

# Probation Circular

UNCLASSIFIED



## REVISED NOTIFICATION AND REVIEW PROCEDURES FOR SERIOUS FURTHER OFFENCES

### PURPOSE

This PC instructs areas to implement further revised and amended procedures for the identification, notification and review of cases where offenders under probation supervision have been charged with committing a Serious Further Offence (SFO).

### ACTION

Chief Officers should ensure that all staff are made aware of the revisions to SFO procedures, and that the instructions described in this PC are implemented from 1<sup>st</sup> January 2007. Notifications received after that date should use the newly revised documentation (version 2/2007 attached at Annex B).

Areas are required to ensure that there are effective local procedures in place at all times to identify and systematically review SFOs. Areas must give priority to ensuring that recommendations for improvements for the protection of the public are carried out with the utmost rigour.

### SUMMARY

The SFO notification and review procedure is intended to ensure robust and rigorous scrutiny of SFO cases; promote defensible practice in the management of risk of serious harm; and provide a strong sense of governance.

This circular is intended to add further clarity to the guidance contained in PC08/2006. There is new supplementary guidance in the form of the SFO Review User Guide on EPIC, and amendments have been made to Annex A (Serious Violent or Sexual Offences) and Annex B (Documentation). It also introduces, from 1 April 2007, performance indicators and a new Quality Assurance process for SFOs

### RELEVANT PREVIOUS PROBATION CIRCULARS

This PC replaces the instructions contained in PC08/2006.

### CONTACT FOR ENQUIRIES

[SFO@homeoffice.gsi.gov.uk](mailto:SFO@homeoffice.gsi.gov.uk) (PPU SFO Team contact details on EPIC)

#### REFERENCE NO:

41/2006

#### ISSUE DATE:

11 December 2006

#### IMPLEMENTATION DATE:

1 January 2007

#### EXPIRY DATE:

1 January 2009

#### TO:

Chairs of Probation Boards  
Chief Officers of Probation  
Secretaries of Probation Boards

#### CC:

Board Treasurers  
Regional Managers

#### AUTHORISED BY:

John Scott,  
Head of the Public Protection and  
Licensed Release Unit

#### ATTACHED:

Annex A – Serious Violent or  
Sexual Offences  
Annex B – Identification,  
Notification, Initial Review, Full  
Review, Action Plan & SFO  
Outcome

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## **Purpose**

1. The purpose of the SFO procedure is to ensure that there is a rigorous system of scrutiny for cases where offenders under the supervision of the Probation Service have been charged with a serious further violent or sexual offence so that:
  - areas of continuous improvement to risk assessment and management practice throughout the Probation Service may be identified and disseminated; and
  - Ministers, Chief Executive of National Offender Management Service (NOMS), Regional Offender Managers and the Director of the National Probation Service can be informed by the NOMS Public Protection Unit (PPU) of cases of serious further offences for which the Probation Service is accountable.

The SFO procedure is regulated and administered by the PPU SFO Team.

## **Actions**

2. This Circular replaces PC08/2006 (although the process remains largely unchanged). Chief Officers must ensure that the revised procedures are in place by 1<sup>st</sup> January 2007; that these procedures are incorporated into local Probation Area policy by that date; that all staff instructed to implement these procedures are fully briefed prior to implementation.
3. Areas must ensure that any SFO notifications submitted on or after 1<sup>st</sup> January 2007 are sent to the PPU using the revised SFO documentation (Annex B v.2/2007).
4. Areas must ensure that the revisions to the SFO procedures are disseminated to the local Strategic Management Board (SMB) that oversees Multi Agency Public Protection Arrangements (MAPPA), and Local Safeguarding Children Boards (LSCBs).
5. Areas must continue to nominate a lead senior operational manager; and a single point of administrative contact to manage the local coordination of SFO Reviews and to keep a file of reviews for no less than five years from date of completion or termination of supervision. SFO Reviews must be completed only by operational senior managers who have been fully briefed on these procedures and understand key terms and concepts in relation to risk of serious harm.

## **Summary**

6. The revised SFO procedures were implemented nationally 1<sup>st</sup> April 2006, following consultation with HMI Probation, the Prisons and Probation Ombudsman, and local Probation Areas. The structure of the process will continue to remain as described in PC08/2006.
7. The PPU has further revised and extended the SFO procedures in order to:
  - Measure and score the quality of the SFO Reviews (from 1 April 2007);
  - Clarify the definition of offences that meet the SFO eligibility (Annex A), including clarification of 'seriousness' of victim impact;
  - Extend the timescale for the receipt of Notification;
  - Update the standardised documentation (Annex B).
8. Supplementary guidance on implementing the revised procedures and completing the documentation is contained in the *SFO Review User Guide* issued in December 2006. This will be regularly updated on *EPIC*.

9. The SFO Review will proceed only to the stage that is proportional to the level of concern, providing an enhanced level of scrutiny only in those cases where necessary. Stage 1 (Identification), 2 (Initial Notification), and 3 (Initial Review) must be completed sequentially. All cases where a Stage 4 - Full Review has been undertaken must result in an Action Plan (Stage 5a) identifying any specific areas for improvement, and the PPU must be updated on the outcome of learning points arising from the Action Plan (Stage 5b). Areas must have processes in place to ensure that the Stage 6 (SFO Outcome) is completed. Only a very small number of exceptional cases will progress to Stage 7 (Independent Review).

### Victims

10. It is important that the needs, concerns of, and impact on victims are attended to throughout the process. Areas should actively seek and record victim information from Court, or a victim impact statement if available. In keeping with existing guidance and the Victims' Code of Practice, whilst direct victim contact should *not* usually be made prior to conviction for a serious further offence, when a case progresses to Stage 4 (Full Review) or outcome at Stage 6 (Court Notification), the area must give careful consideration to the strategy for contacting both previous victims of the original index offence and the victims of the serious further offence (or close relative if the victim is deceased). The communication strategy for each SFO including passing information about the nature of *previous* supervision, and handling areas of contention, must be managed by a senior manager appropriate to the level of concern, in conjunction with the local victim contact unit, and in accordance with the *SFO Review User Guide*.
11. Areas should be aware of the memorandum of understanding between police and probation relating to victim contact. Where an offender under probation service supervision is charged with a serious offence, the police may appoint a Senior Investigating Officer (SIO) who will invite the lead senior operational probation manager of the Area to join the Gold Group who advise and guide the SIO in the investigation (PC05/2005).

### Offender Eligibility

12. The following types of offender are eligible:

#### Offenders:

- Under any form of supervision by the Probation Service;
- Whose supervision terminated within 20 working days of the SFO;
- For whom a warrant for breach of supervision has been issued within three months of the date of the SFO;
- Who are under supervision and charged with an equivalent eligible offence in another jurisdiction;
- Who meet the criteria but have died prior to being charged.

### Offence Eligibility

13. Areas must notify the PPU when any offender is *charged* with a violent or sexual offence contained in Annex A.
14. The case will proceed to Stage 3 - Initial Review and be recorded as an SFO only when the offender and offence eligibility criteria are met; **and** the harm to the victim is serious, resulting in death or is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible.
15. The case will also be an SFO where the offence attracts significant *national* public interest by virtue of the circumstances or type of offence, or the national public profile or well-known identity of the offender or the victim; but where the offence criteria is *not* necessarily met.

