



HM Prison &
Probation Service

HMPPS Offender Management in Custody Model

Male Open Estate Operating Model
(Blueprint)

March 2021



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Executive Summary

HMPPS's vision for offender management in custody is:

Everyone in prison should have the opportunity to transform their lives by using their time in custody constructively to reduce their risk of harm and reoffending; to plan their resettlement; and to improve their prospects of becoming safe, law-abiding and valuable member of society.

The OMiC project have made transformation improvements in the way we support, and case manage prisoners through their sentences. We are delivering this through the following changes:

- Providing significant investment so that our front-line staff can focus on building relationships with prisoners to support them to change their lives by introducing key work in all male closed prisons
- Moving responsibility for case management into the prison, until the point of handover to the community, for prisoners serving longer term sentences
- Prioritising allocation of resources for case management based on risk, sentence length and complexity
- Ensuring staff delivering case management work are suitably skilled and supported
- Delivering a bespoke offender management model for women based on the different challenges and opportunities in the women's estate.
- Delivering some bespoke features to support resettlement activity in the male open estate

The benefits of these improvements are envisaged to be:

- To make improvements to the Offender Management model introduced in 2005 and address the unique features of custody - both in terms of process (e.g. considerations of risk of escape and early release) and environment (e.g. isolation and time) which create specific opportunities and challenges

- To make improvements to prison safety – we need prisoners to feel safe, secure and settled in our prisons
- To engage prisoners – we know relationships can make a difference and want prisoners to have trusting relationships with staff to help them take responsibility for their own rehabilitation
- To improve rehabilitation and public protection in prison – by focusing on delivering improvements in sentence planning we will ensure better rehabilitative interventions and services which will have a greater impact
- To support our front-line staff in making a difference by professionalising roles, including better training for prison staff
- Change will be iterative so that we develop a more flexible model that we can continue to change, and this is aligned to reconfiguring the prison estate, probation reform and digital improvements

This document will provide the context for the creation of the OMiC model and the purpose and vision of delivering offender management in custody. The OMiC model is also aligned to the Prison Estate Transformation programme that aims to simplify the journey through custody. For clarity, this document refers to offender management as case management and the term “offender” has been replaced with prisoner, man or individual.

The OMiC model has two distinct but interconnected parts: **key work** and **case management**.

Key work is a core part of Prison Officers/Prison Custody Officers work. The role of the key worker is to develop constructive, motivational relationships with people in prison, supporting them to make appropriate choices and giving them hope and responsibility for their own development through one-to-one key work sessions.

Given the focus on resettlement and reintegration into the community, there will be no key work delivered in the male open estate however establishments should continue to deliver a personal officer scheme or other support such as peer led schemes for prisoners, where these are already in place.

The case management part of the OMiC model relates to offender management activities undertaken in both custody and the community for people who are serving a custodial sentence. The model introduces a dedicated role of Prison Offender Manager (POM); who will be line managed by the Senior Probation Officer in the new role of Head of Offender Management Delivery (HOMD) in the Offender Management Unit (OMU).

In public sector prisons, Prison Offender Managers are a Probation Officer or an operational or non-operational Band 4 prison member of staff

The decision about who has responsibility will be based on tier and the individual's sentence. A new HMPPS tiering framework has been developed for custody which is aligned to the tiering in the community and will be further updated in line with the Probation Reform Programme developments.

In public sector prisons Offender Management Units are managed and led by both the Head of Offender Management Services and Head of Offender Management Delivery.

A distinguishing feature of the model is that responsibility for offender management has moved from the National Probation Service community team into custody for longer term sentenced individuals.

As a result, the responsibility for offender management for many individuals is held by the Prison Offender Manager during the main part of their custodial sentence and will only be handed over to a newly assigned National Probation Service Community Offender Manager during the pre-release or first parole phase. This allows us to provide a service which is tailored to the needs and risk of each case. This can be seen most pertinently, through **one-to-one supervision** with Prison Offender Managers in custody.

Under the OMiC model the intensity of offender management provision an individual will receive will be dependent on several factors which include risk, need, time left to serve and sentence type. It is important to highlight that this model is a framework that underpins offender management in custody.

All sentenced individuals will be allocated a Prison Offender Manager (POM) either responsible for or supporting a Community Offender Manager depending on time left to serve, details of which are provided further in this document. POMs will undertake all relevant offender management activities that could include the following:

- Categorisation
- Public Protection Screening
- Risk assessments
- Screening for interventions
- Release on Temporary Licence (ROTL) assessments
- Home Detention curfew (HDC)
- Handover to the community

Additional case management tasks listed below will be delivered to all cases with the **exception of individuals serving under 10 months or those with up to 48 months left to serve at sentence who are low risk of serious harm.**

- Full OASys risk assessments
- Sentence planning meetings and reviews
- One to one supervision
- Handover meeting with the Community Offender Manager

Handovers are and always will be a critical phase. These can include either moving from one prison to another; from the youth estate to the adult estate or from prison back into the community. As such, emphasis has been placed on each handover; for example, this includes a handover meeting for those serving longer sentences and individuals who have experienced care. The focus of these meetings is to recognise both achievements and challenges, by looking back over the sentence, along with looking

forward, to prepare the individual for release. For cases that are not eligible for a handover meeting, they will have a pre-release handover report that will be shared with their Community Offender Manager.

The **parole process** is an important phase in many individual's journeys. A fundamental part of the OMiC Model is to introduce a more streamlined approach to the process of parole by:

- Reducing duplication
- Developing new parole reports templates
- Introducing new Quality Development Tools across HMPPS to ensure the Parole Board receive high quality assessments and recommendations.
- Introducing a dedicated handover period between the Prison Offender Manager (POM) and Community Offender Manager, (COM) to ensure key public protection tasks are completed.

