

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011



# Service Specification for

## Categorisation & Allocation for Prison Custody

### Service Specification Document

This document defines the service, including the required outcome(s) and outputs. As part of a Contract, the national minimum outputs in this document are mandatory for all providers. The document can also contain optional outputs that are available for Commissioners to commission.

<b>1. Service Specification Document</b>	2. Operating Model	3. Direct Service Costs & Assumptions Document	4. Cost Spreadsheet
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Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

<b>Version Control Table</b>		
<b>Version No.</b>	<b>Reason for Issue / Changes</b>	<b>Date Issued</b>
P1.0	Preview publication.	11/11/2011
P1.1	Updated preview version, to accompany Manage the Sentence Pre & Post Release from Custody - transitional version. Section 9 (reference to supporting documents) updated. No other changes made.	05/03/2012
P2.0	Go live publication. Section 9 (reference to supporting documents) updated to refer to separate cost spreadsheets for community and for custody. No other changes made.	27/04/2012
P2.1	References for mandatory guidance updated in line with changes to the National Security Framework.	05/08/2013
P2.2	Supporting documents: reference to operating model, cost spreadsheet and direct service costs and assumptions removed, as these are now outdated.	15/01/2014
P2.3	Added the word 'Prison' to title of this service specification (now titled: 'Categorisation & Allocation for Prison Custody'), to avoid possible confusion with the allocation of offenders to providers' cohorts. The latter is covered in the specification: 'Assessments & Reports Pre-Sentence'.	20-01-2014

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

## Introduction to Categorisation & Allocation for Prison Custody specification

1.	<b>Service Name</b>	<b>Categorisation &amp; Allocation for Prison Custody</b>
2.	<b>Key Outcome(s) for Service</b>	<p>Prisoners are placed in the lowest conditions of security consistent with managing identified risks, in terms of:</p> <ul style="list-style-type: none"> <li>• The likelihood of escape or abscond</li> <li>• The risk of harm to the public in the event of an escape or abscond</li> <li>• Any control issues that impact on the security and good order of the prison and the safety of those within it</li> <li>• Taking account of a range of outcomes and factors, allocation supports delivery of the prisoner's sentence plan</li> <li>• Maximum use of made of available places</li> </ul>
3.	<b>Definition of Service</b>	<p>This service concerns:</p> <ul style="list-style-type: none"> <li>• The assessment and allocation of an appropriate category to all prisoners bearing in mind the risks they present, including likelihood of escape, control issues and their propensity for causing harm</li> <li>• The re-categorisation of prisoners in response to changes in the above factors</li> <li>• The allocation of prisoners to an establishment suited to managing the risk factors identified</li> </ul>
4.	<b>Service Elements In Scope</b>	<ul style="list-style-type: none"> <li>• Initial categorisation and subsequent allocation</li> <li>• Re-categorisation and subsequent allocation</li> <li>• Other allocation</li> </ul>
5.	<b>Out of Scope Service Elements</b>	<ul style="list-style-type: none"> <li>• Transportation of Category 'A' Prisoners</li> <li>• Liaison with the UK Border Agency's Criminal Casework Directorate (CCD) for Foreign National Prisoners</li> </ul> <p>The following elements are also excluded from this and other specifications:</p> <ul style="list-style-type: none"> <li>• Young people (aged 15-17). For split sites, the specification appropriate to the individual's circumstances should be applied</li> </ul>

