



Ministry of JUSTICE

National Offender Management Service

THE INSTRUCTIONS SYSTEM – THE APPROVAL AND IMPLEMENTATION OF POLICY AND INSTRUCTIONS		
This instruction applies to :-		Reference :-
NOMS Agency staff (Headquarters) Prisons Probation Services		AI 1/2009 PSI 23/2009 PI 1/2009
Issue Date	Effective Date	Expiry Date
13 July 2009	1 August 2009	31 July 2011
Issued on the authority of	NOMS Agency Management Board	
For action by	All staff responsible for the development and publication of policy and instructions. Governors/Directors of Contracted Prisons, Chief Probation Officers, Heads of Groups, policy leads. In this document, the term Governor also applies to Directors of Contracted Prisons, and the term Chief Probation Officer also applies to Chief Executives of Probation Trusts.	
For information	All staff in NOMS HQ, prison establishments and Probation Services	
Contact	Allen Casey, Operational Policy Unit Allen.casey@hmpr.gsi.gov.uk 020 7217 6272	
Associated documents	HQI/PSI Equality Impact Assessments	
Replaces the following documents which are hereby cancelled :- PSO 0001 The Instructions System		
Audit/monitoring : Compliance with this instruction will be monitored by the Head of the Operational Policy Unit. Audit and monitoring of individual instructions issued under these arrangements will be set out in those instructions.		
Introduces amendments to the following documents : - None.		

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1. Executive summary

Background

- 1.1 This Instruction revises the arrangements for the preparation, governance and implementation of policy and instructions across the whole NOMS Agency. It introduces a common format for instructions to prisons and probation services, and creates distinct instructions for the NOMS Agency HQ (including the regional structure).
- 1.2 It also prepares the Instructions System for alignment with developing work on specifications, and supports efficient working by making sure that mandatory instructions are kept to a minimum, that instructions are user friendly, and that Governors and Chief Probation Officers have flexibility in delivering required outcomes where this is appropriate.

Desired outcomes

- 1.3 This instruction aims to ensure that :-
 - policy is operationally informed and presented in a way that is easily understood by those it affects ;
 - instructions are clear as to what is mandatory and who is responsible for delivery ;
 - as far as possible, the development, publication and implementation of policy is undertaken in a planned and co-ordinated way.

Application

- 1.4 Chapter 2 of this Instruction explains the format of the instructions system. All staff must be familiar with this chapter.
- 1.5 Chapter 3 sets out the processes to be followed by policy leads and authors of instructions. Only those responsible for preparing instructions are required to read and follow this section.

Mandatory actions

- 1.6 *All staff must be familiar with Chapter 2 of this instruction and understand the mandatory nature of Instructions. Governors, Chief Probation Officers and Heads of Groups must ensure that all staff are made aware of this Instruction.*
- 1.7 *Policy leads must follow the processes set out in Chapter 3 in preparing policy and instructions.*

Resource impact

- 1.8 There will be no direct resource impact on staff in prison establishments and probation services resulting from this Instruction. It is intended to ensure that the impact of the implementation of policy on delivery organisations will be more thoroughly assessed and extra burdens kept to a minimum.
- 1.9 There may be some additional burden on policy groups resulting from the consultation and resource impact requirements in this Instruction. However, many groups already carry out consultation along these lines, and this is likely to smooth the passage of the policy or instruction through the later stages of the approval process. Investment of more time and resource in the earlier stages will therefore generally be repaid later on.

2. Description of the Instructions System

2.1 *All staff must familiarise themselves with this chapter to ensure that they understand the types of instructions and when they are mandatory.*

The previous system

2.2 Instructions, Orders and Circulars issued under the previous system are likely to remain in force for some time. The previous system consisted of :-

- Prison Service Orders (PSOs) - permanent documents that outline the procedures to be followed by prison or headquarters staff. They contain mandatory instructions and only expire once replaced or revoked. They include substantial manuals which contain both mandatory actions and guidance. Some of these apply to all NOMS HQ staff.
- Prison Service Instructions - temporary documents that contain mandatory actions but usually expire after 12 months. They were normally issued to introduce amendments to PSOs, or to mandate one-off actions such as annual financial procedures. (The exceptions are PSIs that outline contracts. These expire at the end of the contract.) A number of PSIs over twelve months old do remain in force although work is under way to review these.
- Probation Circulars – issued to the probation service, some of these have contained mandatory actions while others have been purely guidance.

