

Interim National Allocation Protocol

Introduction

This is the first published version of the Interim National Allocation Protocol for the Medium Term Recovery Plan. This version is interim and will be adopted by all Adult Male and Young Offender prisons. It will be updated as reconfiguration of the estate progresses.

This protocol has been written in liaison with other key departments, ensuring alignment with the Offender Management in Custody (OMiC) model, Parole Process, Categorisation Policy and other areas it impacts upon. Feedback on the previous versions of the protocol have been applied.

This protocol runs alongside the latest version of the compartmentalisation strategy.

What is the National Allocation Protocol?

The National Allocation Protocol provides instructions and guidance on allocations of both adult males and young offenders (18–20) from a Reception Prison to the next-stage prison and from Training Prisons to resettlement. It aims to improve prisoner management to ensure offenders are allocated to the most appropriate prison.

Who should use the National Allocation Protocol?

All prisons in the Adult Male and Young Offender estate, as it won't be possible to deliver the right services to the right cohort of prisoners if this approach is not adopted across the estate.

All Offender Management Unit (OMU) staff should start to familiarise themselves with this protocol in line with operating the new offender flows.

Overview

One of the main changes in the reconfiguration of the prison estate is the reduction in the number of cohorts of prisoners managed by each prison. Previously, allocation was focused towards the length of sentence and only in the latter part of their sentence, when assessed for resettlement, was the prisoner's time left to serve taken into consideration. In a reconfigured estate, the focus throughout an individual's sentence will be on how long they have prior to release. The timescales are explained further in the National Allocation Protocol chapters.

Population Management Unit's (PMU) role and processes will not change. When referring to transfers managed by PMU in this protocol, it refers to the process they oversee when transfers take place between establishments. PMU has a national picture of the capacity of prisons and due to this, makes overarching decisions on the availability of space within any given day. This process will continue.

The National Allocation Protocol must be adhered to, to ensure the optimum flow of offenders through the 'whole custodial system'. Prisons should operate in line with their population specification and must not impose local population restrictions without agreement with PMU. PMU may require acceptance of prisoners who are 'best fit' at times of population pressure and to enable some Reception Prisons to effectively serve the courts.

Other key points to note:

- The initial days after sentencing will not change from the current processes and assessments. Prisoners will still be assessed by Healthcare, and their Basic Custody Screening Tool (BCST), sentence calculation and all other relevant paperwork and needs assessments completed.
- However, if a prisoner is serving more than 28 days in custody (and has more than 28 days left to serve at the point of transfer), he will be required to transfer to the next-stage prison.
- Most prisons will have more than one function, for example, reception and resettlement or training and resettlement; therefore, a move to a new cohort does not always mean a move to a new prison (see chapter 14 about the resettlement function carried out by Reception Prisons).
- Resettlement and Training Prisons will start to receive prisoners earlier in their sentence. This will mean that additional assessments including OASys, Recall and Parole input will be completed by the training and resettlement estate. Adoption of this protocol will complement the OMiC case management model, ensuring that men are moved to the right type of prison for where the OMiC resource is allocated.
- Standard Recall prisoners serving more than 28 days to Sentence Expiry Date (SED) will be transferred to the next-stage prison, unless they have cases ongoing with the Magistrates' Courts. Standard Recall prisoners will be transferred prior to being placed on a Parole Hold. It will be the responsibility of the receiving prison to manage the Parole process, where applicable. This does not mean that Reception Prisons will not have responsibility for Parole in some cases, but the majority of cases will have been transferred to the next-stage prison prior to the case being listed with the Parole Board. Prisons MUST make sure that the Public Protection Casework Section (PPCS) is kept informed of all transfers, both receiving and sending prisons.
- OASys completion at Reception Prisons will reduce over time in line with the OMiC model and will be completed by the Training and Resettlement Prisons; however, some OASys completion will still be required by Reception Prisons. Reception Prisons will also continue to complete OASys as part of their resettlement function. The OMiC and Reconfiguration Projects continue to work together to plan for the effects of these changes; this is an ongoing process. OASys completion will not be part of the initial transfer criteria.
- The ambition is that there will be limited direct transfers back into Reception Prisons unless part of the exception criteria (see Chapter 4 of this protocol), through the court process, or directed by PMU. This principle will be transitioned in as reconfiguration of the estate continues, in line with wider estate strategies. Transfers from other establishments will be managed by PMU.

Escalation route for prisons not adhering to the National Allocation Protocol

Transfer issues should be escalated within the operational line. The escalation route is outlined in Chapter 17.

The full protocol is attached below.

**National Allocation Protocol
for Male Offenders Aged 18 and Over
V2.01**

STATEMENT OF PURPOSE

This protocol provides the Prison Service with instructions and guidance on allocations of both adult males and young offenders (18– 20) from a Reception Prison to the next-stage prisons including the Long Term and High Security Estate (LT&HSE), category C and D prisons for adult male prisoners and the closed and open estate for Young Offenders (aged 18 years and over).

The LT&HSE, category C (training), category D and YOI open prisons referred to in this protocol are a national resource and should be treated as such.

This protocol applies to male offenders aged 18 years and over.

This protocol will continue to be updated as reconfiguration of the estate takes place.

