



Inspection framework

March 2019

Printed and published by:
Her Majesty's Inspectorate of Prisons
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1. Introduction

- 1.1** This document sets out the framework which governs HM Inspectorate of Prison's inspection and progress review processes. It is supplemented by detailed manuals for inspectors on the inspection process and report writing, which are available on our website: <https://www.justiceinspectorates.gov.uk/hmiprisons/about-our-inspections/>.
- 1.2** The framework puts our work into context, against relevant legislation and within the UK's obligations arising from its status as a party to the Optional Protocol to the United Nations Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT). It outlines our values and the four strategic themes which inform our work.
- 1.3** This framework mainly applies to the inspection of adult prisons, although the broad principles apply to the inspection of other custodial settings. It explains the methodology and process of inspection, how we work with partner organisations, and the range of staff we employ.
- 1.4** Lastly it provides details of the process for producing inspection reports and gives sources of further information.

2. Operating context

Mandate

2.1 Successive Chief Inspectors have summarised the Inspectorate's purpose as follows:

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

2.2 This statement of purpose derives from HM Chief Inspector of Prisons' legislative powers and duties and the UK's obligations arising from its status as a party to the Optional Protocol to the United Nations Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT).

Legislation

2.3 HM Chief Inspector of Prisons' responsibilities are set out in section 5A of the Prison Act 1952 as amended by section 57 of the Criminal Justice Act 1982. They are to:

- inspect or arrange for the inspection of prisons and young offender institutions in England and Wales and report to the Secretary of State on the results
- in particular, report to the Secretary of State on the treatment of prisoners and conditions in prisons
- report on matters connected with prisons in England and Wales and prisoners in them referred to him by the Secretary of State
- submit an annual report to be laid before Parliament.

2.4 Section 46 (1) of The Immigration, Asylum and Nationality Act 2006 extended the Chief Inspector's remit to immigration detention centres, short-term immigration holding facilities and escort arrangements throughout the UK.

2.5 The Police and Justice Act 2006 section 28 added to the 1952 Act by setting out the Chief Inspector's further powers and duties to cooperate and consult with other criminal justice Inspectorates and other bodies. They are to:

- delegate any of his functions to another public authority
- prepare an inspection programme and inspection framework on which the Secretary of State and other specified bodies must be consulted (this does not prevent the Chief Inspector from making visits without notice)
- ensure inspections by other bodies do not place an unreasonable burden on organisations within his remit
- cooperate with other Inspectorates and other public authorities where it is appropriate to do so for the efficient and effective discharge of his functions
- act jointly with other public authorities where it is appropriate to do so for the efficient and effective discharge of his functions
- act jointly with other criminal justice inspectors to prepare a joint inspection programme on which the Secretary of State and other specified bodies must be consulted
- provide assistance to any other public authority, to ensure that authority can exercise its functions.

The relevant Secretaries of State and the Attorney General may specify the form the inspection programme or inspection frameworks are to take.

- 2.6** As part of the joint inspection programme with other criminal justice Inspectorates, the Chief Inspector of Prisons jointly inspects police custody, including designated Terrorist Act custody facilities and Border Force custody suites, with HM Chief Inspector of Constabulary and Fire & Rescue Services.
- 2.7** The Public Bodies Act 2011 enabled Ministers to abolish HM Inspectorate of Court Administration (HMICA) and transfer its powers to another body. By order of The Public Bodies (Abolition of Courts Boards, Her Majesty's Inspectorate of Courts Administration and Public Guardian Board) Order 2012, HM Inspectorate of Prisons was given powers to inspect court custody.
- 2.8** HM Inspectorate of Prisons jointly inspects secure training centres (STCs) with Ofsted.
- 2.9** By invitation, HM Chief Inspector of Prisons also carries out inspection of military detention facilities including the Military Corrective Training Centre and Service Custody Facilities in the UK, prisons in Northern Ireland (on behalf of Criminal Justice Inspection Northern Ireland (CJINI)), prisons on the Isle of Man and Channel Islands and some other overseas prisons in jurisdictions with links to the UK.

