



Policy name: Management of Escape List (E-List) Prisoners Policy Framework.

Issue Date: 31st July 2024

Implementation Date: 10th January 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 10/2015 – Management and Security of Escape List Prisoners

**LONG TERM HIGH SECURITY ESTATE AND RESTRICTED STATUS PRISONERS
POLICY REQUIREMENTS**

Directions about the security and management of these prisoners must be in line with the following:

- PSI 09/2015 The Identification, Initial Categorisation and Management of Potential and Provisional Category A/Restricted Status Prisoners
- PSI 08/2013 The Review of Security Category - Category A/Restricted Status Prisoners
- PSI 43/2014 Management and Security of Category A Prisoners - Internal (official sensitive)
- PSI 09/2013 Management and Security of Category A Prisoners - External Movements (official sensitive)
- Management of Restricted Status Prisoners (awaiting publication)
- PSI 49/2011 Prisoner Communication Services
- Authorised Communications Controls and Interception Policy Framework

Action required by:

X	HMPPS HQ	x	Governors
X	Public Sector Prisons		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, Governors¹ of public sector prisons and contracted prisons must ensure that their local procedures do not contain reference to the Management and Security of Escape List Prisoners: PSI 10/2015.

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

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

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.

Health and Safety (H&S) assurance and monitoring for public sector prisons is undertaken through H&S monitoring and assurance within the H&S function, using the H&S audit and reporting tool compliance checklist. The H&S processes may be different for contracted prisons and therefore, contracted prisons must have their own H&S arrangements which ensure, so far as is reasonably practicable, the health, safety and welfare at work of all employees.

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 should be 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.

This Policy Framework and supporting impact assessments will be subject to ongoing review, responding to emerging changes and learning.

Resource Impact:

The identified resource impact for this Policy Framework is staffing within the Security Department. The initial impact will be in terms of the time taken to update the Local Security Strategy (LSS). Prisons will have to conduct a whole prison evidence-based risk assessment to identify their risks of escape and update their LSS to reflect these. Following the initial rewrite of the LSS in alignment with this Policy Framework, resource implication is not expected to be any different to current requirements.

It is expected that this Policy Framework will assist prisons in reducing the risk of escape. This in turn will be expected to reduce HMPPS and other agencies financial costs and reputational damage that results from any escape.

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

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1. **Purpose**

- 1.1 Keeping prisons secure is fundamental to the role of HMPPS and forms an essential duty to the public. Any escape undermines the core principles of the criminal justice system.
- 1.2 This Policy Framework provides all public and contracted prisons with the information and guidance needed to manage prisoners who pose an escape risk.

2. **Evidence**

- 2.1 The [HMPPS Annual Digest](#) provides year on year data regarding escapes.

3. **Outcomes**

- 3.1 Use of this Policy Framework and supporting documents will ensure the appropriate management and review of Escape List (E-List) prisoners. This ultimately supports the successful maintenance of security and order in prisons.
- 3.2 By following the requirements in this Policy Framework, staff will be able to:
 - Identify, assess, notify, and record an E-List prisoner.
 - Manage E-List prisoners in a prison.
 - Manage E-List prisoners on escort.
 - Follow security procedures for E-List-Heightened prisoners.
 - Review E-List prisoners.
- 3.3 All within HMPPS are to understand and report correctly as per the following escape definition:
 - A prisoner escapes from a prison if they unlawfully gain their liberty by breaching the secure perimeter of a closed prison, i.e., the outside wall or boundary of the prison. A prisoner escapes from escort when they are able to pass beyond the control of escorting staff. This may involve overcoming physical security restraints such as a wall or fence; locks, bolts or bars; a secure vehicle; handcuffs; or the direct supervision of escorting staff.
 - This includes incidents where the prisoner is believed to have been fully or partially responsible for the breach even where their involvement cannot be proven, and incidents where another party is found to have deliberately aided or enabled the escape.
 - A 'Category A escape' means the escape of a Category A prisoner. Category A prisoners are those whose escape would be highly dangerous to the public, the police or the security of the state.
 - A prisoner escapes from an escort if they are able to pass beyond the control of escorting staff and leave the escort, the vehicle or the premises (such as a court or hospital).

4. **Requirements (see Guidance for further information)**

General management of escapes

Evidence-based risk assessment

- 4.1 Governors must ensure that they conduct an annual evidence-based risk assessment to identify and manage the risks of escape locally as per the Local Security Strategy Policy

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Framework. Any local arrangements decided upon must be consistent with the instructions provided in this Policy Framework and support a rehabilitative culture.

Physical security audit

- 4.2 Heads of Security must complete a physical security “self-audit”, appropriate to the security level of the prison. This must be completed annually for the High Security Estate (HSE), and every two years outside of the HSE for closed prisons. The audit should also include the fabric of the building, perimeter and the equipment that supports the security task. From the audit findings, an action plan should be compiled to detail improvements needed to be undertaken. The Physical Security and Self-Audit Template (Annex G) must be undertaken by the Area Property Operations Manager (or their delegate) supported by the security department and any other appropriate Heads of Function. All security systems must be properly maintained and supported by the Computer Aided Facilities Management (CAFM) system; this includes (for HSE only) the requirements within the Security Systems Operations Testing Manual (SSOTM).
- 4.3 Prison Group Directors (PGDs) should also consider the information obtained from physical security self-audits to satisfy themselves that the physical security measures at each prison provides a degree of security appropriate for the role of the prison. Reports should be used to determine priorities in expenditure. In most cases where current standards of physical security cannot be met in full, an adequate standard will still be provided if procedures are adapted to compensate, for example by permitting a higher level of vigilance or supervision.
- 4.4 When completing the physical security self-audit, consideration by Heads of Security must include:
- Overgrown trees and foliage around the perimeter.
 - Addition of razor wires in areas that have been identified as vulnerable to incident at height.
 - Use of anti-climb paint in vulnerable areas.
 - Removal of any equipment or items adjacent to the perimeter.
 - Ensuring waste recycling areas and compound areas remain secure.