### **Changes in eligibility**

16. A case will not be counted as an SFO when it falls outside the SFO eligibility criteria as a result of:
- A finding at court of not guilty, other than for reasons of fitness to plead or not guilty by reason of insanity and where a hospital order and restriction order has been made;
  - The discontinuance of proceedings either pre-trial or at court;
  - The reduction of the charge to one that falls outside the offence eligibility criteria;
17. Areas must inform the PPU immediately whenever a case falls outside of the SFO eligibility criteria. Areas may wish to complete local reviews in order to identify improvements in practice identified during the SFO procedures that were completed prior to the case falling outside of the criteria.

### **SFO procedures when the victim is a child**

18. When the SFO eligibility criteria are met, and a Serious Case Review (Working Together to Safeguard Children) is likely to be undertaken by the LSCB, a Stage 4 Full Review must be completed. The Area must share a summary of findings from the Full Review with the LSCB.

### **SFO procedures when the victim is under probation supervision**

19. In SFO cases where the victim was under probation supervision at the time of the offence, areas must be aware of the procedures outlined in paragraph 11 of PC60/2005.

### **SFO cases involving deaths of Approved Premises residents**

20. In SFO cases where the victim was under probation supervision and residing in Approved Premises at the time of the offence, Probation Areas must be aware of the procedures outlined in PC02/2004, PC18/2004 and PC40/2004.

### **MAPPA SFO cases**

21. When an offender is charged with an eligible offence and the offender is being managed at MAPPP level 3, the case will proceed automatically to a Full Review.
22. When an offender is charged with an eligible offence, and is being managed at either MAPPA level 2 or MAPPP level 3, Probation Areas must ensure that the Chair of the MAPPA SMB receives a copy of the Initial Notification. A brief summary, including the outcome of the case and the action plan, of any Initial Review and / or Full Review should be shared with the Chair and the SMB at their quarterly meeting. The SMB may decide to complete a Serious Case Review as described in the MAPPA Guidance.

### **Communications Strategy**

23. Areas are required to identify a single administrative point of contact to coordinate SFO cases up to and including Stage 6 (SFO Outcome). Immediate access to details of cases, including contacts and access to further case file details should be made accessible if required urgently by the PPU. Areas should keep an archive of all local reviews, for no less than five years from the date of completion of the review or end of supervision. All Review documents should be marked 'RESTRICTED' and sent via the GSi network via the single of point of contact to [SFO@homeoffice.gsi.gov.uk](mailto:SFO@homeoffice.gsi.gov.uk).

24. Areas will implement a Communications Strategy in each case, managed by a senior operational manager proportional to the level of local and national media interest. In cases of national interest, the Communications Strategy must be developed in conjunction with the PPU, together with the NOMS HQ Communications Unit and the Home Office's Press Office, if applicable. Where Areas place statements or publications into the public domain, advance copies must be made available in accordance with the communications strategy agreed in each case between the Area and the PPU.
25. Areas must establish a sound communications strategy with respect to victims, normally implemented after conviction. Care must be taken in particular cases where probation involvement is disclosed to victims by third parties either pre-trial or through evidence of 'bad character' during the trial.
26. Areas must be aware that the information contained in any SFO Review is subject to the requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000. Exemptions may apply as assessed on a case-by-case basis. In order to ensure consistent national practice in compliance with the data legislation, Areas must ensure that the PPU is notified immediately whenever information requests for SFO documentation arise, in liaison with the NOMS Open Government Unit.

### **Who should undertake Initial Notification, Initial Review and Full Review of SFO cases**

27. Chief Officers must ensure that those undertaking Reviews are able to do so by virtue of operational knowledge and understanding. Senior operational managers must retain full accountability for SFO Reviews, signing off the document before it is sent to the PPU. Clear and visible impartiality should be maintained at all times and wherever possible, Reviews should not be undertaken by those senior managers where a conflict of interest may arise, such as where the SFO author also has line management responsibility for the case; or responsibility for particular areas of operations or policy directly relevant to the case.
28. The Head of the Public Protection and Licensed Release Unit (PPLRU) or his/her delegate will decide when it is necessary to further enhance public confidence in the impartiality of the process. In such cases, the relevant Regional Manager will arrange for the Full Review to be undertaken by a senior operational manager from outside the area within the region. Examples of this may be where:
  - There is perceived potential conflict of interest;
  - More than one area has been involved in the management of the case;
  - There is evidence of exceptionally poor practice;
  - There is exceptional national public interest in a case.

### **Identification, Notification, Initial Review, Full Review, Outcome and Independent Review**

#### **Stage 1 - Identification**

29. Areas must:
  - Ensure that SFOs are identified at the earliest opportunity, no later than the first Court appearance, and reported to the Area's single point of administrative contact, by recording the details in full using Stage 1 of the SFO document (Annex B of this circular);
  - Ensure that the case record is secured and sent to the lead senior operational manager.

#### **Stage 2 – Initial Notification**

30. Areas must:
  - Notify the PPU when any offender is charged with an eligible offence within 10 working days of the first Court appearance, by ensuring that Stages 1 and 2 of the SFO document are received in full;

- Notify the Chair of the local Probation Board, the Regional Manager and the Regional Offender Manager off all cases which progress to a Stage 3 – Initial Review;
- In those cases involving a child, notify the Chair of the LSCB;
- In those cases where the offender was supervised by the local MAPPA at level 2 or 3, notify the Chair of the SMB;
- Identify those cases which may attract significant national public interest and inform the PPU;
- Identify those cases where notification is made more than 10 working days after the first court appearance; and make improvements where necessary to local procedures.

The PPU must:

- Acknowledge receipt of the notification within 3 working days of receipt;
- Instruct the Area to proceed to a Stage 3 (Initial Review) or confirm that a Stage 3 is not required;

### Stage 3 – Initial Review

31. Areas must:

- Assess the quality of risk assessment, risk management and offender management of the case;
- Ensure the Initial Review section of the SFO document is fully completed and received by the PPU within 30 working days of receipt of notification.

The PPU must:

- Ensure that the Initial Review is completed to a sufficient standard;
- Refer the case back if the Initial Review is insufficiently completed;
- Confirm the Area's decision on whether to proceed to a Stage 4 (Full Review) or not within 7 working days of receipt;
- Decide if the Full Review is to be carried out by a senior operational manager from inside or outside the Area.

32. Good and sufficient standards of organisational practice will be seen where there is evidence in the SFO Review of a clear audit-trail of defensible decision-making. In those cases where there are significant gaps in practice surrounding the risk assessment, risk management or offender management, the case must proceed to a Full Review.

33. The extreme seriousness, impact of some cases, or significant public interest, will lead to the conclusion that only a Full Review will meet demands for clear organisational accountability.

34. In each case that proceeds to a Full Review, Chief Officers are required to make an assessment of the standard of practice in the case. Where the standard is a cause for concern and staff appear to have “failed to do their job properly<sup>1</sup>” Chief Officers must consider initiating disciplinary or capability procedures without delay. A decision not to initiate procedures does not preclude action in the future if new information comes to light. Any decision to instigate formal proceedings should be made with full HR advice, in accordance with local policy that should include the duty of care to staff in these specific circumstances.

### Stage 4 – Full Review

35. Areas must:

- Ensure the Full Review is fully completed and received by the PPU within 3 calendar months of the confirmation to proceed to Full Review. Where there is Ministerial, or significant national public interest, an expedited Full Review must be completed within a timescale agreed with the PPU.

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<sup>1</sup> An independent Review of a Serious Further Offence case: Damien Hanson & Elliot White, HMI Probation, February 2006.

The PPU must:

- Confirm that Full Reviews have been received, within 5 working days of receipt;
- Ensure that the Full Reviews are assessed and quality rated;
- Ensure that a summary of the main Areas for improvement are communicated to the Chair of the Local Probation Board, the Chief Officer and the Regional Manager;
- Score the Review in accordance with the criteria in the User Guide.