OPCAT

- 2.10** The UK is a party to the Optional Protocol to the Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT). OPCAT is an international human rights treaty designed to strengthen the protection of persons deprived of their liberty. Acknowledging that such persons are particularly vulnerable to ill-treatment and believing that efforts to end ill-treatment should focus on prevention, OPCAT provides for a system of international and national visits to all places of detention. At a national level, OPCAT requires state parties to:

'set up, designate or maintain at the domestic level one or several visiting bodies for the prevention of torture, inhuman or degrading treatment or punishment... These visits shall be undertaken with a view to strengthening, if necessary, the protection of these persons against torture and other cruel, inhuman or degrading treatment or punishment'

- 2.11** These visiting bodies are known as the National Preventive Mechanism (NPM). The UK has designated 21 bodies to its NPM. HM Inspectorate of Prisons coordinates and is a member of the UK NPM.

- 2.12** At a minimum, OPCAT requires that NPMs:

- are functionally independent with independent personnel
- have sufficient expertise, a gender balance and adequate representation of ethnic and other minorities
- are provided with the necessary resources

and have the powers to:

- regularly examine the treatment of persons deprived of their liberty in places of detention
- make recommendations to the relevant authorities with the aim of improving the treatment and conditions of detainees (the State is required to examine such recommendations and enter into dialogue with the NPM with regard to implementation)
- submit proposals and observations concerning existing or draft legislation

- access all information concerning the number, location and treatment of all persons deprived of their liberty
- access all places of detention
- have private interviews with all persons deprived of their liberty as well as any other person who may supply relevant information
- choose the places they want to visit and the persons they want to interview
- contact the Subcommittee on Prevention of Torture (the international body established by OPCAT to carry out visits to places of detention and to engage with NPMs)
- have information collected by it regarded as privileged.

Values

2.13 The established values of HM Inspectorate of Prisons are as follows.

- 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.

2.14 The Inspectorate has developed five broad strategic themes to inform its work and ensure it fulfils its mandate in a way that is consistent with these values.

An independent inspectorate

We will fulfil our statutory duty. Our primary task to report accurately, impartially and publicly concerning the treatment and conditions for detainees will continue. Our values-based approach, our independent Expectations and our methodology will support us in ensuring human rights standards are maintained and outcomes for detainees improve across the different custodial settings we inspect.

An influential inspectorate

We will inspect and report in an open way, challenging constructively those responsible for the institutions we inspect. We will ensure that evidence from our inspections informs policy and practice and contributes to improving outcomes for those held in custody. Our communications strategy will ensure that findings from our inspections are made accessible to a wide range of stakeholders, including the public.

An accountable inspectorate

We will manage our resources efficiently and undertake our work in a professional manner. We will account for our performance and continue to demonstrate value for money.

A capable inspectorate

We will be a multidisciplinary, values-based organisation committed to equipping our staff with the skills they need to fulfil our purpose. We will strive to increase the diversity of our workforce. We will use our resources efficiently to maximise the quality of our inspections and improve treatment and conditions for detainees.

A collaborative inspectorate

We will meet our statutory obligation to work collaboratively with our criminal justice partners, as well as other key stakeholder partners, to better promote conditions for detainees. As the coordinating body of the National Preventive Mechanism (NPM), we will work with the NPM

membership to increase OPCAT (UN Optional Protocol to the Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment) compliance and coordinate joint work with a view to preventing ill-treatment in all forms of detention.

- 2.15** The Inspectorate's corporate and business plans are available on its website: <https://www.justiceinspectrates.gov.uk/hmiprisons/inspections?s&prison-inspection-type=corporate-and-business-plans>.
- 2.16** The Inspectorate has an Equality and Diversity Advisory Group and a Fire, Health and Safety Committee, which are both chaired by the Deputy Chief Inspector.

