



## SERIOUS FURTHER OFFENCES (SFO) NOTIFICATION

HMPPS, Public Protection Group (PPG).  
This should be emailed when complete to [SFO@justice.gov.uk](mailto:SFO@justice.gov.uk)

### STAGE 1 INITIAL NOTIFICATION

Name of supervised individual:	
Probation Region (including NSD)	
HMPPS SFO reference (to be completed by the HMPPS SFO Team):	
Notification initiated by:	
Telephone number:	
Email address:	
SFO single point of administrative contact:	
Telephone number:	
Email address:	

Please refer to the operational guidance at Annex B when completing all sections of this document.



## Timeliness

This page must be updated by the single point of administrative contact at each stage of the SFO process, before the updated document is forwarded to HMPPS SFO Team.

1 <sup>st</sup> Court appearance date	Notification submitted date	
Stage submitted on time?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Details of subsequent amendments:

If any of the stages were submitted late, please provide brief details of the reasons for this:

If appropriate, address in the analysis and as a learning point.

## OFFICIAL-SENSITIVE WHEN COMPLETED

The following criteria must be met:

<b>Supervised Individual Eligibility</b>
<ul style="list-style-type: none"> <li>Supervised individuals who are under <b><u>any form of supervision</u></b> by the Probation Service (licence or post sentence supervision) on the date of the SFO (excluding however supervised individuals where a court or recall warrant had been issued 3 months or more prior to the date of the SFO);</li> <li>Supervised individuals who were under any form of supervision by the Probation Service including those who have been subject to recall and released at SED, which terminated within 28 days prior to the SFO;</li> <li>In cases of deferred sentences where sentencing is deferred to allow a supervised individual to comply with any requirements set by the court. Consideration of a discretionary SFO review would need to take into account the specific requirements set by the court and the management of the case by the probation provider during that period</li> <li>Supervised individuals under supervision as above, who are charged with an equivalent eligible offence in another jurisdiction;</li> </ul>
<b>Offence Eligibility</b>
<ul style="list-style-type: none"> <li>The list of eligible offences comprises serious violent and serious sexual offences and offences committed under terrorism legislation (as described in Annex A of SFO Policy Framework), or an equivalent eligible offence in another jurisdiction.</li> </ul>

<b>Cases that will qualify for a SFO review</b>
Once a case has been checked to see that <b>both</b> the supervised individual and the offence eligibility criteria are met, it will <b>automatically qualify</b> for a SFO review if:
<ul style="list-style-type: none"> <li>The SFO charge is <b>murder, manslaughter</b>, other specified offences causing <b>death (including death by dangerous driving)</b>, <b>rape, assault by penetration (s.2 2003 SOA)</b>, or a <b>sexual offence against under 13 (including attempted &amp; conspiracy offences for all these offences)</b>, <b>any offence under the Terrorism Act (2000 &amp; 2006)</b>, <b>any offence under the Anti-terrorism, Crime &amp; Security Act (2001)</b> or</li> <li>The supervised individual was high or very high risk of serious harm at any point during their current sentence <u>or</u> had not been subject to a formal risk assessment using an Authority approved system (For cases supervised by the NPS prior to 26 June 2021 this will be OASys in most instances or an OASys RoSH screening and appropriate level of assessment post case allocation and for cases supervised by CRCs, identification of the present risk of serious harm posed by an supervised individual dated during the current supervision period).</li> <li>Exceptionally, the offence, whether a SFO or not, may qualify a case for a SFO review if it is likely to attract <b>national public interest</b> - please see operational guidance for further details</li> </ul>

<b>The regional SFO team manager (or NSD SFO SPOC) must ensure that:</b>
<ul style="list-style-type: none"> <li>HMPPS SFO Team receives the fully completed SFO notification document, for cases that are to proceed to a SFO review, <b>within 10 working days of the first court appearance</b>; and that the review is then commenced.</li> <li>Stage 2 case allocation process has been reviewed by the Probation Service for cases sentenced prior to 26 June 2021</li> <li>Notification forms on cases that are not to receive a SFO review are stored locally for audit purposes. They should include the information that is needed to enable the SFO regional team manager to establish that the case does not qualify for a SFO review.</li> </ul>

