



National Offender Management Service

Prison-NOMIS (Prison National Offender Management Information System)		
This instruction applies to: -		Reference: -
Prisons		PSI 23/2014
Re-Issue date	Effective Date	Expiry Date
27 January 2020 – Revision	01 May 2014	16 January 2016
Issued on the authority of	NOMS Agency Board	
For action by	<p>All staff responsible for the development and publication of policy and instructions</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> NOMS HQ <input checked="" type="checkbox"/> Governors <input checked="" type="checkbox"/> Heads of Groups <input checked="" type="checkbox"/> Public Sector Prisons <input checked="" type="checkbox"/> Controllers of Contracted Prisons <input type="checkbox"/> National Probation Service (NPS) Directorate <input type="checkbox"/> Community Rehabilitation Companies (CRCs) <input type="checkbox"/> NOMS Rehabilitation Contract Services Team <input type="checkbox"/> Other providers of Probation and Community Services <p><i>*If this box is marked, then in this document the term Governor also applies to Directors of Contracted Prisons</i></p>	
Instruction type	Service Improvement	
For information	All staff in NOMS HQ and prisons	
Provide a summary of the policy aim and the reason for its development/ revision	<p>January 2020 – References to IEP have been changed to the Incentives Policy Framework (IPF), which came into force on 13 January 2020</p> <p>This policy is designed to advise prisons in their use of Prison NOMIS. It has been revised to reflect organisational changes delivered by the TR programme.</p>	
Contact	<p>Julie Brett Delivery Group, Change and ICT Directorate Email: Julie.Brett@noms.gsi.gov.uk Telephone 07989 119621</p>	
Associated documents	<p>PSI 25/2014 – AI 19/2014 – PI 19/2014 IT Security Policy PSI 24 /2014 - AI 18/2014 - P I 18/2014 Information Assurance PSI 09/2014 Incident Management Manual Incentives Policy Framework PSI 13/2013 Sentence Calculation – Determinate Sentence Prisoners PSI 11/2012 Management and Security of the Incident Reporting System PSI 01/2012 Manage Prisoner Finance PSI 74/2011 Early Days in Custody PSI 72/2011 Discharge PSI 47/2011 Prisoner Discipline Procedures</p>	

PSI 32/2011 Ensuring Equality
PSI 16/2011 Providing Visits and Services to Visitors
PSI 15/2011 Management of Security at Visits
PSI 12/2011 Prisoners Property

PSI 09/2011 The Cell Sharing risk assessment
PSI 30/2008 Prison Monies
PSO 3605 Mandatory Drug Testing
PSO 4460 Prisoners Pay (see also PSI 76/2011 Prisoner Earnings)
Public Protection Manual
PSO 9020 Data Protection Act

Replaces the following documents which are hereby cancelled: PSI 73/2011 Prison Nomis

Audit/monitoring:- Standards Audit and the IT Security Team will monitor implementation of and compliance with this instruction. Aspects of this policy will also be subject to standards audit.

Introduces amendments to the following documents:- This PSI replaces any instructions in relation to the Local Inmate Database System (LIDS)

Notes: *All Mandatory Actions throughout this instruction are in italics and must be strictly adhered to.*

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1. Executive summary

Background

- 1.1 Prison-NOMIS is the centralised system replacing the LIDS application, but with far greater functionality and scope that will change the manner in which prison staff manage offenders in public sector prisons. This instruction replaces PSI 73/2011 – Prison Nomis which has been updated to reflect the new community/probation structures (NPS/CRCs) and contact details.

Desired outcomes

- 1.2 To ensure that all establishments and HMPS business units make the necessary process changes and use Prison-NOMIS.

Application

- 1.3 *Governing Governors, Functional Heads and all staff who use Prison-NOMIS must familiarise themselves with the content of this Instruction. This includes temporary staff, all consultants and contractor staff, all staff from other agencies including Police and probation providers who use Prison-NOMIS for or on behalf of HMPS or in support of any business process undertaken using HMPS systems.*

Mandatory actions

- 1.4 *Governing Governors must ensure compliance with the mandatory actions in this instruction.*

Resource Impact

- 1.5 Additional desktop PCs have been funded as part of the introduction of Prison-NOMIS.
- 1.6 It is intended that establishments will utilise Prison-NOMIS to improve their organisational efficiency and contribute to national budget reductions.

(Approved for Publication)

Ben Booth
Director of Change & ICT, NOMS

2. Introduction

Purpose

- 2.1 This instruction sets out mandatory changes to processes that are required because of the implementation of Prison-NOMIS and explains the additional functionality available.
- 2.2 *The mandatory actions in this instruction must be followed to ensure that business processes are standardised nationally. This will enable establishments to gain the maximum efficiency and operational benefits from Prison-NOMIS.*
- 2.3 Failure to comply with this instruction will result in lower audit scores, potential breaches of PSO 9010 IT Security, PSO 9015 Information Assurance and a number of related PSO/PSIs and potentially operational failure.
- 2.4 Prison-NOMIS allows information to be shared throughout the system both within an establishment and nationally. Failure to operate all elements as defined in this instruction may result in double entry of data and incorrect or incomplete information being used for the purposes of risk assessments.

Security

Mandatory Actions

- 2.5 *All staff and contractors handling HMPS data must be security cleared to an adequate level having regard to the protective marking of the data being processed. For staff accessing Category A offender data they must have at least CTC clearance and as a minimum BPSS (Baseline Personnel Security Standard).*
- 2.6 *Users must not enter data into Prison-NOMIS on behalf of others unless specifically authorised in writing by line management. When this occurs, reference should be made in the comment to the person requesting it to be made. The system retains an audit trail for each entry saved which can be tracked back to the account of individual users.*
- 2.7 *Users must not access any Prison-NOMIS account other than their own. Password and account sharing is a breach of information Assurance policy PSO 9015 and could lead to disciplinary action being taken.*
- 2.8 *Although staff will be able to provide information to offenders from the system, they must not supply any information on third parties (other offenders' details) or show offenders any screens within Prison-NOMIS.*
- 2.9 *To access Prison-NOMIS all users must complete a Prison-NOMIS User Account application, which must be authorised by their line manager.*
- 2.10 *All staff are responsible for their own password protection and must not supply these details to anyone else, not even close working colleagues.*
- 2.11 *The Prison-NOMIS and MIS applications are accredited to handle information up to and including that marked at a Government Protective Marking of RESTRICTED only. Any information higher than that of RESTRICTED should not be on the Prison-NOMIS application.*
- 2.12 *Any information downloaded from Prison-NOMIS must be authorised by the Governor and be in accordance with PSI 12/2008.*

Disaster Recovery and Contingency Plans

- 2.13 PSO 9010 IT Security requires all establishments to have a plan in place to ensure that acceptable levels of service, control and security can be maintained in the event of a disruption to computing services.

Mandatory Actions

- 2.14 *Governors must ensure that Business Continuity Plans (BCP) exist for Prison-NOMIS and are tested on a regular basis.*
- 2.15 *Governors must ensure that Prison-NOMIS Contingency Plans are integrated into establishment contingency plans.*

Data Protection

- 2.16 *Users of all HMPS computer systems must comply with the law and the relevant instructions set out in PSO 9010 IT Security Policy, PSO 9015 Information Assurance and PSO 9020 Data Protection.*
- 2.17 *All users must read and conform to the Prison-NOMIS Security Operating Procedures, together with any additional internal Security and IT policies which may apply.*
- 2.18 *Prison-NOMIS is protected by a Security framework and all data entered onto it is potentially liable to legal disclosure under the Data Protection Act and/or the Freedom of Information Act. All activities undertaken with regard to Prison-NOMIS must comply with the requirements of the Computer Misuse Act and other relevant data legislation.*
- 2.19 *Only accurate and relevant information must be entered in Prison-NOMIS.*
- 2.20 *Unauthorised access or attempts to alter, destroy, damage, disclose or otherwise interfere with the data in held in Prison-NOMIS could result in disciplinary proceedings and/or criminal prosecution.*

Minimum Data Requirements

Mandatory Actions

- 2.21 *Prison-NOMIS provides information to other departments within NOMS. To facilitate this and make best use of its capabilities Governors must ensure that the following key data fields are populated:-*
- *Valid PNC number where an offender has been allocated one*
 - *Valid CRO number where an offender has been allocated one*
 - *Nationality*
 - *Ethnicity*
 - *Religion*
 - *Disability*

Access and usage of the system

- 2.22 *Only trained and authorised staff may operate the system. Prison-NOMIS Live Services will open accounts for users upon receipt of the appropriate authorisation from local system administrators.*
- 2.23 *Staff may not, without written management permission, share reports or data from reports with staff outside of the NOMS Agency. Where such permission is granted reports can only*

be sent to those on the secure Government Secure Intranet (GSI) or similarly accredited network. *An audit trail must be maintained of such permissions.* This should be referenced in the establishment's Information Sharing Protocols (PSO 9020).

