



Ministry of
JUSTICE

OFFENDER

Implementation Manual

Phase III

Offender Management
and Indeterminate
Sentence Prisoners

OMM

January 2008

NOMS National Offender
Management Service

Working together to reduce re-offending

Implementation Manual

Phase III

Offender Management
and Indeterminate
Sentence Prisoners

**Indeterminate Sentence
for Public Protection:**

Offender Managers

Life Sentence Prisoners:

Prison Service Designated Staff Members

January 2008

Following a national series of consultation events after the introduction of Phase II of offender management, practitioners strongly requested a set of guidance notes to sit under the specification which would outline the required roles and tasks, hence the production of this manual.

The manual has been produced following wide-ranging consultation with all stakeholders and has been approved by the Offender Management Sub-Programme Board for use by both prison and probation staff as the guidance for implementing Phase III of offender management as outlined in the *Specification and Implementation Guidance for Phase III of Offender Management*.

Prison Service Orders (PSOs) and Probation Circulars are being reviewed and will be altered or re-issued as necessary to take into account the changes involved in the introduction of offender management. A separate, new PSO for the Prison Service is being written to encompass offender management.

In addition, a Probation Circular will be issued to consolidate the changes to the parole system for the Probation Service outlined in the guidance manual.

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1. Introduction to Offender Management

Phase II of the Offender Management Model enabled both the Probation and Prison Services to develop a new joint approach to working with high and very high risk offenders and prolific and other priority offenders (PPOs). Previously there had been no national case management system for either agency. A considerable amount of time and effort has been spent in establishing joint systems and processes to enable a joint case management approach to be taken to working with this group of offenders by both probation and prison staff.

Phase III

Following the introduction of Phase III in January 2008, indeterminate sentences for public protection (IPP) and lifer management will be aligned with the offender management case management processes and systems which have been developed under Phase II:

- **Offender Supervisors** will actively implement Sentence Plans on a day-to-day basis for all indeterminate sentence prisoners (lifers and IPPs).
 - **Case Administrators** in both Prison and Probation Services have a very important role in communicating with each other to ensure that the administration and organisation of the case is efficient.
 - **Offender Management Teams** – As in the Offender Management Model, the management of the sentences of all lifers/IPP's will be by Offender Management Teams – the presumption is that Lifer Units/staff will move into Offender Management Units in prisons.
 - **OASys** – The case management process will be undertaken using the Offender Assessment System (OASys) as a basis for all the sentence planning. Where there is a need for additional assessments because of the serious nature of the offending, then additional reports will be prepared by specialists. These will supplement the baseline OASys assessment.
 - **Assessments** – Pre-Sentence Reports (PSRs) should be completed for all offenders at risk of receiving a life or IPP sentence to ensure that all potential indeterminate sentence prisoners are identified at an early stage. All potential lifers/IPP's should have had an OASys assessment and an outline Sentence Plan prepared by the Offender Manager at the pre-sentence stage on which early post-sentence
- **Offender Managers** will be at the centre of the assessment, sentence planning, review, release arrangements and supervision and evaluation in the community for all offenders sentenced to an IPP.
 - **Prison Service designated staff members** will provide the prison-based offender management tasks for all other life sentence prisoners.
 - **Probation Officers** will continue to provide the community element for life sentence prisoners.

planning can begin. Those assessed as posing the highest risk may need additional and more detailed assessments to ensure that the correct interventions are put in place during their sentence.

- **Sentence** – All offenders will continue to be managed based on the risk of serious harm they pose rather than the sentence. All offenders where a PSR, or full Post-Sentence Report, has been prepared will have an OASys assessment, and an initial Sentence Plan will be completed within the first eight weeks (those with a tariff of less than two years) or 16 weeks (those with a tariff of more than two years) of their sentence. Those offenders whose risks and needs are identified at this early stage can be moved to an establishment that will provide the required interventions. Those who need additional assessments to determine their precise risks and needs can then be processed more efficiently, and the initial Sentence Plan can be updated and reviewed based on the outcome of the specialist assessments.
- **Management based on risk** – The basis of the work with each lifer/IPP will reinforce a focus on the risk of serious harm which that person poses to other people, and the sentence will only set the parameters. As such, all lifers/IPPs will be assessed, and their Sentence Plan will be based, on reducing the likelihood of reconviction and the reduction of the serious harm that they pose to others.

The management of the offender will be based on the premise that resources follow risk, and those offenders who pose the highest risk will receive the most comprehensive risk assessments and the highest levels of case management and interventions.

- **Release** – The aim is for those offenders assessed as posing a risk of serious harm to others to be tracked through their sentence using the sentence planning and review process and the Sentence Planning and Review Reports (SPR), which lead to a regular update of OASys to evidence any reduction in risk. It will be important to ensure that risks are clearly identified at the earliest stage so that the Parole Board can subsequently be provided with a comprehensive set of reports, including a Parole Assessment Report (PAROM 1) from the Offender Manager which includes clear evidence of the work that has been carried out to reduce the risks which that person poses. This will enable justifiable decisions to be made about release into the community on licence supervision.

2. Major Changes to the Existing Processes

Major changes include:

- introduction of an Offender Manager rather than a Lifer Manager for IPPs (Offender Managers for other life sentence prisoners will be introduced in a later phase)
- central role of Offender Supervisor to implement the Sentence Plan for all IPPs and lifers
- Offender Management Units absorb or replace Lifer Units
- use of OASys as the sentence planning and review tool
- source sentence planning documents replace the confidential summary dossier
- expectation of full disclosure of sentence planning documents – only confidential information that may put victims or other people at risk of serious harm by the offender should be kept separately and not be disclosed
- prison and probation Case Administrators working closely together
- early initial sentence planning
- additional specialist/expert assessments only carried out if indicated by the OASys assessment and the sentence planning meeting
- Sentence planning and review (SPR) meetings provide a holistic approach to the offender's sentence
- new documentation of OASys assessments and Sentence Planning and Review Reports plus six Lifer Indeterminate Sentence Prisoner (LISP) forms to replace the Life Sentence Plan documents
- Sentence Planning and Review Reports completed only by those actively working with the offender to reduce the risk of serious harm that he/she poses
- Sentence Planning and Review Report templates to be completed for Parole Board reviews, as is the Offender Manager's Parole Assessment Report (PAROM)
- planned extension of MALRAP to all indeterminate sentence prisoners, which will be known as multi-agency risk assessment planning (MARAP)
- strengthened focus on information exchange, working closely with partners and providing the Parole Board with relevant and detailed information about the risk of serious harm that the offender poses.

3. Offender Management Model

Phase III continues with the key elements of offender management that are set out in the Offender Management Model and which relate directly to working with indeterminate sentence prisoners.

The four Cs: consistency; continuity; commitment; and consolidation

CONSISTENT FINDINGS ...

The most effective work with offenders is associated with:

- **consistency of method and message**

offenders need to receive consistent pro-social messages from the same person over time and different people at the same time; a real challenge for co-ordination and teamwork

- **continuity of “treatment” and of relationship**

there needs to be a continuity of approach (“treatment integrity” or “continuity of care”) and of relationship – a single plan – a single Offender Manager

- **commitment (sometimes referred to as “genuineness” or “the human link”)**

most offenders have many experiences of exclusion; they are highly sensitive to staff “going through the motions”

- **consolidation of learning into routine behaviour**

new attitudes and cognitive or life skills need to be consolidated into “routine” behaviour if change is to be sustained

**Doing the right things, with the right people, at the right time,
in the right way**

CONSISTENT FINDINGS ...

The most effective work with offenders is associated with:

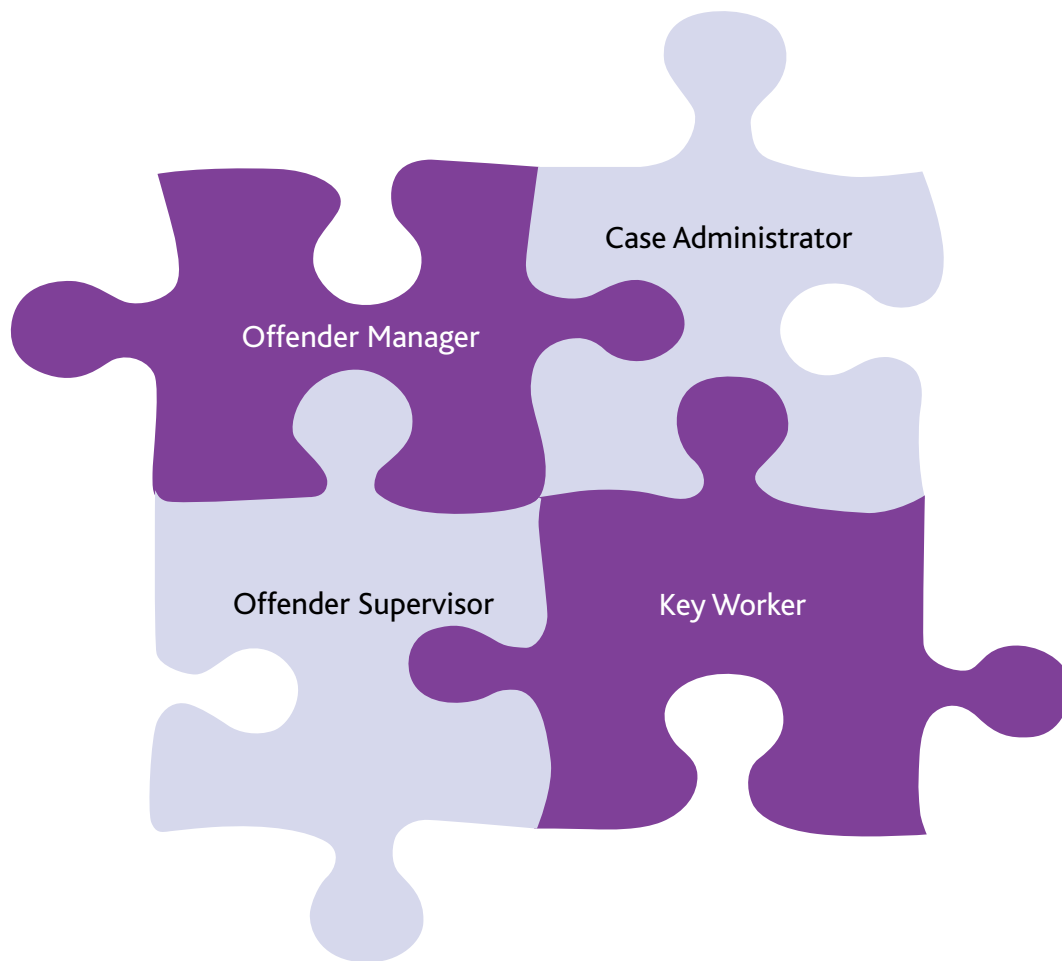
- **doing the right things**
 - focus on criminogenic needs
 - in a scale proportional to the likelihood of re-offending
- **with the right people**
 - assessment and targeting
 - highly individualised
- **at the right time**
 - sequencing
 - co-ordinating
- **in the right way**
 - cognitive/behavioural core
 - experiential learning
 - the four Cs

Evidence of what works with offenders

- Trusting working relationships
- Pro-social modelling
- Motivating the offender
- Brokering
- Preparing (practically and psychologically)
- Supporting
- Coaching
- Contextualising learning
- Consolidating learning
- Reducing relapse into previous behaviours
- Liaising with partners

4. Who's Who in the Team

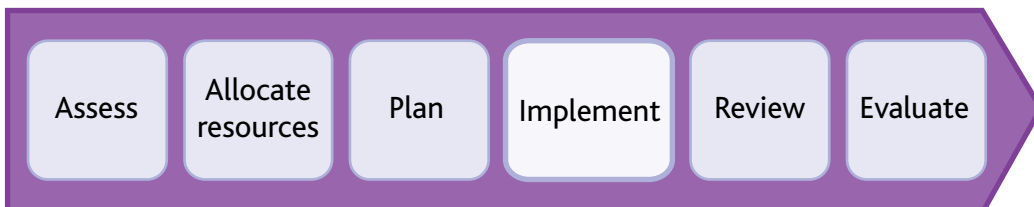
Implementing Phase III of offender management



The Offender Management Team



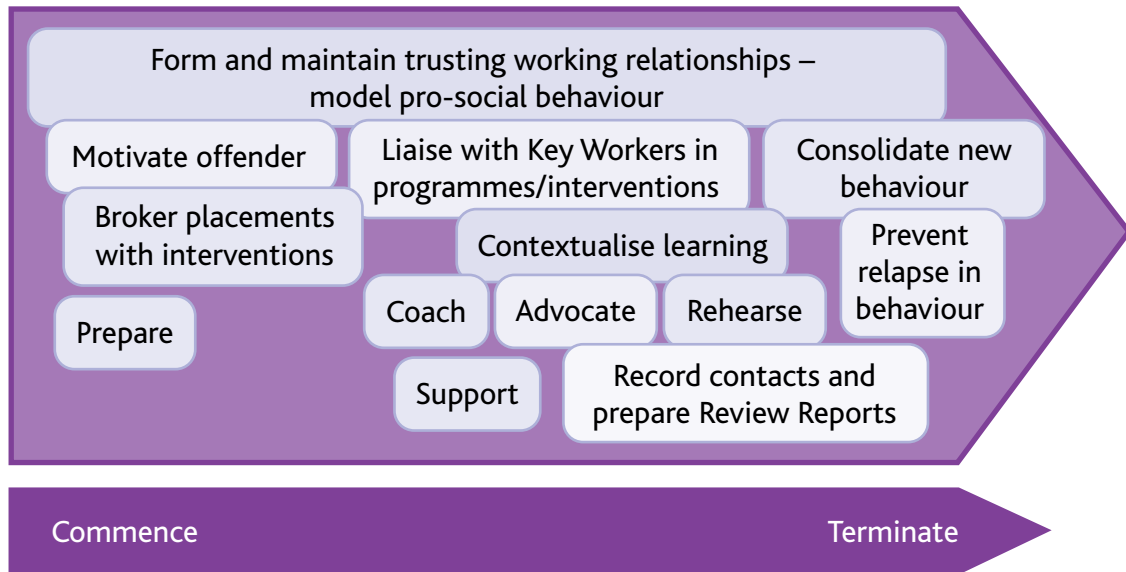
Managed: The Offender Manager



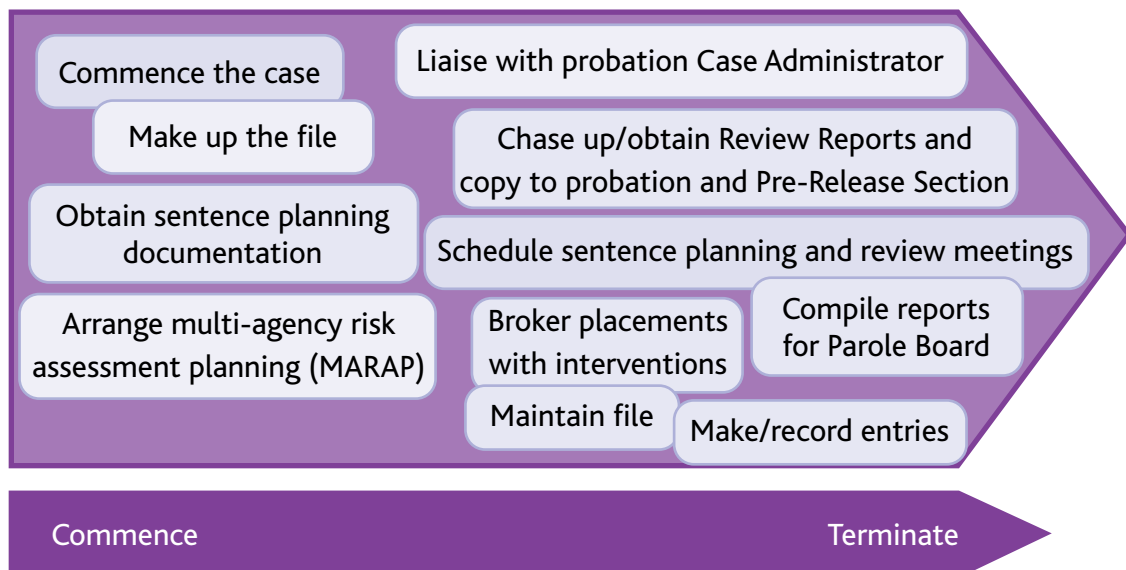
This is the core of the management process. It is captured in the acronym ASPIRE:

Assess – Sentence Plan – Implement – Review – Evaluate

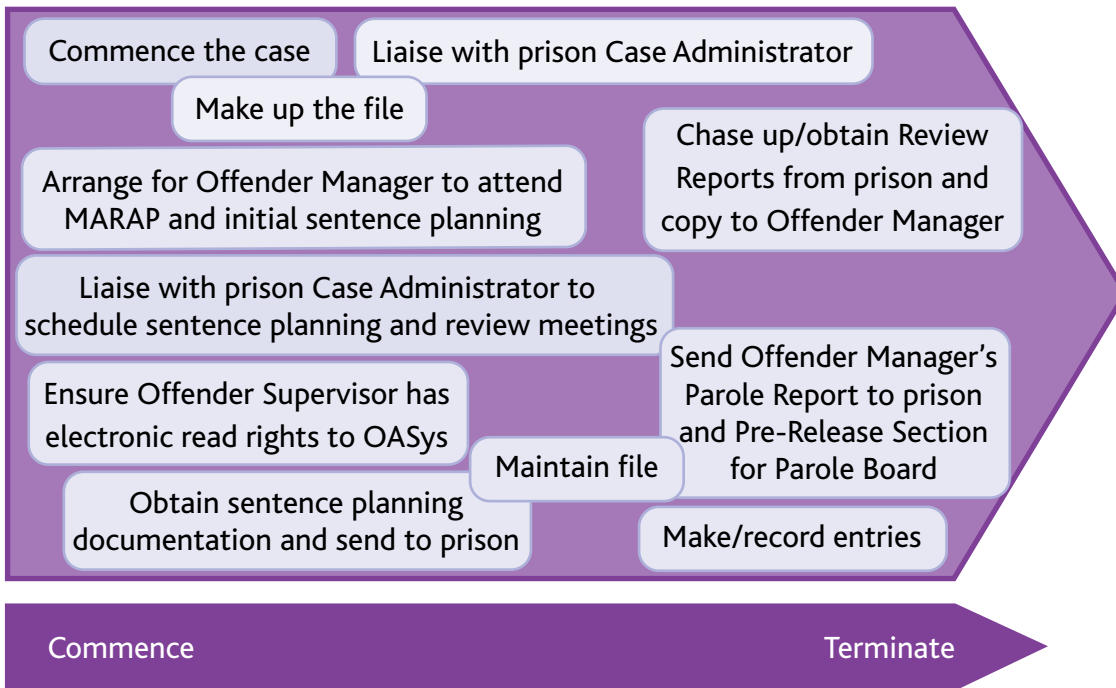
Supervised: The Offender Supervisor in custody



