



Policy name: Management of the Local Security Strategy Policy Framework

Issue Date: 31st July 2024

Implementation Date: 31st March 2025*

*Prisons can choose to implement the policy ahead of this date

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

- PSI 63/2011 Management of the Local Security Strategy (LSS)

Introduces amendments to the following documents: N/A

Action required by:

x	HMPPS HQ	x	Governors
x	Public Sector Prisons	X	Heads of Group
x	Contracted Prisons		The Probation Service
x	Under 18 Young Offender Institutions		Other providers of Probation and Community Services
	HMPPS Rehabilitation Contract Services Team		

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

For Information:

By the implementation date, Governors of public sector prisons and contracted prisons must ensure that their local procedures set out specific details of how security operates within their prison in a Local Security Strategy (LSS).

Governors must ensure that any new local policies developed as a result of this Policy Framework are compliant with relevant legislation, including the Public Sector Equality Duty (Equality Act 2010).

Section 6 of the Policy Framework contains Guidance to assist implementation of the Requirements set out in Section 4.

Terminology

Throughout this document, the term Governor also applies to Directors of contracted prisons.

How this Policy Framework will be audited/monitored:

In public sector prisons, Prison Group Directors (PGDs) will monitor compliance with requirements set out within the Policy Framework in their prisons using the auditing and monitoring tools described in this policy framework. In contracted prisons, monitoring of compliance will be through the standard contract management processes.

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Quality assurance for public sector prisons and contracted prisons is provided by HMPPS Performance, Assurance & Risk (PAR) Group through the security audit.

Mandatory elements of instructions are subject to management checks (and may be subject to self or peer audit by operational line management), as judged to be appropriate by the managers with responsibility for delivery.

Resource Impact:

The identified resource impact for this Policy Framework is staffing within the Security Department and other Departments within the prison involved in writing the LSS. The LSS will be moving to a new digital location and staff will be required to be upskilled on the new SharePoint platform. The content of the LSS is required to align to the new format of the LSS under the five risk areas. Prisons are also required to conduct an annual evidence-based risk assessment to inform their LSS which will require resource but will ensure their LSS identifies and mitigates local security risks.

Contact: security.procedures@justice.gov.uk

Deputy/Group Director sign-off: Andy Rogers, Deputy Director, Operational Security Group, Directorate of Security.

Approved by OPS for publication: Helen Judge, Joint Chair, Operational Policy Sub-board, July 2024.

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1. **Purpose**

- 1.1 Prisons are required to set out specific details of how security and the National Security Framework (NSF) operates within their prison in a Local Security Strategy (LSS). This Policy Framework provides prisons with the necessary guidance and information to develop, update and assure their LSS, with the appropriate levels of authorisation and governance.

2. **Evidence**

- 2.1 Research and literature shows that an evidence-based risk assessment which includes, physical security, procedural security, dynamic security, intelligence, strategic integration and security capability can support effective security practices and responses.

3. **Outcomes**

- 3.1 By following this Policy Framework, prisons are able to ensure:
- An up-to-date, bespoke, accessible LSS is maintained.
 - An evidence-based risk assessment is used annually to identify local risks and procedures to mitigate against them.
 - Amendments to the LSS are recorded and authorised at the appropriate level.
 - An annual assurance statement is completed.

4. **Requirements**

General

- 4.1 The purpose of a LSS is to:
- Outline how a prison manages risks and specific procedures locally, in line with the NSF.
 - Identify local risks and supporting mitigations through an evidence-based, whole prison risk assessment, reviewed annually.
 - Set out how procedures are implemented locally in line with the five risk areas:
 - Conveyance.
 - Escape/abscond.
 - Illicit communications.
 - Illicit economy.
 - Violence and disorder.
 - Allow all staff to understand the local threat and risk picture and responding procedures or processes.
- 4.2 The Governor must ensure that a nominated person/s is responsible for updating the LSS.
- 4.3 The LSS must be an up-to-date document that is bespoke to the prison and reflective of current local risks.
- 4.4 The LSS must provide clear and concise instructions for all staff on how to effectively carry out security procedures locally.
- 4.5 Functional heads must take responsibility for LSS compliance in their areas and provide assurance to the Governor and Security Department.
- 4.6 Governors must make all staff (directly and indirectly employed) are aware of how and where to find the LSS, guidance and supporting tools. This can be facilitated via initial security inductions, staff briefings and similar, or any other approach deemed appropriate by the prison.

