

PRS: PRISON RATING SYSTEM

Specification Document

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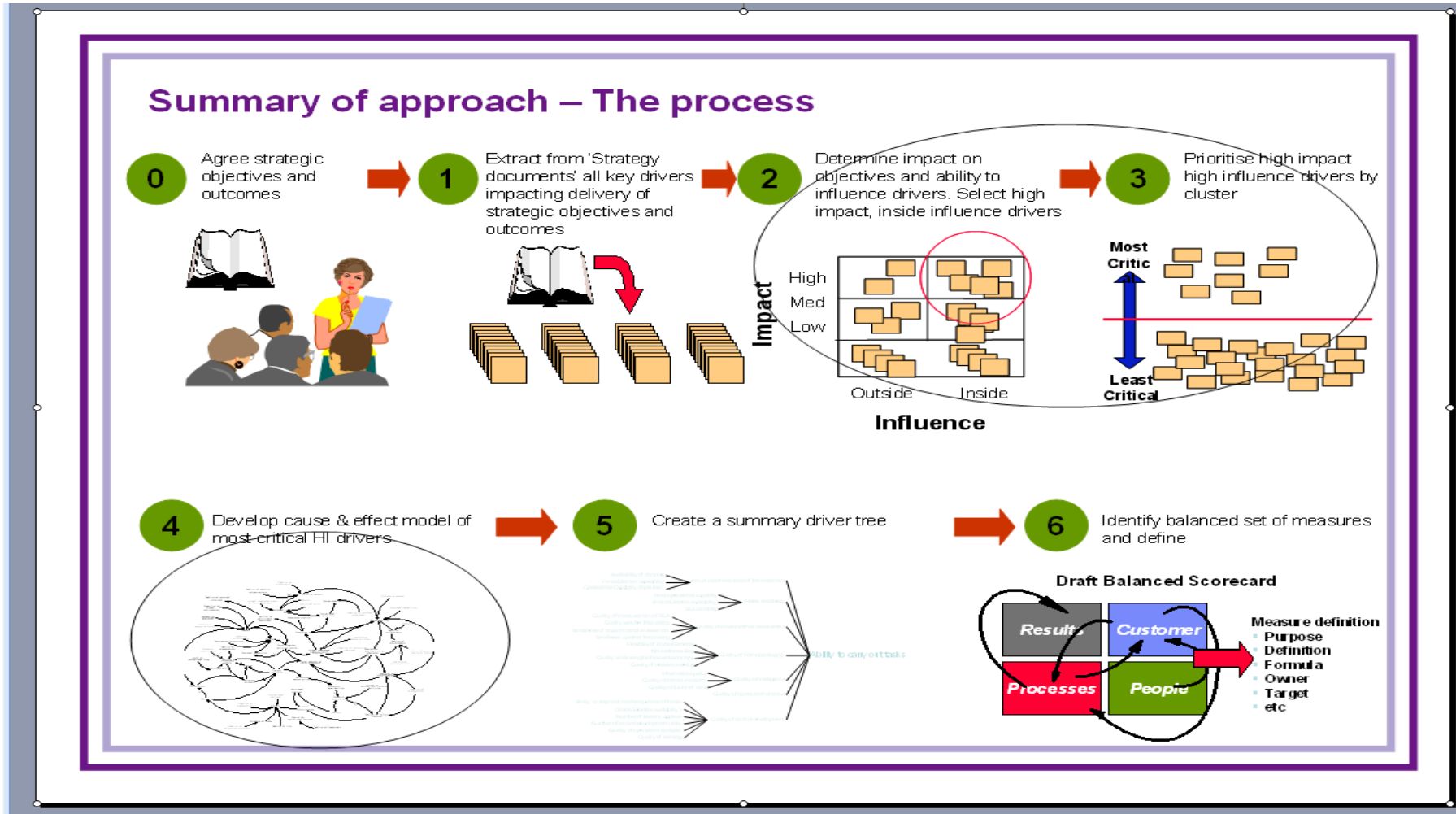
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Introduction to the Prison Rating System