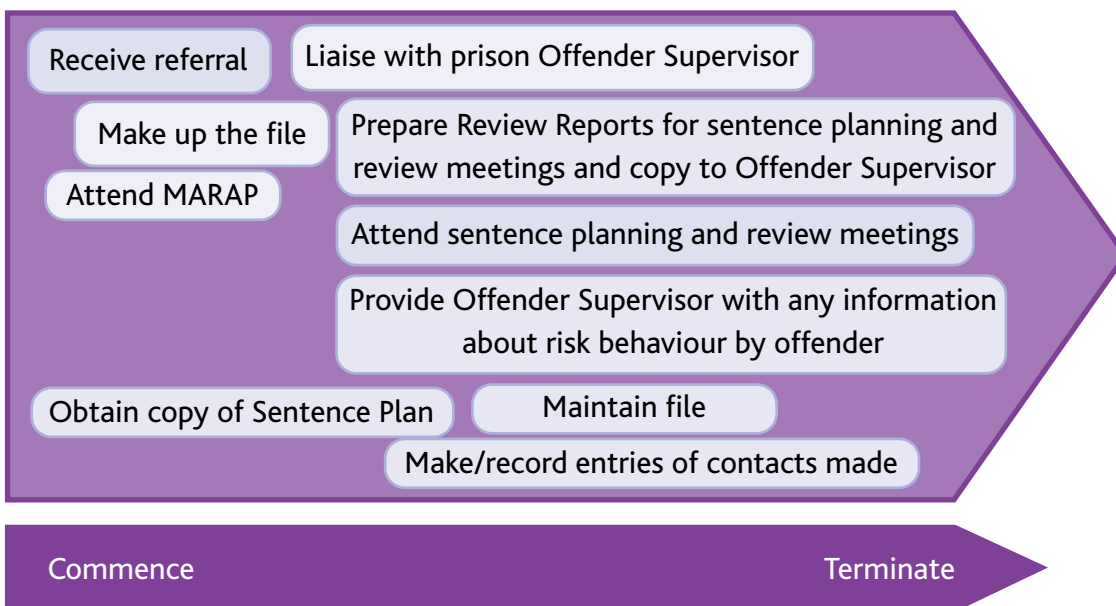
Administered: The Case Administrator, prison



Administered: The Case Administrator, probation



The Key Worker



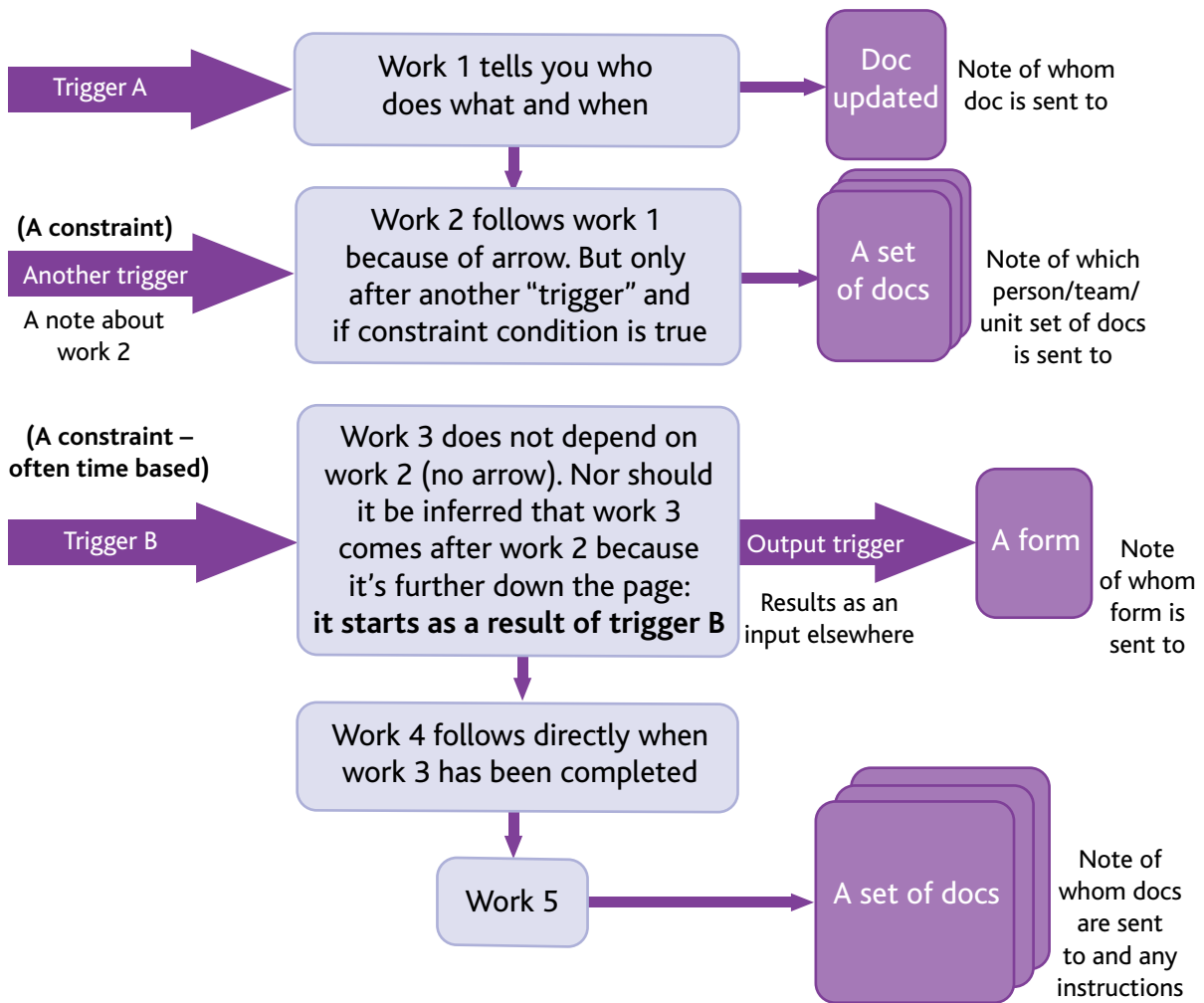
5. Process Flowcharts

Indeterminate sentence for public protection (IPP) and life sentence prisoners (lifer) process flowcharts

The following pages contain a number of organisational views of the Phase III IPP and lifer processes as applied to the Offender Management Model:

1. Offender Manager pre-sentence process for IPPs and lifers.
2. Offender Manager post-sentence process for IPPs.
3. Offender Manager post-sentence process for IPPs – Parole Board decision.
4. Offender Supervisor post-sentence/pre-licence process for IPPs.
5. Post-sentence/pre-release process for lifers.
6. NOMS Pre-Release Section post-sentence process for IPPs and lifers.

How to read the process flowcharts

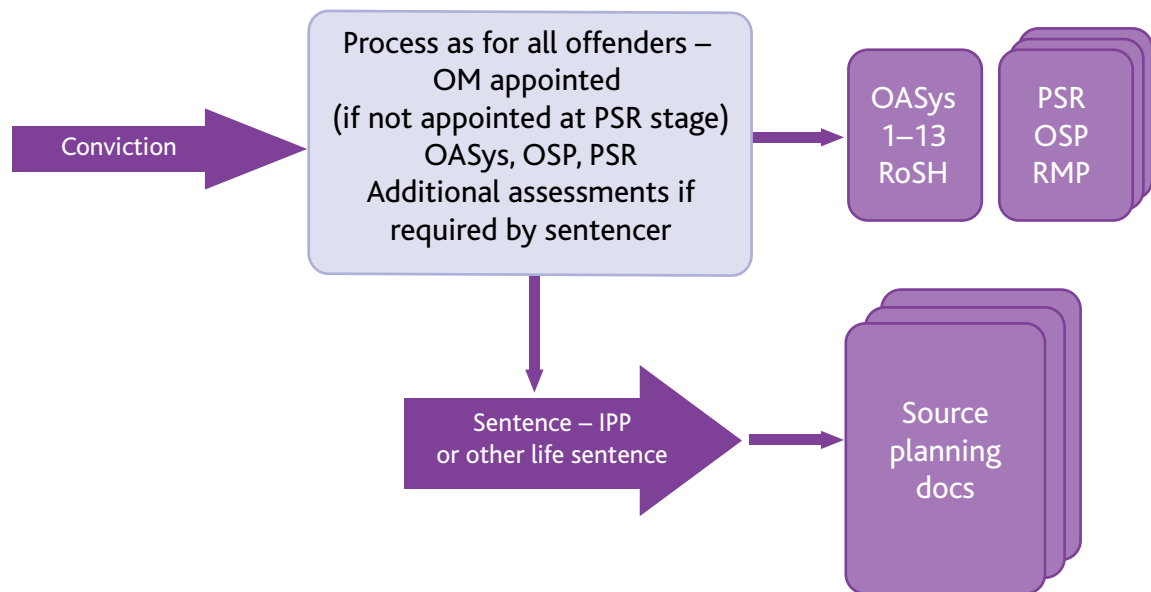


Acronyms used in process flowcharts:

CA	Case Administrator	OM B	Offender Management B, Post-Sentence Report form
CCD 2	Criminal Casework Directorate form	OS	Offender Supervisor
Docs	Documents	OSP	Outline Supervision Plan
IPP	Indeterminate sentence for public protection offenders	PAROM 1	Parole Assessment Report Offender Manager
ISP	Initial Sentence Plan	PSDSM	Prison Service designated staff member
LISP	Lifer Indeterminate Sentence Prisoner forms	PSR	Pre-Sentence Report
MAPPA	Multi-Agency Public Protection Arrangement	RMP	Risk Management Plan
MARAP	Multi-agency risk assessment planning	RoSH	Risk of Serious Harm (assessment)
OASys	Offender Assessment System	SP	Sentence Plan
OM	Offender Manager	SPR	Sentence planning and review
OM A	Offender Management A, Post-Sentence Report form		

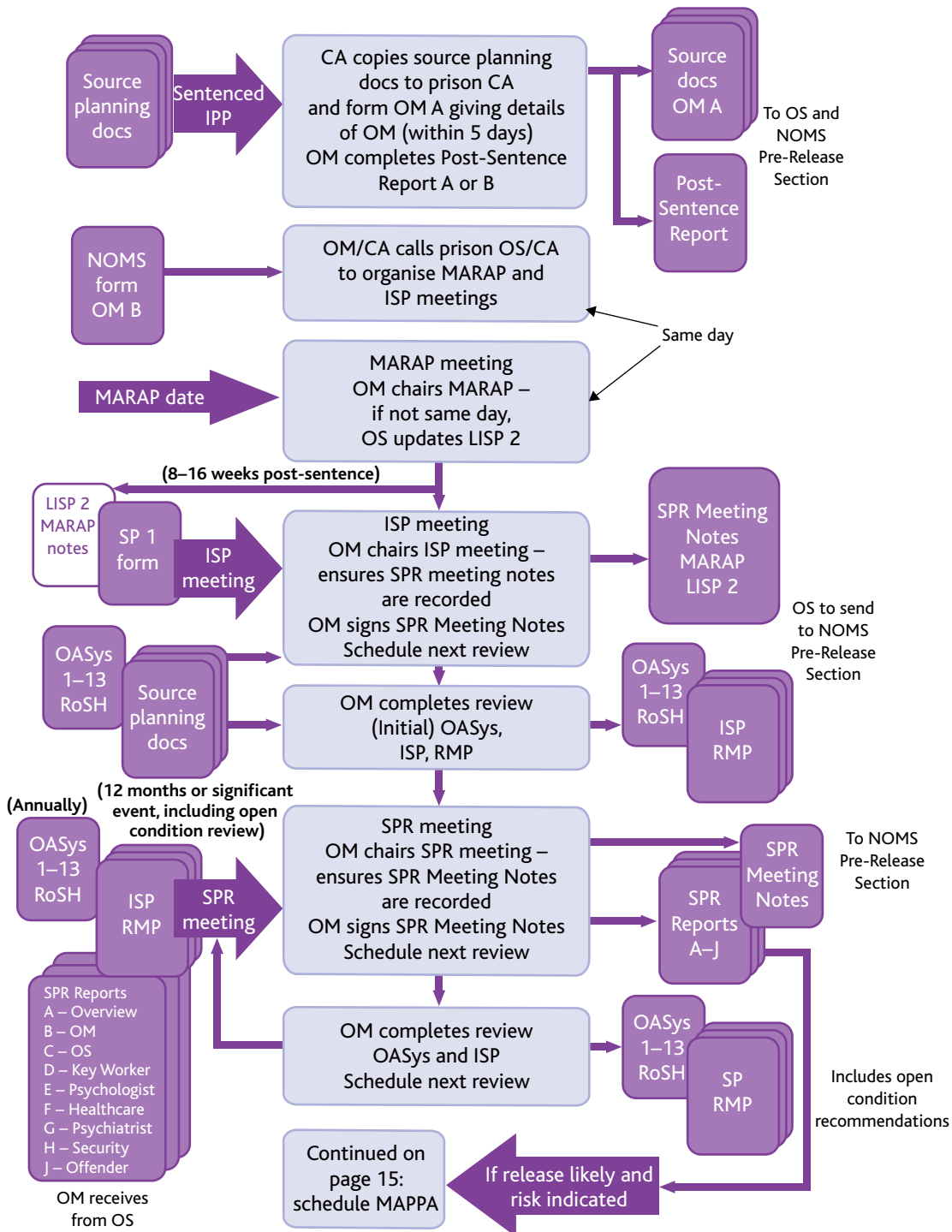
1. Offender Manager pre-sentence process for IPPs and lifers

This process is the same as for Phase II.



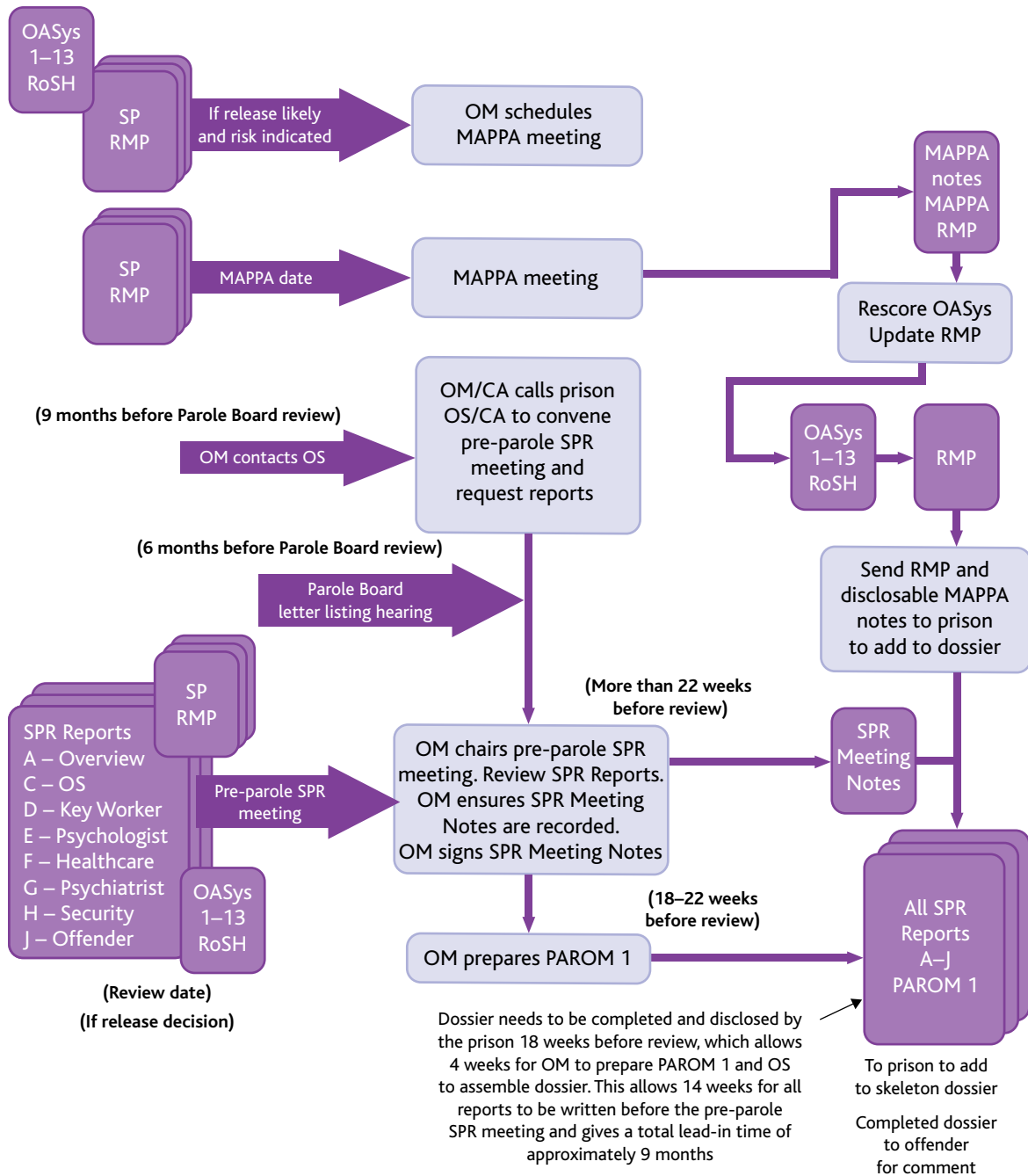
For acronyms used, see page 12.