Business Partnerships, Contractors, Seconded Staff and Third Party Users and Suppliers

Mandatory Actions

- 2.24 *All users or suppliers who have access to Prison-NOMIS must follow these instructions. This includes others who operate within prison establishments such as teaching, probation and healthcare staff.*
- 2.25 *Governors must ensure that the use of Prison-NOMIS by non-HMPS staff is reflected in any establishment's contractual, partnership or service level agreements.*

General

- 2.26 Prison-NOMIS differs from LIDS in that it is a single national database of offender information. This means that all data can be shared between establishments without the need for any re-keying when offenders are transferred. This central database provides a single and consistent source of information for enquiries and reporting.
- 2.27 Prison-NOMIS is located in a secure national data centre and is accessed using a Quantum desktop computer. The key areas in an establishment affected by the implementation of Prison-NOMIS are:
- Adjudications
 - Cell Sharing Risk Assessment
 - Establishment reports
 - HDC, ROTL and ECL
 - Incident Reporting
 - Prison roll
 - Prisoner History Sheets
 - Prisoner Pay
 - Prisoner Finance
 - Reception & Prisoner Property
 - Regime & Activities
 - Sentence Calculation
 - Visits
- 2.28 Prison-NOMIS is an enabler of business change and it is important that Governors and their management teams maximise the benefits that can be derived from it. Establishments are required to outline in their SLAs and business planning processes a development strategy that ensures, wherever appropriate, their business processes are aligned to the functionality contained in Prison-NOMIS.
- 2.29 With the introduction of this instruction, all other references to LIDS data within Prison Service Orders and Instructions now refer specifically to Prison-NOMIS in relation to the national IT case management system.

Access to the system

- 2.30 Only authorised users may have access to the system. Access to Prison-NOMIS is governed by Caseload and Role Based Access Controls (RBAC).
- 2.31 Caseloads control what offender records a user may retrieve; for the majority the caseload will be the offenders at their establishment.
- 2.32 The RBAC determines the level of access permissions that a user has to read and/or update Prison-NOMIS. RBACs will be applied differently according to the type of prison, i.e. more open access for Open and Category C Training Establishments, heavily restricted access in High Security Establishments.

High Security Prisons & Restricted Status & High Profile PrisonersMandatory Actions

- 2.33 *Within the High Security Estate there is a requirement to protect information about all Category A offenders. Specific workarounds have been agreed between the Director for High Security Prisons and the Prison-NOMIS Project. Other than those listed in Annex A, the full functionality of Prison-NOMIS is to be utilised in the High Security Estate.*
- 2.34 *Establishments holding restricted status and/or high profile prisoners must follow the workarounds in Annex A. Other Prison-NOMIS functionality is to be utilised as directed in this PSI.*

Online help, training manuals and support

- 2.35 On line help is available in the help screens within Prison-NOMIS. These can be accessed by clicking on the '?' button within the header toolbar or by pressing F1.
- 2.36 Help and advice is available from training documentation and FAQs accessed via the Prison-NOMIS link on the Intranet.
- 2.37 Staff can access training manuals which are held in Establishment training departments and through the Prison-NOMIS link on the Intranet.
- 2.38 Help is available from Local Administrators and the training department (see Section 14 for more information about these roles)
- 2.39 Prison-NOMIS Live Services are available for help, advice and support via the Quantum Help Desk.

Prison Clusters & Multiple Function Sites

- 2.40 Prison-NOMIS is a single system for the whole of the public sector prison service. Policy leads, CEOs and Governors for Clusters or sites with multiple functions will need to liaise with Prison-NOMIS Live Services for advice on any changes to their strategies that could be impacted by Prison-NOMIS.

3. Management Tasks

Purpose

- 3.1 This section provides advice, information and guidance relating to the management and use of Prison-NOMIS in establishments.

General Advice

- 3.2 To make the best use of Prison-NOMIS, Governors and their teams need to take ownership of the system and related prison processes.
- 3.3 *To maximise the benefits of Prison-NOMIS establishments must align their internal processes with the functionality of the system, in particular:*
- *Reception*
 - *Custody Administration*
 - *Activities*
 - *Prisoner Monies*
 - *Offender Management*
 - *Visits*
- 3.4 Governors should also consider the way the new functionality provided by Prison-NOMIS will help them deliver efficiencies as part of the business planning process.
- 3.5 Governors should ensure that local arrangements are in place to check the levels of usage of Prison-NOMIS by staff on a regular basis. Those who do not should be set specific objectives through their line manager to develop their ICT skills and subsequently make full use of Prison-NOMIS.
- 3.6 It is also good practice for Governors to initiate and continually review the skills set of their staff in relation to the usage of ICT. This includes reviewing basic skills and setting objectives through the SPDR process to ensure that staff use the system fully as part of their duties.
- 3.7 Governors should, where possible, detail within Service Level Agreements or Contracts the requirement for all seconded or contracted staff to access and update Prison-NOMIS as mandated in this instruction.

4. Case Notes, Incentives, Alerts, and Cell Sharing Risk Assessment

Purpose

- 4.1 This section sets out specific instructions relating to the Case Notes section of Prison-NOMIS. 'Case Notes' replace personal officer history sheets also known as Page 16s. Unlike personal officer files that are generally held on the wing, Case Notes are held on a national database.
- 4.2 Case Notes provide a central repository for all reports or comments about an offenders behaviour, progress or other information of note.
- 4.3 Staff from all areas of an establishment who have contact with an offender and who have access to Prison-NOMIS are able to enter comments into case notes. Comments are immediately available to all staff who have access to an offenders record.
- 4.4 Case Notes can be reviewed by anyone who has access to an offenders details.
- 4.5 Case Notes provide a single continuous and up to date record of information about an offender which can present information for boards and other review meetings.

Mandatory Actions

Case notes

- 4.6 *Personal Officers must make case notes as directed by the establishments local Personal Officer Scheme.*
- 4.7 *Management checks must be put in place to ensure frequency and quality of entries in Case Notes.*
- 4.8 *Case Notes is the only system to be used for the recording of personal officer contacts. Page 16s (or equivalents) are to be retained for historical record keeping only and must be withdrawn from use as a live system.*
- 4.9 *All staff who have contact with an offender and who have access to Prison-NOMIS must update case notes on a regular basis.*
- 4.10 *For those staff that do not have access to Prison-NOMIS, Governors must make arrangements for them to contribute to case notes on a regular basis. This will ensure that information about an offender is as comprehensive as possible.*

Incentives Scheme

- 4.11 *A record of incentive reviews must be made in Case Notes.*
- 4.12 *The outcome of an incentives review board must be recorded on Prison-NOMIS at the earliest opportunity.*
- 4.13 *Prison-NOMIS only accepts Basic, Standard and Enhanced incentive levels.*

Alerts

- 4.14 *Prison-NOMIS contains a set of alerts to advise staff of key areas and potential risk. All these alerts must be kept up to date for staff safety, the protection of vulnerable offenders and public protection (in accordance with PSO 4745 MAPPA).*

- 4.15 *An ACCT alert must be updated when an ACCT is opened and must be reviewed in accordance with PSI 09/2011 Cell sharing risk assessment. .*
- 4.16 *A Self-harm alert must be updated when an incident of self-harm occurs in accordance with PSI 09/2011 Cell sharing risk assessment.*

Cell Sharing Risk Assessment (CSRA)

- 4.17 *The CSRA must be completed on the paper-based forms provided nationally PSI 09/2011 Cell Sharing Risk Assessment.*
- 4.18 *Once the paper based CSRA has been completed the result must be entered onto Prison-NOMIS following the guidance given in Annex D.*
- 4.19 *The CSRA rating must be entered on Prison-NOMIS before any offender is located in their cell. They must not be physically moved into the cell before this process has been completed on Prison-NOMIS.*
- 4.20 *Where offenders are initially located to a holding area they must be supervised and managed in line with National Policies.*
- 4.21 *When a CSRA review is conducted this must be completed on the paper based forms provided nationally (PSI Cell Sharing Risk Assessment) and the rating entered on Prison-NOMIS following the guidance in Annex D.*

General Advice

Case Notes

- 4.22 *The main employer of an offender (e.g. workshop instructor, teacher) should add a meaningful case note through the local arrangements set out in section 4.10.*
- 4.23 *Health and Mental Health staff who regularly engage with particular offenders should also add Case Notes through the local arrangements set out in section 4.10. These entries must not detail the private medical issues of offenders but should focus on behavioural issues or detail specific issues that might help the care of the offender by staff generally.*
- 4.24 *Offender Supervisors within establishments should update Case Notes for offenders under their care. This will inform other staff about an offender's progress.*

Alerts

- 4.25 *MAPPA and Public Protection markers are included in the alerts section of Prison-NOMIS and replicate those outlined in the relevant PSO's.*

5. Reception and the Management of Property

Purpose

- 5.1 *This section outlines the processes that all reception staff and managers must follow in line with Prison-NOMIS functionality.*
- 5.2 Failure to adhere to these processes will have a detrimental affect on establishments in relation to the management of their offenders' core details and property claims from offenders.
- 5.3 Prison-NOMIS allocates a unique identifier (NOMS_ID) to each offender. The unique identifier is essential to the effective operation of Prison-NOMIS as it allows retrieval of previous custodial records for an offender (where there is one) and ensures staff have access to historical data. This data includes elements of previous risks, adjudications and security alerts
- 5.4 This Chapter should be read in conjunction with the processes outlined in PSI 12/2011 Prisoners' Property