2.3 Non-mandatory guidance has been issued to probation services via the Probation Gateway, and to prison staff via the HMPS Intranet. Information on staff matters such as pay and expenses has been promulgated to prison staff via Notices to Staff.

The new system

2.4 With effect from 1 August 2009, all new Instructions will be issued in one or more of the following formats :-

- Prison Service Instructions (PSIs) will be issued to convey mandatory actions to prison establishments.
- Probation Instructions (PIs) will be issued to convey mandatory instructions to probation services.
- NOMS Agency Instructions (AIs) will be issued to convey mandatory instructions to NOMS HQ staff (including, where appropriate, the regional structures).

2.5 All three Instructions will have an expiry date which can be up to four years from date of issue, although they can be re-issued to extend their validity, or cancelled or amended before the expiry date if required. Further instructions on setting expiry dates are contained in Chapter 3.

2.6 There are already a large number of Instructions that have passed their expiry date but which continue to apply. It is the responsibility of policy leads to ensure that the instructions they are responsible for are updated, but it may take some time to reach a situation where all time-expired instructions have been updated. *Regardless of expiry dates, instructions remains in force until specifically cancelled or replaced and removed from the Intranet.*

- 2.7 There will be separate number series for each set of instructions to avoid gaps in numbered sets. However, as in the case of this Instruction, a single document may carry numbers in two or all three series if it is applicable across the board.
- 2.8 To help users, all instructions should be concise with the mandatory instructions easily identifiable. Additional guidance for practitioners, which does not contain any mandatory actions should be included in annexes which will be hyperlinked to the relevant instructions, version controlled, and kept up to date or cancelled when necessary.
- 2.9 PSIs and PIs will continue to be published on the HMPS Intranet and EPIC respectively, PSIs will be distributed to prison libraries in hard copies as they are now. AIs will also be published on the HMPS Intranet. Any NOMS Heads of Units who do not currently have access to the HMPS Intranet should receive copies through the NOMS Communications Unit. In case of difficulty, copies can be obtained from Bob Phillips in the Operational Policy Unit (robert.phillips02@hmps.gsi.gov.uk or 020 7217 6996).
- 2.10 Up to date versions of current instructions are held on the Intranet (and, except where withheld for security reasons, they are also published on the HM Prison Service website), and the Intranet will therefore be provide the most convenient access to current instructions for most staff. Hard copies are only issued centrally for the use of the prison library. *Governors must ensure that there are arrangements in place to notify staff of the issue, amendment or cancellation of instructions that affect them, and to update any locally printed hard copies. These arrangements must take account of the extent to which staff have effective access to the Intranet.*
- 2.11 Instructions will normally only be amended or replaced by issuing a further Instruction. Where occasionally changes are made, for example to correct a typographical error, the issue date in the footer will be updated. The Operational Policy Unit will be able to advise on the latest version. *Amendments can only be made with the agreement of OPU.* OPU will also ensure that amended copies are supplied to the Trade Unions and other recipients of e-mail/hard copies.
- 2.12 There will be no change to the arrangements for issuing Notices to Staff in the Prison Service and NOMS HQ.
- 2.13 Governors, Chief Probation Officers, etc may of course continue to issue local instructions as long as they do not conflict with those issued centrally.