2. Offender Manager post-sentence process for IPPs



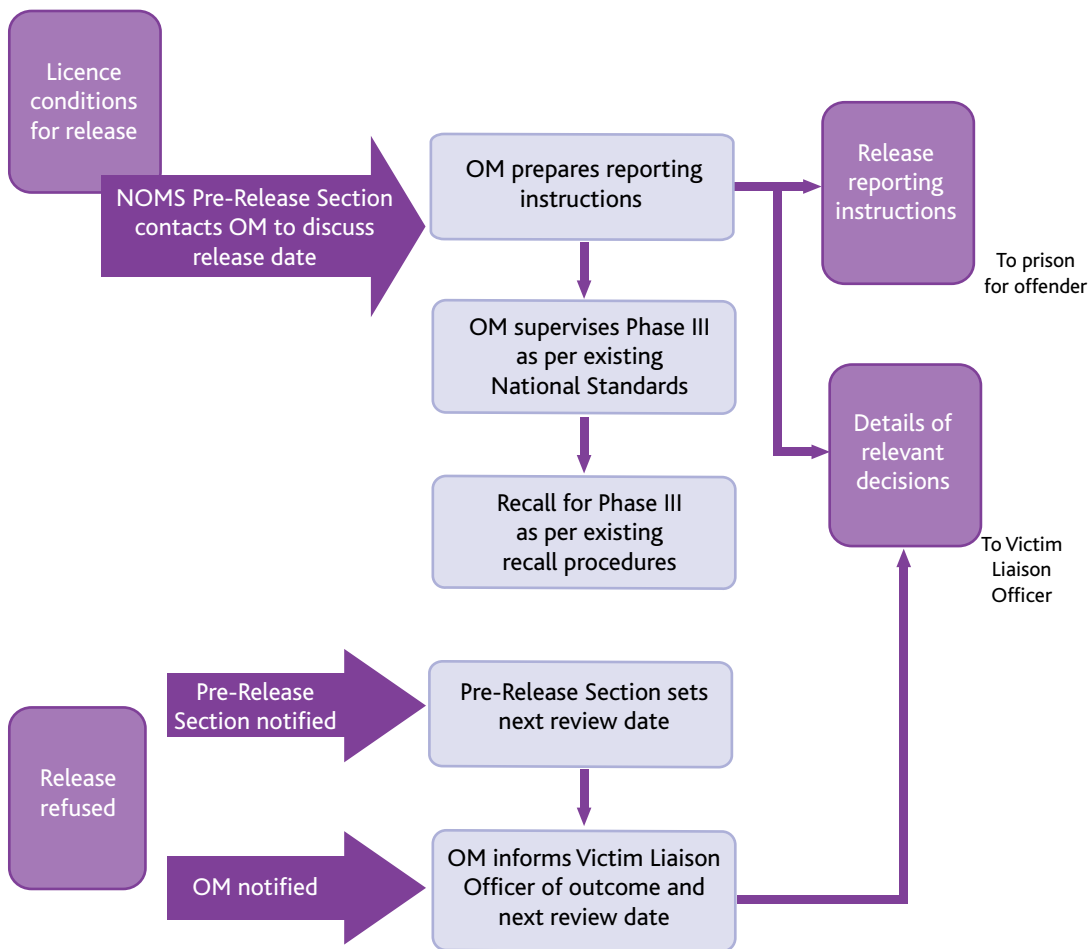
For acronyms used, see page 12.

2. Offender Manager post-sentence process for IPPs – Continued



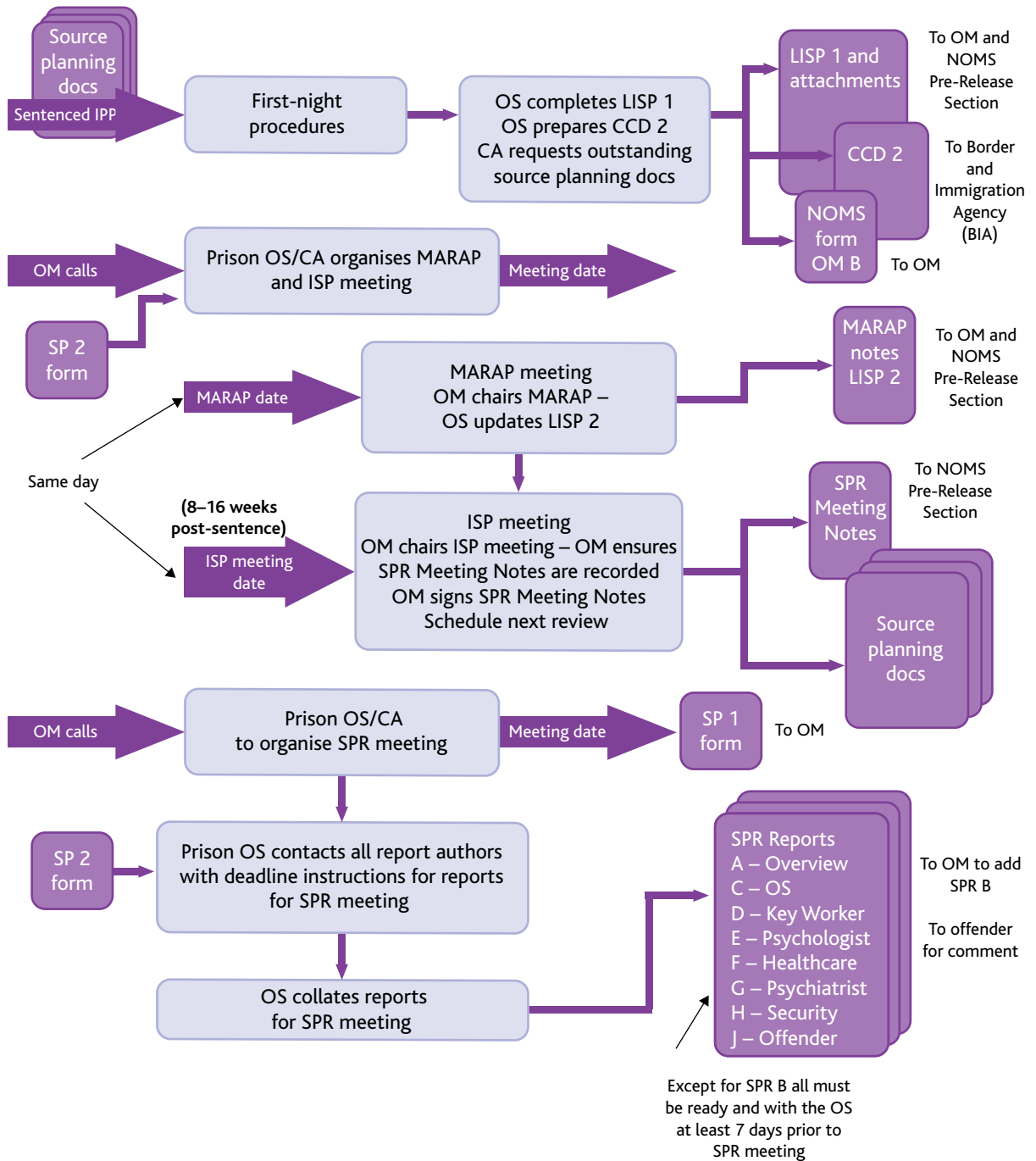
For acronyms used, see page 12.

3. Offender Manager post-sentence process for IPPs – Parole Board decision



For acronyms used, see page 12.

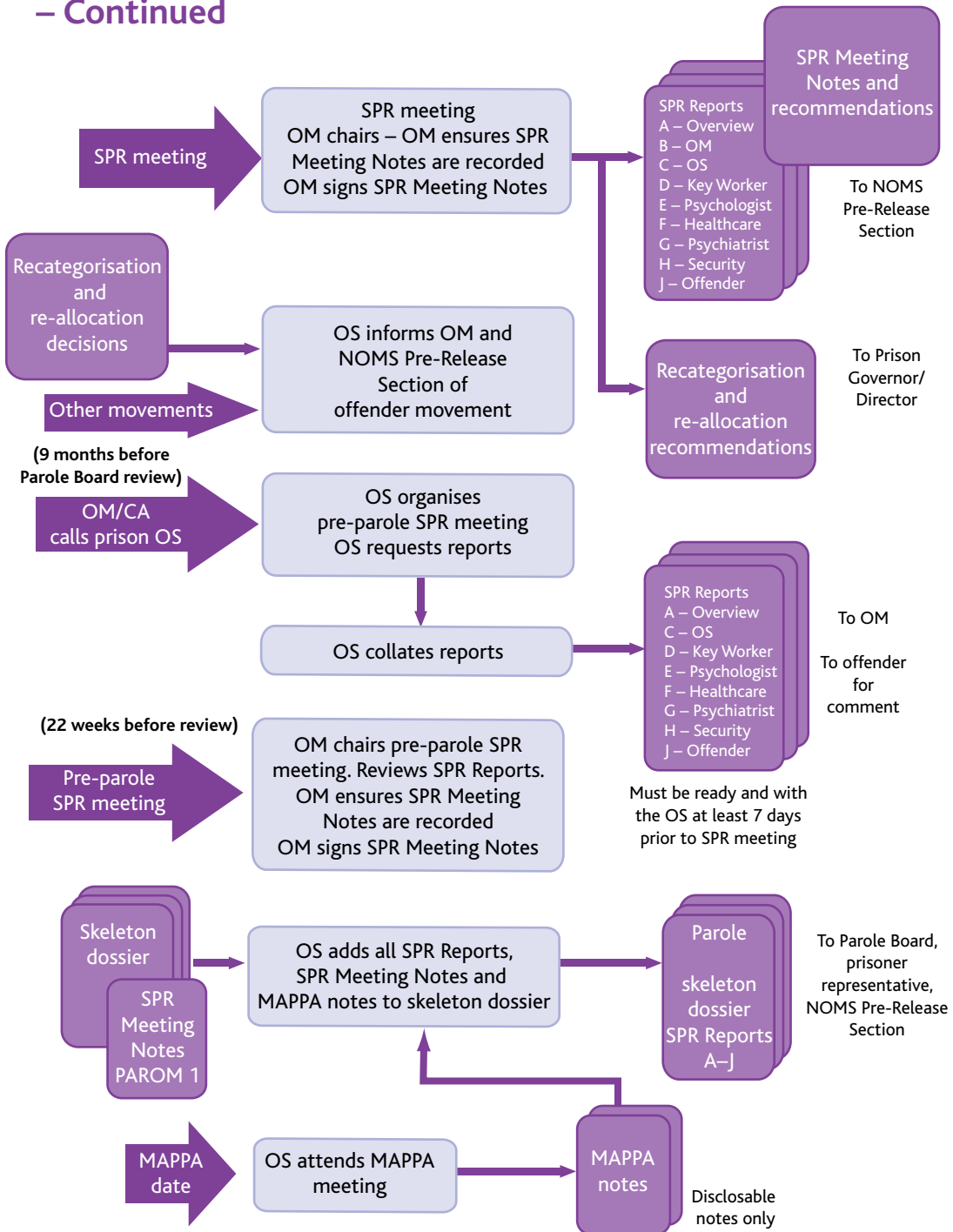
4. Offender Supervisor post-sentence/pre-licence process for IPPs



For acronyms used, see page 12.

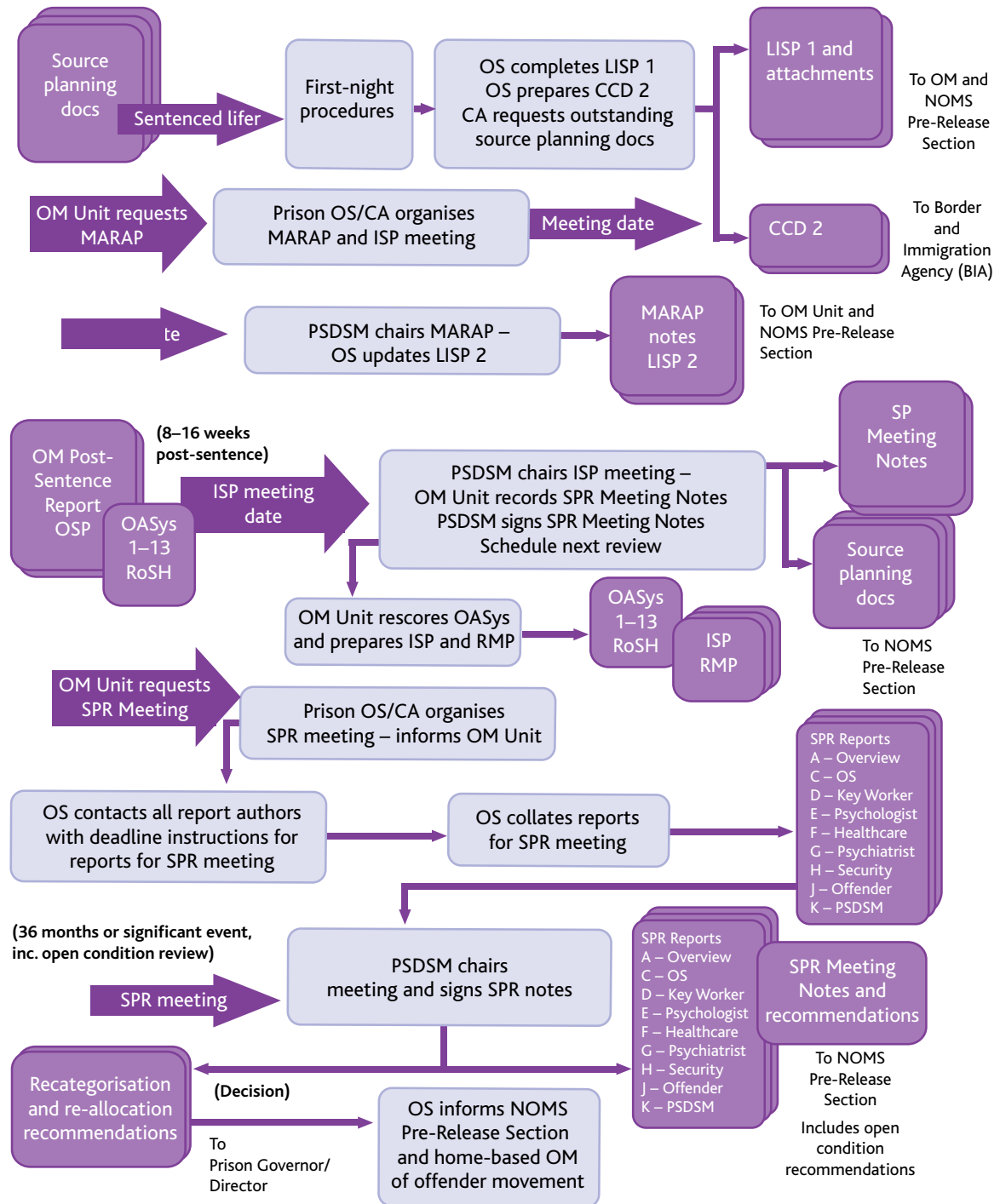
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4. Offender Supervisor post-sentence/pre-licence process for IPPs – Continued



For acronyms used, see page 12.

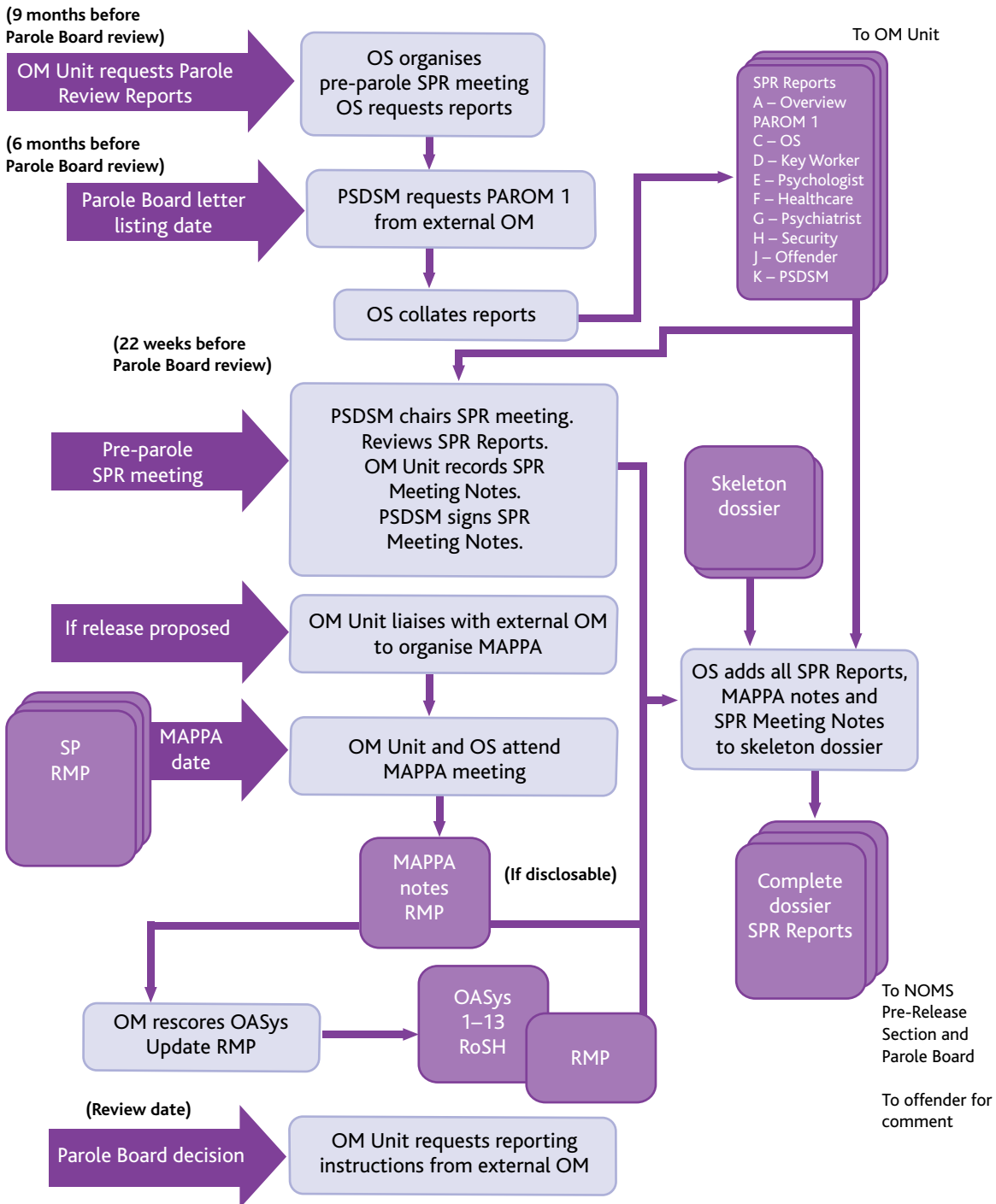
5. Post-sentence/pre-release process for lifers



For acronyms used, see page 12.