Management of escapes/attempted escapes

- 4.5 Governors must ensure they have local contingency plans as per the [Incident Management Policy Framework \(restricted\)](#) detailing the actions to take in the event of any attempted or actual escape.
- 4.6 Governors must ensure that all security documentation including assurance records are retained in line with [Records, Information Management and Retention Policy](#).
- 4.7 All staff must know what action to take in case of escape, suspected escape, or attempted escape.
- 4.8 Staff must raise an alarm if an immediate response is needed. There are several ways to raise the alarm, these include:
- General Alarm.
 - Whistle.
 - ‘Urgent Message’ on the radio net.
 - Dial 222 from a landline.
 - Personal alarm on the radio.

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- Dial 999 if external to the prison.
- Shouting for assistance.

4.9 All escapes must be reported immediately to the Police by dialling 999.

Identifying an E-List prisoner

Escape list levels

4.10 There are three levels of E-List. It must be made clear to all staff when placing a prisoner on the E-list which level they are, and staff must understand the difference between the levels:

- E-List-Standard.
- E-List-Escort.
- E-List-Heightened.

4.11 *E-List-Standard* is for those prisoners assessed as presenting a risk of escape both from a closed prison and from escort.

4.12 *E-List-Escort* is for those prisoners who are not assessed as possessing the ability or determination to escape from a closed prison but who require increased security during escort outside of a prison.

4.13 *E-List-Heightened* is for the prisoners who do not meet the criteria for Category A/Restricted Status, but the nature and extent of their escape risk requires that they are held in the HSE. Prisoners in this group must be referred to the Category A Team in High Security Prisons Group for consideration for E-List-Heightened. If accepted as E-List-Heightened by the Category A Team, prisoners will be transferred to an appropriate High Security (or Restricted Status) prison and be subject to the additional security processes provided by the HSE, including escorts using Category A resources.

Identifying prisoners who pose an escape risk

4.14 Each prison must have in place:

- A system to identify prisoners who pose a risk of potential escape. This must be clearly set out in the prison's LSS.
- Local processes to ensure that the assessment can be completed at any time (including night state) and that high visibility clothing (Prison Rule 23) and E-List Books (OB0001A) can be accessed.
- A database of all prisoners considered for E-List and the outcome of the assessment maintained locally.

Reasons for considering prisoners for E-List

4.15 Prisoners must only be placed on the E-List when security processes additional to those normally applied at the prison, are necessary to manage the identified risk of escape. E-List must not be used as a punishment, where other security processes are sufficient to manage the risk or for any longer than is necessary.

4.16 The following circumstances must trigger an assessment for E-List:

- Person Escort Record (PER) warning marker for escape.
- Indication of increased risk of escape on reception.
- Incident of escape or attempted escape from escort or prison.

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- Find of escape related equipment.
 - History of escape or attempted escape (e.g., previous sentence, other secure environment, such as police or military custody).
 - Escape related intelligence.
- 4.17 Prisoners may already have escape markers on their file on reception or transfer to a new prison. These markers must be checked and raised with the Security Department, this could be completed as part of the initial reception process or in the following days by a suitably nominated person. It is good practice for these markers/alerts to be checked within 24hrs of initial reception but must be no longer than 72hrs.
- 4.18 A mobile phone find on its own should not generally trigger an escape risk assessment unless interrogation of the phone provides indication of escape planning or other intelligence factors apply.
- 4.19 Not every prisoner assessed for E-List will necessarily require the additional security that E-List processes provide. In the case of adult males, consideration should be given to reviewing categorisation and transfer to a more secure prison where the physical and procedural security and regime may be sufficient to reduce the risk of escape. For women, 15-17 and 18-21 year olds, consideration should be given to developing other strategies to limit movement and challenge behaviour or to re-allocate to a prison with greater physical security.
- 4.20 Where the decision is made to place a prisoner on the E-List, the choice of which of the three classifications of E-List to use must be proportionate to the nature and scale of the escape risk.
- 4.21 Category A/Restricted Status prisoners must only be placed on the E-List if the nature and extent of the escape risk identified can only be sufficiently managed by the additional processes available under E-List. Where there are grounds for believing that a standard risk Category A prisoner presents a high risk of escape, they must be reported to the Category A Team for consideration of reclassification to High-Risk Category A. The prisoner must be placed on E-List-Standard pending the outcome of the decision. The policy on the management of Category A prisoners can be found in [The Management and Security of Category A Prisoners - Internal PSI 43/2014 \(restricted\)](#).

Assessing escape risk

- 4.22 The assessment must be recorded using the Initial E-List Assessment Form (Annex A).
- 4.23 The assessment must explore all options for information and intelligence including, but not limited to:
- Previous convictions.
 - Incident Reporting System (IRS).
 - Full intelligence reporting system file.
 - Police Intelligence Officer (PIO) report, (including MG5, not limited to Police input, but considering National Crime Agency/HM Revenue and Customs).
 - Probation and Youth Offending Team reports and assessments.
 - OASys Reports.
- 4.24 The assessment must consider the following (this list is not exhaustive):
- What was the nature of the escape or attempt?

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- Are there any triggers that have previously been identified that are relevant now e.g., anniversary, domestic circumstances?
- If intelligence is available, how reliable is it?
- If the prisoner has made previous escape attempts, do similar circumstances now apply?
- Does the prisoner have access to resources to aid escape?
- Does the prisoner have a history of using weapons, or close associates not in custody who do?
- Does the prisoner have the resources, skills, and motivation to mount an escape from a closed prison?
- Does the prisoner's behaviour and offending indicate opportunist or sophisticated risk, including any self-disclosure of information such as behaviour or previous occupation that might assist an escape or indicate they have the skills to do so?
- Is the risk of escape managed by the security conditions at the current prison or is additional security required?
- Could the risk of escape be managed by a move to a more secure prison?
- Can the risk be managed by other control measures or processes?
- Does the prisoner meet the criteria for referral for E-List-Heightened?

4.25 The decision to place a prisoner on the E-List must be proportionate to the nature of the risk, therefore there will be those prisoners whose risk of escape can be managed without the additional security measure E-List affords. In such circumstances, other actions may be:

- Not placed on E-List, no further action required.
- Not placed on E-List, but subject to ongoing intelligence collection.
- Not placed on E-List, but referred for categorisation review.
- Not placed on E-List, but an 'escape risk' marker activated on NOMIS (see para 4.35 for further info).
- E-List-Escort.
- E-List-Standard.
- Referral to Category A Team for E-List-Heightened.