#### **Stage 5 (a) - Action Plan**

36. Following completion of the Full Review, Areas will identify an Action Plan that will contain recommendations for the dissemination of good practice and areas for improvement of local policy, practice or training.
37. Recommendations for areas for improvement must be specific, measurable, achievable, realistic, and time-bounded targets. An Action Plan must be forwarded to the PPU, the Regional Manager, and the local Probation Board.
38. The PPU will respond back to the Area within 6 weeks, providing feedback on the major issues that have arisen in the case, any further action that may be required and score the quality of the Review.

#### **Stage 5 (b) - Action Plan Update**

39. Areas, working with the Regional manager, must provide a brief report of the implementation of the Action Plan to the PPU and the Local Probation Board no later than 6 calendar months from the date of the completion of the Full Review.

#### **Stage 6 – SFO Outcome**

40. Probation Areas must ensure that the PPU, the Regional Offender Manager and the Regional Manager are informed as soon as possible and within 3 working days of an SFO case being concluded in court, whatever the outcome.

#### **Stage 7 – Independent Review**

41. In exceptional circumstances, the Head of the PPLRU or his/her delegate will inform the Chief Officer of an Area that a case requires an Independent Review. This will normally be carried out by HMI Probation. Examples of such circumstances may be:
  - The management of the case was so exceptionally poor that an SFO Full Review is clearly insufficient to demonstrate clear public accountability;
  - The Full Review fails to sufficiently address the necessary issues; for example evidence that the probation area has not responded appropriately or adequately addressed significant areas for improvement, or evidence that the probation area has failed to address staff performance.
42. The Terms of Reference for the Independent Review will be set by the Head of the PPLRU, and will be formally submitted to the Minister. The outcome will be communicated to the PPU, and the Chief Officer of the Area involved. The findings of the Independent Review will be published.

**Quality Assurance**

43. From 1 April 2007, the PPU will assess the quality and timeliness of all the Full Reviews and give them quality rating using the criteria in the SFO Review User Guide.
44. From the same date, a deeper quarterly quality assurance process will operate whereby the PPU (for the NOMS Performance and Delivery Directorate) and HMI Probation will look at a sample of Initial Reviews and Full Reviews to determine whether the Reviews accurately reflect the information held on the case file. For the purposes of this process, copies of the case files will be requested from the Chief Officer.
45. Further details of the assessment and quality assurance process will be provided following the scheduled pilot quality assurance meeting.

**Roles and responsibilities of those involved with the SFO procedures**

46. Area Boards must:
  - Receive regular reports from the Chief Officer on the Initial Reviews, Full Reviews and Further Independent Reviews undertaken;
  - Receive a copy of each Full Review;
  - Monitor the implementation of all Action Plans and areas of improvement;
  - Consider an annual review that analyses all SFOs that have occurred in the Area.
47. Chief Officers must ensure:
  - This circular is incorporated into local policy and practice;
  - All Reviews are undertaken with clear impartiality and integrity of process;
  - Senior managers carrying out Reviews are fully aware of any local policies and practice which may be pertinent to the case;
  - Regional arrangements are in place for senior managers to carry out Reviews in other Areas; and must release senior managers in order that they can undertake Full Reviews in other Areas in the region. In the case of London Probation Area, Chief Officers must support the reciprocal release of senior managers from adjacent Areas outside the London region as arranged between Regional Managers.
  - Chairs of the Local Probation Board, the LSCB and the MAPPA SMB are informed of the revisions to the procedures outlined in this circular;
  - Key learning points and areas for improvement are forwarded to the PPU and to the Chair of the Local Probation Board;
  - A brief report on final completion of the Action Plan is forwarded to the PPU, the Chair of the Local Probation Board and the Regional Manager;
  - Arrangements are made to assist the PPU to undertake a Quality Assurance inspection.
48. Regional Managers must:
  - Record standard information on all Reviews completed within the Region;
  - Facilitate learning from Initial Review and Full Reviews across the region;
  - Provide an annual analysis of Initial Reviews, Full Reviews and Action Plans within the region to the local Chairs of the Local Probation Boards and the PPU;
  - Monitor the implementation of the Area's Action Plans and ensure that the Action Plan update is completed satisfactorily and is submitted to PPU with 6 months of the Full Review;
  - Arrange for senior operational managers from the region to carry out Reviews as commissioned by the PPU. These will be on a fair and equitable basis proportional to the size of the area; and in the case of the London area, commission senior operational managers from adjacent regions to carry out Reviews within London on a reciprocal basis.

49. The PPU must ensure:

- The central SFO procedures are fully implemented and maintained;
- The SFO documentation and the *SFO Review User Guide* are updated when required;
- The Full Reviews and Action Plans are examined, assessed and scored with a Quality Rating within 6 weeks of receipt;
- A Quality Assurance panel is arranged quarterly to inspect a national sample of SFO Initial and Full Reviews;
- Statistical information is provided to the Home Office's Research Development and Statistics Directorate (RDS) for publication in the annual Offender Management Caseload Statistics;
- That work is done with the Regional Managers so they have access to the information required for regional SFO reviews;
- Key learning points are disseminated nationally to inform future policy development;
- The Minister, the Chief Executive of NOMS and the Director of NPS are informed of any SFO cases which may cause significant concern.

### Serious Violent Offences

	Maximum penalty
Murder	Life
Attempt to commit murder or a conspiracy to commit murder	Life
Manslaughter	Life
Kidnapping	Life
False imprisonment	Life
Soliciting murder (section 4 of the Offences against the Person Act 1861)	Life
Wounding with intent to cause grievous bodily harm (section 18 of the Offences against the Person Act 1861)	Life
Attempting to choke, suffocate or strangle in order to commit or assist in committing an indictable offence (section 21 of the Offences against the Person Act 1861)	Life
Using chloroform etc. to commit or assist in the committing of any indictable offence (section 22 of the Offences against the Person Act 1861)	Life
Causing bodily injury by explosives (section 28 of the Offences against the Person Act 1861)	Life
Using explosives etc. with intent to do grievous bodily harm (section 29 of the Offences against the Person Act 1861)	Life
Placing explosives etc. with intent to do bodily injury (section 30 of the Offences against the Person Act 1861)	14 years
Endangering the safety of railway passengers (section 32 of the Offences against the Person Act 1861)	Life
Causing explosion likely to endanger life or property (section 2 of the Explosive Substances Act 1883)	Life
Attempt to cause explosion, or making or keeping explosive with intent to endanger life or property (section 3 of the Explosive Substances Act 1883)	Life
Child destruction (section 1 of the Infant Life (Preservation) Act 1929)	Life
Infanticide (section 1 of the Infanticide Act 1938)	Life
Causing or allowing the death of a child or vulnerable adult, also called 'familial homicide' (Section 5 of the Domestic Violence, Crime and Victims Act 2004)	14 years
Possession of firearm with intent to endanger life (section 16 of the Firearms Act 1968)	Life
Use of firearm to resist arrest (section 17(1) of the Firearms Act 1968)	Life
Possession of firearm at time of committing or being arrested for offence specified in Schedule 1 to that Act (section 17(2) of the Firearms Act 1968)	Life
Carrying a firearm with criminal intent (section 18 of the Firearms Act 1968)	Life
Robbery or assault with intent to rob (section 8 (1) of the Theft Act 1968) <i>[NB. Only count armed robbery where a firearm/ imitation firearm is used]</i>	Life