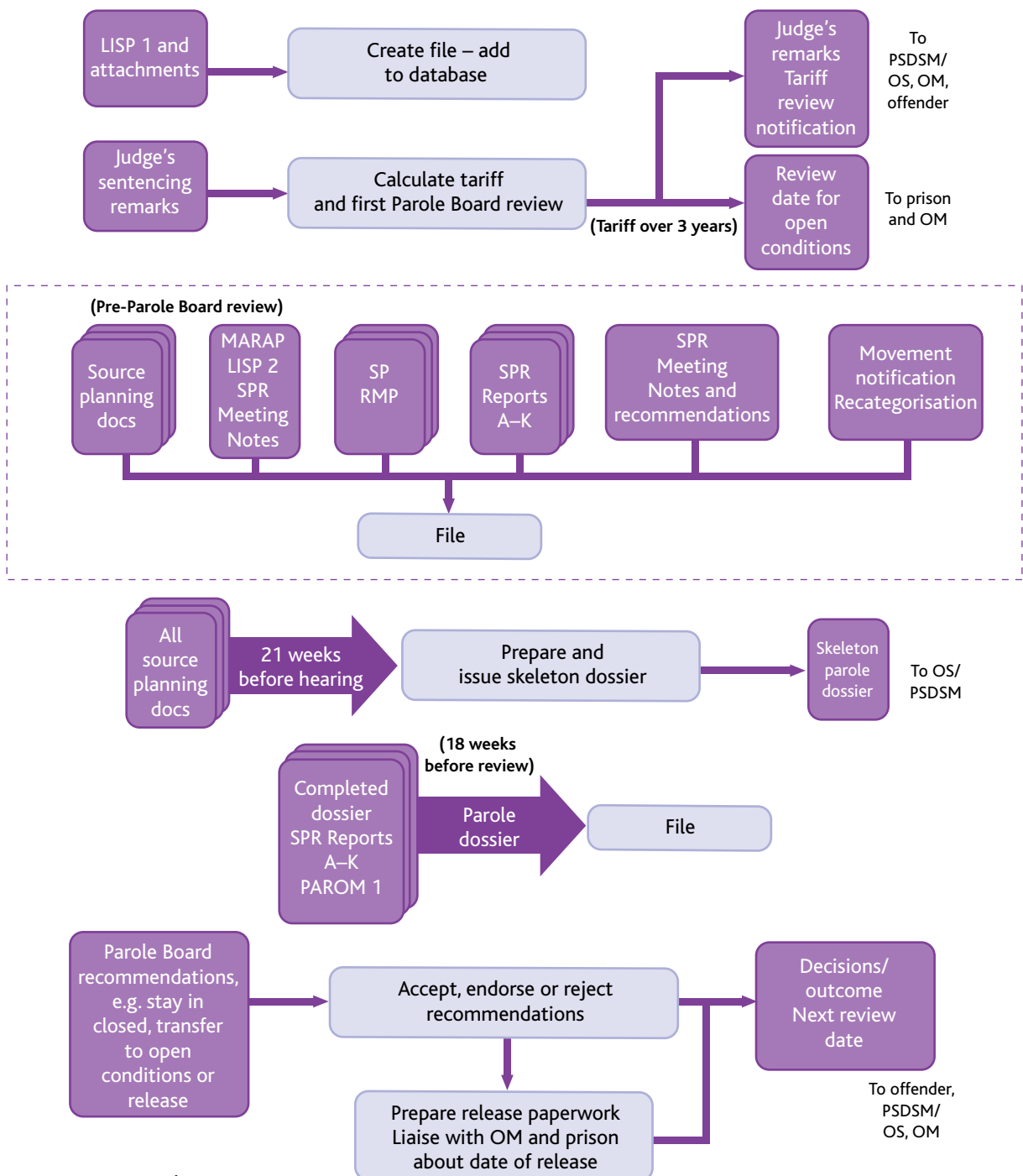
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5. Post-sentence/pre-release process for lifers – Continued



For acronyms used, see page 12.

6. NOMS Pre-Release Section post-sentence process for IPPs and lifers



For acronyms used, see page 12.

6. Who Does What

The tables below set out the main tasks to be carried out by the different roles involved in the management of offenders imprisoned for public protection (IPPs) and life sentence prisoners (lifers). These are not exhaustive but aim to show the major tasks that the new roles will undertake. It is anticipated that prison-based staff managing lifers will liaise closely with the home-based Offender Manager (OM), and any difference in who carries out the tasks in the interim period until lifers come under offender management may be subject to local agreement between the probation area and the prison.

OFFENDER MANAGER	OFFENDER SUPERVISOR
Completes OASys assessment	Undertakes post-sentence interview
Prepares Pre-Sentence Report (PSR)	Liaises with OM
Completes Post-Sentence Report A or B	Oversees arrangement of MARAP meeting
Completes draft initial Sentence Plan	Oversees arrangement of initial sentence planning meeting
Builds and maintains relationship with offender	Assists OM in ensuring that SPR Meeting Notes are taken
Liaises with Offender Supervisor (OS) (throughout)	Meets with offender to review targets/objectives
Chairs multi-agency risk assessment planning (MARAP) meeting	Liaises with Case Administrator (CA) to set up interventions
Chairs initial sentence planning meeting	Contacts Key Workers
Negotiates who takes notes	Motivates/encourages offender to achieve Sentence Plan objectives
Reviews Sentence Plan	Oversees setting up of SPR meetings
Prepares Sentence Planning and Review (SPR) Report (SPR B)	Obtains SPR Reports from Key Workers
Chairs SPR meetings – minimum annually	Prepares SPR Report (SPR C)
Maintains links and relationships with family/home area	Ensures completion of SPR Meeting Notes
Reviews OASys assessment	Prepares report for Parole Board review
Prepares Parole Report	Oversees requests and compilation of reports for Parole Board review

OFFENDER MANAGER	OFFENDER SUPERVISOR
<p>Liaises with OS to ensure collation of parole dossier</p> <p>Ensures appropriate referral to Multi-Agency Public Protection Arrangement (MAPPA)</p>	<p>Quality checks dossier for Parole Board review before sending to parties</p> <p>Arranges for SPR Reports to be commissioned for SPR meetings and refers all potential re-allocation and recategorisation recommendations to Prison Governor/Director. Sends copies of reports to NOMS Pre-Release Section</p>

LIFERS – PRISON SERVICE DESIGNATED STAFF MEMBER
<p>Complete OASys assessment where no PSR prepared</p> <p>Liaise closely with home-based OM</p> <p>Chair MARAP meeting</p> <p>Ensure initial sentence planning Meeting Notes are taken</p> <p>Chair initial sentence planning meeting</p> <p>Review Sentence Plan</p> <p>Overview of SPR Reports' preparation</p> <p>Chair SPR meetings</p> <p>Ensure SPR Meeting Notes are taken</p> <p>Review OASys assessment</p> <p>Prepare SPR K Report</p> <p>Oversee collation of parole dossier</p> <p>Liaise with home-based OM to ensure referral to MAPPA</p> <p>Represent Secretary of State at oral hearings as necessary</p>

CASE ADMINISTRATOR – PROBATION	CASE ADMINISTRATOR – PRISON
<p>Commences case</p> <p>Liaises with prison CA</p> <p>Ensures that PSR and OASys assessment are complete and liaises with prison CA to ensure that they have been received</p> <p>Obtains all source sentence planning documents and sends them to prison CA</p> <p>Makes up file</p> <p>Arranges for OM to attend the MARAP and ISP meetings</p> <p>Reminds OM to review OASys assessment and Sentence Plan</p> <p>Liaises with prison CA regarding future SPR meetings</p> <p>Obtains SPR Meeting Reports from prison</p> <p>Sends OM's SPR Report to prison</p> <p>Arranges MAPPA meeting a minimum of six months before Parole Board review date</p> <p>Sends OM overview Parole Assessment Report (PAROM 1) to prison and NOMS Pre-Release Section</p> <p>Ensures that copy of licence is obtained before release</p> <p>Arranges release appointments as per National Standards</p> <p>Archives file after 10 years for IPPs – for lifers only if Reporting Requirements are lifted</p>	<p>Commences case</p> <p>Notifies NOMS Pre-Release Section of new ISP</p> <p>Obtains all source planning documents</p> <p>Copies source planning documents to NOMS Pre-Release Section</p> <p>Checks accuracy and completeness of information</p> <p>Makes up file</p> <p>Liaises with probation CA – ensures that they have same case and information base</p> <p>Arranges MARAP meeting</p> <p>Arranges SPR meeting</p> <p>Liaises with OS</p> <p>Brokers intervention placements</p> <p>Schedules SPR meeting dates</p> <p>Arranges SPR meetings</p> <p>Ensures that prisoner representation is obtained</p> <p>Requests, chases and co-ordinates Parole Reports, adds them to dossier and then sends to NOMS Pre-Release Section and Parole Board</p> <p>Terminates case</p> <p>Archives IPP file after 10 years</p>

KEY WORKER	PRE-RELEASE SECTION
<p>Undertakes specialist assessment (when required)</p> <p>Contributes to Sentence Plan</p> <p>Arranges intervention dates/plan</p> <p>Motivates, encourages and supports offender during intervention</p> <p>Monitors risk – reports any changes to OS</p> <p>Liaises with OS</p> <p>Provides report to SPR meeting</p> <p>Informs OS when intervention ends and provides final assessment report – and evidences any changes in risk – as required</p>	<p>Enters new initial Sentence Plan details onto database on receipt of notification from prison CA</p> <p>Obtains sentencing remarks, confirms tariff, sets review date and sends details with copies of remarks to CAs (prison and probation)</p> <p>Prepares skeleton dossier for Parole Board reviews and forwards to prison CA</p> <p>Considers any Parole Board recommendation for open conditions</p> <p>Liaises with OM and prison CA to co-ordinate arrangements for release on licence</p> <p>Prepares release licence and other paperwork</p>

Source planning documents

These are:

- Crown Prosecution Service (CPS) case summary or “opening”
- a police summary of evidence – case summary (form MG 5)
- the Trial Judge’s sentencing remarks
- a list of previous convictions
- the court warrant
- court form 5089 sentencing information (2003 Criminal Justice Act)
- Probation Service PSRs prepared for the court, and/or Post-Sentence Reports
- any medical, psychiatric and/or psychological reports prepared for the court
- victim impact statements
- OASys assessment – electronic format.

Other documents that should be included are:

- the Sentence Notification – this document indicates whether a PSR was requested by the court
- any information about victims' issues
- the Trial Judge's report to the Home Secretary prepared for mandatory lifers sentenced prior to 18 December 2003
- media coverage, e.g. newspaper cuttings
- any self-harm alert notices/forms.

Other documents may be added at any time during custody, for example:

- court papers relating to an appeal
- updates on information about victims' issues
- additional information that can be disclosed relating to the lifer's potential risk to others which emerges during custody.

Documents that should be kept in a confidential file

These are:

- notes of MARAP meetings
- the police protocol dossier, including intelligence regarding the lifer's previous behaviour and any risk factors evident to the police
- any other reports which, if disclosed, may put victims or other people at risk of serious harm by the offender.

PROCESSES AND TASKS

7. Post-conviction/Remand/Pre-sentence

This is a crucial period for assessing the offender in relation to the risk of re-offending and the risk of serious harm that he/she poses to other people. Every effort needs to be made by Probation Court staff to request a Pre-Sentence Report (PSR) based on an OASys assessment as well as any other assessments that Probation Court staff or PSR writers believe would be necessary to identify the risks that the person poses.

Who is involved

Probation Court staff and PSR writers.

Critical success factors (what needs to happen)

- A PSR is prepared using OASys as the assessment tool and clearly indicating any risk of reconviction and risk of serious harm the offender poses to the public so that the sentencing Judge can make an informed decision. If indicated by the OASys assessment, a proposal to the Judge is made for further specialist reports to be prepared.

Quality characteristics (how do we know we are doing it well)

- Early, high-quality assessments and the reports from those assessments are the key to setting viable Sentence Plans that provide the opportunity for offenders to address their identified risks within the parameters set by any tariff.

Practice checklist (how do we know it has been done)

- | |
|--|
| √ Court staff have been proactive in requests for standard delivery PSRs in every case where an indeterminate sentence is likely to be imposed. |
| √ PSR writers have completed high-quality OASys assessments, which inform the PSR. |
| √ Before sentence is passed, any additional assessments have been requested through the court so that all risks have been identified at the earliest possible stage. |
| √ An outline Sentence Plan has been prepared. |

8. Post-sentence/Induction

Following conviction and the imposition of an indeterminate sentence, it is vital that first-night procedures are followed as the offender is likely to be:

- vulnerable to suicide/self-harm ideas and actions
- confused
- at risk from other prisoners of violence and intimidation
- worried and scared about the future and not having any definite date for release
- resentful, angry and/or depressed.

The induction process is a crucial aspect of the offender's understanding of his/her sentence, an opportunity to acknowledge some of the above concerns and put in place actions to counteract any of the above difficulties.

At this stage, much of what is told to the offender will need to be repeated at later stages to reinforce his/her awareness.

However, it is an ideal opportunity for all staff involved in the induction to explain the prison regime and start the process of working with the offender to identify and understand that he/she must reduce the risks of serious harm and re-offending that he/she poses in order to be released in the future.

This is the time to establish clearly what is to be expected during the course of the offender's sentence, which will be served both in prison and (for the majority) eventually in the community. Staff need to be aware that offenders may be strongly protesting their innocence and because of this are refusing to engage with the process.

Induction should not be seen as merely a process – it is the point at which all staff can show the offender a positive attitude and a commitment to enabling him/her to change problematic aspects of his/her behaviour. This period of induction can be spread over time as some offenders will adjust quicker than others. It sets the scene for all future contact with both the Prison and Probation Services and is an opportunity to give the offender a consistent message regarding the behaviour expected from him/her and what he/she can expect from the practitioners who will be involved with him/her.

Who is involved

The Offender Supervisor (OS) and any other staff working with the offender during the induction period.

Critical success factors

- Staff involved explain the sentence, clarify what the offender expects from the sentence and correct any misinterpretations.
- Staff ensure that the offender understands the prison system, the behaviour that is expected, his/her rights and privileges as well as possible sanctions.
- Staff ensure that the offender knows how decisions about any future release on licence will be made.
- Staff emphasise the importance of engaging with the sentence planning process and the importance of the person's commitment and positive attitude and the opportunity to learn and change from any interventions or programmes.
- Any diversity issues are discussed and a plan agreed to overcome any barriers that may have interfered with the offender's ability to be compliant.
- Staff advise the offender of the Prison and Probation Services' responsibility to share relevant information with other agencies and staff about the offender and, in turn, staff are open and honest in communications with the offender.
- Early contact is established between the Offender Manager (OM) and the OS (for life sentence prisoners, between the Prison Service designated staff member and the home-based OM).

Quality characteristics

- Staff working with the offender:
 - are committed to ensuring that the offender's encounters with the services are with a person who is clear, open and fair
 - are non-judgemental in manner and work with the offender in a positive and enthusiastic way
 - ensure that the benefits of the offender addressing the behaviours that put other people at risk of serious harm and that lead to offending have been explained
 - explain the limits of confidentiality and the sharing of any information with other agencies in order to manage the risk of serious harm the offender presents
 - ensure that all aspects of prison security, staff and offender safety, risk of harm to others and risk of re-offending are identified and taken into account in any decision making
 - are aware of behaviour by the offender that mirrors his/her offending and communicate any issues to the Offender Management Unit
 - are sensitive to any issues of diversity regarding the offender's individual circumstances
 - are committed to modelling pro-social behaviour to ensure that the offender continually strives to maintain positive behavioural change.

Practice checklist

- √ The sentence has been explained and checks undertaken to ensure that the offender understands the sentence and its structure – any appropriate information leaflet has been given to the offender.
- √ Clear boundaries and expectations regarding behaviour have been set, including incentives and sanctions.
- √ The Prison and Probation Services and the NOMS Pre-Release Section have begun to collect source planning documents for the sentence planning process.
- √ The Border and Immigration Agency has been informed of any sentence imposed on a foreign national prisoner by sending form CCD 2.
- √ The identity and contact details of the OM and OS for offenders sentenced to imprisonment for public protection (IPPs) have been communicated to one another within five working days of the sentence using NOMS forms OM A and OM B.
- √ The Pre-Release Section of NOMS has been notified of the details of any newly sentenced offender – LISP 1 (the initial notification and post-sentence interview form) has been completed within ten days and a copy forwarded to the OM and Pre-Release Section.
- √ The complaints procedure has been explained.
- √ There has been liaison between the OM and prison staff during the induction phase to commence sentence planning – this is vital for short tariff IPPs.
- √ Any information missing from OASys has been gathered and passed to the OS to share with the OM.

9. Assessment

a) Risk of reconviction (OASys, sections 1–13)

Offender assessment within sections 1–13 of OASys involves good preparation, effective interviewing techniques and a balanced view of the information obtained. With indeterminate sentence prisoners, particularly those imprisoned for public protection (IPPs), where there may be a relatively short tariff, it is vital to begin the OASys assessment at the earliest opportunity – preferably at the pre-sentence stage.

If a Pre-Sentence Report (PSR) has been prepared before sentence is imposed, then an OASys assessment will have been completed and will need updating as any new information is obtained following sentence. If the person is sentenced to an indeterminate sentence, then the Offender Manager (OM) must provide the multi-agency risk assessment planning (MARAP) and sentence planning meeting(s) with a short Post-Sentence Report (see POSTSR A template in Chapter 17), including any additional information about the offender's attitude towards the sentence and his/her family, relationships or personal background that may be relevant to sentence planning during the whole tariff period. This information and any additional information from the MARAP (only information that can be disclosed) needs to be put into the OASys review following the initial sentence planning (ISP) meeting.

If no PSR is requested, then the OASys full assessment will be completed and will inform the Post-Sentence Report (see POSTSR B template in Chapter 17). This will be carried out as soon as possible after sentence and must be completed in time for the MARAP and sentence planning meeting(s) (which will be held within eight weeks for offenders with a tariff of under two years and within 16 weeks for those with a tariff of over two years).

The offender assessment in sections 1–13 focuses on the key criminogenic factors in the offender's life and informs the risk assessment and how to deliver the Sentence Plan to reduce the risks of re-offending and serious harm posed by the offender.

The MARAP meeting is an important part of information gathering and should be held whenever possible before the ISP meeting. These two meetings should, when possible, be held consecutively on the same day. The details of this meeting will be recorded on LISP 2 and kept in the confidential section of the offender's file.

Who is involved

The OM is responsible for assessing the offender both at the pre-sentence stage and throughout any IPP sentence imposed. The Prison Service designated staff member assesses any life sentence prisoner during the custodial period. The OM and the Prison Service designated staff member rely on information and inputs from staff from a wide variety of agencies, including the Police; the Crown Prosecution Service (CPS); Social Services; housing; drug and alcohol agencies; and prison staff.

Critical success factors

- Every assessment is based on source documents and scoring using the OASys Manual and any other accredited scoring systems, e.g. the Offender Group Reconviction Scale (OGRS).
- All information held is accurate and about that particular offender.
- The OASys sections are clear, consistent, logical, comprehensive and written in an understandable way. The assessment is intelligible to all members of the offender management team who access it to find out about the offender's circumstances.
- The offender is included in the assessment process through interviews and the self-assessment questionnaire. Where possible and appropriate, a home visit takes place so that the perspectives of the offender's family can be included.
- The assessment is based on evidence from a number of sources and not just on the offender's view.

Quality characteristics

- Staff remember that the offender must be at the centre of every assessment.
- Issues of diversity are respected within the assessment.
- Any previous assessments are considered (e.g. ASSET for a young offender's assessment) to ensure that relevant information is included and inaccurate information identified and not used.
- The importance of the offender's self-assessment is recognised and forms part of the future discussions about the offender's awareness of his/her behaviours.