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

		<ul style="list-style-type: none"> <li>• Escort of prisoners to/from the activity (see Internal Prisoner Movements specification)</li> <li>• Detailing of staff to the service</li> <li>• Procurement of goods/stationery</li> <li>• Staff training</li> </ul>
6.	<b>Dependent Service Elements</b>	<p>Resettlement issues are contained in the specification 'Manage the Custodial Sentence - Manage the Sentence Pre &amp; Post Release from Custody'.</p> <p>The facility for prisoners to make representations against categorisation decisions is in the service specification 'Processing &amp; Resolution of Prisoner Complaints'.</p>
7.	<b>Strategic Context</b>	<p>The categorisation and allocation system aims to ensure that all prisoners are held in an establishment of a security category consistent with managing their risks and needs.</p> <p>The initial categorisation process takes place following conviction and sentencing and assesses the prisoner's risks in terms of static factors, likelihood of escape or abscond, the risk of harm to the public in the event of an escape or abscond, and any significant control issues or personal circumstances which may impact the categorisation decision.</p> <p>Re-categorisation takes place at regular prescribed intervals or whenever there has been a significant change in the prisoner's circumstances impacting on security requirements. Re-categorisation assesses the extent to which the prisoner's risk may have changed sufficient to warrant a change in security category.</p> <p>Subsequent to categorisation/re-categorisation, the prisoner is allocated to a suitably secure establishment.</p> <p>Separate instructions describe the criteria against which eligibility for Category A/Restricted Status must be considered.</p> <p>Prisoners may be re-allocated independently of the categorisation process, in line with offender behaviour needs and to maximise use of the estate. Prisoners will never be allocated to an establishment of a lower security category than the category assigned to the prisoner.</p>
8.	<b>Flexibility</b>	All the outputs in this specification are mandatory – referred to as the <b>National Minimum</b> .

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

9.	<b>Reference to Supporting Documents</b>	None.
10.	<b>Example Measurement/ Assurance Method for Commissioners</b>	<p>The specification identifies examples of methods for Commissioners to measure/obtain assurance on the delivery of the outputs/output features. Where an output or output feature does not have Performance Indicator(s) or Management Information associated with it, then it is proposed that it should be covered by Assurance Statements and Contract/SLA Management and/or more specific audits of the Service.</p> <p>Assurance Statements will be one of the means by which Commissioners can get assurance that providers are delivering outcomes and outputs of the Service Specification. Contract/SLA Management refers to the Commissioner, under the terms of the Contract/SLA, exercising appropriate oversight and monitoring of Contract/SLA compliance against the service as a whole. Audit may refer to individual reviews of compliance commissioned by Commissioners or to service wide reviews, by MoJ Internal Audit and Assurance, of a key process contributing to the delivery of an outcome in a Service Specification.</p> <p>Security Audit, Race Equality Prisoner Audit and Self Harm Audit all feature as separate elements within the Prison Rating System (PRS).</p>
11.	<b>References for Detailed Mandatory Instructions</b>	<p>The National Security Framework (NSF) is the source document to provide prisons with the information and guidance needed to maintain high levels of security and to meet the Prison Service aim of preventing escapes. It is the core security document for all public and contracted out prisons and applies equally to all parts of all categories of prison.</p> <p>NSF Function 1 - Categorisation contains the following PSIs:</p> <ul style="list-style-type: none"> <li>• NSF 1.2/PSI 39/2011 - Categorisation and Re-categorisation of Women Prisoners</li> <li>• NSF 1.1/PSI 40/2011 - Categorisation and Re-categorisation of Adult Male Prisoners</li> <li>• NSF 1.3/PSI 41/2011 - Categorisation and Re-categorisation of Young Adult Male Prisoners</li> </ul> <p>Other mandatory instructions that apply are:</p> <ul style="list-style-type: none"> <li>• PSI 49/2011 Prisoner Communication Services</li> <li>• PSO 4700 - Indeterminate Sentence Manual - New Chapter 4 Serving the Indeterminate Sentence</li> </ul>

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

		<ul style="list-style-type: none"> <li>• PSI 36/2010 - PI 11/2010 – New Chapter 4 for PSO 2700 – Indeterminate Sentences</li> <li>• PSO 2300 - Resettlement</li> <li>• PSO 2205 - Offender Assessment and Sentence Management</li> <li>• PSO 4615 - Prolific and Priority Offenders strategy</li> <li>• NSF 12.1 PSI 05/2013 The Identification, Initial Categorisation and Management of Potential and Provisional Category A/Restricted Status Prisoners</li> <li>• NSF 12.2 PSI 08/2013 The Review of Security Category - Category A/Restricted Status Prisoners</li> <li>• NSF 12.5 Security and Management of Restricted Status Prisoners [To Be Published]</li> <li>• NSF 13.1/PSI 43/2011 - Managing and reporting on extremist behaviour in custody</li> </ul>
12.	<b>References for Non-Mandatory Guidance</b>	<p>PSI 38/2011 - PI 08/2011 Public Protection Manual - Chapter 12: Terrorist Notification Requirements</p> <p>Her Majesty's Inspectorate of Prisons (HMIP) 'Expectations' (HMIP, April 2008). This document sets out the criteria HMIP uses to appraise and inspect prison establishments and thereby to exert influence over practice and procedure in custody. Section 6 - good order: contains a number of criteria in relation to categorisation which Governors will bear in mind in organising their procedures.</p>
13.	<b>Review</b>	Review cycle to be determined.