Equality and diversity statement

- 2.17** We are committed to creating and maintaining a working environment that is positive about and supportive of all equality and diversity issues. We believe that difference and diversity within our workforce strengthens the work we do and the influence we have.
- 2.18** We are committed to becoming an employer of choice by creating an inclusive and supportive working environment where people are treated with dignity and respect and where discrimination and/or exclusion are not tolerated. Our goal is to ensure these commitments, reinforced by our values, are embedded in our day-to-day working practices.
- 2.19** Our long-term vision is to:
- have a workforce with the necessary expertise and sufficient diversity to reflect the community in which it operates
 - develop a more flexible and supportive working environment which always seeks to include difference
 - continue to build a confident and competent workforce who feel valued and heard
 - deliver learning and development opportunities to our staff so they are equipped to understand, inspect and make valid and relevant recommendations relating to equality and diversity.
- 2.20** We expect commitment and involvement from all our staff and partners in working towards the achievement of our vision and to that end we have developed an equality and diversity action plan.

Staff

- 2.21** The Chief Inspector has designated a small number of inspection teams, each led by a team leader and working to the Deputy Chief Inspector. Each team retains a specialism in the inspection of a specific type of custodial establishment – for example, young offender institutions and secure training centres, immigration removal centres, adult women's prisons and police custody facilities – but all also inspect adult male prisons.
- 2.22** Inspectors are drawn from a range of backgrounds, including seconded or former prison managers with operational experience working in custodial establishments, and social care, probation, police and legal backgrounds.

In addition, Inspectorate staff also include:

- health care inspectors

- drugs inspectors
- social researchers
- editorial and administrative staff.

2.23 HM Inspectorate of Prisons works jointly with other inspectorates such as HM Inspectorate of Constabulary and Fire & Rescue Services, Ofsted, Estyn, HM Inspectorate of Probation, Care Quality Commission and the General Pharmaceutical Council (GPhC). This joint work ensures expert knowledge is deployed on inspections and avoids multiple inspection visits.

Protocols with partner organisations

2.24 The Inspectorate's relationships with partner inspectorates, inspected bodies and other organisations are governed by a number of service level agreements (SLAs), memoranda of understanding (MOUs) and agreed protocols. These include:

- a protocol and a youth justice SLA with the Ministry of Justice
- a working agreement with NHS England
- MOUs with HM Prison and Probation Service, Care Quality Commission, Home Office (UK Immigration and Borders), Border Force, HM Inspectorate of Constabulary and Fire & Rescue Services, Crown Premises Fire Inspection Group (CPFIG), HM Inspectorate of Prisons (Scotland), HM Inspectorate of Constabulary (Scotland), Association of Chief Police Officers, Association of Police Authorities, Independent Office of Police Conduct, HM Courts and Tribunals Service, Health Inspectorate Wales, Faculty of Forensic and Legal Medicine, and the General Pharmaceutical Council
- protocols with the Prisons and Probation Ombudsman, Criminal Justice Inspectorate Northern Ireland, Ofsted and Estyn.

2.25 New agreements are formulated and/or revised as required and are available on the Inspectorate's website.

Expectations

2.26 HM Inspectorate of Prisons' inspections are carried out against published inspection criteria known as *Expectations*. The Inspectorate sets its own inspection criteria to ensure transparency and independence. The starting point of all inspections is the outcome for detainees. The Inspectorate's *Expectations* are based on and referenced against international human rights standards, with the aim of promoting treatment and conditions in detention which at least meet recognised international human rights standards.

2.27 Expectations for adult male and female prisons and young offender institutions (YOIs) are brigaded under the four tests of a healthy establishment:

Safety	Prisoners, particularly the most vulnerable, are held safely.
Respect (Care for YOIs)	Prisoners are treated with respect for their human dignity.
Purposeful activity	Prisoners are able, and expected, to engage in activity that is likely to benefit them.
Rehabilitation and release planning	Prisoners are supported to maintain and develop relationships with their family and friends. Prisoners are helped to reduce their likelihood of reoffending and their

risk of harm is managed effectively. Prisoners are prepared for their release back into the community.