At the heart of making this work and enabling information sharing and recording of good case notes, The OMiC project team have introduced a process mapping software tool **Excellence and Quality in Processes (EQuIP)** into prisons. All offender management tasks have been process mapped allowing for Offender Management Units across England and Wales to have access to these processes, guidance and relevant forms. A new approach to case notes entry has also been developed which is supported by a new case note interface between Digital Prison Services and NDelius, the HMPPS and National Probation Service case management systems respectively.

The **Offender Personality Disorder (OPD)** pathway has also been redesigned to enable delivery of the Offender Personality Disorder specification in prison for when the Prison Offender Manager is responsible. This is the core specification that is currently being delivered in partnership between National Health Service England and HMPPS via mental health input to National Probation Service community teams. This enables delivery of the Offender Personality Disorder pathway in both custody and the community.

Within custody, the Offender Personality Disorder specification element of the pathway is being delivered by the Psychology Services Group to Prison Offender Managers in Public Sector Prisons. In the community, the service will remain 'as is', with it being delivered by current National Health Service Health providers to Community Offender Managers.

An important element of the Offender Personality Disorder programme, alongside supporting offender managers to manage some very complex individuals, is developing the workforce both in prison and the community through Offender Personality Disorder specific training and development.

Background

Offender Management Framework 2006

The National Offender Management Service Offender Management Model, published in May 2006, set out the ambition of a single end-to-end approach to offender management for priority offenders. It aspired to be 'flexible enough to respond to the different needs, circumstances and motivation of offenders' and to be applied across the wide range of sentences.

Central to that aim was the assignment of a single offender manager, who would sit in the community and be responsible for the offender's complete journey through his/her sentence. For custodial cases, they would also provide continuity during any change of establishment, through release and beyond.

In Phase One, 2006, offenders in the community were prioritised, followed by people in prison with high risk of serious harm in Phase Two. In Phase Three, 2008, the scope was widened to include individuals with an indeterminate sentence of Imprisonment for Public Protection.

In 2012, all others sentenced to twelve months or more in custody were assigned an Offender Supervisor in their establishment with the responsibility on the Offender Supervisor to provide the case management. (In effect, they were made Offender Managers for this group.)

The structure was intended to be fully rolled out across custody and the community. It was crucially based on two assumptions, that:

- There would be a single case record and communication system across community and custody
- Sentencing reforms would reduce the number of individuals sent to prison which would make it affordable to extend the model to all

This is the model HMPPS has continued to aspire to up until now. It is understood that the landscape has changed substantially since 2006, bringing significant challenge to the model, as well as important opportunities for revision and improvement.

Additionally, due to other significant change programmes, the realisation of the offender management framework has not been fully achieved.

Her Majesty's Inspectorate of Prisons (HMIP) Third Aggregate report 2013

The 2013 Her Majesty's Inspectorate of Prisons Third Aggregate report into offender management recognised that there were ongoing concerns in the way the model envisaged delivering offender management in both to prisons and probation.

The report, importantly recognised that:

- The custodial phase of the sentence was not providing effective offender management
- The ambition of the offender management framework to provide continuity to the offender, via an engaged Community Offender Manager, was not being delivered.

As a result, National Offender Management Service commissioned a review of the model, focusing on the custodial period, including the critical transition between custody and community.

Offender Management Review 2015

The Offender Management Review was launched in 2015 which conducted extensive fieldwork in probation and prisons, gathered academic and practice evidence and consulted people in prison and over 500 operational staff of all grades.

The Offender Management Review proposed a new model through high level recommendations, which have been the bedrock of the new OMiC model and vision.

Vision of the OMiC model

Everyone in prison should have the opportunity to transform their lives by using their time in custody constructively to reduce their risk of harm and reoffending; to plan their resettlement; and to improve their prospects of becoming a safe, law-abiding and valuable member of society.

HMPPS are providing this opportunity through the OMiC model by:

- Encouraging and supporting Governors and directors to develop a rehabilitative prison culture that is consistently engaging, constructively challenging and rehabilitative for all, by tapping into the passion and commitment of staff and fostering individual's responsibility for their own rehabilitation
- Supporting Governors and Directors to lead the implementation of the new OMiC model in collaboration with National Probation Service colleagues; and with the support of at least one Senior Probation Officer in each Public Sector and Privately Managed Prisons
- Providing case management for everyone in prison, focusing our limited resources where they are needed most, by providing additional case management provision for the highest priority individuals at the right time during their sentence, delivered from within the prison by a dedicated Prison Offender Manager
- Introducing key work to engage, motivate, support and signpost individuals in the male closed and women's estate; resulting in individuals feeling safer, calmer and more settled, leading to improvements in safety across prisons
- Aligning the OMiC model with reconfiguration which will ensure that each individual's progress through the prison system is supported by the right resources and offender management processes at the right time and place
- Ensuring case management staff are appropriately skilled and supported by providing suitable training and continuous opportunities to develop, with career progression based on merit
- Providing Governors and directors with streamlined and efficient administrative processes which are supported by EQuIP, a process management tool, to provide clarity about the work required and easy access to policy, guidance and nationally agreed templates

Overview: Male Open Estate

The majority of the OMiC model, designed for the closed male estate, will operate in the open estate to ensure that these prisons are part of a coherent overall system for individuals serving custodial sentences. This will also ensure that Community Rehabilitation Companies and the National Probation Service are able to operate using one case management model in relation to handovers and expectations of contact from Community Offender Managers. Therefore, this document should be read in conjunction with the OMiC Operating Model for the male closed estate.

The key challenges in the open estate all relate to managing the risk of the prisoners' journey from prison into the community, rather than those of closed prisons where the challenges are often more custodial focused. Open prisons have lower staffing levels, with many prisoners released on temporary licence, and face different challenges to closed prisons. Given this focus on resettlement and reintegration into the community, there will be no key work delivered in the open estate. Governors should continue to deliver a personal officer scheme and other support such as peer led schemes for prisoners, where these are already in place.

