual advances and/or flirting, propositions or pressure for sexual activity; continued suggestions for social activity outside of the workplace, after it has been made clear that such suggestions are unwelcome.
- Conduct that denigrates or ridicules or is intimidatory or physically abusive of an employee because of his or her sex, such as derogatory or degrading abuse or insults which are gender-related and offensive comments about appearance or dress.
- The undermining of a colleague's work specifically because of their gender; or ignoring or dismissing the quality of a colleague's work, contribution or experience because of their gender.

7. Action if an Employee or Volunteer feels they are being Harassed

- 7.1 Kainos Community guarantees that all complaints are taken seriously and investigated swiftly. All parties are treated with respect.
- 7.2 Victimisation as a result of a member of staff raising a complaint will not be tolerated. Victimisation is a form of harassment and is subject to disciplinary action. Staff assisting in an investigation into a complaint of harassment are protected from victimisation or discrimination.
- 7.3 Kainos Community recognises that many people who are subject to harassment do not complain about what's happening to them. This may be because they feel embarrassed, they feel 'unprofessional' because they are upset, they are worried that no one will believe them or that they will be victimised, or because they don't want to get the other person into trouble. Kainos Community is committed to tackling harassment in the workplace.

8. Informal Procedures

- 8.1 Many incidents of harassment can be dealt with effectively in an informal way, as often a person is unaware of the effect their behaviour has on others. Once made aware of this distress caused by their actions, the offensive behaviour ceases.
- 8.2 In the first instance, it may be possible and sufficient to explain to the colleague or prisoner engaging in the unwanted behaviour that the conduct is not welcome, that it interferes with your work or that it makes you feel uncomfortable. In circumstances where this is too difficult or embarrassing for you to do on your own then you should seek support from either your union representative, a friend, or line manager.
- 8.3 If the unwanted conduct comes from a volunteer, then the appropriate manager has the responsibility to warn the volunteer, orally and in writing, of their conduct and to instigate any necessary measures.
- 8.4 If the harassment persists, or if you prefer, then you should use the formal procedure.

9. Formal Procedure

- 9.1 This formal procedure is designed to resolve formal complaints of harassment swiftly and effectively with the minimum amount of distress to all parties. It is separate from the grievance procedure, which should be used for all other forms of complaint bar harassment. Both parties have the right to be represented throughout this procedure.
- 9.2 The first step is to register a formal complaint in writing against the alleged harasser to your line manager. The complaint should outline the nature of the offensive behaviour, and your representative or counsellor will be able to help you do this. In cases involving senior members of staff, volunteers or prisoners, the complaint should be made direct to the Chief Executive. All complaints are treated in strictest confidence, and throughout the formal complaints process, the names of the complainant and the alleged harasser will not be divulged other than to those who are necessary to the investigation.
- 9.3 The formal complaint will be treated as a disciplinary issue and is investigated according to the disciplinary procedure.
- 9.4 A timetable is set down for the investigation. This will be sensitive to the stress imposed on a complaint and will be sensitive to the three month time limit for pursuing a complaint through an industrial tribunal.
- 9.5 It is the responsibility of management to conduct an independent investigation into the complaint. The purpose of this investigation is to establish the full details of what has happened. This investigation process will include interviews with the complainant and the alleged harasser, conducted separately and with sensitivity.
- 9.6 Any relevant witnesses will also be interviewed. Where witnesses are interviewed, the importance of confidentiality will be emphasised. Any breach of confidentiality by a witness or investigating officer will constitute gross misconduct and would itself be subject to disciplinary action.
- 9.7 Both complainant and alleged harasser (if a member of staff) have the right to be accompanied at all interviews and supported by a representative or friend throughout the process.
- 9.8 The investigation will be thorough, impartial and objective and will be carried out with sensitivity, in a non-confrontational manner and with respect for the rights of all parties.
- 9.9 The alleged harasser will be given full details of the nature of the complaint and will be given the opportunity to respond. Access to a counsellor and/or representative or friend will be made available.
- 9.10 At the completion of the investigation a short report is prepared summarising the details of the complainant and the findings of the investigation. Copies are sent to both the complainant and the alleged harasser and their representatives.

- 9.11 Should the investigation conclude harassment has taken place, the harasser, if a member of staff, is subject to a disciplinary interview followed by appropriate disciplinary action. When the harasser is a volunteer, management will consider appropriate action, including legal action.
- 9.12 If any member of staff feels that they have been unfairly treated, they have the right to lodge a grievance. Ultimately, a complaint can be taken to an Industrial Tribunal.
- 9.13 At the conclusion of a complaint between colleagues, whether using formal or informal procedure, should a breakdown in the working relationship occur between the parties, then, where possible the harasser and not the complainant will be moved.