Mandatory Actions

- 5.5 *Reception staff must carry out a Global Search for an existing record before creating a new record for an offender.*
- 5.6 *Where an initial Global Search reports numerous offenders, a second search should be completed using secondary identifying data, (e.g. PNC number, date of birth etc) before creating a new record.*
- 5.7 *Where an initial Global Search reports no existing offender records a second search should be completed using new identifying data, e.g.(PNC number, date of birth etc) before creating a new record.*
- 5.8 *All new offenders must have their photograph taken and an image downloaded onto Prison-NOMIS with the exception of Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners (See Annex A). In addition the management of High Profile Offenders must be determined by the Governor.*
- 5.9 *Any offender that has significantly altered their appearance whilst in custody, or upon repeat reception, must have a new image downloaded on Prison-NOMIS with the exception of Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners (See Annex A).*
- 5.10 *All new offenders must have a property box number allocated to them before they leave reception. This must remain uniquely available to them during their time at an establishment until they leave for any reason.*
- 5.11 *Staff must ensure that when they receive a returning offender they establish whether or not a new booking is required or whether an existing booking number is still valid e.g. Licence Recalls, absconds or returns from court.*
- 5.12 *Reception or induction staff must complete a Cell Sharing Risk Assessment on the paper-based system (as detailed in Annex D) and record the result on Prison-NOMIS before any offender is located within the establishment.*
- 5.13 *The Cell Sharing Risk Assessment rating must be entered onto Prison-NOMIS before an offender is allocated or located in their cell.*

- 5.14 *Staff must allocate an offender to their cell on the system before moving them into their cell location with the exception of holding cells.*

General Advice

- 5.15 It is important that staff check properly that an offender does not have an existing record before creating a new record, this will avoid duplicate records being created.
- 5.16 Prison-NOMIS retains information from previous sentences in a national database. Creating duplicate records for offenders already in the system wastes time re-entering data that already exists and causes work in merging records once the duplicate has been identified. Both are costly, time consuming and could lead to important information being lost e.g. alerts, warnings etc.
- 5.17 *Managers in charge of the reception process must carry out regular checks to make sure that staff are following the correct processes for identifying offenders' records on Prison-NOMIS in reception.*
- 5.18 Local System Administrators and/or Prison-NOMIS Live Services can provide managers with details of users who create duplicate records. Managers should address these issues to reduce levels of poor system performance.
- 5.19 Managers should carry out periodic checks that property boxes have been allocated to offenders in reception and deselected on Prison-NOMIS when offenders are discharged or leave the establishment. For unclaimed property Managers should ensure de-selections are in line with PSI 12/2011 Prisoners Property.
- 5.20 As soon as information is received that an offender has been discharged from court and will not return to custody, Custody Administration staff should release the offender on Prison-NOMIS so that their status changes from 'Active Out' to 'Inactive Out'.
- 5.21 Reception staff and managers should check at least once a day for any offenders who have been discharged from court and will not be returning to custody and release the offender on Prison-NOMIS so that their status changes from 'Active Out' to 'Inactive Out'.
- 5.22 Reception or Induction staff should ensure that they enter and/or update incentive status for offenders in compliance with the [Incentives Policy Framework \(IPF\)](#)
- 5.23 Unique identifying marks on an offender's body should be photographed and uploaded onto the system at the earliest opportunity.
- 5.24 Reception staff should identify young offenders on Prison-NOMIS by updating the 'Youth Offender?' question on the Receive Offender screen before an offender exits the reception process.
- 5.25 Reception staff should complete a disability questionnaire within 24 hours of first reception on Prison-NOMIS and enter the data, if the offender consents, to comply with the Equality Act 2010. This may be delegated to induction staff.
- 5.26 Upon discharge, reception staff should ensure that they utilise the relevant fields of Prison-NOMIS to ensure:
- That offenders are discharged on the system as appropriate.
 - That the property box link is removed (see Para 5.18)
 - The details of offenders are checked in line with their Local Security Strategy and in compliance with PSI 72/2011 Discharge.

- 5.27 Advice on the processes to be followed in reception are contained in the online training manuals and 'how to' guides (see sections 2.35 – 2.39 Online help, Training Manuals and Support).
- 5.28 This chapter complements PSI 72/2011 Discharge, PSI 12/2011 Prisoners Property and PSI 74/2011 Early Days in Custody.

6. Visits

Purpose

- 6.1 The purpose of this section is to outline the procedures relating to the booking and recording of visits within Prison-NOMIS.
- 6.2 The visits booking functionality in Prison-NOMIS supports a standardised core business process that will enable establishments to deliver the full business benefits of a national booking system.
- 6.3 Prison-NOMIS will also enhance our ability to manage banned visitors.
- 6.4 The visits booking functionality in Prison-NOMIS is not mandatory for remand visits. However, if establishments opt to use Prison-NOMIS, prisoners remand visits should be treated in the same way as official visits, there is no requirement to issue Visiting Orders prior to making a booking.
- 6.5 This chapter should be read in conjunction with the processes outlined in PSI 16/2011 Prisoner Communications PSI 15/2011 Management of Security at Visits and PSI 27/2009 Mandatory use of VISOR and the Public Protection Manual

Mandatory Actions

- 6.6 *All establishments must use Prison-NOMIS for booking and recording visits (with the exception of remand visits). Establishments are not permitted to use any other system as an alternative except in the case of remand prisoners. Other systems may be run in parallel to offer business assurance but not instead of Prison-NOMIS.*
- 6.7 If establishments opt to use Prison-NOMIS for remand visits advice should be sought from Prison-NOMIS Live Services to set up the system.
- 6.8 *Establishments must use Prison-NOMIS to record banned visitors.*

Convicted or Sentenced Prisoners Only

- 6.9 *Staff must add and/or edit the names and details of visitors submitted for each new offender on Prison-NOMIS within one week of reception and add details of any new visitors to existing offenders within the same timescale.*
- 6.10 *Staff must print and issue Visiting Orders using Prison-NOMIS.*
- 6.11 *Staff must check Prison-NOMIS for any visit restrictions before permitting visits, particularly in relation to prisoners assessed as a risk to children or other vulnerable persons, banned visitors and those prisoners/visitors who are subject to closed visits.*

General Advice

- 6.12 *After each visits session staff must ensure that they complete the visits detail section of Prison-NOMIS and if applicable update the case notes section for offenders to note any behavioural issues during the visit.*
- 6.13 *Prison-NOMIS is only accredited to hold RESTRICTED information. Security information must not be entered in the case notes area as this could undermine any independent security action in respect to any offenders.*

- 6.14 Staff should interrogate the system prior to a visit for particular offenders if they have concerns and note these in the case notes section of Prison-NOMIS.
- 6.15 As part of the process of updating Prison-NOMIS, those staff with public protection responsibilities should update the relevant fields. This will ensure that offenders that have visiting restrictions applied to them are flagged. This primarily relates to the protection of children and restrictions placed on offenders regarding child visits. In addition, it will ensure compliance with Prison Service Orders & Instructions.
- 6.16 In order to fulfil public protection duties and protect children, restrictions can be placed on visits using the Visits menus on Prison-NOMIS. *If such restrictions are to apply, then visits staff must ensure that these are recorded on the system and those staff running visits must ensure they check on such restrictions before they commence visiting sessions.*
- 6.17 Security officers and managers should also ensure that they administer and control visit bookings through Prison-NOMIS as this is the key system to alert staff to the status of any offender or visitor. It is essential that the system is updated on a daily basis to ensure that cases are authorised or rejected swiftly.
- 6.18 *Details of banned and/or closed visitors must be updated, approved and maintained on Prison-NOMIS. The relevant staff are able to select from Prison-NOMIS whether the visitor is subject to a local or global visitor ban.*
- 6.19 Any visitor who is subject to a ban from all prisons should be placed on global restrictions, i.e. a global restriction is selected on Prison-NOMIS that bans them from all establishments. If the visitor is subject to closed visit arrangements then managers should consider the circumstances of the closed visit restriction with a presumption of global closed visits unless the manager believes it is prudent to only apply this locally to their establishment. Managers with the relevant authority should approve visitors put forward for a ban on a daily basis.

7. Custody Administration, Sentence Calculations, HDC and Adjudications

- 7.1 The purpose of this section is to outline the changes to the working practices of the custody office and related areas.
- 7.2 Prison-NOMIS provides establishments with a tool to automate sentence calculations and a tool to conduct HDC administration.

Mandatory Actions

- 7.3 *Custody staff must on a daily basis perform a check and update the records of any offenders who will not return to the establishment and are showing as 'Active Out' (e.g. offenders who have been bailed or discharged from court).*
- 7.4 *Where a prisoner has been discharged resulting in a non-return from court the record must be updated and the prisoner record closed.*
- 7.5 *Key sentence data for offenders must be updated within the timelines as stated in the relevant Sentence Calculation PSO 6650.*
- 7.6 *The sentence calculation module on Prison-NOMIS automates calculations for many criminal justice legislative related sentence boundaries and conditions. However, due to the rapidity of legislative changes, in relation to the speed at which the calculation and formulas underpinning Prison-NOMIS Sentence Calculation functionality can be altered, sometimes staff will be required to follow 'off system' manual workarounds. Custody managers must be alert to such changes and have in place mechanisms for discriminating between these sentences and those being altered within Prison-NOMIS.*
- 7.7 *When an offender is transferred, the full sentence calculation procedure must be applied to the offender's key sentence data at the earliest opportunity following any on screen adjustments. In addition to this, where no amendments are required on screen, key dates must be validated with the comment 'transfer check' so that there is an electronic log that will show that the transfer check has been undertaken within the designated timescales. This can be viewed via the Sentence History Screen.*
- 7.8 *Care must be taken in entering the correct sentence parameters into Prison-NOMIS in order that incorrect release dates are not calculated by the system. A check by another competent person must be made to make sure the data is correct. This check must be recorded in case notes.*
- 7.9 *Upon reception from another establishment, a check must be completed on the key sentence data entered on the system, which must be conducted by a competent person. This must be recorded within case notes section of Prison-NOMIS.*
- 7.10 *A competent person must conduct 14 day and 2 day checks for offenders being discharged from custody against Prison-NOMIS. They must check that the key sentence data has been entered into Prison-NOMIS and that it is correct. This will ensure that the sentence calculation function has the correct parameters stored in it. They must verify that the release date is correct on the Release Schedules screen (under External Movements) and compare all adjustments to the warrants file on the 2 day check. The release should only be verified if the offender is due for release. If the offender is remanded on other matters, they should be removed from the release schedule. On the 14 day check, key dates should be validated again so that an electronic log is made to show that the check took place within the correct time scales. This can be viewed via the Sentence History Screen. This is also applicable to the 2 day check in addition to the verification of release in the Release Schedule screen.*