Practice checklist

- √ All available source planning documents have been read prior to the interview and completion of sections 1–13.
- √ The OASys Manual has been used as guidance to complete both sections 1–13 and the serious harm analysis.
- √ All OASys sections have been completed.
- √ The interview schedule within the OASys Manual has been used as a guide during interviews.
- √ A home visit has been conducted where it is possible and safe to do so.
- √ The self-assessment questionnaire has been completed and entered on OASys.
- √ OGRS has been completed and used as an aid in the assessment.
- √ The analysis of the offence has been completed in detail, including all available collateral information, in a way that is easily understood – and can be used in the future (possibly in many years' time) to provide information to the Parole Board so that it can understand the exact circumstances surrounding the offence.
- √ Each score in the assessment has been evidenced, including 0 scores – all free text boxes have been completed with relevant and appropriate information.
- √ If a section has been assessed as relating to any risk of serious harm, it is explicit in the evidence box and the link box has been ticked 'Yes'.
- √ Any confidential information relating to a victim or that potentially puts a person at risk of serious harm from the offender or a potential associate has been stored in the confidential section.
- √ The short (POSTSR A) or full (POSTSR B) Post-Sentence Report has been completed to the required template and copied to the prison and NOMS Post-Release Section.
- √ The MARAP meeting and the notes on LISP 2 have been considered as part of the wide body of knowledge about the offender and included in any OASys assessment or review.
- √ The OM has transferred the information from ASSET to OASys on a young offender moving into the adult prison system.

b) Risk of serious harm analysis and management

The Prison and Probation Services are the key agencies working with this group of offenders to identify and assess those who pose a high risk of serious harm to other people. Quality risk assessments can only be based on relevant and accurate information drawn from a wide variety of sources and the skill and knowledge of the assessor.

It is vital that all staff working in NOMS and the Prison and Probation Services ensure that their practice in risk assessment and risk management is accurate and robust to provide public protection. In respect of all areas of practice in relation to the risk of serious harm, staff must be able to ask themselves 'Is this a defensible decision?' and answer yes.

Who is involved

Risk assessment and risk management are the responsibility of **all** staff. Any observations on offenders made by staff may be important for accurate assessment of the risk of serious harm that offender poses. The OM is responsible for completing the full analysis of risk in OASys at the pre-sentence stage for all lifers and will continue to update the risk section throughout the sentence for IPPs. The Prison Service designated staff member will update the OASys risk section for life sentenced prisoners during the custodial period. The OM (IPPs) or home-based OM (lifers) will prepare the Risk Management Plan for the parole review when decisions about release are to be made, but all staff can contribute to the quality of that work.

Critical success factors

- All offenders have a risk assessment completed.
- As the relationship builds between practitioners and the offender, there is no desensitisation to the risk of serious harm the offender poses.

Quality characteristics

- The staff involved:
 - are always mindful of the dynamic nature of the risk of serious harm
 - ensure that any information about current behaviour from all appropriate sources is communicated to the relevant staff
 - have an awareness of the need for effective communication within each service, with each other and with other agencies in the context of risk management
 - are clear about the differences between the risk of re-offending and the risk of serious harm posed by the offender
 - acknowledge the importance of exploring the behaviours and attitudes that underpin offending and form the basis of understanding the risks an individual poses
 - ensure that previous convictions are not viewed as isolated incidents and are explored to identify patterns of behaviour
 - adopt a holistic approach to the risk of serious harm analysis, ensuring that relevant security information is factored in
 - continually recognise the harm inflicted on victims – interactions must always be geared to reducing the risk of further serious harm to the public.

Practice checklist

- √ All information from the offender has been verified.
- √ All source documents, additional specialist reports, OASys sections 1–13, previous records and relevant information from other sources have been obtained and read thoroughly.
- √ Both offending and general behaviour that relate to a risk of serious harm have been taken into account in completing a full harm analysis.
- √ In the current and past behaviour sections of the full risk of serious harm analysis, all required information has been detailed, including time, date, event, what, where, who, why and how.
- √ If information is missing or not known, a plan has been put in place to obtain it where necessary.
- √ Where issues of self-harm are identified, information has been recorded detailing dates and circumstances of the harmful events and any immediate concerns notified to other agencies involved with the offender.
- √ Victim information has been obtained from the CPS, Police or Victim Liaison Officer and included in OASys where it is safe to do so – if not, that information has been included in the confidential section.
- √ In all cases where the offender is assessed as high or very high risk of serious harm were he/she to be released tomorrow, he/she has been flagged as a Multi-Agency Public Protection Arrangement (MAPPA) nominal.

10. Additional Assessments

When an offender is sentenced to an indeterminate prison sentence, there should normally be an OASys-based Pre-Sentence Report (PSR) which will also contain an outline Sentence Plan. If a PSR is not prepared in the required format, a Post-Sentence Report should be prepared in time for the sentence planning meeting. This may identify that the offender's behaviour and offences are particularly serious, and the motivations or behaviour so complex that a further series of assessments need to be prepared as part of the initial Sentence Plan to fully identify the risks and the interventions that are needed to address those risks. These assessments will be requested following agreement at the sentence planning meeting and will be requested only when the risk of serious harm clearly indicates the need for extra resources to be expended.

These additional assessments will be identified during the OASys assessment, at the post-sentence multi-agency risk assessment planning (MARAP) meeting and at the sentence planning meeting, and will form part of the objectives of the initial Sentence Plan – this will be reviewed once the assessments are complete at a future sentence planning and review meeting.

Who is involved

The Offender Manager (OM), or the Prison Service designated staff member for lifers, and those involved in the Sentence Plan meeting are key to identifying the additional assessments, and the Offender Supervisor (OS) is key to ensuring that they take place. These may include assessments for suitability for particular programmes, psychological reports and tests or psychiatric reports.

Critical success factors

- Appropriate tests and assessment reports are obtained that directly address the risks of serious harm and re-offending identified in the sentence planning process.
- The tests/assessments are used to help set objectives to reduce the above risks as part of the Sentence Plan.

Quality characteristics

- High-quality assessment reports are obtained from qualified and skilled practitioners.
- Psychological and psychiatric reports, where appropriate, follow the outline of the templates set out in the SPR E and G forms.
- The reports give an additional dimension to sentence planning that enables the OM for IPPs, and the Prison Service designated staff member for life sentence prisoners, to plan for complex offenders who present with multiple problems and pose serious risks to others.

Practice checklist

√ The OASys assessment and sentence planning process have been built on using a range of additional tools. The following are examples of assessments that may be used:

- historical/static measures of risk (e.g. Risk Matrix 2000, RM2000)
- dynamic risk assessments (e.g. Structured Assessment of Risk and Need, SARN)
- measures that bridge the gap between static and dynamic assessments of risk (e.g. violence risk scale; HCR-20; SVR-20; psychopathy assessment, PCL-R)
- self-reported psychometric assessments (e.g. State-Trait Anger Expression Inventory, STAXI; Barratt Impulsiveness Scale; Psychological Inventory of Criminal Thinking Styles; drug and alcohol abuse screening assessments; and many more)
- assessments to understand the offender's levels of responsivity and levels of motivation (e.g. Weschler Adult Intelligence Scale, WAIS; International Personality Disorder Examination, IPDE; stages of change assessments)
- assessments of need for interventions (e.g. Enhanced Thinking Skills, ETS; Controlling Anger and Learning to Manage It, CALM).

11. Initial Sentence Planning

Sentence planning is vital to ensure that the overall assessment process is drawn together so that the work with the offender is up to date, appropriate, effective and focuses on the key issues that need to be addressed in order to reduce re-offending and any risk of serious harm.

The Sentence Plan takes into account both the custodial and community elements of a sentence. The relevance and imminence of the community part of the plan will be dependent on the tariff period set by the Judge. Those indeterminate sentence prisoners with long tariffs will have little in the initial Sentence Plan relating to release – this will become more relevant to sentence planning and review meetings as the tariff date gets closer. However, for an offender imprisoned for public protection (IPP) with a short tariff, both the custodial and community elements will be important elements of the plan, as will the sequencing of interventions both in custody and in the community that may help in reducing the risks. For some of these prisoners, because of the short tariff, staff involved need to start planning for the parole process at the start of the sentence – the initial Sentence Plan needs to outline the planned interventions to reduce the risks that may be put in place within the parole process timetable.

Who is involved

The Offender Manager (OM) is responsible for completing the OASys initial Sentence Plan for IPPs and then reviewing it throughout the sentence (see Chapter 12, 'Sentence/Time in Custody').

The Prison Service designated staff member will develop the initial Sentence Plan on OASys for other indeterminate sentence prisoners (using any draft plan prepared by the Pre-Sentence Report (PSR) writer if a PSR was prepared).

Both the OM and the Prison Service designated staff member must take into consideration the views of the offender and all those practitioners who have been involved with the offender leading up to the initial sentence planning meeting. This will also include information derived from the multi-agency risk assessment planning (MARAP) meeting. Everyone in the Offender Management Team will have a major role to play in delivery of the plan. The initial Sentence Plan should outline both short- and long-term objectives.

Critical success factors

- Sentence planning includes the offender. Family members can be invited, where relevant, but the prisoner has no right to legal representation.
- Any information that may put the victim or any other person at risk of serious harm by the offender is kept in the confidential section of the offender's file.
- The Sentence Plan reflects the factors identified in the OASys assessment of risk of re-offending and risk of serious harm as well as in the self-assessment questionnaire.
- Everyone involved in the Sentence Plan is aware of what they are required to do, when they are required to do it and why they are required to do it – including the offender.
- Whole-life tariff offenders are a small group who have particular needs in terms of sentence planning. The normal planning for an indeterminate sentence prisoner (IPP), which is aimed at reducing any risk of serious harm and reducing the risk of re-offending when the offender is released into the community, will not apply. However, careful consideration should be given to the risks such offenders pose to staff, other prisoners and visitors, and their security categorisation in terms of risk of escape. Involvement in interventions or programmes throughout the offender's whole-life tariff may be needed to reduce these risks, or to address their personal needs. Sequencing any planning to take all of the above into account may be needed over many years.
- If an IPP or lifer with mental health problems is transferred to a special hospital, then OMs and Prison Service designated staff members must maintain contact while the offender is in the hospital so that there is consistency and continuity. The offender is still serving an indeterminate sentence, and, by maintaining contact, the OM/Prison Service designated staff member will be able to include the treatment outcomes in the subsequent Sentence Plan reviews and contribute to the parole process in terms of evidencing any change in risk.
- At the start of any sentence, there is now a presumption to deport foreign national prisoners. The deportation process and any decisions about the particular offender and his/her individual circumstances must begin at the earliest point in the sentence. The prison must inform the Border and Immigration Agency so that the Criminal Casework Directorate (CCD) can pursue the case appropriately. Two-way communication between the CCD Caseworker and the OM or Prison Service designated staff member/home-based OM is imperative to ensure that the actions taken over the offender are co-ordinated.

Quality characteristics

- The sentence planning objectives are agreed at the initial sentence planning meeting and are based on input from all members of the Offender Management Unit and the offender.
- The OM, or Prison Service designated staff member for lifers, produces the plan having read all the available information and taking into account the above.
- The Sentence Plan is the driver of the work undertaken with the offender to meet the needs of the sentence.
- OMs, and Prison Service designated staff members for lifers, provide evidence for any assessment of behaviour, motivation and progress towards reducing any risks of re-offending or serious harm.
- The Sentence Plan is an individual document tailored to the offender's criminogenic needs and the risk of serious harm he/she poses. Interventions to reduce or manage factors relating to risk of serious harm are clearly outlined in the plan.
- Sentence Plans take into account the need for careful sequencing of interventions and programmes to maximise the impact on the offender's behaviour to reduce the risk of serious harm.
- Aspects of prison good order, security and staff safety may at times take precedence over individual objectives in the plan and the plan may be subject to review as a consequence of those issues.
- All staff are aware of the importance of ensuring that work to raise the offender's understanding of how victims have been affected by his/her behaviour is included in the plan.

Practice checklist

- √ Three files have been made so that staff can easily refer to the important documents on each offender. The files are held by:
 - the OM in the community
 - the prison Offender Management Unit
 - the NOMS Pre-Release Section.
- √ All source planning documents, OASys assessments and any additional assessment reports have been included in each offender's sentence planning file.
- √ SP 1 has been completed by the OM and Offender Supervisor (OS), confirming the date of the initial sentence planning meeting.
- √ SP 2 has been completed by the OS and has been sent to the relevant staff, informing them of the date and time of the meeting.
- √ All sentence planning meetings for IPPs have been chaired by the OM (in person or using video conferencing) except where, in exceptional circumstances, the chairing has been delegated to a sufficiently skilled and experienced member of staff from either the Prison Service or the Probation Service. Similarly, sentence planning meetings for life sentence prisoners have been chaired by the Prison Service designated staff member.
- √ All relevant staff who have been involved with the offender and can contribute to the plan have attended the planning meeting or as a minimum have provided a relevant Sentence Planning and Review Report.
- √ The offender has been given the opportunity to put his/her written comments to the meeting and attend the meeting, except for any period where confidential issues have been discussed.
- √ The plan has been completed using the offender's input and in a way that he/she can understand.
- √ Diversity issues for the offender have been identified and included in the plan.
- √ The levels of motivation identified within OASys have been reflected in the work done to motivate the offender.
- √ Sentence Plan objectives are SMARTA – specific, measurable, achievable, realistic, timely and anti-discriminatory.
- √ The Sentence Plan has been shared with all those involved in its delivery within two working days of its preparation.

12. Sentence/Time in Custody

The period following induction and assessment is the main part of the sentence and covers two of the main elements, the punishment and the opportunity for change. For any indeterminate sentence prisoner, the sentence will be part punitive, part preventative and part rehabilitative. For a prisoner with a long tariff, there may be periods of time when the system is mainly providing punishment. There will be elements of change – the maturity that comes with the passage of time – as well as developments through work, education or training during this period.

However, the change element and the timing of any interventions or programmes to specifically address identified areas of need or risk the person presents will be dependent on sentence planning and endeavouring to maximise any impact. The tariff and the date of Parole Board reviews will provide parameters for these decisions about timing. There will be urgency to provide the change elements of any Sentence Plan for an offender imprisoned for public protection (IPP) with a short tariff.

Sentence planning and review (SPR) meetings will be the key to decision making throughout the sentence. Whenever possible, all important events in an offender's progress through his/her sentence should be discussed in one meeting – the SPR meeting.

Who is involved

The Offender Supervisor (OS) has a critical role during this period – he/she is responsible for driving forward the Sentence Plan on those elements that can be completed within the prison. Once the current prison has completed the objectives within its remit, an SPR meeting should be held to decide on the next phase of the plan, set new objectives and identify the most suitable prison for those objectives to be carried out. All of this should be recorded on the relevant SPR forms, which should be copied to the NOMS Pre-Release Section and used to inform the Parole Board of progress in that establishment at the Parole Board review stage.

The Offender Manager (OM) continues to provide the continuity and consistency for IPPs and oversees the development of the Sentence Plan throughout this period. For all indeterminate sentence prisoners, the OM is the link between the prison and the offender's family and his/her other close relationships in the community.

For life sentence prisoners there is a crucial role for the Prison Service designated staff member and the home-based OM in the exchange of any information about any changes in the offender's situation in the prison or with the offender's home and family.

All prison staff dealing with the offender are Key Workers during the sentence and observe and communicate to the OS in the prison Offender Management Unit any information about the behaviours the offender presents.

Critical success factors

- The offender is central to the continuous planning process and is fully aware of the objectives to be achieved.
- Staff involved in enabling the Sentence Plan to be carried out are aware of and understand their part in achieving the plan.
- Intervention providers are involved in the SPR meeting in order to plan for the future.
- The interventions and programmes are sequenced in the right order and to an agreed timescale at the SPR meeting.
- The relevant programmes and interventions are available in the right prison, which, where possible, is close to the offender's home area, but consistent with the need to reduce risk and take account of victim issues.
- Decisions about the right prison for the offender to be placed in are based on risk as reflected in the Sentence Plan. These may include decisions relating to the offender's behaviour and the need for good order in the prison, and security, safety and population issues.
- Recommendations for moves to open conditions or for release are based on evidenced reduction of risk and/or are made to test out the assessment of a reduced risk. These should take into account the issues set out in the Parole Board directions.

Quality characteristics

- All staff work with the offender to ensure the offender's compliance, motivation and active participation in achieving the Sentence Plan objectives.
- Individuals who continue to protest their innocence are still encouraged to attend interventions or programmes that address any behavioural problems, although not necessarily directly addressing their index offence.
- The interactions by the whole Offender Management Unit are based on the core characteristics outlined in the Offender Management Model.
- Members of the Offender Management Team involved with an offender communicate regularly with each other about any developments, problems, issues and successes of the offender towards achieving the Sentence Plan objectives.
- Key Workers who are actively involved with the offender feed back to the OS any issues, behaviour or attitudes – both negative and positive – that are relevant to the risks posed by, or offending-related needs of, the offender.
- SPR meetings are organised to follow the end of any major interventions and are planned to incorporate all issues that are relevant to the offender and his/her sentence – holistic meetings are essential to provide one integrated Sentence Plan.
- For IPPs, OMs are central to and chair the SPR meetings. As a minimum, they must be involved through video links or telephone conferencing.

- For lifers, the SPR meetings are chaired by the Prison Service designated staff member. The home-based OM is invited and notes of the meeting are forwarded to the home-based OM.
- SPR meetings are held once every 12 months as a minimum or more often:
 - if new information arises of such significance that it may affect the validity of the existing risk assessment and/or Sentence Plan
 - if consideration is being given to re-allocating or recategorising an offender
 - when an assessment is required by the Parole Board
 - in order to assign a Multi-Agency Public Protection Arrangement (MAPPA) management level six months before the first Parole Board Reports are due
 - if the offender is between two and eight weeks before release to ensure that the Release and Risk Management Plans are in place.
- The SPR meetings are based on reports prepared for the meeting using SPR Reports A to K (see Chapter 17):
 - A: Progress documentation overview
 - B: Offender Manager
 - C: Offender Supervisor
 - D: Key Worker – there may be a number of Key Worker Reports from those staff who have been actively engaged with the offender to achieve the sentence planning objectives and have relevant contributions to reduce the risks the offender poses.
 - E: Psychologist
 - F: Healthcare
 - G: Psychiatrist
 - H: Security
 - J: Offender
 - K: Prison Service designated staff member.
- SPR Meeting Notes are key to tracking developmental changes during an offender's sentence. They should be as short as possible yet capture the richness or depth of any detailed discussions that are relevant to the offender's offending and risk behaviours.
- The OASys assessment tool is kept up to date and the sentence planning objectives on track by the OM for IPPs or the Prison Service designated staff member for lifers, following consultation with the OS, reviewing and revising the OASys risk of reconviction and risk of serious harm assessments and Sentence Plan at intervals of no more than 12 months while the offender is in custody.
- Copies of review reports and SPR Meeting Notes are forwarded to the NOMS Pre-Release Section by the prison Case Administrator, ensuring that the Parole Board has a comprehensive understanding of the development of an offender's sentence at the next parole review.

