



PROBATION BOARD FOR NORTHERN IRELAND

SIGNIFICANT RISK OF SERIOUS HARM TO OTHERS

PROCEDURES

May 2017

Contents

1. Introduction	2
2. PBNI Initial assessment.....	6
3. PBNI Initial Risk Management Meetings (RMM)	8
4. Risk Management Meeting (RMM) Reviews.....	10
5. PBNI Risk Management Review – Community.....	11
6. PBNI Risk Management Review – Custody.....	12
7. PBNI Significant Risk of Serious Harm - Public Protection Arrangements Northern Ireland (PPANI)	14
8. Risk Management of PBNI Significant Risk of Serious Harm Cases – Community.....	15
9. Closing PBNI Significant Risk of Serious Harm Cases	16
10. Long Stay Hospital CASES	17
11. Warrants and Recall.....	17
12. Summary of Supervising Probation Officers Case Management Responsibilities.....	18
13. Compliance Assurance: Line Managers’ Responsibilities.....	19
14. Annual Audit.....	20
Appendix 1: PBNI Risk Management Meeting Structure	21
Appendix 2: PBNI Risk Management Meeting.....	22
Appendix 3: RM1: Summary of Risk Management Meeting.....	23
Appendix 4: Significant Risk Of Serious Harm – Diagram	25
Appendix 5: The 3 Ps of Risk Management.....	26

Probation Board for Northern Ireland Significant Risk of Serious Harm to Others Procedures

1. INTRODUCTION

- 1.1 The Probation Board for Northern Ireland (PBNI) is committed to the effective assessment and management of risk, which underpins PBNI interventions with offenders.

Risk Assessment shall take place at all stages of PBNI contact including:

- At point of first contact with PBNI; usually at the PSR stage;
- Statutory supervision;
- Custodial phase of relevant sentences;
- Post release supervision; and
- Any agreed voluntary supervised case.

- 1.2 The PBNI Significant Risk of Serious Harm procedures outlined below apply to those offenders in contact with PBNI where there are concerns about the Significant Risk of Serious Harm posed. The need for multi agency involvement and engagement in the assessment and management of Risk is central to its effectiveness and success in protecting victims and helping to prevent future victims. The PBNI Significant Risk of Serious Harm procedures cover the following core functions:

- Identification of relevant offenders;
- Sharing of relevant information;
- Assessment of Risk; and
- Management of Risk.

1.3 Significant Risk of Serious Harm Assessment

- 1.3.1 ACE (Assessment, Case Management and Evaluation) is a structured assessment tool used by PBNI, in conjunction with professional judgment, to assess the likelihood of general re-offending within a two year period. Included within the ACE assessment is a Significant Risk of Serious Harm Filter which triggers a Significant Risk of Serious Harm assessment in cases where such concerns exist.

- 1.3.2 The RA1 is a structured process used by PBNI for assessing the Significant Risk of Serious Harm through gathering, verifying and evaluating a wide range of relevant information, including details from the ACE assessment. The eventual decision as to whether or not an offender is considered a Significant Risk of Serious Harm is taken at a Risk Management Meeting. When assessing the significant risk of serious harm the following information should be considered:

- Pattern of offending (including previous or current risk associated behaviour); in prisons this can include offence paralleling behaviours.
- The extent to which the offender has already caused serious harm, and the frequency and escalation of harm over time;

- Triggers and situations that have been associated with harmful behaviour in the past and whether they still exist;
- Whether opportunities for committing harmful acts are increasing or decreasing;
- The offenders' insight into, and attitudes towards, their offending and the harm that they have caused;
- Nature and degree of violence including any aggravating factors such as bizarre or ritualistic elements or use of weapons;
- The offenders' attitude to victims or victim groups
- Relevant information about victims, for example, age, race and diversity as well as the relationship of the victim(s) to the offender
- The offender's motivation to commit further offences;
- The offender's motivation and ability to change including: past responses and history of engagement or non- engagement; and current attitudes to monitoring, supervision and change programmes;
- Requires (intensive) long-term risk management to contain the risk (including long-term intervention);
- Seriously harmful offending will happen if controls are absent;
- Offender exhibits little or no self-risk management;
- Pervasive risk and a lack of protective factors to mitigate that risk;
- Offender is actively seeking opportunities to offend; and
- Actively 'testing' or breaching controls on behaviours or limits to opportunities (e.g. curfews, residence conditions, exclusion conditions). (Hazel Kemshall, March 2010)
- History of extreme impulsivity and/or volatility;
- Pronounced negative outlook- 'nothing to lose';
- Established pattern of being out of custody for short periods before re- offending (specified and/or serious offences);
- Reacts badly to destabilising events e.g. partner leaves or key support figure dies;
- Pattern of escalating seriousness coupled with no sustainable indicators of change.
(Gill MacKenzie, De Montfort University, 2010)
- Gratuitous violence – the use of violence over and above that which is necessary to commit the offence (Appeal Court R v Kubik 2016)
- Medical evidence as to the impact of the offence on the victim (Appeal Court R v Kubik 2016)
- Level of degradation of the victim (Appeal Court R v Kubik 2016)

The role of protective factors – these are not merely the inverse of risk factors. Protective factors must be assessed as genuinely protective for that individual i.e. there is evidence that they have been protective in the past and could be so in the future. There is a need to be clear as to how protective factors impact on the attitude and/or behaviour of the offender and whether they are sustainable (Hazel Kemshall)

1.3.3 Additional PBNI approved assessment tools may also be applied in relevant cases, though an over reliance on assessment tools is advised against. Further where appropriate, PBNI's Risk of Serious Harm procedures shall interface with the risk assessment and review arrangements operating within: Prisons; Young Offender's Centre; Juvenile Justice Centre; and the Public Protection Arrangements Northern Ireland (PPANI).

1.4 The victim is central to the offence and it is therefore essential for all those involved in the Risk assessment and management of offenders to keep a victim perspective in focus.