- 2.28** In other inspection sectors the principles that underpin the healthy establishment concept are applied, although the specific focus can vary depending on their relevance.¹
- 2.29** The Inspectorate publishes inspection criteria for assessing the treatment of and conditions for:
- men in prison
 - women in prison
 - children in custody
 - detainees in close supervision centres
 - immigration detainees
 - detainees in police custody, including those detained under the Terrorism Act
 - detainees in Border Force custody
 - detainees in court custody
 - detainees in tri-service custody facilities and the Military Corrective Training Centre
 - joint standards with Ofsted for secure training centres.

These are available on the Inspectorate's website:

<https://www.justiceinspectorates.gov.uk/hmiprisons/our-expectations/>.

- 2.30** Each expectation describes the standards of treatment and conditions an establishment is expected to achieve. These are underpinned by a series of 'indicators' which describe evidence that may show the expectation being met. The list of indicators is not exhaustive and does not exclude other ways of achieving the expectation.

¹ For immigration removal centres, short-term holding facilities and family detention the four tests are safety, respect, activities and preparation for removal and release (or safety, respect and preparation for reintegration for overseas escorts). Police custody expectations are arranged under the headings of: leadership, accountability and partnerships; pre-custody – first point of contact; in the custody suite – booking in, individual needs and legal rights; in the custody cell, safeguarding and health care; and release and transfer from custody. Court custody expectations fall under the headings of leadership, strategy and planning, individual rights, and treatment and conditions.

3. The inspection process

Inspection programming

3.1 HM Inspectorate of Prisons operates an almost entirely unannounced inspection programme (other than in exceptional circumstances), with all inspections following up recommendations from the last full inspection. There is a minimum frequency for inspection of all types of establishments, with the timing of inspections deliberately unpredictable. Such an approach is based on, and responsive to, considered intelligence and proactive risk assessment. Every inspection following up a previous full inspection includes an assessment of progress in implementing previous recommendations.

3.2 The minimum inspection cycle for different custodial sectors is as follows:

Sector	Frequency	Comments
Prisons, young offender institutions holding young adults, and specialist units	Inspected at least every five years.	Inspections will be determined by risk assessment. Most prisons can expect to be inspected every two to three years. Some high-risk institutions may be inspected more frequently.
Young offender institutions (holding children under the age of 18)	Inspected annually.	
Immigration removal centres (IRCs)	Inspected at least once every four years, or every two years if the IRC holds children.	Inspections are determined by risk assessment. Most IRCs can expect to be inspected every two to three years.
Immigration non-residential short-term holding facilities	Inspected at least once every six years.	
Immigration residential short-term holding facilities	Inspected at least once every four years.	
Overseas escorts	Two or three escorts inspected each year.	
Police force areas	All suites inspected at least once every six years.	In partnership with HM Inspectorate of Constabulary and Fire & Rescue Services.
Court custody	Court custody facilities inspected at least once every six years.	
Border Force (customs) facilities	Inspected every two years.	

Secure training centres (STCs)	Inspected every year.	In partnership with Ofsted.
Military Corrective Training Centre	Inspected every two to three years.	By agreement and invitation from the military.
UK Armed Forces service custody facilities (SCFs)	Inspected every four years.	By agreement and invitation from the military.

3.3 The inspection of facilities is predicated on a dynamic risk assessment. Issues taken into account include:

- the time elapsed since the last inspection
- the functional type and the size of the establishment
- prisoner outcomes as assessed by the Inspectorates' healthy prison assessments
- significant changes to the establishment or changes in leadership
- intelligence received via correspondence or in other ways
- serious incidents reported to HM Prison and Probation Service (HMPPS)
- prison rating system (PRS) scores
- the Inspectorate health care assessment
- the age of the buildings.

3.4 The Inspectorate also undertakes an annual programme of thematic work and joint work with other criminal justice and associated inspectorates.

3.5 A draft inspection programme is developed from November onwards for the following financial year. The number and type of inspections is subject to consultation in accordance with statutory requirements. The programme is agreed approximately three months before the start of the financial year but may change as risk assessments change.

A prison inspection

3.6 The following paragraphs set out the standard inspection process for men's and women's prisons and young offender institutions. The process for inspecting other custodial sectors is based on this core methodology but adapted to take into account the specific nature of those sectors.