Practice checklist

- √ The offender has had a central involvement in the process.
- √ The staff who are responsible for providing the programme or particular intervention have been provided with a copy of the reviewed Sentence Plan within two days of its completion.
- √ Where possible, and consistent with the reduction of risk and victim issues, the offender has been placed in a prison close to his/her home area or the area in his/her Resettlement Plan to enable the OM to access the prison and facilitate links with the offender's community.
- √ The control element needed for prison good order or safety has been considered in the Sentence Plan.
- √ The OS has met with the offender as a matter of good practice at least once every three months to discuss progress against the Sentence Plan, the current situation, motivation and future developments.
- √ The OS has met with the offender as a matter of good practice at least on a monthly basis if there are active interventions or programmes occurring that are directly related to the Sentence Plan objectives.
- √ The OS has updated the OM or Prison Service designated staff member following these contacts.
- √ SP 1 has been completed by the OM and OS, confirming the date of the sentence planning meeting.
- √ SP 2 has been completed by the OS and has been sent to the relevant staff, informing them of the date and time of the meeting.
- √ The SPR Reports have been forwarded to the OM by the OS at least one week before the SPR meeting for IPPs.
- √ The SPR Reports have been provided to the Prison Service designated staff member at least one week before the SPR meeting.
- √ The SPR meetings have been supported by reports from the relevant people involved with the offender and are of sufficient quality to address the risks and needs of the offender.
- √ The SPR Reports have been countersigned by the relevant staff.
- √ The notes of the SPR meetings have been completed using the SPR Meeting Notes template and are concise but cover sufficient detail as warranted by the risk of the case.
- √ The SPR Reports and Meeting Notes have been forwarded to the NOMS Pre-Release Section.
- √ During the sentence, the following forms have been completed, a copy sent to the OM and retained on file:
 - LISP 3 – record of an offender's escorted absences or periods of release on temporary licence
 - LISP 4 – when there is an escape or open conditions failure
 - LISP 5 – the escorting officer's escorted absence report to the OS.

13. Parole

The ability of the Parole Board to carry out its function to decide if an offender is suitable to be recommended for open conditions or directed for release into the community is based on the quality of the work that has been undertaken by all staff from the pre-sentence stage onwards. The production of quality Sentence Planning and Review (SPR) Reports throughout the sentence and a set of current SPR Reports will provide the information the Parole Board needs to make its decision.

It is imperative that the NOMS Pre-Release Section is provided with copies of all reports prepared for every sentence planning meeting along with the outcome of those meetings. This information will be used by the Pre-Release Section for all indeterminate sentence prisoners to prepare a summary of the offender's progress through the prison sentence for inclusion in the dossier for the first Parole Board review. It will assist with the decision-making process by the Pre-Release Section on open conditions and the Parole Board on release.

The work of all those involved with any indeterminate sentence prisoner throughout the sentence should be aimed at:

- identifying the risk of re-offending and the risk of causing serious harm to others that the offender poses at point of sentence
- reviewing any progress the offender has made towards reducing those risks
- providing an up-to-date assessment of the risks the offender poses now and a plan to manage those risks if he/she is deemed suitable for release.

The above points are the basis on which the Parole Board can make its informed and defensible decision. The documentation to be provided to the Parole Board should be restricted to the reports that clearly identify the above factors.

Who is involved

The Offender Manager (OM) is responsible for the overarching OM's Parole Assessment Report (PAROM 1), which co-ordinates all the information and knowledge currently available about the offender. When the SPR meeting is also a parole review meeting, the OM should not complete an SPR B beforehand. The prison Offender Management Unit is responsible for chasing, collating and co-ordinating the relevant reports from the Offender Supervisor (OS) and Key Workers and forwarding them to the OM, or Prison Service designated staff member for lifers, at least a week before the pre-parole SPR meeting. The reports must be directly relevant to the progress of that offender in reducing his/her risk of re-offending and the risk of serious harm that he/she poses to others. The OS has responsibility for co-ordinating all these inputs from Key Workers. Following the pre-parole SPR meeting, the OM will take into account the views of the meeting and all the current SPR Reports and then review the whole file. Based on evidence from throughout the sentence, the OM will prepare

an overview report from the time of sentence to the present, outlining any changes in attitude, behaviour and risk of re-offending and risk of serious harm posed by the offender. This will be completed using PAROM 1 as a template. The OM for offenders imprisoned for public protection (IPPs) and the home-based OM for lifers will complete PAROM 1 in all cases to the required quality, to ensure that there is consistency in the reports received by the Parole Board for all prisoners receiving an indeterminate sentence.

Critical success factors

- The prison-based reports are available for the OM to read before the SPR meeting, which is held to enable the OM to bring together the prison and community elements in order to complete the Parole Assessment Report (PAROM 1).
- The OM provides an overall summary report (PAROM 1) to the Pre-Release Section for forwarding to the Parole Board to enable decisions to be made within the Parole Board timetable.
- A full set of reports is prepared for the Parole Board review in line with existing timetables, to enable informed decisions to be made by the Parole Board.
- All prison-based reports are provided to the OS in a timely fashion. The OS adds these to the parole review dossier.
- The OS discloses the complete dossier to the offender, Parole Board and Pre-Release Section in line with the relevant timetables. The OS makes a separate application to the Board if any reports should not be shared with the offender and need to be subject to the normal withholding criteria set out in the Parole Board rules. Such reports are not included in any copy of the dossier until the Board has made a decision on disclosure.
- Offenders are aware of their right to make representations based on these reports.
- Any directions made by the Parole Board are acted upon by the OM and OS, e.g. the need to obtain specialist assessments.
- The result of the Board is communicated quickly to the offender and any issues that need to be addressed are highlighted following an SPR meeting.
- The Parole Board considers suitability for release in mental health cases where the Mental Health Tribunal has recommended conditional discharge. The OM provides a full report for this review.

Quality characteristics

- The Parole Assessment Report from the OM provides a detailed description and analysis of the original offence, details of risk reduction throughout the sentence and information on the level of risk currently posed.
- The OM's report evidences any changes in the offender's behaviour, attitude or personal situation. It also includes details of the Release Plan and any relevant victim issues and concludes with a clear recommendation on any risks for open conditions or release.
- Only reports from the Key Workers who have been **actively** involved in working with the offender to implement the Sentence Plan or who have **actively** contributed to reducing the risk of re-offending or the risk of serious harm are considered in the parole review meeting and added to the dossier.
- Psychology reports should not be routinely requested for the preparation of a parole dossier. Psychologists should be considered as Key Workers and a report requested only if there has been psychological involvement during the sentence to reduce the risks the offender poses or the SPR meeting agrees that a psychologist's report is needed for assessing, and planning, any further work that may be needed to reduce any risks.
- SPR Reports from the Prison Service designated staff member for lifers, OS and Key Workers detail the risks the offender poses now and any work that has been done to address these risks, and comments on behaviours that have been observed within the prison setting.
- For those indeterminate sentence offenders assessed as medium, high or very high risk of posing serious harm to others, there is a clear and detailed Risk Management Plan in place based on a Multi-Agency Public Protection Arrangement (MAPPA) meeting organised by the OM before release into the community.
- Staff are aware that a quality Risk Management Plan prepared by the OM or Prison Service designated staff member for lifers relies on a quality risk of serious harm analysis that must be based on good information from all staff. The implementation of risk management strategies will then follow from defensible decision making.
- A detailed Risk Management Plan from the OM or Prison Service designated staff member for lifers, based on an up-to-date OASys risk analysis, is provided to enable the Parole Board to understand how any risks will be managed if the offender is released into the community.

- Any professional disagreements about the levels of risk an offender poses are discussed at the SPR meeting. If there are differing views of the risk of serious harm the offender poses, then the Parole Board weighs those different opinions before reaching any decision. The Prison Governor/ Director has the final decision on any matters for the Parole Board to be aware of that affect security and good order within the prison. The OM has responsibility for providing the Parole Board with an overview document that addresses all aspects of the offender's progress throughout the whole sentence, including a summary of any different views on the risks the offender poses. The OM provides proposed Release and Risk Management Plans that address those risks.

Practice checklist

- √ A MAPPA meeting has been held within six months of any Parole Board review to consider release to ensure that all relevant agencies in the community are involved in putting forward their views on their ability to manage the offender in the community.
- √ The Prison Service designated staff member for lifers has completed his/her report on indeterminate sentence prisoners.
- √ The OS has completed his/her report on the progress of the offender. All reports obtained have been quality checked.
- √ The Head of the Offender Management Unit has provided a quality check on the OS's report.
- √ Key Workers' reports have been quality checked by the relevant line manager.
- √ All reports follow the templates outlined in Chapter 17.
- √ The SPR Reports have been forwarded to the OM at least a week before the meeting for IPPs.
- √ The SPR meeting has involved all the practitioners, and the offender, in considering the progress of the offender in meeting his/her Sentence Plan objectives.
- √ The SPR Reports have been forwarded to the Pre-Release Section.
- √ The SPR Meeting Notes on IPPs have been forwarded to the OM and those for lifers to the Prison Service designated staff member for signature and then on to the Pre-Release Section.
- √ The OM for IPPs and the Prison Service designated staff member for lifers have reviewed OASys sections 2–13 as well as the risk of serious harm analysis.
- √ The OM's report includes a clear proposal for release, for transfer to open conditions or for the offender to remain in closed conditions. If the latter, this has been evidenced and the areas of work outlined that the offender needs to address to reduce his/her risk of re-offending and risk of serious harm.
- √ A comprehensive Risk Management Plan has been completed for any proposal for release or transfer to open conditions.
- √ The OM's Parole Assessment Report (PAROM 1) has been quality checked by a line manager.
- √ The PAROM 1 Report has been forwarded to the Pre-Release Section for onward transmission to the Parole Board.

14. Release on Licence

Supervision of the offender on licence will follow the systems, procedures and standards of Phases I and II of the Offender Management Model.

Probation areas will provide regular reports to the NOMS Post-Release Section at intervals decided by that section on those offenders being supervised in the community.

15. Recall

If an offender's behaviour or actions lead the Offender Manager (OM) to request a recall of that individual to prison and this is endorsed by the NOMS Post-Release Section, then the OM will provide the Post-Release Section with a report on the circumstances of the recall within 24 hours, measured from the next working day. A Risk Management Plan, based on an OASys review, must be submitted to outline how the person will be managed in the community if released. The Parole Board then has to review the documentation and/or hold an oral hearing in order to decide whether the recall is confirmed. That is normally held 13 weeks after recall.

Emergency and standard recalls will follow the joint national protocol.

Form LISP 6 about recall notification and the induction interview must be completed – copies should be sent to the OM and both the Post and Pre-Release Sections of NOMS.

If the Parole Board decides that the person can safely be released back into the community at that stage, then supervision on licence will resume as under Phase I.

If the Parole Board confirms that the person should remain in prison, then the procedures under Phase III should be implemented.

SENTENCE PLANNING AND REVIEW

16. Outline of a Sentence Planning and Review Meeting

The Sentence Plan:

- structures and directs interventions and activities throughout the whole sentence
- is the responsibility of the Offender Manager (OM)
- sets the focus for the Offender Management Team working with that offender
- involves the offender
- is monitored and driven by the Offender Supervisor (OS), who continually feeds progress back to the OM
- is discussed regularly (at a minimum of three-monthly intervals or monthly if there are active interventions aimed at reducing risk) by the OS with the offender.

Chairing the meeting

The initial sentence planning meeting is a key meeting for the OM to chair as it is this meeting that outlines the objectives for the whole sentence; these objectives may be subject to review based on further assessments or new information about the offender. The OM has the authority to chair these meetings, request information and inputs from the OS and Key Workers, and set SMARTA (specific, measurable, achievable, realistic, timely and anti-discriminatory) objectives. There may be exceptional occasions when the OM is unable to chair the Sentence Planning and Review (SPR) meetings and staff from either the Probation or Prison Service, with the skills and knowledge to chair the meeting, may be asked to deputise.

Preparation

- The OM speaks to the OS before the meeting to make sure that the right people are invited and the meeting is set up.
- The Case Administrators agree dates for the meeting.
- The OS ensures that the relevant reports are prepared and available.

Starting the meeting

The chair:

- states the purpose – who the meeting is to discuss
- organises the introductions – who is present, what their role is and what their involvement is with the offender
- negotiates who will take Meeting Notes
- checks critical information:
 - Police National Computer
 - immigration and deportation status
 - Hospital Order status
 - prison number
 - sentence
 - tariff expiry date
 - Parole Board review dates.

The business of the meeting

Current situation

The OS gives details of the offender's current status, including security information.

Offender's participation

At this point, the offender joins the meeting. The chair introduces members of the meeting to the offender, describing their roles.

OASys

The various aspects of OASys are discussed:

- offender self-assessment questionnaire
- analysis of offence
- risk of re-offending summary
- risk analysis and level
- Risk Management Plan
- objectives set in the initial Sentence Plan or at the last review of OASys.

Contributions

The following participants contribute to the meeting:

- OS
- Key Workers
- offender.

The chair:

- sets targets and objectives and confirms understanding
- confirms who is doing what
- sets the next SPR meeting date – if appropriate.

After the meeting

- Complete OM comments on the SPR Meeting Notes.
- Complete the Sentence Plan if this is the first meeting.
- Review the Sentence Plan and update new objectives.
- Review and update the OASys assessment with any new information.
- The OS circulates the SPR Meeting Notes.
- The OS sends the Meeting Notes to the OM for signature and forwarding to the NOMS Pre-Release Section.

SENTENCE PLANNING AND REVIEW MEETING NOTES

These notes will serve as an accurate record of sentence planning and review meetings.

They will include a summary of present and historical risk factors that need to be considered as part of the risk assessment at the meeting and will illustrate the offender's current risk level.

These factors will include protective or positive factors about the prisoner, which serve to balance any negative factors in the risk assessment and which may help to reduce risk.

The risk factors are taken from the last OASys risk assessment. The results of the meeting's considerations will be recorded on an updated OASys assessment.

It must be remembered that risk can go up as well as down, depending on the prisoner's behaviour in prison, attitude towards his/her offences and victims, and motivation to change or engage in offence-focused work.

Both the risk of re-offending and the risk of serious harm to the public, a known individual, staff, children and other prisoners will be included.

It may become evident at the meeting that further, more specialist or detailed assessments may need to be undertaken in respect of certain prisoners to further explore aspects of their risk. Where this occurs, it will be added to the Sentence Plan for the prisoner and referred to in the meeting recommendations and summary.

Sentence Plan objectives will be sequenced to take into consideration the order in which the prisoner should complete the work identified to reduce his/her risk of serious harm and re-offending.

The prisoner's view is important and will also be recorded in the report. The chair of the meeting will ensure that the prisoner has the opportunity to make an active contribution to the meeting.

At the appropriate point in the sentence, the sentence planning and review meeting will also act as the parole review meeting.

SENTENCE PLANNING AND REVIEW MEETING NOTES					
HMP/YOI		Prison number			
Forename/s		Family name			
Security category		Meeting date			
Tariff		Offender management tier			
Next parole review date					
Subject to safeguarding children measures	Yes	No	Foreign national	Yes	No
Recommended for deportation	Yes	No	Subject to MAPPA	Yes	No
PPO	Yes	No	IEP	Yes	No
Attendees Offender Manager Meeting note taker Offender Supervisor Psychologist Psychiatrist Healthcare Security (written report)	Name		Key Workers Wing Representative(s) Programmes Learning and skills Instructors Gymnasium CARAT Chaplaincy A N Other 1 A N Other 2 A N Other 3	Name	
Prisoner attended				Yes	No
Index offence summary and sentence details					
Pre-convictions					
Relevant information from the last sentence planning and review meeting or, where appropriate, the last parole review					

RISK ASSESSMENT				
Identified risks				
Protective factors				
Risk of re-offending (OASys score:)				
RISK OF SERIOUS HARM:		RISK IN COMMUNITY		RISK IN CUSTODY
Children				
Public				
Known adult				
Staff				
Prisoners				
Risk of serious harm summary				
Risk of self-harm				
Open ACCT	Yes	No	Yes	No
REVIEW OF PROGRESS				
Progress in meeting targets set at the last meeting				
Custodial behaviour/record of adjudications				

Any new risks identified
Offender's perspective on progress
Changes to protective factors
Changes to the level of risk
PLANNING FOR THE NEXT 12 MONTHS
Identified risks that still need to be worked on
Other identified needs (e.g. healthcare, education, work, resettlement, spiritual)

Short-term objectives	Comments/by when	Resource/contact
<p>Long-term objectives</p>		
<p>Meeting recommendations and summary</p>		

Decision on IEP level		
Reasons for decision		
Transfer recommendation?	Yes	No
If yes, give reasons for decision		
Recategorisation recommendation B–C?	Yes	No
Comments/reasons on decision to feed into RC 1		
Chair name	Signature	Date
Office address		
Contact telephone number	Ext	

17. Sentence Planning and Review Reports

To be completed for the initial sentence planning meeting

POSTSR A – Post-Sentence Report by Offender Manager (existing PSR OASys)

POSTSR B – Post-Sentence Report by Offender Manager (no PSR OASys)

To be completed prior to review meetings to ensure that all relevant reports are provided

SPR A – Sentence Planning Progress Documentation Overview

To be completed by relevant parties for inclusion in review meetings

SPR B – Sentence Planning and Review Report by Offender Manager

SPR C – Sentence Planning and Review Report by Offender Supervisor

SPR D – Sentence Planning and Review Report by Key Worker

SPR E – Sentence Planning and Review Report by Psychologist

SPR F – Sentence Planning and Review Report by Healthcare

SPR G – Sentence Planning and Review Report by Psychiatrist

SPR H – Sentence Planning and Review Report by Security

SPR J – Sentence Planning and Review Report: Offender's Comments

SPR K – Sentence Planning and Review Report by Prison Service designated staff member

To be completed at sentence planning and review meetings

Sentence Planning and Review Meeting Notes

To be completed following a review meeting considering parole

PAROM 1 – Parole Assessment Report Offender Manager

POST-SENTENCE REPORT BY OFFENDER MANAGER				POSTSR A
Probation Service		Post-Sentence Report date		
Forename/s		Family name		
Prison number		Security category		Tariff length
Gender	Male	Female	Alias	
Date of birth				
Ethnic origin				
Police National Computer (PNC) number				
Criminal Records Office (CRO) number				
Probation area ID number				

THIS REPORT MUST BE COMPLETED FOR THE INITIAL SENTENCE PLANNING MEETING

REPORT TEMPLATE

1. Knowledge of the prisoner

The Pre-Sentence Report (PSR) is one of the main information sources on this offender – please outline the basis on which this addendum report is written – formal interview, observed behaviour, etc.; specify how much contact you have had with the offender and the extent of the relationship; and state whether you wrote the original PSR.