1.5 Key legislative definitions are:

1.5.1 "Dangerousness"

1.5.2 Where an offender has been convicted of a specified offence the court has assessed '...there is a significant risk to members of the public of serious harm occasioned by the commission by the offender of further such offences'¹"Serious Harm"

'death or serious personal injury, whether physical or psychological'²

1.5.3 "Specified offence"

'an offence is a "specified offence" [for the purposes of this Chapter] if it is an offence specified in Schedule 1'³

1.5.4 "Serious offence"

'an offence is a "serious offence" [for the purposes of this Chapter] if it is an offence specified in Schedule 2'⁴

1.6 Key PBNI terminology relating to the Risk of Serious Harm.

1.6.1 Risk Assessment.

Process of evaluating the Significant Risk of Serious Harm posed by an Offender.

1.6.2 "Serious harm"

The definition of 'serious harm' used by PBNI is the legislative definition:

'death or serious personal injury, whether physical or psychological'⁵

1.6.3 Significant :

The likelihood that an act, the impact of which would be serious harm, will occur i.e there is a high probability of an offence causing significant harm recurring.

¹ Criminal Justice (Northern Ireland) Order 2008 Article 15 (1)(a)(b)

² Criminal Justice (Northern Ireland) Order 2008 Article 3 (1)

³ Criminal Justice (Northern Ireland) Order 2008 Article 12 (1)

⁴ Criminal Justice (Northern Ireland) Order 2008 Article 12(2)

⁵ Criminal Justice (Northern Ireland) Order 2008 Article 3 (1)

1.6.4 Significant Risk of Serious Harm

The PBNI Significant Risk of Serious Harm assessment is an evidenced based judgement as to the level of risk of an offender committing a further offence, causing serious harm. PBNI assesses an offender to be a 'Significant Risk of Serious Harm' when:

there is a high likelihood that an offender will commit a further offence, causing serious harm. (See also Appendix 4 – Significant Risk of Serious Harm Diagram)

(For offenders in custody the assessment is made as if the offender is currently in the community.)

1.6.5 Risk Management.

Process of addressing the Significant Risk of Serious Harm posed by an offender by the formulation of a Risk Management Plan, which targets specific risk factors through lawful, necessary, defensible and proportionate actions.

1.7 Dangerousness.

1.7.1 The Criminal Justice (NI) Order 2008 sets out a list of serious and specified sexual and violent offences respectively in Schedule 1 and Schedule 2. ⁶ An offender who has been convicted on indictment of a specified or serious offence and, when the court has assessed as 'dangerous' (see 1.5.1 above) will meet the criteria for a public protection sentence: an Extended Custodial Sentence (ECS) or an Indeterminate Custodial Sentence (ICS).⁷

1.7.2 The Pre Sentence Report (PSR) provides information, assessment and analysis which the court may take into account in its determination of 'dangerousness'. The 'Significant Risk of Serious Harm' section of a PSR provides details supporting the outcome of assessment, including why an offender has or has not been assessed as a Significant Risk of Serious Harm.

1.7.3 When referring to Significant Risk of Serious Harm in a PSR (and reports to the Parole Commissioners) use the full title: Significant Risk of Serious Harm – do not abbreviate. By way of providing clarity when using the term for the first time in a report, immediately define the term as follows: PBNI assess an offender to be a Significant Risk of Serious Harm if there is a high likelihood of an offender committing a further offence, causing serious harm.

1.7.4 The legislation does not define 'significant risk' within the definition of 'dangerousness' and it is for the court to decide whether or not the risk of serious harm posed by an offender is significant. The court of appeal judgement (R v Lang and others 2005)⁸ gave guidance on a number of different aspects of the provisions relating to the sentencing of 'dangerous offenders' including the following:

(1) The risk identified must be significant. This is a higher threshold than mere possibility of occurrence and in our view can be taken to mean (as in the Oxford Dictionary) "noteworthy, of considerable amount or importance"'

1.7.5 Where PBNI have assessed an offender as a significant Risk of Serious Harm this equates to 'significant risk' as defined in 1.7.4 above.

⁶ Criminal Justice (Northern Ireland) Order 2008 Schedule 1 and schedule 2

⁷ As above Articles 13 and 14

⁸ See R v Lang and others (2005), EWCA Crim 2866

2. PBNI INITIAL ASSESSMENT

- 2.1 The PBNI risk assessment and management process commences with an initial Assessment (ACE) undertaken usually at the Pre Sentence Stage.
- 2.2 An Initial Assessment (ACE) is completed by the Pre Sentence Report (PSR) writer on PBNI's Case Management System prior to a PSR being completed for court. At this stage the PSR writer is gathering relevant information from a range of sources including:
- Accurate and up to date criminal record;
 - Depositions or police statement of facts;
 - Victim and witness statements;
 - Victim Impact Report, if available
 - Detailed social, personal and offending information including medical, psychiatric, psychological histories/ reports;
 - Previous Probation records;
 - Direct observations, interviewing offender and significant others.
- 2.3 The ACE Significant Risk of Serious Harm Filter shall be completed on all ACE assessments. This is the first stage in identifying offenders who require a full RA1 Significant Risk of Serious Harm assessment.
- 2.4 As a guideline, - and the list is not exhaustive - the following offences are considered to involve serious harm (includes inchoate offences e.g. attempts, conspiracy, aid/abet):
- | | |
|---|----------------------------------|
| Murder | GBH with intent to endanger life |
| Abduction/Kidnapping | Unlawful Imprisonment |
| Manslaughter | Malicious wounding |
| Serious sexual or violent offences against adults or children | Use of weapons |
| Serious/repeat driving offences | Threats to kill |
| Arson / criminal damage endangering life | |
- If a Probation Officer requires clarification on whether an offence involves serious harm, they should confer with the line manager.
- 2.5 An RA1 assessment shall be completed on all cases where the ACE Significant Risk of Serious Harm filter has recorded at least 1 'Yes' response unless the exemption at 2.7 applies.
- 2.6 All offenders convicted of murder or who have a previous conviction for murder shall require a full RA1 assessment.
- 2.7 Where **all** the following apply, an RA1 assessment is not required at the PSR stage; or initial /review stage of any case:

- The index offence(s) is not one of those listed at 2.4 above;
 - The only 'Yes' response(s) triggering a full RA1 relates to a current and/or previous offence(s) listed, or now listed, as Serious and/or Specified within the CJ(NI) Order 2008; and
 - There are no concerns about the Significant Risk of Serious Harm.
- 2.7.1 It is important to exercise caution when considering this exemption as, for example, in the case of an AOABH offence within a Domestic Abuse/Violence context or where the victim is a child or vulnerable adult. An RA1 should be completed in such cases.
- 2.7.2 Where the exemption has been applied the reasons for not completing a full RA1 shall be recorded in the following section of the ACE Significant Risk of Serious Harm Filter; Significant Risk of Serious Harm Filter in the text box relating to 'Other Evidence/Concerns'.
- 2.8 The RA1 process is designed to lead to an overall assessment of the Significant Risk of Serious Harm, following a thorough and detailed consideration of a wide range of accurate and up-to-date information. It is important to record the sources used in the assessment and any gaps in the information obtained. If the conclusion to the assessment is that the offender is considered a Significant Risk of Serious Harm then the Area Manager shall be consulted with immediate effect (not more than 2 working days after the completion of the RA1) regarding the validation of this assessment.
- 2.9 If the Area Managers concurs with the assessment that the offender is considered a Significant Risk of Serious Harm an initial Risk Management Meeting (RMM) is to be convened within 10 working days of the validated assessment. At the PSR stage for all Murder, Serious and/or Specified Offence cases appearing at the Crown Court, the Initial RMM shall be convened in advance of the PSR being submitted to court. An explanation for any delay in not convening the meeting within the time frame is to be recorded on the RM1.
- 2.10 The Area Manager in validating, or not validating, the assessment shall record additional comments and in particular any immediate actions that may be required to protect others from Serious Harm including communicating concerns to other agencies in accordance with relevant policies, procedures legal responsibilities and protocols.⁹
- 2.11 Where the outcome of the RA1 assessment by the probation officer is that the offender is not considered a Significant Risk of Serious Harm, the reasons for this conclusion shall be recorded on the RA1 assessment and entered on PBNI's Case Management System. However whilst there is no requirement to share these 'No' outcomes with the Area Manager, the probation officer shall consult with the Area Manager immediately, and not more than 2 days and after the completion of the RA1, in any case where:
- The outcome of the RA1 assessment is inconclusive and the Probation Officer requests the validation of the Area Manager; and
 - Where an Area Manager requests an RA1 for his/her validation.
- 2.12 In the event that an Area Manager, when validating an RA1 assessment where the offender has been assessed as not a Significant Risk of Serious Harm, is of the

⁹ See current: PBNI Child Protection Policy and Procedures; PBNI Health and Safety at Work (Personal Safety) Policy; PBNI Policy and Procedural Guidance on Disclosure of Information Regarding Commission Of an Offence; and PPANI Manual of Practice.

opinion that a Significant Risk of Serious Harm does exist, a PBNI Initial Risk Management Meeting shall be convened as per 2.10 above.

- 2.13 It is important that the ACE, the ACE Significant Risk of Serious Harm filter and the RA1 are fully completed on PBNI's Case Management System within 5 working days in advance of a Risk Management Meeting.
- 2.14 If in exceptional circumstances the documentation cannot be completed prior to the meeting an explanation for same is to be recorded on the risk management meeting summary pro forma, the RM1.

3. PBNI INITIAL RISK MANAGEMENT MEETINGS (RMM)

- 3.1 The Probation Officer shall ensure that PBNI initial RMM is organised and co-ordinated which shall include:
- Specifying who shall be invited, depending on the details of the individual case;
 - Involving PBNI psychology services in all Murder, Serious and/or Specified Offence cases requiring an initial RMM;
 - Notifying all parties about the RMM;
 - Informing the offender of the meeting;
 - Ensuring ACE, RA1 (and PSR where available) are available on Case Management System for relevant PBNI staff, prior to the meeting;
 - Informing other relevant agencies about the identity of the offender and key issues of concern and requesting a short summary report outlining any issues of concern to be brought to the meeting; and
 - Making suitable administrative and domestic arrangements for the meeting.
- 3.2 The PBNI Initial RMM shall be chaired by an Area Manager. If there are a number of co defendants in a case, a separate RMM will be convened for each offender.
- 3.3 All participants in the RMM shall share responsibility for decision making about the Significant Risk of Serious Harm. An offender shall be assessed as posing a Significant Risk of Serious Harm where there is a high likelihood of an offender committing a further offence, causing serious harm.
- 3.4 PBNI Initial RMMs shall follow a standard format as set out in appendix 1.
- 3.5 The purpose of a PBNI Initial RMM is to:
- Share information;
 - Identify risk and protective factors (if present) and outline evidence to support the assessment;
 - Decide on whether, or not, an offender poses a Significant Risk of Serious Harm;
 - Draw up a Risk Management Plan to address the identified risk factors – irrespective of whether the offender is assessed as posing a Significant Risk of Serious Harm.

- 3.6 The PBNI Initial Risk Management Meeting, if required at the Pre sentence stage, is most effective if convened prior to the court date. In all current Murder, Serious and/or Specified Offence cases, therefore, the requirement is that the PBNI Initial RMM shall take place pre court. This shall assist the Pre Sentence Report (PSR) writer to complete the Risk of Serious Harm and Conclusion sections of the PSR.

Note: If an RMM is required at the PSR stage, and the case involves an existing SROSH offender, the meeting shall have the designation of a review. If the PSR writer is from a different team the respective Area Managers are to agree on who should chair and who should attend the review.