3.7 Inspection of a prison normally spans a period of two weeks. The first inspection week involves a coordinating inspector attending the establishment for two days. A full detainee survey is conducted by a team of HM Inspectorate of Prisons researchers.

3.8 The second week of the inspection involves the team leader and a team of inspectors, including specialists and partner inspectorates, and lasts a week.² All inspectors carry keys and require unfettered access to all parts of an establishment, relevant documents and detainees. Inspectors will communicate with detainees in private, and in confidence, when required.

3.9 Occasionally, the Chief Inspector may require an inspection to be announced. In this case, a full detainee survey and pre-inspection visit will usually take place four to six weeks before the inspection.

² Arrangements for sectors other than prisons, such as young offender institutions, secure training centres, immigration removal centres, police force areas and court custody may vary but will be communicated to inspected bodies in advance.

- 3.10** The Inspectorate has a Fire, Health and Safety Policy which includes separate policies and risk assessments on safety in the field, lone working, driving on duty and the protocol for engaging with detainees in exceptional circumstances.

Week one of the inspection

- 3.11** An establishment will be given no more than 30 minutes notice prior to an unannounced inspection. All areas of the establishment will be visited soon after arrival.

- 3.12** The purpose of the first inspection week is:

- to take an initial view of the environment (such as cleanliness, repairs and notices) and staff-detainee relationships, alongside any other areas of concern gathered from specific intelligence or inspection briefing material
- to meet the governor/manager of the establishment and the appointed liaison officer for the inspection, ensure they fully understand the inspection process and offer reassurance
- to ensure that all high-risk areas of the establishment are checked
- to explain the role of the liaison officer
- for researchers to distribute and collect the full detainee survey
- to make arrangements for the inspection, using the preparatory inspection pack to guide what documentation will be requested and when it will be required
- to ensure research and inspection staff are aware of any risks, threats, fire evacuation procedures and other health and safety matters at the establishment
- to allow the governor/manager to discuss any relevant issues.

The detainee survey

- 3.13** A crucial component of the first inspection week is the completion of the Inspectorate survey. Members of the research team conduct a survey of a representative proportion of the detainee population, which is a key source of evidence, gathering detainee perceptions. Participants are chosen at random across all wings/units of the establishment. The survey is confidential and anonymous. Researchers talk to each selected detainee to explain the purpose of the survey, and go back to each cell to collect the survey later that day or the following morning. Distribution and collection of the survey takes up to two days.³

- 3.14** In prison and other large-scale inspections the survey is used to make comparisons between detainee responses from the inspected establishment and the collective responses from detainees held in similar establishments. Comparisons are also made between the current responses and those gathered at the last inspection, alongside a breakdown of responses by protected characteristics. Survey data is tested for statistical significance and is annexed in all reports.

- 3.15** In very small facilities, such as short-term holding facilities, or in places where the population is transient, such as police stations, arrangements such as individual interviews or sampling by other means are used to ascertain detainee views.

- 3.16** Survey findings are an essential part of the triangulated evidence base for inspection and provide a robust and representative 'customer' view of the treatment and conditions in

³ Please also refer to the protocol for engaging with detainees in exceptional circumstances.

custodial establishments. Survey questions are based directly on the relevant version of *Expectations*.

Week two of the inspection

- 3.17** The second week of the inspection lasts for five days. The establishment will have been provided with a full attendance list at the beginning of the inspection. All inspectors will be issued with keys on arrival.

The first day

Governor's/manager's briefing

- 3.18** The second week will normally begin with a formal briefing from the governor/manager about the establishment.
- 3.19** The inspection team leader will introduce the team and brief the governor/manager about the process of inspection. This will include a short description of key methodologies; the use of *Expectations*, and events which will take place during the week such as inspector feedback on emerging findings, the night visit, and the Chief/Deputy Chief Inspector's arrival and requirements.
- 3.20** Arrangements are also made to ensure full engagement with the Independent Monitoring Board, including a meeting and participation in the inspection debrief. The team will also offer to meet with staff associations.

