



HM Inspectorate of Prisons

Business Plan 2011–2012

HM Inspectorate of Prisons

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Our statement of purpose

We ensure independent inspection of places of detention, report on conditions and treatment and promote positive outcomes for those detained and the public.

Our values

Independence, impartiality and integrity are the foundations of our work.

The experience of the detainee is at the heart of our inspections.

Respect for human rights underpins our expectations.

We embrace diversity and are committed to pursuing equality of outcomes for all.

We believe in the capacity of both individuals and organisations to change and improve, and that we have a part to play in initiating and encouraging change.

Our role and function

HM Chief Inspector of Prisons (HMCIP) has a statutory duty to provide independent inspection of all prisons and young offender institutions in England and Wales. HMCIP also has a statutory responsibility to provide independent inspection of all immigration removal centres, immigration short-term holding facilities and immigration escort arrangements in England, Wales and Scotland.

HMCIP's principal task is to report directly to the relevant Secretary of State on the treatment of and conditions for prisoners and other detainees, and to report on such other matters as the relevant Secretary of State may require.

In addition, the Inspectorate undertakes, by invitation, inspections of prisons and young offender institutions in Northern Ireland, the Channel Islands, the Isle of Man and certain other jurisdictions. It is also routinely invited to inspect the Military Corrective Training Centre in Colchester and the Sovereign Base Areas prison in Cyprus. Discussions are underway to extend the Inspectorate's remit further to cover court cells (previously inspected by HM Inspectorate of Court Administration), other places of military detention and secure training centres (jointly with Ofsted).

The Inspectorate undertakes a five-year cycle of full inspections of prisons and a three-year cycle of full inspections of establishments holding juveniles and immigration removal facilities holding families (a four-year cycle applies to other immigration removal centres). These cycles are supplemented by unannounced follow-up inspections, which are resourced and conducted on the basis of risk assessment, to measure progress on previous recommendations and/or to explore issues of particular concern.

All full inspections and most short inspections are conducted jointly with other relevant inspectorates, including Ofsted, the Care Quality Commission, the General Pharmaceutical

Council (or territorial equivalents, including Estyn (Wales), Healthcare Inspectorate Wales, Regulation and Quality Improvement Authority (Northern Ireland), Education and Training Inspectorate (Northern Ireland) and HM Inspectorate of Education (Scotland)). In addition, offender management in prisons and young offender institutions is inspected jointly with HM Inspectorate of Probation.

Custodial inspections have a well-established methodology that enables assessments of establishments to be made against published criteria or *Expectations*¹. Judgments are informed by triangulating rigorous surveys of service recipients, interviews with service recipients and providers, documentary analysis and observation. Inspections go beyond audit to assess tangible outcomes for prisoners and detainees. These outcomes focus on safety, respect, purposeful activity and resettlement, which are key to ensuring a 'healthy prison' with regimes that contribute to reducing crime and protecting society or achieving other required outcomes. Reports are published to a tight timetable and set out evidence-based findings and recommendations for improvement.

Each year the Inspectorate undertakes a small number of thematic reviews, looking at various establishments to explore issues that cut across the prison, young offender or immigration removal estate in order to assist policy development.

The Inspectorate's indicative inspection programme for 2011–12, together with a description of the overarching inspection framework, was the subject of formal statutory consultation under the terms of the Police and Justice Act, 2006 and agreed by respective ministers.

As well as joint work carried out as part of full prison inspections, the Inspectorate also works closely with the three other criminal justice inspectorates – HM Inspectorates of Probation, Constabulary and Crown Prosecution Service – to inspect independently the effectiveness of the criminal justice system. This work can be found under key objectives 3 and 5. Accordingly, this plan should be read in conjunction with a separate business plan covering joint criminal justice inspection to be carried out in 2011–12 that has been produced simultaneously by the four inspectorates, and which has been the subject of formal statutory consultation under the terms of the Police and Justice Act 2006. The most substantial areas of joint work with other criminal justice inspectorates are the programmes of inspection of police custody with HM Inspectorate of Constabulary and offender management with HM Inspectorate of Probation.

The Inspectorate provides the secretariat and coordinating function for the United Kingdom's national preventative mechanism established under the Optional Protocol to the United Nations Convention Against Torture (OPCAT), which requires the regular independent inspection of all places of detention.