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- 4.7 A record of all instructions must be maintained in accessible format for all staff working in the prison. These are documents which provide specific guidance on the application of policy into practice.
- 4.8 The instructions will provide:
- The aim and purpose of the instruction.
 - National Reference for the instruction.
 - Local Reference for the instruction.
 - Local system procedures and requirements for the instruction.
- 4.9 A local instruction template can be found at Local Instruction Template (Annex E).
- 4.10 Any local procedure or policy in the LSS must comply with all relevant policy and legal guidance set out in the NSF policies.

Evidence-based risk assessment

- 4.11 A whole prison, evidence-based risk assessment must be undertaken and used to inform and update the LSS (see Guidance 6.1).
- 4.12 Risks must be assessed annually as a minimum and in addition, whenever risks are perceived to have changed significantly. This must drive the procedures and processes which underpin effective security practice and allow the prison to manage local risks.

Making amendments to the Local Security Strategy

- 4.13 All amendments to the LSS must be submitted to the Governor for authorisation, using the notification amendment form (see Notification of Amendment Annex A). This form records for audit purposes the change, the reasoning, and its authorisation. The previous LSS instruction and new LSS instruction must also be attached to this form.

Long Term High Security Estate (LTHSE)

- 4.14 Amendments to the LSS relating to Category A prisoners must be submitted to the Executive Director of Security for final approval using the notification amendment in Notification of Amendment (Annex A).

Prisons outside of the LTHSE

- 4.15 Amendments to the LSS relating to Restricted Status (RS) prisoners must be submitted to Executive Director of Security for final approval using the notification amendment in Notification of Amendment (Annex A).
- 4.16 Whilst there is no requirement for all LSS changes to be agreed by the Prison Group Director (PGD), it may be agreed locally that changes required PGD authorisation, or the Governor may feel they should agree changes with the PGD, prior to implementation.
- 4.17 Governors must maintain a log of LSS amendments (see Notification of Amendment Log Annex B). Documents outlining amendments must be stored in line with the [Records, Information Management and Retention Policy](#).

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Assurance

- 4.18 PGDs together with Governors are required to sign an annual assurance statement that states that the LSS of that prison is fit for purpose. Assurance Statement (Annex C) sets out a model assurance statement which, once complete, must be stored for audit purposes in line with the Records, Information Management and Retention Policy.
- 4.19 The PGD must satisfy themselves on the level of assurance they wish to apply to the LSS for prisons in their area when signing this statement. The level of assurance must be stated on the reverse of the assurance statement.
- 4.20 PGDs may also specify additional levels of assurance checks, this could include:
- Examining some or all locally agreed amendments.
 - Drawing on results from national security audits which identify strengths and weaknesses in security procedures.
 - Results from local audits/assurance processes involving security systems.
 - Other records such as searching records.
 - More detailed inspection of some or all of the LSS.
- 4.21 PGDs must satisfy themselves that an evidence-based risk assessment has been undertaken annually and that it identifies and addresses local risks.

National Security Framework (NSF)

- 4.22 The NSF is a list of policies related to aspects of security management within prisons, comprised within five functions:
1. Conveyance.
 2. Escape/Abscond.
 3. Illicit Communication.
 4. Illicit Economy, and
 5. Violence and Disorder.
- 4.23 Governors must ensure they have adapted their LSS for each of the five functions by using the NSF policies and an evidence-based risk assessment.

5 Constraints

Freedom of Information Act

- 5.1 This document has been assessed as OFFICIAL and therefore suitable for public release. A small number of supporting tools have been marked as OFFICIAL-SENSITIVE and will not be available for public release.

Data Protection & Record Management

- 5.2 Any information relating to an identified or identifiable living individual recorded as a consequence of this framework will be processed in accordance with the Data Protection Act 2018, UK General Data Protection Regulation and [Records, Information Management and Retention Policy](#).
- 5.3 A Data Protection Impact Assessment Screening has been completed in support of this Policy Framework.

Diversity and Inclusion

- 5.4 When communicating to staff, prisoners or visitors, prisons are expected to ensure that briefing documents and information is available in a variety of formats including easy read, braille, voice, and other languages.
- 5.5 A full Equality Impact Assessment has been completed in support of this Policy Framework.