- 7.11 *A competent person must conduct 14 day and 2 day checks on any offenders subject to manual off Prison-NOMIS sentence calculation work arounds.*
- 7.12 *Managers must ensure that any dates that alter the key parameters of an offender's sentence especially in relation to the release date are carefully considered with the 14 & 2-day checks.*
- 7.13 *The 2-day checks are completed in the release schedule section of Prison-NOMIS. The checking process can specifically be found in the external movements release scheduling screens of the application.*
- 7.14 *Specifically on the 2 day check, the person conducting the check must use the verify button to authorise the planned release of the offender once they are satisfied that all sentencing parameters and adjustments support the release, if the prisoner is to be held in custody on other matters, the system verification should not take place and the offender should be removed from the release schedule to avoid confusion. If governors wish to delegate this task they must ensure that the appropriate staff within their establishment are given access to allow this.*
- 7.15 *All Time Allowable details (remand time, Unlawfully At Large time, etc.) that may affect an offender's key sentence data, must be entered on the Sentence Adjustment screen of Prison-NOMIS. In addition, the correct type of adjustment must be selected from the List of Values in relation to the sentence changes and must be entered with supporting information in the comments fields within Prison-NOMIS.*
- 7.16 *Any alterations that are made to an offender's release dates must be recorded on Prison-NOMIS. The alterations must be sufficiently detailed on the system to identify the cause of the change.*
- 7.17 *All of the relevant forms for the administration of HDC are contained on Prison-NOMIS. These must be used in place of the current paper-based methods. The approval and scheduling of the release of offenders on HDC must be scheduled utilising the assessments and legal information screens within Prison-NOMIS. In addition to this, all HDC screens must be utilised on Prison-NOMIS to reduce the risk of work being duplicated, and possible confusion for the offender.*

Adjudications

- 7.18 *Governors must ensure an appropriate member of staff is notified of punishments given on adjudication and that they are entered on Prison-NOMIS at the earliest opportunity.*
- 7.19 *All punishments (other than prospective additional days) are active from the day an adjudication is completed unless they are suspended or ordered to follow another punishment consecutively (or when a punishment is changed following a review) and must be entered on Prison-NOMIS at the earliest opportunity*

Categorisation

- 7.20 *Offenders' security categories or change to security category must be updated within 24 hours of receipt of the relevant completed categorisation forms.*

General Advice

- 7.21 *The sentence calculation module on Prison-NOMIS automates calculations for many criminal justice legislative related sentence boundaries and conditions. Due to the rapidity*

of legislative changes in relation to the speed at which the calculation and formulas underpinning Prison-NOMIS Sentence Calculation functionality can be altered, 'off system' manual workarounds will have to be applied periodically.

- 7.22 It is important that sentence calculation skills are maintained amongst custody office staff in case Prison-NOMIS fails and to keep skills up to date to respond to any rapid sentencing policy alterations. This should include those managers who conduct release date checks. The calculations and instructions in this module relate to those checking guidelines underpinned by PSO 6650 Sentence Calculation.
- 7.23 When completing the 14 or 2-day check care should be taken to access the Legal Information Sentence History screen to cross-reference with the offenders warrant file and custody records to ensure that all alterations, inputs or updates to their sentence are correct.
- 7.24 ROTL is processed in a similar manner to pre Prison-NOMIS utilising the external moves screens (specifically Temporary Absence Applications) and work flows to release an offender when authority is given.
- 7.25 All ROTL requests should be logged on Prison-NOMIS and should record the destination of the temporary absence, its length and its approval status. Once a decision is made, the outcome should be recorded on Prison-NOMIS and if approved this will populate the external moves and diary sections of Prison-NOMIS.
- 7.26 Managers, staff and administration personnel all have on system tasks to complete the HDC process and should check Prison-NOMIS daily to ensure that offenders' cases are kept up to date.

8. Finance

Purpose

- 8.1 The purpose of this section is to outline the procedures and rules that govern the payment and handling of prisoners' monies in relation to Prison-NOMIS. Adherence to this instruction will ensure that offenders are correctly paid in order that they may access canteen provisions within establishments. *This chapter must be read in conjunction with PSO 4465 Prisoners Financial Affairs.*

Mandatory Actions

- 8.2 *Prisoner pay must now be fully administered on Prison-NOMIS. All receipts and deductions to offenders' accounts must be processed using the finance screens on Prison-NOMIS.*
- 8.3 *Finance staff will be responsible for deducting monies as necessary as a result of adjudication punishments.*
- 8.4 *Finance staff must continue to reconcile amounts held on Prison-NOMIS with the Prison Accounting system (PHOENIX).*
- 8.5 *This chapter must be read in conjunction with PSO 4465 Prisoners Financial Affairs. Further advice can be sought from FC&A.*

General Advice

- 8.6 Within the financial section of Prison-NOMIS Finance departments will administer and oversee all prisoners' monies transactions and queries relating to accounts.
- 8.7 The Prison-NOMIS finance section has three sub menus that allow recording of one off transactions – e.g. canteen, supplementary private cash, recurring transactions e.g. television payments and interrogation of establishments balances.
- 8.8 Staff will need to continue to use their receive monies book, supplementary cashbook, cash ledger or equivalent to record that money has been sent to an offender. Finance staff retain the responsibility to book the money onto Prison-NOMIS.

9. Allocation to Prisoner Activity and Automated Prisoner Pay

Purpose

- 9.1 This purpose of this section is to outline the automated pay function within Prison-NOMIS and the key actions required to schedule and attend offenders at activities. Within Prison-NOMIS automated prisoner pay is linked to the attending of offenders at prison activities.
- 9.2 The process related to prisoner monies and the finance functions outlined in this instruction should be read in conjunction with PSO 4460 Prisoners' Pay & PSI 76/2011. Prisoner Earnings Act (PEA)

Mandatory Actions

- 9.3 *Governors must ensure that Prison-NOMIS is the only system that is utilised for the handling and administering of prisoner pay and the management of activities other than those outlined specifically in the finance chapter of this document.*
- 9.4 *All prisoners must be attended at their place of work and given a performance rating to allow them to be paid automatically. Piecework rates must be entered here but only in accordance with the establishments pay policy. Governors must introduce arrangements locally to enable this to be conducted.*
- 9.5 *Bonus payments to prisoners must only be paid with management authority.*
- 9.6 *The person responsible for scheduling prisoner activities must ensure that all changes to schedules are completed before the day that the requested changes come into affect. This will prevent cross scheduling and missed activity time for prisoners.*
- 9.7 *The activities clerk or equivalent must maintain a waiting list system on Prison-NOMIS in the activities scheduling area so that when vacancies arise they can be immediately filled.*
- 9.8 *Prison-NOMIS must be adjusted to reflect any changes to an offender's incentives pay rate and activity pay rate.*
- 9.9 *Staff must ensure that activities allocation is in line with the IPF and the local pay policy, specifically in relation to the reference data held within Prison-NOMIS.*
- 9.10 *If the pay rates or rules are changed within the establishment then the local system administrator, in liaison with Prison-NOMIS Live Services, must upload the new pay profiles prior to the first day of the new payment schedule.*

General Advice

- 9.11 The processes related to prisoner monies and the finance functions outlined in this instruction should be read in conjunction with PSO 4460 Prisoner's Pay & PSI 76/2011 PEA.
- 9.12 When a prisoner is attended at an activity on Prison-NOMIS, the pre-loaded pay rates that relate to the establishment's pay policy are automatically activated.
- 9.13 Establishments can restrict bonuses being paid to prisoners on Prison-NOMIS by setting the bonus rate limit to zero. If Governors chose to do this, local arrangements should be put in place, where required, to allow exceptional payment of bonuses through the restricted finance functions of Prison-NOMIS.

- 9.14 *Similar care must be taken with piecework for prisoners, although controls are easier to have in place within the prison pay aspect of the activities and services section of Prison-NOMIS. If managers decide that piece rates need to be subject to a separate control, then the values relating to piece rates should be set at zero on the relevant maintenance screen to prevent payment by the prisoner's employer. Local arrangements will need to be put in place to authorise payments for offenders through finance staff (or those with devolved responsibility to do so) if this decision is taken.*
- 9.15 *If an offender is dismissed from an activity then the Activities Clerk, or equivalent, should remove them from the activity schedule on Prison-NOMIS by the close of the next working day to ensure that they do not receive payments to which they are not entitled. In such situations, it is good practice for the offender to be placed on the waiting list for another activity.*
- 9.16 *If an offender has an approved reason for not attending activities i.e. is retired, on maternity, or has a disability, then the special pay rate must be identified to ensure that offenders receive their weekly payments.*
- 9.17 *The Activities clerk, or equivalent, must maintain the reference data and pay profiles for all activities. It is good practice that establishments have processes in place for the amendment or addition of new activities and that these include the tasks for the Activities clerk relating to the maintenance of activity schedules, changes to those schedules and pay profiles.*

10. Maintaining the Prison Roll and the Internal Movement of Prisoners

Purpose

- 10.1 This purpose of this section is to outline the process and mandatory requirements for the maintenance of the prison roll on Prison-NOMIS. It specifically links into establishments Local Security Strategy (LSS) and is fundamental to maintaining security and order and control.
- 10.2 This chapter also outlines the functionality available within Prison-NOMIS for internal movement within the secure areas of an establishment. The use of the internal movement functionality of Prison-NOMIS is not mandated.