The decision to place a prisoner on the E-List

4.26 The Initial E-List Assessment Form (Annex A) must be completed using any additional sources of available information or intelligence as necessary. The form must be completed by the suitably trained member of the Security Department and counter signed by the Head of Security. All forms are to be retained in the Security Department. Copies of the forms must be sent with the prisoner on transfer. The relevant Probation Offender Supervisor must also be informed of the decision.

4.27 Where the decision is taken out of hours, the Duty Governor must authorise the decision which must then be endorsed by the Head of Security at the earliest opportunity.

Notifying the prisoner of a decision to place on the E-List

4.28 The prisoner must be notified both verbally and in writing of the decision. This can be done using the template E-List Prisoner Notification Template (Annex B) as soon as possible and in the case of E-List-Standard/Heightened, when given high visibility clothing. A copy of this form must be retained by the prison's Security Department.

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- 4.29 The notification must include a description of the reasons for the decision, notification that their communications will be monitored (Prison Rule 35A ((4)), the reason for monitoring and any restrictions applicable to them.

Appeals against a decision to place on the E-List

- 4.30 Prisoners have the right to appeal the decision to place them on the E-List and can do so at any point using the E-List Appeal Form (Annex D). Once an appeal has been submitted, the Deputy Governor must review the decision (taking account of the prisoner's submissions) within 5 working days. A copy of the appeal form, including the outcome of the appeal must be retained by the prison's Security Department. In the case of a prisoner appealing the decision to be placed on E-List-Heightened, the completed appeal form must be sent to the Category A Team who will reply within 5 working days.
- 4.31 The prisoner must be offered support to complete the appeal form in case of any literacy or language barriers.
- 4.32 The review must be completed by a third party not involved in the original E-List decision making process. If a prisoner wishes to make a further appeal, this must be conducted in compliance with the [Prisoner Complaints Policy Framework](#).

Documentation

- 4.33 Security Departments must hold local records of all E-List decisions. This would ideally be in an electronic format, preferably using an excel database.
- 4.34 Copies of all completed E-List assessment forms, notification to prisoner forms and any appeal forms need to be held by both the Security Department and in the prisoner's core record.

Recording

- 4.35 All decisions must be recorded on both the intelligence system and the Digital Prison Services.
- 4.36 NOMIS has two escape alerts – 'escape risk' and 'escape list'. It is important not to mix up these alerts as if a prisoner has an escape risk alert it does not necessarily mean they are on the escape list.
- Escape Risk – escape list assessment taken place, but not been placed on the escape list, intelligence suggests a risk exists but can be managed without the need for escape list procedures to be implemented; and
 - Escape List – escape list assessment taken place, placed on the escape list as intelligence suggests risk is too high to manage without escape list procedures being implemented.
- 4.37 Prisons must have local procedures in place to periodically review and if necessary, remove 'escape risk' markers from NOMIS. Reviews are to be determined locally and must consider all relevant intelligence and information available in each case.
- 4.38 E-List alerts must only be active when a prisoner is formally placed on the E-List. The alert text must start with the relevant E-List classification i.e., E-List-Standard, E-List-Escort or E-List-Heightened. Any other escape risk which has been identified but does not result in the prisoner being placed on the E-List must be recorded on the "escape risk" alert.

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- 4.39 Prisoners referred for E-List-Heightened must have a note of the reference number provided by the Category A Team in case notes.
- 4.40 All E-List prisoners must be subject to intelligence gathering in line with local security threat management to minimise the risk of escape. For more information please see [Intelligence Collection, Management and Dissemination Policy Framework](#).

Managing E-List prisoners in the prison

Photographs of E-List prisoners

- 4.41 Staff must be aware of those placed on any level of the E-List, including those E-List-Heightened awaiting transfer. Up to date photographs of all prisoners on the E-List must be displayed in the following areas:
- Gate.
 - Communications Room.
 - Reception.
 - Security Department.
 - Residential unit and work/activity areas.
- 4.42 An E-List Card Generator (Annex H) is available to aid with generating photos cards including all the correct information.
- 4.43 Prisoners may change their appearance regularly, whether this be cutting their hair, or shaving. Anybody noticing a significant change in a prisoner's appearance must inform the prison's Security Department immediately. They will arrange for new photographs to be taken and displayed, as soon as possible, and no longer than a 24-hour period from being reported. Other considerations to be taken into account regarding a prisoner's appearance may include weight loss or gain, this therefore supports the importance of ensuring up to date photographs are taken and updated in all relevant areas (including NOMIS) when placing somebody on the E-List.
- 4.44 Where prisoners refuse to be photographed and all other options such as direct orders, incentive level review and adjudication have been unsuccessful, prisons may consider using stills from Body Worn Video Camera (BWVC) or CCTV footage in accordance with the [BWVC Policy Framework](#).
- 4.45 Consideration to allowing prisoners to have wigs, hair extensions etc. must be considered on an individual basis by the Head of Security in consultation with the prison's equalities lead, taking into consideration the risk posed and the needs of the prisoner. Any decision to not allow these items must be documented with full justification.

Telephone calls

- 4.46 All calls (except legal and confidential calls as defined in [PSI 49/2011 Prisoner Communication Services](#)), must be subject to monitoring in accordance with [Authorised Communications Controls and Interception Policy Framework](#).

Mail

- 4.47 All correspondence, both incoming and outgoing, (except confidential communications as defined in [PSI 49/2011 Prisoner Communications Policy](#)), must be subject to monitoring in accordance with [Authorised Communications Controls and Interception Policy Framework](#).