**Annex A – PC41/2006 - Revised Notification and Review Procedures For Serious Further Offences**

Burglary with intent to- Inflict grievous bodily harm on a person, or do unlawful damage to a building or anything in it. (Section 9 of the Theft Act 1968)	14 years (building which is a dwelling)
Aggravated burglary (section 10 of the Theft Act 1968)	Life
Aggravated vehicle-taking involving an accident which caused the death of any person (Section 12A of the Theft Act 1968)	14 years
Arson (section 1 (3) of the Criminal Damage Act 1971) <i>[NB. Only count where the charge is arson with intent or being reckless as to whether the life of another would be endangered]</i>	Life
Destroying or damaging property other than an offence of arson (section 1(2) of the Criminal Damage Act 1971) <i>[NB - aggravated criminal damage – there must be intention or recklessness as to the endangerment of life by the criminal damage].</i>	Life
Hostage-taking (section 1 of the Taking of Hostages Act 1982)	Life
Hijacking (section 1 of the Aviation Security Act 1982)	Life
Destroying, damaging or endangering safety of aircraft (section 2 of the Aviation Security Act 1982)	Life
Other acts endangering or likely to endanger safety of aircraft (section 3 of the Aviation Security Act 1982)	Life
Torture (section 134 of the Criminal Justice Act 1988)	Life
Causing death by dangerous driving (section 1 of the Road Traffic Act 1988)	14 years
Causing death by careless driving when under influence of drink or drugs (section 3A of the Road Traffic Act 1988)	14 years
Endangering safety at aerodromes (under section 1 of the Aviation and Maritime Security Act 1990)	Life
Hijacking of ships (section 9 of the Aviation and Maritime Security Act 1990)	Life
Seizing or exercising control of fixed platforms (section 10 of the Aviation and Maritime Security Act 1990)	Life
Destroying fixed platforms or endangering their safety (section 11 of the Aviation and Maritime Security Act 1990)	Life
Other acts endangering or likely to endanger safe navigation (section 12 of the Aviation and Maritime Security Act 1990)	Life
Offences involving threats (section 13 of the Aviation and Maritime Security Act 1990)	Life
Offences relating to Channel Tunnel trains and the tunnel system (Part II of the Channel Tunnel (Security) Order 1994 (S.I. 1994/570))	Life
Genocide, crimes against humanity, war crimes and related offences), other than one involving murder (section 51 or 52 of the International Criminal Court Act 2001)	30 years
Female genital mutilation (section 1 of the Female Genital Mutilation Act 2003)	14 years

**Annex A – PC41/2006 - Revised Notification and Review Procedures For Serious Further Offences**

Assisting a girl to mutilate her own genitalia (section 2 of the Female Genital Mutilation Act 2003)	14 years
Assisting a non-UK person to mutilate overseas a girl's genitalia (section 3 of the Female Genital Mutilation Act 2003)	14 years
Aiding, abetting, counselling, procuring or inciting the commission, or conspiring to commit, or attempting to commit an offence specified above.	Same as substantive offence

<b>Specified Sexual Offences</b>	
	<b>Maximum penalty</b>
Rape (section 1 of the Sexual Offences Act 1956)	Life
Intercourse with girl under thirteen (section 5 of the Sexual Offences Act 1956)	Life
Incest by a man (section 10 of the Sexual Offences Act 1956)	Life (incest with girl under 13)
Abduction of woman by force or for the sake of her property (section 17 of the Sexual Offences Act 1956)	14 years
Permitting girl under thirteen to use premises for intercourse (section 25 of the Sexual Offences Act 1956)	Life
Burglary with intent to commit rape (section 9 of the Theft Act 1968)	14 years (building which is a dwelling)
Rape (section 1 of the Sexual Offences Act 2003)	Life
Assault by penetration (section 2 of the Sexual Offences Act 2003)	Life
Rape of a child under 13 (section 5 of the Sexual Offences Act 2003)	Life
Assault of a child under 13 by penetration (section 6 of the Sexual Offences Act 2003)	Life
Sexual assault of a child under 13 (section 7 of the Sexual Offences Act 2003)	14 years
Causing or inciting a child under 13 to engage in sexual activity (section 8 of the Sexual Offences Act 2003)	14 years
Sexual activity with a child (section 9 of the Sexual Offences Act 2003)	14 years
Causing or inciting a child to engage in sexual activity (section 10 of the Sexual Offences Act 2003)	14 years
Arranging or facilitating commission of a child sex offence (section 14 of the Sexual Offences Act 2003)	14 years
Sexual activity with a child family member (section 25 of the Sexual Offences Act 2003)	14 years (offender aged 18+)
Inciting a child family member to engage in sexual activity (section 26 of the Sexual Offences Act 2003)	14 years (offender aged 18+)
Sexual activity with a person with a mental disorder impeding choice (section 30 of the Sexual Offences Act 2003)	14 years
Causing or inciting a person with a mental disorder impeding choice to engage in sexual activity (section 31 of the Sexual Offences Act 2003)	14 years
Inducement, threat or deception to procure sexual activity with a person with a mental disorder (section 34 of the Sexual Offences Act 2003)	14 years

**Annex A – PC41/2006 - Revised Notification and Review Procedures For Serious Further Offences**

Causing a person with a mental disorder to engage in or agree to engage in sexual activity by inducement, threat or deception (section 35 of the Sexual Offences Act 2003)	14 years
Paying for sexual services of a child (section 47 of the Sexual Offences Act 2003)	Life (if child under 13) 14 years (if child under 16)
Causing or inciting child prostitution or pornography (section 48 of the Sexual Offences Act 2003)	14 years
Controlling a child prostitute or a child involved in pornography (section 49 of the Sexual Offences Act 2003)	14 years
Arranging or facilitating child prostitution or pornography (section 50 of the Sexual Offences Act 2003)	14 years
Trafficking into the UK for sexual exploitation (section 57 of the Sexual Offences Act 2003)	14 years
Trafficking within the UK for sexual exploitation (section 58 of the Sexual Offences Act 2003)	14 years
Trafficking out of the UK for sexual exploitation (section 59 of the Sexual Offences Act 2003)	14 years
Aiding, abetting, counselling, procuring or inciting the commission, or conspiring to commit, or attempting to commit an offence specified above.	Same as substantive offence

**NOMS Public Protection and Licensed Release Unit**

Abell House, John Islip Street, London SW1P 4LH

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[www.probation.homeoffice.gov.uk](http://www.probation.homeoffice.gov.uk)



# The Serious Further Offence (SFO) Identification, Notification, Initial Review, Full Review, Action Plan, and Outcome document

Offender Name:

Probation Area:

PPU SFO reference number:

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SFO single point of administrative contact:

Telephone number:

Email address:

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**Please refer to the latest SFO Review User Guide (as published on EPIC) when completing all sections of this document.**

## SFO timeliness

This page must be updated by the Area's single point of administrative contact at each stage of the SFO process, before the updated document is forwarded to the PPU SFO Team. You must specify the date that each stage of the process was submitted; and whether each stage was submitted within the timescales specified in PC41/2006.