Resources

This business plan has been constructed in the light of the extremely challenging economic environment for all public services and the government's commitment to minimise any unnecessary regulatory or inspectoral burden. More will be required for less and delivery of this business plan will depend on careful management of reduced resources. In simple financial terms, the Inspectorate has had to absorb an 11% reduction in core funding from the

¹ A major review of all volumes of *Expectations* is underway to ensure that a briefer, more outcome-focused set of inspection criteria is developed. These will be the subject of consultation and piloting in 2011–12 with the aim of producing shorter, clearer reports with fewer recommendations and more focus on the key outcomes that are expected of the inspected body.

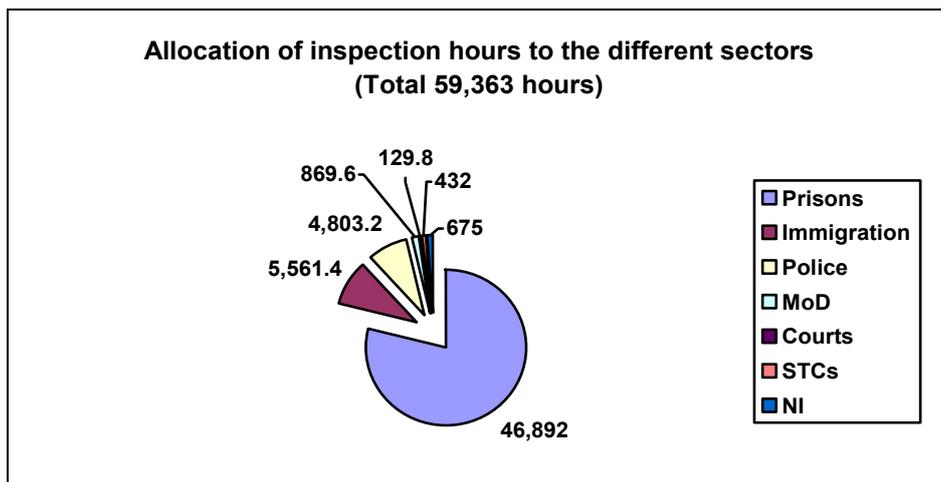
Ministry of Justice (MoJ) for the period 2011/12 to 2013/14, with a further reduction, according to current indicative figures, in 2014/15; meaning a total reduction of 14.7%. The Inspectorate is still in discussion with the MoJ on this fourth year figure. The year on year core budget figures for the spending round are:

- 2011/12 – £3.55 million
- 2012/13 – £3.46 million
- 2013/14 – £3.39 million
- 2014/15 – £3.27 million

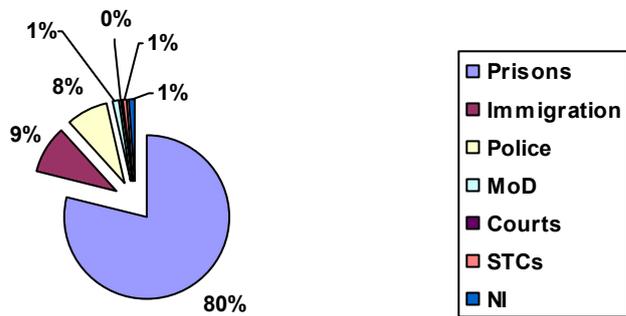
To these figures we are able to add additional sources of funding for inspection in other sectors: from the Home Office (immigration and police inspection), the Youth Justice Board (targeted inspections of children and young people’s establishments), the Ministry of Defence (military detention) and other jurisdictions (Northern Ireland). This additional funding remains to be confirmed, but the expected aggregate Inspectorate funding for 2011/12 amounts to £4.3 million.

The Inspectorate predicates its planning on detailed activity measurement in ‘inspection hours’ which are defined by an agreed criminal justice inspectorates’ methodology. The expected funding of £4.3 million allows the Inspectorate to afford 59,363 inspection hours (at an assumed cost of £72.24 per hour). Inspection hours, and therefore available resources, can be allocated against deliverables within the plan (although because of the methodology deployed, the costs of certain deliverables are regarded as accounted for the by the inclusive nature of the inspection hour calculation). In this way, after rationalising and reducing the amount of resource allocated to certain types of inspection and with careful management oversight of spend, the Inspectorate has some assurance that the business plan set out below can be both afforded and delivered.

