Ministry of Justice

HM Prison & Probation Service

Policy Name: Counter Corruption and Reporting Wrongdoing Policy Framework

Re-Issue Date: 10 May 2022   **Implementation Date**: 26th June 2021

Replaces the following documents (e.g. PSIs, PSOs, Custodial Service Specs) which are hereby cancelled:

- PSI 01/2016 Corruption prevention – how to identify, report and manage staff corruption in prisons and headquarters
- PI 05/2016 – Corruption prevention – how to identify, report and manage staff corruption in the Probation Service
- PSI 21/2013 - Reporting wrongdoing
- PI 41/2014 – Probation Service reporting wrongdoing

Introduces amendments to the following documents: N/A

Action required by:

☒	HMPPS HQ	☒	Governors
☒	Public Sector Prisons	☒	Heads of Group
☒	Contracted Prisons	☒	HMPPS-run Immigration Removal Centres (IRCs)
☒	The Probation Service	☒	Under 18 Young Offender Institutions
☒	HMPPS Community Interventions Contract Management Team	☒	Secure Training Centres
☒	Other providers of Probation and Community Services	☒	Prisoner Escort & Custody Services

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

For Information: Governors[1] and Probation Delivery Unit Heads / Heads of Departments must ensure that any new local policies that they may develop because of this Policy Framework are compliant with relevant legislation, including the Public-Sector Equality Duty (Equality Act, 2010).

Update June 2021 – With effect from 26 June 2021 all Community Rehabilitation Company (CRC) contracts will be terminated, with the responsibility for all offender management activity transferring to the Probation Service. The revisions to this policy introduces new language and terminology, removes reference to CRCs, but does not change the practice set out in the mandatory actions.

How will this Policy Framework be audited or monitored: Governors of prisons and the Probation Delivery Unit Heads for the Probation Service will monitor compliance with the

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[1] In this document the term Governor also applies to Directors of Contracted Prisons.

mandatory actions in this Policy Framework. HMPPS Contract Management Teams will monitor compliance with the mandatory actions in this Policy Framework for contracted service providers.

Resource Impact: No additional costs are expected from this policy change. It has been designed on the basis of a cost-neutral approach to improving the efficiency and effectiveness of existing resource.

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Approved by OPS for publication: Kevin Reilly and Peter Greenhill, Joint Chairs, Operational Policy Sub-Board, April 2021

Revisions

Date	Changes
26 June 2021	With effect from 26 June 2021 all Community Rehabilitation Company (CRC) contracts will be terminated, with the responsibility for all offender management activity transferring to the Probation Service.
10 May 2022	- Local Counter Corruption Managers (LCCMs) (both in Prison and Probation) must be security cleared at SC level. - Mandated training for LCCMs. - Mandated process for Case Management Meetings. - Updates to roles and responsibility. - Further defining Conflict of Interest process as there is a gap in policies. - Mandates the storage of evidence. - Additional definitions of corruptors and potential corruptors (changed terminology from suspected) and, - Defines inappropriate relationships in further detail.

Contents

1.   Purpose

1.1.   HMPPS' efforts to tackle corruption are integral to deliver a safe and secure prison and probation service for the community, prisoners, supervised individuals and staff. Corruption in prisons facilitates the flow of drugs, mobile phones and other illicit items into prisons. These, in turn, fuel violence, debt and the illicit economy. Corruption puts the safety of prisoners, supervised individuals, visitors and staff in prisons at risk. Corruption in probation enables criminality, undermines the rehabilitation process and increases risk to the public. Corruption damages the reputation of the organisation; reduces workforce morale and performance; and compromises confidence in HMPPS' ability to run safe and secure prison and probation services that protect the public and rehabilitate supervised individuals.

1.2.   HMPPS has a clear strategy for tackling corruption. The ambition is to create an organisation resilient to corruption through four strategic approaches:

- **PROTECT** against corruption by understanding threats, having robust policies, processes and procedures in place and holding ourselves to account
- **PREVENT** staff from engaging in corruption by recruiting a resilient workforce, strengthening capability and professional integrity and managing corruption risks
- **PURSUE** and punish those involved in corruption through disciplinary and criminal justice outcomes
- **PREPARE** for the consequences of corrupt behaviour and support teams where corruption has occurred.

1.3.   HMPPS drives a culture of the highest professional standards and is committed to addressing wrongdoing sensitively and fairly, preventing it escalating into corruption. Where corruption does take place, however, HMPPS will provide a robust response. This Policy Framework sets out a range of activities that will help prevent corruption and outlines a clear process for pursuing corrupt staff to appropriate HR and criminal justice outcomes.

1.4.   Staff at all grades, and in all roles, have a responsibility to protect the resilience of this service against wrongdoing and corruption. While this Policy Framework sets out the important minimum mandatory actions for staff, it is vital that staff behave professionally in everything they do. In particular, staff must consciously maintain professional boundaries as they develop supportive and rehabilitative relationships with prisoners and supervised individuals and speak confidently to line managers or local counter corruption staff if they are concerned. All HMPPS staff are bound to the Civil Service Code of Conduct, which includes acting and behaving with the upmost integrity.

1.5.   The Counter Corruption Unit (CCU) play a key role in supporting staff, managers and leaders to tackle corruption throughout the organisation. It is responsible for HMPPS' counter corruption policy and procedures, leading on the development of counter corruption capability, raising awareness on the threat of corruption, preventing corruption and supporting the organisation to pursue corruption wherever it takes place. This document also sets out the mandatory actions for the CCU at regional and national level.

1.6.   This Policy Framework clarifies:

- the definition of corruption and how it can manifest in prison and probation services;
- the mandatory processes and procedures to tackle corruption;

- the remit and responsibilities of staff and teams with dedicated counter corruption roles;
- the relationship between counter corruption processes and relevant HR procedures and contract management; and
- the relationship between counter corruption processes, procedures and other policies and requirements (e.g. safeguarding, Intelligence Collection, Management and Dissemination, Data Protection, Anti-Fraud Policy).

As a result of this Policy Framework, staff should understand how they support the delivery of HMPPS' protect, prevent, pursue and prepare objectives. Staff should understand:

- the importance of behaving professionally and with integrity;
- what corruption is, how it can happen and how to prevent it taking place;
- what to do if they suspect wrongdoing and corruption, including what and how to self-disclose and/or report other concerns;
- the roles of the CCU and local counter corruption staff, to tackle corruption;
- the process for investigating corrupt activity, including case management and prioritisation and how to effectively work in partnership with law enforcement agencies; and,
- what steps must be taken to help manage those who pose a heightened risk of corrupting our staff, including known and potential corruptors.

1.7. This Policy Framework is supported by the Counter Corruption Handbook and a Memorandum of Understanding (MoU) between HMPPS and the National Police Chiefs' Council regarding corruption in prisons and probation The Handbook provides guidance and best practice and its use is encouraged, although not mandated. The MoU outlines the agreed ways of working with the police on corruption matters. This Policy Framework, the Counter Corruption Handbook and the MoU will be regularly reviewed and updated to inform operational responses, training and communications relating to counter corruption activity in prison and probation services.

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

1.9. Corruption and wrongdoing, as defined in this Policy Framework, will not be tolerated no matter what the form is or the motivation.

2. Evidence

Definitions and examples of staff groups in prison and probation services

2.1. 'Staff' are defined in this Policy Framework as any individual employed, contracted or who volunteers to provide services within prisons, probation and related services. These services include, but are not limited to, public prisons, privately contracted prisons, the Probation Service, the youth estate, secure training centres, immigration removal centres (IRCs) and prisoner escort custody services (PECS) – hereafter referred to as prison and probation services.

2.2.   Mandatory actions for 'all staff' are applicable to the following groups:

- Staff directly employed by HMPPS.
- Staff employed in contracted prison, probation and related services, hereafter referred to as 'staff of contracted service providers.'
- People who are not directly employed by HMPPS but provide core or auxiliary prison and probation services, including (but not limited to):
  o   general contractors (e.g. catering, healthcare workers, education, employment, maintenance);
  o   consultants;
  o   agency staff;
  o   sessional workers;
  o   volunteers and charity workers[2]; and,
  o   locum staff

hereafter referred to as 'non-directly employed persons.

2.3.   Where mandatory actions in this Policy Framework are only applicable to HMPPS staff, this will be clearly stated.

Definition of wrongdoing in prisons and probation services

2.4.   HMPPS defines wrongdoing as any behaviour that falls short of the professional standards expected of staff. Wrongdoing is a broad category and can be intentional or unintentional. It can encompass staff behaviours such as inadvertently overstepping professional boundaries with prisoners and supervised individuals, bullying and harassment, and the inappropriate use of force, as well as corruption. The regional CCU team can provide advice to local counter corruption teams where there is uncertainty over whether something falls within the definition of corruption or the wider definition of wrongdoing.

2.5.   HMPPS recognises that it is important to address wrongdoing at the earliest opportunity. This is essential to drive a culture of professional standards which is more effective at delivering prisons and probation services and is more resilient to corruption. It is also important to address a specific incident or pattern of wrongdoing to protect and prevent staff from being blackmailed by corruptors, who may threaten to report staff unless they comply with their criminal demands. Staff who have fallen short of professional standards will be treated sensitively and fairly and are encouraged to disclose their behaviour at the earliest opportunity before the situation escalates.