2. History and relationships

This report aims to provide additional information to the sentence planning meeting about relevant domestic and historical information and a summary of significant relationships that are not included in the PSR. Please provide additional information on any of the following areas:

- accommodation
- education, training and employability
- financial management and income
- relationships
- lifestyle and associates
- drug misuse
- alcohol misuse
- medical or psychiatric history

- emotional well-being
- thinking and behaviour
- attitudes.

3. Community issues

What is the level of local reaction to the offender/offence? What sort of media coverage has there been of the offence/offender? Is there hostility towards the offender and/or their family/friends/associates?

4. Victim's issues

Are there any additional victim issues which have been identified since the sentence was imposed? (If these are confidential, then detail in a separate report.)

5. Special needs/minority groups

Are there any relevant special needs that need to be taken into account when sentence planning – with particular reference to female, young or minority ethnic offenders?

6. Additional information

Has there been any change in attitude towards the offence/offending behaviour/victim awareness by the offender since conviction and sentence? Is there any further information or other comments relating to your knowledge of, or contact with, this offender that you wish to include?

Name	Signature	Date
Office address		
Contact telephone number		Ext

POST-SENTENCE REPORT BY OFFENDER MANAGER				POSTSR B
Probation Service		Post-Sentence Report date		
Forename/s		Family name		
Prison number		Security category		Tariff length
Gender	Male	Female	Alias	
Date of birth				
Ethnic origin				
Police National Computer (PNC) number				
Criminal Records Office (CRO) number				
Probation area ID number				

THIS REPORT MUST BE COMPLETED FOR THE INITIAL SENTENCE PLANNING MEETING

REPORT TEMPLATE

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. Identify other people you have had contact with, e.g. significant others, colleagues, other professionals or members of criminal justice agencies. What documents, files or reports have you referred to in preparing this report? Identify the sources of information you have had access to in relation to the current offence/s and previous convictions.

2. Offence analysis

Outline and analyse the index offence/s under the following areas:

- Victim Was there a victim? If so, who?
- Use of violence What violence was used in the offence/s?
- Use of weapon Was any weapon used? If so, what?
- Sexual element Was there any sexual element or activity in the offence/s?
- Arson Was the offence/s one of arson or did it include arson?
- Planning How much planning was there in the offence?
- Escalation Is the index offence/s part of a increasing series or pattern of offending?

- Motivation What type of motivation best describes this offender's behaviour?
- Triggers Were there any specific events in the offence environment which may have triggered the behaviour?
- Drugs Were drugs involved in the offence in any way?
- Alcohol Was alcohol involved in the offence in any way?
- Bizarre aspects Did the offence include any strange or bizarre actions or behaviours?
- Behaviour after the offence How did the offender behave immediately after committing the offence/s?
- Blaming How does the offender explain his/her behaviour in terms of responsibility?
- Additional information Is there anything else you wish to add to the analysis?

What is the offender's attitude towards the offence and any victims?

3. History and relationships

Provide any relevant domestic and historical data and a summary of significant relationships. Also include any relevant medical or psychiatric history that may be involved in offending. Please comment on each of the following areas:

- offending history – any patterns of offending
- accommodation
- education, training and employability
- financial management and income
- relationships
- lifestyle and associates
- drug misuse
- alcohol misuse
- emotional well-being
- thinking and behaviour
- attitudes.

4. Community issues

What is the level of local reaction to the offender/offence? What sort of media coverage has there been of the offence/offender? Is there hostility towards the offender and/or their family/friends/associates?

5. Victim's issues

Include information on all relevant victim issues, and a summary of consequences flowing from the offence, particularly if the offence was a domestic murder and children are being cared for.

Any confidential victim information must be appended in a separate report.

6. Risk of serious harm

Provide an assessment and analysis of any risk of serious harm to self and others, including:

- risk to public
- risk to prisoners
- risk to known adult/s
- risk to children
- risk to staff
- risk to self.

7. Special needs/minority groups

Are there any special needs that are relevant to sentence planning – with particular reference to female, young or minority ethnic offenders?

8. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

Name	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING PROGRESS DOCUMENTATION OVERVIEW				SPR A
HMP/YOI		First reception date		
Forename/s		Family name		
Prison number			Security category	
Gender	Male	Female	Alias	
Date of birth				
Type of life sentence	Mandatory	Discretionary	HMP	CFL DFL IPP DPP
Date of conviction		Date of sentence		
Tariff		Tariff expiry date		
Date of last set of Sentence Planning and Review Reports		Date of last parole review		
		Date of next review		
THE DOCUMENTATION MUST CONTAIN THE FOLLOWING REPORTS				
Role	Name	Date report requested by Case Administrator	Date report received by Case Administrator	
Offender Manager				
Offender Supervisor				
THE FOLLOWING KEY WORKER REPORTS SHOULD BE INCLUDED WHEN THE STAFF CONCERNED HAVE SUBSTANTIAL SPECIALIST INPUT INTO THE PRISONER'S CASE MANAGEMENT				
Healthcare				
Psychologist				
Psychiatrist				
Prison Service designated staff member (if applicable)				

THE FOLLOWING KEY WORKER REPORTS SHOULD BE INCLUDED ONLY WHEN THE STAFF CONCERNED HAVE REGULAR CONTACT WITH THE PRISONER			
Role	Name	Date report requested by Case Administrator	Date report received by Case Administrator
Personal officer			
Shop/party instructor/officer			
Programme tutor			
Teacher			
Outside employer			
Activity supervisor			
Chaplain/minister of religion			
Security			
Other			
Other			
Other			
Prisoner's comments			
OASys: date of last review			
Progress Report dossier compiled by			
Name and role		Signature	Date
Office address			
Contact telephone number			Ext

SENTENCE PLANNING AND REVIEW REPORT BY OFFENDER MANAGER		SPR B
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

REPORT TEMPLATE

You must familiarise yourself with the offender's offence, offending history and Sentence Plan objectives before completing this report. Consult with the Offender Supervisor if necessary.

The Sentence Planning and Review (SPR) Report provides information from the Offender Manager to the SPR meeting. The report must focus on the offender's progress against their Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

IF THIS REPORT IS FOR A PRE-PAROLE SPR MEETING, YOU MUST PREPARE THE OFFENDER MANAGER PAROLE REPORT USING TEMPLATE PAROM 1.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Attitude to the index offence

Has the prisoner come to terms with the offence? How open is he/she in discussing it? Does he/she provide a full and active account of the offence? What is his/her attitude to the victim/s, the sentence and others involved in the offence and the degree of remorse expressed?

3. Sentence Plan

Describe the prisoner's response to the overall Sentence Plan since the date of sentence.

4. External support

What sort of relationships does the prisoner have with family, friends or other outside contacts? What degree of support do these relationships provide? Where do his/her main external contacts live? Are there any difficulties in communicating or visiting? How do these relationships contribute to the prisoner's Release Plans?

5. Reduction in risk

Based on your knowledge of the prisoner, what evidence is there, if any, that he/she has demonstrated a reduction in any risk of serious harm he/she poses to the public?

6. Sentence Plan recommendations

Based on your knowledge of the prisoner, his/her response to the Sentence Plan and the risks that he/she now poses in respect of serious harm to the public and/or re-offending, what further interventions/activities/actions do you recommend in order to reduce the levels of risk? What are your proposals on transfer/recategorisation to another establishment?

7. Release and resettlement

Set out any current Release Plans, resettlement or employment options, and potential supervision and licence conditions. What victim protection measures may be required? What is your assessment of the likelihood of the prisoner re-offending or causing serious harm to others?

8. Victim information

Are there any confidential victim issues? **Any confidential victim information must be submitted in a separate report.**

Include in this report any **non-confidential** victim issues that may affect eventual release and/or resettlement.

9. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

Name	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY OFFENDER SUPERVISOR		SPR C
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

REPORT TEMPLATE

The Sentence Planning and Review Report drives the Sentence Plan. The report must focus on the offender's progress against his/her Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Risk of re-offending relates to the likelihood of the prisoner committing **any offence** once released into the community. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Sentence Plan

Briefly describe the risks that have been identified for this prisoner (in terms of both re-offending and serious harm to the public) and the objectives that have been set in his/her Sentence Plan to reduce those risks.

3. Response to the Sentence Plan

Comment on the following:

- To what extent has the prisoner complied with his/her Sentence Plan?
- Summarise the prisoner's involvement in any meaningful activities and specifically indicate which of these are intended to reduce any identified risks of serious harm and/or re-offending.
- Has the prisoner shown any motivation to change his/her attitudes and behaviours?

- What effect has the Sentence Plan (activities etc.) had on the prisoner's attitudes and behaviour:
 - to staff
 - to other prisoners
 - to family and friends?
- Has the prisoner displayed any behaviour that might be related to his/her offence or previous patterns of offending?

4. Behaviour in prison

Is there any evidence that the prisoner has changed his/her attitudes and/or learnt to control his/her behaviour? Summarise the prisoner's disciplinary record.

5. Other information

Do you have any particular concerns regarding the prisoner's health or welfare?

6. Assessment of the prisoner's current risk to the public

What is your assessment of the risk of serious harm that this prisoner poses to the public if released into the community now? What is your assessment of this prisoner's risk of re-offending?

7. Sentence Plan recommendations

Based on your knowledge of the prisoner, his/her response to the Sentence Plan and the risks that he/she now poses in respect of serious harm to the public and/or re-offending, what further interventions/activities/actions do you recommend in order to reduce the levels of risk? If this report is for a Parole Board review, what do you recommend in terms of progression through the sentence, transfer to open conditions or release into the community?

Name	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY KEY WORKER		SPR D
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

REPORT TEMPLATE

You must familiarise yourself with the offender's offence, offending history and Sentence Plan objectives before completing this report. Consult with the Offender Supervisor if necessary.

The Sentence Planning and Review Report provides information and/or evidence to the Offender Manager via the Offender Supervisor. The report must focus on the offender's progress against his/her Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Risk of re-offending relates to the likelihood of the prisoner committing **any offence** once released into the community. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

1. Knowledge of the prisoner

State the role you play in relation to this prisoner (e.g. Instructor, Tutor, Personal Officer). State how much contact you have with the prisoner and the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Sentence Plan

Describe how you are involved with the prisoner and what elements of his/her Sentence Plan you are responsible for.

3. Response to the Sentence Plan

Comment on the following:

- To what extent has the prisoner complied with his/her Sentence Plan as it relates to your area of work?

- Describe the prisoner's involvement in the activity for which you are responsible and indicate whether these are intended to reduce any identified risks of serious harm and/or re-offending.
- Has the prisoner shown any motivation to change his/her attitudes and behaviours?
- What effect has the activity for which you are responsible had on the prisoner's attitudes and behaviour:
 - to staff
 - to other prisoners
 - to family and friends?
- Has the prisoner displayed any behaviour that might be related to his/her offence or previous patterns of offending?

4. Behaviour in prison

Is there any evidence that the prisoner has changed his/her attitudes and/or learnt to control his/her behaviour? Have there been any disciplinary issues in your dealings with the prisoner?

5. Other information

Do you have any particular concerns regarding the prisoner's health or welfare?

6. Current risk to the public

What are your views on the risks of serious harm and/or re-offending that this prisoner poses to the public if released into the community now? What impact has your area of work with this prisoner had on the risks he/she poses to the public of causing serious harm?

7. Sentence Plan recommendations

Based on your knowledge of the prisoner, his/her response to the activity for which you are responsible and the risks that he/she now poses in respect of serious harm to the public and/or re-offending, what further interventions/activities/actions do you recommend in order to reduce the levels of risk?

If this report is for a Parole Board review and relates to the prisoner's involvement in a programme, then a copy of any post-programme report or SARN must be attached.

This report must be countersigned by the Key Worker's line manager to confirm that he/she is content with the content and quality of the report.

Name and role	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY PSYCHOLOGIST		SPR E
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

This REPORT TEMPLATE is subject to CONSULTATION and is not finalised.

The areas below outline the main issues to be covered by a psychologist's report.

You must familiarise yourself with the offender's offence, offending history and Sentence Plan objectives before completing this report. Consult with the Offender Supervisor if necessary.

The Sentence Planning and Review Report provides information and/or evidence to the Offender Manager via the Offender Supervisor. The report must focus on the offender's progress against his/her Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Risk of re-offending relates to the likelihood of the prisoner committing **any offence** once released into the community. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Attitude to index offence

Has the prisoner come to terms with the offence? How open is he/she in discussing it? What is his/her attitude to the victim/s, the sentence and others involved in the offence and the degree of remorse expressed? Does he/she provide a full and active account of the offence? Does he/she accept his/her role in the offence, or does he/she seek to minimise his/her part or blame other factors, such as alcohol or the victim?

3. Insight into identified risk factors

Comment on the extent to which identified risk factors and offending behaviours have been recognised and confronted. Comment on the prisoner's acknowledgement of risk and what progress has been made. What further work needs to be done?

4. Behaviour in prison

Comment on the prisoner's behaviour in prison, his/her relationships with staff and other prisoners, reaction to stressful or confrontational situations, and any positions of trust. How are any of these behaviours related to risk factors or the index offence?

5. Sentence Plan

To what degree does the prisoner participate in the sentence planning process and the achievement of offending behaviour targets? Should any additional targets be set, and what further work is required?

6. Reduction in risk

Based on your knowledge of the prisoner, what evidence is there, if any, that he/she has demonstrated a reduction in risk of serious harm to the public? If this report is for a pre-parole SPR meeting, you must comment on his/her suitability for open conditions or release.

7. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include? You may report on any other aspects not already included above – behaviour in prison; personal conduct; self-harm; current activity; attitude and behaviour; qualifications; programme participation and effect on risk; programme recommendations; or general welfare.

Name	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY HEALTHCARE		SPR F
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

Information disclosed within this report must be within the limits of patient confidentiality. It may be completed by a member of healthcare staff, but **must** be countersigned by a Senior Medical Officer.

REPORT TEMPLATE

You must familiarise yourself with the offender's offence, offending history and Sentence Plan objectives before completing this report. Consult with the Offender Supervisor if necessary.

The Sentence Planning and Review Report provides information and/or evidence to the Offender Manager via the Offender Supervisor. This report must relate the offender's physical and/or mental health to his/her ability to progress against the Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Risk of re-offending relates to the likelihood of the prisoner committing **any offence** once released into the community. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Allocation

Are there any physical or mental health conditions that would affect the prisoner's allocation? What level of healthcare support does he/she require and are there any special needs?

3. External appointments

Does the prisoner have any appointments with external hospitals, specialists, etc.? If so, where and when?

4. Self-harm

Are there any concerns about the prisoner's risk of self-harm? Is he/she now, or since the last review has he/she been, subject to ACCT?

5. Attitudes and behaviour

Has the prisoner displayed any behaviour that might be related to his/her offence or previous patterns of offending? Is there any evidence that the prisoner has changed his/her attitudes and/or learnt to control his/her behaviour? Have there been any disciplinary issues in your dealings with the prisoner?

6. Risk to the public

Are there any physical or mental health issues that may affect the prisoner's risk of serious harm to the public and/or risk of re-offending? What level of support may he/she require in the community?

7. Reduction in risk

Based on your knowledge of the prisoner, what evidence is there, if any, that he/she has demonstrated a reduction in risks of serious harm to the public and/or re-offending?

8. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

Name and role	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY PSYCHIATRIST		SPR G
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

There is no fixed report template for psychiatric reports.

The areas outlined below are those that a psychiatric report should cover.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Diagnosis

What is the prisoner's psychiatric history? Is he/she currently suffering from any form of mental disorder? Can you trace any change in the prisoner's mental health during this sentence? If so, what has this been? Were any specific psychiatric factors associated with the prisoner's index offence? Is any condition likely to respond to treatment, now or in the future? If so, what sort of treatment? Has the prisoner had any psychiatric treatment in prison either during this sentence or during previous periods in custody?

3. Placement

Does the prisoner require inpatient treatment in a psychiatric hospital? Is he/she currently awaiting or undergoing assessment for transfer to a psychiatric hospital? If not, what level of prison healthcare support does he/she require?

4. External appointments

Does the prisoner have any appointments with external hospitals, specialists, etc.? If so, where and when?

5. Risk to the public

Based on your knowledge of the prisoner, what evidence is there, if any, that he/she has demonstrated a reduction in the risk of serious harm that he/she poses to the public?

If the prisoner is demonstrating bizarre behaviour or disturbance of mood, cognition or belief – and if you believe this to be a consequence of functional or organic psychiatric disorder – is there any pre-release treatment you can recommend and/or arrange?

Should the prisoner be assessed for dangerous and severe personality disorder (D&SPD)?

6. Release and resettlement

If this report is for a pre-parole sentence planning and review meeting, you must comment on the prisoner's suitability for open conditions or release. If you regard the prisoner as safe for release into the community, should any extra provisions be made for his/her rehabilitation or supervision? Is he/she capable of abiding by the conditions of a life licence, and does he/she display an attitude either towards the index offence, history of offending or therapeutic programmes which indicates probable lack of co-operation with supervising officers if released on life licence? What level of support may he/she require in the community? If you are recommending psychiatric supervision after release, can you recommend a specific psychiatrist, hospital or outpatient clinic to take on clinical responsibility to undertake this? If so, the relevant psychiatrist must provide the Parole Board with written confirmation that he/she is prepared to take on this responsibility.

7. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

Name	Signature	Date
Office/base address		
Contact telephone number		Ext

SENTENCE PLANNING AND REVIEW REPORT BY SECURITY		SPR H
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

This report is disclosed to the offender unless there is an application:

- for a Governor's decision under PSO 6000
- for non-disclosure under Parole Board Rule 6.

For the above applications to be made there must be evidence that non-disclosure is necessary in order to:

- ensure national security
- prevent disorder or crime
- safeguard the health or welfare of the prisoner or others, including victims.

REPORT TEMPLATE

1. Security information

Is there security information that relates to the risks of serious harm and/or re-offending that this prisoner poses to the public? If so, please summarise.

2. Allocation

What security recommendations, if any, would you make concerning the allocation of this prisoner?

3. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

This report must be countersigned by the Security Manager

Name and role	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number	Ext	

SENTENCE PLANNING AND REVIEW REPORT: OFFENDER'S COMMENTS		SPR J
HMP/YOI	Sentence Planning and Review Report date	
Prison number	Name	

NOTE: Wherever possible you should limit your comments to this form. Additional papers may cause delays in reviewing your reports.