In open Public Sector Prisons, changes were made to how offender supervision was delivered as part of the benchmarking process and the Release on Temporary Licence review. These changes represented a significant investment in case management and have been used as a foundation for the design of the model.

The move from closed to open establishments represents a significant change of environment, therefore an OASys review should be completed by the closed male estate to support the re-categorisation decision and inform the move to the open estate. The level of OASys assessment that will have been completed in the closed estate prior to transfer will be dependent on the provider and length of sentence. All National Probation Service cases will receive a layer 3 OASys, with low risk CRC cases serving 10-48 months receiving a layer 1 OASys.

Work specific to the open estate has been accounted for, including returning an individual to closed conditions and Enhanced Behavioural Monitoring (EBM). Resource has also been built in for the Prison Offender Manager to assess the documentation on file, considering the amount of complex information received in many cases and the importance of accurate assessment for Release on Temporary Licence. The individual's journey through the open estate is outlined below.

Entering the Open Estate

OASys

A move to open conditions represents a significant change of environment. An OASys assessment should be completed by the POM in the closed estate (or COM if already in handover and responsibility has shifted to the community) to inform the re-categorisation board, so that the prisoner arrives at the open estate with an up to date OASys assessment. This assessment should reflect the new sentence plan objectives and support the ROTL process.

Any re-categorisation decision should be communicated with the relevant Victim Liaison Officer in advance of the move and once the move has taken place, so they can update the victim and/or request additional conditions.

OASys Timings

In circumstances where an initial OASys assessment is required, timings and responsibility for completion are as follows:

NPS Under 10 months	NPS Over 10 months Determinate (Non-Parole)	NPS Indeterminate Sentenced Prisoners	CRC Care Leavers CRC 10-48 months and Medium ROSH CRC over 48 months
By Week 4 (COM)	By Week 10 (POM)	By Week 16 (POM)	By Week 10 (POM)

OASys reviews are expected within the following timelines, or **whenever a significant event occurs**:

NPS Over 10 months Determinate (Parole and Non-Parole)	NPS ISP – Lifer and IPP	CRC Care Leavers CRC 10-48 months and Medium ROSH CRC over 48 months
Every 2 years (POM)	Every 3 years (POM)	Every 2 years (POM)

POM to POM Handover

When an individual transfers through the prison estate, there will be a handover from the current POM to the POM in the new prison. The aim of this handover, as with other handovers, is to transfer information to the new POM, so that progress against the sentence plan can progress seamlessly. The Manage POM Cases Service (MPCS) enables POMs to view the case allocation history, including the details of who has previously managed the prisoner in another prison.

For individuals in scope for a prison OASys (assessment requirements are outlined in EQuIP), OASys must be reviewed whenever there is a significant event/change, for example, something which changes the risk management plan or sentence plan. A transfer from closed to open conditions is considered a significant event.

Key responsibilities of the POM in the Closed Estate prior to handover:

- Review OASys as part of re-categorisation decision and to inform the move to the open estate.
- Pass on all relevant documents from other parts of the sentence.
- Where one is assigned, the Victim Liaison Officer (VLO) should be contacted to inform them of the prisoner's move to open conditions.

Key responsibilities of the POM in the Open Estate as part of handover:

- Initiate handover meeting and record the salient points on DPS.
- Handover meetings can be done over the telephone, but both POMs and the prisoner must be present.
- Inform VLO that the prisoner has now transferred to open conditions.

The meeting should cover (but not be limited to):

- Progress against sentence plan
- Any information relating to risk of serious harm

- Any other relevant information relating to offender management, please see the handover guidance document for more detail.

A POM to POM handover checklist has been created and can be found on EQUIP under 'Pre-Release':

<https://equip-portal.rocstac.com/>

POM Allocation and Supervision

The general principles for allocating cases to POMS are:

- Probation POMs will hold the high risk, tier A and B cases where responsibility sits in the prison
- Prison POMs will hold low and medium risk cases, and all CRC, NPS under 10 months left to serve where a COM is assigned/responsible and all NPS determinate recalled individuals
- At the point of handover of responsibility from POM to COM, the same POM remains allocated as case support to the COM

Cohort:	Tier A MAPPA Level 2/3	Tier B RSR 6.9%+, OGRS 90 – 100% High/VHigh ROSH	Tier C RSR 3 – 6.8%, OGRS 75-89% Medium ROSH	Tier D RSR 0 – 2.9%, OGRS 0 – 74% Low ROSH
NPS Over 10 months left to serve Indeterminate and Determinate Parole Indeterminate Recall*	COM POMs will very rarely be responsible for Tier A cases as MAPPA level is usually set 6 months prior to release or following early allocation. Prison POMs may undertake case support where resources require.	Probation POM Prison POMs may undertake case support where resources require	Prison POM Probation POM may be responsible for some cases	Prison POM

All CRC cases	Not applicable	Prison POM (Only for high OGRS cases)	Prison POM	Prison POM
NPS under 10 months NPS and CRC Determinate Recall	Prison POM*	Prison POM*	Prison POM*	Prison POM*

* The Prison POM will provide support to the COM who holds responsibility for the case.

Manage POM Case Service

Manage POM Case Service (MPCS) allows the HMD to allocate a POM to a prisoner, based on tiering and point in sentence. The MPCS shows:

- Whether the prison or community are responsible for the case
- Case allocation history
- Handover dates

It also manages the handover process (including early allocations) to the community, displaying the functional email address of the LDU where the prisoner will be released to and automatically contacting them at the relevant point of a prisoner's sentence, to initiate COM allocation.