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

## Specification

### National Minimum

<i>Row</i>	<i>Service Element</i>	<i>Outputs / Output Features</i>	<i>Applicable Offender Types</i>	<i>Policy Theme</i>	<i>Example Measurement/ Assurance Method for Commissioners</i>	<i>References for Detailed Mandatory Instructions</i>	<i>References for Non-Mandatory Guidance</i>
1.	Initial Categorisation	All prisoners, including those on remand awaiting trial, convicted and awaiting sentence (other than those reported in to headquarters as potential Category A) are recorded on information systems.	All (excluding those reported as Provisional Category A or Restricted, or recalled)	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation  PSI 03/2010 Category A prisoners: Review of security category  PSI 36/2010 PSO 4700 New Chapter 4 Serving the Indeterminate Sentence	

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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2.	Initial Categorisation	Procedures are in place to identify and report in to Headquarters potential Category A and Restricted Status prisoners.	Potential Category A & Restricted Status Prisoners	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation NSF 12.1 PSI 05/2013 The Identification, Initial Categorisation and Management of Potential and Provisional Category A/Restricted Status Prisoners NSF 12.2 PSI 08/2013 The Review of Security Category - Category A/Restricted Status Prisoners PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	



Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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3.	Initial Categorisation	Instructions from Category A section regarding Provisional Category A prisoners and Restricted Status prisoners are acted upon.	Potential Category A & Restricted Status Prisoners	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation NSF 12.1 PSI 05/2013 The Identification, Initial Categorisation and Management of Potential and Provisional Category A/Restricted Status Prisoners NSF 12.2 PSI 08/2013 The Review of Security Category - Category A/Restricted Status Prisoners NSF 12.5 Security and Management of Restricted Status Prisoners [to be published] PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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4.	Initial Categorisation	All convicted and sentenced prisoners, including Indeterminate Sentence Prisoners (ISPs), are correctly categorised within four working days of all essential documents being received.	All (excluding those reported as Provisional Category A or Restricted Status)	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
5.	Initial Categorisation	Eligible prisoners sentenced to a determinate sentence of less than 12 months are considered for open conditions as soon as possible after sentence using the streamlined risk assessment process.	All	Security  Resettlement	Self/ Independent Assessment Security Audit PI Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation	
6.	Initial Categorisation and Re-categorisation	The categorisation of long sentenced prisoners or those involved in serious crimes takes account of input from Police Intelligence Officers.	All	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation	

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Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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7.	Initial Categorisation and Re-categorisation	All assessments are completed using prescribed forms.	All	Information Management	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
8.	Initial Categorisation and Re-categorisation	Prisoners understand the process and the reasons for the decision made in their case.	All	Offender Management	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
9.	Initial Categorisation and Re-Categorisation	Prisoners are enabled to make representations against decisions.	All	Appeals/ Complaints processes	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	

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10.	Initial Allocation	The prisoner is allocated to an appropriately secure establishment that best meets his/her sentence planning and other needs.	All	Security, Resettlement	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
11.	Initial Allocation	Confirmed Category A and Restricted Status prisoners are allocated as directed by NOMS HQ.	Provisional Category A and Restricted Status Prisoners	Security	Self/ Independent Assessment Security Audit PI Escapes PI Category A Escapes	NSF 12.1 PSI 05/2013 The Identification, Initial Categorisation and Management of Potential and Provisional Category A/Restricted Status Prisoners NSF 12.2 PSI 08/2013 The Review of Security Category - Category A/Restricted Status Prisoners PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
12.	Re-Categorisation	Categorisation is reviewed, within set timescales.	All	Security, Resettlement	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation	