Mandatory Actions

- 10.3 *All establishments must maintain their prison roll using Prison-NOMIS.*
- 10.4 *Offenders must be allocated to a cell location on Prison-NOMIS before they are physically moved with the exception of movements to separation and care units, or emergency admittance to Health Care Centres.*
- 10.5 *If a cell is out of use due to vandalism or refurbishment then this must be recorded on Prison-NOMIS.*

General Advice

- 10.6 If it is discovered during audit that an establishment is not maintaining the prison roll on Prison-NOMIS this will be viewed as a serious breach of internal security. Establishments may hold a back up system that is paper based for additional assurance only and may be used when contingency plans are activated.
- 10.7 Locating offenders on Prison-NOMIS prior to physically locating them in their cell ensures that there are no conflicting factors, such as high risk of shared cell location, that are missed before the offender is moved. *The alerts and warnings that have been generated on Prison-NOMIS must be consulted and considered before the offender is allocated to a particular cell.*
- 10.8 If there are alerts generated, or the system generates a conflict message, about the location selected, then this should be considered before being overridden. *In cases involving the sharing of cells where an offender is assessed as being of high risk to others under the CSRA alert, management approval must be sought for any overrides; this should be given only in exceptional circumstances and recorded in the offenders 'Case Notes'.*

Internal movement of offenders

- 10.9 Prison-NOMIS has the capability to record the internal movements of offenders from one location to another during the core day, for example to offices for appointments, to scheduled activities, back onto the wings etc. Governors may decide to continue with their current paper based processes rather than utilise this aspect of functionality within Prison-NOMIS.
- 10.10 It is important that establishments either use the full functionality of the internal movement's package or maintain their existing stand fast roll checking capabilities. Conflicts and other difficulties will arise if internal movement is not used exhaustively across the whole establishment.

11. Incident Reporting and Security Management, Mandatory Drug Testing (MDT) and Adjudications

Purpose

- 11.1 The purpose of this section is to outline the arrangements in relation to MDT, adjudications, security information management and the reporting of incidents through Prison-NOMIS. This chapter should be read in conjunction with the LSS, PSI 47/2011 Prisoner Discipline Procedures, PSI 09/2014 Incident Management Manual, PSI 15/2011 Management of Security at Visits and PSO 3601 Mandatory Drug Testing.

Mandatory Actions

- 11.2 *All incident reporting must be completed, updated and managed on Prison-NOMIS within the time boundaries set out in PSO 1400 Incident Management.*
- 11.3 *Requests from the Incident Management Unit for additional information must be completed within 24 hours of the request.*
- 11.4 *The security manager must log into the incident reporting section of Prison-NOMIS to ensure that incident reporting tasks are being completed in a timely fashion on a daily basis.*
- 11.5 *The orderly officer, duty manager or equivalent must check Prison-NOMIS during their shift to ensure that there are no outstanding incident matters to be completed.*
- 11.6 *Managers and staff must ensure that they check Prison-NOMIS daily and reply to any prompts for more information from the Incident Management Unit immediately.*
- 11.7 *Random drug tests must be managed using the lists generated in Prison-NOMIS and in compliance with PSO 3601 MDT.*

General Advice

Security Information Management

- 11.8 It is important that security utilise Prison-NOMIS as a new and rich source of information from which to gather intelligence on offenders. Correct use of Prison-NOMIS will support the work of staff across the estate in respect to the gathering of information on offenders, with the ultimate goal of improving order and control. Within Prison-NOMIS there are particular security fields relating to the scheduling and approval of offenders for external movements and conditional releases such as HDC. It is important that the Security Team fully utilise the specific functionality available to improve overall operational performance.

Incident Reporting

- 11.9 Incident reports including free text outlining details of any incident are contained on Prison-NOMIS and follow the establishment business rules contained in PSO 1400 Incident Reporting.
- 11.10 Incident reports can be inputted onto Prison-NOMIS on behalf of another member of staff if they do not have access to the Incident Reporting section of Prison-NOMIS. The member of staff inputting the incident details should submit the report in the incident details box and note the member of staff who originally reported the incident in the text. The member of staff submitting the report should input their own details in the reported by field.

Mandatory Drug Testers

11.11 *Staff conducting mandatory drug tests must utilise the relevant functionality within the Security Menus on Prison-NOMIS.* There is a waiting list function (Reserve Function) that ensures that any refusals to take tests, or cases where an offender has left an establishment, can be moved to ensure that test targets are met. It is important that the reserve list from the outset is set to a sufficient length to meet local targets, as once the list size is set it cannot be altered within the selected month.

Placing an offender on report and adjudications clerks responsibilities

11.12 When a member of staff places an offender on report they update the relevant forms under PSI 47/2011 Prisoner Discipline Procedures and create an occurrence on Prison-NOMIS.

11.13 *They must then enter the basic details of the offence on Prison-NOMIS so that the segregation clerk is alerted to the adjudication.*

11.14 The adjudication clerk is responsible for updating the post adjudication menu on Prison-NOMIS. If the member of staff placing an offender on report fails to initiate the basic record on the offender then the adjudication clerk should complete these. They should complete the details of the adjudication as soon as possible after the adjudication in any event no later than the close of business on the day of the adjudication. They are responsible for liaising with all relevant departments, such as residential units, finance and the custody office, to ensure that punishments are correctly actioned.

12. Producing and Writing Reports on Prison-NOMIS

Purpose

- 12.1 The purpose of this section is to provide guidance on producing reports within Prison-NOMIS.
- 12.2 There are two types of reports within Prison-NOMIS, Operational Reports and Management Information System (MIS) Reports. Both types of reports are created using the 'Business Objects' reporting tool.
- 12.3 Operational Reports are produced directly from the live Prison-NOMIS database and therefore consist of 'Live' data as at the time the report is run. There are a limited number of fields within Prison-NOMIS that can be reported on within Operational Reporting.
- 12.4 MIS Reports have a far larger number of fields that can be reported on in comparison to Operational Reporting and the data within MIS is loaded overnight after the Close of Business of the previous day.
- 12.5 All staff that have access to the Prison-NOMIS application will be able to view, run and save reports in relation to their level of access. The reports can be saved in the following file formats, PDF, CSV and Excel. They can also be printed which allows for the data to be shared with other Prison-NOMIS users. Reports must not normally be sent outside of the secure GSI intranet service. If in doubt staff must seek advice from their line manager before sending any prisoner related report.

Report writers

- 12.6 The Live Service Reporting and Interfaces Team (LSRIT) provide a centralised reporting solution for the estate with regards to ad-hoc reporting. Requests can be made to the team via their Functional Mailbox

NomisLiveServiceReporting@hmpps.gsi.gov.uk

The team are able to produce either a functional report for a recurring data requirement or an output for a 'one-off' requirement.

Copying reports to other users

- 12.7 LSRIT produce and are responsible for all of the standard reports for both MIS and OR. Requests for additional standard reports are managed via the Change request process.
- 12.8 *Report writers must ensure that if they send a report to another Prison-NOMIS user that the staff member has the relevant access rights to be able to view such information before it is sent. If a Prison-NOMIS report is to be sent to an 'off system' user (person not on Prison-NOMIS) electronically, in hard paper copy or by another storage or reproduction means the relevant member of staff must receive management permission to do so. Reports must not normally be e-mailed outside of the secure GSI intranet service. If in doubt staff must seek advice from their line manager before sending any offender related report.*

Ad hoc enquiries

- 12.9 Not all fields within Prison-NOMIS can be subject to ad hoc enquiry mode as available within the LIDS application. *Report writers can produce such reports upon the request of staff or managers. However, these reports must be checked against their usage and periodically removed by report writers if they are found to be inactive.*

13. Human Resources and Training of Staff on Prison-NOMIS

Purpose

- 13.1 The purpose of this section is to outline the changes to local and national training requirements brought about by the implementation of Prison-NOMIS. It also details the training requirement for establishments once Prison-NOMIS is live.
- 13.2 *All staff must complete the 'Getting Started' training package before they are authorised to access Prison-NOMIS. Confirmation that this training has been completed must be provided by the relevant line manager when applying for login details and initial password.*

Local training

- 13.3 Establishments have the capability to train their staff on Prison-NOMIS. It is important that the Human Resource Business Partner (HRBP) identifies in staff induction programmes training for Prison-NOMIS that is relevant to their level of access. Ongoing refresher training should also be included in the establishments training plan.

Training services / HR Directorate

- 13.4 Training Services will retain central responsibility for Prison-NOMIS training for POELTs, which will be planned and facilitated to take place at some point during their initial 8-week training period.

ICT training at a local level – skills and updates

- 13.5 Establishments with a requirement to train new local system administrators should contact Training Services.
- 13.6 National courses and subjects that are affected by Prison-NOMIS will be amended to reflect this.