DESIRED OUTCOME

This National Allocation Protocol has been designed to:

- assist in the initial allocation of adult male offenders from a Reception Prison into the first-stage prisons (LT&HSE and category C and D establishments)
- assist in the initial allocation of Young Offenders from a Reception Prison to the closed or open estate
- provide guidance for onward transfers to the next-stage prison, including expected transfer times
- provide guidance on any prisoners accepted into a Reception Prison from other establishment types, and
- support the roll out of the National Offender Flows.

The principle outcomes this National Allocation Protocol will deliver are:

- improved prisoner management to ensure offenders are allocated to the most appropriate prison
- prisoners are transferred to aid their progression through their sentence and reduce the depth of imprisonment, and
- provide understanding of the allocation of all prisoners through the custodial estate.

MANDATORY ACTIONS

This protocol includes a number of mandatory actions relating to:

- timescales for transfer
- types of prisoner who can resettle from a Reception Prison, and
- the use of holds within a Reception Prison.

This protocol does not attempt to override any security, safety or serious health considerations.

Version	Changes
Version 2.01	22/09/2020

Contact Points for this protocol	
Reconfiguration Team	Reconfigurationteam@justice.gov.uk

Contents

CHAPTER 1 – INTRODUCTION	4
CHAPTER 2 – INITIAL CATEGORISATION OF SENTENCED PRISONERS	5
2.1 CATEGORISATION	5
2.2 ALLOCATION AND OFFENDER FLOWS	5
2.3 TRANSFER	7
2.4 SENTENCED OR LICENCE RECALL WITH FURTHER CHARGES	8
CHAPTER 3 – ALLOCATION AFTER LICENCE RECALL, INCLUDING HOME DETENTION CURFEW RECALL	8
CHAPTER 4 – RETURNING PRISONERS TO RECEPTION PRISONS	9
CHAPTER 5 – LIFE IMPRISONMENT SENTENCE/RECALL OR ISP RECALL (Life and IPP sentenced prisoners)	10
CHAPTER 6 – RETURNS FROM HIGH OR MEDIUM SECURE HOSPITALS	11
CHAPTER 7 - CIVIL PRISONERS (Including Contempt of Court)	11
CHAPTER 8 – APPEAL AGAINST SENTENCE OR CONVICTION	12
CHAPTER 9 – FOREIGN NATIONAL OFFENDERS (FNO) AND FNO OF INTEREST TO THE HOME OFFICE	12
CHAPTER 10 – CATEGORY D/OPEN CONDITIONS RETURNS	13
CHAPTER 11 – PRISONERS ON HOLD IN RECEPTION PRISONS	13
CHAPTER 12 – OVERNIGHT LODGING OR REPATRIATION	13
CHAPTER 13 – TORNADO	13
CHAPTER 14 – RECEPTION PRISONS	14
CHAPTER 15 – RESTRICTIONS TO ALLOCATION/TRANSFER	14
CHAPTER 16 – YOUNG OFFENDERS (18–20)	15
CHAPTER 17 – ESCALATION ROUTE FOR PRISONS NOT ADHERING TO THE NATIONAL ALLOCATION PROTOCOL	15
Annex A – Guide to CPA (Contract Package Area) numbers and areas.	17
Annex B – Allocation Checklist	18
Annex C – Abbreviations Guide	19

CHAPTER 1 – INTRODUCTION

Overview

The Reconfiguration Project aims to transform adult male prisons into three specific functions: reception, training and resettlement. This protocol gives guidance on the processes, timescales and individual considerations when assessing allocations to the next-stage prison.

All prisoners entering a Reception Prison after sentencing will undergo screening and categorisation to ensure a safe transfer to the receiving establishment.

- i. This protocol gives instructions on the allocation and transfer of adult male prisoners who are categorised as B, C or D and their transfer into the category C or D prison estate or the LT&HSE.
- ii. This protocol applies to all male prisoners aged 18 years or over, convicted and sentenced to a custodial term of imprisonment.
- iii. This protocol gives instructions on the allocation and transfer of all young adult men (aged 18–20) who are assessed after sentence as either open or closed.
- iv. This protocol does not cover category A adult male prisoners or restricted status for Young Offenders.
- v. The introduction of this protocol will have an impact on the allocation of category B offenders progressing into the LT&HSE estate (including Cat B trainer prisons). More category B prisoners will have access to training facilities, and category C offenders currently held in category B conditions will increasingly be transferred to a lower security category establishment. This will ensure that more prisoners are held in security conditions proportionate to their level of risk. Prisoners transferring from a Reception Prison into the LT&HSE will not be prioritised above any other prison establishment.
- vi. Prisons with more than one function will provide a regime suitable for each cohort; therefore, prisoners will be able to access a regime more suitable to their needs.
- vii. When allocating and transferring prisoners to other establishments, consideration should be given to Sentence Plan objectives, including offending behaviour required coursework, drug detoxification and drug maintenance programmes, which may be required. This will not stop prisoners transferring but may need to be considered prior to transfer.
- viii. All establishments will work together in a fair and equitable manner with a ‘no borders’ understanding to ensure that the needs of adult-male and young-adult prisoners in the estate are met. Exceptionally, overrides can be applied to meet specific security, safety or serious health considerations.
- ix. Governors of all establishments must ensure that all staff working in OMUs or with responsibility or involvement in the categorisation/allocation process have access to and apply this protocol.
- x. A copy of this protocol must be made available to prisoners and members of the IMB on request.
- xi. All training and open places referred to in the protocol are national resources and should be treated as such.
- xii. ‘Next-stage’ prisons referred to in this protocol, may not mean a move to a new prison as some prisons will have more than one function; however, the regime within the prison may be different, depending on the cohort and their needs.
- xiii. All newly sentenced prisoners entering a Reception Prison should be categorised in line with the current Categorisation Policy and allocated to the most appropriate prison in line with their security category and the National Offender Flows.