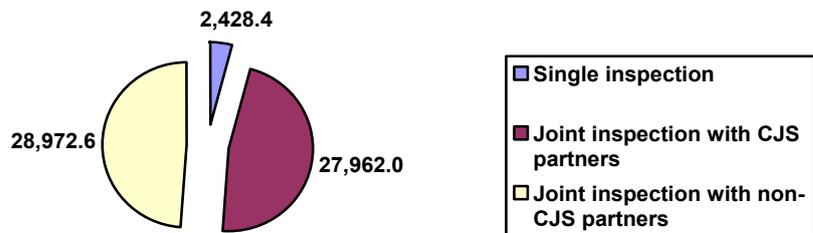
The allocations are represented in the following pie charts to illustrate the spread of resource across the different sectors and the proportions of single and joint inspections, whether with criminal justice or other partners.



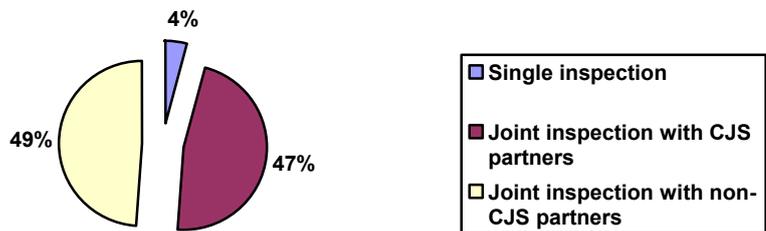
**Allocation of inspection hours to the different sectors
(Total 59,363 hours)**



**Allocation of inspection hours to programme
(Total 59,363 hours)**



**Allocation of inspection hours to programme
(Total 59,363 hours)**



The plan

This business plan is divided into five key objectives, reflecting the core and supporting activities of the Inspectorate. Under each objective, clear and time-bounded deliverables are identified, together with quality measures, accountabilities and a footnote detailing the overall hours allocated to each key objective.

This plan will be reviewed quarterly by the Inspectorate policy board to assess progress.

Key objectives

1. Effectively inspect and report on the treatment of prisoners and detainees, and the conditions in which they are held.
2. Contribute to policy, practice and performance debates concerned with the treatment and conditions of prisoners, and other detainees.
3. Deliver effective joint work with other inspectorates, as required by the respective Secretaries of State.
4. Refine the efficiency and effectiveness of the inspection process.
5. Ensure effective single and joint criminal justice strategic planning and consultation.

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OBJECTIVE 1: Effectively inspect and report on the treatment of prisoners and detainees, and the conditions in which they are held.²

KEY DELIVERABLE	MEASURE	FUNCTION LEAD	PROGRESS
1. Undertake 26 full announced, two full unannounced, 14 unannounced full follow-up and 20 unannounced short follow-up inspections of prisons or YOIs, including one extra-jurisdiction inspection.	Inspections delivered to time and quality [measured by quality assurance by HMCIP/HMDCIP and exit survey].	Team leaders	
2. Undertake three full announced, two unannounced full follow-up and four unannounced short follow-up inspections, including two targeted inspections agreed with the YJB, of establishments holding children and young people.	Inspections delivered to time and quality [measured by quality assurance by HMCIP/HMDCIP and exit survey].	J team leader	
3. Undertake one full announced, one full unannounced, two unannounced full follow-up and two unannounced short follow-up inspections of immigration removal centres.	Inspections delivered to time and quality [measured by quality assurance by HMCIP/HMDCIP and exit survey].	I team leader	
4. Undertake two unannounced inspections of residential short-	Inspections delivered to time and quality [measured by HMCIP/HMDCIP and	I team leader	

² Objective 1 will require a total of 46,844 inspection hours at a cost of £3,384,011.

	term holding facilities, seven unannounced inspections of non-residential short-term holding facilities, and two unannounced escort inspections, including one overseas.	exit survey].	
5.	Ensure the production and publication of high quality, timely and effective reports.	Inspections delivered to protocol timetables and maintained or improved responses to the 2011–12 stakeholder survey.	Team leaders/ HMCIP/HMDCIP/ publications manager
6.	Enable public assurance about places of custody by ensuring effective publication and publicity for all inspection reports.	Effective representation of HMI Prisons, including issuing appropriate press releases for all reports and responding to relevant media requests [measured by speaking engagements, column inches, media analysis and stakeholder survey feedback].	HMCIP/HMDCIP/ press officer
7.	Ensure, through effective inspection, improvements in performance of places of custody, specifically in the conditions and treatment of prisoners and detainees.	Maintained or improved rates of acceptance and implementation of recommendations as assessed in follow-up inspections.	Head of R,D&T