2.6.   This Policy Framework sets out the process for reporting wrongdoing concerns relating to corruption (although they may also be raised through the Raising a Concern policy). All misconduct must be managed under the PSI 06/2010 Conduct and Discipline and PI 34/2014 Probation Service Conduct and Discipline policies or the relevant HR policies and procedures of contracted service providers. For HMPPS staff, wrongdoing may amount to misconduct or gross misconduct depending on the circumstances of the case. HMPPS staff should be aware that corruption will always amount to gross misconduct (see below).

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[2] It is recommended that contracted service providers make sure that charities and volunteers are compliant with the requirements of the Policy Framework as best practice, but this is not mandated.

Definition of corruption in prison and probation services

2.7. HMPPS defines corruption as **a person in a position of authority or trust who abuses their position for benefit or gain for themselves or for another person**. In prison and probation services, this would include the misuse of a person's role to plan or commit a criminal act, or a deliberate failure to act to prevent criminal behaviour.

2.8. 'Abusing their position' may include acting or failing to act (e.g. turning a blind eye) in a way that constitutes a breach of the duties of that office. 'Benefit' or 'gain' can include financial, emotional, sexual or other personal and / or work-related reasons or any other perceived or actual gain or benefit. Staff may be motivated by malicious or "noble causes" (i.e. where individuals break the rules "for the right reasons").

2.9. A non-exhaustive list of examples of criminal activities and / or inappropriate behaviours that fall within this definition of corruption are set out below:

- conveying prohibited or restricted items into or out of a prison;
- aiding a prisoner to escape;
- inappropriately facilitating prisoners and supervised individuals' movement or reclassification;
- forming inappropriate relationships with prisoners or supervised individuals or with non-supervised individuals (e.g. friends or family members of supervised individuals, prisoners, criminal groups);
- sexual behaviour with a prisoner or supervised individual
- sexually assaulting a prisoner or supervised individual;
- disclosing personal, sensitive or restricted information or data to a prisoner or supervised individual member of staff or the public, without authorisation[3];
- inappropriately influencing or blackmailing staff, including to engage in criminal activity;
- accepting or seeking bribes or favours, including for commercial purposes including fraud;
- failure to discharge duties or follow procedures to the required standard (e.g. consistent failure to perform a search or consistently performing a search poorly, intentionally failing to acknowledge the discovery of contraband during a search, a change in the standard to which duties are performed in specific contexts); and,
- theft of HMPPS money or property, or a prisoners or supervised individual's money or property.

2.10. The definition of corruption is intended to include conduct which might result in a prosecution under a range of offences including Misconduct in Public Office, the Bribery Act 2010 and offences under the Prison Act 1952 (e.g. conveyance of prohibited items). For HMPPS staff, corruption is considered gross misconduct under PSI 06/2010/PI 34/2014 Conduct and Discipline policies. Gross misconduct can result in dismissal from the service. It is likely that dismissed staff will not be permitted to work in the service again. This may also affect their ability to work elsewhere in the public sector as it may affect their security vetting.

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[3] It is recognised that disclosures for 'whistleblowing' purposes are likely to be unauthorised. Staff should refer to the Ministry of Justice "Whistleblowing and raising a concern" policy and procedure to be clear if a disclosure is protected by the Public Interest Disclosure Act 1998 and the whistleblowing policy.

2.11.   Inappropriate relationships can take place in several guises. An inappropriate relationship compromises the staff member's ability to appropriately perform their duties. This includes, but is not limited to;

- Intimate or amorous relationships
- Friendship
- Improper emotional relationships / familial feelings towards an offender, likening them for example to your own children / siblings (and treating them as such).

2.12.   Staff of contracted service providers are not directly employed by a public body; however, they are considered to be discharging the duty of a public officer when working in prison and probation services. As such, they may be charged with committing a common law offence of Misconduct in Public Office.

2.13.   HMPPS' definition of corruption does not include criminal offences that are not motivated by gain which can be actual or perceived gain (e.g. assault). Staff should refer to procedures for reporting crime in prisons to report these incidents or behaviours. The corruption definition does not include matters that are purely wrongdoing, misconduct and management issues which fall short of the corruption definition (e.g. abuse of sick leave, misuse of IT equipment, grievances, complaints, bullying).

Definition of known and potential corruptors

2.14.   HMPPS defines a known corruptor as an individual (usually a prisoner or supervised individual) who has received an adjudication or criminal justice outcome related to corrupting staff.

2.15.   HMPPS defines a potential corruptor as an individual (usually a prisoner or supervised individual) who has not received an adjudication or criminal justice outcome related to corrupting staff however, there is indication, intelligence or otherwise, that they have attempted to corrupt staff. The individual will usually also have identified risk factors that increases their likelihood and capability of attempting to corrupt our staff.

2.16.   Prisons and probation have different powers to manage known corruptors compared to managing potential corruptors. It is important to pursue potential corruptors and secure outcomes where appropriate, so they may be more robustly managed.

2.17.   In order to prevent corruptors from corrupting our staff HMPPS will manage both those who have been found guilty of an offence linked to corrupting staff as well as those individuals who demonstrate behaviours that pose a risk of corrupting our staff.

2.18.   CCU Prevent Managers must conduct formal assessments and create management plans for both known and potential corruptors. These documents must be brought by the Prevent Manager to the Case Management Meeting for approval and ratification by the LCCM before management plans can be put into action. This process creates an agreed banding for each individual in regard to the corruption risk posed as well as creating an appropriate management plan to reduce the risk they pose to staff. Guidance on this assessment and follow up actions is available in the CCU handbook.

2.19.   There are two alerts on P-Nomis and nDelius for corruptors which are Potential Corruptor and Corruptor. All known Corruptors will have a *"corruptor alert"* added to the systems to alert staff to the risk that they pose. Potential Corruptors will only have a *"potential corruptor alert"* added if it is deemed appropriate by the LCCM after completion of the formal assessment. Potential Corruptors should not have a "*corruptor alert*" added as they do not meet the

requirements as highlighted in 2.15. The CCU will regularly conduct checks of these systems to ensure all alerts are appropriate and to monitor any changes in risk.

3. **Outcomes**

The outcomes from the implementation of this Policy Framework are that:

3.1. Everyone understands and are familiar with definitions of corruption and wrongdoing, including their obligations to report suspicions or incidents of corruption and wrongdoing.

3.2. Everyone follows the appropriate policies and procedures for dealing with wrongdoing, misconduct, management issues and corruption, depending on the circumstances of each case.

3.3. HMPPS staff are aware of the expected professional standards of conduct, as outlined in PSI 06/2010 Conduct and Discipline and PI 34/2014 Probation Service Conduct and Discipline policies, and, separately, in the Civil Service Code, and the need to comply with these standards of conduct at all time.

3.4. Staff of contracted service providers and non-directly employed persons are aware of the expectation for them to comply with HMPPS' expected professional standards of conduct and the professional standards of conduct of their employer.

3.5. Everyone understands the risks around corruption and can act to robustly manage that risk within their remit.

3.6. Everyone is aware of the roles and responsibilities of counter corruption staff in HMPPS and understand when and how to access support.

3.7. Intelligence is handled in line with the Intelligence Collection, Management and Dissemination Policy Framework.

3.8. Use of privileged, personal and confidential information for corruption related investigation is requested only when proportionate and is handled in line with current data protection legislation.

3.9. Counter corruption staff are appointed to handle corruption cases and suspicions of corruption are escalated appropriately according to the severity of the case.

3.10. Counter corruption staff at local, regional and national levels can work effectively in partnership with police and other agencies to progress investigations of corruption. The CCU must ensure that a suitable memorandum of understanding with the police is in place which is compliant with the Data Protection Act 2018.

3.11. Everyone is aware of the consequences of engaging in corrupt behaviour, including potential HR and criminal justice outcomes.

4.   Requirements

Counter corruption resources – staffing roles and responsibilities

4.1.   Staff must be appointed locally, whether in prison, probation or prison escort and custody services to lead on counter corruption activity as per paragraphs 4.2 to 4.9 of this Policy Framework. Local resources will be supported at a regional level by one of the CCU's Regional Teams and by the national CCU.

The CCU also has a Long Term and High Security Estate team (LTHSE), which works with all regional teams. See Annex A for a breakdown of the roles and responsibilities of local, regional and national staff resources. See Annex D for glossary.

Prison

4.2.   Governors and Directors must appoint a Local Counter Corruption Manager (LCCM) and a Deputy Local Counter Corruption Manager (D-LCCM) to act as a point of contact and lead for corruption related matters.

4.3.   The LCCM must attain National Security Clearance at Security Clearance Level (SC Level) prior to taking up post, in both prisons and probation.

4.4.   In LTHSE prisons, the Deputy Governor will chair the Case Management Meeting to ensure executive oversight and strategic leadership of corruption. The LCCM role must be at Deputy Governor grade in prisons outside of the LTHSE. In High Security prisons, a dedicated Band 7 will carry out this role. In the Long-Term prisons in the LTHSE, the LCCM will be the Head of Security.

4.5.   Governors must have an intelligence analyst identified and assigned to support local counter corruption work. Where intelligence resources have been moved to a regional model, there remains a need for analytical resource for undertaking local counter corruption work.

4.6.   Governors and Directors must ensure that LCCMs, D-LCCMs and Local Analysts are given sufficient time and resource to carry out this role effectively and must reflect this work within the Performance Management Processes.

Probation

4.7.   In the Probation Service, Regional Probation Directors must appoint a Local Counter Corruption Manager (LCCM). The LCCM must be at Band A or above, (Head of Public Protection/Head of Corporate Services) with experience of staff investigations. Regional Probation Directors must ensure that LCCMs are given sufficient time and resource to carry out this role effectively and must reflect this work within the Performance Management Processes.