## OFFICIAL-SENSITIVE WHEN COMPLETED

<ul style="list-style-type: none"> <li>• HMPPS SFO team is informed of any case which is likely to attract <b>national public interest</b> immediately by email;</li> </ul>
<ul style="list-style-type: none"> <li>• The Probation Service have processes in place to manage cases which may attract public interest;</li> </ul>
<ul style="list-style-type: none"> <li>• The Regional Probation Director (or their representative) receive a copy of the Notification;</li> </ul>
<ul style="list-style-type: none"> <li>• The case record is secured.</li> </ul>
<ul style="list-style-type: none"> <li>• The Victim Contact Unit is notified if appropriate.</li> </ul>
<ul style="list-style-type: none"> <li>• The Witness Care Unit is provided with the template as detailed in the Operational Guidance once HMPPS SFO Team has confirmed SFO eligibility.</li> </ul>

<b>The regional SFO team manager (or NSD SFO SPOC) must ensure that the following actions are taken for all cases which are considered for review whether a review is undertaken or not:</b>
<ul style="list-style-type: none"> <li>• The Local Safeguarding Partnership is informed of any case where the victim is a child <b>or</b> the Local Safeguarding Adult Board is informed of any case where the victim is a vulnerable adult.</li> </ul>
<ul style="list-style-type: none"> <li>• The local MAPPA SMB co-ordinator, or equivalent, is notified of any case where the supervised individual was under MAPPA level 2 or 3 supervision;</li> </ul>
<ul style="list-style-type: none"> <li>• The Community Safety Partnership (CSP) is notified and liaison with CSP Chair take place where a Domestic Homicide Review is also being completed;</li> </ul>
<ul style="list-style-type: none"> <li>• In cases resulting in death where the victim of the SFO was under probation supervision, PI 2014 01 (revised April 2019) is followed.</li> </ul>

1.1. SUPERVISED INDIVIDUAL DETAILS				
<b>Supervised individual name:</b>		<b>PNC number:</b>		
<b>Alias(es):</b>		<b>CRO number:</b>		
		<b>CRN number:</b>		
<b>Address at time of the SFO(s)</b>	<p>Is this?</p> <p>Choose an item.</p> <p>(if other or Approved Premises, give details):</p>			
<b>Prison Number:</b>		<b>Date of Birth:</b>		
<b>Ethnic Origin:</b>		<b>Gender:</b>	Male <input type="checkbox"/>	Female <input type="checkbox"/>

**OFFICIAL-SENSITIVE WHEN COMPLETED**

<b>1.2. COURT DETAILS</b>	
<b>At which court did the supervised individual first appear?</b>	
<b>Date of first court appearance:</b>	Outcome (including remand in custody or bail) Details:
<b>Details/date of next court appearance:</b>	

<b>1.3. SERIOUS FURTHER OFFENCE DETAILS</b>	
<b>Date(s) of SFO(s):</b>	
<b>Serious <u>violent</u> offence triggering this notification:</b>	Choose an item. Details (including known victim information):
<b>Serious <u>sexual</u> offence triggering this notification:</b>	Choose an item. Details (including known victim information):

<b>Has the supervised individual been charged with any additional offences?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes, please specify all additional charges, including any charges for offences which fall outside of the SFO criteria:		
<b>Please provide a <u>brief</u> summary of the SFO:</b>		

**OFFICIAL-SENSITIVE WHEN COMPLETED**

1.4. CO-DEFENDANTS						
Are there any co-defendants?					Yes <input type="checkbox"/>	No <input type="checkbox"/>
Were any of the co-defendants at the time of the alleged SFO (or within 28 days) being supervised by any probation provider?					Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please enter details of co-defendants in the table below:						
Name	Date of Birth	Eligible for notification		Details	Submission date	SFO ID
		Yes	No			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>			

\* A separate SFO Notification must be completed for all relevant co-defendants.