6 Guidance

Evidence-based risk assessment

- 6.1. To inform the LSS, prisons need to undertake an evidence-based assessment process which identifies the risks to their prison and determines responding mitigations. The assessment should adopt a whole prison approach and be undertaken by a multi-disciplinary team.
- 6.2 An evidence-based risk assessment should be informed by up-to-date literature and research about what makes effective security. This should include assessments of Physical Security, Procedural Security, Dynamic Security, Intelligence, Strategic Integration and Security Capability. The assessment should assess effective security against the HMPPS five key threat areas. These include Conveyance, Escape/Abscond, Illicit communication, Illicit economy and Violence and Disorder.
- 6.3 The State of Security has been tested as a framework within which to undertake such an assessment and is seen as best practise. See State of Security Self-Assessment (Annex F) for the template, and access the [Security Risk and Capability Hub](#) for further information and resources. The Governor may choose an alternative evidence-based risk assessment. If so, this should consider the same core components as the State of Security.
- 6.4 The assessment should employ a mixed method approach including qualitative and quantitative approaches. This would include assessment of existing security data in combination with a dynamic assessment of new information.
- 6.5 The Governor should consider the following information sources (evidence) when conducting their evidence-based risk assessment (this list is not exhaustive):
- Adjudications.
 - Audits.
 - Covert testing.
 - Drug strategy data.
 - Finds.
 - Incidents.
 - Intelligence System.
 - Local Tactical Assessment (LTA).
 - Physical security review (annual).
 - Safety statistics.
 - Vulnerability assessments.
- 6.6 The assessment should assist prisons to use their individual site data to inform qualitative actions and recommendations from a range from stakeholders. The assessment process should be action orientated and collaborative rather than serving a rating or scoring system.
- 6.7 The assessment should allow the prison to identify bespoke areas of vulnerability and risk alongside key areas of strengths.

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- 6.8 The assessment should allow for flexibility and customisation to respond to individual prison needs. Each prison will have different risks and threats and a variety of different priorities. The assessment should be able to respond to this and offer an adaptive approach rather than a one size fits all.
- 6.9 The assessment should be dynamic in nature rather than static i.e., allow for changes over time. It would be important that this process can be replicated and updated within a realistic timescale allowing for responsiveness and flexibility for prisons needs without being overly resource intensive.
- 6.10 The assessment should have an engaging awareness and communication campaign building up to the deployment of the assessment. This would help to raise awareness across the whole prison about the assessment and the applied benefits of developing the prison security culture. Any supporting documentation and communications need to be clear useful, succinct information which is user friendly in line with easy read principles that fit within a busy and complex working environment.

National Security Framework (NSF)

- 6.11 NSF policies can be found under the five risk themes on the NSF intranet home page. NSF policies that span across all the five risk themes can be found under additional policies.
- 6.12 The LSS should include local instructions, with processes/ procedures specific to that prison's security and risks and only include aspects of national policy where there is a requirement to do so.
- 6.13 Where prisons are only following a mandated process/procedure in line with NSF policies and there is no requirement as per 6.12, prisons should hyperlink to the national policy instead.
- 6.14 Prisons can link to specific supporting tools/resources to the LSS to support staff with the instruction.
- 6.15 LSS Structure Guidance (Annex D) provides an example of how prisons might want to structure their new LSS, in line with the five risk areas. This includes areas to consider under each heading.
- 6.16 Prisons can use NSF and LSS Awareness Poster (Annex G) and Promoting the NSF and LSS (Annex H) help promote and increase awareness on the NSF and LSS.

7 Annexes

- 7.1 Official Sensitive annexes can be accessed here [National Security Framework \(NSF\)](#).

Annex A	Notification of Amendment (OFFICIAL-SENSITIVE)
Annex B	Notification of Amendment Log (OFFICIAL-SENSITIVE)
Annex C	Assurance Statement (OFFICIAL-SENSITIVE)
Annex D	LSS Structure Guidance (OFFICIAL-SENSITIVE)
Annex E	Local Instruction Template (OFFICIAL-SENSITIVE)
Annex F	State of Security Self-Assessment (OFFICIAL-SENSITIVE)
Annex G	NSF and LSS Awareness Poster (OFFICIAL-SENSITIVE)
Annex H	Promoting the NSF and LSS (OFFICIAL-SENSITIVE)