4.8.   The LCCM in probation must attain National Security Clearance at Security Clearance Level (SC) prior to taking up post.

Prisoner escort and custody services

4.9.   The Head of Prisoner Escorting and Custody Service (PECS) providers must appoint a PECS Senior Contract Manager to act as a PECS Counter Corruption Manager (PECS-CCM) who will act as a single point of contact for all corruption related matters. Head of PECS must ensure that PECS-CCM are given sufficient time and resource to carry out this role effectively.

Protecting staff from corruption - Staff Capability

All staff

4.10. All staff working within prisons, probation services and headquarters **must** receive a copy of the Counter Corruption Induction leaflet during their induction period or within the first month of them working within a HMPPS setting. The CCU will ensure this document is provided to all sites and teams. In addition to providing this document to new starters, it is recommended this document is discussed collaboratively to facilitate understanding.

Operational Grades – HMPPS directly employed and contracted service providers

4.11. The Head of HMPPS Learning and Development (L&D) must ensure that all staff complete corruption awareness training as part of new officer training. This must cover equality issues and aim to reduce any stereotyping or bias in the reporting or investigation of staff, prisoners and supervised individuals from specific protected characteristic groups in relation to corruption. CCU must ensure that L&D are provided with refreshed and up to date content for the corruption module in the new Officer training on an annual basis.

HMPPS directly employed staff – operational and non-operational grades

4.12. Governors (in prisons) and Heads of Probation Delivery Units (PDUs) (in probation) must provide all staff with continuing professional development and refresher training on counter corruption or corruption prevention throughout their employment. The format and frequency of this should be determined at a local level, informed by any guidance issued by the CCU.

4.13. The CCU must develop a national capability strategy on counter corruption and support local delivery of this strategy.

4.14. The CCU will provide resources locally to deliver an approved Corruption Awareness Package (including refresher) with sufficient information on known corruption risks and threats. This must be completed by all directly employed staff.

4.15. The CCU will provide resources to raise local awareness of those identified as potential and known corruptors.

4.16. LCCMs / D-LCCMs, Regional Corruption Pursue Leads (RCPLs)s and Regional Corruption Pursue Managers (RCPMs) must complete mandatory training, once appointed. This includes relevant training on corruption (e.g. LCCM course), Regulation of Investigatory Powers Act 2000, and intelligence collection, analysis or intelligence management.

4.17. It is recommended that training is completed prior to any involvement in the investigation of corruption cases. Where this is not practical, all mandatory training must be completed within 6 months of taking up the post of LCCM, D-LCCM, RCPL and RCPM unless there are extenuating circumstances to prevent this (e.g. availability of training). The LCCM, D-LCCM, RCPL and RCPM should inform the Governor, Prison Group Director or Probation Divisional Director if they are operating prior to the completion of mandatory training courses. LCCMs and D-LCCMs should have an introductory meeting with their RCPL at the start of taking on the LCCM/D-LCCM role.

Staff of contracted service providers and non-directly employed persons

4.18. In contracted prisons, LCCMs and D-LCCMs must complete mandatory training, once appointed. This includes relevant training on corruption (e.g. LCCM course), Regulation of

Investigatory Powers Act 2000, and intelligence collection, analysis or intelligence management.

4.19. Contracted service providers must have procedures in place to prevent corruption and wrongdoing amongst staff as required by the Bribery Act 2010 and any other contractual requirements. Contracted service providers must ensure that these procedures include training on corruption awareness, detection and prevention as part of a staff induction and ongoing refresher training. It is the responsibility of each contracted service provider to deliver training and refresher training. Support and guidance on how this training should be delivered will be available from the CCU and HMPPS Learning and Development.

4.20. Non-directly employed persons must refer to their employer for corruption related training but may also seek advice from LCCMs on how to detect and report suspicions of corruption and wrongdoing.

4.21. The CCU will provide resources to locally deliver an approved Corruption Awareness Package (including refresher) with sufficient information on known corruption risks and threats. The CCU will provide resources to raise local awareness of those identified as potential and known corruptors for non-directly employed staff and offer the same resource to contracted service providers.

4.22. The CCU and its regional teams must support contracted service providers and non-directly employed persons to build capability at all levels for the detection and prevention of corruption. This includes providing contracted service providers with sufficient information on known corruption risks and threats.

Prevention of corruption

Vetting

4.23. Vetting is the first line of defence against corruption and must be undertaken prior to appointment. Vetting reduces the risk that corrupt individuals who are intentionally targeting prison and probation services, or who may be a risk to the organisation, are able to take up employment and access prisoners and supervised individuals in our care.

4.24. The Approvals and Compliance team (based in MoJ shared services), the Vetting Contact Point and Vetting Outcome Decision Maker for each business unit must ensure that pre-employment vetting processes are completed for all staff, to the correct level, before appointment and that vetting is reviewed as required throughout employment as per PSI 07/2014 and PI 03/2014 - Security Vetting.

4.25. Governors maintain ultimate authority on who may enter their prison and what level of access is authorised. Probation Delivery Unit Heads maintain ultimate authority on who may enter their offices and what level of access is authorised. Head of Public Protection Residential (HMPPS Wales Head of Public Protection and Approved Premises) maintain ultimate authority on who may enter their approved premises and what level of access is authorised. They should satisfy themselves that all relevant security checks have been completed and complete a risk assessment for non-directly employed persons where a specific level of vetting has not been mandated in PSI 07/2014 – Security Vetting. Recruitment of ex-offenders must be subject to Standard Plus Vetting – PSI 27/2014 – Security Vetting – Additional Risk Criteria for Ex-Offenders Working in Prison and Community Settings.

Conflicts of Interest / life factors which may impact on resilience – Declaring private interests and outside activities.

4.26. To minimise potential compromises or opportunities others may seek to exploit, HMPPS staff and non-directly employed persons must declare private interests that interfere, or have the potential to interfere, with the proper discharge of their duties. This is a requirement under this Policy Framework and under **PSI 28/2013 and PI 38/2014 Outside Activities.** Corruption may occur when staff are placed in compromising situations.

4.27. The Anti-Fraud strategy, PSO 1310 manages Conflicts of Interests with regards to monetary/financial interest, this includes documenting gifts and hospitality on a separate register in accordance with PSO 1310.

4.28. As highlighted in the Conduct and Discipline policies, PSI 06/2010 and PI 34/2014 and for the purposes of countering corruption, HMPPS staff and non-directly/retained employed persons must bring any potential or actual conflict of interest or life factor that could impact resilience to the attention of: -

- Prisons– LCCM or D-LCCM
- Probation – LCCM
- Approved Premises – LCCM
- Regional and HQ HMPPS staff – refer Line Manager

4.29. Staff Must report any changes to their circumstances during their employment at the earliest opportunity. This should be done by completing the conflict of interest form. LCCMs should maintain a register of conflicts of interest for their staff and review this at appropriate intervals. The conflict of interest form is located in the CCU handbook and on the CCU intranet web page. This is a standardised document produced by the CCU and should not be altered by prisons or PDUs.

4.30. Completion of a conflict of interest form does not constitute an admission of corruption and will not be viewed as such. It is recognised, as a part of everyday life, staff may inadvertently experience situations or circumstances which may impact upon their ability to be resilient to corruption. This process is designed to capture those situations.

4.31. A non-exhaustive list of examples of conflicts of interests and life factors which may impact upon resilience, and which staff would therefore be required to report, include: -

- business interests (including secondary employment)
- serious financial difficulties
- criminal convictions/police cautions/investigations
- any personal or domestic relationships which could compromise or be perceived to compromise them in the discharge of their duties (e.g. they know or have known an offender outside of work through friends, family or previous employment.
- any other domestic or personal circumstances that could impact on the working environment.

4.32. Governors and Heads of Probation Delivery Units must ensure action is taken in each establishment and region to manage and mitigate any risk arising from a staff member's reported conflict of interest / life factors. Guidance on risk management can be found in the Counter Corruption Handbook.

4.33. Line managers must make sure that any member of staff who discloses a conflict of interest is signposted to relevant and appropriate support mechanisms and should be made aware that

HMPPS staff can speak confidentially to the Employee Assistance Programme (EAP) via PAM Assist (free phone 0800 019 8988, Username: HMPPS, Password: HMPPS1) for counselling, support and guidance 24 hours a day, 365 days a year or visit their website (access via Firefox on the Quantum Network). Further information can also be found on MyServices. Staff of contracted service providers and non-directly employed persons should refer to their employer to identify relevant support services or Staff Support Leads.

4.34. Contracted service providers of prison and probation services must monitor and manage potential conflicts of interest of their staff and take appropriate action to manage and mitigate any risk.

Physical security: Managing the conveyance risk in prisons

4.35. Governors must ensure that arrangements for searching staff and non-directly employed persons are set out in local searching strategies – as prescribed in PSI 07/2016 – Searching of the Person.

4.36. In sites where enhanced gates security measures are in place, please refer to PSI 14/2011 Control of Internal Movement Function – Management and Security of Gates Services, for operational guidance.

4.37. Governors and security managers should consider the frequency, timing, and balance between routine, random and intelligence led searching of staff as part of the local searching strategy.