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- The PRS is the Prison Rating System.
- The Overall aim of PRS can be summarised as “Measure what counts rather than count what is easier to measure”.
- The PRS model was developed by the Criminal Justice Group (CJG) alongside the National Offenders Management Service (NOMS). It is now owned and managed by NOMS.
- The main aim of the PRS model development was to create a single, transparent system that enables the performance of both public and private prisons to be measured.
- Development of the PRS has enabled a fresh outlook of the way in which prisons are rated in relation to their performance in four key areas (Public Protection, Reducing Reoffending, Decency and Resource Management and Operational Effectiveness).
- The first PRS was released in Q1 2009
- PRS 2014/15 is an annual performance assessment, based on the full year’s data and ratified by the NOMS Agency Board.
- Interim snapshots will be produced three times through the year, Q1, Q2 and Q3, for the purposes of operational management, but these will not be subject to moderation.
- The final, annual ratings, based on full year’s data, will be ratified by the full NOMS Agency Board (NAB) which includes the three NOMS Non-Executive Directors to provide independent assurance.
- Figure 1 outlines the basic process in the development of the PRS.

Figure1: Summary of the PRS approach



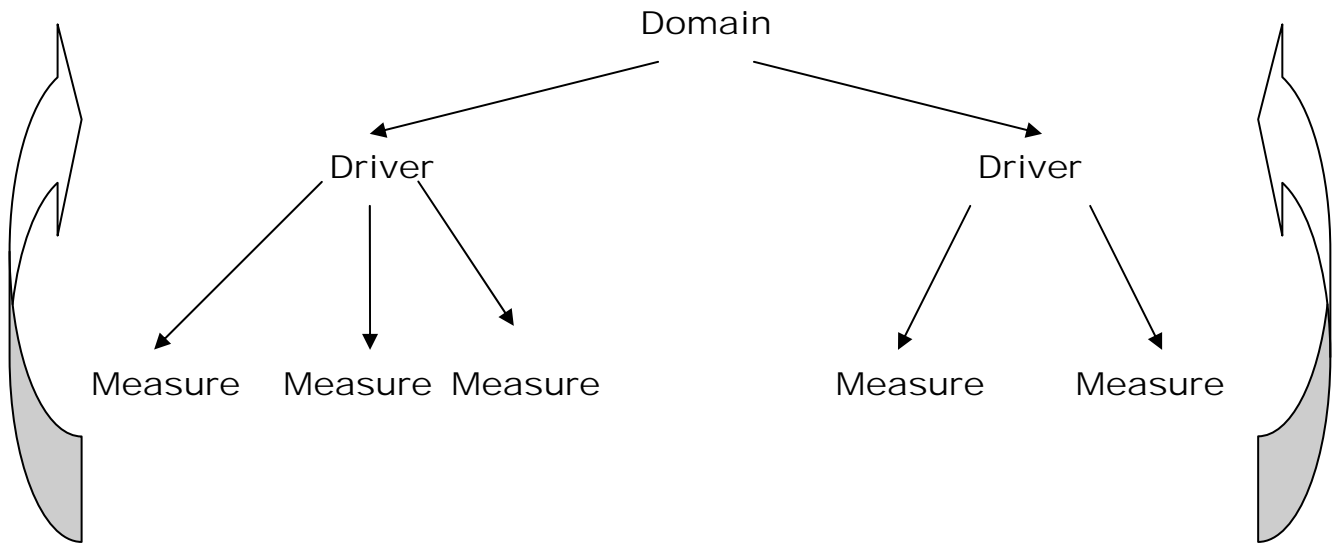
The Key Performance Areas in the PRS

1. The four key areas that the PRS looks at in rating prison performance are:
 - Public Protection
 - Reducing Re-offending
 - Decency
 - Resource Management and Operational Effectiveness
2. The four performance areas above are referred to as the 'Domains'.
3. The four key Domains are broken down into 'Drivers', which are shown in figure 2 below. The performance of each domain is driven by the performance of its drivers.
4. In order to determine performance against these Drivers, the Drivers are further broken down to a series of 'Measures'. The performance for each measure is directly measurable.
5. The domain, driver and measure relationship can be thought of as a performance tree. Figure 3 shows how measure performance directly feeds back into the overall domain performance.

