



**HMIPS**

HM INSPECTORATE OF  
PRISONS FOR SCOTLAND

INSPECTING AND MONITORING

# STANDARD 8

ORGANISATIONAL EFFECTIVENESS

# 8

## INTRODUCTION TO STANDARD 8: ORGANISATIONAL EFFECTIVENESS

Questions which may be helpful in monitoring and inspecting the PANEL principles:

### P

#### **PARTICIPATION:**

- Does the prison consult prisoners on their experience of staff relationships and staff performance?
- Where good performance of staff is recognised, are prisoners able to contribute their opinion to this?
- Are prisoners supported to contribute to policy and decision making?
- Is the prisoner voice sought on matters of policy and decision making?

### A

#### **ACCOUNTABILITY:**

- Are there appropriate mechanisms in place to improve performance against these standards?
- Is there effective communication with staff and prisoners about performance and intended aims of improvement?
- Is staff training kept up-to-date and are staff effectively trained for the roles they hold?
- Are the rights of prisoners and the corresponding obligations of the prison clearly identified and form a basis for the direction of the organisation?

### N

#### **NON-DISCRIMINATION AND EQUALITY:**

- Is the prison proactive in ensuring that prisoners who are vulnerable, marginalised or have a protected characteristic are identified and supported?
- Is Equality and Diversity a key element to the operation of the prison and is this approach embedded in all staff levels?
- Are the needs of prisoners who are vulnerable, marginalised or have a protected characteristic prioritised in terms of decision and policy making?
- Do staff at all levels seek to promote understanding and acceptance of all prisoners and encourage their participation in all aspects of prison life?

### E

#### **EMPOWERMENT:**

- Are staff committed to ensuring that prisoners are able to participate in all aspects of prison life?
- Is empowering prisoners to participate and claim their entitlements an important aspect of policy and decision making?
- Are the needs of all prisoners placed at the centre of policy and decision making?
- Do prisoners feel their voice influences decision and policy making?

### L

#### **LEGALITY:**

HMIPS expect that all approaches to Organisational Effectiveness are grounded in human rights law and in conformity with the Scottish Prison Rules. A well-run, effectively operating establishment is best placed to identify the rights of prisoners and the corresponding action which is required to secure them. Cultivating an environment where diversity and difference are understood and accepted is also a key way of ensuring that the full range of rights are upheld for prisoners.

**PROTECTED CHARACTERISTICS MUST BE CONSIDERED AND REFERENCED THROUGHOUT**

The prison's priorities are consistent with the achievement of these Standards and are clearly communicated to all staff. There is a shared commitment by all people working in the prison to cooperate constructively to deliver these priorities.

**Staff understand how their work contributes directly to the achievement of the prison's priorities. The prison management team shows leadership in deploying its resources effectively to achieve improved performance. It ensures that staff have the skills necessary to perform their roles well. All staff work well with others in the prison and with agencies which provide services to prisoners. The prison works collaboratively and professionally with other prisons and other criminal justice organisations.**

**QUALITY INDICATORS (QI)**

- 8.1** The prison's Equality and Diversity (E&D) Strategy meets the legal requirements of all groups of prisoners, including those with protected characteristics. Staff understand and play an active role in implementing the Strategy.
- 8.2** Appropriate action has been taken in response to recommendations of oversight and scrutiny authorities that have reported on the performance of the prison.
- 8.3** The prison successfully implements plans to improve performance against these Standards, and the management team make regular and effective use of information to do so. Management give clear leadership and communicate the prison's priorities effectively.
- 8.4** Staff are clear about the contribution they are expected to make to the priorities of the prison, and are trained to fulfil the requirements of their role. Succession and development training plans are in place.
- 8.5** Staff at all levels and in each functional staff group understand and respect the value of work undertaken by others.
- 8.6** Good performance at work is recognised by the prison in ways that are valued by staff. Effective steps are taken to remedy inappropriate behaviour or poor performance.
- 8.7** The prison is effective in fostering supportive working relationships with other parts of the prison service and the wider justice system, including organisations working in partnership to support prisoners and provide services during custody or on release.
- 8.8** The prison is effective in communicating its work to the public and in maintaining constructive relationships with local and national media.