4.38. All staff must carry out the relevant duties in PSI 07/2016 – Searching of the Person, and PSI 09/2016 – Cell, Area and Vehicle Searching to prevent illegal items entering a prison and to detect those that have already entered the estate. Failure to complete these checks when instructed, or failure to complete them to the required standard, can constitute corrupt behaviour where there is related information or intelligence to suggest this failure is deliberate. This behaviour may be dealt with through this policy or the PSI 06/2010 – PI 34/2014 – Conduct and Discipline.

Professional standards: HMPPS directly employed staff

4.39. HMPPS staff are subject to the requirements of the Prison Act 1952, the Prison Rules 1999, Young Offender Institution Rules 2000 (YOI staff), Secure Training Centre Rules 1998 (STC staff), the Civil Service Code and HMPPS' Statement of Professional Standards as well as their employment contracts and associated policies.

4.40. The Civil Service Code sets the standards of behaviour that all civil servants are expected to follow in the discharge of their duties. The Code requires that civil servants carry out their duties with integrity, honesty, objectivity and impartiality.

4.41. PSI 06/2010 and PI 34/2014 – Conduct & Discipline policies outline HMPPS' Professional Standards and identify the high standards of professional and personal conduct that staff are expected to meet. Engaging in corrupt behaviour is in direct contravention to both the Civil Service Code and HMPPS' Professional Standards.

4.42. Failure to adhere to the Civil Service Code and HMPPS' Statement of Professional Standards may result in disciplinary proceedings and should be handled in line with PSI 06/2010 / AI 05/2010 / PI 34/2014 – Conduct & Discipline policies. In the most serious cases, a referral may be made to the police for a criminal investigation as per the Crime in Prison Referral Agreement between HMPPS, the National Police Chiefs' Council and the Crown Prosecution Service.

4.43. If evidence or suspicion of conduct that falls within the definition of corruption (see Section 2), is identified as part of disciplinary proceedings, this must be referred to the CCU and handled in line with this Policy Framework.

Professional standards: staff of contracted service providers and non-directly employed persons

4.44. HMPPS expects that staff of contracted service providers and non-directly employed persons meet the standards of behaviour expected of its directly employed staff. It is the responsibility of providers of contracted services to ensure that appropriate professional standards are established for its employees and that these are underpinned by robust HR processes to address any failures to meet these professional standards.

4.45. If evidence or suspicion of conduct that falls within the definition of corruption (see Section 2), is identified as part of the disciplinary proceedings of contracted service providers, this must be referred to the CCU and handled in line with this Policy Framework.

Supporting staff

4.46. Staff may be particularly susceptible to corruption due to a range of factors including personal circumstances, intimidation and threats from corruptors. HMPPS has a range of support available to staff in prisons. Governors must ensure prisons have a Care Team, as outlined in PSI 02/2018 - Post Incident Care. These teams can provide practical and emotional support to staff, and signpost to relevant support services following a serious incident.

4.47. HMPPS can offer clinical support via line manager referral, using PAM Assist Employee Support Services. More information can be found via the intranet: https://intranet.noms.gsi.gov.uk/policies-and-subjects/hr/helping-you-at-work/employee-support.

4.48. Through the Tackling Unacceptable Behaviours Unit (TUBU), HMPPS offers support to staff who are experiencing unacceptable behaviours in their workplace, such as bullying, harassment, discrimination or victimisation. More details on TUBU can be found via the intranet https://intranet.noms.gsi.gov.uk/support/tackling-unacceptable-behaviours-unit, or by contacting their confidential hotline number on 0300 131 0052.

4.49. HMPPS can offer practical support using diversion, should any member of if its staff be less resilient to a corruption threat. These include, but are not limited to, moving the prisoner or supervised individual to another prison, changing the staff members duties, or carrying out a public interest transfer if there is a significant threat to the safety of the member of staff and / or their family. Further information can be found in PI 24/2015 / PSI 25/2010 – Permanent Transfers. For probation service, these could include adjusting caseloads, moving officers or offices.

4.50. Staff of contracted service providers and non-directly employed persons should refer to their employer for details about the range of support services available to them.

Pursuing suspicions of corruption

4.51. This Policy Framework sets out a process for investigating and pursuing outcomes following suspicions of corruption. A flowchart of the pursue process can be found at Annex B.

Reporting suspicions of wrongdoing and corruption – HMPPS and non-directly employed persons

4.52. All HMPPS staff and non-directly employed persons must report suspicions of wrongdoing and corruption at the earliest opportunity through the appropriate channels. Failure to report corruption or serious wrongdoing may itself be a disciplinary matter (for HMPPS staff) and, in some circumstances, may constitute a criminal offence. It is important for staff to report wrongdoing before it potentially escalates into corruption.

4.53. The CCU and LCCMs must make sure that all staff (including staff of contracted service providers and non-directly employed persons) have access to, and are aware of, the available reporting methods so that suspicions of wrongdoing and corruption can be captured in a timely manner.

4.54. Reporting methods are outlined at Annex C, and include intelligence systems, the independently-administered Integrity Hotline and relevant local counter corruption staff (i.e. LCCM, D-LCCM, or PECS-CCM) or the CCU. In HMPPS and contracted prisons, the primary method of reporting is through intelligence system's corruption reporting function. In HMPPS HQ, the primary method is through the Integrity Hotline and Online Reporting Anonymous Form. If the allegation relates to a senior manager in prisons, probations or headquarters, it should be reported to the National Counter Corruption Team.

4.55. To enable a meaningful investigation of a report, HMPPS strongly encourages staff to use reporting channels which capture the identity of the reporter (e.g. intelligence systems, staff email). Staff are also strongly encouraged to disclose their identity when reporting through other channels (e.g. Integrity Hotline).

4.56. All staff engaged in counter corruption work must ensure that handling of counter corruption intelligence reports adheres to the Intelligence Collection, Analysis and Dissemination Policy Framework. All HMPPS staff and non-directly employed persons have a duty to ensure that reporting channels are not used maliciously or as a vehicle for bullying and harassment. Any suspicions of bullying and harassment, false or malicious reporting will be dealt with through line management chains under the PSI 06/2010 Conduct and Discipline and PI 34/2014 Probation Service Conduct and Discipline policies for HMPPS staff.

4.57. The identity of a member of staff who reports corruption will only be accessible to counter corruption staff, unless it is necessary for the staff member to provide evidence to support disciplinary proceedings (for HMPPS staff) and/or a criminal investigation. In these circumstances, wherever possible, the identity of the staff will be protected. Where this is not possible, the LCCM must discuss the situation with the reporting member of staff and put arrangements in place to manage the disclosure. LCCMs must conduct a risk assessment before any disclosure takes place and ensure any necessary support mechanisms are in place.

4.58. All HMPPS line managers and senior leaders must ensure that members of staff who report concerns receive adequate protection from any form of discrimination or victimisation resulting in an allegation. Any suspicions of bullying and harassment should be dealt with by line management through PSI 06/2010 Conduct and Discipline and PI 34/2014 Probation Service Conduct and Discipline policies.

4.59. HMPPS recognises that staff may wish to maintain anonymity when reporting. In these situations, staff must report via the Integrity Hotline number or the Integrity Hotline Crimestoppers Reporting Form (https://forms.theiline.co.uk/hmpps) and withhold their identity.

4.60.   Any member of staff (HMPPS and non-directly employed persons) who suspect wrongdoing or corruption which involves fraud and / or theft must report the fraud and / or theft allegation to the HMPPS Counter Fraud Mailbox via HMPPScounterfraud@justice.gov.uk. HMPPS utilises fraud investigation provision in Government Internal Audit Agency. The HMPPS Counter Fraud Lead, is responsible for:

- Delivering against a Counter Fraud Strategy;
- Ensuring an effective Counter Fraud Policy and Response Plan;
- Promoting a culture of awareness around anti-Fraud, Bribery and Corruption;
- Ensuring compliance with Government Counter Fraud Functional Standards;
- Promoting use of Fraud Risk Assessments;
- Supporting CFG representatives at operational and business unit level
- Carrying out investigations into allegations of fraud;
- Providing advice and guidance to management on how to deal with suspected fraud;
- Using investigation and analysis tools to interrogate corporate data to identify indicators of possible fraud;
- Reporting to Boards and Audit Committees across the Ministry; and
- Reporting through Internal Audit to the Cabinet Office (Fraud, Error, Debt and Grants Team).

Reporting suspicions of wrongdoing and corruption –prisoners, supervised individuals and visitors

4.61.   LCCMs must ensure prisoners, supervised individuals and visitors have access to and are aware of a range of reporting methods so that suspicions of wrongdoing and corruption can be captured in a timely manner.

4.62.   The primary reporting method is through the Integrity Hotline. Alternative reporting routes are outlined at Annex C, and include reporting to the relevant local counter corruption staff (i.e. LCCM, D-LCCM, or PECS-CCM) or the CCU confidential mailbox.

4.63.   Any member of staff (HMPPS and non-directly employed persons) to whom a prisoner, supervised individual, visitor or member of the community discloses concerns of corruption and wrongdoing must report these concerns at the earliest available opportunity as per the routes outlined above.

4.64.   All staff engaged in counter corruption work must ensure that handling of counter corruption intelligence reports adheres to the Intelligence Collection, Analysis and Dissemination Policy Framework.

4.65.   To support the fullest investigation of a report, HMPPS strongly encourages prisoners, supervised individuals and visitors to disclose their identity when reporting. The individual's identity will only be accessible by counter corruption staff unless it is necessary for the individual to provide evidence to support disciplinary proceedings (for HMPPS staff) and / or a criminal investigation. In these circumstances, wherever possible, the identity of the witness will be protected. Where this is not possible the LCCM must discuss the situation with the individual and put arrangements in place to manage the disclosure.