Documentary evidence

- 3.21** The inspection team will ask the establishment to make available a range of information to assist the inspection process. The documents should be delivered to the team's base room for the first day of the inspection.
- 3.22** Inspectors will be familiar with the information provided which relates to their inspection areas. The documents will be checked before further information is requested from the establishment. Every effort is made to keep requests for documentary evidence and data to a minimum.

Inspecting

- 3.23** The relevant version of *Expectations* should be used for each inspection. The inspection methodology is based on a mixed methods approach to gathering evidence on inspections.
- 3.24** There are five key sources of evidence for inspection.
- **Observation:** inspectors will make observations at different locations and different times of the day (including evening association times). This is also a good time for inspectors to observe interactions and assess the quality of staff-detainee relationships. Observations will include a night visit by inspectors and a full assessment of night procedures.

- **Detainees:** hearing the detainee voice is a central part of any inspection. In addition to the survey, inspectors will speak to detainees on the accommodation unit, either informally on the wings or in one-to-one interviews, to gain a sense about what really happens in the areas being inspected. Inspectors can also meet with groups of detainees for structured discussions. If inspectors wish to speak to detainees who cannot speak English, they will use the telephone interpreting service. Detainees can speak to inspectors in private and in confidence.⁴
- **Staff:** inspectors will speak to staff as they walk around the establishment informally and in individual interviews. They will ask staff what they think really happens, about policies and procedures, and their individual role. Inspectors will talk to a range of staff, including senior managers, wing staff, and specialist staff.
- **Relevant third parties:** inspectors will speak to both statutory and non-statutory providers, for example representatives from the Youth Justice Board, Independent Monitoring Board, voluntary groups and solicitors, about their experiences and the experiences of the detainees they represent. Visitors can also be a good source of information.
- **Documentation:** in addition to the documentary evidence provided at the start of the inspection, inspectors will look at detainee records such as observation books, P-Nomis (Prison Service IT system), performance data from the HMPPS performance hub, daily wing entries, care plans and detention and training order/sentence plans, to corroborate their findings. Some documentary evidence, including complaints forms and SMART monitoring data, lends itself to numeric analysis, which will allow patterns to emerge. The inspection team may also gather photographic evidence to illustrate conditions that cannot be adequately described or to emphasise a finding, governed by protocols agreed with HMPPS.

Triangulation of inspection evidence

- 3.25** Inspectors will, wherever possible, base all inspection findings/judgements on the triangulation of multiple evidence sources. Triangulation, in this case, merely describes the corroboration of an evidence source with at least two other different sources (although sometimes an incident/perception will be important enough to stand alone). Where possible, a balance will be sought of both quantitative data, such as those which show a pattern over a period of, for example, at least six months, and qualitative evidence sources, such as interviews and groups, which can provide the reason for the pattern. Inspectors will always attempt to seek supporting evidence from alternative but relevant sources.
- 3.26** Inspectors are responsible for inspecting the treatment of and conditions for the total detainee population. While individual grievances may contribute to a judgement about the conditions for the whole population, inspectors will not agree to pursue a particular case on a detainee's behalf, nor volunteer anyone else to do so. In addition their focus is on outcomes for detainees which may or may not be promoted by adherence to existing policies or management targets. The Inspectorate may choose to disagree with policies that are not serving detainees' best interests and may make recommendations for change as a result.

⁴ Inspectors will always keep in mind the principle of confidentiality, security and sensitivity when interviewing detainees. All individual interviews conducted with persons deprived of their liberty should be conducted out of hearing, except in exceptional circumstances. (For more information please refer to the United Nations Office of the High Commissioner for Human Rights *Training Manual on Human Rights Monitoring*, Chapter V. Basic Principles of Monitoring.) HM Inspectorate of Prisons retains a memorandum of understanding with the Independent Monitoring Board and Prisons and Probation Ombudsman that seeks their intervention should there be any consequence or difficulty for an individual as a result of discussions with inspectors. The only exception to this rule is if detainees reveal a threat to the safety or well-being of an individual or the security and safety of the establishment.