### 1.5. SFO VICTIM INFORMATION

**How many victims were there?** Where possible, please use the table below to provide background information on each victim:

	Gender	Age	Supervised individual/ Victim relationship	Was there any evidence of re-victimisation?	Is there evidence that the victim(s) was/were targeted due to their:				
1					<input type="checkbox"/> Ethnicity	<input type="checkbox"/> Gender	<input type="checkbox"/> Disability	<input type="checkbox"/> Religious beliefs	Other <input type="checkbox"/>
					<input type="checkbox"/> Sexuality	<input type="checkbox"/> Age	<input type="checkbox"/> Class	<input type="checkbox"/> Specific vulnerability	
2					<input type="checkbox"/> Ethnicity	<input type="checkbox"/> Gender	<input type="checkbox"/> Disability	<input type="checkbox"/> Religious beliefs	Other <input type="checkbox"/>
					<input type="checkbox"/> Sexuality	<input type="checkbox"/> Age	<input type="checkbox"/> Class	<input type="checkbox"/> Specific vulnerability	
3					<input type="checkbox"/> Ethnicity	<input type="checkbox"/> Gender	<input type="checkbox"/> Disability	<input type="checkbox"/> Religious beliefs	Other <input type="checkbox"/>
					<input type="checkbox"/> Sexuality	<input type="checkbox"/> Age	<input type="checkbox"/> Class	<input type="checkbox"/> Specific vulnerability	
4					<input type="checkbox"/> Ethnicity	<input type="checkbox"/> Gender	<input type="checkbox"/> Disability	<input type="checkbox"/> Religious beliefs	Other <input type="checkbox"/>
					<input type="checkbox"/> Sexuality	<input type="checkbox"/> Age	<input type="checkbox"/> Class	<input type="checkbox"/> Specific vulnerability	

If there are more than four victims or if there is any additional information, please provide a brief summary here:

### 1.6 EVIDENCE OF PRESS OR PUBLIC INTEREST

**Has the offence attracted or is it likely to attract public interest, by virtue of the circumstances or type of offence, or the national public profile or well-known identity of the supervised individual or the victim, which would normally fall outside of the eligibility criteria?**

If Yes, this case may still need to become an SFO – Discuss the case with HMPPS SFO Team.

**Please provide further details below**

Yes ☐

No ☐

## STAGE 2 REVIEW OF THE CASE ALLOCATION PROCESS – TO BE COMPLETED IN CASES SENTENCED PRIOR TO 26 JUNE 2021 ONLY

The allocation of supervised individuals to service providers was reserved to the National Probation Service. The Case Allocation system set out general criteria on which allocation decisions were based, these are set out below:

1. The appropriate application of the case allocation process completed by the NPS either pre-sentence or immediately post sentence, where it was clear that the supervised individual was in scope for probation services.
2. In cases where the supervised individual had either left court or was sentenced to immediate custody without an NPS interview, the case allocation tool completed using all the information available to the court.
3. The case allocation tool was always completed, in accordance with the guidance set out at the time.
4. Following sentence, the case allocated to the appropriate provider in accordance with the timescales set within the operational guidance
5. The appropriate provider was informed of the sentence within the required time frame.
6. All the necessary paperwork and associated information was communicated to the appropriate provider, within the required timeframe.

### 2.1. CASE ALLOCATION PROCESS

Was the case allocated in accordance with all the criteria set out above?

Yes ☐

No ☐

**Please provide evidence to support your answer, specifically if there were criterion that were not met, with any known reasons for this.**  
Please provide comment where relevant to support your answers, including any information that should have been taken into consideration and the reasons for the absence of such (for example, was it not available at the time of sentence? was it an oversight?)



Stages 1 & 2 completed	
Name:	
Date:	
Email address:	
<p>You must now email the notification form to the relevant manager in the region in line with local arrangements for completion of stage 3.</p> <p>In National Security Division cases the notification should be sent to the national SFO SPOC at <a href="mailto:nsd.sfo@justice.gov.uk">nsd.sfo@justice.gov.uk</a> who will arrange for completion of stage 3</p>	

## STAGE 3

**To be completed and signed by the designated manager within the Probation Service.**

### 3.1. OASYS RISK OF SERIOUS HARM

**What was the highest OASys (or equivalent) risk of serious harm level, prior to the SFO, during the current sentence, whether in custody or community?**

Choose an item.

