

Policy name: Serious and Organised Crime Policy Framework

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Implementation Date: 30 September 2019

Replaces the following documents (e.g. PSIs, PSOs, Custodial Service Specs) which are hereby cancelled: None

Introduces amendments to the following documents:

None

Action required by:

<input checked="" type="checkbox"/>	HMPPS HQ	<input checked="" type="checkbox"/>	Governors
<input checked="" type="checkbox"/>	Public Sector Prisons	<input checked="" type="checkbox"/>	Heads of Group
<input checked="" type="checkbox"/>	Contracted Prisons	<input checked="" type="checkbox"/>	CEOs Community Rehabilitation Companies (CRCs)
<input checked="" type="checkbox"/>	National Probation Service	<input checked="" type="checkbox"/>	HMPPS-run Immigration Removal Centres (IRCs)
<input checked="" type="checkbox"/>	HMPPS Community Interventions Contract Management Team	<input checked="" type="checkbox"/>	Under 18 Young Offender Institutions
<input checked="" type="checkbox"/>	Other providers of Probation and Community Services	<input checked="" type="checkbox"/>	Prisoner Escort Contracted Services

Mandatory Actions: All groups referenced above must adhere to the Requirements section of this Policy Framework, which contains all mandatory actions.

For Information:

Governing Governors, Directors and Probation providers must ensure that any new local policies that they develop because of this Policy Framework are compliant with relevant legislation, including the Public-Sector Equality Duty (Equality Act, 2010).

How will this Policy Framework be audited or monitored: The effective management of serious and organised crime offenders is the responsibility of all HMPPS staff. Assurance against this policy will be led by the Serious and Organised Crime Unit, who will use visits to prisons and LDUs to inform assurance reporting.

There is an existing procedure for security audits in prisons. No amendments to this procedure are made by this framework. However, Governing Governors, Directors, Probation providers should have in place a forum and procedures that assure them that serious and organised crime is managed effectively and prioritised according to local context.

Resource Impact: This Policy Framework mainly captures good practice and the resource impact from the requirements will be negligible. Any resource burden on front-line staff will be mitigated by the support provided by the Serious Organised Crime Unit who, going forward, will be carrying out most of the work detailed within. As a result, no changes to benchmark staffing are expected to be necessary.

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CONTENTS

Section	Title	Page
1	Purpose	5
2	Evidence	6
	Definition of Serious and Organised Crime and SOC Offenders	7
3	Outcomes	7
4	Requirements	8
	SOC Management across HMPPS - overview	8
	The Serious Organised Crime Unit (SOCU)	9
	Overarching Responsibilities for Managing SOC offenders	9
	In Custody	9
	Governing Governors and Directors of Contracted Prisons	9
	SOCU Custody Team	10
	The National Intelligence Unit (NIU) and Regional Intelligence Units (RIUs)	10
	In the Community	10
	Providers of Probation Services	10
	SOCU Community Team	10
	The National Intelligence Unit (NIU) and Regional Intelligence Units (RIUs)	11
	SOC Case Management: Process and Responsibilities	11
	Case Management Model – Overview	11
	SOC Band 1 Nominal – in custody	12
	Local Actions	12
	SOCU Actions	13
	SOC Band 1 Nominal – in the community	14
	Local Actions	14
	SOCU Actions	14
	SOC Band 2 Nominal – in custody	15
	Local Actions	15

	SOCU Actions	15
	SOC Band 2 Nominal – in the community	15
	Local Actions	15
	SOCU Actions	15
	Sharing Information about SOC Offender Cohorts	16
5	Assurance of the Policy	16
6	Constraints	17
7	Guidance	17