Feeding back to managers

- 3.27** Inspection is a transparent process. Managers will be kept up to date with emerging findings throughout the inspection, and inspectors will provide evidence for their findings and will encourage legitimate evidence-based challenge. By the end of the process, inspectors will ensure the manager understands what has been found, has no further rebuttals and knows what they are likely to hear in the debrief at the end of the inspection. However, final conclusions are at the discretion of the Chief or Deputy Chief Inspector.
- 3.28** The team leader will also feed back key findings to the Governor/Director or Chief Executive of the establishment on at least a daily basis.

The conclusion of an inspection

- 3.29** A key feature of the inspection process is the attendance of the Chief Inspector of Prisons or the Deputy Chief Inspector of Prisons on the penultimate day of the inspection. Their role is to familiarise themselves with the establishment being inspected, and contribute to the quality assurance and assessment process at the end of the inspection.

‘Deliberation’ and judgement

- 3.30** An assessment of the establishment’s performance will be against the four healthy establishment tests:
- safety
 - respect/care
 - purposeful activity
 - rehabilitation and release planning (or preparation for removal and release in the immigration estate)
- 3.31** Key findings and assessments will be presented to the establishment on the final day of the inspection.

Assessment

- 3.32** The inspection team will assess the establishment’s performance against the healthy establishment tests using the following judgements.

Numeric	Definition
4	Outcomes for prisoners are good. There is no evidence that outcomes for detainees are being adversely affected in any significant areas.
3	Outcomes for prisoners are reasonably good. There is evidence of adverse outcomes for detainees in only a small number of areas. For the majority there are no significant concerns.
2	Outcomes for prisoners are not sufficiently good. There is evidence that outcomes for detainees are being adversely affected in many areas or particularly in those areas of greatest importance to the well-being of detainees.

	Problems/concerns, if left unattended, are likely to become areas of serious concern.
I	<p>Outcomes for prisoners are poor.</p> <p>There is evidence that the outcomes for detainees are seriously affected by current practice. There is a failure to ensure even adequate treatment of and/or conditions for detainees. Immediate remedial action is required.</p>

Exit surveys

- 3.33** On the last day of the inspection, exit surveys are sent to the prison, immigration removal centre, police force and court custody suites inspected. The exit survey gathers opinions from establishment staff about how they feel the inspection was conducted; this allows the Inspectorate to monitor and improve how it inspects each type of establishment. Weekly exit surveys are amalgamated at the end of each business year to provide an annual analysis of responses.

Publication process

- 3.34** A key feature of an effective inspection process is the timeliness of published reports. All prison inspection reports should be finalised and published within 18 weeks of the end of the inspection. It is important that all reports are consistent in style and format. There are clear guidelines and protocols to ensure inspectors are working to the same template, and the process for preparing each report meets the protocols agreed with inspected bodies.

Following the inspection

- 3.35** In line with agreed protocols, inspected prisons should produce an initial action plan in response to Inspectorate recommendations two months after publication of the report. The action plan should set out whether the establishment has agreed, partly agreed or rejected the recommendations, and the consequent action taken or planned. Action plans from inspected bodies will be published on the HMI Prisons website. Correspondence about individual actions plans or recommendations will not be entered into by either HMI Prisons or the relevant government department.
- 3.36** Team leaders will check and challenge the content of the initial action plan if necessary, following discussions with the Chief or Deputy Chief Inspector. Action plans form part of the intelligence database the Inspectorate uses to inform subsequent inspections. Inspectors are therefore expected to refer to action plans and other documentary and electronic evidence to monitor the establishment's progress and prepare for inspection.

Announced inspections

- 3.37** Announced inspections follow the same format as unannounced inspections (as described in the previous section), except that the first week of the inspection is conducted approximately four to six weeks in advance of the inspection. The Chief Inspector reserves the option to announce an inspection in advance if it is an operational necessity, for example, inspection in other jurisdictions, or if it might help the establishment to address concerns and make improvements.

- 3.38** Inspectors will familiarise themselves with the preparatory pack before making contact so that they know what information is needed at what times and can guide the liaison officer through the inspection team's requirements.