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OBJECTIVE 2: Contribute to policy, practice and performance debates concerned with the treatment and conditions of prisoners and other detainees.³

KEY DELIVERABLE	MEASURE	LEAD	PROGRESS
1. Undertake one short thematic on remand prisoners to be published by end 2011.	Delivered to time and quality [measured by HMCIP endorsement].	Head of R,D&T	
2. Undertake an annual survey of the children and young people's prison estate on behalf of the YJB.	Delivered to time and quality [measured by HMCIP endorsement].	Head of R,D&T	
3. Produce a report on the findings from the children and young people's surveys carried out during 2010–11 for publication by December 2011.	Delivered to time and quality [measured by HMCIP endorsement].	Head of R,D&T	
4. Publish an annual report, including financial reports, for September 2009 to March 2011 by September 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMCIP/senior policy officer/publications manager/nominated inspectors and researchers	
5. Provide appropriately independent contributions to particular policy debates identified by the Chief Inspector regarding the treatment and conditions of detainees.	Delivered to time and quality [measured by HMCIP/HMDCIP and stakeholder endorsement].	Senior policy officer	

³ Objective 2 will require a total of 1,466.6 inspection hours at a cost of £105,947.

<p>6. Provide the coordination for the UK's national preventative mechanism under the Optional Protocol to the United Nations Convention Against Torture, including:</p> <ul style="list-style-type: none"> ▪ holding at least two business meetings in different regions, the first to be held in May 2011 ▪ convening an inter-NPM meeting regarding the inspection of overseas escorts in July 2011 ▪ organising a series of thematic meetings; one for lay bodies in Autumn 2011 and one on restraint before end of March 2012 ▪ the production of an annual report by December 2011. 	<p>Delivered to time and quality [as endorsed by members of the national preventative mechanism].</p>	<p>HMCIP/HMDCIP/ senior policy officer</p>
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OBJECTIVE 3: Deliver effective joint work with other inspectorates, as required by the respective Secretaries of State.⁴

KEY DELIVERABLE	MEASURE	LEAD	PROGRESS
1. Jointly with HMIC, conduct 15 inspections of police custody suites and publish timely reports.	Delivered to time and quality [as endorsed by HMCIP/HMCIC, plus exit and stakeholder surveys].	HMDVIP/P team leader	
2. Jointly with HMI Probation, inspect offender management in custody during 24 full announced inspections.	Delivered to time and quality [as endorsed by HMI Prisons/HMI Probation, plus exit and stakeholder surveys].	Specified team leader	
3. Undertake a scoping study jointly with HMIC on staff corruption with a decision on whether to extend this to a full thematic to be taken July 2011.	Delivered to time and quality [as endorsed by the joint Chief Inspectors].	HMCIP/HMDVIP/ Head of R,D&T/ N team leader	
4. Undertake a full thematic jointly with HMI Probation, with input from Ofsted, on the accommodation and education, training and employment resettlement needs of adult prisoners, to begin January 2012.	Delivered to time and quality [as endorsed by the joint Chief Inspectors].	HMDVIP/Head of R,D&T	
5. Contribute to the fourth joint Chief Inspectors' review of safeguarding	Delivered to time and quality [as endorsed by the joint Chief Inspectors].	J team leader	

⁴ Objective 3 will require a total of 9,215.2 inspection hours at a cost of £665,707.

	children led by Ofsted, according to the agreed deadlines.		
6.	Develop the criteria and methodology for the joint inspection of secure training centres with Ofsted by end March 2012.	Delivered to time and quality [as endorsed by Chief Inspectors of Prisons and Ofsted].	J team leader/Head of R,D&T
7.	Contribute to the joint CJS inspections of: <ul style="list-style-type: none"> ▪ women offenders ▪ transitions between child and adult services. 	Delivered to time and quality [as endorsed by CICJG].	HMDCIP/Head of R,D&T
8.	Provide an advisory contribution to the following joint CJS inspections: <ul style="list-style-type: none"> ▪ life sentenced prisoners ▪ interventions for young sex offenders ▪ looked after children. 	Delivered to time and quality [as endorsed by CICJG].	HMDCIP/Head of R,D&T
9.	Complete a thematic on the effectiveness of immigration detainee casework jointly with the Chief Inspector of UKBA, with the first draft report completed by end March 2012.	Delivered to time and quality [as agreed by HMCIP and CIUKBA].	HMDCIP/I team leader
10.	Put in place protocols to ensure effective joint work with appropriate health and education inspectorates, including a protocol	Delivered to time and quality [as endorsed by HMCIP and respective Chief Inspectors]	HMDCIP/team leaders

with CQC by May
2011 and a revised
protocol with
Ofsted by
September 2011.