3. How to prepare and submit a policy or instruction

3.1 *Policy leads and authors of instructions must follow the processes in this chapter.*

The business case

3.2 *Where possible, the policy lead must prepare and submit a business case to the Operational Policy Group (OPG) using the template at Annex A. The business case sets out the policy options and seeks OPG approval to the direction of travel. It also helps ensure that the policy development is planned and co-ordinated with other initiatives. It will prevent waste of effort consulting on and drafting an Instruction which is not going to be approved.*

3.3 *In the case of lengthy pieces of policy development, an updated business case can be submitted as a progress report. A progress report must be submitted if it is proposed to substantially change direction from a business case that has previously been approved.*

3.4 *However, it is recognised that some instructions need to be issued quickly, and where constraints such as Ministerial directives or legislation mean that a business case in advance is inappropriate. In such cases, the business case can be submitted together with the draft instruction.*

3.5 *It is also not necessary to complete a business case when submitting an instruction that deals with a routine annual process, for example a finance process.*

Consultation

3.6 *Prior to a draft Instruction being submitted to the OPG secretary for approval by OPG, policy holders must carry out an appropriate consultation.*

3.7 *You must consider consulting the following. It will not be appropriate to consult all of those listed below in every case, and the list is not exhaustive.*

- Other NOMS/MoJ units with an interest in the policy
- Representatives of those involved in implementing the policy – this does not mean sending it to every prison or probation area, and the OPG meeting itself provides the final operational proofing. It is open to policy leads to identify a small number of people involved in delivery to consult ; if you are unsure about this, the Operational Policy Unit can assist
- *Where an Instruction applies to contracted prisons, contractors must be included in the consultation. The contacts are :-*

Kalyx Janine McDowell (Janine.McDowell@kalyxservices.com)
 G4S Jerry Petherick (Jerry.Petherick@GSLGlobal.com)
 Serco John Smith (john.smith2@serco.com)

- *Where an Instruction applies to Probation Trusts, they must be consulted via Directors of Offender Management*
- Safer Custody and Offender Policy Group – Safer custody issues will be highlighted by SCOP and revisions may need to be made to the draft
- Specifications, Benchmarking and Costing Programme

- Reducing Re-offending Policy Unit
- Security Policy Group – where security issues arise
- Women and Young Peoples Group
- Outside Stakeholders
- Youth Justice Board – where appropriate
- The relevant Inspectorate(s)
- Information and Communication Technology – if the proposal has any implications for LIDS/IIS, P-NOMIS or other IT systems
- NOMS Cymru to confirm whether or not there is any need for different arrangements in Wales where the Welsh Assembly Government has some relevant powers.
- Probation Association and Probation Chiefs Association. (For Probation Instructions.)
- *Policy leads must also consider obtaining the views of offenders in connect in with policy that directly affects them.*

The Groups, Units and Organisations consulted must be listed in the Business Case (Annex A) and notable changes to the original draft as a result of the consultation must be described.

Unions

- 3.8 NOMS is committed to involving Trades Unions in policy development through the Whitley process for prisons and the National Negotiating Council for Probation, and through separate dedicated discussion/consultation where appropriate. Consultation can be defined as: ‘the process by which management and recognised trade unions jointly examine and discuss issues of mutual concern. It involves seeking acceptable solutions to problems through the genuine exchange of views and information’(ACAS Handbook No 8).
- 3.9 Unions / Staff associations – *the Unions must be given 28 days to comment on the final draft, but it is also good practice to consult them earlier in the process wherever possible.* Please contact the OPG Secretary for advice if required. Consultation is not required when re-issuing an instruction without change to extend its validity but *must take place where any change in policy is proposed, including where an instruction is to be cancelled.*

Diversity and Equality

- 3.10 *An Equality Impact Assessment must be completed prior to submission to OPG. Further advice is available from the Race and Equalities Action Group.*

Resource impact assessments

- 3.11 *All documents submitted to OPG must be accompanied by a Resource Impact Assessment (See Annex B).*

4 Drafting the instruction

- 4.1 *Draft instructions must follow the new common template for instructions which is attached at Annex C (and this instruction is in the new format).*
- 4.2 Where an instruction has to be issued in more than one series (PSI, PI or AI), policy leads can determine whether a single version of the text can be produced for all readers, in which case a single document can be issued with multiple numbers.
- 4.3 *You must follow the following principles :-*
- All Instructions must be concise and unambiguous
 - Lengthy guidance which does not contain mandatory actions should be contained in annexes. This will help readers identify the essential mandatory actions more easily.
 - Consider what the reader needs to know and what they need to look up when a situation arises. Make full use of annexes for the latter
 - Consider critically whether all your mandatory actions really need to be mandatory. Ask yourself why an action is mandatory. Does it meet a legal, contractual or Ministerial requirement? If not, why is it mandatory?
 - If you require a task to be signed off by the governing Governor/Chief Probation Officer or above, expect OPG to require justification for this.