Human Resources Business Partners (HRBPs)

- 13.7 HRBPs are responsible for ensuring that they conduct a skills assessment of all staff within their establishment to determine if the level of their ICT skills is sufficient to operate Prison-NOMIS and other IT systems. In conjunction with the training manager, they should produce a strategy for improving the skills of their staff that is contained within the establishment's Training Plan.
- 13.8 It is advisable that establishments start to provide the opportunity for their staff, whose role has a dependency on the use of IT, to obtain appropriate IT qualifications.
- 13.9 *HRBPs must ensure that their establishment maintains the internal capability to continue to train and refresh staff on Prison-NOMIS.*
- 13.10 It is the responsibility of HRBPs to set up a system to ensure that staff new to their establishment are trained on Prison-NOMIS during their induction and have their accounts activated as soon as possible following completion of the relevant training.

14. Local System Administration and Prison-NOMIS Live Services

Purpose

- 14.1 The purpose of this section is to outline the roles and responsibilities for local system administrators (LSAs) and Prison-NOMIS Live Services and define the boundaries between these roles.

Mandatory Actions

- 14.2 *Establishments with an Operational Capacity of less than 600 must have a minimum of two trained local system administrators.*
- 14.3 *Establishments with an Operational Capacity of 600 – 999 must have a minimum of three local system administrators.*
- 14.4 *Establishments with an Operational Capacity of over 1000 must have a minimum of four local system administrators.*

General Advice

Local System Administration

- 14.5 Local System Administrators (LSAs) replace Database Administrators (DBAs) and a description of their role is in Annex B. There is no longer a requirement to run back ups to the database as Prison-NOMIS moves from a locally supported database (LIDS) to a national database. Additionally there is no requirement for out of hours support for Prison-NOMIS as this will be provided by the national Information and Telephone Systems Helpdesk.
- 14.6 A key task for LSAs is the maintenance of accounts against the Role Based Access Control (RBACs) for an establishment. The level of access required by a user will depend on the type of establishment (more restricted in High Security and less restricted in Open and Category C training estate), and the level of their specialism within the establishment. The LSA will be responsible for changes to the accounts of staff due to rotation or new entry to the business.
- 14.7 LSAs will also be responsible for requesting new Prison-NOMIS accounts from Prison-NOMIS Live Services for new establishment staff and systematically suspending the accounts of any users who have left the establishment.
- 14.8 LSAs will suspend staff accounts on the instruction of local managers and will assist in the investigation of any incidents that conflict with PSO 9010 IT Security Policy & PSO 9015 Information Assurance. *Local procedures should be adopted to ensure that any temporary roles allocated to staff are removed once they are no longer necessary and these must be reported to Prison-NOMIS Live Services.*
- 14.9 LSAs should maintain and update local reference data in accordance with this instruction and in response to local management requests, e.g. activity data changes.
- 14.10 LSAs can access a number of audit reports to assist in the security and utilisation of the system. (Annex C). Any security issues that surface from the analysis of these reports should be brought to the attention of the relevant local manager. Additionally these reports will highlight members of staff who are not using the system. This information should be passed onto the functional head for the area responsible to ensure that any training, confidence or performance issues are addressed so that the maximum benefit can be derived from the Prison-NOMIS.

Prison-NOMIS Live Services

- 14.11 Prison-NOMIS Live Services provides help, guidance and support to users of Prison-NOMIS via the Quantum helpdesk.
- 14.12 Prison-NOMIS Live Services central administrators will:-
- Create and maintain Prison-NOMIS LSA accounts and create user accounts once requested by establishment LSAs. The role of a central administrator is contained at Annex B.
 - Assess and interpret the impact of change requests to Prison-NOMIS national reference data and recommend follow up action.
 - Advise and support LSAs and assist with the control of the live Prison-NOMIS environment.
 - Monitor activity associated with the creation and maintenance of Prison-NOMIS user accounts.
 - Participate in the investigation into breaches of security operating procedures and mandated processes for staff and contractors using Prison-NOMIS and contractors responsible for the support of the Prison-NOMIS family of applications.
- 14.13 Live Services Application Support team within Prison-NOMIS Live Services will be responsible for investigating and identifying resolution to incidents assigned to them.
- 14.14 Live Services Application Support team, with support from establishments, will be responsible for cleansing Prison-NOMIS data and the manual merging of duplicate records.
- 14.15 The Service Management team within Prison-NOMIS Live Services will monitor the security, integrity, usage and performance of Prison-NOMIS.
- 14.16 Prison-NOMIS Live Services will look to provide additional support post deployment, at site, and on an ad-hoc basis if it is deemed that an establishment is having difficulties or issues with a particular part of the application. Prison-NOMIS Live Services will continuously review how the business will use the application.

Annex A

Workaround for Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners on Prison-NOMIS

This annex contains the workaround procedures for **Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners**. It is mandatory that they are followed.

Staff must note that Prison-NOMIS is a fully auditable system and that any breach of this policy can be detected and may lead to disciplinary action. The specific workarounds are:

- No photographs of Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners are to be stored on Prison-NOMIS.
- On reception into the prison the Potential Category A, Provisional Category A, Category A, Restricted Status or High Profile prisoner is to be processed in the usual way with the same information that is currently entered onto LIDS is entered onto Prison-NOMIS.
- Photographs are to be taken at this point, which are to be printed in a hard copy and not stored electronically.
- All electronic copies taken at reception are to be deleted immediately on completion of the processing of these prisoners.
- *Should the prisoner, for security reasons, not be processed via reception then the same procedures above must apply.*
- The hard copies of the photographs are then to be passed onto Cat A Security where they are stored in line with local procedures as agreed in the Local Security Strategy.
- *When photographs are to be disposed of then the approved government method of cross shredding must be applied.*
- *Offender movements must follow approved security procedures at all times. Movement information entered onto Prison- NOMIS must not be included in case notes and any necessary diary entries must only be made on the day that the movement takes place. In all cases, any such information must only be available on a need to know basis and then only by those staff that have appropriate security clearance and access levels to do so.*

Workaround procedures **Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners** for **Accumulated Visits Scheme** in the High Security Estate

*In respect of Potential Category A, Provisional Category A, Category A, Restricted Status and High Profile Prisoners the following procedures must apply when dealing with **AVS**:*

- *No photographs of the prisoner should be sent to the police.*
- *Information from Prison-NOMIS sent via email should be sent as RESTRICTED using the 'gsi' network only. It should only be sent to individuals officially approved to receive information on offenders falling under this instruction.*
- *Information should never be posted and where forms or reports from Prison-NOMIS are necessary these should be sent using a Brent Fax.*

It is fundamental to effective security that the reception process for Category A, Provisional Category A, Category A, Restricted Status or High Profile Prisoners is carried out by a designated Reception Manager (or persons specifically designated by the Governing Governor or their Deputy), Orderly Officer or Duty Governor, thereby allowing only restricted users access to the prisoners full details.

Local and Central Administrators Job Description

This annex contains information for the basis of Local and Central Administrator Job Descriptions. The scope of this document is to provide a definition of the responsibilities associated with the local administration of Prison-NOMIS User Accounts.

Establishments have been advised that there should be a minimum of four trained administrators per site and it is for the site to identify their system administrator needs through a Role Based Access (RBAC) exercise.

The local support staff will perform LSA activities, which will include for example user account administration activities and Local Data Administration for the Prison-NOMIS application. These activities are restricted to authorised support staff

The purpose of this document is to provide a list of tasks to be used as a basis for a Job Description.

ROLES AND DESCRIPTIONS**NEW USER ACCOUNT SECURITY VALIDATION AND APPROVAL**

Tasks	Action
This is the local process to verify the credentials and validity of the user	<ol style="list-style-type: none"> 1. Check that the user already has an HMPS Quantum account 2. Add, amend or remove a caseload 3. Add, amend or remove a role 4. Reset or change a user's password 5. Check that the Prison-NOMIS user account is the same as the user's Quantum login user id 6. Approve new user request for Prison-NOMIS account(s)

The Local System Administrator will perform the end-to-end sequence of activities, which require the account to be set up once a request has been made locally.

The account creation request must be completed by the Live Services Application Support Team within 3 working days of the request being submitted by the establishment LSA, providing all required information is present, to ensure staff access is granted in a timely fashion.

The Local System Administrator will work within the agreed service levels for incident resolution and service requests in line with the national policies and the guidance of national administrators.

The Local System Administrator will amend a current user's caseload upon request through an account amendment form or an e-mail from the line manager of the member of staff requiring the change, or a more senior manager in the line manager's absence. The form or e-mail must be saved for audit purposes. The new access levels must be granted within 24 hours of receipt of the request unless the Local Administrator believes that the request should be denied.

The Local System Administrator may based on security or access concerns refuse to grant access to the Prison-NOMIS or change access levels. The Governor has overall authority on access rights within their establishment and has the final decision.

Request A New Prison-NOMIS User Account

Tasks	Action
<p>The HR business partner in liaison with the Local System Administrator sets up a system of being advised of all new staff and the access levels required</p> <p>The local administrator submits the approved user request to a central user account administration to create the account in Prison-NOMIS.</p>	<p>Refer to the National System Administrator who will create the new account.</p>

Add/Amend/Delete User Caseload

Tasks	Actions
<p>Add, amend, or remove a caseload from and existing Prison-NOMIS account when requested.</p>	<ol style="list-style-type: none"> 1. Verify the change request is authorised. 2. All nominated local administrators have a Prison-NOMIS role that allows them to modify a user's caseload or role. 3. The permitted changes are: <ul style="list-style-type: none"> • An increase, or decrease, in privileges or rights. Any change to the privileges or rights must be approved by a Relevant Line Manager. • An addition of one or more new caseloads.