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Categorisation review

- 4.48 When considering the decision to place an adult male prisoner on the E-List, categorisation may be reviewed, particularly if the prisoner is in Category C conditions. No E-List prisoner may be held in Category D conditions:
- Category C – all Category C prisoners must have a categorisation review.
 - Category B – Category B prisoners may only be reported in for consideration for Category A in accordance with [PSI 08/2013 Reviewing the categorisation of high security prisoners](#).
 - Unconvicted/unsentenced – where there are concerns that the physical security of the prison is not sufficient, this is to be dealt with via the process for referral for E-List-Heightened.
- 4.49 Male young adult, young people and women prisoners already held in closed prisons may be considered for referral to restricted status only in accordance with PSI 08/2013 [Reviewing the Categorisation of High Security Prisoners](#), [Reviewing the categorisation of high security prisoners](#), or, in the case of young adults, reclassification to the adult estate must be done in accordance with the [Security Categorisation Policy Framework](#). Due to the range of physical security provisions in these estates, re-allocation may also be considered.

Release On Temporary Licence

- 4.50 In accordance with the [Release On Temporary Licence \(ROTL\) Policy Framework](#), prisoners on the E-List must not be considered for release on temporary licence.

Additional security procedures for E-List-Standard and E-List-Heightened prisoners only

- 4.51 The following paragraphs do not apply to E-List-Escort prisoners.
- 4.52 There must be local processes in place to ensure that residential staff are aware of all E-List-Standard or E-List-Heightened prisoners in the prison, their location and activity movements. When a prisoner is required to leave the residential area for healthcare, visits, activity or other reasons, staff in the area must be aware and briefed before the prisoner moves. Local systems must specify processes to record the location of E-List-Standard or E-List-Heightened prisoners.
- 4.53 The following procedures must be in place for both E-List-Standard and E-List-Heightened:
- Agreed systems for risk assessed movement in accordance with Management of Internal Security Procedures Policy Framework including approved routes, staffing levels and radio procedures for internal movement, specifying any areas they are not permitted to enter, even when escorted.
 - Systems to record the location of E-List prisoners and the member of staff responsible for them.
 - Handover and briefing arrangements for nominated supervisory staff.
 - The frequency, which must be unpredictable, of changes in accommodation and the processes to record they have occurred.
 - Processes to record any property removed overnight.
 - Processes to ensure that any items removed from the prisoner's cell at night are stored securely, returned at the earliest opportunity and records of any removal are maintained.
 - Processes in place for identification and supervision during visits, and level of searching at the end of the session.
 - Arrangements to search cells at Routine Plus level.

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Monitoring/observing and E-List Book (OB0001A)

- 4.54 A member of staff must be allocated for the monitoring/observing of E-List Standard or E-List-Heightened prisoners. For the purposes of this Policy Framework 'monitoring' refers to a person who has the job of watching or noticing particular things and 'observing' is to watch carefully the way something happens or the way someone does something.
- 4.55 When allocating the nominated member of staff, consideration must be given to decency issues (such as checks during showers, etc) to ensure that monitoring/observing can be maintained. The nominated member of staff must receive/give a briefing at handover.
- 4.56 The monitoring of E-List-Standard and E-List-Heightened prisoners should be assessed on an individual basis, dependant on the circumstances and intelligence surrounding the initial decision to place on the escape list.

Example A:

- Intelligence suggests that the named prisoner is to make their escape during exercise periods (over the wall, helicopter aided escape etc) - increased monitoring and observation may need to take place during exercise (this may be 'constant supervision' for this period with reduced observations when in a secure building).

Example B:

- Intelligence suggests that the named prisoner is to make their escape by 'digging through the cell wall' when locked up - increased monitoring and observation may need to take place during periods of lock up/patrol states (this may be by increasing observations to more than at least every 60 minutes at irregular intervals).

- 4.57 Monitoring/observation levels must be documented on the Initial E-List Assessment Form (Annex A), E-List Escort/Standard Review Form (Annex E), E-List Heightened Review Form (Annex F) and on the E-List Card Generator (Annex H) displayed in identified areas, so all allocated staff are aware of the levels required.
- 4.58 During times when increased or individual specific monitoring has not been identified as required, whilst it is not expected that the allocated staff member constantly watches the E-List prisoner, they must stay alert to their movements and activities whilst in the approved area (e.g. workshop/residential area), documenting time and location in the E-List Book (OB0001A) at irregular intervals of no more than 60 minutes (as a minimum).
- 4.59 The allocated member of staff is responsible for recording in the E-List Book the location, activities, and movements to and from different areas (for example: cell to association, association to exercise or a residential unit to workshop 3). The E-List Book should stay in the possession of the allocated member of staff and not be left in an office or similar.
- 4.60 The E-List Book serves as a full and auditable record of the supervision and movement of the prisoner and must be completed in addition to the Assessment, Care in Custody Teamwork (ACCT) paperwork or Person Escort Record (PER) documentation as necessary. The E-List Book is not a substitute for completing the residential unit observation book, NOMIS case notes or intelligence reports.
- 4.61 The E-List Book must be completed at the same time of the observation, and note occurrences including:
- Handover.
 - Movements between locations.
 - Activity.

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- Incidents.

- 4.62 It is also recommended to record handovers in the residential unit observation book, along with any incidents that the E-List prisoner may have been involved in. When recording any incidents on IRS the author should include in the free text box that the prisoner is on the E-List.
- 4.63 When the prisoner remains in their cell, documented checks must be unpredictable (e.g., not on the hour, every hour) and take place at irregular intervals of no more than 60 minutes.
- 4.64 In the rare occurrence that a prisoner is both high or exceptional risk Category A and E-List, the E-List Book must be completed in accordance with both the above and para 3.14 of [Management and Security of Category A Prisoner – Internal PSI 43/2014 \(restricted\)](#).
- 4.65 Management checks of the prisoner and E-List Book must be completed every 24 hours. Checks must be completed by a person of at least Custodial Manager rank, they must include a visual check of the prisoner, that all entries are accurate and legible and that all occurrences have been entered and signed for.
- 4.66 When using the radio network, staff must refer to E-List prisoners by their book number.
- 4.67 E-List Book Completion Guide (Annex I) provides instructions on the completion of the E-List Book.