- 3.7 If an initial RMM cannot be held before the date of the sentencing court and the defendant receives a sentence of imprisonment to be followed by statutory supervision, the PSR author shall convene a RMM within 10 working days of sentence or before the prisoner is released if this is sooner. An explanation as to why the RMM could not be held prior to sentencing should be detailed in the RM1.
- 3.8 If an RMM cannot be held prior to sentence and the defendant receives a Community Sentence, the relevant team shall convene a RMM within 10 working days of sentence. An explanation as to why the RMM could not be held prior to sentencing, should be detailed in the RM1.
- 3.9 Where the outcome of the RMM is that the offender is assessed as a Significant Risk of Serious Harm the reasons for this decision shall be recorded clearly on the RM1. The RMM, and summary shall also outline the risk management plan including any immediate actions to address risks. The risk management plan's actions shall also be reflected in and addressed within the offender's updated case plan.
- 3.10 The Risk Management Plan shall cover the following:
- Actions to address identified risks; including any immediate actions;
 - Who will take each action and when each action will happen;
 - Involvement of offender in addressing and managing identified risks;
 - Supports and controls, existing or required, to help manage the risks;
 - Additional requirements or conditions required to help manage the risks;
 - Roles and requirements of all agencies involved;
 - Level of contact, monitoring and supervision;
 - Date of next review RMM.
- 3.11 The summary of the PBNI Initial RMM shall be recorded by the Probation Officer on PBNI's Case Management System on form RM1 which records the following:
- Date and location of meeting;
 - Record details of those in attendance: record apologies; record invited but did not attend;
 - Issues discussed;
 - Evaluation of Risk (including risk and protective factors);
 - Decision on Significant Risk of Serious Harm;

- Evidence on which assessment is based;
 - Details of the Risk Management Plan;
 - Detail which agencies are responsible for progressing identified tasks in the risk management plan;
 - Date of next review meeting.
- 3.12 In Serious and/or Specified Offence cases or where a custodial sentence is likely the Initial RMM shall outline how the identified risk factors could be addressed including any immediate actions to address risk.
- 3.13 Where the outcome of an Initial or review RMM is that the offender is not a Significant Risk of Serious Harm the reasons for this decision need to be clearly outlined in the summary. In these situations there is likely to be identified risks relating to harm, which need to be addressed and managed as outlined in a risk management plan. The risk management plan actions for these cases shall be reflected in and addressed within the offender's updated case plan.
- 3.14 The PBNI Initial RMM shall agree the arrangements for communicating the decisions of the RMM to other agencies and individuals including the offender. Agencies in attendance at the RMM, and those invited but could not attend, can, on request, receive a copy of the RM1 under restricted cover.
- 3.15 The Chairperson of the PBNI Initial RMM must approve the RMM summary before they are circulated. By way of approval the manager should enter his/her name, with the date of approval onto the RM1. The RMM summary shall be circulated by the Probation Officer. Requests for amendments to the RM1 must be forwarded to and approved by the Chair of the RMM.
- 3.16 The outcome of the RMM shall be inserted into the 'RMM tab' on PBNI's Case Management System selecting one of three options:
- Deferred;
 - Not a Significant Risk of Serious Harm;
 - Significant Risk of Serious Harm.

4. RISK MANAGEMENT MEETING (RMM) REVIEWS

- 4.1 Just as risk does not remain static, the management of risk needs to be reviewed and updated on a regular basis. RMMs will be held at least every 16 weeks in the community; and for prisoners, at critical transition/trigger points during their sentence (if PBNI is the Co Ordinator) or 20 working days prior to release (if the prisoner is going to be subject to supervision in the community). These reviews shall take account of any significant changes which may have occurred since the last risk meeting including further offending, conviction and/or breach/recall proceedings.
- 4.2 The RMM Review shall be brought forward to take account of any notable event, change in circumstances or relevant new information including a marked or a pattern of non-compliance, arrest, police questioning, charge or conviction, breach, recall; or transfer; or consideration for release on supervision from custody.

- 4.3 In respect of applications for temporary releases from custody a review (and updating the supporting ACE/RA1 documentation should be completed, if not completed within previous 6 months).
- 4.4 Care should be taken when cloning an ACE and/or RA1 document. The only information to be retained on cloned documentation is either static information (for example, offending history) or information which remains current (for example, an offender's continuing ill health).
- 4.5 If an offender has been designated at a RMM as posing a Significant Risk of Serious Harm, there is no requirement on the Area Manager to validate the RA1(r), for the purposes of a RMM Review.

5. PBNI RISK MANAGEMENT REVIEW – COMMUNITY

- 5.1 The risk assessment and progress of a Significant Risk of Serious Harm case shall be reviewed at least every 16 weeks at a RMM Review. On each occasion the risk assessment and Risk Management Plan are also reviewed. Any changes in the offender's circumstances or behaviour shall be discussed and clarified at the review.
- 5.2 The review RMM shall be brought forward where there are significant changes in the circumstances or details of an offender which indicate increased concerns about risk as detailed in 4.2 above.

When convening the Community review PBNI RMM the supervising Probation Officer shall ensure the following:

- Notify all parties about the Review RMM;
 - Ensure that ACE and RA1r and other relevant documentation is updated and available on Case Management System within 5 working days prior to the Review RMM. If the ACE/RA1r documentation are not completed prior to the meeting: an explanation for same should be recorded in the RM1;
 - Make suitable administrative and domestic arrangements for the meeting;
 - Inform offender of Review meeting. There is no requirement to invite an offender to the meeting. Any such invitation requires the approval of the Area Manager.
- 5.3 The Review RMM shall follow a similar process and structure to the Initial Risk Management Meeting and its purpose is to:
 - Review previous Risk Management Meeting recommendations;
 - Review the progress of the case in terms how the risk factors have been addressed;
 - Identify any relevant changes or new information since the last RMM;
 - Decide on whether or not the offender continues to pose a Significant Risk of Serious Harm;
 - Review and amend, as appropriate, the Risk Management Plan.
 - 5.4 Where the decision of the PBNI RMM Review is that the offender is assessed as still a Significant Risk of Serious Harm the Risk Management Plan shall identify how the risk factors shall be addressed to manage and/or reduce the risk of serious harm. The risk

management plan actions shall also be reflected in and addressed within the offender's updated case plan.

5.4.1 Where a decision is taken that the offender no longer poses a Significant Risk of Serious Harm the following shall be considered and accurately recorded on the RM1 form and entered on PBNI's Case Management System:

- What risk factors have changed to reduce the risk of serious harm?
- What evidence is there to support these changes?
- Have the concerns of all relevant parties including victim(s), family, partner and offender been taken into account?
- Any residual risks identified; and actions to address same should be included in the risk management plan. These actions shall also be reflected in and addressed within the offender's updated case plan.

5.4.2 The summary of each Review RMM shall be recorded on the RM1 form on PBNI's Case Management System and communicated appropriately. The chairperson of the RMM must approve the summary before they are circulated.