CHAPTER 2 – INITIAL CATEGORISATION OF SENTENCED PRISONERS

Role of Population Management Unit (PMU)

PMU's role and processes will not change. When referring to transfers managed or directed by PMU in this protocol, it refers to the process they oversee when transfers take place between establishments. PMU has a national picture of the capacity of prisons and due to this, makes overarching decisions on the availability of space within any given day. This process is not affected by this protocol.

2.1 CATEGORISATION

All newly sentenced adult male prisoners entering a Reception Prison must be categorised in line with the current Categorisation Policy.

All adult male prisoners eligible for recategorisation must be assessed in line with the current Categorisation Policy.

PSI 2011-40 – Categorisation and Recategorisation of Adult Male Prisoners Policy link below:

[PSI 2011-40 - HMPPS Intranet](#)

2.2 ALLOCATION AND OFFENDER FLOWS

Allocations must be in line with the current National Offender Flows (link below).

When allocating prisoners who are in the resettlement phase of their sentence, their home Contract Package Area (CPA) must be taken into consideration, as closest-to-home principles should apply. This includes prisoners moving from both the reception and training estate into Resettlement Prisons. All Reception and Resettlement Prisons have at least one CPA allocated to their prison. If you are unaware of a prisoner's CPA, be aware that a prisoner's CPA is based on their home address, or the address to which their probation officer requires them to be discharged. A guide to the National CPA number is available at Annex A attached to this document.

The National Offender Flows document is designed to demonstrate the custodial route of an offender, from being sentenced and received into a Reception Prison to onward allocation into the training or resettlement estate. For the purpose of this protocol, the flow of a male offender is dependent on the following factors:

- age
- security category
- time left to serve
- convicted of a sexual offence
- of interest to the Home Office.

When allocating and/or transferring a prisoner to a Training Prison that also has a resettlement function, consideration should be given to the prison's CPA. Priority should be given, but not restricted to, those from the resettlement function's CPA. This will help to reduce unnecessary transfers.

Please see Annex A of this document for more information on CPA areas.

Prison Allocation Guide

The below information gives guidance on the allocation of male prisoners to the correct prison function, depending on their security category and time left to serve.

All prisoners moving into either a Training or Resettlement Prison (including the LT&HSE), will have a minimum of 29 days' time left to serve at the point of transfer from a Reception Prison.

One of the main changes in the reconfiguration of the prison estate is the cohort of prisoners identified for each prison. Previously, this was focused towards the length of sentence and only in the latter part of their sentence, when assessing prisoners for resettlement, was the time left to serve taken into consideration. In a reconfigured estate, the focus throughout an individual's sentence will be on how long they have prior to release. The timescales are explained below.

Allocation Guide for Young Offenders (18–20)

- Closed estate – YOI closed
- Open estate – resettlement – national resource

Young Offenders in dual-designated prisons will move through the reception, training and resettlement estate in the same time frame given below for adult male prisoners.

Dual-designated prisons with a resettlement function can resettle Young Offenders.

Allocation Guide for adult male prisoners

- Category B – Long Term and High Security Estate (LT&HSE) are a national resource; therefore, no CPA criteria applies. Cat A prisoners are assigned to the most appropriate dispersal by LT&HSE.
 - Minimum – 29 days' time left to serve at the point of transfer
 - Maximum – no maximum time left to serve applies
- Category C - Training Prison (national resource; therefore, no CPA criteria applies)
 - Minimum – more than 16 months left to serve at the point of transfer
 - Maximum – no maximum time left to serve applies
- Category C (Resettlement Prison on transfer from a Reception Prison)
 - Minimum – 29 days' time left to serve at the point of transfer
 - Maximum – 16 months' time left to serve at the point of transfer
- Category C (Resettlement Prison on transfer from a Training Prison. Prisoners transferring from training into resettlement must have spent at least 6 months in the Training Prison)
 - Minimum – 10 months' time left to serve at the point of transfer
 - Maximum – 24 months' time left to serve at the point of transfer
- Category D - Open Prison (Resettlement – national resource, allocation to cat D should be as close to home as possible to mitigate flight risk but is not CPA-dependent).
 - Minimum – 29 days' time left to serve at the point of transfer
 - Maximum – 24 months' time left to serve. (There is a national rollout extending this timeframe to 36 months; however, this has not changed on a national basis at this time, therefore, please adhere to current guidance)

All Training and Open Prisons referred to in this protocol are a national resource and should be treated as such.

Annex B – Allocation Checklist. The allocation checklist attached to this document will help guide you through the initial points that should be considered prior to allocation into both the resettlement and training estate. Although this does not identify all the information you should take into consideration prior to a transfer, it does highlight the main pathway that should be considered prior to allocation.

2.3 TRANSFER

Prisoners with further charges pending should be transferred in line with section 2.4 of this protocol.