1. Purpose

- 1.1 The Government's Serious and Organised Crime (SOC) Strategy 2018 makes a commitment to relentlessly target and disrupt serious and organised crime offenders in our communities and in our prisons. Ongoing criminal activity by SOC offenders undermines safety, security and public protection. The majority of SOC offenders under HMPPS supervision have diverse crime portfolios and can adapt their offending behaviour dependent on their situation.
- 1.2 Effective management of SOC offenders is required to minimise the risk of them using their time in custody or under supervision to develop new capabilities, expand their criminal networks or exploit new revenue streams (including orchestrating illicit supply into prisons). We know that SOC offenders are more resistant to rehabilitation, meaning they more often leave custody with specific risk factors that need robust management.
- 1.3 The criminal activities of the highest threat SOC offenders frequently provide sizeable illicit wealth, a sense of identity and a support network and for some offenders this will have been a life-time in the making. For this cohort, it is important to be mindful that the successful pathway out of SOC may take some time and will need a holistic approach that address the issues highlighted above.
- 1.4 The HMPPS SOC Strategy states we will undermine and disrupt serious and organised crime in prisons and across probation provision. We will work with Law Enforcement Colleagues (e.g. Home Office, Police, National Crime Agency (NCA), Regional Organised Crime Unit (ROCU) and others) to prioritise, target and robustly manage SOC nominals through four strategic objectives:
- **PROTECT** prison and probation services from SOC with stronger organisational capability.
 - **PREVENT** SOC offenders from engaging in SOC in prisons and probation.
 - **PURSUE** SOC nominals to disrupt their criminality and the threat they pose to prison stability and civil society.
 - **PREPARE** for the harm caused by SOC in prisons and probation with greater organisational resilience.
- 1.5 HMPPS is committed to deliver that ambition and has established a Serious Organised Crime Unit (SOCU) to oversee and drive our SOC strategy. The unit is made up of a small national team and 5 regional teams who will provide direct support to staff across prisons and probation. It is responsible for our serious and organised crime policy and procedures, leading SOC capability, raising and most fundamentally, supporting the organisation to pursue SOC activity where it is taking place. This document sets out the mandatory actions for the SOCU and HMPPS staff at local, regional and national level.
- 1.6 This Policy Framework clarifies:
- The HMPPS definition of SOC offenders and how their criminal activity manifests itself in prisons and probation services.
 - The mandatory processes and procedures to manage serious and organised criminals.

- The role of SOCU and how to access their specialist capability.

1.7 This new Policy Framework is supported by the HMPPS Handbook on Managing SOC. Due to the handbook containing advice and guidance on disrupting SOC offenders it is marked as OFFICIAL SENSITIVE and is only available to staff who have access to the SOCT Security Information Hub or via their regional SOCU contact. The Handbook provides guidance and best practice and its use is encouraged, although not mandated. This Policy Framework and the SOC Management Handbook will be regularly reviewed and updated by the Serious Organised Crime Unit to inform operational responses, training and communications relating to serious and organised crime in prisons and probations services.

2. **Evidence**

2.1 SOC affects more citizens, more often, than all other national security threats combined. Serious and organised criminals have a devastating, life-long impact on many of their victims. The wider social and economic cost of SOC in the UK in 2018 is estimated to be around £37 billion per year, with the social and economic cost of drug supply alone estimated to be £20 billion per year.

2.2 Serious organised criminals operate complex, resilient and often transnational criminal enterprises, running multiple strands of revenue across many different crime types. These include drug supply, fraud, Modern Slavery and Human Trafficking (MSHT), racketeering, loan sharking, sexual exploitation, firearms supply, cybercrime and serious violence to order.

2.3 Where they continue existing criminal enterprises or develop new ones in custody, SOC offenders cause violence and disorder inside prisons which fundamentally undermines safety and the delivery of rehabilitation. Their criminality may be focussed on prisons, the community, or both and so harm is likely to impact on wider communities. In order to profiteer from the illicit economy, SOC groups are highly likely to organise or take over existing illicit markets, supplying them via high-quantity conveyance of contraband by multiple means (including corrupt staff) into establishments. Other prisoners are forced into debt or servitude (i.e. carrying out orders, holding contraband or conveying) under threat of violence to them or their families. Their families may be directly threatened to make payments to settle prison debt.

2.4 Offending can be sustained even whilst under HMPPS supervision, meaning that local management of those that presenting the highest threat needs support at regional and national levels to ensure the coordination of disruption activity throughout their offender journey and via engagement with Law Enforcement Agencies (LEA) partners.

2.5 The National Probation Service (NPS), and Community Rehabilitation Companies (CRC), are mandated to work with all individuals released from custody, or sentenced to a Court Order. There is evidence that SOC offenders on supervision continue with their criminality and fail to comply with the conditions or restrictions imposed upon them. The resources and networks that distinguish this group from the wider probation caseload can help them avoid detection.

2.6 LEAs, including the police and the National Crime Agency (NCA), record details of SOC offenders by adding their name to the Organised Crime Group Mapping (OCGM) tool.