Residential accommodation

- 4.68 E-List-Standard and E-List-Heightened prisoners must be accommodated in the most secure accommodation available, unless individual circumstances dictate otherwise (for example, the prisoner being held in healthcare or in a safer cell due to an ACCT assessment).
- 4.69 The cell must be single occupancy unless doubling is authorised by the Security Manager or Duty Governor in their absence (e.g., because the Healthcare or suicide prevention staff have identified the prisoner as on an open, post closure, or recently closed ACCT who would benefit from the company of a cellmate). Where doubling is considered, an assessment must consider any additional security risks and identify action to mitigate the risk.
- 4.70 A list of the most suitable accommodation for E-List-Standard and E-List-Heightened prisoners must be maintained locally within the LSS. Facilities Management Managers can advise on the suitability of accommodation:
- Low wattage lighting must be fitted to the cell, be working, and used to aid irregular observation of E-List-Standard and E-List-Heightened prisoners during night state. It should not be switched on permanently.
 - The cell must not be facing the perimeter.
 - The cell must not be on the end of a residential unit.
 - The cell must not adjoin a staircase, store cupboard etc; and
 - Single occupancy cell (unless the circumstances explained above apply).
- 4.71 It is expected E-list prisoners will not be held in ground floor cells, except when there is no alternative.

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- 4.72 E-List-Standard and E-List-Heightened prisoners must only be located in Segregation Units when formally segregated under the provisions of [PSO 1700 Segregation](#).
- 4.73 All searching of E-List prisoners and their cells must be conducted in line with the [Searching Policy Framework](#).
- 4.74 Male E-List-Standard and E-List-Heightened prisoners must be full-searched:
- On initial reception.
 - After visits.
 - As part of a cell search.
 - After off unit work activities.
- 4.75 The level of searching for young people will be risk assessed in line with the [Searching Policy Framework](#).
- 4.76 The level of searching to be undertaken at any other time must be individually risk-assessed and recorded as part of the initial assessment recorded on the Initial E-List Assessment Form (Annex A) and during any subsequent review, on the E-List Escort/Standard Review Form (Annex E) or E-List Heightened Review Form (Annex F).
- 4.77 The level of search needed for a woman E-List-Standard or E-List-Heightened prisoner must be individually risk-assessed and recorded as part of the initial assessment recorded on the Initial E-List Assessment Form (Annex A) and during any subsequent review, on the E-List Escort/Standard Review Form (Annex E) or E-List Heightened Review Form (Annex F).
- 4.78 Considerations are the same for E-List prisoners regarding gender requirements when being searched, attending external escorts, medical appointments etc. as for those prisoners not on the E-List. For example, if the escort strength is a supervising officer and two officers (SO + 2), the escort risk assessment must consider the need for at least two members of staff to be of the same gender as the prisoner. If it is deemed that all three staff must be present throughout any appointment or search procedure, then all three staff must be of the same gender as the prisoner.

Nights

- 4.79 All clothing must be removed from the cell during night state, other than the following which can remain in the prisoner's possession:
- One set of night clothing.
 - One set of appropriate footwear.
 - Night pack (including eating utensils, a cup, plate, and a bowl).
 - Medication in possession (where assessed by healthcare as suitable).
- 4.80 If a prisoner refuses to remove their e-list clothing, (for example opting to wear it instead of night clothing) then the prison should consider the appropriate action based on the individual circumstances, including if there are any security risks posed in allowing the individual to stay in their e-list clothing.
- 4.81 E-List-Standard and E-List-Heightened prisoners must be checked at irregular intervals of no longer than 60 minutes during the night state and dependant on individual assessment.

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Clothing (when out of cell)

- 4.82 E-List-Standard and E-List-Heightened prisoners must wear distinctive high visibility clothing that clearly distinguishes them from other prisoners whenever they are outside of their cell.
- The only clothing to be worn under the E-List suit is underwear (socks/pants/vest/bra).
 - If attending a medical appointment and the medical procedure or examination may require partial removal of clothing, then high visibility jacket and trousers must be made available for the prisoner. This will prevent the necessity to fully remove all clothing.
 - High visibility boiler suits, jackets, trousers, and t-shirts are available from National Dispatch Centre (NDC) Branston, and prisons must ensure they are always accessible, in a variety of sizes, in the event of a prisoner being placed on the E-List outside of normal hours.
- 4.83 If attending court either in person or via videolink, E-List prisoners should be allowed to wear non-E-List clothing when in the courtroom or over videolink. The prisoner should not change until either arrival in the custody area of the court or immediately prior to attending the courtroom for videolink appearances. E-List prisoners must change back into high visibility clothing either prior to returning to the prison or immediately after the hearing if attending via videolink. The LSS should set out the procedure for prisoners changing prior to videolinks from the prison.
- 4.84 When attending or returning from court, any own clothing taken will be searched, listed, and sealed in a bag prior to the movement. The clothing should be checked off the list on both issue and return to ensure all items are returned. The bag of clothing should be transported away from the prisoner in the vehicle.

Activity

- 4.85 E-List-Standard and E-List-Heightened prisoners may take part in any residential unit-based activities with the relevant level of supervision in place.
- 4.86 E-List-Standard and E-List-Heightened prisoners may take part in activities, including work and education, away from their residential area following an individual risk assessment on the basis that appropriate supervision is in place. An assessment must be made of the prisoner's current activity allocation as part of the initial assessment.

Managing E-List prisoners on escort

Escort preparation

- 4.87 Healthcare and Offender Management Units must be asked to identify any planned escorts or productions in advance.
- 4.88 Before any E-List prisoner is risk assessed for escort it must be considered if the escort is absolutely necessary or if the objective can be achieved without leaving the secure confines of the prison. All options for telemedicine or Prison Court Video Link must be explored before a non-emergency escort is allowed to proceed. Escorts must be carried out in accordance with the [External Escorts Policy Framework](#).
- 4.89 Category A prisoners must be escorted in accordance with [Management and Security of Category A Prisoners - External Movements \(restricted\)](#).

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- 4.90 In accordance with the External Escort Risk Assessment, E-List–Escort and E-List-Standard escorts may be undertaken under the Prisoner Escort and Custody Services (PECS) contract. E-List-Heightened prisoners can only be escorted under Category A standards.
- 4.91 The prison's LSS must specify the following for E-List prisoners:
- Level of searching on discharge and reception, including specifying when additional security aids such as the BOSS chair and high sensitivity wands are to be used.
 - Process for briefing escorting staff prior to discharge and on return, including risks identified in the External Escort Risk Assessment and details of how the risk will be mitigated. This is particularly important for escorts under the PECS contract and those occurring out of hours as fewer prison staff may be on duty.
 - Process to be followed on escort for requests for removal of restraints including pre-authorised removal of restraints for medical examination or treatment and how to manage unplanned requests.
 - Process to be followed on escort in the event of a medical emergency which requires restraints to be removed.
 - Process for liaison with Police if identified in the External Escort Risk Assessment; and
 - Processes for checking intelligence and communications out of hours.