Summarise the date each stage is submitted to the PPU SFO team below						
1 <sup>st</sup> Court appearance	Stages 1/2 submitted	Stage 3 submitted	Stages 4/5a submitted	Stage 5b submitted	Outcome date	Stage 6 submitted

### **Stages 1 and 2 (Identification and Initial Notification)**

Stages 1 and 2 must be submitted to the PPU SFO Team **within 10 working days of the first court appearance.**

Was the notification submitted within the required timescale? Yes  No

If no, you must explain why it was submitted late, and identify areas for improvement:

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### **Stage 3 (Initial Review)**

Where required, Stage 3 must be submitted to the PPU SFO Team **within 30 working days of Stages 1 and 2.**

Was the Initial Review submitted within the required timescale? Yes  No

If no, you must explain why it was submitted late, and identify areas for improvement:

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### **Stage 4 (Full Review) and Stage 5a (Action Plan)**

Where required, Stages 4 and 5a must be submitted to the PPU SFO Team **within 3 calendar months of the PPU SFO Team's confirmation to proceed to a Full Review.**

Were the Full Review and Action Plan submitted within the required timescale? Yes  No  N/A

If no, you must explain why it was submitted late, and identify areas for improvement:

---

### **Stage 5b (Action Plan update)**

Where required, Stage 5b must be submitted to the PPU SFO Team **within 6 calendar months of completion of the Full Review.**

Was the Action Plan update submitted within the required timescale? Yes  No  N/A

If no, you must explain why it was submitted late, and identify areas for improvement:

---

### **Stage 6 (SFO outcome)**

Stage 6 must be completed for all cases which have proceeded to an Initial Review, and must be submitted to the PPU SFO Team **within 3 working days of the case being concluded.**

Was the SFO Outcome submitted within the required timescale? Yes  No

If no, you must explain why it was submitted late, and identify areas for improvement:

## SFO Stage 1- Identification

The Stage 1 Identification must, where possible, be completed at the initial court appearance. The following criteria must be met:

### Offender eligibility

The following types of offender are eligible:

- Offenders under any form of supervision by the Probation Service;
- Offenders whose supervision terminated fewer than 20 working days before the incident occurred;
- Offenders whose supervision terminated more than 20 working days before the incident occurred, but for whom a warrant for breach of supervision has been outstanding for less than 3 months;
- The offender is under supervision, as above and is charged with an equivalent eligible offence in another jurisdiction;
- Offenders meeting the above criteria, who have allegedly committed an SFO but have died prior to being charged.

### Offence Eligibility

Areas should initiate the SFO procedures when any offender who meets the above criteria is *charged* with a serious violent or sexual offence, where the maximum penalty is greater than 10 years (as described in Annex A of PC41/2006), or an equivalent eligible offence in another jurisdiction. Sections 1.1 – 1.7 below should then be completed in full and forwarded to the Area's single point of administrative contact.

### Stage 1 Identification completed by (Name, grade and role):

Office location:

Telephone number:

Email address:

Date Stage 1 Identification submitted to the single point of administrative contact:

### 1.1 Offender information

#### **Offender's Name:**

Alias(es):

Ethnic Origin:                      Select F4 for options

Date of Birth:                      How old was the offender at the time of the SFO offence (in years)?:

Gender: Male       Female

#### **Address at time of the SFO(s):**

Is this?: Select F4 for options      (if other give details):

### 1.2 Court Information

**At which court did the offender first appear?:**

**Date of first court appearance:**

Has the offender been remanded in custody or on bail?: Details:

**Details/date of next court appearance:**

The Area's single point of administrative contact must be kept updated with all subsequent court appearances and trial dates.

**1.3 Serious Further Offence details****Date(s) of SFO(s):****Serious violent offence triggering this notification:**

Select F4 for options

Details:

**Serious sexual offence triggering this notification:**

Select F4 for options

Details:

**Has the offender been charged with any additional offences?** Yes  No 

If 'Yes' please specify all additional charges, including any charges for offences which fall outside of the SFO criteria:

**Please provide a brief summary of the offence(s) (what happened, where, when, to whom, how and why):**

---

**1.4 Co-defendants****Are there any co-defendants?:** Yes  No **If there are co-defendants, what are their names?:****Are any of the co-defendants currently being supervised by the Probation Service?:** Yes  No 

If yes, please specify (which Area, dates of supervision, type of supervision etc):

**Have any of the co-defendants previously been supervised by the Probation Service?:** Yes  No 

If yes, please specify (which Area, dates of supervision, type of supervision etc):

**If any of the co-defendants are currently under probation supervision, a separate SFO notification must be completed and forwarded to the SFO single point administrative of contact.**

**1.5 Supervision at time of the SFO(s)**

**What was the main type of supervision that the offender was subject to at the time of the SFO?**

Community supervision  Post-release licence  Life licence

Please summarise the supervision at the time of the SFO in the table below, specifying where the offender was concurrently subject to more than one type of supervision:

Date of conviction	Start date of Order/licence	Length of Order/sentence	End date of Order/licence	Type of Order/Licence	Index offence(s)	Additional conditions (where applicable)
				Select F4 for options		
				Select F4 for options		
				Select F4 for options		
				Select F4 for options		

Additional information:

---

**1.6 Victim impact information****How many victims were there?:****Was/were the victim(s)?:** Male  Female **How old was/were the victim(s)?:** Under 13:  14-18  19-25  26-60  Over 60 **Was/were the victim(s) known to the offender?:** Yes  No 

If yes, please specify:

**Was there re-victimisation?:** Yes  No 

If yes, please specify:

**Is there evidence that the victim(s) was/were targeted due to their:**Ethnicity  / Sexuality  / Gender  / Disability  / Religious beliefs  / Age  / Class  /  
Specific vulnerability  / Other 

If you have ticked any of the above, please specify:

**What impact has the offence had on the victim(s) (death, serious injury, psychological trauma etc)?:****If sufficient victim impact information is not readily available from the CPS, consideration should be given to initiating contact with an investigating police officer in the case. Has this been done?** Yes  No 

Please specify:

**1.7 Victim contact information**Previous offence(s):**Has the probation victim contact unit been notified?:** Yes  No 

Please specify:

If applicable, which unit is the nominated point of contact with regard to the victim(s) of previous offence(s)?:

If applicable, when, where and how have the victim(s) of previous offence(s) been contacted following the SFO charges:

If applicable, please provide details of the information that has been imparted to the victim(s) of previous offence(s) following the SFO charges:

New SFO offence:

Which unit is the nominated point of contact with regard to the victim(s) of the new SFO offence(s)?:

**Once sections 1.1 – 1.7 are complete, the SFO document must be forwarded to the Area's Single Point of Administrative Contact. The Area's single point of administrative contact must then forward the SFO document to the Area's lead senior operational manager. The case record must be secured and sent to the lead senior operational manager.**

## SFO Stage 2 - Notification

### The Area's designated Senior SFO Manager must ensure that:

- The PPU SFO Team receives the SFO document, including the completed Stages 1 and 2 for all SFO cases reported by Court Officers within **10 working days of the first court appearance**;
- Cases which will not progress to an Initial Review are clearly identified in section 2.5 of the notification;
- The PPU SFO Team is informed of any case which is likely to attract **national public interest** immediately by telephone and email;
- The Chair of the local Probation Board, the Regional Manager, and the Regional Offender Manager are notified of all cases which will progress to an Initial Review;
- In cases where notification to the PPU SFO Team is not made within 10 working days of the initial court appearance, wherever possible areas for improvement are identified.

### The PPU SFO Team must:

- Acknowledge the notification within 3 working days of receipt.

### Stage 2 Notification completed by (Name and grade):

Telephone number:

Email address:

### 2.1 Public interest

#### Has there been/is there likely to be any national public interest in the case?

Yes  No  If yes, please specify:

#### Who is the local Communications Officer?:

Telephone number:

Email address:

Has the local communications officer been notified? Yes  No

### 2.2 Pre-convictions

#### How many previous convictions does the offender have?:

For how many offences?:

For how many different types of offence?:

#### Has the offender previously been convicted of any of the following offences?:

<input type="checkbox"/>	Murder/manslaughter/ attempted murder*	<input type="checkbox"/>	GBH/wounding/robbery/abduction*	<input type="checkbox"/>	Other violence or harassment*
<input type="checkbox"/>	Sexual offences*	<input type="checkbox"/>	Arson*	<input type="checkbox"/>	Criminal damage
<input type="checkbox"/>	Drug offences	<input type="checkbox"/>	Burglary*	<input type="checkbox"/>	Theft
<input type="checkbox"/>	Fraud and forgery	<input type="checkbox"/>	Other dishonesty	<input type="checkbox"/>	Driving offences



## 2.5 Confirmation

The Area's lead senior operational manager must indicate whether the case will proceed to a Stage 3 Initial Review, based upon the following:

- Do the **offender** and the **offence** meet with the SFO offence criteria?