REPORTS

Have you seen your Sentence Plan?
Have you seen all the Review Reports?
Do you have any comments about what has been written about you?

SELF ASSESSMENT

What progress do you feel you have made through your sentence to date?
What further work do you still feel you need to do?

ADDITIONAL INFORMATION

Do you want to make any further comments?

Name	Signature	Date
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SENTENCE PLANNING AND REVIEW REPORT BY PRISON SERVICE DESIGNATED STAFF MEMBER		SPR K
HMP/YOI	Sentence Planning and Review Report date	
Forename/s	Family name	
Prison number	Security category	

REPORT TEMPLATE

You must familiarise yourself with the offender's offence, offending history and Sentence Plan objectives before completing this report. Consult with the Offender Supervisor if necessary.

The Sentence Planning and Review (SPR) Report provides information by the Prison Service designated staff member to the SPR meeting. The report must focus on the offender's progress against his/her Sentence Plan, with particular emphasis on the offender's risk of serious harm to the public and his/her risk of re-offending. Risk of re-offending relates to the likelihood of the prisoner committing **any offence** once released into the community. Serious harm is defined as:

An event that is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.

Risk must be assessed on the basis that the offender is to be released into the community immediately. In other words, the fact that the prisoner is in custody should not be a factor in determining risk. The relative levels of risk are described in Chapter 8 of the OASys Manual.

NOTE: IF THIS REPORT IS FOR A PRE-PAROLE SPR MEETING, THE OFFENDER MANAGER WILL PREPARE A PAROLE REPORT USING TEMPLATE PAROM 1.

1. Knowledge of the prisoner

State your credentials; specify how much contact you have with the prisoner and the extent of the relationship; and state the basis on which the report is written – formal interview, observed behaviour, etc. What documents, files or reports have you referred to in preparing this report?

2. Attitude to index offence

Has the prisoner come to terms with the offence? How open is he/she in discussing it? Does he/she provide a full and active account of the offence? What is his/her attitude to the victim(s), sentence and others involved in the offence, and what is the degree of remorse expressed?

3. Sentence Plan

Describe the offender's response to the overall Sentence Plan since the date of sentence.

4. Community links (for a pre-parole SPR meeting, these areas will be covered by the OM)

Based on your liaison with the external Probation Officer:

- What sort of relationships does the prisoner have with family, friends or other outside contacts?
- What degree of support do these relationships provide?
- Where do his/her main external contacts live, and are there any difficulties in communicating or visiting?

Set out any current known Release Plans.

5. Reduction in risk

Based on your knowledge of the prisoner, what evidence is there, if any, that he/she has demonstrated a reduction in the risk of serious harm that he/she poses to the public? What is your assessment of the likelihood of him/her re-offending or causing serious harm to others?

6. Victim information

Are there any confidential victim issues? Any confidential victim information must be submitted in a separate report. Include in this report any non-confidential victim issues that may affect eventual release and/or resettlement.

7. Additional information

Is there any further information or other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

8. Assessment of the prisoner's current risk to the public

What is your assessment of the risk of serious harm that this offender poses to the public if released into the community now? What is your assessment of this offender's risk of re-offending?

9. Sentence Plan recommendations

Based on your knowledge of the offender, his/her response to the Sentence Plan and the risks that he/she now poses in respect of serious harm to the public and/or re-offending, what further interventions/activities/actions do you recommend in order to reduce the levels of risk? What are your proposals on transfer/recategorisation to another establishment?

If this report is for a Parole Board review, what do you recommend in terms of progression through the sentence, transfer to open conditions or release into the community?

Name	Signature	Date
Countersign name and role	Signature	Date
Office address		
Contact telephone number		Ext

PAROLE ASSESSMENT REPORT OFFENDER MANAGER		PAROM 1
HMP/YOI	PAROM 1 Report date	
Forename/s	Family name	
Prison number	Security category	
Sentence		
Dates of previous PAROM Reports		

Please note – if any information included in this report is likely to put the victim or others at risk of serious harm, then this information must be provided under a separate cover and marked “Not for disclosure to the offender”.

1. Sources

Identify all the sources on which the report is based.

2. Risk scores

Static risk scores:

OGRS score: time of sentence	
OGRS score: now	
Risk matrix: time of sentence	
Risk matrix: now	

OASys scores:

OASys risk of reconviction: time of sentence	
OASys risk of reconviction: now	
OASys risk of serious harm level: time of sentence	
OASys risk of serious harm level: now	

SPRP score:

Sentence Planning Risk Predictor	
----------------------------------	--

Any other known risk scores:

3. Index offence

Provide a detailed account of the index offence using all original sources which outline what, when, where, who and why. Include the offender's attitude at that time to the offence, his/her motivations, culpability, attitude towards the victim(s) and any remorse shown.

4. Previous offending history

Summarise previous offending history – analyse any patterns of offending, including any previous offences which relate directly to the behaviours and actions that led to the index offence.

5. Analysis of risks of serious harm and re-offending at the time of sentence

Analyse any relevant risk factors which were identified that made the offender pose a risk of serious harm to others at the time of sentence. What other significant criminogenic factors were identified that contributed to the person committing the offence? What were the offender's personal needs which contributed to any offending behaviour?

6. Victim information

Provide all information about the victim(s) that was known at the time of the offence – including the views of the victim(s) (or their relatives) about the impact of the offence, if known. What contact has taken place with the victim(s) (or their relatives) during the sentence period? If known, what are the victim's(s') (or their relatives') current views in relation to the original offence and any proposed move to open conditions or release arrangements?

7. Relevant information about the offender

Describe the personal circumstances of the offender – family background, personal history, past and current relationships. Outline the current situation – relationships, accommodation and employment potential – and relate these issues to any risk factors outlined at the time of sentence and their relevance to any current release plans.

8. Interventions to reduce risks

Detail all the interventions and programmes that the offender has undertaken to address both the risk of serious harm and the risk of re-offending that he/she originally posed. Include attitude, motivation and behaviours of the offender during the sentence, and any changes that have been evidenced.

9. Behaviour in prison

Provide an overview of the offender's behaviour throughout the whole of the prison sentence. Include details of the offender's adjudication record, observed wing behaviour and drug-testing results. Relate this behaviour to any previous offending behaviour and the index offence. Analyse the impact of this behaviour on potential release plans.

10. Current risk assessments

a) Serious harm to others

What are the current risk factors evidenced from the sentence planning and review (SPR) meetings and OASys analysis?

b) Re-offending

What are the current risk of re-offending indicators based on the SPR meetings and OASys review?

Give your professional opinion in respect of these risks and include reasoning and evidence for your assessment.

11. Resettlement and Supervision Plan

What is the plan for the offender if he/she is released (accommodation; employment, training and education (ETE); relationships; finances), and what are the plans for supervision?

12. Risk Management Plan

Detail the agreed plan about how any identified risks are to be managed within the community.

13. Recommendation

Provide a clear proposal as to the suitability of the offender for open conditions or for the release of the offender on licence at this time; or clear reasons why the offender should not be released at this time and the areas that still need to be addressed before the person can be released.

Name	Signature	Date
Probation area		
Office address		
Contact telephone number	Ext	

APPENDICES

I. Offender Management Phase III IPP and Lifer Forms

LISP 1	Initial Notification and Post-Sentence Interview
LISP 2	Multi-Agency Risk Assessment Planning (MARAP) Meeting
LISP 3	Record of Escorted Absence and Release on Temporary Licence (ROTL)
LISP 4	Open Conditions Failure, ROTL Suspension, Escape, Abscond or Failure to Return Report by Offender Supervisor
LISP 5	Escorted Absence Report by Escorting Officer to Offender Supervisor
LISP 6	Recall Notification and Induction Interview

INITIAL NOTIFICATION AND POST SENTENCE INTERVIEW						LISP 1
<p>To be completed by Offender Supervisor and copied to Pre-Release Section and Offender Manager within 7 days of sentencing.</p> <p>A copy of the warrant and list of any previous convictions MUST be appended to the Pre-Release Section.</p>						
HMP/YOI			First reception date			
Forename/s			Family name			
Prison number				Security category		
Date of sentence			Date of conviction			
Type of indeterminate sentence		Mandatory Discretionary HMP CFL DFL IPP DPP				
Tariff stated on warrant			Date of interview			
How did the prisoner plead?			Guilty	Not guilty	Not known	
Is the prisoner intending to appeal against conviction/sentence?			Yes	No	Not known	
CO-DEFENDANTS						
Any co-defendants?		Yes	No	Any exceptional reasons to keep them together?		No
If yes, give details						
Prison number		Full name of co-defendant			Sentence	
ALLOCATION INFORMATION						
Is the prisoner suitable for normal location?					Yes	No
If no, does he/she require Rule 45/VP status or segregation?					Yes	No

ANY SPECIAL FACILITIES REQUIRED			
	Yes	No	Unknown
Is a medical report required?			
If the prisoner is female, is she known to be pregnant?			
Have any mental health issues been identified?			
Is the prisoner liable to deportation?			
INDUCTION INTERVIEW REPORT			
Has the sentence been explained to the prisoner?			
What is the prisoner's reaction to his/her sentence?			
What is his/her attitude towards the offence/victims?			
Does he/she have any concerns about family or relatives?			
What is his/her standard of behaviour in prison?			

INDUCTION INTERVIEW REPORT		
Are there any areas of concern, a risk of self-harm, or psychological or psychiatric assessment needs?		
Does he/she require any further information or support at this time? If yes, what?		
Any other relevant information		
Has he/she attended the establishment's induction programme?	Yes	No
Offender Supervisor name	Signature	Date
Office address		
Contact telephone number	Ext	

MULTI-AGENCY RISK ASSESSMENT PLANNING (MARAP) MEETING

LISP 2

To be copied to Pre-Release Section

HMP/YOI	First reception date
Tariff	Date of sentence
Forename/s	Family name
Prison number	Security category

Due to the inclusion of confidential and Victim's Charter-related information, this section must NOT be disclosed to the prisoner.

MARAP MEETING

MARAP meeting convened at**Date of MARAP meeting**

STAFF TAKING PART IN MARAP MEETING

SERVICE/DEPARTMENT/ROLE

PREVIOUS CONCERNS ABOUT BEHAVIOUR		
CURRENT RISK ASSESSMENT		
VICTIM(S)		
ANY ADDITIONAL INFORMATION		
RISK MANAGEMENT		
ACTIONS		
LISP 2 completed by	Signature	Date
Offender Supervisor name	Signature	Date
Offender Manager/Prison Service designated staff member name	Signature	Date

COPY TO PRE-RELEASE SECTION

RECORD OF ESCORTED ABSENCE AND RELEASE ON TEMPORARY LICENCE (ROTL) LISP 3							
HMP/YOI				Report date			
Forename/s				Family name			
Prison number					Security category		
Date	Escorted town visit	Facility	Resettlement	Compassionate	Activity	Address or location visited	Establishment and remarks
PAGE OF (ADDITIONAL PAGES AS REQUIRED)							

RECORD OF ESCORTED ABSENCE AND RELEASE ON TEMPORARY LICENCE (ROTL) LISP 3							
HMP/YOI					Report date		
Forename/s					Family name		
Prison number					Security category		
Date	Escorted town visit	Facility	Resettlement	Compassionate	Activity	Address or location visited	Establishment and remarks
PAGE OF (ADDITIONAL PAGES AS REQUIRED)							

OPEN CONDITIONS FAILURE, ROTL SUSPENSION, ESCAPE, ABSCOND OR FAILURE TO RETURN REPORT BY OFFENDER SUPERVISOR		LISP 4
HMP/YOI	Report date	
Forename/s	Family name	
Prison number		Security category
REASON FOR REPORT		
For example, prisoner unsuitable for open conditions, breached ROTL conditions, absconded, failed to return, escaped. Include dates, times and places where known.		
In the event of an escape, abscond or failure to return, name the Pre-Release Section staff member who was informed.		
ACTION TAKEN		
What action has been taken? [Prisoner suspended from further ROTL, placed in segregation or transferred to closed conditions, police alerted etc.] Include dates, times and places where known.		

PUBLIC PROTECTION ISSUES

What action has been taken to ensure the protection of the public and/or known victims?
What further action should be taken?

ALLOCATION

Is the prisoner suitable to remain in open conditions? Give your reasons. Should the prisoner be returned to closed conditions? Give your reasons. Do you have any recommendations regarding his/her future allocation?

ADDITIONAL INFORMATION

Are there any known factors that might have precipitated this incident? Is there any further information or any other comments relating to your knowledge of, or contact with, this prisoner that you wish to include?

Offender Supervisor name	Signature	Date
Office address		
Contact telephone number		Ext

ESCORTED ABSENCE REPORT BY ESCORTING OFFICER TO OFFENDER SUPERVISOR			LISP 5
Copy to Offender Manager			
HMP/YOI	Date		
Forename/s	Family name		
Prison number		Security category	
Date of escorted absence	Duration	Time out	Time back
Destination visited			
Method of transport			

REPORT TEMPLATE

1. Escorted absence history

How many other escorted absences have there been? Have you escorted him/her previously? Was this absence any different to previous ones?

2. Before the visit

What planning did you and the prisoner carry out prior to the escorted absence? Did you discuss or plan any particular activities, such as making any purchases from a shop, or going for a meal? Were all these activities set out in the proposed itinerary? Did the prisoner ask to visit any specific places or wish to meet family or relatives? If it was the prisoner's first absence, did you brief him/her on what they might expect when on the visit? Did he/she express any anxiety or concern about any particular aspect of the visit?

3. Transport

What methods of transport did you use during the escorted absence? How did the prisoner cope? Did he/she have any problems with traffic, using seatbelts, buying a ticket, etc.?

4. Activities and places visited

What activities did the prisoner undertake and what places did you visit? What was the prisoner's reaction to events? How did he/she cope with meeting members of the public? Were any purchases made? If so, how well did he/she cope with understanding prices and using money? What were the main topics of conversation during the escorted absence? Did the prisoner try to deviate from the proposed itinerary – enter a public house, drink alcohol, visit or meet family, change the destination – or did he/she try to persuade or pressure you into allowing any of these? Did the prisoner try to stay out longer than the agreed time or attempt to delay the return? What was his/her attitude during the return journey?

5. Risk

Did you have any concerns during the visit about the prisoner's behaviour? Did anything he/she said or did indicate an unacceptable risk? Was any of this behaviour related to identified risk factors or the index offence?

6. After the visit

How did the visit compare with the prisoner's expectations and plans? Does he/she have any concerns about further escorted absences? Do you have any concerns about the prisoner's suitability to be allowed further escorted absences? If so, what are they?

7. Additional information

Is there any further information or other comments relating to your escort of, knowledge of or contact with this prisoner that you wish to include?

Name and role	Signature	Date
Office address		
Contact telephone number		Ext

RECALL NOTIFICATION AND INDUCTION INTERVIEW

LISP 6

**To be completed by Offender Supervisor and forwarded to Post-Release Section
within 7 days of recall – copy to Offender Manager**

HMP/YOI		Reception date following recall	
Forename/s		Family name	
Prison number		Security category	
Date of release		Date of interview	
Type of indeterminate sentence	Mandatory	Discretionary	HMP CFL DFL IPP DPP
Tariff (if known)			
ALLOCATION INFORMATION			
Is the prisoner suitable for normal location?		Yes	No
If no, does he/she require Rule 45/VP status or segregation?		Yes	No
IF ANY SPECIAL FACILITIES ARE NEEDED, A MEDICAL REPORT MUST BE APPENDED SETTING OUT WHAT IS REQUIRED			
If the prisoner is female, is she known to be pregnant?		Yes	No Unknown
INDUCTION INTERVIEW REPORT			
Have the recall and the process been explained to the prisoner?			
What is the prisoner's reaction to his/her recall?			

INDUCTION INTERVIEW REPORT		
Were any offences committed in the community that led to recall? Give details, including offence, victim, charges and trial.		
Does he/she have any concerns about family or relatives?		
What is his/her current standard of behaviour in prison? Has his/her behaviour changed since previous sentence(s)?		
Are there any areas of concern, a risk of self-harm, or psychological or psychiatric assessment needs?		
Does he/she require any further information or support at this time? If yes, what?		
Any other relevant information		
Has he/she attended the establishment's induction programme?	Yes	No
Offender Supervisor name	Signature	Date
Office address		
Contact telephone number	Ext	

II. Glossary

ACCT	Document	Assessment – Care in custody and teamwork
ASSET	Document	Assessment tool (for young offenders)
CA	Role	Case Administrator
CALM	Programme	Anger management
CARAT	Organisational	Counselling, Assessment, Referral, Advice and Throughcare
CCD	Organisational	Criminal Casework Directorate (of Border and Immigration Agency)
CCD 2	Document	Criminal Casework Directorate form (information to Border and Immigration Agency)
CPS	Organisational	Crown Prosecution Service
ETS	Programme	Enhanced Thinking Skills
FNP	Offender	Foreign national prisoner
IPP	Offender	Indeterminate sentence for public protection
ISP	Document	Initial Sentence Plan
ISP meeting	Organisational	Initial sentence planning meeting
Lifers	Offender	Offenders sentenced to a mandatory or discretionary sentence of life imprisonment
LISP(s)	Document	Lifer Indeterminate Sentence Prisoner forms
LSP	Document	Life Sentence Plan
MALRAP	Organisational	Multi-agency lifer risk assessment planning meeting
MAPPA	Organisational	Multi-Agency Public Protection Arrangement
MARAP	Organisational	Multi-agency risk assessment planning
NOMS	Organisational	National Offender Management Service
OASys	Document	Offender Assessment System
OGRS	Document	Offender Group Reconviction Scale
OM	Role	Offender Manager
OMA–G	Documents	National communication forms
OMU	Role	Offender Management Unit (Prison)

OS	Role	Offender Supervisor
OSP	Document	Outline Supervision Plan
PAROM 1	Document	Parole Assessment Report Offender Manager
PB	Organisational	Parole Board
PNC	Organisational	Police National Computer
PPO	Offender	Prolific and Priority Offender
PSDSM	Role	Prison Service designated staff member
PSR	Document	Pre-Sentence Report
RMP	Document	Risk Management Plan
RoSH	Document	Risk of Serious Harm (assessment)
SARN	Document	Structured Assessment of Risk and Need
SOTP	Programme	Sex Offender Treatment Programme
SP	Document	Sentence Plan
SPR meeting	Organisational	Sentence planning and review meeting
SPR Meeting Notes	Document	Sentence Planning and Review Meeting Notes form
SPR(s) A–K	Document	Sentence Planning and Review Report(s) A–K
SPRP	Document	Sentence Planning Risk Predictor (Prison Service)



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