Offenders are 'mapped' against an organised crime group on the tool which also identifies their position in the group and the significance of that group.

- 2.7 In 2018 (NCA) assessed there are over 4,600 organised crime groups operating in the UK. In England and Wales there are around 6,500 offenders in custody who have been identified as having links to organised crime groups.

Definition of Serious and Organised Crime and SOC Offenders

- 2.8 The definition of serious and organised crime in the Government's 2018 Strategy is "individuals planning, co-ordinating and committing serious offences, whether individually, in groups and/or as part of transnational networks".

- 2.9 The NCA has identified that the following criminal activities are most commonly associated with serious and organised crime:

- child sexual exploitation and abuse
- drugs
- firearms
- fraud
- money laundering and other economic crime
- bribery and corruption
- organised immigration crime
- modern slavery and human trafficking
- cyber crime

- 2.10 It is reasonable that upon establishing a conviction related to the above activities, staff consider the possibility that the individual has links to wider serious organised crime groups. However, it must be noted that the list above is not an exhaustive list and does not provide an exclusive definition of all crimes committed by the HMPPS SOC Cohort identified in this policy.

3. Outcomes

- 3.1 This framework includes requirements designed to strengthen practice across HMPPS. Embedding the requirements as operational practice will ensure HMPPS plays a critical role in the wider Lifetime Offender Management (LOM) of SOC offenders. Our aim is to protect offenders, our staff and communities by leaving no safe space for serious and organised criminals to operate while in prison or under community supervision.

- 3.2 As a result of this Policy Framework, staff should understand how they support the delivery of HMPPS's PROTECT, PREVENT, PURSUE and PREPARE objectives. Staff should understand:

- How serious and organised crime is a threat to prison and probation services and why it is important to tackle that threat.
- Procedures that must be in place to ensure effective management of organised crime group members in prisons and under community supervision.

- The importance of joint working between HMPPS and LEAs.
- That effective counter-SOC activity should be informed by intelligence and information and uses the right capabilities at the right time to disrupt SOC.
- That existing public protection arrangements, such as MAPPA, or associated forums for supporting vulnerable children/adults must be followed in all relevant circumstances, and that the operational approach outlined in this document complements those existing forums.

3.3 In the custodial estate the successful delivery of this model will result in effective management of SOC offenders and the disruption of SOC activity. This will have tangible benefits to good order and discipline and prison security, through a reduction in drug and illicit communication devices and violence.

3.4 In the National Probation Service and CRCs the improved understanding about the SOC threat posed by an offender under supervision will empower staff to complete a comprehensive offence analysis and risk assessment. This improved understanding also enables staff to construct tailored risk management and sentence plans.

4. Requirements

4.1 Requirements created by this policy are for Governing Governors, Directors, Probation Providers, all HMPPS staff and some are for specific staff roles (e.g., SOCU, Regional Intelligence Units, staff in prison security roles or offender management staff).

4.2 Good management of SOC offenders does not solely rely on that which is set out in this policy framework. Staff with responsibilities for security and/or serious organised crime should also be familiar with the SOC Management Handbook, National Security Framework, Intelligence Collection Management and Dissemination Policy Framework, Counter Corruption Policy Framework, Crime in Prisons National Referral Agreement and any local security policies and procedures.

SOC Management across HMPPS - overview

4.3 Effective management of SOC offenders in prison and under probation supervision requires action to be taken by HMPPS and law enforcement partners at three key stages:

- **The hand-off from police** – Information from LEA will be shared effectively and quickly with probation and prisons to ensure that risk is managed accordingly in court proceedings and once the offender is either remanded into custody or made the responsibility of the NPS or CRC. Information sharing between LEA, prisons and probation will mean that staff are in a stronger position to understand the risks presented by the offender, including their associates, their position in the crime group and intelligence relating to criminal capability.
- **In prison** - Effective management of SOC offenders will ensure that they are unable to continue engagement in criminality whilst in custody. To make best use of HMPPS resources, HMPPS staff will prioritise the highest threat via a selection and case

management framework. This will provide targeted disruptions and support for prison and probation staff to manage SOC nominals whilst they are in custody. Prior to release the handover of information will ensure that there is an effective hand-off between prison and probation.