Escape pack

- 4.92 Processes must be in place to ensure that every prisoner placed on the E-List has a prepared escape pack that is retrievable for use in an emergency or out of hours escort.
- 4.93 No E-List prisoner must go on escort without an escape pack. The escape pack must include:
- The prisoner's current description, including details of marks, scars, and tattoos; and
 - Four up-to-date photographs (preferably colour) of the prisoner, endorsed on the back with:
 - The prison's official stamp.
 - The prisoner's name.
 - The prisoner's PNC number (if available) and
 - Description of clothing worn, and any taken for court appearance (where appropriate).
- 4.94 The escape pack must be prepared as soon as possible once a prisoner has been placed on the E-List. A description of the clothing the prisoner is wearing on discharge must then be added at the time of discharge. The escape pack must be stored in a location where it can be readily accessed at any time (including night state).
- 4.95 In the exceptional circumstances where an escort must be discharged before the escape pack can be completed, e.g., an emergency ambulance escort, the escape pack must be taken to the escort at the first opportunity.

Risk assessment for escort

- 4.96 A risk assessment must be completed for all non-PECS escorts. It must consider the most current intelligence available. All telephone calls and mail must have been monitored to inform this assessment. In the event of an emergency medical escort, this must be undertaken at the earliest opportunity but must not delay the discharge of the escort.

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- 4.97 The risk assessment must consider:
- The nature of the escort, taking advice from healthcare regarding the likelihood of a physical examination or treatment which will require restraints to be removed and/or partial undressing.
 - The nature of the escape risk posed by the prisoner.
 - The route and destination of the escort.
 - Prior knowledge of the escort date and time by the prisoner, including the transfer of an E-List prisoner to more secure conditions following the initial decision.
 - Any other prisoners on the same escort.
- 4.98 When the escort is for a court appearance or medical reasons which necessitate prior notice, e.g., a period nil-by-mouth prior to treatment, the risk assessment should specify any action be taken to ensure the prisoner is not able to inform a third party of the escort details. This may involve restricting access to PIN phones and/or removing any in cell technology (not radios/TVs). The Security Department must ensure these actions are carried out within the necessary timescales.
- 4.99 The escort processes must be informed by the risk assessment process. However, prisons must consider the following as a minimum to manage the risk of escape:
- Additional staff.
 - Use of restraints, including processes for managing the removal of restraints for medical examination, treatment and in emergency situations.
 - Variation of route.
 - Method of transport.
 - Informing the Police of a high-risk escort.
- 4.100 Transporting two or more E-List prisoners on the same escort should only be considered in exceptional circumstances and must be informed by the risk assessment including the predictability of the escort.

Recording the escort

- 4.101 Prior to discharge the PER must be annotated to show the prisoner is on the E-List. This must be reinforced further by using a PER with a yellow diagonal stripe across the front cover. The PER must be accurately maintained in accordance with the Person Escort Record Policy Framework and associated documents.
- 4.102 Where an E-List Book is also in use (E-List-Standard and E-List-Heightened prisoners), it must be accurately maintained, detailing any events and occurrences on the escort, and entries at frequent and irregular intervals of no more than 60 minutes, also noting handover, restraint, and management checks where appropriate.

Specific processes for the production of E-List prisoners to court

- 4.103 The production of E-List prisoners to court is covered by the protocol between HMPPS and HM Courts and Tribunal Services (HMCTS). HMCTS has agreed, wherever possible, to prioritise the use of Prison Court Video Link (PCVL) for Category A, E-List and Restricted Status Prisoners. PCVL must be negotiated with the courts when a prisoner is placed on the E-List. Contact must be proactive and must not wait until a confirmed court date is supplied to the prison.
- 4.104 The relevant contractor must be informed in advance of all E-list-Escort prisoners and must be copied into the Custody Management Direction Form (CMDf) (see [External Escorts](#))

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[Policy Framework](#) for a copy of the CMDF) at the earliest opportunity, even when there is no request for additional security. Risk information must be included on the Person Transfer Request. On the day of escort, the escorting staff must be briefed of the risks prior to escort. This briefing must be recorded on the PER and in the E-List book.

Security procedures for E-List-Heightened

4.105 The aim of E-List-Heightened is to ensure that there are suitable security measures in place in respect of those prisoners who pose the highest risk of escape:

- All prisoners subject to E-List-Heightened must be held in the prison directed by the Category A Team which will be a category A prison for adult males or, for women and young people, a prison that can hold Restricted Status prisoners.
- All prisoners subject to E-List-Heightened are subject to the security procedures within the prison.
- The escort of E-List-Heightened prisoners must not be undertaken under the PECS contract but must meet Category A standards.

Criteria for referring a prisoner as E-List-Heightened

4.106 The criteria for selection for E-List-Heightened are:

- a) *Any prisoner who escapes or has escaped within the last 5 years (includes escape from escort, prison, and PECS escort; excludes escape from insecure dock).* This includes (non-KPI) escapes where the prisoner was at large for less than 15 minutes. Additionally, any prisoner who has escaped in the previous 5 years but is recaptured.
- b) must be referred for heightened on reception back into HMPPS custody. Absconds and temporary release licence failures are not criteria for referral to E-List-Heightened.
- c) *Previous escape from police custody involving external resources.* Where any document identifies that the prisoner has escaped from police custody, further details must be sought to establish whether the incident requires referral. The escape must have occurred within the last 5 years, except where the prisoner has remained at large for a longer period and was recaptured in the last 5 years; included external resources such as planned intervention by a third party. Incidents where a third party merely intervenes to prevent arrest, or the escape is opportunistic, should not prompt a referral unless other criteria are met.
- d) *Previous period on the E-List in the last 5 years and new intelligence or escape behaviour which indicates the procedural and physical security of high security prison is necessary to manage the risk of escape.* Any prisoner who is considered for E-List as the result of recent intelligence or behaviours who has had a previous period on the E-List within the last 5 years should also be considered for referral. The referral should only be made if the current risk of escape indicates that additional physical resources available in the HSE, including escorts, is proportionate to manage the risk.
- e) *Reliable and significant intelligence which evidences sophisticated planning of an escape attempt.* To meet this criterion, intelligence must be of a credible standard and provide some details of the escape plan. The plan must include a high degree of sophistication to circumvent procedural and physical security, either on escort or in the prison. The nature of escape risk must also be such that it could only be