By way of approval the chair person should type his/her name, with date of approval, on the RM1. Requests to amend the RM1 must be forwarded to and approved by the Chair of the RMM.

5.4.3 In those cases where the PBNI RMM has concluded that the offender is not a Significant Risk of Serious Harm a further Risk Management Meeting shall only be convened where a change in circumstances and/or behaviour subsequently indicates that the offender poses a significant Risk of Serious Harm.

6. PBNI RISK MANAGEMENT REVIEW – CUSTODY

6.1 For sentenced prisoners the PBNI assessment shall remain relevant for 6 months after the offender is committed into custody and be available to the process within each respective custodial institution

6.2 PBNI will ensure that an ACE/RA1 is completed in relation to all prisoners at the point of committal to custody unless an ACE/RA1 has been completed within the previous 6 months.

6.3 The ACE/RA1/SROSH assessment expires 6 months post committal. A RMM is not required to be convened.

6.4 PBNI will ensure a new ACE/RA1 is completed and a RMM convened, if applicable on request by the Prisoner Governor (for example, when the prisoner is eligible for Conditional Early Release) and/or at critical transition/trigger points for all sentenced prisoners (for example, when prisoner is eligible for Unaccompanied Temporary Release; PCNI Hearings).

6.5 PBNI will ensure an ACE/RA1 is completed and a RMM is convened, if applicable, within 20 working days prior to a prisoner's release if they will be subject to post release supervision. The RMM meeting will be chaired by the local community Area Manager unless the prisoner's address on release has not been confirmed when it will be chaired by the Prison Area Manager.

6.6 PBNI staff in prisons shall undertake the following tasks in relation to the RMM Review:

- Notify all parties about the RMM Review including offender, where appropriate;
- Make suitable administrative and domestic arrangements for the meeting;
- Ensure that ACE and RA1 are fully completed and updated on PBNI's Case Management System 5 working days in advance of a RMM Review.
- Ensure that the summary is accurately recorded on RM1 on PBNI's Case Management System including:
 - Date and location of meeting;
 - Record details of those in attendance: record apologies; record invited but did not attend;
 - Issues discussed;
 - Evaluation of Risk (including risk and protection factors);
 - Decision on Significant Risk of Serious Harm;
 - Evidence on which assessment is based;
 - Details of the Risk Management Plan;
 - Detail which agencies are responsible for progressing identified tasks in the risk management plan;
 - Date of next review meeting.
- The Chairperson of the RMM Review must approve the RMM summary before they are circulated. By way of approval the Area Manager should type his or her name, with the date approved, onto the RMM. Requests to amend the RM1 must be forwarded to and approved by the Chair of the RMM.
- Where an offender, currently subject to supervision is remanded or recalled to custody the ACE /RA1 shall be updated by the community based Probation Officer and a RMM convened (if appropriate) within 10 working days. Following this, the ACE (and RA1 if appropriate) shall be reviewed as set out in 6.4 i.e. it will no longer be necessary for the community Probation Officer to review every 26 weeks.
- If a Significant Risk of Serious Harm offender supervised in the community is remanded or recalled to custody; a review RMM shall be held (this also relates to PPANI cases). This shall be convened by the community based Probation Officer. Following this if Significant Risk of Serious Harm status is maintained the review period will be as set out in 6.4 i.e. it will no longer be necessary for the community Probation Officer to convene a RMM every 26 weeks.

Life Sentenced Prisoners

PBNI will ensure an ACE/RA1 is completed and a RMM is convened, if applicable, in respect of Life Sentenced Prisoners:-

- Prior to consideration for progression to periods of 24 hour Unaccompanied Temporary Release;

- Prior to consideration to move to Phase 3 of the Pre Release Scheme, living full time in the community. This will coincide with the preparation of the 6 month Pre Tariff report to the Parole Commissioners Northern Ireland (PCNI);
- Every 16 weeks (or sooner, if deemed necessary) during Phase 3 of the Pre Release scheme and prior to PCNI Hearing;

Where there is a notable change in the prisoner's circumstances, behaviour and/or attitude, or there is new information indicating an increased risk of serious harm.

7. PBNI SIGNIFICANT RISK OF SERIOUS HARM - PUBLIC PROTECTION ARRANGEMENTS NORTHERN IRELAND (PPANI)

7.1 Where there is an overlap between PBNI Significant Risk of Serious Harm cases and PPANI cases assessed at Category 2 and Category 3, the offender shall be reviewed (for the purposes of multi-agency review forums) under PPANI arrangements only. An offender can only be regarded as subject to PPANI once he/she has been categorised as such by a Local Area Public Protection Panel. The supervising officer shall ensure that the PPANI 'Category' on PBNI's Case Management System is completed and all relevant information completed within the PPANI Tab. The Significant Risk of Serious Harm 'Risk Tab' shall also be selected.

7.2 In order to avoid duplication where an offender is managed under PPANI, PBNI shall not convene separate Review Risk Management Meetings, with the exceptions being:

- At the PSR stage where all Serious and/or Specified Offence cases which meet the criteria shall have a Risk Management Meeting convened pre court;
- When an offender with a Significant Risk of Serious Harm status has been remanded or returned to custody Section 6.6 applies.

7.3 Under the PPANI arrangements PBNI shall:

- Undertake tasks as Designated Risk Manager (DRM) in relevant Cases;¹⁰
- Ensure that ACE and RA1/r are fully completed and updated on PBNI's Case Management System at least every 16 weeks or when a significant event or change in circumstances requires an update of ACE and RA1/r;
- Inform Offender of Local Area Public Protection Panel (LAPPP);
- Prepare a DRM report in advance of the LAPPP;
- Ensure that PBNI's Case Management System management field records that a LAPPP meeting has taken place (this meets the requirement for a PBNI Risk Management Review Meeting). The key outcomes from the LAPPP shall be documented and signposted on PBNI's Case Management System including:
 - Date of meeting;
 - Classification;
 - Changes or new information from the last Risk Meeting;

¹⁰ PPANI Manual of Practice

- Any designated actions or tasks; and
 - Date of next review meeting.
- 7.4 The recommendations of the LAPPP which are relevant to PBNI's supervision of the case shall also be reflected in, and addressed in the offender's updated case plan.
- 7.5 Minutes of the LAPPP shall be attached on to PBNI's Case Management System when they have been approved by the LAPPP Chair.
- 7.6 Where PBNI significant Risk of Serious Harm cases which are Category 2 or Category 3 PPANI have been re categorised as Category 1 these cases shall return to (PBNI) single agency management and be subject to PBNI's Risk of Serious Harm Procedures. In these circumstances a RMM Review shall be convened within 10 days of the final PPANI meeting to consider if the significant Risk of Serious harm categorisation is still appropriate. The level of contact with the offender during this period up until the outcome of the RMM shall reflect the level of assessed risk of serious harm and the stage of the order or licence. These cases can be referred back to PPANI if significant concerns emerge (see PPANI Guidance).¹¹
- 7.7 PBNI will also convene a RMM Review if, through completing the ACE and RA1, the assessment is that the offender is not considered a Significant Risk of Serious Harm.