Maintain User Role

Tasks	Actions
<p>Add, amend or remove a role based access from and existing Prison-NOMIS account when requested.</p>	<ol style="list-style-type: none"> 1. Verify the change request has been authorised by a responsible line manager. A form must be completed and approved for the change(s) to the Prison-NOMIS account. It is the site's responsibility to ensure these forms are completed in full and authorised by a Relevant Line Manager. 2. Apply the changes to the Prison-NOMIS account using User Role Maintenance.

Transfer A User Out Of An Establishment

Tasks	Actions
Required when a user transfers out to another location.	Submit a request for the transfer of a Prison-NOMIS user to another location. Required when a user transfers into a new location

Transfer A User Into An Establishment

Tasks	Actions
Receive the user account of a transferring member of staff.	<p>Permitted Changes:</p> <ol style="list-style-type: none"> 1.The application of a caseload at a new location, with no changes to their role (access rights and privileges). 2.The application of a caseload at a new location, with an increase, or decrease, in privileges or rights. Any increase in a user's privileges or rights must be approved by a Relevant Line Manager. 3.In all cases the application of the caseload and privileges at the new location, will require the removal of the caseload and privileges from the previous location. This will be implemented by the Local Administrator at the old location. <p>User transfers from Local to a National role will require additional approval before they can be implemented.</p>

Suspend a Prison-NOMIS User Account

Tasks	Actions
Required when a user's access to Prison-NOMIS is revoked or when a user leaves the service for any reason.	<p>A user's Prison-NOMIS account may be suspended for the following reasons:</p> <ul style="list-style-type: none"> • A security incident is raised involving a user's Prison-NOMIS account. • A user may be going on long-term sick or extended leave (such as maternity or a career break) • A user is transferred to a LIDS establishment • A user account is not used for 90 days (by the system)

Maintain Incentives Level And Spending Limits

Tasks	Actions
User to maintain incentive levels at an establishment. The Prison-NOMIS system holds details of the incentives scheme for each establishment. It is the responsibility of the site to maintain these rates	See National Offender Management Information System (NOMIS) Prison-NOMIS Local Administration Guide (Prison-NOMIS website)

Maintain Housing/Accommodation Locations

Tasks	Actions
To define the accommodation in an establishment.	<ol style="list-style-type: none"> 1. Raise a Vantive case with the Help Desk with a suitable contact name and telephone number. 2. The Help Desk will then telephone the contact and talk them through how to make the required changes.

Maintain/Create Internal Locations

Tasks	Actions
User to create local internal locations appointments, property, occurrences, visits, programmes, and adjudications.	See National Offender Management Information System (NOMIS) C-NOMIS Local Administration Guide(Prison-NOMIS website)

Maintain/Internal Usage

Tasks	Actions
Attaches the 'type of usage' for the internal locations that have been created	See National Offender Management Information System (NOMIS) C-NOMIS Local Administration Guide(Prison-NOMIS website)

Maintain Visit Times/Locations

Tasks	Actions
Establishes the day, times, locations, and capacities for visits.	Use Prison-NOMIS maintenance forms when changes are required

Maintain/Creates Offender Programmes/Activities

Tasks	Actions
Used to define offender activities, link them to locations and define start/end times	Use Prison-NOMIS maintenance forms when changes are required

Weed the System of any Users who have left the Establishment

Tasks	Actions
At least once a month to weed from the system any accounts where staff have resigned retired or transferred.	Set up a system in line with the establishments HR function to ensure that all staff who have retired, resigned or transferred have their names taken from the staff names field in Prison-NOMIS

Check Contingency Reports

Tasks	Actions
On a daily basis check the folder to ensure that the reports have been downloaded	Check the following reports <ul style="list-style-type: none"> • Contingency Print Canteen Report (CON0003) • Contingency Location List Report (CON0001) • Contingency Print Activities Report (CON0002) • Contingency Receptions And Discharge Report (CON0006) • Contingency Prisoner Balances Report (CON0007) • Contingency View Diary for Day (CON0004) • Contingency Visits List Report (CON0005) • Contingency Alerts Report (CON0008) • Ensure that the establishment has sufficient users with access • Contact the IT Manager to action any amendments or assistance required to map to the folder

Check Access to Contingency Report Folder

Tasks	Actions
At least once a month check the access list for the contingency report folder	<ul style="list-style-type: none"> • Ensure that the establishment has sufficient users with access • Remind the users to map to the folder • Contingency View Diary for Day (CON0005) to ensure that the establishment has sufficient users with access • Contact the IT Manager to action any amendments or assistance required to map to the folder

Cleanse Contingency Report Folder

Tasks	Actions
The daily contingency reports do not overwrite previous reports and therefore it is important the folders are cleaned out	To prevent confusion and save storage space once a month delete all historical reports.

Prison-NOMIS Audit Reports

This annex contains the procedure for accessing the Prison-NOMIS Audit Reports, they are located within the Public Folders of MIS, It is mandatory that they are followed however, the RBAC will only allow those users with one of the following roles to have access to these reports. Central System Maintenance Screens, Local Admin Maintenance Screens, Local User Maintenance Screens, and Central user Maintenance Screens



Title	Last Run	Type	Owner	Instances
Audit Prompt History Schedule Modify Properties This report will serve both operational and MIS databases. ?Begin Date? and ?End Date? are specified by the user, the report returns a list of Business Objects users who refreshed reports in the aforementioned date range, the report they run, prompt name and relative values, refresh date and time. Data is also presented by user name, by document and by date and time.	Never run	Web Intelligence Document	Administrator	0
Users Who Create Objects - Date History Schedule Modify Properties Who logs off?	Never run	Web Intelligence Document	Administrator	0
Users Who Delete Objects - Date History Schedule Modify Properties Who logs off?	Never run	Web Intelligence Document	Administrator	0
Users Who Logged Off - Date History Schedule Modify Properties Who logs off?	Never run	Web Intelligence Document	Administrator	0
Users Who Logged Off Incorrectly View Latest Instance History Schedule Modify Properties Who does not log out correctly?	11/03/2010 12:14	Web Intelligence Document	Administrator	1
Users Who Logged Off Incorrectly - Date History Schedule Modify Properties Who does not log out correctly?	Never run	Web Intelligence Document	Administrator	0
Users Who Logged Off Incorrectly - Date Range History Schedule Modify Properties Who does not log out correctly?	Never run	Web Intelligence Document	Administrator	0
Users Who Logged On - Date View Latest Instance History Schedule Modify Properties Who does not log out correctly?	12/04/2010 12:12	Web Intelligence Document	Administrator	2
Users Who Modify Objects - Date History Schedule Modify Properties Who logs off?	Never run	Web Intelligence Document	Administrator	0
Users Who Refresh Reports - Date View Latest Instance History Schedule Modify Properties	11/03/2010 13:53	Web Intelligence Document	Administrator	2

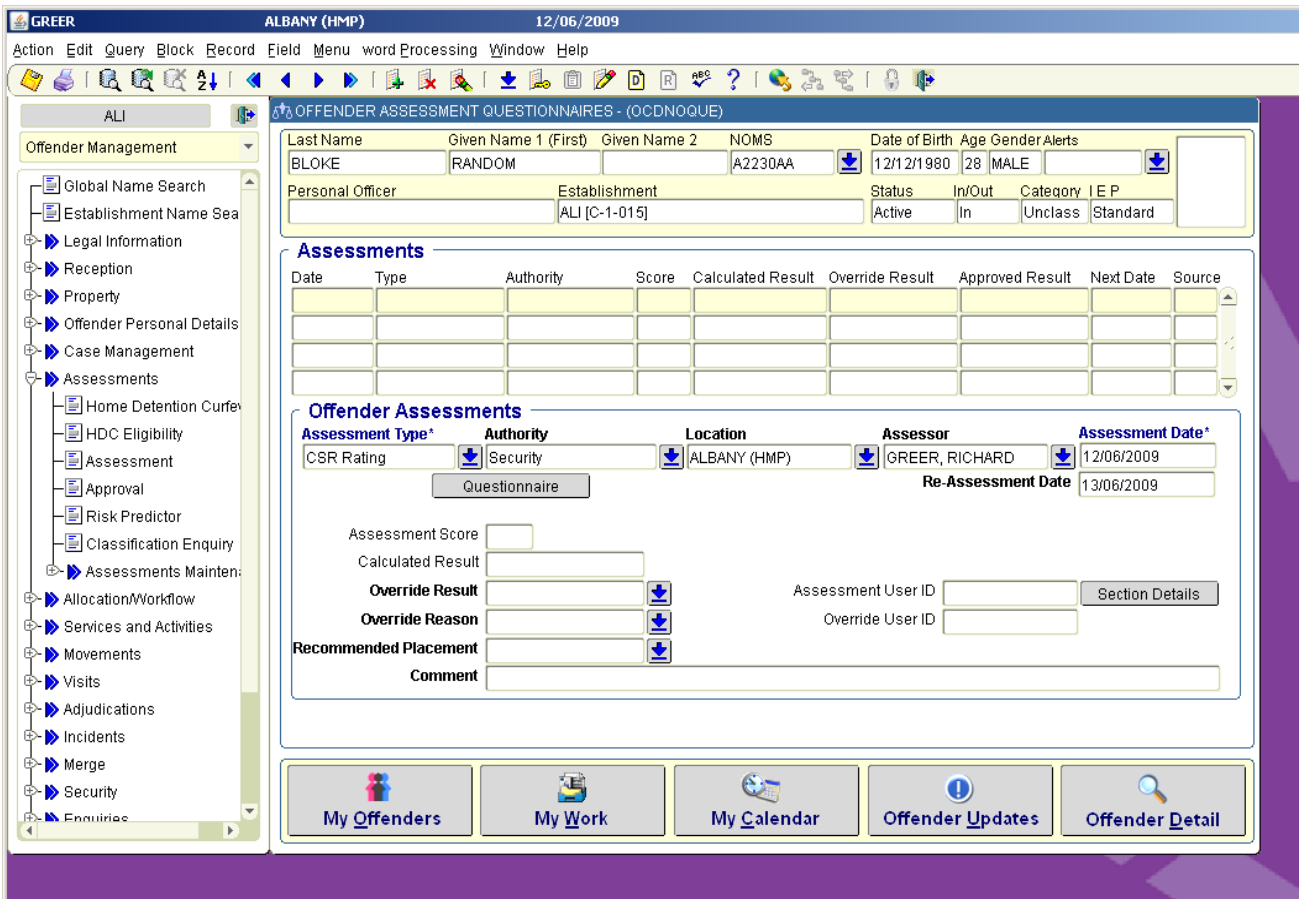
CSRA Workaround procedures*Recording Paper Cell Sharing Risk Assessment (CSRA) Result*