Urgent Notification

- 3.39** During inspection of prisons, young offender institutions and secure training centres, HM Inspectorate of Prisons may identify significant concerns with regard to the treatment and conditions of those detained. In this eventuality, the Chief Inspector will write to the Secretary of State for Justice within seven calendar days of the end of the inspection, providing notification of the significant concerns and the reasons for those concerns. The notification will summarise the judgements and identify issues that require improvement. As part of the inspection process, the Governor of the institution will have been briefed concerning our intent.
- 3.40** HM Inspectorate of Prisons will publish the Urgent Notification letter to the Secretary of State and place it in the public domain.
- 3.41** Any decision to give urgent notification to the Secretary of State of significant concerns will be determined by the judgement of the Chief Inspector. The judgement will be informed by relevant factors evidenced during the inspection and may include:
- poor healthy prison test assessments
 - the pattern of the healthy prison test judgements
 - repeated poor assessments
 - the type of prison and the risks presented
 - the vulnerability of those detained
 - the failure to achieve recommendations
 - the Inspectorate's confidence in the prison's capacity for change and improvement.
- 3.42** Having received such a notification, the Secretary of State will commit publicly to respond to the concerns raised within 28 calendar days. The response will explain how outcomes for prisoners in the institution will be improved in both the immediate and longer term.
- 3.43** HM Inspectorate of Prisons will reinspect the institution in due course at a date determined by its risk-based scheduling process. The inspection will report on progress made since the previous inspection.

Independent Reviews of Progress

- 3.44** In addition to its programme of inspections, HM Inspectorate of Prisons also carries out Independent Reviews of Progress (IRPs). The purpose of an IRP is to assess progress in implementing the recommendations from previous inspection reports, to support improvement in prisons, and to identify barriers to progress.
- 3.45** Independent Reviews of Progress differ from inspections, which assess the treatment of prisoners and the conditions of detention against HM Inspectorate of Prisons' Expectations and four healthy prison tests. The IRPs instead follow up on a selection of key concerns and recommendations and make judgements about the extent of progress made.
- 3.46** The Chief Inspector will identify establishments for an Independent Review of Progress based on a number of factors, including: healthy prison test scores over time; the key risks at

the establishment; and levels of confidence in the leadership and capacity for change and improvement.

3.47 Starting in April 2019, HM Inspectorate of Prisons will undertake 15 to 20 Independent Reviews of Progress each business year. Reviews will typically take place eight to 12 months following the inspection.

3.48 Independent Reviews of Progress are short announced visits, involving four or five inspectors for 2.5 days. Inspectors will assess the degree of improvement since the previous inspection against a maximum of 15 recommendations, and make one of four possible judgements in relation to each recommendation:

- **No meaningful progress:** managers have not yet formulated and resourced a realistic improvement plan for this recommendation.
- **Insufficient progress:** managers have begun to implement a realistic improvement strategy for this recommendation, but the actions taken have not yet resulted in any discernible evidence of progress (for example, better systems and processes) or improved outcomes for prisoners.
- **Reasonable progress:** managers are implementing a realistic improvement strategy for this recommendation, and there is evidence of progress (for example, better systems and processes) and/or early evidence of some improving outcomes for prisoners.
- **Good progress:** managers have implemented a realistic improvement strategy for this recommendation and have delivered a clear improvement in outcomes for prisoners.

3.49 IRP reports are published within 25 days of the end of the review.

4. Further information

4.1 For further information on the inspection process, including protecting detainees from sanction and new and developing subject areas, and our professional standards, including staff conduct and complaints, please refer to HM Inspectorate of Prisons' website, <https://www.justiceinspectorates.gov.uk/hmiprison/>, or the accompanying documents:

- *Expectations* (available for different types of establishment)
- Guide for inspectors
- Guide for writing inspection reports
- Preparatory inspection pack
- HMI Prisons staff code of conduct
- HMI Prisons Fire, Health and Safety policies (including the policy about working in the field)
- HMI Prisons safeguarding policy and protocol