8. RISK MANAGEMENT OF PBNI SIGNIFICANT RISK OF SERIOUS HARM CASES – COMMUNITY

- 8.1 All Significant Risk of Serious Harm cases shall be allocated to an officer with the required experience and skills.
- 8.2 A pair officer shall be appointed to assist in the management and supervision of Significant Risk of Serious Harm cases.
- 8.3 The pair officer allocated to a case shall act as a back-up in the supervision and management of the case by directly supervising the offender in the absence of the supervising officer and also by co-working as appropriate. The level of involvement shall vary from case to case.
- 8.4 Supervision shall follow the relevant PBNI standards for the supervision of Significant Risk of Serious Harm cases.¹² (as detailed in section 4 of the Best Practice Framework)
- 8.5 Supervision and case management shall implement the Risk Management Plan drawn up at the RMM which targets the identified risk factors. Actions targeting the risk factors shall also be reflected in, and addressed in the offender's updated case plan.
- 8.6 For SROSH cases, the initial home visit shall take place within 7 working days of release or commencement of an Order. The circumstances of an individual case may require a home visit prior to the 7 working days stipulation.¹³
- 8.7 When an offender, subject to Community Service is assessed as Significant Risk of Serious Harm, Review Risk Management Meetings shall be convened at least every

¹¹ PPANI Manual of Practice

¹² Best Practice Framework Incorporating Northern Ireland Standards

¹³ Best Practice Framework Practice Note dated 6 November 2012

16 weeks by a Probation Officer appointed by the Community Service Manager (in Belfast) or the Area Manager (in rural teams). The Review RMM shall be brought forward when there are notable changes in the circumstances or details of an offender which indicate increased concerns about risk, as detailed in 4.2. Community Service supervisors should be apprised of relevant information relating to the risk assessment/risk management plan of offenders they are supervising.

- 8.8 When an offender, subject to Community Service is assessed as Significant Risk of Serious Harm and where it is known in advance that the PBNI supervisor will be absent from work, provision shall be made for that offender to be accommodated in a neighbouring work squad within reasonable travelling distance. This may mean that an offender(s), normally attending the neighbouring work squad, who is not SROSH, being stood down from the squad in order to accommodate the offender assessed as posing a Significant Risk of Serious Harm.¹⁴

9. CLOSING PBNI SIGNIFICANT RISK OF SERIOUS HARM CASES

- 9.1 Prior to an order/licence terminating a final RMM Review shall take place to discuss the risks posed by the offender particularly in view of PBNI supervision ending.
- 9.2 Where the final RMM Review concludes that the offender is still a Significant Risk of Serious Harm this decision shall be recorded on the RM1 form, entered on PBNI's Case Management System and formally communicated in writing to other relevant agencies.
- 9.3 The final RMM shall consider what further actions shall be taken and information passed on to assist other agencies/individual manage the continuing significant risk of serious harm posed by the offender. In these circumstances the 'Risk tab' on PBNI's Case Management System shall remain active.
- 9.4 For those Significant Risk of Serious Harm cases where the final RMM Review concludes that the offender is not a Significant Risk of Serious Harm the summary completed on the RM1 form and entered on PBNI's Case Management System shall be communicated to relevant agencies/individuals stating clearly:
- The outcome of the final RMM Review;
 - Actions required to address and manage any outstanding risks or concerns that may still remain; and
 - That PBNI supervision has ended.

In these circumstances the case shall be closed in accordance with the relevant Best Practice Framework Standards. The 'Risk tab' on PBNI's Case Management System shall also be closed.

¹⁴ Best practice Framework Practice Note date 29 November 2012

10. LONG STAY HOSPITAL CASES

- 10.1 For offenders in long term care in hospitals the review periods for ACE/RA1 (and RMMs if required) should be at the discretion of the supervising Probation Officer (in consultation with their Area Manager).

11. WARRANTS AND RECALL

- 11.1 When a warrant has been issued the ACE/RA1 (and RMM if required) shall be reviewed. This is the responsibility of the community based probation staff.
- 11.2 If the warrant is executed and the offender is returned to custody: the review arrangements for remand cases in custody apply (see Section 6).
- 11.3 If the offender, is released following execution of the warrant the review arrangements are, as per cases in the community, (at least every 16 weeks).
- 11.4 If the warrant (or recall) is not executed and there is no contact with the offender the review period shall be every 26 weeks for the duration of the order/licence.
- 11.5 When recall proceedings are initiated the ACE/RA1 (and RMM if required) shall be reviewed. The responsibility for completing the reviews are community based Probation staff. The review shall be completed within 10 working days of the offender being recalled.
- 11.6 If the recall panel decides that an offender is to remain in custody, the offender reverts to being a sentenced prisoner – the review arrangements for sentenced offenders in custody apply (see Section 6).