Reporting suspicions of corruption - contracted service providers

4.66.   Contracted service providers must establish their own internal corruption reporting structures. Contracted service providers must ensure that relevant corruption related information and intelligence is shared regionally with HMPPS in line with existing guidance – see Counter

Corruption Handbook. Where there is no access to Mercury, information and intelligence must be shared through secure communication methods e.g. secure email.

4.67. Contracted service providers must ensure that supervised individuals, visitors and staff have access to and are aware of a range of reporting methods so that suspicions of wrongdoing and corruption can be captured in a timely manner. Staff of contracted service providers should refer to their employer's resources for information on how to report suspicions of corruption. Additionally, they can report concerns through any of the mechanisms outlined in Annex C that are accessible to them.

4.68. Contracted prisons must ensure that corruption related intelligence is handled in line with the Intelligence Collection, Management and Dissemination Policy Framework. Use of privileged, personal and confidential information for corruption related investigation is requested only when proportionate and handled in line with current data protection legislation.

4.69. Other contracted service providers (e.g. escort service providers) must make sure that the processing, storage and destruction of corruption related intelligence is compliant with all current data protection legislation. Use of privileged, personal and confidential information for corruption related investigation is requested only when proportionate and handled in line with current data protection legislation.

Reporting suspicions of corruption - safeguarding responsibilities

4.70. In some circumstances, corruption and wrongdoing can raise safeguarding issues. All HMPPS staff, staff of contracted providers and non-directly employed persons working or volunteering with children and young people (under the age of 18), must be clear of their safeguarding responsibilities.

4.71. All HMPPS staff, staff of contracted service providers and non-directly employed persons must report suspicions of wrongdoing and corruption at the earliest opportunity through the appropriate channels. If the suspected wrongdoing or corruption involves any actual or potential harm to a young person, this must also be reported using child protection procedures as outlined in PSI 08/2012 - Care and Management of Young People for HMPPS staff or through the policies and procedures of other employers for staff of contracted service providers and non-directly employed persons. Under 18 sites will also have their own "whistleblowing policy" as required by the Working Together Guidance (July 2018).

4.72. All HMPPS staff, staff of contracted providers and non-directly employed persons working or volunteering must be clear of their safeguarding responsibilities for adults and follow the appropriate reporting procedures as outlined in PSI 16/2015 – Adult Safeguarding in Prison. This is particularly important where a supervised individual may have mental health, physical health or social care issues which may make them particularly vulnerable.

4.73. All HMPPS staff, staff of contracted providers and non-directly employed persons working or volunteering in the female estate should be familiar with the Women's Policy Framework which outlines the actions to be taken to ensure that women are managed effectively whilst in custody. The supporting Guidance 'Working with women in custody and the community' provides more detailed advice and guidance for staff to identify and address the needs of those women who may be particularly at risk of abuse or neglect. This includes pregnant women, women who have experienced domestic violence and women who have been involved in sex work.

The handling and processing of corruption intelligence reports

4.74. All staff with access to corruption related intelligence must ensure it is handled, stored and considered for destruction in line with the Intelligence Collection, Management and Dissemination Policy Framework. Use of privileged, personal and confidential information for corruption investigations must be used in compliance with current data protection legislation. Access to intelligence and information will be restricted only to those individuals who require it in order to investigate and combat the threat posed by corruption.

4.75. The LCCM and the CCU must ensure that reports received through channels other than intelligence systems are appropriately entered onto the intelligence systems server.

4.76. The Regional Corruption Administration Specialist (RCAS) and the local analyst (under the authority of the LCCM) must ensure intelligence reports relating to corruption are triaged within 72 hours. If the intelligence relates to a major and / or imminent risk (e.g. potential abscond, escape or threat to life) this should be immediately escalated, through the appropriate channels. In order to ensure the 72-hour timescale is met during the weekends, RCPMs will provide 7-day cover.

4.77. When triaging intelligence reports relating to corruption, the Regional Corruption Admin Specialist (RCAS) and the local analyst (with support of the LCCM), must consider whether the report relates to potential corruption, professional standards (not including potential corruption) or requires no further action. Information and intelligence that concerns professional standards matters (not including potential corruption) must be referred to the appropriate point in the line management chain to be handled under the PSI 06/2010 – PI 34/2014 – Conduct and Discipline policies.

4.78. For intelligence that relates to potential corruption, RCAS and the local analyst, with support of the LCCM must ensure that corruption reports on Mercury are processed in compliance with the Intelligence Operations Manual.

4.79. The RCAS and the local analyst (under the authority of the LCCM and the CCU) must sanitise and disseminate intelligence in line with the MoU with police. This must be done in accordance with the Intelligence Collection, Management and Dissemination Policy Framework. The CCU will be responsible for sharing regional and national level intelligence via the RCASs and National Counter Corruption Analyst (NCCA).

4.80. The Prison Intelligence Officer (PIO) and / or the Regional Prison Intelligence Unit (RPIU) are the police points of contact for the receipt of sanitised corruption related intelligence with appropriate handling codes as per the Intelligence Collection, Management and Dissemination Policy Framework. Prisons and probation may also request relevant information from the RPIU, as per the MoU with the Police.

Collection and storage of evidence

4.81. Evidence is any item or document, relevant to an investigation, which proves or disproves an alleged activity. It necessarily follows that any article seized, or any document relevant to, a counter corruption case, is likely to become evidence.

4.82. As stated in the Evidence Policy Framework, evidence in relation to corruption must be stored separately from general evidence and given to the Local Counter Corruption Manager (LCCM). This is to be supported with the submission of a Corruption Prevention Intelligence Report (CPIR).

4.83.   Evidence must be handled in a way that provides provenance, continuity, and security. Any person handling evidence should make a written record of their actions and ensure the item or document is kept in a locked cabinet within a secure area. The movement of evidence in and out of the cabinet should be recorded on a separate document, referred to as an evidence log.

Case management

4.84.   For those cases identified during the triage process as potential corruption, the LCCM and D-LCCM should consider the intelligence and make an assessment as to the banding of the case, based on the likelihood of the corruption risk materialising and the actual or potential impact should the risk materialise (as outlined in the Counter Corruption Handbook). The banding of a case denotes the level of priority (and therefore resourcing) associated with a case. The LCCM should make this assessment in consultation with relevant partners, in most cases, at a case management meeting. **The rationale for banding a case must be recorded in the Case Management Minutes.**

4.85.   The LCCM must hold monthly (or as frequently as required) case management meetings to support the management of their corruption cases. Case management meetings should include all local counter corruption staff, the PIO (in prisons) or other police representatives (in probation services). Case management meetings should only include individuals who are required to investigate and combat the threat posed by corruption.

4.86.   Regional CCU Pursue and Prevent teams will be represented at local case management meetings. This will always include RCAS and the Regional Corruption Pursue and Prevent Managers and may include the Regional Corruption Pursue and Prevent Leads. This is to ensure end to end management of cases, provide an opportunity to LCCMs to deploy Prevent intervention during any part of the management of a case, and allow appropriate de-confliction where appropriate.

4.87.   The case management meetings must consider the local corruption caseload and threats. For each case, it should consider the intelligence, the banding of the case, the potential outcome, and the desired support from regional teams and law enforcement. The LCCM must ensure that any decision to share information and/or intelligence does not compromise an ongoing investigation. Where intelligence is shared on the authority of the LCCM or CCU, this must adhere to the Intelligence, Collection, Management and Dissemination Policy Framework. In consideration of case bandings and the resources available, the LCCM may request and task further analytical development, tactical activity, and support from the CCU and law enforcement agencies. All decisions and actions should be minuted by the RCAS. Tasking should not take place outside of this meeting, except in a case of High-Risk requiring immediate attention.

4.88.   The case management meeting does not prevent counter corruption staff progressing corruption cases outside of the meeting, providing that key partners are appropriately informed, and action is agreed.

4.89.   The LCCM must regularly apprise Governors and Regional Probation Directors (RPDs) on the number of open cases, their respective bandings, the progression of such cases and their outcomes. This is for the management and deployment of resource only and should only include details about individuals in these cases where it is appropriate and necessary. This is in order to maintain regular impartial oversight (De Novo status).

4.90.   It is recognised that a staff member being arrested, suspended or excluded on the basis of corruption related allegations can leave that staff member feeling isolated, confused and vulnerable. To ensure staff are appropriately supported, and that the risk around this is

managed proactively, a risk assessment should be completed by the LCCM, at the point of suspension/exclusion. LCCMs should approach their RCPL for guidance and a template to assist in this assessment. This risk assessment ensures staff are signposted to appropriate support services and that their wellbeing continues to be assessed at key stages of the investigation through to case conclusion. This is intended to complement existing processes outlined in the Conduct & Discipline Policy.

Disciplinary and criminal justice outcomes: proven cases of corruption

4.91. Where a criminal offence has occurred, HMPPS will endeavour to seek a proportionate disciplinary and / or criminal justice outcome for any corrupt member of staff, where it is within their power to do.

4.92. LCCMs, and the CCU must formally resolve investigations into a member of staff where there are allegations of corruption, **even when an individual resigns while under investigation.**

4.93. All staff must support the police and Crown Prosecution Service (CPS) in any criminal investigations and prosecutions that may arise following allegations of corruption. This includes providing witness statements and giving evidence in court. Managers must facilitate staff to give this support.