**And**

- The harm to the victim is serious, resulting in death or is life-threatening and/or traumatic, and from which recovery, whether physical or psychological, can be expected to be difficult or impossible; or
- The offence attracts significant national public interest, by virtue of the circumstances or type of offence, or the national public profile or well-known identity of the offender or the victim.

Is there evidence that this case needs to proceed to a Stage 3 Initial Review?: Yes  No

You **must** explain the basis of your decision - this may be used to publicly justify the Area's decision:

Name of Area's lead senior operational manager:

Date:

Please ensure that the following actions are taken for all cases which will proceed to a Stage 3 Initial Review:

- The Chair of the Local Safeguarding Children Board is informed of any case where the victim is a child;
  - The local MAPPA SMB chair is notified of any case where the offender was under MAPPA levels 2 and 3 supervision;
  - In cases where the victim was under probation supervision, PC 60/2005 is referred to, and details of supervision, including any requests for the Prison and Probation Ombudsman to investigate are provided where applicable;
  - In cases where the victim was a resident of Approved Premises, PCs 02/2004 and 40/2004 are referred to and details of actions taken are provided;
-



**3.2 SFO background information**

You must ensure that the following information is provided in full before answering the core questions in sections 3.4 to 3.6.

**3.2.1 Risk assessment**

**OGRS risk of reconviction at time of the SFO(s) (as a percentage):**

Details (in particular, please specify any changes to risk of reconviction levels during the supervision):

**What was the date of the most recent risk assessment prior to the date(s) of the SFO(s)?:**

**Which of the following risk assessments were undertaken when sentenced?:**

None undertaken  OASys RoH Screening  Full OASys RoH assessment  OASys RoH review  ASSET

**Which of the following risk assessments were undertaken in custody (where applicable)?:**

None undertaken  OASys RoH Screening  Full OASys RoH assessment  OASys RoH review  ASSET

**Which of the following risk assessments were undertaken in the community?:**

None undertaken  OASys RoH Screening  Full OASys RoH assessment  OASys RoH review  ASSET

**OASys risk of harm level at the time of the SFO(s):** select F4 for options

Please provide a breakdown in the table below:

	Children		Public		Known adult		Staff		Prisoners
	Risk in community	Risk in custody	Risk in community	Risk in custody	Risk in community	Risk in custody	Risk in community	Risk in custody	Risk in custody
V High	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Med	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Details (in particular, you must specify where no risk of harm level has been recorded. Please also detail any changes to risk of harm levels during the supervision):

**3.2.2 Child protection**

**Are there any child protection concerns in relation to the SFO charge(s)?**

Yes  No  If yes, please specify:

**Is a Serious Case Review (Working Together to Safeguard Children 2006) being undertaken or expected to be undertaken?**

Yes  No  If yes, please specify:

**Are there any child protection concerns in relation to any previous offences, or to the offender's circumstances?**

Yes  No  If no, please move to Domestic abuse. If yes, please specify, and ensure that this issue is fully addressed in your answers to the Initial Review core questions:

**3.2.3 Domestic abuse****Are there any domestic abuse concerns in relation to the SFO charge(s)?**Yes  No  If yes, please specify:**Are there any domestic abuse concerns in relation to any previous offences, or to the offender's circumstances?**Yes  No  If no, please move to Sexual offences (section 3.2.4). If yes, please specify, and ensure that this issue is fully addressed in your answers to the Initial Review core questions:**If there were domestic abuse concerns, was the offender assessed using SARA?**Yes  Please specify the outcome of the assessment(s):No  Please explain why a SARA assessment was not undertaken:**If there were any domestic abuse concerns, was there liaison with the appropriate Police domestic abuse unit?**Yes  No  If no, please explain why there was no liaison:**3.2.4 Sexual offences****Are there any sexual offence concerns in relation to the SFO charge(s)?**Yes  No  If yes, please specify:**Are there any sexual concerns in relation to the offence(s) for which the offender was under supervision; or to any previous offences?**Yes  No  If no, please move on to Offender Management (section 3.2.5). If yes, please specify, and ensure that this issue is fully addressed in your answers to the Initial Review core questions:**Was the offender subject to statutory sex offender registration?**Yes  No  If yes, please specify:**Was the offender subject to a Sex Offender's Prevention Order (SOP)?**Yes  No  If yes, please specify:**If there were any sexual offending concerns, was the offender assessed using: Risk Matrix 2000?**Yes  Please specify the outcome of the assessment(s):No  Please explain why a Risk Matrix 2000 assessment was not undertaken:**Other structured risk assessment tools?**Yes  Please specify the type(s) of risk assessment tool(s), and the outcome:No **3.2.5 Offender management****National Offender Management Model tier at time of the SFO(s):** select F4 for options

Details (in particular, please specify any changes to the offender's tier level during the supervision):

**What grade was the Offender Manager?** select F4 for options

Details:

**3.2.6 Diversity**

**Were any of the following identified as factors in the offender's previous offences, or in the offender's circumstances?:**

Ethnicity  / Sexuality  / Gender  / Disability  / Religious beliefs  / Age  / Class

Please specify if you have ticked any of the above boxes:

**Were any of the following factors identified during the supervision of the offender?**

Ethnicity  / Sexuality  / Gender  / Disability  / Religious beliefs  / Age  / Class

Please specify if you have ticked any of the above boxes:

**What work was being undertaken with the offender to address any issue identified above?**

---

**3.2.7 Criminogenic factors**

**Were any of the following identified as criminogenic factors related to risk of reoffending?**

Accommodation  / ETE  / Financial management and income  / Relationships  /  
Lifestyle and associates  / Drugs misuse  / Alcohol misuse  / Emotional wellbeing  /  
Thinking behaviour  / Attitudes  / Health and other considerations

**Details:**

---

**Initial Review Core Questions**

The Initial Review Core Questions must be answered in full. You must add further comments if you answer 'No' to any question, or if you feel that further information would be helpful.

**3.3 Risk Assessment**

1. **Was a satisfactory risk of harm screening undertaken at the start of sentence, using all of the information available at the time?**

Yes  No  N/A  Please add any comments here:

2. **If the risk of harm screening identified the need for a full OASys risk of harm assessment, was this clear, accurate and undertaken in the appropriate timescale?**

Yes  No  N/A  Please add any comments here:

3. **Were the risk assessment and the risk assessment reviews up-to-date, taking into account all available information, and completed satisfactorily according to National Standards?**

Yes  No  N/A  Please add any comments here:

4. **Was the member of staff who undertook the risk of harm screening trained to carry out this task?**

Yes  No  N/A  Please add any comments here:

5. **Did all risk of harm assessments draw adequately on all previous assessments.**

Yes  No  N/A  Please add any comments here:

6. **Did the risk of harm assessments cover all victim issues where applicable?**

Yes  No  N/A  Please add any comments here:

7. **Where required in line with National Standards, was a comprehensive risk management plan completed using the appropriate format, and within the required timescale?**

Yes  No  N/A  Please add any comments here:

8. **In high and very high risk of harm cases, is there evidence of effective higher and middle management involvement in the risk assessment?**

Yes  No  N/A  Please add any comments here:

---

Based on your answers to the questions 1-8 above, was the risk assessment carried out to a sufficient standard?