**Date of this assessment:**

### 3.2 SUPERVISION AT TIME OF SFO

**Probation Region:**

Choose an item.

PDU

A - E [select]

Choose an item.

PDU

F - R [select]

Choose an item.

PDU

S – Z [select]

Choose an item.

NSD Units

[select]

Choose an item.

**Has another PDU or region, former NPS division or CRC been involved in the management of the supervised individual at any point during the current sentence?**

Yes ☐

No ☐

If Yes, please provide details:

**What was the main type of supervision that the supervised individual was subject to at the time of the SFO?**

☐ Community Order or SSO

☐ Post sentence supervision.

☐ Determinate licence

☐ Life / IPP licence

**Details of index offence, including significant victim issues:**

Details:

## OFFICIAL-SENSITIVE WHEN COMPLETED

Please summarise the supervision at the time of the SFO in the tables below, specifying where the supervised individual was subject to more than one type of supervision:

### Community Order or Suspended Sentence Order:

*(if more than one, enter into the table the orders in force at the time of the SFO, starting with the oldest. If necessary enter details of any other order, for example restraining orders, the supervised individual was subject to at the time of the SFO in the additional information section).*

Start date of order	Length of order	Type of order	Index offence(s)	Requirements
		Choose an item.		Choose an item.
		Choose an item.		Choose an item.
		Choose an item.		Choose an item.
		Choose an item.		Choose an item.
<b>Please specify details of requirements:</b>				
Details:				

Additional information (including where applicable, duration of requirements, any other orders, and other relevant information):
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### Post Release (including Life/IPP licence):

Start date of prison sentence	Length of sentence	Start of licence	End of licence	Start of PSS	End of PSS	Index Offence(s)	Type of Licence
							Choose an item.
							Choose an item.

<b>Please specify details of additional licence conditions:</b>
Details:

**OFFICIAL-SENSITIVE WHEN COMPLETED**

**Discharging Prison:**

**Additional information:**

For example, include where applicable:

- Details of any recalls
- Details of any Parole Board involvement in the release or re-release of the supervised individual
- Details of any executive release
- Any other relevant information

**OFFICIAL-SENSITIVE WHEN COMPLETED**

<b>Was the supervised individual:</b>		
<b>A Foreign Nation Prisoner (FNP):</b> <u>If yes please provide Home Office CID Reference</u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>Subject to Home Detention Curfew <u>at the time of the SFO</u>:</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>Subject to Electronic Monitoring <u>at the time of the SFO</u>:</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>On licence following an Executive decision to release:</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>On licence following a Parole Board decision to release:</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>On court bail <u>at the time of the SFO</u>:</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b><u>At the time of the SFO</u>, resident in AP, BASS or any other supported accommodation?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes to any please provide brief details:		

**3.3. PREVIOUS CONVICTIONS**

<b>How many previous convictions (prior to the index offence) does the supervised individual have?</b>	
<b>For how many offences?</b>	
<b>For how many different types of offence?</b>	

**Has the supervised individual previously been convicted of, or cautioned for, any of the following?**

<input type="checkbox"/> Murder/manslaughter/attempted murder*	<input type="checkbox"/> GBH/wounding/robbery/abduction/kidnapping/unlawful imprisonment*	<input type="checkbox"/> Other violence or harassment, or possession of offensive weapons*
<input type="checkbox"/> Sexual offences*	<input type="checkbox"/> Arson*	<input type="checkbox"/> Criminal damage
<input type="checkbox"/> Drug offences	<input type="checkbox"/> Burglary*	<input type="checkbox"/> Theft
<input type="checkbox"/> Fraud and forgery	<input type="checkbox"/> Other dishonesty	<input type="checkbox"/> Driving offences
<input type="checkbox"/> Terrorism offences*		