4.94. At any stage during the pursue process, a criminal investigation will take primacy over other proceedings (e.g. internal disciplinary proceedings). The Police Senior Investigating Officer (SIO) will, in consultation with HMPPS, take decisions on priority of the criminal investigation over other outcomes (e.g. HR outcomes). HMPPS should consult the SIO on any decisions which may affect the criminal investigation.

4.95. Governors and RPDs should follow PSI 42/2014 – PI 60/2014 – Exclusion of Personnel on Grounds of Misconduct where any member of staff's behaviour or action has undermined the relationship of trust with the organisation or poses a threat to the good order and security of the organisation.

4.96. HMPPS cannot dismiss staff of contracted service providers and non-directly employed persons but Governors and Regional Probation Directors can exclude them from both prisons and probation services under PSI 42/2014 – PI 60/2014 – Exclusion of Personnel on Grounds of Misconduct.

Adjudication and criminal justice outcomes for corruptors

4.97. Where there is sufficient evidence to do so, LCCMs must always seek an adjudication or criminal justice outcome for anyone who either attempts to, or is successful in, corrupting staff. Guidance can be obtained from the CCU on what behaviours could be considered for an adjudication, or police referral, in relation to attempts to corrupt staff, or via Annex A of Crime in Prison Referral Agreement between HMPPS and NPCC.

4.98. If relevant, prisoners in prison who seek to corrupt members of staff may be charged using one of the following rules: Prison Rule 51(19)/YOI Rule 55(21) is disrespectful to any officer, or any person (other than a prisoner/an inmate) who is at the prison/young offender institution for the purpose of working there, or any person visiting a prison/young offender institution; Prison Rule 51(20)/YOI Rule 55(22) uses threatening, abusive or insulting words or behaviour; or Prison rule 51(23)/YOI Rule 55(26) disobeys or fails to comply with any rule or regulation applying to him.

4.99. If relevant, supervised individuals in prison and in the community, may also be charged under offences in the Bribery Act 2010.

4.100. LCCMs must inform the regional CCU team when they have secured an adjudication or criminal justice outcome in relation to a supervised individual corrupting staff.

4.101. Regional CCU teams must set an alert on P-Nomis and / or nDelius once it has been proven that a supervised individual has corrupted a member of staff (that is where there is an adjudication or criminal justice outcome relating to the corruption of a member of staff).

4.102. LCCMs and PECS-CCMs must ensure that all relevant staff are briefed on known corruptors in their care (i.e. where a flag has been set on P-Nomis and / or nDelius when there has been an adjudication or criminal justice outcome relating to the corruption of a member of staff). Briefings on corruptors should include only information that is deemed relevant as per PSI/PI 03/2018 – The DPA 2018 and GDPR, The FOI Act 2000, EIR 2004.

4.103. LCCMs and PECS-CCMs and contracted services must ensure that all relevant systems and paperwork (e.g. Observation Book, T Card, Prisoner File, Security Risk Assessment, nDelius flag) are kept up to date and reflect the risk posed by known corruptors, sharing only information that is deemed relevant as per PSI/PI 03/2018- The DPA 2018 and GDPR, The FOI Act 2000, EIR 2004. This is particularly important in instances where a prisoner or supervised individual is being transferred to a new prison, released into the community, escorted to a court hearing, or in employment where they may be in close contact with lone workers, so that any risk can be appropriately managed.

4.104. Where a corruptor or potential corruptor flag has been added to a prisoner or supervised individual's P-Nomis or nDelius records, this must be included on prisoner escort records, as is standard for other P-Nomis alerts.

Preparing a response to corruption – HMPPS and contracted service providers

Media and press coverage

4.105. Corruption cases can generate media interest. HMPPS and non-directly employed persons who are contacted by the press or media must refer them directly to the Governor, Duty Governor, Probation Delivery Unit Head, Media Liaison Officer or the Ministry of Justice Press Office. Staff of contracted service providers should refer to their internal press / media teams.

4.106. Governors, Duty Governors, PDU Heads and Media Liaison Officers must ensure that the Counter Corruption Unit (to the Policy and Briefing Manager, via *ccu-performancestrategy@justice.gov.uk*) and the Ministry of Justice Press Office are alerted to and engaged before responding to any press contact. This is to ensure consistency in messages to the public relating to corruption.

4.107. Staff must not make unauthorised statements to the press or media on a prison or probation matter, including in relation to corruption. Unauthorised comments made by HMPPS staff to the press or media may be considered a disciplinary offence.

5. <u>Constraints</u>

5.1. The investigation of intelligence relating to suspected cases of corruption must only be undertaken by local corruption analysts, LCCMs, D-LCCMs, the CCU its regional teams, including Regional Counter Corruption Analysts and the Police.

5.2.   Investigations into corruption and wrongdoing are sensitive. Staff must not act in a way that may jeopardise an investigation. Staff should only discuss suspicions of corruption and wrongdoing insofar as making a report in line with this policy. HR, LCCMs, D-LCCMs, the CCU and its regional teams, the police or an appointed Investigating Officer, may ask a member of staff to provide clarifications or further details as part of case development, a disciplinary investigation or a criminal investigation.

5.3.   Discussion of suspicions of corruption or wrongdoing with anyone other than those outlined at para. 5.2. could be considered as bullying and harassment and action may be taken under PSI 06/2010 Conduct and Discipline and PI 34/2014 Probation Service Conduct and Discipline policies or through relevant HR policies and procedures of contracted service providers.

6.   Guidance

6.1.   For staff with counter corruption responsibilities, this Policy Framework is supported by the Counter Corruption Handbook, which is reviewed annually, and available via the intranet. Staff may also refer to the MoU with the Police.

Local

	Role	Grade	Duties
HMPPS & Contracted	Local Counter Corruption Manager (LCCM) For Prisons	Deputy Governor / Deputy Director grade In High Security prisons, within the LTHSE a dedicated Band 7 CT/CC Manager will carry out this role. In Long-Term prisons within LTHSE, the LCCM will be Head of Security.	LCCM has responsibility for compliance and delivery of this Policy Framework Core duties expected to include: • Providing leadership to counter corruption at a local level. • Ensuring staff are appointed to Local Counter Corruption roles, as per this policy framework. • Raising awareness of corruption issues and ensuring staff have access to appropriate reporting mechanisms. • Chairing local corruption Case Management Meetings (CMM). • Agreeing key objectives (Prevent and Pursue) for banded corruption cases.
	Local Counter Corruption Manager (LCCM) For Probation	Head of Public Protection/Head of Operations/Head of Public Protection Residential For HMPPS Wales Head of Public Protection and Approved Premises	LCCM has responsibility for compliance and delivery of this Policy Framework Core duties expected to include: • Providing leadership to counter corruption at a local level. • Raising awareness of corruption issues and ensuring staff have access to appropriate reporting mechanisms. • Chairing local corruption Case Management Meetings (CMM). • Agreeing key objectives (Prevent and Pursue) for banded corruption cases.

Local

	Role	Grade	Duties
	Deputy Counter Corruption Manager (D-LCCM) For Prison	Band 7 or above (typically the Head of Security) In High Security Prisons a dedicated Band 7 will carry out this role.	Core duties expected to include: • Ownership of the day to day management of all corruption cases within the prison. • Ownership of the receipt and handling of counter corruption intelligence, supporting the Regional Counter Corruption Administration Specialist to receive, evaluate and disseminate corruption related information and intelligence in line with the Intelligence Collection, Management and Dissemination Policy Framework. • Deciding the initial banding of corruption cases. • Overseeing plans for the progression of cases and the tasking of further intelligence development and tactical activity, with support from CCU, the Regional Counter Corruption Analyst and law enforcement. • Ensuring decisions and actions from CMM are progressed.
	Local Analyst	Band 4	Core duties expected to include: • Assess and analyse counter corruption intelligence in line with the Intelligence Collection, Management and Dissemination Policy Framework. • Develop intelligence in support of corruption investigations. • Create analytical products in support of counter corruption investigations e.g. Subject Profiles, Problem Profiles. • Support the Regional Counter Corruption Administration Specialist to conduct initial triage of corruption related intelligence under supervision of the D-LCCM • Assist the LCCM and D-LCCM to perform their role e.g. providing intelligence input as requested via case management meetings.
	PIO	Police Officer	Core duties expected to include: • Provide an intelligence sharing conduit between prison, police forces and police Regional Prison Intelligence Units (RPIUs) • Enrich intelligence packages in support of corruption investigations • Identify and secure police investigative resource by engagement with police tasking and coordination processes.

Local

	Role	Grade	Duties
PECS Providers	PECS - Counter Corruption Manager	Security Manager	Core duties to be defined as per PECS provider's procedures but expected to include: • Raising awareness of corruption issues – avoiding corruption and how to report it • Receipt and confidential handling of corruption intelligence • Providing subject matter advice and support to counter corruption leads within contract service providers (SERCO and GEOAmey). • Engaging with Regional Pursue Leads to advice of ongoing corruption cases, as well as any suspensions, exclusions, dismissals or arrests of court custody or prison escort staff.