When using the Manage POM Case Service, if there are any queries or you discover any bugs in the system you should use the feedback button on the service itself or visit https://moic.service.justice.gov.uk/contact_us

Prisoner cohort	OMiC Model – Responsible offender manager	Supporting Role
NPS under 10 (those with less than 10 months left to serve from sentence)	COM is responsible throughout the whole sentence	<ul style="list-style-type: none"> • A dedicated POM undertakes prison tasks in support of the COM.
NPS over 10 (people with more than 10 months left to serve from sentence)	POM is responsible throughout the sentence until point of handover.	<ul style="list-style-type: none"> • COM is assigned 7.5 months before Conditional Release Date (CRD). • Responsibility moves either on acceptance at MAPPA level 2/3 or 4.5 months before CRD for non-MAPPA or MAPPA level 1 cases. • After the COM is assigned, the POM continues to undertake prison tasks in support of the COM. • There is a mandatory and discretionary route for cases to be referred to the community for early allocation 18 months before CRD, with the COM taking responsibility 15 months before CRD, for example MAPPA level 3, high profile and Terrorism ACT (TACT) individuals – more information regarding Early Allocation can be found on EQUIP).
NPS Determinate Parole (those who have determinate sentences and who are eligible for discretionary release by the parole board)	POM is responsible at the start and during the main phase of custodial sentence, until the individual starts the parole process.	<ul style="list-style-type: none"> • COM is assigned and becomes responsible 8 months before the first Parole Eligibility Date (PED) and then remains responsible for the rest of the sentence. • After the COM is assigned and responsible the POM continues to undertake prison tasks in support of the COM.

NPS Indeterminate Sentence (those on Indeterminate sentences)	POM is responsible at the start and during the main phase of the custodial sentence; and when the individual is not in the parole window.	<ul style="list-style-type: none"> • COM is assigned either 8 months before the individual's Tariff Expiry Date (TED) (if in closed conditions) or on arrival at the open estate if during the pre-tariff part of their sentence. • Where a parole 'knockback' is received, the COM must complete an OASys review within 6 weeks and will then remain assigned to assist with transactional tasks, whilst the POM regains responsibility for the case. However, the COM will remain responsible (POM supporting), if the subsequent parole review is set within 12 months.
CRC Cases	POM is responsible at the start and during the main custodial phase of the sentence, up to the pre-release handover.	<ul style="list-style-type: none"> • COM is assigned and becomes responsible for all relevant tasks 12 weeks before earliest date of release, either HDC eligibility date or CRD.

Supervision

In the open estate, individuals are planning for release into the community and there is a focus on certain Offender Management tasks during this period, specifically ROTL. To support this, all individuals in the open estate will receive supervision from their POM.

Supervision is one aspect of delivering the sentence plan and should be separate to generic contact time with the individual. Supervision sessions should be used to build a good working relationship between the individual and the POM, and to deliver any structured work identified in the sentence plan.

Supervision should take place throughout the prisoner's sentence, there will be times and circumstances when this will need to be more frequent, e.g. approaching parole, delivering specific pieces of work, the time leading up to handover and in preparation for release, where the prisoner needs additional support or bespoke interventions and where there are specific risk issues to address and manage, this could be relating to the custodial environment or in preparation for release. At all times there is an expectation that professional judgement is used.

A POM should use their professional judgement when determining the frequency of supervision sessions. There may be times in an individual's sentence when supervision would be more, or less, frequent depending on their progress against the sentence plan. When a COM is allocated, the POM will need to liaise with the COM and deliver one-to-one supervision sessions as agreed. The frequency of supervision should be discussed so individuals are aware of how often it will take place, and when they can expect their next session and should be clearly recorded on the prisoner's OMiC case notes on DPS.

Supervision guidance can be found on EQUIP under 'Case Management Toolkit':

<https://equip-portal.rocstac.com/>

Early Allocation

Under OMiC some cases will require a Community Offender Manager (COM) to be allocated earlier in the individual's sentence. Early Allocation to the community is to allow for the additional time required for the COM to carry out various risk management tasks with other agencies, to manage risk to ensure robust risk management plans are in place for a small number of cases due to the level of risk posed and the nature of their offending (approximately 500 per year across the prison estate).

Reasons for Early Allocation referrals could include:

- Early referral into Multi Agency Public Protection Arrangements (MAPPA)
- Planning for complex victim issues in order to protect the public
- Planning for complex release arrangements with other agencies
- Out of area release arrangements, including transfers across probation and other agencies (i.e. police forces / health providers), including MAPPA area transfers
- Requests for additional resources and practical modifications (i.e. within Approved Premises) undertaken through Critical Public Protection Case registration
- Enhanced support for the Parole process, including assistance with disclosure of information and intelligence
- Planning for high profile releases with significant national media coverage.

The process reflects the introduction of the National Security Division (NSD) and incorporates a triage process to enable NSD to have oversight of all cases that are referred to the community earlier than the standard handover point, and to accept case for management within the NSD if deemed necessary.

Further information regarding this process is available on EQuIP

OMiC has included a digital progress within the Manage POM Cases Service whereby the Early Allocation referral is sent to the community automatically through the service, 18 months prior to CRD/PRD.

Early Allocation Guidance, including eligibility criteria, can be found on EQuIP under 'Pre-Release': <https://equip-portal.rocstac.com/>

Offender Personality Disorder

The Offender Personality Disorder (OPD) Pathway programme is a jointly commissioned and co-financed pathway of services for individuals who are likely to satisfy the diagnosis of ‘personality disorder’, in addition to men being assessed as high risk of serious harm and women assessed as presenting a high likelihood of harmful offending. The joint responsibility is between NHS England and HMPPS. The aims of the programme are to more effectively manage the risk of harmful offending of individuals likely to be diagnosed with ‘personality disorder’ by investing in a pathway of services, including early identification, consultation to staff, treatment and progression services.

Its key outcomes include:

- Reducing repeat serious harmful offending
- Improving psychological health, wellbeing, pro social behaviour and relational outcomes, and
- Improving the competence, confidence and attitudes of staff working with complex individuals

The programme focuses on providing a ‘pathway’ of services which aligns with an individual’s sentence plan and operates in prisons and National Probation Service community settings. It includes improved screening/identification and assessment of individuals early in their sentence; increased treatment capacity; progression services in custody and approved premises, and improved management in prison and in the community.