# 8.1

**THE PRISON'S EQUALITY AND DIVERSITY STRATEGY MEETS THE LEGAL REQUIREMENTS OF ALL GROUPS OF PRISONERS, INCLUDING THOSE WITH PROTECTED CHARACTERISTICS. STAFF UNDERSTAND AND PLAY AN ACTIVE ROLE IN IMPLEMENTING THE STRATEGY.**

**FEATURES**

- Outcome focused
- Prisoner participation
- Understanding and acceptance of diversity

**SPECIFICATION**

Processes applied in accordance with the Equality and Diversity (E&D) Strategy are focussed on achieving positive outcomes, through integrating, supporting and assisting prisoners who are vulnerable, marginalised or who have protected characteristics.

The aims and objectives of the E&D Strategy are focused on achieving integration, acceptance and understanding of others along with highlighting areas where extra assistance may be required, who is responsible for this and the support that can be provided.

Prisoners are able to meaningfully participate in how policy applies to them and what support may be useful to them.

The general attitude in the prison is one of understanding and acceptance of diversity. Reasonable adjustments are made according to the needs of prisoners who have additional requirements, are vulnerable, marginalised or who have protected characteristics. This attitude is embedded through all staffing levels with all staff aware of how they can contribute and play their part in applying the E&D Strategy.

**Legal Standards**

**Section**

Mandela Rules 2015	Rule 2(2)
Bangkok Rules 2010	Rule 1
Equality Act 2010	As a whole

## 8.2

### APPROPRIATE ACTION HAS BEEN TAKEN IN RESPONSE TO RECOMMENDATIONS OF OVERSIGHT AND SCRUTINY AUTHORITIES THAT HAVE REPORTED ON THE PERFORMANCE OF THE PRISON.

#### FEATURES

- Implementation plan in place
- Robust consideration of previous reports
- Staff awareness of plan

#### SPECIFICATION

Previous HMIPS reports for inspection and monitoring, as well as other bodies which report on the establishment, are taken into due consideration and the prison indicates that they will endeavour to address the issues raised.

There is evidence of implementation of recommendations. This evidence may include an action plan, business review meetings, and demonstrable change in conditions or approach in response.

The implementation is communicated to staff. Staff know what the action plan entails, which areas are to be focused on and are aware of their role to play.

#### Legal Standards

#### Section

Mandela Rules 2015

Rule 85

PARTICIPATION

ACCOUNTABILITY

NON-DISCRIMINATION  
AND EQUALITY

EMPOWERMENT

LEGALITY

## 8.3

**THE PRISON SUCCESSFULLY IMPLEMENTS PLANS TO IMPROVE PERFORMANCE AGAINST THESE STANDARDS, AND THE MANAGEMENT TEAM MAKE REGULAR AND EFFECTIVE USE OF INFORMATION TO DO SO. MANAGEMENT GIVE CLEAR LEADERSHIP AND COMMUNICATE THE PRISON'S PRIORITIES EFFECTIVELY.**

### FEATURES

- Action plan in place
- Review and monitoring of action plan
- Visible and approachable management

### SPECIFICATION

An action plan relating to these Standards is in place which sets out realistic, achievable goals in accessible language.

The action plan is implemented with a robust review process and monitoring of progress. In order to carry this out effectively the prison compiles information which will assess performance.

The plan put in place has led to demonstrable change and the impact can be measured. There is a clear purpose and management provides leadership on how this purpose is best achieved.

Staff understand the vision and direction of the establishment. They understand how their action on a daily basis contributes to the objectives of the prison, and how they fit into the improvement strategy as a whole.