Guidance

- 4.4 Additional guidance for practitioners, which does not contain any mandatory actions, should be included in annexes. This will mean the annexes can be hyperlinked to the relevant instructions, version controlled, and kept up to date or cancelled when necessary. Annexes containing guidance can be added, amended or removed during the life of the Instruction. When this is necessary, they must be submitted to the OPG Secretary for publication, but do not require a business case or consideration by OPG. Before they are published, the OPG Secretary will check that proposed annexes do not contain additional mandatory actions.

Setting an expiry date

- 4.5 The expiry date of an Instruction can be up to four years from date of issue. *Authors must set appropriate expiry dates; do not set four years automatically.* If an instruction requires a one-off action, a short expiry date is appropriate.
- 4.6 *Policy leads must ensure that they review Instructions before the expiry date is reached, and arrange for the instruction to be revised, cancelled or re-issued.* Where appropriate, an instruction can be re-issued quite simply to extend its validity, without the need to go repeat the OPG process, and policy leads should contact the Operational Policy Unit for advice. However, it is likely that, at the very least, the contact details will need updating after this period of time.

Transitional arrangements

- 4.7 The new numbering series will be applied to all Instructions issued from 1 August 2009. However, it is recognised that there will be draft instructions which are in an advanced

stage of preparation in the old format. OPG will take a flexible approach to minimise redrafting in such cases. Authors should consult the OPG Secretary for advice.

Submission of to OPG for approval

4.8 *The draft instruction must be submitted to the OPG Secretary for consideration, accompanied by an updated copy of the business case. The OPG governance process is described in Annex D.*

Urgent/emergency instructions

4.9 Where there is a compelling operational, legislative or Ministerial need to issue an Instruction urgently, authors should contact the OPG Secretary as soon as possible to discuss how this might be arranged.

(signed)

Michael Spurr
Chief Operating Officer

5 Corporate Identity

Formatting

In order to minimise the amount of formatting required to 'finished' Instructions and to speed up the approval process the following Word settings should be used by authors when writing new policy documents:

(TIP: to change page settings place cursor in top left hand corner of page and click twice)

Font. Arial

Font size. 11

Margins 2 cm

Headers and footers 2 cm

Indents should be made in multiples of 1.25 cm

Paragraph Numbering Paragraph headings should not be numbered but should start on the zero margin point

5.1 The first paragraph should take the chapter number (in this example 5.). then each paragraph should be numbered in order. 5.1, 5.2, 5.3 etc... the text should be indented to start at the 1.25 cm mark.

Where sentence points need to be itemised:

- Black bullet points should be used
- and if bullet points need to be broken down further:
 - (i) use field numbers to identify the sentence

5.2 The same applies to normal text, if it is felt necessary to provide a subtext within a paragraph:

- I. again use a field number for identification, (preferably a different style to numbers used previously).

5.3 Please do not use italicised text within normal sentences as italics are used for identifying mandatory instructions, if you are writing a mandatory instruction please try to use the word *must* within the text.

5.4 Please use a double line space between paragraphs and keep **bold** text to a minimum.

5.5 Finally, keeping to these guidelines will help speed the various processes which are required before an Instruction can be finally published.

All work will be checked and formatting corrected where required and the final version will be sent for author approval before it is sent to the Director for signature.