Offender Personality Disorder Core Service to Offender Managers

One of the core principles of the OMiC model is the movement of the responsibility of offender management for eligible individuals from the community to the prison. Therefore, part of the Offender Personality Disorder ‘Core Offender Manager Service’ specification delivered in the community, will also move into the prison to be delivered to Prison Offender Managers.

This will result in the Offender Personality Disorder core service being delivered in both community (‘as is’) and the prison (within the new OMiC model). The delivery will continue to include the Offender Personality Disorder Screening/Case identification processes, development of Case Formulations and provision of Case Consultation services to Prison Offender Managers.

Within **public sector prisons**, HMPPS Psychology Services will provide the ‘health’ (psychological) input to the partnership for the majority of the Offender Personality Disorder Core Service, working collaboratively with the Prison Offender Manager while he or she is responsible for the case management of the individual.

Within the **community**, existing health service providers will continue to provide the service to the Community Offender Manager while they are responsible for the offender management of the individual. An important element of the programme is supporting Offender Managers to manage some very complex individuals and developing the workforce both in prison and the community. Within the open prison estate there will be a higher likelihood of cases being managed by COMs, jointly with health partners in the community, and a number of cases where COMs are identified early to support transition.

Within the open estate, a number of OPD commissioned services are operating – known as PERS (Pathways Enhanced Resettlement Services). These services support prisoners who may find the transition into open conditions and safe release into the community difficult. Offender Managers, whether POM or COM, and health/psychology partners will need to work closely with PERS services, where they are commissioned, to jointly manage and support any relevant cases.

Release on Temporary Licence (ROTL)

Release on Temporary Licence (ROTL) facilitates the rehabilitation of prisoners, by helping to prepare them for resettlement in the community once they are released. This includes, among other examples, finding work and rebuilding family ties. It is intended that this will lead to reduced reoffending in the long-term.

Offender management tasks related to ROTL have been resourced for all individuals in our care. These tasks include:

- Reviewing OASys (to ensure ROTL is linked to sentence plan objectives)
- Liaising with VLO for eligible cases
- Police comments (ROTL-POL Form)
- Checking ViSOR, if record exists
- Liaising with Social Services for eligible cases
- Undertaking home visits and providing COMCRC Comments (ROTL-OM Form)
- For foreign national cases, liaising with Home Office Immigration Enforcement
- If relevant, seeking input from Regional Confiscation Unit and Serious Organised Crime Unit (SOCU)
- Completing ROTL reports, to provide assessment of suitability of prisoner for ROTL, and particular types of ROTL
- Attendance at ROTL boards
- Undertaking alcohol testing
- Regular ROTL reviews
- Managing breaches and recalls

Additional resource has been provided for completing restricted ROTL assessments as compared to standard ROTL.

COM Input

Depending on where the prisoner is in their sentence, they may or may not have a COM assigned or responsible at the time of applying for ROTL. In instances where a COM is not yet allocated, the POM should contact the relevant LDU functional mailbox with the ROTL request for a duty COM to action.

Regardless of responsible offender manager, a COM must always input to ROTL boards, returning ROTL-POL and ROTL-OM forms.

ROTL-POL Form

It is the COM's responsibility to contact the police and procure information relating to the proposed ROTL. Requests to the police must be made for the first ROTLs (RDR & ROR) and any significant change of circumstances for any prisoner who is subject to Restricted ROTL. Once the ROTL-POL form is received from the police, the COM should return this to the POM.

ROTL-OM Form

This report should address the home circumstances, the risk of releasing the prisoner on temporary licence and the position of known victims, including whether the victim has engaged with Victim Services. The VLO should be advised/ consulted where one has been allocated and any non-contact conditions or exclusion zones requested by the victim should be included in full, plus any sensitive anniversary dates to be avoided. Children's Services must also be contacted in relation to any prisoners assessed as posing a risk of harm to children, where there are domestic abuse concerns or troubled family issues.

Restricted ROTL

The following offenders are all subject to Restricted ROTL:

- Indeterminate sentence prisoners (ISPs);
- Prisoners serving Extended Determinate Sentences, or other legacy extended sentences;
- Prisoners serving sentences for offenders of particular concern (s.236A of the Criminal Justice Act 2003);
- Any other offender who is currently assessed as high or very high risk of serious harm on OASys.

Restricted ROTL includes several elements over and above Standard ROTL:

- Offender must be in open prison (men), suitable for open conditions (women)
- Decision must be made at Governor or deputy level;
- Board must be chaired by a senior manager
- Board must see an enhanced behaviour monitoring (EBM) assessment);
- Enhanced behaviour monitoring for those who require it.
- Mandatory consultation with offender manager and police
- Mandatory comments from the offender manager
- Higher level of monitoring whilst on release

All other offenders will be considered under the Standard ROTL regime.

Types of ROTL

Resettlement Day Release (RDR)

Offenders may be released on RDR to undertake activities that are linked to objectives in their sentence plans. This is the key criterion and there is no list of approved activities but, in order to be lawful, the release must come under the following headings:

- Paid or unpaid work placements

- Training or Education
- Maintaining family ties
- Prisoner Apprenticeships Pathway
- Accommodation Related
- Outside Prison Activities
- Other activities linked to sentence plan

Resettlement Overnight Release (ROR)

The purpose of ROR is to allow offenders to spend time at their release address re-establishing links with family and the local community. Offenders can also use these temporary absences to facilitate interviews for work, training or accommodation.

Childcare resettlement licence (CRL)

The purpose of CRL is to encourage the maintenance of the ties between primary carers and their children and to help prepare the offender for the resumption of their parental duties on release.

Special purpose licence (SPL)

SPL is a short duration temporary release, often at short notice, that allows eligible offenders to respond to exceptional, personal circumstances and to wider criminal justice needs. Grounds for granting SPL include compassionate, medical or court proceedings. More details can be found in the attached guidance.