- **Being managed by probation** - Effective management of SOC offenders under probation supervision in the community will reduce the risk of reoffending and serious harm of the highest priority cases. HMPPS will prioritise the highest threat via a selection and case management framework. Ongoing information sharing and partnership working with LEA partners will ensure that Offender Managers have the right information to make decisions about their cases. They will be supported to develop robust sentence plans and ensure that interventions are tailored to the SOC related risks and needs of the offender.

The Serious Organised Crime Unit (SOCU)

- 4.4 SOCU is responsible for overseeing and driving HMPPS' response to SOC in prisons and probation. Nationally, SOCU are responsible for the SOC Policy Framework and have overarching responsibility for the delivery of the operating model described in this policy.
- 4.5 SOCU are also responsible for supporting prison and probation staff to manage the threat at a local level and every prison and probation division will receive support from a dedicated regional SOC team. The regional teams are comprised of:
- **SOCU staff** - aligned to the five SOCT regions (with each SOCT region covering two Police Regional Organised Crime Units – ROCUs). Each SOCU Custody team is led by a Band 8 manager and each SOCU Community Team is led by a Senior Probation Officer:
 - North West / West Midlands
 - North East / Yorks and Humber
 - East Midlands / Eastern
 - South West / Wales
 - London / South East

Overarching Responsibilities for Managing SOC offenders

In Custody

Governing Governors and Directors of Contracted Prisons

- 4.6 Governing Governors and Directors have operational responsibility for the management of SOC offenders in their prison. They must ensure that resources and procedures are in place to manage local threats in line with this policy and in accordance with the best practice outlined in the SOC Handbook.

- 4.7 Governing Governors and Directors must ensure there is a regular forum in place for discussing SOC issues in their prison, so that they can be satisfied the threat is being given due attention from all staff in the establishment. Governing Governors and Directors should consider using local tactical tasking meetings as a suitable forum.
- 4.8 Governing Governors and Directors will put in place a process to make sure all SOC offenders mapped on OCGM data are identified on NOMIS using the security flag, and that flags are removed when offenders no longer feature on OCGM. This enables the prison to carry out a comprehensive risk assessment of SOC offenders and their associates. Staff can request further information from LEA colleagues to support management decisions such as allocation, categorization and work placement.

SOCU Custody Team

- 4.9 SOCU will support prisons to manage and disrupt the highest priority SOC offenders who have been identified as presenting a priority threat.
- 4.10 SOCU must provide prisons with specialist advice to manage SOC offenders.
- 4.11 SOCU will contribute to building staff capability in prisons to manage all SOC offenders effectively.
- 4.12 SOCU will represent prisons to discuss SOC related activity at Regional Tasking meetings.
- 4.13 SOCU will carry out assurance against this policy on a quarterly basis informed by visits to prisons.

The National Intelligence Unit (NIU) and Regional Intelligence Units (RIUs)

- 4.14 NIU will provide an intelligence management and analytical service to support SOCU and Prison staff in the risk assessment and management of SOC offenders.
- 4.15 NIU will provide representation at the cohort selection meetings for Band 1 and 2 nominals.
- 4.16 NIU will support joint working with Police Regional Prison Intelligence Units.

In the Community

Providers of Probation Services

- 4.17 Probation service providers will have operational responsibility for the management of SOC offenders in their division/CRC. They must ensure that resources and procedures are in place to manage local threats in line with this policy.

SOCU Community Team

- 4.18 SOCU will support the management of high priority SOC offenders during pre-release planning and on supervision (engaging a minimum of 6 months prior to release and up to 15 months in advance for cases assigned early to the community offender manager as part of the OMiC model).
- 4.19 SOCU will contribute to MAPPA process in relevant cases.
- 4.20 SOCU will contribute to building staff capability in probation to manage all SOC offenders effectively.

- 4.21 SOCU will work with the regional Probation Intelligence Manager (PIM) to facilitate cohort selection meetings for the probation cohort.
- 4.22 SOCU will carry out assurance against this policy on a quarterly basis informed by visits to local delivery units and CRCs.

The National Intelligence Unit (NIU) and Regional Intelligence Units (RIUs)

- 4.23 The NIU and RIU will provide an intelligence management and analytical service, via the PIM, to support SOCU and probation officers in the assessment and management of Band 1 and 2 SOC offenders.
- 4.24 The NIU and RIU will enable the PIM to contribute to the SOC Cohort Meeting convened by Regional SOC Probation Lead. This meeting is the selection meeting for Band 1 and Band 2 nominals.