Prisoners who have been categorised at a Reception Prison at either the initial categorisation stage or recategorisation stage, and who have more than 28 days left to serve at the point of transfer, will be subject to transfer to an appropriate next-stage prison.

All Reception Prisons will also include resettlement as part of their cohort; the prison function proportions may fluctuate in line with population changes. The resettlement cohort will consist of those men who have less than 16 months' time left to serve and are from the correct CPA. This may mean that a prisoner who is in the resettlement cohort, does not change prisons, but is managed under the resettlement cohort of the Reception Prison. However, men in the resettlement cohort could be transferred to an appropriate alternative resettlement prison to ensure sufficient reception places are available to serve the courts. Heads of OMUs should regularly monitor the population to ensure categorisation and recategorisation is being undertaken in line with current policy and there are no inappropriate holds in place.

Resettlement places should be assessed and allocated on the correct CPA and closest-to-home basis.

It is vital that Reception Prisons maintain their service to the courts. Regular review mitigates the needs for lockouts and subsequent redirections, duplicating transfer and processing times.

Transfers to a prison that sits outside the allocated flows may take place due to operational necessity and may be requested at short notice. These transfers will be directed by PMU.

Transfers may also be made due to individual needs, such as MCoSOs (men convicted of sexual offences) requiring specific offending behaviour course work.

All prisoners returning to a Reception Prison from a Secure Hospital must have their categorisation reviewed in line with the current categorisation policy. See Chapter 6 of this protocol.

General points

Consideration must be given when assessing prisoners with relevant protected characteristics as set out in the Equality Act 2010. These are: age; disability; gender reassignment; marriage and civil partnership; race; religion or belief; sex; and sexual orientation. Consideration should also be given to maintaining family ties, Welsh language issues, health and vulnerability needs.

All transfers must be managed through PMU and are subject to change due to population pressures and availability of suitable spaces. Transfers to other establishments not highlighted in this protocol may be necessary.

All prisoners transferring to another prison for any reason must be assessed as clinically safe for transfer by a healthcare professional before transfer.

2.4 SENTENCED OR LICENCE RECALL WITH FURTHER CHARGES

Prisoners in a Reception Prison who are sentenced and have further charges being dealt with by Magistrates' Courts are not expected to transfer before these charges are dealt with by way of further sentence, dismissal or committal to the Crown Court.

Once the further charges have been dealt with by the Magistrates' Courts, and a Plea and Trial Preparation Hearing has been held (if committed to Crown Court), the OMU must confirm that no further court appearances are scheduled within the next 28 days. The OMU must update all relevant records including, if necessary and appropriate, reviewing the categorisation and allocation, to enable the prisoner to transfer to the next-stage prison. Prisons must not transfer anyone with a further court appearance within 28 days from transfer date to avoid unnecessary transfers.

If a serving prisoner is returned to a Reception Prison following a further court appearance (and they originally came from a Training or Resettlement Prison on that day), they must be transferred back to the sending prison. However, if a further court date is scheduled at the Magistrates' Court or Crown Court (following the above guideline in this section) the prisoner should remain at the Reception Prison and attend the scheduled hearing before being returned to the sending prison.

Safety First

Consideration should be given to any increase in risk factors arising from the circumstances of any outstanding charges, and these should be taken into account in determining the most appropriate next-stage prison, or if returning a prisoner to their original sending prison. In exceptional circumstances, if any further charges result in a higher security category than the current convicted offences and security category, it may be deemed appropriate for the individual to remain in a Reception Prison until the further charges have been concluded. All prisoners transferring to another prison for any reason must be assessed as clinically safe for transfer by a healthcare professional before transfer.

Prisoners who are either not in a Reception Prison or not in the correct Reception Prison, but need to return to a specific Reception Prison for trial, must not return to the Reception Prison any more than 7 days before the trial commencing, unless operational necessity dictates or if directed by the courts. All transfers must be made with the full oversight of PMU.

Transfers are possible while indeterminate sentence prisoners are in the middle of a parole review (on parole hold), but should only be pursued if it is considered to be in the best interests of their progression and doesn't interfere significantly with the parole process. Please refer to the generic parole process framework for further information. Any transfer taking place during a parole review must be in liaison and agreement with the Public Protection Casework Section (PPCS).

CHAPTER 3 – ALLOCATION AFTER LICENCE RECALL, INCLUDING HOME DETENTION CURFEW RECALL

All prisoners subject to Licence Recall must be categorised in line with the current Categorisation Policy.

Licence Recall prisoners with a Fixed Term Recall or a Standard Recall to Sentence Expiry Date (SED), where the SED is equal to or less than 28 days, will remain in a Reception Prison.

Licence Recall prisoners with a Standard Recall of more than 28 days in custody (and who have more than 28 days to serve at the point of transfer) will be required to transfer to the next-stage prison in line with their categorisation.

See paragraph 2.4 of this protocol for information on licence recall with further charges.

All prisoners returning to custody on Recall must be identified to PPCS by the OMU or appropriate department at a Reception Prison within 24 hours or the next working day, of a return to custody. This is to allow Probation to prepare and submit a risk report (Part B) for standard recalled offenders and will enable all initial documentation to be generated by PPCS and handed to the prisoner before transfer. Prisoners will not transfer unless all relevant paperwork has been completed.

PPCS must also be contacted and informed of all transfers of prisoners who are subject to Licence Recall within 24 hours of transfer taking place.