More information on the ROTL process can be found at: [Release on Temporary Licence \(ROTL\) Policy Framework - HMPPS Intranet \(gsi.gov.uk\)](#) and in section 4 'Pre-Release' on EQUIP: <https://equip-portal.rocstac.com>

Enhanced Behavioural Monitoring

Enhanced Behaviour Monitoring (EBM) provides a mechanism for giving assurance that ongoing risks (e.g. of harm; re-offending or abscond) are being appropriately identified and managed within open prisons, and subsequently as individuals are permitted to spend unescorted periods of time away from the prison in the community whilst Released on Temporary Licence (ROTL).

Eligibility Criteria

- Case Administrators will conduct an EBM screening on all new receptions into the open estate. To be eligible for consideration for active EBM management, prisoners should have more than 30 weeks left to serve and be: managed by NPS or a CRC managed case convicted of a violent offence with a high/very high OASys Violence Predictor (OVP) score.
- All men in open prisons who are subject to Restricted ROTL will have an EBM case file review completed by a psychologist.
- Decisions as to whether individuals would benefit from EBM are made based on the presence or absence of risk-related behaviours, as well as focusing on broader compliance behaviours, and the extent to which EBM would be helpful in the risk management of the case.

All staff having contact with residents who are being actively EBM managed must support the monitoring process, by providing evidence of their interactions with the individuals.

The EBM process is collaborative and supportive, including a clear feedback loop to participants, to help them understand and (where possible) manage their own risks more effectively.

The risk-related behaviours of those who choose not to participate with EBM are monitored, irrespective of their engagement with the process.

Constraints

- The EBM case file review is not a risk assessment. It is a means of collating all known risk related information about an individual. Governors and other staff must not use the case file review to evaluate whether progress to open conditions was justified or appropriate.
- Whilst the EBM case file review can be used by Governors as part of the ROTL decision making process, it must not be used as a substitute for the ROTL risk assessment processes and paperwork being followed and completed fully.
- Governors must not sanction the use of EBM with Standard ROTL cases (unless there are exceptional reasons for doing so).

More information on the EBM process can be found at:

https://intranet.noms.gsi.gov.uk/_data/assets/pdf_file/0012/1004250/enhanced-behaviour-monitoring-pf.pdf

And in section 4 'Pre-Release' on EQuIP:

<https://equip-portal.rocstac.com>

Parole

Indeterminate Sentence Prisoners will be allocated a COM either:

- 8 months before their tariff expiry date and the COM becomes responsible for management of the individual
- Upon a move to open, where a COM is allocated but not responsible until the relevant handover point

COM Handover meeting

Once responsible, the COM will introduce themselves and attend an introductory handover meeting that is set up by the POM and chaired by the COM. The individual, POM and any other relevant people will also attend this meeting. Work will need to be undertaken to share information between prison and community Offender Personality Disorder Pathway Psychology Services.

Joint Work: Offender Manager Responsibility

After the COM is assigned, the responsibility for the individual either sits with the POM or the COM. The Offender Personality Disorder Pathway Psychology Services responsibility also moves in line with the shifting of offender management.

The responsibility is always with the COM from 8 months before the parole eligibility date and until:

- Parole Board gives a 'no release' decision
- The Community Offender Manager completes a review of the OASys and sentence plan
- The case is not being actively managed at MAPPA Level 2 or 3

The POM takes back the responsibility for case management with a clear sentence plan to work from, following the review by the COM.

Responsibility moves back to the COM 8 months before the next parole eligibility date, who reviews the individual's progress, reviews the OASys assessment and writes a PAROM1 / Addendum report for the Parole Board.

Parole Board reviews must take place at least every 24 months (and are usually 18 to 24 months apart). If the next parole review is 12 months or less after the last, the responsibility will remain with the COM.

If a parole review is adjourned, or deferred, the responsibility also remains with the COM.

Community Psychologist will support COMs for all parole reports required for those individuals on the Offender Personality Disorder pathway.

Oral hearings

Both the POM and COM should attend the prisoner's oral hearings within the open estate.

The COM would be the responsible officer and accountable for their sections and their recommendation for release. The POM would support the COM as the professional who has a unique view of the individual's experience in a custodial environment, representing their input into the report.

Returning an Individual to Closed Conditions

Determinate Sentence Individuals

Where concerning behaviour occurs from a prisoner, an investigation should be conducted to determine whether this triggers re-categorisation. The POM is resourced for this recategorisation task. When the POM is off duty or not available (e.g. out of business hours) this task is co-ordinated by the Duty Governor.

PSI 40/2011 Categorisation and Recategorisation of Adult Male Prisoners states that prisoners may have their security category reviewed whenever there has been a significant change in their circumstances or behaviour which impacts on the level of security required. Changes might include those listed below, although other circumstances might also arise:

- There is a change in circumstances or behaviour which indicates an urgent threat to prison security or the good order of the establishment
- Intelligence indicating involvement in ongoing serious criminality
- Further charges of a serious nature indicate that the prisoner requires a higher level of security
- A notice of deportation is served
- A confiscation order is enforced
- A Serious Crime Prevention Order (SCPO) is imposed
- New or additional information comes to light. For example, during completion or updating the OASys assessment, escalating risk factors are identified. These factors may have already been identified in the contingency plan.
- There is cause for concern that the current categorisation decision is unsound (there must be corroborative evidence to support that concern)
- Serious ROTL failure
- Change in circumstances triggers a risk review that might result in recategorization (failed MDT)
- Security intelligence suggesting the prisoner is involved in criminal activities
- Change in home circumstances which might increase risk of abscond

- Involvement with drugs
- Sentence increased
- Deportation Order served
- MAPPA information
- Behaviour which cannot be managed

The Duty Governor will decide whether the prisoner needs to be secured or immediately returned to closed conditions. This decision is based on considerations such as the preservation of life, safety of self/other and the risk of prisoner absconding.