Annex A

BUSINESS CASE FOR OPG

Policy Issue					OPG Ref No	
Submitted by			Contact no.			
Director			Head of Group			
STAGE <i>Please tick</i>	Business Case		Progress Report		Draft Instruction	
ISSUE						
Explain the aim of the policy and the reason for its development/revision						
OPTIONS						
Outline the options to achieve the desired outcome, including the option of not proceeding with this policy change. Each option must consider advantages, disadvantages, risks to the Service and an estimate of financial costs. Costs should be split into 'Capital' and 'Resource' and it should be made clear how much each option will cost to implement and how much it will cost to run once implemented. Costs <i>must</i> also include training implications and an estimate of staff time and salary costs.						
CONSULTATION						
Please list the Groups / Units and Organisations that have been consulted and any significant changes that have been made as a result.						

IMPACT ASSESSMENTS & UNION CONSULTATION	
Have you completed and attached a resource impact assessment ? Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain
Have you completed an equality impact assessment ? Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain
Have you consulted the unions ? Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain. If yes, please state any issues arising.
RECOMMENDATION	
State the recommend option for OPG to consider and give reasons for the recommendation	
DEVELOPMENTAL WORK	
State how the policy is to be developed. Include details of proposed consultation with staff and other stakeholders, and an estimated timetable of events including preparation, consultation, publication, training and implementation.	
Is there likely to be any environmental impact or issues arising from the implementation of this policy?	
<u>This section to be completed when reporting progress to OPG only</u>	
PROGRESS REPORT	
Outline work completed to date, including details of consultation exercises, any emerging issues/risks, and a more accurate cost for implementation explaining the reasons for any changes in costs..	

Policy Resource Impact Assessment Template**Annex B****A. SCREENING DETAILS**

1. Title of Instruction

2. Notes on the reliability of the costing below and issues for Operational Policy Group to consider.

3. Method

Identification of Task	(a) Additional /Reduced Time to Perform Task (hours)	(b) Number of Times Task Performed Annually Nationally	(c) National Increase /Decrease in Hours (a x b = c)	(d) Hourly Cost (determine d by grade of staff) £	(e) National Annual Total Cost/Saving (c x d = e) £
Total					

Annex C New Front Page Template follows on next page



Ministry of JUSTICE

National Offender Management Service

TITLE		
This instruction applies to :- (delete those not applicable)		Reference :- (delete those not applicable)
NOMS Agency staff (Headquarters) Prisons Probation Services		AI xx/200x PSI xx/200x PI xx/200x
(OPU will provide numbers)	Effective Date	Expiry Date
Issued on the authority of	NOMS Agency Management Board	
For action by	<i>(This includes whether it applies to contracted prisons)</i>	
For information		
Contact		
Associated documents	<i>e.g. related instructions or guidance</i>	
Replaces the following documents which are hereby cancelled :-		
Audit/monitoring : [PI wording] : Directors of Offender Management will monitor compliance in their region with the mandatory actions set out in this Probation Instruction. Probation Areas and Trusts must demonstrate compliance with these actions when required to do so by Directors of Offender Management.		
Introduces amendments to the following documents. Copies held on the HMPS Intranet/EPIC will be amended ; hard copies must be amended or cross referenced locally.		

CONTENTS

Section	Subject	Applies to

Not all the following will be applicable in every case. From here on this is a model, not a template that must be followed slavishly where this would be to the detriment of clarity.

- 1. Executive summary** *(not more than a page unless there are a lot of mandatory actions ; contains the information everyone in the target organisation(s) needs to know.)*

Background

- 1.1 what is changing and why – one or two paragraphs

Desired outcomes

- 1.2

Application

- 1.3 Describe who needs to read what sections

Mandatory actions

- 1.4 *It may not be appropriate to list all actions but this should at least point people to the mandatory sections. It is not appropriate simply to say “Governors must make sure everyone is aware of this Instruction” but you might say “Governors must make sure all reception staff carry out the reception process in accordance with chapters 4 and 5 of this Instruction”. Use italics for mandatory actions throughout.*

Resource Impact

- 1.5 There must be a realistic assessment of the resource impact, even if no new resources are being provided for an unavoidable extra task.

2. Operational instructions

Subsequent chapters contain the actual instructions. First - Instructions and mandatory actions for practitioners – this is what practitioners need to know – they would be able to pass a test on

Second - Detailed instructions for special cases – this is what practitioners will need to look up as and when – they should know it is covered but are not expected to know the detail. Processes probably suited to annexes.