10. Update of Policy

10.1 Kainos Community's commitment to having an effective strategy to combat harassment means that this policy are regularly reviewed and assessed with the intention of improving the policy's effectiveness. Specific responsibility for assessing the effectiveness of the policy lies with the Chief Executive in conjunction with the HR Committee. The review of the effectiveness of the policy is undertaken in conjunction with staff representatives.

Appendix

11. Guidelines for managers

11.1 Be Proactive

It is important to set a good example to colleagues by avoiding sexist, racist or any other unacceptable behaviour. It is equally important not to turn a blind eye to the behaviour of staff in your area of responsibility in the mistaken belief that such matters are best left to the individual concerned to sort out. If you witness harassment outside your area of responsibility, you still have an obligation to deal with it directly or report it.

Let your staff know that you take the issue of harassment seriously. For example, discuss harassment in team meetings or during induction.

11.2 Be aware

Don't assume that a lack of complaints meant that there are no problems.

Harassment can be difficult to identify since harassers will often single out less assertive individuals. The only evidence may be behavioural changes. For example, a member of staff may become withdrawn, easily upset or refuse to work with another member of staff.

Approach employees respectfully if you suspect something. They may be reluctant to approach you, but by letting them know you are aware of negative changes, they may welcome the opportunity to share their concerns with you.

11.3 Be receptive

People may feel nervous or embarrassed about bringing concerns forward, so treat all concerns or complaints with respect and the seriousness that they deserve.

Someone being harassed may hesitate before telling another person what has happened. She or he may be too embarrassed to relate the details where offensive language or behaviour has been used and worried about being believed, especially where the harasser is a more senior member of staff.

11.4 Be prepared

Harassment issues can be dealt with informally or through the formal grievance procedure.

Where managers receive and deal with a complaint of personal harassment they should deal with this complaint fairly, thoroughly and confidentially, respecting the rights of all parties. All efforts should be made to resolve the complaint quickly.

In practice this means:

- Listening to what has happened
- Trying to find out what took place by asking:
 - What occurred?
 - When it happened?
 - Where it took place?
 - Whether this was an isolated incident?
 - Whether anyone witnessed what happened?
- Deal with emotions arising as a result
- Where it is an informal complaint, the manager should then inform the complainant of their rights and what further courses of action are open to them. They can speak to the Personal Department/Trade Union Representative, who can provide practical and moral support.

The Chief Executive will assist Line Managers in investigating a formal complaint. Subject to the findings of the investigation, the disciplinary procedure may be invoked. Parties to complaints of harassment should be protected from reprisals from each other or co-workers during and after the investigation process.

11.5 Help stop harassment in the workplace

Although harassment in the workplace is not a new issue, it is only recently that effective solutions are being sought. By following the steps stated here, you can improve the working conditions of your employees, which in turn will affect the overall working environment and staff morale for which you, as a manager, are responsible.

If you would like any more information and advice on the implementation of this policy contact the Head Office.



Staff Appraisal Policy and Procedure

1. Introduction

- 1.1.1 Kainos Community undertakes to monitor performance of all staff employed by the charity.
- 1.1.2 The rationale behind this process being to bring about highest standards in practice and to ensure that training and other staff needs are being met.

2. Purpose

- 2.1 To provide a structured opportunity for staff to discuss their work, their workplace relationships and how their support structures are working
- 2.2 To provide a forum for individual feedback on work performance
- 2.3 To provide a formal channel through which development needs are identified
- 2.4 To assist staff in performing their job to the best of their ability
- 2.5 To highlight the potential that each individual has to develop in his/her current role or into another position

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Staff Appraisal Procedure

1. All posts are the subject of Annual Appraisal by a designated member of staff to whom the employee is responsible. This will usually be their Line Manager. In the case of the Chief Executive the Chair of Trustees.
2. Appraisal interviews are completed by the end of February in each year.
3. New employees will have a probation review in their sixth month of employment, and thereafter an annual appraisal coinciding with the charity's scheme
4. The Annual appraisal will review the progress of the individual employee towards their professional and personal objectives. It will identify areas where high quality and satisfactory work has been achieved and areas where improvements need to be made.
5. The Annual appraisal will include a review of the training undertaken by the employee over the year and record identified training needs which are required to be met over the coming year.
6. Four weeks prior to the appraisal interview, managers should inform their staff informally that appraisals are due. Staff are given guidance notes and a preparation form for completion as well as a copy of the appraisal form to anticipate the questions that are discussed.
7. The Annual Appraisal form is filled in by the Line Manager undertaking the Appraisal, signed and returned to the Appraisee who may add their own comments before signing. The form will then be sent to the Chief Executive for comment and signature.
8. The Chief Executive's appraisal form will go to another member of the Trustee Board for comment and signature.
9. Copies of the Appraisal form are retained in the staff member's personnel file, by the line manager and by the Appraisee.
10. The Annual appraisal form is revisited and referred to during the course of the year by Manager and Appraisee to monitor whether training and other needs have been met.

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