Regional

Per SOCT region

Role	Grade	Duties
Regional Corruption Pursue Lead (RCPL) LTHSE Hybrid Regional Corruption Prevent/Pursue Lead	Band 8	Core duties expected to include: • Leading the Regional CCU Pursue Team • Oversee and provide support to all establishments in the implementation of the pursue aspects of the corruption policy framework • Ensure that all banded cases are managed effectively and efficiently by the regional pursue team, prioritising resource to best effect in line with the new delivery model • Provide subject matter expertise in corruption investigations and share good practice from across the region to ensure a consistent approach to investigations is applied. • Charing regional case management meetings • Attend case management meetings as and when required in support of the most complex or high-risk cases. • Help to secure police support for counter corruption operations. • Set the direction for the Regional Counter Corruption Analysts, engaging with RIUs to ensure this resource is tasked in line with CCU priorities. • Providing out of hours cover for the triage (and escalation) of counter corruption intelligence.

Regional

Per SOCT region

Role	Grade	Duties
Deputy Counter Corruption Manager (D-LCCM) For Probation	RPLs	Core duties expected to include: • Ownership of the day to day management of all corruption cases within the probation. • Ownership of the receipt and handling of counter corruption intelligence, supporting the Regional Counter Corruption Administration Specialist to receive, evaluate and disseminate corruption related information and intelligence in line with the Intelligence Collection, Management and Dissemination Policy Framework. • Deciding the initial banding of corruption cases. • Overseeing plans for the progression of cases and the tasking of further intelligence development and tactical activity, with support from CCU, the Regional Counter Corruption Analyst and law enforcement. • Ensuring decisions and actions from CMM are progressed.
Regional Corruption Pursue Manager (RCPM)	Band 5	Core duties expected to include: • Providing expert advice and guidance to local teams to progress corruption cases and supporting the coordination of resources (e.g. searching) for some operational activities • Attending case management meetings to provide subject matter advice, • Attending regional tasking meetings, if required • Support research to inform evidence base on corruption, including interviewing former staff who have been convicted of corruption related offences – sharing best practice with local teams • Maintaining accurate and up to date case records in line with CCU's case management system and regularly developing reports based on case management data. • Providing out of hours cover for the triage (and escalation) of counter corruption intelligence. • Ensure cases are appropriately prioritised for regional analytical support • Line Manage CC admin specialists and Regional Pursue Officer.

Regional

Per SOCT region

Role	Grade	Duties
Regional Corruption Pursue/Prevent Manager (RCPM) LTHSE only	Band 5	Core duties expected to include: • As per Regional Pursue Manager, but additionally: • Deliver local awareness training • Support staff who may be vulnerable to corruption via the onside scheme or similar • Have oversight of "known corruptors" and "suspected corruptors" to assist establishments to mitigate/prevent risk and further corruption.
Regional Corruption Pursue Officer (RCPO)	Band 3	Core duties expected to include: • Supporting the RCPL and RCPM to provide a service to prisons and probation • Management of Regional CCU Mailbox • Providing administrative support to the Regional CCU Pursue Team • Setting up meetings, taking minutes, following up actions and sharing appropriate contacts.

Regional

Per SOCT region

Role	Grade	Duties
Regional Counter Corruption Administration Specialist (LOCALLY DEPLOYED)	B4	Core duties expected to include: • Schedule Local Case Management Meetings (CMM) and invite attendees • Attend CMM and update case management notes • Monitor progress against actions • Advise HMPPS Approvals & Compliance Team (vetting) of all corruption-related suspensions, dismissals and exclusions. • Update the Pursue Manager on case developments • Update Linkspace case management records • Triage submitted corruption intelligence, performing the Collator role for CC intel including: ○ identifying high risk intel for immediate action - ensuring CC intelligence is processed within the timeframes set out in the Counter Corruption Policy Framework ○ sanitising, evaluating and categorising intelligence ○ Creating Subject Profiles on Mercury and ensuring intelligence is linked to these appropriately ○ Identifying where CC intelligence has been erroneously entered on to the main server and take responsibility for moving this across to the CC server. ○ Highlight intel relevant for sharing with law enforcement, for consideration by LCCM / RCCM • Interrogate systems to research and develop CC intel in collaboration with the Regional CC analyst and/or researcher • Supporting the conflict of interest process, recording actions and follow up meetings. • To support Prevent Managers in conducting Resilience and Support meetings when needed.

Regional

Per SOCT region

Role	Grade	Duties
Regional Counter Corruption Analyst (RCCA) (who sits as part of the Regional Intelligence Unit)	Band 5	Core duties expected to include: • Research and analytical support to corruption operations, to inform decision making and deployment of appropriate tactics • Provide additional analytical support and expert advice to local teams on complex cases • Support for analysts at establishment level in the management and analysis of corruption intelligence reports including providing quality assurance of analytical products. • Analysis of corruption threat on a regional basis to support regional and national tasking. • Conduct analysis work to support management of known or suspected corruptors • Provision of sanitised corruption intelligence to the RIU, in support of regional priority nominals and networks, as agreed through the HMPPS Tasking Framework.
Regional Corruption Researcher (who sits as part of the Regional Intelligence Unit)	Band 3	Core duties expected to include: • Supporting the RCCA to perform their duties • Prepare, collect and evaluate information for intelligence analysts • Contribute to the development of analytical products.
Regional Senior Analyst (Line Manager of RCCA)		Core duties expected to include: • Review the Terms of Reference for analytical products and make decisions on the allocation of the CC analytical resource whilst engaging with the Regional Counter Corruption Lead. • Advise and guide the analyst as to how to move the intelligence collection plan forward and what further tactics to consider. • Responsible for the quality assessment of all intelligence products. • Attend Counter Corruption Regional Case Management Meetings.

Regional

Per SOCT region

Role	Grade	Duties
Police Investigators 2 per Police ROCU (they will cover all prisons in that region Inc. LTHSE)	Detective Constable	Core duties expected to include • Conduct Investigations into referred HMPPS corruption cases through the agreed tasking protocol as required. • Liaise and work with ROCU Regional Prison Intelligence Units, HMPPS Regional Counter Corruption Unit, Prison Intelligence Officers, other investigators, specialists and managers in relation corruption investigations. • Support the Regional Counter Corruption Unit and Prison Intelligence Officer as a specific point of contact into local policing for matters relating to corruption investigations.

Regional

1 x SOCT region (LTHSE will also have 1 x Hybrid RCPL)

Role	Grade	Duties
Regional Corruption Prevent Lead (CCRPL) LTHSE Hybrid Regional Corruption Prevent/Pursue Lead	Band 8	Core duties expected to include: • Leading the Regional CCU Prevent Team • Oversee and provide support to all establishments in the implementation of the prevent aspects of the corruption policy framework • Ensure that all cases referred for Prevent intervention are managed effectively and efficiently by the regional prevent team, prioritising resource to best effect • Assist local teams in handling and development of corruption-related cases (involvement depending on case banding) by offering expert advice • Support research to inform evidence base on corruption, including interviewing former staff who have been convicted of corruption related offences – sharing best practice with local teams • Monitor monthly returns from local teams and manage the data provided • Attend local case management meetings and regional tasking meetings as and when required in support of the most complex or high-risk cases • Having strategic oversight of known Corruptors.

Regional

1 x SOCT region (LTHSE will also have 1 x Hybrid RCPL)

Role	Grade	Duties
Regional Corruption Prevent Manager (CCRPM)	Band 5	Core duties expected to include: • Providing expert advice and guidance to local teams to support staff and managers in the prevention of corruption • Supporting the coordination of resources and delivery of prevent products (e.g. interventions, training and briefing) for preventative activities • Attending case management meetings, and regional tasking meetings, if required • Support research to inform evidence base on corruption, including interviewing former staff who have been convicted of corruption related offences – sharing best practice with local teams • Maintaining accurate and up to date case records in line with CCU's case management system and regularly developing reports based on case management data • Managing known corruptors.

Regional

1 x SOCT region (LTHSE will also have 1 x Hybrid RCPL)

Role	Grade	Duties
Regional Corruption Prevent Officer (CCRPO)	Band 3	Core duties expected to include: • Supporting the CCRPL and CCRPM to provide a service to prisons and probation to prevent corruption cases by identifying, signposting and co-ordinating other support services • Co-ordinating CCU attendance / cover and regional and local tasking • Facilitate effective working with stakeholders/partners (e.g. Law enforcement, Prisons, Probation and ROCUs) – setting up meetings, taking minutes, following up actions, sharing appropriate contacts • Identify blockages to progress in cases, acting and escalating to the CCRPM and CCRPL as appropriate.