### Legal Standards

### Section

European Prison Rules 2006

Rule 72.2

PARTICIPATION

ACCOUNTABILITY

NON-DISCRIMINATION  
AND EQUALITY

EMPOWERMENT

LEGALITY

## 8.4

**STAFF ARE CLEAR ABOUT THE CONTRIBUTION THEY ARE EXPECTED TO MAKE TO THE PRIORITIES OF THE PRISON, AND ARE TRAINED TO FULFIL THE REQUIREMENTS OF THEIR ROLE. SUCCESSION AND DEVELOPMENT TRAINING PLANS ARE IN PLACE.**

### FEATURES

- Individual focus
- Training
- Succession planning

### SPECIFICATION

Staff in the prison are motivated and committed to their jobs. They understand their role, their individual outcomes and have the required knowledge to do their job effectively.

Staff are up-to-date with their training and have the requisite training required for their job. There is continuous provision of training courses with a view to maintaining and improving the knowledge and capacity of staff throughout their career.

Staff who are in charge of certain categories of prisoner or who are assigned other specialised functions, receive training that is relevant to their duties. This includes specific training on human rights and equality and diversity.

There is an effective contingency plan in place for staff and particularly for key posts. Succession plans exist and staff are aware of how these operate.

### Legal Standards

### Section

CPT Standards 2015	Page 20(59); 21(60); 89(120)
Mandela Rules 2015	Rule 75; 76
European Prison Rules 2006	Rule 81.1-81.4
Beijing Rules 1990	Section 22.1

# 8.5

## STAFF AT ALL LEVELS AND IN EACH FUNCTIONAL STAFF GROUP UNDERSTAND AND RESPECT THE VALUE OF WORK UNDERTAKEN BY OTHERS.

### FEATURES

- Unity of purpose
- Understanding of roles and functions
- Staff perspective

### SPECIFICATION

There is understanding of roles between staff levels from front line staff to management.

This understanding also exists between prison staff and other organisations which have a place in the prison, such as local authority employees, the NHS, third sector organisations and other agencies.

The functions of each staff group are understood by other groups and there is a unity of purpose, supportive environment and mutual trust between colleagues in the establishment. There are arrangements in place which enable management to consult with staff on matters to do with their working conditions.

In terms of operations, staff understand the way the establishment works with regard to issues like staff rotation or secondments to other parts of the prison service or establishment.

Secondments or additional training are seen as valuable ways to enhance effective working within the prison.

### Legal Standards

### Section

European Prison Rules 2006

Rule 86

Havana Rules 1990

Section 84



## 8.6

**GOOD PERFORMANCE AT WORK IS RECOGNISED BY THE PRISON IN WAYS THAT ARE VALUED BY STAFF. EFFECTIVE STEPS ARE TAKEN TO REMEDY INAPPROPRIATE BEHAVIOUR OR POOR PERFORMANCE.**

### FEATURES

- Meaningful recognition of good performance
- Staff perspective
- Appropriate management of poor performance

### SPECIFICATION

A formal system exists for managing poor performance and attendance. The prison deals effectively with issues of sickness and absence. This is seen positively by staff and they feel it works well.

A system of annual appraisals functions well and good performance is recognised visibly in a meaningful way.

Recognition of good work occurs on both a local level and on a national level where appropriate.

Staff at all levels feel their work is valued.

## 8.7

**THE PRISON IS EFFECTIVE IN FOSTERING SUPPORTIVE WORKING RELATIONSHIPS WITH OTHER PARTS OF THE PRISON SERVICE AND THE WIDER JUSTICE SYSTEM, INCLUDING ORGANISATIONS WORKING IN PARTNERSHIP TO SUPPORT PRISONERS AND PROVIDE SERVICES DURING CUSTODY OR ON RELEASE.**

### FEATURES

- Effective working relationships
- Shared objectives and understanding
- Practical collaboration

### SPECIFICATION

The prison actively engages with partner organisations and agencies as well as other prisons in the prison service.

There is effective communication between the prison and other organisations outside that provide services for prisoners.