12. SUMMARY OF SUPERVISING PROBATION OFFICERS CASE MANAGEMENT RESPONSIBILITIES

- 12.1. The risk assessment ACE/RA1 shall take into account all available information about current and past convictions; and behavior.
- 12.2. ACE/RA1 document shall be completed within 5 working days in advance of a RMM or a review RMM. Any deviations from this requirement must be agreed with the line Area Manager and recorded on the RM1.
- 12.3. Forward the draft summary of the RM1 for approval, to the manager who chaired the RMM.
- 12.4. For SROSH cases in the community, the ACE and RA1 documentation shall be reviewed at least every 16 weeks. The Review RMM shall be held at least every 16 weeks.
- 12.5. For all sentenced prisoners ACE and RA1 documentation shall be reviewed and a RMM convened, if applicable on request by the Prison Governor and/or at critical transition/trigger points.
- 12.6. There will be circumstances for both cases in custody and in the community when the review may be brought forward.
- 12.7. Actions identified at RMMs to address risk factors shall be included in an offender's updated case plan.
- 12.8. The initial home visit for a SROSH offender shall take place within 7 working days of release or commencement of an Order.
- 12.9. If a SROSH offender assessed as Category 2 or Category 3 is returned to custody (remand or sentenced) - the PPANI arrangements are suspended. The offender shall then be reviewed as outlined in section 6. As part of the informal and formal supervision process the Area Line Manager shall be kept apprised on the progress of SROSH cases; and immediately advised if there are any significant developments in SROSH cases.

13. COMPLIANCE ASSURANCE: LINE MANAGERS' RESPONSIBILITIES

13.1 Given the nature of cases assessed under the SROSH procedures, line Area Managers shall prioritise compliance with these procedures, both in relation to the supervising Probation Officer role; and the line manager's role.

13.2 Compliance assurance should pay particular attention to the following areas:

- The timelines stipulated in respect of the completion of ACE/RA1 and risk management meetings – both at the initial stages and the review stages
- Ensure that the documentation for ACE/RA1 and RMM is quality assured in terms of PBNI's SROSH procedures; and the Best Practice Framework/Practice Guidance
- That PSRs explain SROSH decisions in a clear and defensible manner
- Ensure when an offender's circumstances notably change that reviews for ACE/RA1s and RMM are brought forward
- Ensure that actions aimed at mitigating risk are reflected and addressed within the offender's updated case plans. Ensure a record of any deviation from the SROSH procedures is entered on the case management system.

13.3 The line Area Manager shall discharge this assurance role through:

- Formal and informal supervision with Probation Officers. SROSH cases shall be discussed regularly during formal supervision – with a record of discussion retained in the supervision record and /or on the case management record. For prison cases this stipulation applies particularly to those cases serving two years or less.
- For SROSH cases in the community, the file shall be monitored at least every 8 weeks
- Review the monthly data validation returns and ensure the SROSH cases list is accurate and up to date
- When file monitoring the line managers shall use the electronic file monitoring process
- Comment on individual SROSH compliance issues as part of the Quarterly Summary Report for Assistant Directors
- Keep the line Assistant Director apprised of any significant developments in SROSH cases

- Ensure prior to case closure, that case closure requirements for SROSH cases are completed
- 13.4 The line Assistant Directors shall have proactive oversight of compliance assurance. This role shall be discharged through:
- Formal and Informal supervision with the line Area Managers
 - Each SROSH case shall be regularly discussed at formal supervision with the Area Manager; and a record of the discussion shall be retained in the Area Managers supervision file
 - Reviewing Quarterly Summary Reports
 - Reviewing with the Area Manager the monthly data validation SROSH statistics to ensure they are accurate

14 ANNUAL AUDIT

- 14.1 An annual compliance assurance audit shall be conducted led by Assistant Director - Risk

APPENDIX 1: PBNI RISK MANAGEMENT MEETING STRUCTURE

- The Risk Management Meeting shall be chaired by an Area Manager;
- Record details of all those present; any apologies; all invited but did not attend;
- If ACE/RA1 documentation not completed prior to meeting: explanation for same to be recorded on RM1;
- Ensure all participants sign the Confidentiality agreement;
- Go over details of the case;
- Consider victim issues;
- Consider any input from the offender;
- Evaluation of Risk assessment;
- Identify Risk and Protective factors;
- Decide on whether there is a Significant Risk of Serious Harm;
- Address any immediate significant risk of serious harm concerns;
- Draw up Risk Management Plan which specifically addressed identified Risk factors;
- Check that those in attendance both understand the Risk Management Plan, and their responsibilities in progressing the plan;
- For cases at the PSR stage provide general outline of how risk factors can be addressed for those where public protection or custodial sentences are likely;
- Inform the Significant Risk of Serious Harm and Conclusion section of Pre Sentence Report (PSR), if appropriate;
- Discuss communication of information about risk assessment and management with offender and other relevant agencies or individuals;
- Summarise the main points; and decisions of the meeting;
- Set date for next RMM, if appropriate.

APPENDIX 2: PBNI RISK MANAGEMENT MEETING

PBNI Risk Management Meeting

Confidentiality Agreement

DATE OF MEETING:

In working with offenders, victims and other members of the public, all relevant agencies shall have agreed boundaries of confidentiality and shall only disclose personal information with due regard to the Human Rights Act, the Data Protection Act and the Common Law duty of confidentiality. This meeting respects those boundaries and holds the meeting under a shared understanding that:

1. It is called in circumstances where it is felt the risk presented by the subject of the meeting is so great that issues of public or individual safety outweigh those of confidentiality.
2. The disclosure of information outside the meeting, beyond that agreed at the meeting, shall be considered as a breach of the subject's confidentiality and a breach of the confidentiality of the agencies involved.
3. All documents shall be marked 'restricted' – not to be disclosed without consent'.
4. Any decision to disclose outside the core agencies requires the consent of the meeting.
5. Consent for community disclosure shall be made only on the principle of 'pressing need' to protect the public.
6. This information shall be adequate, relevant and not excessive in relation to the purpose for which it is processed. It shall be accurate and kept up to date. It shall be held securely by the individual agencies concerned and shall not be retained for longer than is necessary.

SUBJECT:

DOB:

Name

Signature

Agency

Tel No

APPENDIX 3: RM1: SUMMARY OF RISK MANAGEMENT MEETING

Initial / Review Risk Management Meeting (Delete as appropriate)

Date of Meeting: _____ Date of Last Meeting _____

Offender: _____

Supervising Officer:	Pair Officer:	Area Manager:

1. Present:

2. Apologies:

3. Issues Discussed: (including, where it is a review RMM, an update on the implementation of the previous Risk Management Plan; and any changes in offender circumstances or behaviour)

4. Evaluation of Risk: (including Risk and Protective Factors)

5. Decision on Significant Risk of Serious Harm:

Does the offender pose a significant Risk of Serious Harm **Yes/No**

Detail the evidence on which this decision is based

6. Details of Risk Management Plan: To be completed even where there is not a significant Risk of Serious Harm decision. The RMP should also detail which agencies are responsible for progressing identified tasks in the RMP.