PPCS functional mailboxes are recall1@justice.gov.uk for use by prisons in London, South East & Eastern, South West & South Central and Wales and recall2@justice.gov.uk for prisons in the Midlands, North East and North West.

CHAPTER 4 – RETURNING PRISONERS TO RECEPTION PRISONS

Prisoners will only return to a Reception Prison in the following **exceptional** circumstances:

- i. They have completed their sentence and are returned to Remand Status or held on IS91 and have not elected to waive their remand rights and stay in a Resettlement Prison.
- ii. For accumulated visits that are in line with the current Accumulated Visits Policy (PSI 2011–16 Annex A).
- iii. Under Tornado or other arrangements authorised by Gold Command.
- iv. Significant risk of harm or abscond identified by dynamic risk assessment from open conditions. This move would only take place under exceptional circumstances and is made pending onward movement to category B or C conditions, depending on the outcome of the RC1 recategorisation result. This does not remove responsibility of the sending establishment to complete the required RC1 paperwork or liaise with PMU to assess the most appropriate transfer establishment.
- v. Return from a Secure Hospital (see Chapter 6 of this protocol).
- vi. Overnight Lodging as directed by PMU.
- vii. Further court appearances (see Chapter 2 of this protocol).

Due to the function of a Reception Prison, they will no longer be able to accommodate routine transfers back to them for prisoners who are categorised to a higher security category. Arrangements will need to be made to move these prisoners within the training or resettlement estate to a higher security category. Tornado transfers, as directed by the Gold Command structure, will be the exception to this rule.

Prisoners who are returned to a Reception Prison for reasons outside of the exception criteria above must be allocated to proceed to the next appropriate prison.

Safety First

All prisoners transferring to another prison for any reason must be assessed as clinically safe for transfer by a healthcare professional before transfer.

CHAPTER 5 – LIFE IMPRISONMENT SENTENCE/RECALL OR ISP RECALL (Life and IPP sentenced prisoners)

Anyone sentenced to life imprisonment will be initially assessed at a Reception Prison for categorisation. The initial Offender Supervisor/Prison Offender Manager (POM) will complete the LISP1 within 7 days of sentencing, and this information will be sent to PPCS along with a copy of the Order for Imprisonment, a previous convictions printout and any pre or post sentence reports, as set out in PSI 22/2015. Further processes are the responsibility of the next-stage prison

Multi Agency Life Risk Assessment Panel (MALRAP): it is the responsibility of prisons to hold the MALRAP meeting as soon as possible after sentencing. The funding for this process is provided to prisons with training functions, which includes both the Cat B LT&HSE and Cat C Training prisons. The MALRAP should be convened as early as possible and in the most appropriate location to enable it to take place, allowing for attendance of the major contributors – the Police and POM.

Successful transfer of Indeterminate Sentence Prisoners (Lifers and sentences of Imprisonment for Public Protection (IPPs)) is key to their safe progression through their sentence and towards eventual release. Indeterminate Sentence Prisoners (ISPs) who need to transfer to access appropriate interventions in line with their sentence plan must be allowed to do so. Sending and receiving establishments should communicate to ensure appropriate transfers are organised and receiving establishments should not refuse to accept ISPs for extraneous reasons, or on the basis of their sentence. Where prisons' OCA/OMU are unable to organise a progressive transfer due to refusal of the proposed prison to accept (and it is not easily resolvable), holding prisons must escalate the case within their own management structure and ultimately to the relevant prison group director's staff officer if there is no resolution at a local level.

ISPs who have been approved by the Secretary of State for transfer to open conditions must transfer to a suitable Open Prison as soon as possible. Open Prisons should not perform their own risk assessments, nor should they expect or ask for a period of 'stable' or 'good' behaviour before a transfer may take place. The Parole Board/Secretary of State has already performed the risk assessment, and therefore, suitability for open conditions has already been decided and is not a decision for Open Prisons. Following transfer, in circumstances where the receiving Open Prison later considers that it is no longer able to manage the risks posed by an ISP, it must submit a LISP4 to PPCS outlining the reasons for this assessment, following which, PPCS will consider the ISP's continued suitability for open conditions. Closed Prisons may also submit a LISP4 if there are risk-related concerns arising between approval for transfer to open conditions and the move actually taking place.

In circumstances where there are concerns specific to an individual and their transfer to a particular open establishment (i.e. their location at the proposed Open Prison would breach an exclusion zone or place them in close contact with a victim, etc.), an alternative Open Prison should be considered. In these cases, those managing the ISP's case, POM/OS, should identify an alternative Open Prison.

Recalled ISPs must be allocated and transferred from a Reception Prison to the next-stage prison before PPCS refer the case to the Parole Board; however, transfers to the open estate must not take place unless authorised by the Parole Board. Transferring ISPs during a Parole review can be disruptive. However, if there is an appropriate reason for the transfer, for example to enable the prisoner to access a specific offending behaviour programme necessary to evidence risk reduction, or for security reasons, then transfers should be

facilitated. Please refer to [the Policy Framework - Recall, Review and Re-Release of Recalled Prisoners](#) for guidance.

ISPs returning to custody on Recall must be identified to PPCS by the OMU or appropriate department at a Reception Prison within 24 hours or the next working day, of a return to custody. This will enable all initial documentation to be generated by PPCS and handed to the prisoner prior to transfer and will also allow Probation to prepare and submit a risk report (Part B).