3. Policy and strategic context

This sets out the 'nice to have' rather than mandatory requirements and indicates the areas where local innovation should be directed.

4. Guidance

Non-mandatory guidance – should be in annexes

**Signed by
relevant Director
(COO for PCs)**

THE OPERATIONAL POLICY GROUP

Introduction

This Annex describes how a new policy or policy change document is approved by OPG. If there are difficulties in following the protocol or there are aspects that you feel may not apply please contact the OPG secretary in the Operational Policy Unit. Depending on the individual issue or size of the prospective document, not all of these stages will need to be met.

Operational Policy Group (OPG) meetings and pre-OPG

The OPG meets monthly; dates for meetings and submission of papers are available from the Secretary. OPG meetings are chaired by the NOMS Chief Operating Officer. Its membership consists of senior management representing both prison and probation the Director of Commissioning and Operational Policy and a legal adviser. Papers are distributed to wider range of senior managers.

Pre-OPG is also a monthly meeting. It is chaired by the COO and attended by the Director of High Security. At these meetings it is decided how a piece of policy will be considered by OPG.

OPG consider items in three different ways. The item can be tabled for discussion at the meeting, it can be considered in correspondence or it can be cleared at pre-OPG. The decision of how each item is considered is taken at the pre-OPG meeting. Where an item is to be discussed at a full OPG meeting, authors will normally be asked to attend.

There are three stages to Operational Policy Group consideration:

Initial Assessment :

Any prospective change in policy (or issuing of new Instructions) will need to be put before pre-OPG. All that is required at this stage is a completed Business case. For fairly minor issues or small Instructions, the draft can be attached to the Business Case for quicker approval.

Progress Report :

Action points raised at the first full OPG meeting will be addressed and progress will be described in the Business Case. A second OPG discussion would normally only take place for major Instructions or those where a large number of amendments have been suggested. In some cases the progress report can be cleared at pre-OPG.

Draft Instruction :

As above, the draft document explaining the new policy will be submitted to OPG.

Annual Instructions, small amendments and the re-issue of an expired Instruction can usually be approved without the need for an OPG meeting. The OPG Secretary should be contacted in cases where there are no policy changes.

OPERATIONAL POLICY GROUP

Terms of reference

Purpose

To manage the introduction of new policies and instructions with particular reference to resource implications and operational impact.

Responsibilities

- To examine the operational and resource implications of proposed changes in policy and processes;
- to approve business cases submitted by NOMS policy holders, which outline proposals for changes to existing policy;
- to ensure that business cases give due consideration to equality and environmental issues;
- to review draft PSIs, AIs and PIs which implement changes in policy and agree final versions for issue;
- to agree methods of publication for guidance etc which are not appropriate to PSIs or AIs or PIs; and
- to review annually the Group's terms of reference, membership and effectiveness in achieving its terms of reference.

Non contentious matters may be cleared by the pre-OPG without discussion at full OPG; or referred to OPG in correspondence.

Membership

To include as a minimum:

Chief Operating Officer (Chair)
Director of High Security (or representative)
Legal Adviser
5 Senior Managers with experience in prison establishments or in probation service
Head of Operational Policy Unit

Frequency of meetings

Monthly

What is an Equality Impact Assessment (EIA)?

An EIA is a systematic appraisal of the (actual or potential) effects of a function or policy on different groups of people. It is conducted to ensure compliance with public duties on equality issues (which in some areas go beyond a requirement to eliminate discrimination and encompass a duty to promote equality), but more importantly to ensure effective policy making that meets the needs of all groups.

Like all other public bodies, the National Offender Management Service is required by law to conduct impact assessments of all functions and policies that are considered relevant to the public duties and to publish the results.

An Equality Impact Assessment must be completed when developing a new function, policy or practice, or when revising an existing one.

*In this context a **function** is any activity of the Prison Service, a **policy** is any prescription about how such a function is carried out, for instance an order, instruction or manual, and a **practice** is the way in which something is done, including key decisions and common practice in areas not covered by formal policy.*

If you are completing this document as part of the OPG process, you must complete and return it together with the final Business case for OPG approval and publication alongside the PC/PSI/PSO.