If the decision is made to return an individual to closed conditions, the POM must complete the RC1 recategorisation form. The completed RC1 forms part of the prisoner's record and, along with the ICA1 form, will be referred to whenever the prisoner's category is reviewed. It is vital that the form provides an accurate and full record of the decision process. In making the categorisation assessment, the process set out in the recategorisation forms must be followed, obtaining input from those prison staff and other professionals who know the prisoner best and are best placed to provide insight into the extent of any change or who have relevant specialist information.

The POM must notify all key stakeholders of the prisoner's return to closed conditions and record the actions taken on NOMIS and ViSOR as required. Stakeholders may include:

- Public Protection Casework Section (PPCS)
- Police
- COM
- Victim Liaison Officer (VLO)
- Multi Agency Public Protection Arrangements (MAPPA)

Indeterminate Sentence Individuals

An Indeterminate Sentenced prisoner will transfer to open conditions following either a recommendation by the Parole Board and acceptance by the Secretary of State, or exceptionally at the discretion of the Secretary of State following an application from the offender without consulting the Parole Board (commonly referred to as an Exceptional Transfer application), once it is agreed that the offender's risk is low enough to be managed in less secure conditions.

Where the prisoner's behaviour causes concern for staff (known as an 'adverse development') and it is considered that they are no longer manageable in open conditions, an investigation should be conducted to determine whether this triggers re-categorisation. The POM is resourced for this recategorisation task. When the POM is off duty or not available (e.g. out of business hours) this task is co-ordinated by the Duty Governor.

Examples of 'adverse developments' are:

- Abscond from open conditions
- Failure on Release on Temporary Licence (ROTL)
- Failure of a Mandatory Drug Test
- Security information comes to light e.g. drugs/mobile phones/bullying etc.
- General behaviour (e.g. behaving aggressively)
- Failure of a breath test on return from ROTL
- Brewing illegal alcohol (hooch)
- Possession of unauthorised items e.g. mobile phone/charger, debit card, SIM card etc.
- Arrested for assault or other offences
- Escape from closed conditions
- Escalation of risk that would be unmanageable in the open estate.

The Duty Governor will decide whether the prisoner needs to be secured or immediately returned to closed conditions. This decision is based on considerations such as the preservation of life, safety of self/other and the risk of prisoner absconding.

If the decision is taken to return a prisoner to closed conditions, a LISP4 document must be submitted by the POM to PPCS within 5 days, outlining the reasons why the prisoner is being returned to closed conditions.

The Responsible Offender Manager should then convene a sentence planning board to discuss concerning behaviour and review OASys. As a minimum, attendance is required by Security and the POM, and the COM if assigned. If possible, the sentence planning board should be held before the prisoner is returned to closed conditions. Where, for operational reasons, it is not possible to hold a sentence planning board first, a board must be held by the prison making the decision as soon as possible afterwards with the same reports (including OM's view for an IPP) provided as a minimum. OASys may not always be possible before a return to custody and in that case the OASys must be reviewed in the closed prison at the earliest opportunity as a significant event.

The POM should send information such as Cell Sharing Risk Assessment (CSRA) where applicable, Incentives Policy and any other relevant information relating to the adverse development to the receiving prison.

The POM must notify all key stakeholder of the prisoner's return to closed conditions and record the actions taken on NOMIS and ViSOR as required. Stakeholders may include:

- Public Protection Casework Section (PPCS)
- Police
- COM
- Victim Liaison Officer (VLO)
- Multi Agency Public Protection Arrangements (MAPPA)

Once they have received the LISP4, PPCS will disclose this document to the prisoner and the prisoner will have 28 days to make representations against the transfer back to closed conditions.

On receipt of the prisoner's representations or confirmation that the prisoner does not intend to submit representations, PPCS must consider the history of the case, the adverse development(s)/temporary removal from open conditions, any representations submitted and decide on the outcome. There are 3 outcomes PPCS can consider:

- Direct that the prisoner is recategorised and remains in closed conditions until the next parole hearing.
- Refer the case to the Parole Board for their consideration and advice on the prisoner's continued suitability in open conditions. This can be in the context of an ongoing parole review or sent separately as a stand-alone advice case.
- Issue a warning letter and return the prisoner to open conditions.

If the decision is taken, either by PPCS or the Parole Board, for the prisoner to remain in closed conditions, the POM must complete the RC1 recategorisation form.

Handover

A key feature of the OMIC model is that it relies on having only one offender manager responsible at any one time. This means that the COM is not involved in case management from the beginning when a long sentence is being served. Instead, a POM will be responsible for the main part of the custodial sentence. The handover period from the POM to the COM is therefore important. For NPS cases, a pre-release handover meeting will take place face to face, enhancing communication and supporting a strong working relationship between the POM and the COM. For those CRC cases, the POM will prepare a handover report for the COM, to relay important information about the time in custody.

An OASys is required to be completed by the POM prior to COM allocation. The purpose of this assessment is to assist the handover and review progress made by the individual against the original assessment, the risk management plan and the sentence plan. The assessment should also outline outstanding areas of work, which will assist the COM in thinking about resettlement activity.