ISPs moved into a Reception Prison from another establishment will be allocated and transferred to the next appropriate prison if they are not part of the exception criteria in this chapter.

ISPs moved under the Tornado protocol will be required to move to a next-stage prison (see Chapter 13 of this protocol for further guidance).

ISPs moved into a Reception Prison from another establishment while in the 'parole window' will only be accepted by a Reception Prison under exceptional circumstances and if necessary, as stated in PSI 22/2015. Transfer to a more appropriate prison can take place within 10 days of the transfer into the Reception Prison, and during this 10-day period, the parole status for that prisoner will be 'frozen', and will begin once transferred. However, if the prisoner has not transferred during the 10-day period, the Parole will automatically restart and the responsibility for Parole case management will be with the Reception Prison. *After transfer from a Reception Prison, the Reception Prison may have to provide information and make a contribution for the Parole Board if requested to do so by the Parole Board.*

A Reception Prison **and** all next-stage prisons **must** inform the PPCS of any transfers into their establishment of any ISP as soon as possible (not more than 4 calendar days).

PPCS functional mailboxes for all Recall-related matters are: recall1@justice.gov.uk for prisons in London, South East & Eastern, South West & South Central and Wales and recall2@justice.gov.uk for prisons in the Midlands, North East and North West.

CHAPTER 6 – RETURNS FROM HIGH OR MEDIUM SECURE HOSPITALS

It is currently the responsibility of the Reception Prison to attend a return to custody meeting (Mental Health Act 1983, Section 117 aftercare meeting) in liaison with the prison Mental Health Unit and the Healthcare Department, and for the prisoner to return to custody to that Local Prison. This process will not change for Reception Prisons at this time.

At the time of writing this protocol, there is work being carried out by NHS England to understand the needs of prisoners returning from Secure Hospitals into the prison estate and to assess the most appropriate prison to meet the specific needs of those prisoners.

The LT&HSE have a separate process currently in place for returning people to the LT&HSE from secure hospitals. This protocol does not affect these current processes.

CHAPTER 7 - CIVIL PRISONERS (Including Contempt of Court)

There is no change in the current processes for Civil Prisoners including those who are held in Contempt of Court.

The treatment of Civil Prisoners is set out in PSO 4600 Unconvicted, Unsented and Civil Prisoners.

CHAPTER 8 – APPEAL AGAINST SENTENCE OR CONVICTION

All prisoners who are sentenced and subject to appeal for either sentence or conviction will not be held in a Reception Prison and will be required to transfer in line with this protocol.

CHAPTER 9 – FOREIGN NATIONAL OFFENDERS (FNO) AND FNO OF INTEREST TO THE HOME OFFICE

Foreign National Offenders (FNO) must be risk assessed as to their categorisation and allocated using PSI 37/2014 and PSI 01/2015 guidance. Prisoners should not be allocated to open conditions without reference to the Criminal Casework Team, Immigration Enforcement (fnpfa@homeoffice.gsi.gov.uk) who will advise on any known factors relevant to risk of abscond.

All sentenced adult male prisoners who are identified as being of interest or subject to immigration proceedings by Immigration Enforcement in the Home Office (HOIE), with more than 3 months to serve to Conditional Release Date and who are categorised C, are expected to be considered for allocation to one of the prisons listed in Annex A (PSI 01/2015) at the earliest opportunity.

FNO of interest to HOIE with less than 3 months remaining to Automatic/Conditional Release Date are not expected to be transferred to an FNO-only Hub unless agreed by the sending and receiving prisons on a case-by-case basis.

Category C FNO of interest to HOIE with more than 30 months to serve at the point of transfer, or any category B prisoners who are subject to immigration proceedings, are expected to be transferred to a next-stage prison in line with the national offender flows on completion of their categorisation assessment in line with all other prisoners.

Prisoners with specific offending behaviour/risk-reduction or medical requirements that cannot be met at an FNO-only or hub prison should initially be allocated (in agreement with their POM) to an appropriate establishment that can meet those needs. In such circumstances, prisoners will receive treatment and services in line with HMPPS process and policy. Allocation decisions must be made on a case-by-case basis. Consideration must be given when assessing prisoners with relevant protected characteristics as set out in the Equality Act 2010 and outlined in section 2.3.

Any FNO who is allocated to (or already serving at) an FNO-only hub establishment but is subsequently identified as no longer of interest to the Home Office, must be considered for allocation in line with their security category, offending behaviour and correct resettlement Contract Package Area for release, dependent on time left to serve.

Sentenced prisoners will not be accepted into a Reception Prison unless they meet the exception criteria in Chapter 4 of this protocol.

There is no change to the arrangements for managing immigration detainees, that is, those who have completed the custodial part of their sentence and are detained solely under immigration powers (typically having been served an IS91 by Home Office Immigration Enforcement). The expectation is that detainees will be transferred to an Immigration Removal Centre, Reception Prison, Local Prison (prisons that serve courts but have not yet

reconfigured), or remain in their current training establishment if they sign Annex C of PSI 52/2011 Immigration, Repatriation and Removal Services.