Yes  No

You must provide evidence to substantiate your answer here:

If No, the case will need to proceed to a Full Review, and section 4.1 must be completed.

**Now please complete section 3.4 - Risk Management.**

**3.4 Risk Management**

9. **Was risk of harm managed appropriately throughout the sentence and thoroughly reviewed in keeping with National Standards, particularly following any significant incident or deterioration in behaviour?**

Yes  No  N/A  Please add any comments, including a description of the incident or deterioration in behaviour here:

10. **Was the Risk Management Plan delivered as intended?**

Yes  No  N/A  Please add any comments here:

11. **Was the work with the offender based on the Sentence Plan and on any additional requirements of the licence?**

Yes  No  N/A  Please add any comments here:

12. **Were risk assessment/management requirements communicated between the Offender Manager and others involved with the implementation of the Risk Management and Sentence Plans (including all other agencies), when identifying and communicating key risk information?**

Yes  No  N/A  Please add any comments here:

13. **If the risk assessment indicated the need for a referral to MAPPA levels 2 or 3 management, was this referral made?**

Yes  No  N/A  Please add any comments here:

14. **If the offender was subject to MAPPA levels 2 or 3 management, did the Offender Manager and all other relevant staff contribute effectively to MAPPA processes?**

Yes  No  N/A  Please add any comments here:

15. **Was enforcement, including breach, warnings and recall, used effectively and appropriately if the offender's risk of harm or reoffending increased?**

Yes  No  N/A  Please add any comments here:

16. **Was high priority given by the Offender Manager to victim safety where there was a direct victim/potential victim and/or if there were restrictive/prohibitive conditions concerning a victim?**

Yes  No  N/A  Please add any comments here:

17. **In relevant cases, did statutory victim liaison work take place as required by National Standards?**

Yes  No  N/A  Please add any comments here:

18. **In licence cases, was sufficient probation contact undertaken pre-release to promote effective offender management in the community?**

Yes  No  N/A  Please add any comments here:

19. **If the enhanced supervision of an Approved Premises pathway was indicated, was an appropriate placement made?**

Yes  No  N/A  Please add any comments here:

---

Based on your answers to questions 9-19 above, was the risk management carried out to a sufficient standard?

Yes  No

You must provide evidence to substantiate your answer here:

If No, the case will need to proceed to a Full Review, and section 4.2 must be completed.

**Now please complete section 3.5 - Offender Management.**

**3.5 Offender Management**

20. **Was the offender located at the appropriate tier of the Offender Management model, and did the sentence plan reflect the purposes of the sentence?**

Yes  No  N/A  Please add any comments here:

21. **Was an Offender Manager allocated within the required timescale?**

Yes  No  N/A  Please add any comments here:

22. **Was the offender supervised consistently by a single Offender Manager throughout the sentence?**

Yes  No  N/A  Please add any comments here:

23. **If the case was transferred internally between Offender Managers during the sentence, was the transfer completed to a sufficient standard?**

Yes  No  N/A  Please add any comments here:

24. **Were appropriate interventions identified to manage the offender's risk of harm, address the likelihood of re-offending, promote community re-integration and meet the requirements for punishment in the sentence?**

Yes  No  N/A  Please add any comments here:

25. **If appropriate, did interventions in the community build upon activity in prison?**

Yes  No  N/A  Please add any comments here:

26. **Was offender attendance across all interventions monitored by the Offender Manager, with consistent judgements about the acceptability of absences and offender behaviour; and was effective action taken where necessary to ensure compliance?**

Yes  No  N/A  Please add any comments here:

27. **If the case had been transferred in from another Area or from a YOT, was the transfer timely and appropriately handled in accordance with the most recent and relevant PC?**

Yes  No  N/A  Please add any comments here:

28. **Were all restrictive requirements comprehensive and necessary; proportionate to risk of harm and re-offending; and the protection of victims?**

Yes  No  N/A  Please add any comments here:

29. **Were all restrictive interventions monitored fully ensuring that every reasonable action was taken to minimise risk of harm?**

Yes  No  N/A  Please add any comments here:

---

Based on your answers to questions 20-29 above, was the offender management carried out to a sufficient standard?

Yes  No

You must provide evidence to substantiate your answer here:

If no, the case will need to proceed to a Full Review, and section 4.3 must be completed.

**Now please complete final questions on the next page (section 3.6).**

**3.6 SFO Stage 3 Initial Review - Final Questions****Yes   No**

1. **The Initial Review clearly demonstrates that there was a sufficient standard of risk assessment at the time of the SFO(s):**

   

If the answer to this question is No, a Full Review must be undertaken, and section 4.1 of this document must be completed.

2. **The Initial Review clearly demonstrates that there was a sufficient standard of risk management at the time of the SFO(s):**

   

If the answer to this question is No, a Full Review must be undertaken, and section 4.2 of this document must be completed.

3. **The Initial Review clearly demonstrates that there was a sufficient standard of offender management at the time of the SFO(s):**

   

If the answer to this question is No, a Full Review must be undertaken, and section 4.3 of this document must be completed.

4. **The offender was being supervised by MAPPA at level 3 at the time of the SFO(s):**

   

If the answer to this question is Yes, a Full Review must be undertaken, and section 4.4 of this document must be completed.

5. **A Serious Case Review (Working Together to Safeguard Children 2006) is being, or is likely to be undertaken:**

   

If the answer to this question is Yes, a Full Review must be undertaken, and section 4.5 of this document must be completed.

6. **There is, or is likely to be, significant national public interest in the case:**

   

If the answer to this question is Yes, a Full Review must be undertaken, and sections 4.1 – 4.3 of this document must be completed.

**Yes   No**

**This case requires a Full Review?**

   

You must add any examples of good practice and/or learning points identified during the initial review on the following pages (sections 3.7 and 3.8).

The complete SFO document should then be stored locally, and emailed to [SFO@homeoffice.gsi.gov.uk](mailto:SFO@homeoffice.gsi.gov.uk) within 30 working days of the initial notification. The PPU SFO Team will acknowledge receipt of the document, and provide confirmation of cases in which a Full Review is required, within 7 working days of receipt.

Please note that the Stage 6 SFO Outcome notification is required for all cases, including those for which a Full Review is not required.





**SFO Stage 4 - the Full Review****Offender name:****SFO reference number:**

Areas must:

- Ensure that the Full Review is fully completed and received by the PPU SFO Team within three calendar months of the confirmation to proceed to a Full Review; or where there is Ministerial, or significant national media interest, within the agreed timescale;
- Ensure that the Full Review, and the Follow Up Action Plan (Stage 5a), are **signed off by the Chief Officer** before they are forwarded to the PPU SFO Team.

The PPU SFO Team must:

- Ensure that all Full Reviews are assessed and rated; and that areas for improvement are identified and communicated to the Chair of the Board, the Regional Manager, and the Chief Officer.

**Name and grade of the person completing the Stage 4 Full Review:**

Telephone number:

Email address:

**Accompanying documentation**

The PPU SFO Team may request additional documentation, such as relevant extracts from the contact log, full pre-convictions etc. where required.