SOC Case Management: Process and Responsibilities

Case Management Model – Overview

- 4.25 The requirements below will help HMPPS apply consistent management to the SOC cohort. The size of the cohort means that finite effort and resource needs to be prioritised against those presenting the highest threat.
- 4.26 The mandatory actions for delivering the SOC management model effectively are set out below and supported by further detail in the handbook.
- 4.27 The model is designed to ensure HMPPS can effectively identify and prioritise SOC offenders in custody and in the community and then manage the threat presented by those offenders in a proportionate, joined up and consistent fashion. The model seeks to clarify roles and responsibilities of HMPPS and law enforcement partners, so that resource is used effectively and combined to its greatest effect. The model introduces a banding structure to ‘grade’ the relative threat posed by SOC offenders and a case management framework to enable HMPPS to drive disruption activity against SOC offenders:
- SOC offenders will be assessed and grouped into one of two bands, which will enable HMPPS to prioritise activity against those SOC offenders causing the greatest harm within custody or community. SOCU will use a banding criteria template to help inform banding allocation and support a cohort de-selection process.
 - A case management framework will make sure that relevant people within HMPPS and law enforcement agencies can discuss and agree the cohort of SOC offenders presenting the greatest threat and carry out appropriate disruption activity. The framework also allows for support requests to be escalated – from local level to regional level or from regional level to national level - where threats cannot be sufficiently managed without additional resource or expertise.
- 4.28 A Performance Management Framework, owned and delivered by SOCU, will enable HMPPS to understand the impact and outcomes of this Policy Framework.

4.29 An assurance framework to make sure that HMPPS are delivering the mandatory actions set out in this policy and that the guidance included in the handbook is supporting effective delivery of the system.

Case management model – banding requirements

4.30 These requirements will help HMPPS staff understand the different activity required for the different SOC bands. Effort and resource will be targeted at those presenting the highest risk of continuing their criminal activity. The NCA and LEAs use an Organised Crime Group Mapping (OCGM) tool to capture information about active organised crime groups in the UK. HMPPS use this information to identify all SOC offenders in custody including archived cases. However, the OCGM cohort is large, and too large for HMPPS to drive meaningful activity. Therefore, this Policy Framework takes the OCGM cohort as a starting point but introduces a banding system to group SOC offenders according to their relative risks. That way, HMPPS can prioritise resources effectively – focussing effort on those offenders who present the highest threat.

4.31 Offenders will be banded according to verifiable information and informed by intelligence. The following definitions are to be used:

- **Band 1** – These individuals are nominated to a SOC Cohort selection meeting by prison, LDU or by LEA colleagues. They pose a live significant threat; highly capable or active in criminality – with such actions assessed as having a high impact on community safety and / or prison security. In addition to this, Band 1 cases will likely meet some of the following criteria:
 - they are managed under Lifetime Offender Management (LOM)
 - they are managed under NCA/Serious Crime Prevention Order (SCPO)
 - they are assessed as an HMRC priority case.
- **Band 2** – These individuals will be nominated to a SOC Cohort Selection meeting by prison or LDU. People who are in this band pose a threat and intelligence suggests ongoing involvement in serious organised crime; their intent or capability is assessed as moderate to low and they are often associates of Band 1 offenders. Band 2 cases may also be selected if they meet the following criteria:
 - they demonstrate recent ongoing criminality as identified in local assessments
 - they are being removed from Band 1.

4.32 SOC offenders should be identified and banded based on the risk they are assessed to pose. Staff should avoid making any assumptions based on an offender's protected characteristics as to whether they may be involved in SOC.