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OBJECTIVE 4: Refine the efficiency and effectiveness of the inspection process.⁵

KEY DELIVERABLE	MEASURE	LEAD	PROGRESS
1. Finalise and implement the revised criteria and methodology for the inspection of adult and young adult prison establishments by November 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMCIP/HMDCIP/ O team leader/Head of R,D&T	
2. Finalise the criteria and methodology for the inspection of military detention abroad and pilot by end December 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMCIP/HMDCIP/ inspection team leaders/Head of R,D&T/senior policy officer	
3. Complete, publish and implement Expectations for the inspection of the Military Corrective Training Centre by November 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/J team leader/Head of R,D&T	
4. Re-draft and publish Expectations for the inspection of children and young people's establishments by March 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/J team leader/Head of R,D&T	
5. Produce first re-draft of Expectations for the inspection of immigration detention by March 2012.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/I team leader/Head of R,D&T	

⁵ Objective 4 will require a total of 1,837.2 inspection hours at a cost of £132,720.

6.	Develop and pilot the criteria and methodology for the inspection of court cells by December 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/P team leader/Head of R,D&T
7.	Produce briefing papers on the following topics according to the agreed project plans: <ul style="list-style-type: none"> ▪ veterans in prison ▪ food ▪ canteen and pay ▪ time in cell. 	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/Head of R,D&T
8.	Produce an intelligence system to support inspection programming by September 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/Head of R,D&T
9.	Produce a revised approach to the definition and dissemination of good practice, consult stakeholders and introduce by November 2011.	Delivered to time and quality [measured by HMCIP endorsement].	HMDCIP/Head of R,D&T
10.	Hold a minimum of six bimonthly staff development days.	Delivered to time and quality [measured by positive staff feedback via evaluation forms].	HMDCIP
11.	Satisfy the requirements of the Public Sector Equality Duty 2010 and regularly review.	Delivered to time and quality [measured by HMCIP endorsement].	Diversity group
12.	Implement the Inspectorate's communications strategy by March 2012.	Delivered to time and quality [measured by improved responses to 2010 communications survey endorsement].	HMDCIP/Head of R,D&T/Head of Admin
13.	Produce a draft	Delivered to time and	Head of Admin

efficiency plan for 2012–15 by September 2011 and implement by November 2011 to ensure that the Inspectorate lives within available resources.	quality [measured by policy board agreement and delivery of necessary efficiencies].
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OBJECTIVE 5: Ensure effective single and joint criminal justice strategic planning and consultation.⁶

KEY DELIVERABLE	MEASURE	LEAD	PROGRESS
1. Produce a draft strategic plan for HMIP 2012–15 by December 2011.	Delivered to time and quality [as endorsed by HMCIP].	HMDCIP	
2. Produce a business plan for HMIP 2012–13 by end March 2012, which accords with the equivalent plans of the CJCIG.	Delivered to time and quality [as endorsed by HMCIP].	HMDCIP	
3. Review HMIP governance arrangements by October 2011.	Delivered to time and quality [as endorsed by HMCIP].	HMCIP	
4. Develop existing joint business planning and support structures for joint work with other CJS inspectorates.	Delivered to time and quality [measured by endorsement of Chief Inspectors and ministers].	HMDCIP	
5. Devise and consult formally, as required by the Justice and Police Act 2006, on an HMI Prisons 2012–13 inspection programme and inspection framework, dovetailing with the simultaneous consultation on the joint CJS business plan 2012–13.	Delivered to time and quality [measured by endorsement of Chief Inspectors].	HMDCIP	

⁶ Objective 5 has no dedicated inspection hour allocation.

Communications Plan 2011–12

Methodology

This section describes the three key methods of information gathering that we employ to get feedback from staff and external stakeholders on the quality of internal and external communication. The feedback from each of these sources has been incorporated into the action plan, which forms the basis for our communication plan 2011–2012.