Your Equalities team

It is important that all policies are informed by the knowledge of the impact of equalities issues accumulated across the organisation. Early in the policy development process, and before commencing the EIA, please contact the relevant equalities team to discuss the issues arising in your policy area.

- HR issues – Staff Diversity and Equality Team – 020 7217 6090 or frank.colyer@noms.gsi.gov.uk
- Service delivery issues relating to gender and younger offenders – Women and Young People’s Group – 020 7217 5048 or matthew.armer@noms.gsi.gov.uk
- All other service delivery issues – Race and Equalities Action Group – 020 7217 2521 or REAG@noms.gsi.gov.uk

The EIA process

The EIA has been constructed as a two-stage process in order to reduce the amount of work involved where a policy proves not to be relevant to any of the equalities issues.

The initial screening tool should be completed in all cases, but duplication of material between it and the full EIA should be avoided. For instance, where relevance to an equalities issue is self-evident or quickly identified this can be briefly noted on the initial screening and detailed consideration of that issue reserved for the full EIA.

Further guidance on this will be given by the relevant equalities team.

Stage 1 – initial screening - PI 01/2009 New Instructions System

The first stage of conducting an EIA is to screen the policy to determine its relevance to the various equalities issues. This will indicate whether or not a full impact assessment is required and which issues should be considered in it. The equalities issues that you should consider in completing this screening are:

- Race
- Gender
- Gender identity
- Disability
- Religion or belief
- Sexual orientation
- Age (including younger and older offenders).

Aims**What are the aims of the policy?**

To instruct all policy leads and policy writers of the processes required for new or revised policy to be approved and published. This is a revision of existing policy that now includes the Prison Service, Probation areas and NOMS HQ.

Effects**What effects will the policy have on staff, offenders or other stakeholders?**

The policy is aimed at all staff, mainly NOMS HQ and has no effect on offenders.

Evidence**Is there any existing evidence of this policy area being relevant to any equalities issue?**

Identify existing sources of information about the operation and outcomes of the policy, such as operational feedback (including local monitoring and impact assessments)/Inspectorate and other relevant reports/complaints and litigation/relevant research publications etc. Does any of this evidence point towards relevance to any of the equalities issues?

None.

Stakeholders and feedback**Describe the target group for the policy and list any other interested parties. What contact have you had with these groups?**

All policy makers and stakeholders within NOMS.
External stakeholders are mentioned within the documents as points of contact.
The consultation section of the PSI, AI and PI instructs staff to identify stakeholders and gives them a list they need to refer to.

Do you have any feedback from stakeholders, particularly from groups representative of the various issues, that this policy is relevant to them?

None.

Impact**Could the policy have a differential impact on staff, prisoners, visitors or other stakeholders on the basis of any of the equalities issues?**

No.

Local discretion

Does the policy allow local discretion in the way in which it is implemented? If so, what safeguards are there to prevent inconsistent outcomes and/or differential treatment of different groups of people?

No.

Summary of relevance to equalities issues

Strand	Yes/No	Rationale
Race	No	
Gender (including gender identity)	No	
Disability	No	
Religion or belief	No	
Sexual orientation	No	
Age (younger offenders)	No	
Age (older offenders)	No	

If you have answered 'Yes' to any of the equalities issues, a full impact assessment must be completed. Please proceed to STAGE 2 of the document.

If you have answered 'No' to all of the equalities issues, a full impact assessment will not be required, and this assessment can be signed off at this stage. You will, however, need to put in place monitoring arrangements to ensure that any future impact on any of the equalities issues is identified.

Monitoring and review arrangements

Describe the systems that you are putting in place to manage the policy and to monitor its operation and outcomes in terms of the various equalities issues.

There are no equalities issues expected but since there are brand new elements to the policy it is under a 12 month review.

State when a review will take place and how it will be conducted.

See above.

Name and signature	Date
Policy lead Allen Casey	

	Name and signature	Date
Head of group	Tony Watson	