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managed by a high security prison. This does not include low level intelligence, intelligence that the prisoner will engineer an escort for the opportunity to escape or has in their possession maps of the prison unless sufficient detail of the attempt is known and is such that a move to the HSE is required to manage the risk.

- f) *Reliable and significant intelligence which evidence access to finances, resources and/or associates to assist an escape attempt.* This criterion is only met when there is credible intelligence to suggest a genuine escape risk which will involve resources such as firearms. The fact that a prisoner is part of an Organised Crime Group (OCG) known to use firearms, or with the finances to aid escape and evade custody, will not be sufficient unless there is also credible intelligence of an escape or of the motivation to escape. Length of sentence alone is not sufficient to evidence motivation to escape however may be a factor that contributes to overall escape risk.
- g) *Current E-List prisoner with multiple and escalating escape attempts where the nature of attempts indicates the procedural and physical security of high security prison is necessary to manage the risk of escape.* A prisoner currently on the E-List may be referred for heightened criteria in the event of repeated escape attempts only when the nature of the attempts is increasing in seriousness and the risks presented can only be managed by a high security prison.
- h) *Co-defendants of any prisoner accepted for E-List-Heightened.* All co-defendants of any prisoner accepted at E-List-Heightened must be referred for consideration.

4.107 The following are examples of attempted escapes or intelligence which should not trigger referral for E-List-Heightened:

- Attempted walk out of visits.
- Found in out of bounds area without intelligence to suggest escape plan is sophisticated.
- Plan of prison found on cell search.
- Engineering escort but without resources to assist escape.
- High value index offence where proceeds of crime cannot be traced but without intelligence to suggest an escape plan using finances is in place.
- Resisted police arrest.

4.108 The following are examples which must be referred for E-List-Heightened:

- Intelligence from trusted source providing details of escape attempt involving hijacked escort.
- Prisoner received into custody for the first time since escape from prison.

Referral process for E-List-Heightened

4.109 Where a prisoner meets the criteria for E-List-Heightened, the prison must contact the Police for a case summary (MG5) with details of the current offence, intelligence picture, offending behaviour and any date/location of court productions scheduled for the following 7 days.

4.110 When all the required intelligence and documentation is collected, prisons must contact the Category A Team, stating this is a referral for E-List-Heightened. Out of office hours, at weekends and on public holidays, the Duty Category A Officer must be contacted to make the referral. Contact numbers can be found in E-List Heightened Review Form (Annex F).

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- 4.111 Referral for E-List-Heightened and Category A are separate processes. However, there will be a small number of occasions where a prisoner requires reporting in for both. This will be managed in tandem by the Category A Team. Where a prisoner is reported in for Category A but will be considered for E-List-Heightened instead, the process will be managed by the Category A Team and not require a second referral.
- 4.112 On referral, Category A Team will provide a unique reference number. This must be recorded on the Initial E-List Assessment Form (Annex A), in NOMIS case notes and on the local database of E-List prisoners.
- 4.113 The Category A Team has a 3 working day target turnaround for making the final decision and during this time will seek further information from other agencies. In some cases, the Category A Team will immediately decide that the prisoner does not require E-list-Heightened in which case the prisoner will be managed locally using E-List-Escort or E-List-Standard as appropriate.
- 4.114 Where a prisoner is not immediately rejected, they will remain in the reporting prison but held as E-List-Heightened pending the final decision. Escorts for these prisoners should be avoided but where necessary advice must be sought from Category A Team. The prisoner
- 4.115 must be accommodated in the most secure accommodation available, where possible meeting Category A standards.
- 4.116 The final decision from the Category A Team will be communicated to the prison both by phone and by e-mail to the person making the referral (normally the Head of Security) and the Governing Governor. This must be recorded on the assessment form and local E-List database. If the prisoner is made E-List-Heightened, Category A Team will make arrangements for the prisoner to be transferred to an appropriate high security prison within 3 days. Transfer to the HSE as E-List-Heightened is only for the period required to manage the risk. Pending transfer, the prisoner will continue to be held as E-List-Heightened as outlined above.
- 4.117 The Category A Team will also email a completed E-List Prisoner Notification Template (Annex B) which will include a description of the reasons for the decision for E-List-Heightened as well as notification that their communications will be monitored and the reason for monitoring. Once issued to the prisoner, a copy of this form must be retained in the prison's Security Department.
- 4.118 The process for appealing decisions to be placed on E-List-Heightened is covered in para 4.29.
- 4.119 Prisoners already located in the HSE that appear to meet the criteria for E-List-Heightened must still be referred to the Category A Team for a final decision.