Stakeholder survey (SS)

The stakeholder survey is a method of gaining feedback from our stakeholders on the content and format of our published reports. It is conducted annually and distributed to 360 stakeholders. In total, 109 questionnaires were returned in November 2010; a response rate of 30%.

Exit survey (ES)

The purpose of the exit survey is to obtain feedback from establishments about their inspections. Exit surveys are distributed to the governor, the head of learning and skills and the liaison officer on the final day of all inspections. Feedback is collated centrally and specific feedback from each inspection is passed to the relevant inspection team leader for quality assurance purposes. The results used here are based on 166 exit feedback forms received between 9 November 2009 and 22 November 2010.

Internal questionnaire (IQ)

The purpose of the internal questionnaire is to identify aspects of our internal communications in need of improvement. In November 2010, the internal questionnaire was distributed to all 61 permanent and contract staff employed by the Inspectorate at that time. A total of 43 questionnaires were returned; a 70% response rate.

Results and action plan

The evidence from the surveys listed above supports the need for a communication infrastructure which will effectively support our core business. The action plan detailed below outlines how this will be achieved in 2011–2012.

Ref.	Recommendation	Lead
SS	Provide stakeholders with a summary of our response to their feedback when we next send out the stakeholder survey.	Publications manager and Head of R,D&T
SS	Ensure the application of the redrafted adult Expectations results in: <ul style="list-style-type: none"> ▪ a reduction in the number of recommendations ▪ a focus on outcomes not process ▪ a reduction in the length of reports. 	Inspection team leaders and inspectors, publications manager
SS	Reduce publication delays and inform stakeholders of the extension to publication timelines.	Publications manager
SS	Use quotes and figures in reports to support/ illustrate findings.	Inspection team leaders and inspectors, publications manager
SS	Direct recommendations to correct recipient.	Inspection team leaders and inspectors, publications manager
SS	Improve communications with key stakeholders.	HMCIP, HMDCIP and team leaders
ES	Re-draft pre-inspection pack as part of Expectations exercise.	Senior researcher: methodology lead
ES	Ensure timing of inspection does not cause undue burden on inspected body.	HMDCIP
ES	Ensure only essential documentation is requested for inspection and that electronic versions are provided where possible.	Inspection team leaders and inspectors
ES	Maintain daily briefings and inform functional heads that additional feedback may be presented at the final debrief.	Inspection team leaders and inspectors
IQ	Resolve recurring remote access IT issues through escalation.	HMCIP
IQ	Train staff in how to use the shared drive at induction and on	Head of Admin

	request, supported by an updated list of what and where information is held on the shared drive, as well as the application of more appropriate file names.	
IQ	Add information about members of the Inspectorate to the website.	Publications manager
IQ	Improve internal communications including: <ul style="list-style-type: none"> ▪ addressing the e-bulletin content and format ▪ reviewing induction ▪ reviewing function of the policy board. 	Head of Admin and HMCIP
IQ	Hold frequent team meetings and one to one meetings with staff.	Team leaders
IQ	Distribute minutes of all internal meetings to all staff.	Head of Admin
IQ	Restructure diversity group. Ensure the Inspectorate is meeting its obligations under Public Sector Equality Duty.	HMCIP and diversity group

Monitoring and reviewing

It is anticipated that the action plan will lead to improvements in communications both internally and externally. Monitoring of progress will take place throughout the year and will be evaluated in repeated surveys and analysis.

Training Plan 2011–12

Training needs

The Inspectorate requires staff to be appropriately trained to carry out their duties in an effective and credible way. Some mandatory Inspectorate-wide training has been identified. Assessment of individual training needs will be carried out in conjunction with team leaders as part of the 2011–2012 performance management round. Accordingly, we will:

- ensure individual training needs are routinely assessed and action monitored by all line managers
- have mandatory training clearly identified by the policy board
- maintain a balance between training demands on the Inspectorate and the staff resources available.

We also recognise that a significant amount of learning and training is achieved on the job and through informal coaching and feedback that team members and leaders provide to one another, and in particular to new colleagues. This is every bit as important as attending classroom courses.

Training priorities

The Inspectorate-wide training priorities will be addressed at development days for completion by March 2012 and will include:

- implementation of the new Expectations
- methodology workshops focused on sharing inspection good practice and other identified issues, including applying research methodology during inspection
- the working practices of other inspectorates and partners
- policy work and role of policy leads
- diversity issues
- presentation skills.