National – Counter Corruption Unit
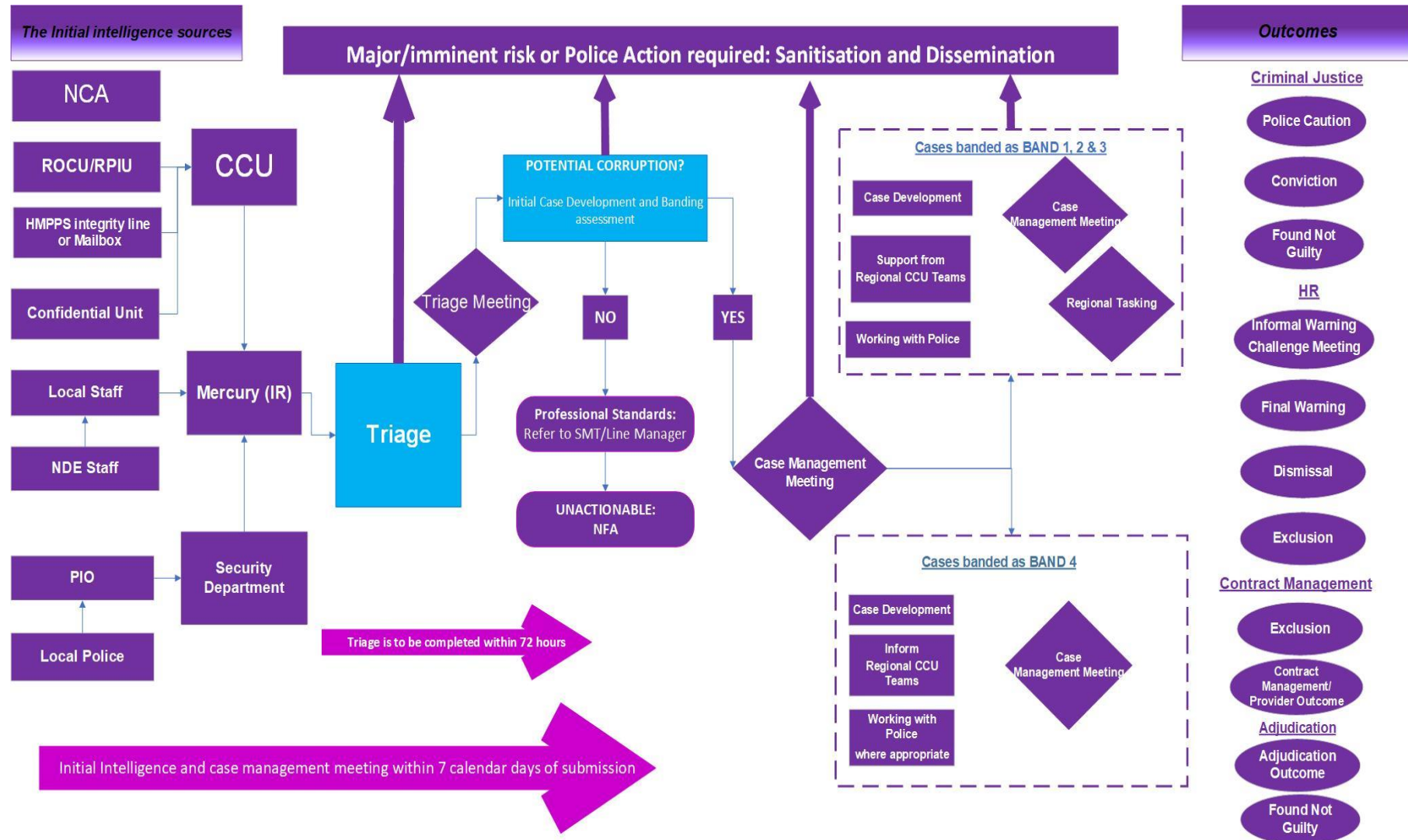
National Corruption Pursue Lead	Band 8	Core duties expected to include: • Manage all cases that prevent a case being handled at a local or regional level. • Manage all cases where subjects are HQ staff, Senior managers, or staff of training colleges • From within the Sensitive Intelligence Unit (SIU) have oversight of all corruption-related sensitive intelligence and develop/signpost as necessary • Liaise with LEAs and Government Agencies including NCA, ACUs, SIUs, HMRC, UKBA on the development of operations where there is crossover with staff corruption in HMPPS • Assist regional teams with complex cases where additional support for progression is identified • Manage the National Corruption Pursue Managers.
National Corruption Pursue Manager	Band 5	Core duties expected to include: • Providing expert advice and guidance to local teams to progress corruption cases and supporting the coordination of resources (e.g. searching) for some operational activities • Attending case management meetings, and regional tasking meetings, if required • support research to inform evidence base on corruption, sharing best practice with local teams • maintaining accurate and up to date case records in line with CCU's case management system and regularly developing reports based on case management data • Ensure cases are appropriately prioritised for national analytical support.
National Counter Corruption Analyst (who sits as part of the National Intelligence Unit)	Band 5	Core duties expected to include: • Provide research, analytical support and expert advice to the National Corruption Pursue Lead on corruption cases; to inform decision making and deployment of appropriate tactics • Provision of sanitised corruption intelligence to RIUs and other law enforcement agencies including the National Crime Agency and Anti-Corruption Units, in support of corruption operations.

National – Counter Corruption Unit

National Senior Strategic Analyst		Core duties expected to include: • Responsible for producing national corruption related intelligence assessments. • Contributes to the development of the corruption intelligence function and designing of corruption intelligence products. • Acts as the SPOC on HMPPS corruption intelligence for colleagues within HMPPS and law enforcement partners. • Liaise with the CCU National Corruption Threat Lead to inform of any emerging threats. • Attend Regional Corruption Pursue Lead Meetings (where required). • Contributes to the HMPPS Control Strategy in relation to corruption related intelligence.
Police Adviser	Band 8	Core duties expected to include: • Acting as HMPPS Law Enforcement Advisor on corruption matters and lead on building and maintaining relationships with each of the 43 police forces with the aim of improving corruption intelligence sharing and investigation. Promoting joint efforts between law enforcement agencies and NIU to develop intelligence, using the full range of collection opportunities available to all agencies. • Provision of advice surrounding corruption related criminal investigations. • To oversee the introduction of HMPPS-funded regional police corruption investigators. • To support the development and delivery of HMPPS Counter Corruption training, where this requires law enforcement insights. • To provide advice on disclosure pertinent to counter corruption prosecutions.

Process map for pursue process

The Initial intelligence sources

Outcomes

Major/imminent risk or Police Action required: Sanitisation and Dissemination

NCA

ROCU/RPIU

CCU

HMPPS integrity line or Mailbox

Confidential Unit

Local Staff

Mercury (IR)

NDE Staff

PIO

Security Department

Local Police

Triage Meeting

Triage

POTENTIAL CORRUPTION?

Initial Case Development and Banding assessment

NO

YES

Professional Standards:
Refer to SMT/Line Manager

UNACTIONABLE: NFA

Case Management Meeting

Triage is to be completed within 72 hours

Initial Intelligence and case management meeting within 7 calendar days of submission

Cases banded as BAND 1, 2 & 3

Case Development

Support from Regional CCU Teams

Working with Police

Case Management Meeting

Regional Tasking

Cases banded as BAND 4

Case Development

Inform Regional CCU Teams

Working with Police where appropriate

Case Management Meeting

Criminal Justice

Police Caution

Conviction

Found Not Guilty

HR

Informal Warning Challenge Meeting

Final Warning

Dismissal

Exclusion

Contract Management

Exclusion

Contract Management/ Provider Outcome

Adjudication

Adjudication Outcome

Found Not Guilty

<u>Mechanisms for reporting suspected corruption and wrongdoing</u>

- Submit a Corruption Intelligence Report via the "Submit a Mercury intelligence report" button on the Intranet home page.

  If you need to report intelligence regarding corruption involving either a senior member of staff (Band 7 and above for Prison and Band A and above for Probation), involving your local counter corruption team, security team, or intelligence which cannot be reported locally due to its sensitivity, follow the normal process for reporting counter corruption intelligence on mercury but instead of selecting your own area select the region "HQ" and the location "CPU" when submitting a CPIR. Alternatively, you can contact the national CCU Mailbox as stated below.

- **Call the independently administered 24/7 integrity hotline on 0800 917 6877**

- **Submit an online report via Hmppsintegrityline.co.uk**

- **Write to CCU marked CONFIDENTIAL to – CCU, Directorate of Security, 8th Floor Tower, 102 Petty France, London, SW1H 9AJ**

- **E-mail the national CCU mailbox - CCU-National@justice.gov.uk**

- **E-mail the regional CCU mailboxes:**

  Counter Corruption Unit East Midlands and Eastern:
  ccu-eastmidlands_eastern@justice.gov.uk

  Counter Corruption Unit London and South East:
  ccu-london_southeast@justice.gov.uk

  Counter Corruption Unit North East, Yorkshire and Humber:
  ccu-neyorkshire_humber@justice.gov.uk

  Counter Corruption Unit North West and West Midlands:
  ccu-northwest_westmidlands@justice.gov.uk

  Counter Corruption Unit South West and Wales:
  ccu-southwest_wales@justice.gov.uk

  Counter Corruption Unit LTHSE
  ccu-LTHSE@justice.gov.uk

Glossary

CCU	Counter Corruption Unit
CCRPL	Regional Counter Corruption Prevent Lead
CCRPM	Regional Counter Corruption Prevent Manager
CCRPO	Regional Corruption Prevent Officer
D-LCCM	Deputy Local Counter Corruption Manager
HMPPS	Her Majesty's Prison and Probation Service
LADO	Local Authority Designated Officer
LCCM	Local Counter Corruption Manager
LTHSE	Long Term High Secure Estate
MoU	Memorandum of Understanding - An agreement between Her Majesty's Prison and Probation Service and the National Police Chiefs' Council regarding corruption in prisons and probation
NCCA	National Counter Corruption Analyst
PDU	Probation Delivery Unit
PECS	Prisoner Escort & Custody Services
PECS-CCM	Prisoner Escort & Custody Services - Counter Corruption Manager
PIO	Prison Intelligence Officer
RCA	Regional Corruption Admin Specialist
RCCA	Regional Counter Corruption Analyst
RCCR	Regional Counter Corruption Researcher
RCPL	Regional Corruption Pursue Lead
RCPM	Regional Corruption Pursue Manager
RCPO	Regional Corruption Pursue Officer
RIU	Regional Intelligence Unit
RPD	Regional Probation Directors
RPIU	Regional Prison Intelligence Unit
SIO	Senior Investigating Officer