Reviewing E-List prisoners (all classifications)

- 4.120 Prisoners must be removed from the E-List as soon as they no longer present a risk of escape that cannot be managed through the normal security provision of the prison or escorts.
- 4.121 All prisoners must be reviewed within 35 days of the initial decision to place them on the E-List, or sooner if new information or intelligence comes to light. This applies equally to information which may result in removal from the E-List or to information which might indicate that a change to the E-List classification is required. This might include:

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- An E-List Escort prisoner who is no longer subject to routine and predictable escort (e.g., on sentence or completion of hospital treatment).
 - Other measures to manage the risk are in place.
 - Permanent transfer.
- 4.122 Any prisoner who remains on the E-List must be subject to regular reviews. These must take place at intervals of no more than 35 days after each subsequent review and earlier if appropriate. It is recommended that these are discussed at the prison's Monthly Security Meeting.
- 4.123 The review of E-List-Escort and E-List-Standard prisoners must be conducted locally by the Head of Security or nominated manager in their absence. The review must consider the initial assessment for E-List and consider the current assessment of the prisoner's behaviour, intelligence and assess overall risk of escape. Reports must be received from the residential unit, Police Intelligence Officer (PIO), intelligence analyst and activity area (if appropriate). Where these are supplied independently, all separate reports must be dated and stored together. A summary of each must be recorded in the relevant section on the E-List Escort/Standard Review Form (Annex E) or E-List Heightened Review Form (Annex F).
- 4.124 The review of E-List-Heightened prisoners is conducted by the Category A Team. Information and intelligence to complete the review of E-List-Heightened prisoners must be prepared by the holding prison using E-List Heightened Review Form (Annex F) and submitted to Category A Team. All relevant documents must be supplied together allowing 5 working days for the review to be completed.
- 4.125 The prisoner must be informed of the outcome of the review including reasons as soon as possible using the E-List Prisoner Notification Template (Annex B) and given the opportunity to appeal using the E-List Appeal Form (Annex D).
- 4.126 Prisoners removed from the E-List must remain subject to ongoing intelligence activity in line with managing the security threats to the prison. Additionally:
- All completed E-List forms must be stored in the prisoner core record.
 - NOMIS E-List alert must be made inactive; the 'escape risk' alert may be made active.
 - Gate, communications/control room, reception, residential unit, and any other area previously notified must be informed. All photos must be removed from display.
 - Offender Management Units must be notified for court escorts.
 - The relevant Probation Offender Supervisor must be informed.
 - Local E-List database must be updated.
- 4.127 Following downgrade from E-List-Heightened, only sentenced prisoners who meet the dispersal criteria will remain in the HSE. If the prisoner is to remain in the HSE, the original prison must be informed of this decision as the earliest opportunity. In all other cases:
- The high security prison will send all E-List documentation to the receiving prison, this will not necessarily be the originating prison if the prisoner has since been sentenced and categorised.
 - Following downgrade from E-List-Heightened, the prisoner will usually remain E-List standard for a period of 3 months from downgrade decision date and normal E-list standard procedures are to be followed, with progress reviews taking place every month.
 - Remand prisoners may be transferred via court if the next appearance is within 7 days (sending and receiving prison to remain in consultation prior to and after transfer to ensure a full handover).

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- Sentenced prisoners will return to sending prison at the earliest opportunity, except where categorisation of the prisoner is now higher than the original prison.

4.128 Additionally, where the original prison is Category C or D, a categorisation review must be conducted by the original prison within 3 days. If the prisoner cannot be returned, the high security prison must be advised. It is then the responsibility of the high security prison to arrange onward transfer via Population Management.

Covert testing

4.129 It is important that covert testing is conducted using the proper procedures and in line with the [Covert Testing Policy Framework \(to be published\)](#).

5. Constraints

Dependencies

- 5.1 There are dependencies between this Policy Framework and the following:
- [Searching Policy Framework.](#)
 - [Evidence Policy Framework.](#)
 - [Management of Internal Security Procedures Policy Framework \(closed\).](#)
 - [Prevention of Escape – Externals Escort Policy Framework.](#)
 - [Reviewing the Categorisation of High Security Prisoners PSI 08/2013.](#)
 - Management of Category Prisoners Internal PSI 43/2014 (restricted).
 - Management of Category A Prisoners External PSI 09/2013 (restricted).
 - [Identification, Initial Categorisation and Management of Potential Category A Prisoners PSI 09/2015.](#)

Data Protection

- 5.2 Any information relating to an identified or identifiable living individual recorded as a consequence of this Policy Framework will be processed in accordance with the Data Protection Act 2018, UK General Data Protection Regulation and PSI 04/2018 Records Information Management Policy.
- 5.3 A Data Protection Impact Assessment Screening has been completed in support of this Policy Framework.

Freedom of Information Act

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

Diversity & Inclusion

- 5.5 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.
- 5.6 A full Equality Impact Assessment has been completed in support of this Policy Framework.

6. Guidance

Rehabilitative Culture and Procedural Justice

- 6.1 A rehabilitative culture is one where all the aspects of a prison culture support rehabilitation and contribute to a prison being safe, decent, hopeful, and supportive of change, progression and stopping offending. The application of security processes as outlined in this Policy Framework should complement and underpin such a culture to ensure effective outcomes.
- 6.2 Procedural Justice is one of the foundational features of a rehabilitative prison. Evidence shows that when people feel treated in procedurally just ways through Voice, Neutrality, Respect, and Trustworthy Motives it contributes to a host of better outcomes, including well-being, rehabilitation/reduced recidivism, safety and stability.
- 6.3 Procedural Justice can be utilised in the application of E-List procedures. For example, when a decision has been made to place a prisoner on the E-List, the prisoner must be notified using E-List Prisoner Notification Template (Annex B). However, doing this in a way that also supports Procedural Justice could involve a member of staff respectfully taking the prisoner through the E-List Notification Form, explaining why the decision has been made and what this means for them, how long the measures will last, how the review and appeal procedures work, checking the prisoner’s understanding and answering questions that they may have. When prisoners feel that they understand why decisions have been made, they are given the opportunity to ask questions, and changes to circumstances are communicated respectfully before they take place, further negative consequences can be reduced.
- 6.4 All our security processes benefit from the conscious application of Procedural Justice principles.
- 6.5 For more information, see [Procedural justice \(sharepoint.com\)](#).

7. Annexes

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

Annex A	Initial E-List Assessment Form (OFFICIAL-SENSITIVE)
Annex B	E-List Prisoner Notification Template
Annex C	E-List Procedures Audit Trail (OFFICIAL-SENSITIVE)
Annex D	E-List Appeal Form
Annex E	E-List Escort/Standard Review Form (OFFICIAL-SENSITIVE)
Annex F	E-List Heightened Review Form (OFFICIAL-SENSITIVE)
Annex G	Physical Security Self-Audit Template (OFFICIAL-SENSITIVE)
Annex H	E-List Card Generator (OFFICIAL-SENSITIVE)
Annex I	E-List Book Completion Guide (OFFICIAL-SENSITIVE)