CHAPTER 10 – CATEGORY D/OPEN CONDITIONS RETURNS

Adult male category D or Young Offenders returning from open conditions into closed conditions, are not expected return to a Reception Prison unless they are absconders or Release On Temporary Licence failures returning through the courts process.

Any adult male prisoner or young adult prisoner in open conditions (including ISPs) requiring a return to closed conditions will be required to return to the establishment appropriate to their new categorisation. Liaison with PMU is encouraged as this will identify accommodation availability and transfer arrangements.

If a dynamic risk assessment has been completed by a prison in open conditions and there is significant risk of abscond or harm identified resulting in a recategorisation to a higher category, the initial transfer location must be into the training or resettlement closed estate (where applicable). However, if, after seeking advice from PMU, population pressures restrict this move, a transfer into a Reception Prison may be appropriate. Transfer from a Reception Prison to the most appropriate next-stage prison is required. All transfers must be directed by PMU.

PMU's role and processes will not change. Reference to transfers managed by PMU in this protocol refer to the process they oversee when transfers take place between establishments. PMU has a national picture of the capacity of prisons and due to this makes overarching decisions on the availability of space within any given day. This process will continue.

CHAPTER 11 – PRISONERS ON HOLD IN RECEPTION PRISONS

It is the responsibility of the Heads of OMUs in Reception Prisons to regularly monitor the prisoners on hold at their establishment ensuring there are no inappropriate holds in place, such as healthcare appointments that could be catered for elsewhere, as these may affect overall capacity to function as a Reception Prison.

CHAPTER 12 – OVERNIGHT LODGING OR REPATRIATION

Prisoners who are either sentenced or remanded and are travelling within the prison estate will be allowed to lodge overnight at a Reception Prison if directed by PMU.

Some Reception Prisons will continue to provide a service for repatriation and/or extradition. This will be specifically highlighted as a specialist function for those prisons and will form part of their population specification.

All sentenced prisoners entering a Reception Prison for repatriation purposes from other countries must be categorised and allocated in line with Chapter 2 of this protocol.

CHAPTER 13 – TORNADO

Transfers into a Reception Prison under the Tornado Protocol due to an incident and directed or approved by Gold Command, HMPPS group director or equivalent, will be subject to onward

transfer. All relevant assessments including, if required, a review of the prisoner's security category with input from the sending prison, must be completed prior to any onward transfer.

Consideration must be taken when assessing prisoners for transfer if further information is required pending any potential police investigation. Although this will not stop onward transfers taking place, security and categorisation assessments should be reviewed.

ISPs moved into a Reception Prison from another establishment while in the 'parole window' will only be accepted by a Reception Prison under exceptional circumstances and if necessary. See Chapter 5 of this protocol.

A Reception prison **and** all next-stage prisons **must** inform the PPCS of any transfers into their establishment of any ISP as soon as possible (not more than four calendar days).

CHAPTER 14 – RECEPTION PRISONS

All Reception Prisons will also have a secondary resettlement function. The resettlement cohort will consist of those men who have less than 16 months' time left to serve and are from the correct Contract Package Area (CPA).

It is vital that Reception Prisons maintain their service to the courts. This may mean that men in the resettlement cohort could be transferred to an appropriate alternative Resettlement Prison to ensure sufficient reception places are available to serve the courts. Heads of OMUs should monitor the population to ensure there are no inappropriate holds in place.

The prison function proportions may fluctuate in line with population demand changes.

Resettlement places should be assessed and allocated on the correct CPA and 'closest-to-home' basis.

A full list of CPA areas and their numbers are included in the attached Annex A document.

All prisons with a reception and/or a resettlement function have at least one CPA allocated to their establishment.

CHAPTER 15 – RESTRICTIONS TO ALLOCATION/TRANSFER

There are no length-of-sentence restrictions on who can be allocated or transferred into the Long Term and High Security Estate or category C trainer prison from a Reception Prison, other than those set out in Chapter 2 of this protocol.

There are no length-of-sentence restrictions on Young Offenders allocated or transferred into the YOI closed estate, other than those set out in Chapter 2 of this protocol.

Prisoners serving a sentence (including consecutive sentences) and who will serve equal to, or less than, 28 days in custody at the point of transfer, or who are Fixed Term Recall, can complete their sentence in a Reception Prison.

All prisoners in a Reception Prison who have more than 28 days to serve at the point of transfer are required to transfer to a next-stage prison within or access a place within the Reception Prison with an appropriate resettlement regime.

For FNO and FNO of interest to HOIE see Chapter 9 of this Protocol.

All prisoners transferring to another prison for any reason must be assessed as clinically safe for transfer by a healthcare professional before transfer.

CHAPTER 16 – YOUNG OFFENDERS (18–20)

The principles of this protocol apply to both Young Offenders and adult male prisoners. However, there are some obvious differences that, although addressed in the main block of this protocol, are also highlighted in this chapter.

Key Sentence and Release Dates for the young adult must be calculated and given to them in writing and explained to them orally within 2 working days of their reception following sentence. Where applicable, the provisions under the DTO (Detention and Training Order) for early/late release must also be explained.

Young Offenders in a Reception Prison who will serve more than 28 days at the point of transfer are required to transfer to a next-stage prison or access a place within the Reception Prison with an appropriate resettlement regime.

Dual-designated prisons with a resettlement function will resettle Young Offenders.