4.33 Details of the banding criteria and nomination process are in the SOC Management Handbook.

SOC Band 1 Nominal – in custody

Local Actions

- 4.34 Governing Governors and Directors and security managers must be aware of the Band 1 nominals in their prison.
- 4.35 Governing Governors and Directors must ensure that management trigger points for all Band 1 are flagged to SOCU. Guidance about trigger points is provided in the SOC Handbook.
- 4.36 Trigger points for Band 1 nominals are:
- changes in the Prisoner's employment status.
 - cell sharing.
 - IEP status changes.
 - re-categorisation.
 - release on temporary licence (ROTL).
 - escorts (including hospital bed-watch escort).
- 4.37 Security Managers and Offender Managers (with case responsibility for priority SOC offenders while in prison) must engage with SOCU to complete the activity agreed in the SOC case management plan which is owned by SOCU and held on the SOCU electronic case management system.
- 4.38 Security managers must engage with SOCU at the earliest stage possible when considering disruption or progression transfers of a Band 1 nominal, they must use the Transfer Risk Assessment which will be developed in consultation with SOCU. This document is available as an annex in the SOC Handbook.
- 4.39 Governing Governors and Directors must ensure the SOCU Community Team are notified, usually 8 months prior to release, so that SOCU Community Team and Offender Managers can work jointly on pre-release planning. Where prison sentence is less than six months, SOCU community team should be notified as soon as release date is known.

SOCU Actions

- 4.40 SOCU will brief Governing Governors, Directors and security managers on all new and existing Band 1 cases at least monthly.
- 4.41 SOCU will create and own the Band 1 SOC case management plan.
- 4.42 SOCU will lead delivery of the SOC case management plan - deploying SOCU and engaging LEA resource to deliver the plan and provide support to the prison through tactical advice and disruption activity. The decision on which tactics to deploy will be guided by the Disruption Toolkit. SOCU will have oversight of how the regions are deploying against Band 1 nominals.
- 4.43 SOCU will convene and coordinate SOC case management meetings for all Band 1 cases. Where there is more than one Band 1 SOC case in the same prison, a combined meeting should take place.

- 4.44 SOCU will coordinate activity across prisons, probation and LEA through case management meetings.
- 4.45 SOCU will attend and update regional tasking and coordination meetings.
- 4.46 SOCU will engage with Offender Managers in custody under the OMiC framework to ensure that local knowledge of SOC risks and sentence planning is integrated into case management of Band 1 nominals.
- 4.47 As part of the case management all of the Band 1 cases will be reviewed on a quarterly basis to determine if they remain a priority.

SOC Band 1 Nominal – in the community

Local Actions

- 4.48 LDU Heads and CRC Chief Executives must be aware of the Band 1 nominals in their LDU/CRC.
- 4.49 Offender Managers must ensure that management trigger points for all Band 1 are flagged to SOCU. Guidance about trigger points is provided in the SOC Handbook.
- 4.50 Trigger points including but not limited to are:
- breach of order/licence.
 - change of licence conditions.
 - offence paralleling behaviour has been identified.
 - police intelligence/ arrest made/ new charges.
 - offender's disclosure of offending behavior.
 - significant changes to Accommodation status / Employment status / Financial situation / Relationship status / Lifestyle/Associate / Substance misuse / Emotional wellbeing / Thinking, Behaviour and Attitudes.
- 4.51 Offender Managers must engage with SOCU to complete the activity agreed in the SOC management plan which is owned by SOCU and held on the SOCU electronic case management system.

SOCU Actions

- 4.52 SOCU will develop a SOCU (community) management plan 6 months prior to release for all Band 1 nominals in custody.
- 4.53 SOCU will ensure that Probation Providers are aware of the Band 1 cases in their geographical area of responsibility.
- 4.54 For cases already in the community, a SOCU management plan will be developed within 1 month of being adopted as a Band 1.
- 4.55 SOCU will co-ordinate updates to the plan and support its delivery in the local delivery unit.

- 4.56 SOCU will co-ordinate regular meetings with the Offender Manager and other relevant LEAs to support the management of the case.
- 4.57 SOCU will attend and update regional tasking and coordination meetings.
- 4.58 SOCU will convene and manage the SOC cohort selection meeting.
- 4.59 SOCU will record activity against the SOCU oversight plan on the SOCU case management system.

SOC Band 2 Nominal – in custody

Local Actions

- 4.60 Governing Governors and Directors must ensure that SOC-related risks are reflected in local intelligence products.
- 4.61 Governing Governors and Directors must ensure there are local procedures in place to review management of Band 2 nominals on a monthly basis either through local SOC case management meetings or as part of existing security meetings.
- 4.62 Governing Governors and Directors must ensure the SOCU Community Team are notified, usually 8 months prior to release, so that SOCU Community Team and Offender Managers can work jointly on pre-release planning. Where prison sentence is less than six months, SOCU Community Team should be notified as soon as release date is known.

SOCU Actions

- 4.63 SOCU will provide tactical advice and guidance to support disruption activities against band 2 offenders who have been identified in the local intelligence products.
- 4.64 SOCU will carry out limited tasked activity for Band 2 nominals (where links to a band 1 nominal exists).