There needs to be a pre-release OASys completed close to the handover date. For an assessment to be relevant and up to date, the risk management plan and sentence plan need to be appropriate for the case. The following table outlines when the COM will be allocated to for all custody cases, as well as the point at which responsibility transfers from the POM to the COM:

Type of Case	Event	COM Allocation	Transfer of Responsibility
Early Allocation	Meets Early Allocation Criteria	15 months before CRD	15 months before CRD

Determinate Cases			
NPS Determinate over 10 months left to serve	MAPPA Level 2 agreed or level 3 agreed (if not already referred as part of early allocation)	7.5 months before CRD	Upon MAPPA level 2/3 being confirmed by the COM
NPS Determinate over 10 months left to serve	Not a MAPPA case or MAPPA Level 1 agreed	7.5 months before CRD	Whichever is first: <ul style="list-style-type: none"> • HDC Release • 4.5 months before CRD
NPS Determinate with Parole	Generic Parole Process	8 months prior to Parole Eligibility Date (PED)	8 months prior to Parole Eligibility Date (PED)
All CRC Cases	Usual process	12 weeks before whichever is first: <ul style="list-style-type: none"> • HDC eligibility date • CRD 	12 weeks before whichever is first: <ul style="list-style-type: none"> • HDC eligibility date • CRD
Indeterminate Cases			
NPS Indeterminate	Pre-tariff Parole – Parole Board agree a move to open conditions	Prisoner moves to open conditions	8 months prior to Parole Eligibility Date (PED)
NPS Indeterminate	On-tariff Parole Board Hearing in closed conditions	8 months prior to Parole Eligibility Date (PED)	8 months prior to Parole Eligibility Date (PED).

			<p>If unsuccessful, COM completes new OASys and responsibility transfers back to POM and the COM remains assigned in a supporting role.</p> <p>COM remains responsible if MAPPA 2 or 3, or if next hearing is within 12 months.</p>
NPS Indeterminate	Post-tariff Parole Board Hearing	As above, they will have been allocated 8 months prior to PED (i.e. their on-tariff or by 8 months before their Tariff Expiry Date)	<p>8 months prior to scheduled Parole Hearing.</p> <p>If unsuccessful, COM completes new OASys and responsibility transfers back to POM and the COM remains assigned in a supporting role.</p> <p>COM remains responsible if MAPPA 2 or 3, or if next hearing is within 12 months.</p>

The Responsible Offender Manager must ensure that where a VLO is appointed, they are contacted as part of pre-release activities.

The COM will chair a pre-release handover meeting. This should include:

- An update on the individual's progress
- The individual's needs and responsivity
- The individual's risks
- A discussion to agree outstanding areas for objective setting and release planning

A full pre-release meeting agenda is available on EQuIP: <https://equip-portal.rocstac.com>

The following table shows each activity that should take place in the pre-release period alongside an indication as to whether the POM or COM is responsible for each task. Some tasks vary between the POM and the COM depending on who is responsible at the time; these tasks are marked as 'dependant on responsibility'.

TASK	Responsibility	
	POM	COM
OASys assessment in preparation for handover	X	
Any OASys that is required post- transfer of responsibility		X
Talk through case by phone / in person	X	X
Review case and engage individual		X
Initial MAPPAs screening		X
Participate in MAPPAs meeting	X	X
Supervision	X (if requested by COM)	
OM tasks: ROTL, HDC, ACCT, go through licence	X	
HDC Home Suitability Assessment (if required)		X
Participate in pre-release / pre-parole board	X	X
Add POM-COM handover entry to Delius (following pre-release meeting)		X
Approved Premises referral		X
*PAROM1 pre-tariff	X	
PAROM1 on/post-tariff	(contribution)	X

Attend Oral Hearing	X	X
Recall part B and part C report		X
Recall 3-way meeting following recall	X	X
<i>Responsibility for the below tasks varies between prisoner cohorts depending on whether transfer of responsibility has taken place. Please see table 3.4 for handover timings.</i>		
Pre-release OPD (offender personality disorder) screening and formulation	(dependant on responsibility)	(dependant on responsibility)
Contact VLO	(dependant on responsibility)	(dependant on responsibility)

*This applies to OMiC Parole launching on 1st May 2021. Until this goes live the COM will complete the pre-tariff PAROM1.

Digital Prison Services (DPS)

Under OMIC the new POM role transfers responsibility for the management of information about individuals into the prison.

OMIC case notes have been created in DPS, with a number of different sub-types for recording. There is also an OMIC OPD case note, with a number of sub-types, for recording OPD activity.

OMIC case notes in DPS can only be made (and read) by staff who have delegated access rights. Currently, the following roles are permitted access to OMIC case notes: Head of Offender Management Delivery (HOMD), Head of Offender Management Services (HOMS), POM, Case Admin and Governors. The OMiC team have enabled access for the National Security Division and the National Intelligence Unit and are in process for facilitating access for certain Psychology staff (delivering OPD services) and Programme Facilitators to ensure they can access information required to carry out their roles. HMIP and OSAG are also able to access OMIC case notes for auditing purposes.

OMIC case notes were designed in this way in response to concerns about sensitive and/or unnecessary information being widely available within establishments. This feature is to enable POMs to feel confident in recording personal information about the individual on case notes and avoid saving information on local word-based files.

Another feature of OMIC Case Notes is that any case notes made after 1st October 2019 are readable in Delius, the community case management system. This supports the crucial handover period into the community and ensures that the COM and VLO has access to any OMIC case notes and records of key work sessions. OMIC case notes are not readable in classic NOMIS.

The HOMD should maintain oversight of who has access to DPS Case Notes within the OMU.

A further feature of DPS means that staff with the above delegated access rights can now access important documents from Delius, relating to sentencing or previous events, and view these documents from within DPS itself.

EQuIP

EQuIP is a process management tool which provides quick and easy access to **processes, policies** and **guidance**. It is a web-based application and works in the same way as other websites. All OMIC processes are mapped, and this will include all processes for the Open estate by the end of March 2021. The OMIC Case Management Toolkit on EQuIP contains a wealth of resources and guidance as well as links to the relevant processes.

The use of EQuIP ensures that a consistent national approach is taken to offender management processes and it also gives colleagues an opportunity to influence change by providing feedback through the platform.

<https://equip-portal.rocstac.com/>

EQuIP usage is monitored on a monthly basis through the case management dashboard and it is expected that staff will log on regularly. It should be included in the project plan how prisons will advertise EQuIP to staff, communicate its benefits and drive up usage until it is embedded in daily practice within the Offender Management Unit.