Both the prison and the partner organisations work positively and effectively together with a united purpose.

Collaboration between the different parts of the prison service and the wider justice system involves shared objectives and understanding, which lends itself to effective partnership working.

### Legal Standards

### Section

European Prison Rules 2006

Rule 83b

PARTICIPATION

ACCOUNTABILITY

NON-DISCRIMINATION  
AND EQUALITY

EMPOWERMENT

LEGALITY

## 8.8

**THE PRISON IS EFFECTIVE IN COMMUNICATING ITS WORK TO THE PUBLIC AND IN MAINTAINING CONSTRUCTIVE RELATIONSHIPS WITH LOCAL AND NATIONAL MEDIA.****FEATURES**

- Outward focus
- Proactive engagement
- Community involvement

**SPECIFICATION**

The prison has a recognised outward focus and is proactive in engaging with the public in a general, but also in a more localised sense to the surrounding community.

All appropriate means of informing the public about the work of the prison are employed, in order to encourage better public understanding of the role of the prison in the community.

Examples of engagement with the local community may include working with schools, faith institutions, community centres, groups for children and young people.

The prison also has effective links with media groups either online with social and broadcast media, or in print.

**Legal Standards****Section**

Mandela Rules 2015	Rule 74(2)
European Prison Rules 2006	Rule 90.1
Havana Rules 1990	Section 8

QI ADDITIONAL LEGAL STANDARDS	SECTION
<b>8.1</b> CoE Recommendation on Juvenile Offenders Subject to Sanctions or Measures 2008	Section 129.3(g)
CoE Recommendation Concerning Foreign Prisoners 2012	Section 11; 32.2; 32.3; 39.2; 39.4
CoE Guidelines Regarding Radicalisation and Violent Extremism 2016	Section 8; 9
CoE Recommendation on the Code of Ethics for Prison Staff 2012	Section 23; 24
<b>8.2</b> No Additional Rules	
<b>8.3</b> CoE Recommendation on Staff Concerned with the Implementation of Sanctions and Measures 1997	Section 34; 37; 38
<b>8.4</b> CoE Recommendation Concerning Foreign Prisoners 2012	Section 38 – 39.5
CoE Recommendation on the Management by Prison Administrations of Life Sentence and other Long-Term Prisoners 2003	Section 37
CoE Recommendation on the Use of Remand in Custody 2006	Section 43
CoE Guidelines Regarding Radicalisation and Violent Extremism 2016	Section 13 – 14
CoE Recommendation on Juvenile Offenders Subject to Sanctions or Measures 2008	Section 129.1 – 129.3
CoE Recommendation Concerning Dangerous Offenders 2014	Section 49
Declaration on the Protection of All Persons from Being Subjected to Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1975	Article 5
CoE Recommendation on Staff Concerned with the Implementation of Sanctions and Measures 1997	Section 36
<b>8.5</b> CoE Recommendation on the Code of Ethics for Prison Staff 2012	Section 30
CoE Recommendation on Juvenile Offenders Subject to Sanctions or Measures 2008	Section 134.1
CoE Recommendation on Staff Concerned with the Implementation of Sanctions and Measures 1997	Section 48
<b>8.6</b> CoE Recommendation on Juvenile Offenders Subject to Sanctions or Measures 2008	Section 129.2
CoE Recommendation on Staff Concerned with the Implementation of Sanctions and Measures 1997	Section 42; 46

<b>QI ADDITIONAL LEGAL STANDARDS</b>	<b>SECTION</b>
<b>8.7</b> CoE Recommendation on the Code of Ethics for Prison Staff 2012	Section 3
CoE Guidelines Regarding Radicalisation and Violent Extremism 2016	Section 26
CoE Recommendation Concerning Dangerous Offenders 2014	Section 50
<b>8.8</b> CoE Recommendation on Juvenile Offenders Subject to Sanctions or Measures 2008	Section 139.1; 139.2; 141



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