SOC Band 2 Nominal – in the community

Local Actions

- 4.65 Probation providers must ensure that cases are managed with due regard to the SOC related intelligence and information that is made available to the Offender Manager.
- 4.66 Offender Managers will engage with SOCU to review banding 3 months after release and regularly thereafter.
- 4.67 Offender Managers must engage with SOCU to attend SOC nominal meetings as required pre and post release.

SOCU Actions

- 4.68 SOCU will ensure Offender Managers are briefed on all relevant information from custody and LEAs regarding threat of ongoing criminal activity.

- 4.69 SOCU will facilitate review 3 months following release to review banding, and regularly thereafter.
- 4.70 SOCU will facilitate regular SOC banding reviews with the Offender Manager and other relevant agencies to support the management of the case.

Sharing Information about SOC Offender Cohorts

- 4.71 National Intelligence Unit will share the national OCGM dataset with SOCU regional and national teams.
- 4.72 Regional Intelligence Units will provide a local breakdown of the OCGM database with each prison.
- 4.73 The RIU is responsible for sharing risk related intelligence they receive from LEAs with the regional SOCU, the prison (via security departments) and LDUs (via Offender Managers with SOC responsibility).
- 4.74 SOCU Community Team are responsible for briefing Local delivery units (LDU) and CRCs to ensure Offender Managers with case responsibility for band 1 and 2 SOC offenders are aware of relevant information.
- 4.75 Any requirement to share intelligence within HMPPS or with partners must comply with the Intelligence Collection, Management and Dissemination Policy Framework.

5. Assurance of the Policy

- 5.1 This set of requirements helps HMPPS to ensure this policy and its requirements are implemented consistently without generating unnecessary reporting and additional workload for HMPPS staff.
- 5.2 SOCU is responsible for providing assurance to HMPPS on the operational compliance against all the requirements set out in this policy.
- 5.3 To deliver this assurance, SOCU Custody Team will carry out regular (at least quarterly) visits to prisons. Visits to Probation Local Delivery Units will be carried out by SOCU Community Team at least twice annually. The outputs from these visits will be used to strengthen local compliance and local counter-SOC procedures. SOCU will work with local managers to manage any resource impact of these visits and outputs.
- 5.4 Regional assurance reporting will be carried out by SOCU and this responsibility will be reflected in the relevant performance management process for senior managers in regional teams.
- 5.5 To ensure that this policy meets HMPPS' equality duties to staff and offenders, a review mechanism will be implemented whereby a dip sample is taken every six months to understand whether any groups or individuals of a protected characteristic are being disproportionately targeted. Corrective action that is required will be taken to mitigate any biases.

5.6 A moderation panel will be established to ensure that disruptions are recorded consistently. Any national-level disruptions will be recorded using the NCA Disruption Manual as a guide.

6. Constraints

6.1 SOCU must review this Policy Framework as required and on a minimum annual basis. This review must consider whether the Policy Framework has a disproportionate impact on any protected characteristic group and whether there is evidence of any bias in the decision making taking place. Where any discrepancies or bias is identified, this must be accounted for, or the policy revised to provide safeguards or mitigations.

6.2 The management of high priority SOC offenders should not supersede or compromise any statutory management requirements agreed in multi-agency public protection arrangements (MAPPA) or related provisions in the Criminal Justice Act 2003.

6.3 Disruption activity undertaken by HMPPS staff should not compromise actions being taken during a criminal investigation by police or another law enforcement agency.

7. Guidance

7.1 Supplementary guidance is provided in the HMPPS SOC Handbook, which provides staff with detailed operational advice on managing SOC offenders in custody and probation. Access to this is via SOCT Security Information Hub and regional SOCU contact. The Handbook is updated and refreshed every 6 months. We ask that staff limit printing it off so that they can ensure they are always referring to the most recent document.

7.2 A Disruption Toolkit for prison staff is accessible via Regional SOCU contact. The toolkit is for HMPPS staff with SOC, security and intelligence responsibilities. If you need access to the Disruption Toolkit, please contact your prison security department or regional SOC Custody lead.

7.3 A Probation Practice Toolkit for managing SOC offenders under supervision is available via the Regional SOCU contact. Please contact your SOC Community lead for more information.