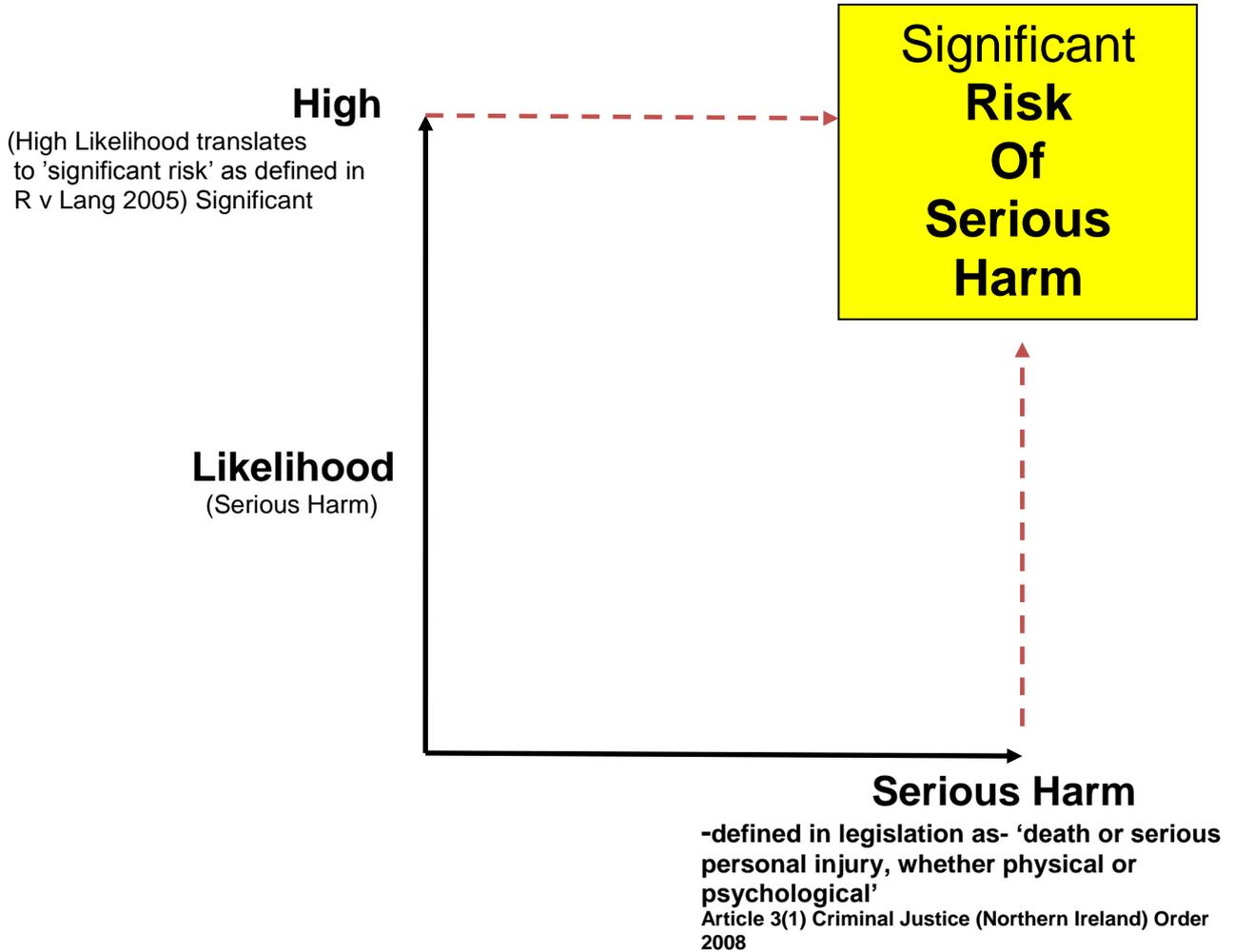
7. Date of Next RMM Review Meeting:

8. Summary approved by Area Manager:

Name:

Date:

APPENDIX 4: SIGNIFICANT RISK OF SERIOUS HARM – DIAGRAM



An offender is assessed as a Significant Risk of Serious Harm where:

“There is a high likelihood that the offender will commit a further offence, causing serious harm.”

Appendix 5 - The 3 Ps of Risk Management (Hazel Kemshall)

Predisposing factors are those risk factors which increase a person's tendency towards violence or sexual offending, these can include early life experiences (e.g. parenting, attachment relationships, trauma, and neglect), in addition to personal characteristics such as personality traits and coping abilities. These are part of a person's formative years and life course. They can be resolved and mitigated, for example with psychological interventions, and prisoners can and do leave them behind, but be clear the evidence that they have done so is there.

Precipitating factors are those which trigger violent or sexual offending; or dis-inhibit use of behavioural controls. Such factors can include situational variables like a person's emotional state or life stressors, offence variables such as presence of a weapon, victim variables like proximity of victims, and use of dis-inhibitors such as alcohol. These risk factors are most often expressed as immediate triggers and can be highly contextual and variable. They can be mitigated and controlled, programmes can 'teach' coping skills, abuse management, anger control etc. Offenders can make good progress on these.

Perpetuating factors are those which maintain the future risk, and may include factors such as gaining satisfaction, personal esteem, feelings of control, or factors which maintain the risks like lack of pro-social goals in life, non-compliance, and at bottom a sense of identity derived from the offending. These are more difficult to eradicate and can be deeply rooted in self-identity, core values and beliefs of the offender. Custodial environments can keep them in check, and offenders can learn to talk the right talk, but these risks can often sustain and reassert on release. Failure tends to come quickly- despite relevant programmes and work on precipitating factors having been completed, and prisoners doing most of the right things.

Ask yourself where most of the intervention has been targeted, and what risks are still there.