**\* Please provide a brief summary of the date(s), type(s) of conviction, significant cautions and sentence(s) in the table below only for those categories marked with a \* in chronological order starting with the most recent conviction:**

**OFFICIAL-SENSITIVE WHEN COMPLETED**[illegible]

**OFFICIAL-SENSITIVE WHEN COMPLETED**


**Additional Information:**

**3.4. MAPPA AND OTHER REVIEWS**

**At the time of the SFO, was the supervised individual a 'relevant sexual and/or violent and /or terrorist supervised individual' for MAPPA eligibility purposes?**

Yes ☐

No ☐

If Yes, which category? *Choose an item.*

**If Yes, at what MAPPA level was the supervised individual being managed at the time of the SFO?**

*Choose an item.*

**Are there any indications that a MAPPA SCR is to be undertaken by the SMB?**

Yes ☐

No ☐

If Yes, please specify details:

**Are there any indications that a Local Safeguarding Partnership is considering a child safeguarding review (child practice review in Wales) or the Local Safeguarding Adult Board is considering undertaking a safeguarding adult review?**

Yes ☐

No ☐

If Yes, please specify details:

**OFFICIAL-SENSITIVE WHEN COMPLETED**

<b>Are there any indications that the local Community Safety Partnership is undertaking a Domestic Homicide Review (DHR)?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes, please specify details:		
<b>Is the supervised individual, or has the supervised individual previously been, registered as a Critical Public Protection Case?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes, please provide specific details including date of registration:		

<b>3.5 SUPERVISED INDIVIDUALS SUBJECT TO INTEGRATED OFFENDER MANAGEMENT</b>		
<b>Was the supervised individual an IOM case during the period of supervision when the SFO occurred?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes, please specify:		
<b>Was the supervised individual identified as a serious group offender?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If Yes, please specify:		

<b>3.6. CONFIRMATION</b>
<b>The SFO regional team manager must indicate whether the case qualifies for a SFO review based upon the following questions (please see the Operational Guidance). Answer <u>each of the questions in turn</u> up to the point at which a review is indicated:</b>

<b>Eligibility Criteria</b>		
<b>1. Does the supervised individual meet the SFO supervised individual eligibility criteria?</b> If No, this case is not an SFO and the notification should not be submitted.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>2. Does the offence meet the SFO offence eligibility criteria?</b> If No, this case is not an SFO and the notification should not be submitted. However, in exceptional cases where there is a national public interest and case is to be treated as a SFO, then go to Question 5.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>3. Does the offence qualify for an automatic SFO review i.e. murder, manslaughter, other offence causing death, offences under terrorism legislation, rape, assault by penetration, sexual offence vs. child under 13 (including attempts &amp; conspiracy)?</b> If Yes, the case requires a review and the notification should be submitted. If No, proceed to Question 4.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>4. Does the supervised individual qualify for a SFO review on the basis that either they were assessed as high/very high risk of serious harm during the current sentence (including custody element where applicable) or has not received a risk assessment during the current period of supervision (order or licence)?</b>  If Yes, the case requires a review and the notification should be submitted. If No go to Question 5.	Yes <input type="checkbox"/>	No <input type="checkbox"/>



**OFFICIAL-SENSITIVE WHEN COMPLETED**

<b>High Profile (including significant national public interest)</b>		
<b>5. Taking account of all of the available information, can you confirm if you feel that the case should be categorised as a high profile case?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please refer to the operational guidance.		

<b>Based on the answers above, does this case qualify for a review?</b>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If the case does not qualify for a review you should <b><u>not</u></b> submit this form to HMPPS SFO Team, but you should retain the paperwork locally for audit purposes and consider whether the case warrants a local review.		

<b>If you have answered no to the above, does this case qualify for a <u>discretionary</u> SFO review?</b> Please refer to the operational guidance	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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<b>Name of regional SFO team manager or manager locally identified to sign off SFO notifications:</b>  <b>Name:</b>  <b>Grade:</b>	<b>Date:</b>
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<b>Telephone Number:</b>	
<b>Email address:</b>	