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
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13.	Re-Categorisation	A review of categorisation is completed outside the normal review timetable when there is a significant change in circumstances, or behaviour which impacts on the level of security required.	All	Security, Resettlement	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation	
14.	Re-categorisation	Prisoners recalled for breach of licence or Home Detention Curfew conditions are categorised in line with national policy. Recalled prisoners are reviewed within four working days of the Parole Board or Justice Secretary making a decision on their case.	Recalled	Security	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation PSI 43/2012 (LASPO) ACT 2012 – HDC	

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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15.	Re-categorisation	<p>ISPs are, in the absence of exceptional circumstances, generally only moved to open conditions following a Parole Board recommendation that is accepted by the Justice Secretary.</p> <p>When considering a foreign national prisoner (FNP) for open conditions, the UK Border Agency is consulted and asked to provide information regarding the FNP's immigration history and current status.</p> <p>This information is taken into account by NOMS HQ staff (in respect of ISP FNPs) or by establishment staff (in the case of determinate sentence FNPs) when deciding whether or not to recategorise to open conditions.</p>	<p>ISPs</p> <p>Foreign National Prisoners</p> <p>(ISP and non-ISP)</p>	<p>Security</p> <p>Public Protection Manual</p>	<p>Self/ Independent Assessment</p> <p>Audit/ SLA/ Performance/ Contract Management</p>	<p>NSF 1.2 PSI 39/2011,</p> <p>NSF 1. 1 PSI 40/2011</p> <p>NSF 1.3 PSI 41/2011 Categorisation</p> <p>PSO 4700</p> <p>PSI 36/2010</p> <p>PSO 4700 New Chapter 4</p> <p>Indeterminate Sentences</p>	
16.	Allocation	<p>The prisoner's allocation is reviewed following a re-categorisation review.</p>	All	<p>Resettlement,</p> <p>Children and Families,</p> <p>Disability, Sentence planning, MAPPA</p>	<p>Self/ Independent Assessment</p> <p>Audit/ SLA/ Performance/ Contract Management</p>	<p>NSF 1.2 PSI 39/2011,</p> <p>NSF 1. 1 PSI 40/2011</p> <p>NSF 1.3 PSI 41/2011 Categorisation</p>	

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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17.	Allocation	ISPs who meet the establishment's local allocation criteria are accepted unless there are documented security reasons for not doing so.	ISPs	PMS	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
18.	Allocation	NOMS HQ is notified and consulted in relation to movements of ISPs.	ISPs	PMS	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	PSI 36/2010 PSO 4700 New Chapter 4 Indeterminate Sentences	
19.	Allocation	The relevant Counter-Terrorism Co-ordinator is consulted and informed of the transfer of Terrorist prisoners. The NOMS Extremism Unit is also notified prior to transfer.	Applicable offenders	Security/Public Protection	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 1.2 PSI 39/2011, NSF 1. 1 PSI 40/2011 NSF 1.3 PSI 41/2011 Categorisation NSF 13.1 PSI 43/2011 Managing and reporting on extremist behaviour in custody MAPPA Guidance (2009) s16)	PSI 38/2011 / PI 08/2011 Public Protection Manual Chapter 12 (Terrorist Notification Requirements)

Service	Categorisation & Allocation for Prison Custody	Version	P2.3
Document	Service Specification	Sign-off Complete	NEMC 12/07/2011

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20.	Re-categorisation/ Allocation	<p>The Regional Counter Terrorism Co-ordinator is notified if a categorisation review is likely to lead to reduction in category for a prisoner on NOMS list or one with terrorist or extremist links and particularly those likely to be moved to open conditions.</p> <p>All relevant parties are informed, prior to those on the NOMS extremist prisoner list being placed in open conditions.</p>	Applicable offenders	Security/Public Protection Extremism Unit	Self/ Independent Assessment Audit/ SLA/ Performance/ Contract Management	NSF 13.1 PSI 43/2011 Managing and reporting on extremist behaviour in custody MAPPA Guidance (2009) s 16	PSI 38/2011 / PI 08/2011 Public Protection Manual Chapter 12 (Terrorist Notification Requirements)