A directive has been given that the full CSR assessment questions and scoring algorithm will not be used on Prison-NOMIS in the short term. This will remain paper based; however, the CSR assessment result will be recorded on the system. The process below details how to enter this result on the system without recording answers to the full assessment questions and invoking the scoring algorithm behind those questions and answers.

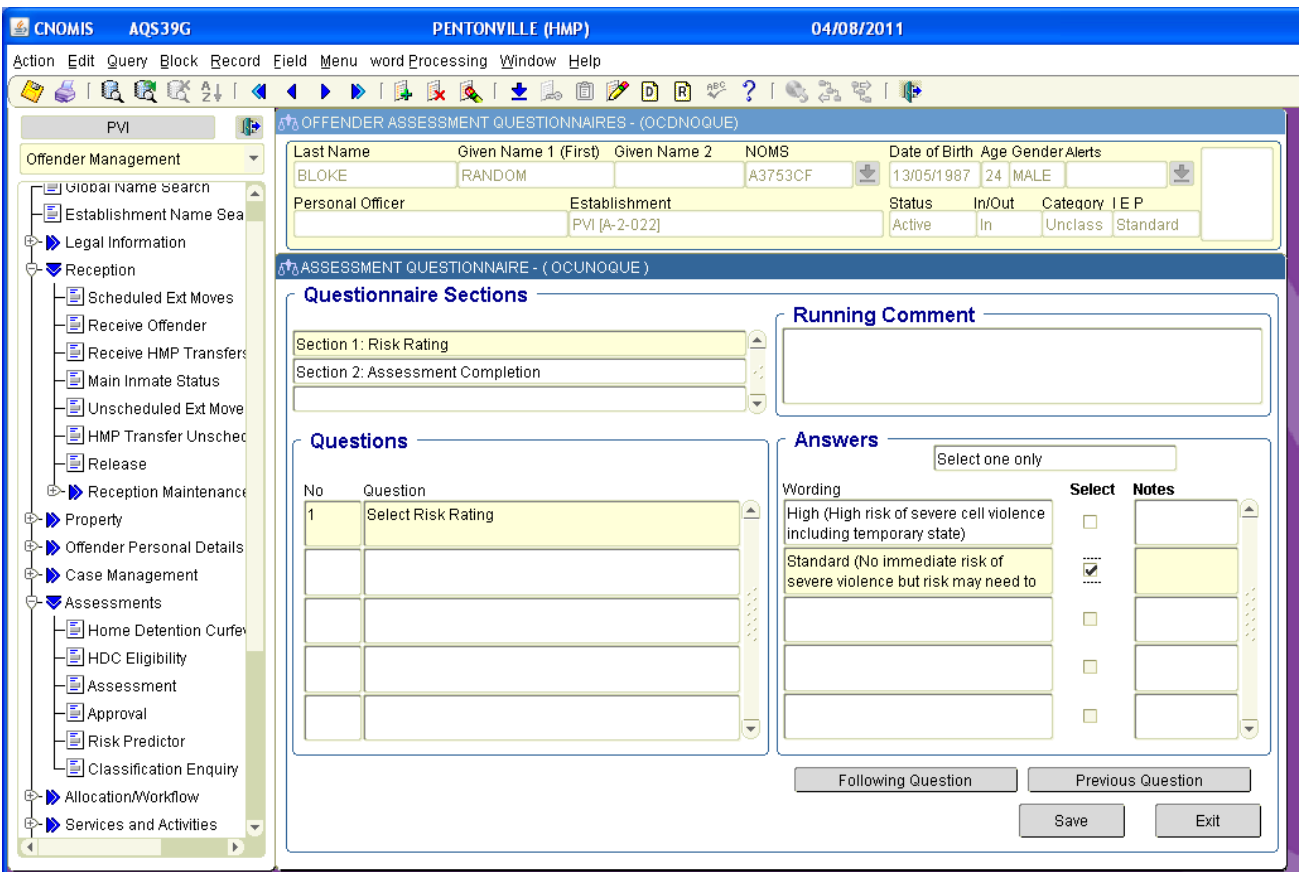
Detailed Process

The detailed process is as follows. It assumes the paper-based assessment has been completed:

Step Number	Task	Screen Used	Staff Involved
1	Navigate to the Offender Assessments screen by navigating the menu as follows: Offender Management -> Assessments -> Assessment.	Main Log-In	All Staff that Complete CSRs
2	Create an assessment with a ' CSR Rating ' assessment type. No other CSR assessment should ever be selected (i.e. CSR Full, CSR Reception, CSR Review).	Offender Assessment Questionnaires (OCDNOQUE)	All Staff that Complete CSRs
3	Click on the 'Questionnaire' button to bring up the assessment questions.	Offender Assessment Questionnaires (OCDNOQUE)	All Staff that Complete CSRs
4	Answer the single question 'Select Risk Rating' in Section 1 of the assessment by selecting the answer 'High' or 'Standard' the selection should match the result that has been provided by the paper assessment. Save the record by clicking on 'Save'.	Assessment Questionnaire (OCUNOQUE)	All Staff that Complete CSRs
5	Answer the single question 'Is the assessment complete' in Section 2 of the assessment by selecting the answer 'Yes'. Save the record by clicking on 'Save'.	Assessment Questionnaire (OCUNOQUE)	All Staff that Complete CSRs
6	Select the 'Exit' button.	Assessment Questionnaire (OCUNOQUE)	All Staff that Complete CSRs
7	The rating that was selected in step 4 above will now be shown as the calculated result.	Offender Assessment Questionnaires (OCDNOQUE)	All Staff that Complete CSRs



Steps 2 and 3 – Create the 'CSR Rating' assessment and click 'Questionnaire'.



Steps 4, 5 and 6 – Answer the Risk Rating and Assessment Completion questions.

The screenshot displays the 'OFFENDER ASSESSMENT QUESTIONNAIRES - (OCDNOQUE)' window. At the top, the header shows 'CNOMIS AQS39G', 'PENTONVILLE (HMP)', and the date '04/08/2011'. A menu bar includes 'Action', 'Edit', 'Query', 'Block', 'Record', 'Field', 'Menu', 'word Processing', 'Window', and 'Help'. Below the menu is a toolbar with various icons. The left sidebar contains a navigation tree with categories like 'Offender Management', 'Legal Information', 'Reception', 'Property', 'Offender Personal Details', 'Case Management', 'Assessments', 'Home Detention Curfew', 'HDC Eligibility', 'Assessment', 'Approval', 'Risk Predictor', 'Classification Enquiry', 'Allocation/Workflow', 'Services and Activities', 'Movements', 'Visits', 'Adjudications', 'Incidents', 'Security', 'Enquiries', 'Transfers/Close', and 'Reporting'. The main content area is divided into several sections:

- Offender Information:** Fields for Last Name (BLOKE), Given Name 1 (RANDOM), Given Name 2, NOMS (A3753CF), Date of Birth (13/05/1987), Age (24), Gender (MALE), Alerts, Personal Officer, Establishment (PVI [A-2-022]), Status (Active), In/Out (In), Category (Unclass), and IEP (Standard).
- Assessments Table:** A table with columns: Date, Type, Authority, Score, Calculated Result, Override Result, Approved Result, Next Date, Source. It shows two entries for '04/08/2011' with 'CSR Rating' type, a score of '1001', and a 'Standard' result.
- Offender Assessments Form:** Fields for Assessment Type* (CSR Rating), Authority, Location, Assessor, Assessment Date* (04/08/2011), Re-Assessment Date (05/08/2011), Assessment Score (1001), Calculated Result (Standard), Override Result, Override Reason, Recommended Placement, and Comment.
- User and Date Fields:** Assessment User ID (AQS39G) and Override User ID.
- Buttons:** 'Questionnaire', 'Section Details', and a 'My Offenders' button.

At the bottom of the window, there is a navigation bar with buttons for 'My Offenders', 'My Work', 'My Calendar', 'Offender Updates', and 'Offender Detail'.

Step 7 – The result is displayed as per the rating that was selected in the assessment.

NB: Once this process has been, completed staff must then access the Approval Screen and change the review date as required and then save, this will allow the application to pull through the review date for reporting purposes.