**Interviews**

All interviews must be fully chronicled and the notes retained. Please summarise all interviews which have informed this Full Review here:

<b>Grade and role of the interviewee</b>	<b>Identifier (e.g. OM1, SPO, etc.)</b>	<b>Date of interview</b>	<b>Summary/key issues</b>

## **The Full Review**

Please answer each section where the need for a Full Review was identified during the Initial Review. Indicate how the practice in the case was not satisfactory, and the actions that will be taken to address these issues. Each of these issues must also be fully addressed in section 5a - the Action Plan.

### **4.1 Risk Assessment**

Please expand upon your answers to questions 1-8 in the Initial Review. The following may be helpful in completing your full analysis:

- Was the risk assessment impeded by case-related workload factors; other workload commitments; or any disruptions to normal workload patterns?
- Did significant staff absences or shortages impact on the quality of the risk assessment?
- Did staff supervision and management responsibilities impede the risk assessment?
- Had the Offender Manager and other key staff received training that was relevant to the offender's needs?
- Were there any identifiable concerns in relation to the offender or their environment (e.g. threats to staff, concerns about home visits, concerns about discriminatory behaviour)?
- Were the Area's public protection policies adequate to support the provision of the risk assessment; and congruent with National Policies?
- Are there any major blockages in multi-agency work?
- Were all victim-related requirements addressed in the risk assessment?
- Were all diversity-related requirements addressed in the risk assessment?

---

### **4.2 Risk Management**

Please expand upon your answers to questions 9-19 in the Initial Review. The following may be helpful in completing your full analysis:

- Was the risk management impeded by case-related workload factors; other workload commitments; or any disruptions to normal workload patterns?
- Did significant staff absences or shortages impact on the risk management?
- Did staff supervision and management responsibilities impede the risk management?
- Had the Offender Manager and other key staff received training that was relevant to the offender's needs?
- Were there any identifiable concerns in relation to the offender or their environment (e.g. threats to staff, concerns about home visits, concerns about discriminatory behaviour)?
- Were the Area's public protection policies adequate to support the provision of the risk management plan, and congruent with National Policies?
- Are there any major blockages in multi-agency work?
- Were all victim-related requirements addressed in the risk management?
- Were all diversity-related requirements addressed in the risk management?

**4.3 Offender Management**

Please expand upon your answers to questions 20-29 in the Initial Review. The following may be helpful in completing your full analysis:

- Was the offender management impeded by case–related workload factors; other workload commitments; or any disruptions to normal workload patterns?
  - Did significant staff absences or shortages impact on the case management?
  - Did staff supervision and management responsibilities impede the case management?
  - Had the Offender Manager and other key staff received training that was relevant to the offender’s needs?
  - Were there any identifiable concerns in relation to the offender or their environment (e.g. threats to staff, concerns about home visits, concerns about discriminatory behaviour)?
  - Were the Area’s public protection policies adequate to support the offender management of the offender, and congruent with national policies?
  - Are there any major blockages in multi-agency work?
  - Were all victim-related requirements addressed in the offender management?
  - Were all diversity-related requirements addressed in the offender management?
-

**4.4 - MAPPA level 3 offenders only****Was the MAPPA level 3 probation supervision adequate?**Yes  No 

Please summarise the key issues arising from the Initial and Full Reviews, taking into consideration the risk assessment, risk management and offender management, as shown in sections 4.1 to 4.3 above. The following may be helpful in completing your full analysis:

- Was the case appropriately identified and a timely referral made to the correct level of MAPPA?
- Did an initial meeting and all review meetings take place in a timely fashion at appropriate intervals?
- Did all relevant agencies participate in the MAPPP – if not please expand?
- Was the Offender Manager made aware of all MAPPP decisions, and were they incorporated into the Risk Management Plan?
- Are local MAPPA procedures in accordance with the national guidance?
- Is there any area of local MAPPA policy and practice that should be brought to the attention of the SMB?
- Is there evidence to suggest that there was practice or policy failure? If so, what remedial actions are proposed?
- If more than one Area was involved, was it clear which MAPPA panel held responsibility for the case; and was there clear communication between panels?
- Is there likely to be a SCR undertaken by the SMB?
- Was there clear communication with the Offender Manager; were copies of MAPPP meeting minutes held on file; and were the actions recommended by the MAPPP carried out?

A summary should be copied to the Chair of the local MAPPA SMB:

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**4.5 – Cases where a Serious Case Review (Working Together to Safeguard Children 2006) is being, or is likely to be undertaken**

Please summarise the key issues arising from the Initial and Full Reviews, taking into consideration the risk assessment, risk management and offender management, as detailed in sections 4.1 to 4.3 above.

A summary should be copied to the Chair of the Local Safeguarding Children Board:

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## SFO Stage 5a - the Follow-up Action Plan

Please use the table below to summarise the recommendations arising from the findings detailed in both the Initial Review and the Full Review. The recommendations should be SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

When the table below is completed, a copy of the Action Plan should be sent to the Chair of the Local Probation Board and the Regional Manager.

Areas must provide the PPU SFO Team with an update on the implementation of the Action Plan (Stage 5b) within 6 months.

Action point number	Recommended action	Role of the person within the Area who has responsibility for implementation	Date by which this will be achieved	How will the effectiveness of the recommended actions be measured?
1				
2				
3				
4				
5				
6				
7				
8				
9				

## SFO Stage 5b - the Action Plan Update

Areas must provide the PPU SFO Team with an update on the implementation of the Action Plan (Stage 5a) within **6 months of completion of the Full Review**. Please use the table below to summarise the actions that have been taken to address the recommendations arising from the Action Plan.

When the table below is completed, a copy of the Action Plan update should also be sent to the Chair of the Local Probation Board and the Regional Manager.

Action point number	What action has taken place?	Role of the person who was responsible for implementation of the Action point	Date at which the action point was implemented	Additional comments/information
1				
2				
3				
4				
5				
6				
7				
8				
9				

**Sign off**

**This section must be completed by the Chief Officer or their delegate, but not the person who completed the Initial or Full Reviews, before the completed Stages 4 and 5a documentation is forwarded to the PPU SFO Team. The PPU SFO Team will not accept Stages 4 and 5a unless they are signed off by the Chief Officer or their delegate.**

Name:

Area:

Date:

Please tick this box  to confirm that you agree with the conclusions of the Initial Review, the Full Review, and the Follow-up Action Plan.

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**SFO Outcome****Offender name:****SFO reference number:**

Areas must ensure that the PPU SFO Team is informed within three working days of an SFO case being concluded, either in court or prior to court, whatever the outcome.

**Name of the person completing the SFO outcome notification :**

Telephone number:

Email address:

**Sentencing Court:**

Date of result:

**Court result:** Select F4 for options Details:**6.1 Sentenced (SFO)****Was the primary conviction a serious violent offence, as specified in Annex A of PC41/2006?:**Yes  No **If 'Yes' what was the primary serious violent offence that the offender was convicted of?:**

Select F4 for options

Please detail the relevant Act and section, and list any additional offences that the offender was convicted of:

**Was the primary conviction a serious sexual offence, as specified in Annex A of PC41/2006?:**Yes  No **If 'Yes' what was the primary serious sexual offence that the offender was convicted of?:**

Select F4 for options

Please detail the relevant Act and section, and list any additional offences that the offender was convicted of:

**6.2 Sentenced (Non SFO)**

If the offender was convicted of an offence or offences which fall outside of the SFO criteria, including additional convictions to those specified in 6.1 above, which offence(s) was the offender convicted of (including the relevant Acts and sections): Details:

**6.3 Sentence details**

If the offender has been sentenced, please specify the length/type of sentence: Select F4 for options

**6.4 Additional information (all cases)**

Use this space to add any additional relevant information (e.g. a summary of the judge's sentencing comments; length of tariff; type of sentence; reasons for withdrawal of charges etc.):