CHAPTER 17 – ESCALATION ROUTE FOR PRISONS NOT ADHERING TO THE NATIONAL ALLOCATION PROTOCOL

Transfer issues should be escalated within the operational line. The below escalation route applies to Public Sector Prisons, Privately Managed Prisons and the Long Term and High Security Estate.

The governors/directors of the sending/receiving establishments should seek to resolve transfer issues in the first instance.

If agreement cannot be reached at a local level, objections and/or issues should be escalated to the relevant prison group directors for resolution.

Involvement at executive director or equivalent level may be deemed appropriate in the case of serious objections and/or issues that could not be resolved between prison group directors.

Adherence to the National Allocation Protocol will be monitored regularly and escalated to the Prisons Management Committee, as necessary, via the Population and Capacity Working Group and Medium Term Plan Programme Board.

Author: Angela Palmer

Reconfiguration Project

September 2020

Annex A – Guide to CPA (Contract Package Area) numbers and areas.

All Reception and Resettlement Prisons are allocated at least one Contract Package Area (CPA) number. The numbers correlate to the area in which specific prisons provides court and/or resettlement services.

When allocating prisoners who are in the resettlement phase of their sentence, their home CPA must be taken into consideration, as closest-to-home principles should apply. This includes prisoners moving from either the reception or training estate into a Resettlement Prison. If you are unaware of a prisoner's CPA, their home address should be verified and matched to a CPA and the correlating CPA number. For example, if an individual's home address is in Leeds, West Yorkshire, and they will be released to that address, their CPA would be 5, and a Resettlement Prison serving the CPA 5 area should be identified.

The CPA numbers for all Reception and Resettlement Prisons are available on the Performance Hub or listed in the Offender Flows. Links to both of these locations are below.

<https://pmu.hub.uk.com/>

CPA Number	CPA Area
1	Northumbria
2	Cumbria & Lancashire
3	Durham & Cleveland
4	North Yorkshire, Humberside & Lincolnshire
5	West Yorkshire
6	Cheshire & Greater Manchester
7	Merseyside
8	South Yorkshire
9	Staffordshire & West Midlands
10	Derbyshire, Nottinghamshire & Leicestershire
11	North Wales, Dyfed-Powys, South Wales & Gwent
12	West Mercia & Warwickshire
13	Gloucestershire, Avon, Somerset & Wiltshire
14	Dorset, Devon & Cornwall
15	Hampshire
16	Thames Valley
17	Northamptonshire, Bedfordshire, Hertfordshire & Cambridgeshire
18	Norfolk & Suffolk
19	Essex
20	Metropolitan & City of London
21	Kent, Surrey & Sussex

Annex B – Allocation Checklist

The below checklist will help guide you through the initial points that should be considered prior to allocation into both the resettlement and training estate.

Although this does not identify all the information you should take into consideration prior to a transfer, it does highlight the main pathway that should be considered prior to allocation.

Allocation from a Reception Prison			
QUES TION	SUMMARY	ANSWER	FLOW
	Does the prisoner have more than 28 days' time left to serve at point of transfer?	YES	MOVE TO Q.1
		NO	REMAIN AT RECEPTION PRISON
1	Is the prisoner a YA (age 18–20)?	YES	MOVE TO Q.2
		NO	MOVE TO Q.3
2	Does the YA have more than 16m time left to serve?	YES	YA TRAINING
		NO	YA RESETTLEMENT
3	Is the prisoner a category B?	YES	CAT B TRAINING PRISON
		NO	MOVE TO Q.4
4	Is the prisoner a category D?	YES	CAT D OPEN PRISON
		NO	MOVE TO Q.5
5	Is the prisoner a category C and not an FNO of Interest to the Home Office?	YES	MOVE TO Q.6
		NO	MOVE TO Q.7
6	Does the cat C prisoner have more than 16m time left to serve?	YES	CAT C TRAINING PRISON
		NO	CAT C RESETTLEMENT (check appropriate CPA)
7	Is the prisoner an FNO with less than 30m but more than 3m time left to serve and of interest to the HO?	YES	ALLOCATE TO AN FNO HUB OR FNO-ONLY ESTABLISHMENT
		NO	MOVE TO Q.8
8	Is the prisoner an FNO with more than 30m time left to serve?	YES	ALLOCATE TO A CAT C TRAINING PRISON
<i>The specific prison a man is transferred to should also take into account whether he is convicted of a sexual offence and any offending behaviour programmes that are required.</i>			
Please see the offender flows to identify which prison you should transfer to following this questionnaire.			

Annex C – Abbreviations Guide

BCST	Basic Custody Screening Tool
CPA	Contract Package Area
DTO	Detention Training Order
FNO	Foreign National Offender
HO	Home Office
HOIE	Immigration Enforcement in the Home Office
IMB	Independent Monitoring Board
IPP	Imprisonment for Public Protection
ISP	Indeterminate Sentence Prisoner
LISP	Lifer Indeterminate Sentence Prisoner Forms
LT&HSE	Long Term and High Security Estate
MALRAP	Multi Agency Life Risk Assessment Panel
MCoSO	Men Convicted of Sexual Offences
OASys	Offender Assessment System
OMiC	Offender Management in Custody
OS	Offender Supervisor
PMU	Population Management Unit
POM	Prison Offender Manager
PPCS	Public Protection Casework Section
RC1	Recategorisation form
SED	Sentence Expiry Date