Figure2: The four Domains and their Drivers

Reducing Re-offending & Protecting the Public whilst maintaining Value for Money			
Public Protection	Reducing Re-offending	Decency	Resource management & Organisational Effectiveness
Security Audit	Reducing & Tackling Offender Drug Dependency	Diversity & Equality	Data Integrity
Quality & Effectiveness of Offender Risk Management	Quality and Targeted coverage of OASys (needs assessment)	Quality of Offender General Treatment/Experience	Foreign National Prisoner Referrals
Delivery of the Sentence to the Court	Resettlement (Social Inclusion)	Maintaining Order, Control, Safety & Reducing Violence	Staff Motivation & Effective Staff
Effective MAPPA	Targeting Quality Interventions to the Right Offenders at the Right Time	HMIP Safety	Value for Money
Generic Parole Process	Sex Offender Treatment Programmes	Availability & Quality of Offender Regime	Order & Control
	Work In Prisons	Decent Conditions	
		Mental Health (Self Harm)	
		Violence Management	
		Work In Prisons	

Figure 3: Summary of Domain/Driver/Measure relationship



6. For example, consider the driver 'Resettlement'. The performance of this Driver can be found by measuring the performance of a series of measures in turn. These measures are 'Settled Accommodation on Discharge', 'Employment on Discharge', 'Training/Education on Discharge' and 'HMIP Resettlement'
7. A more detailed list of measures, their drivers and domains can be seen in the PRS Specification Annex.

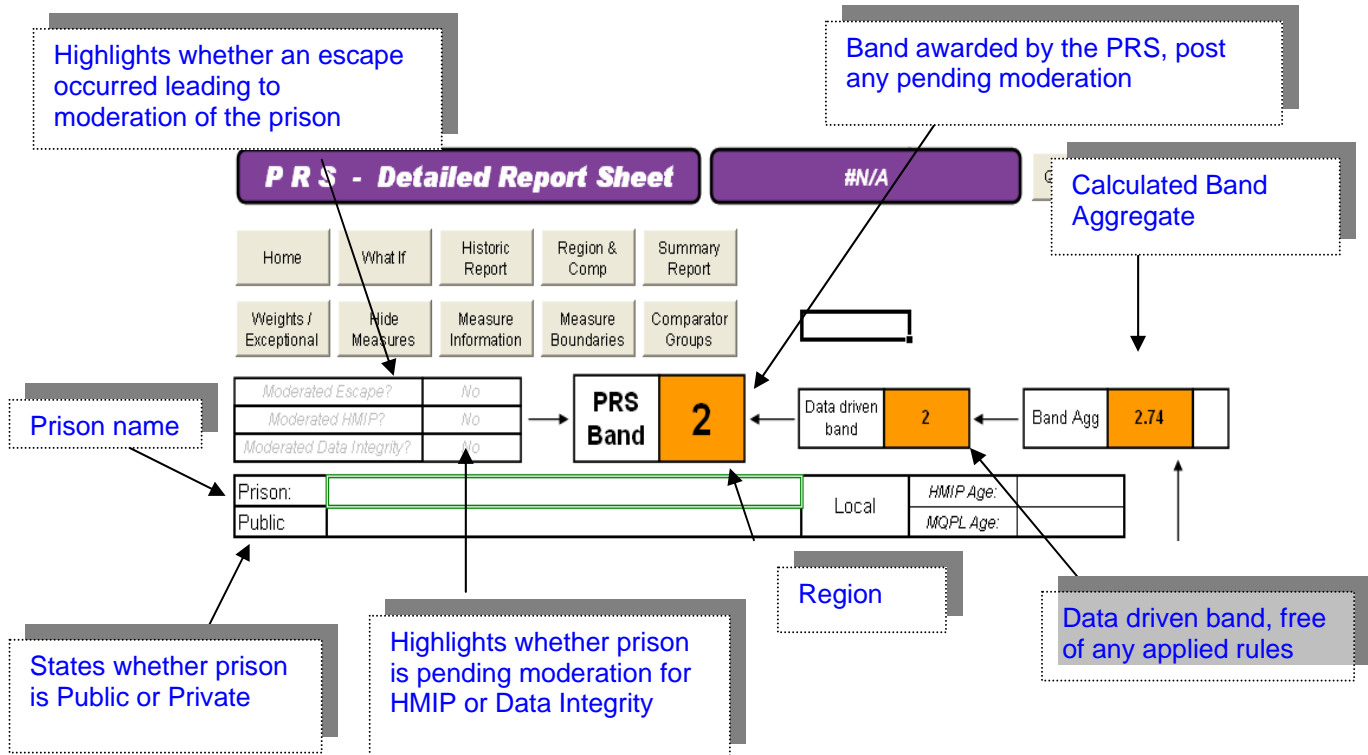
The PRS Model & Report Sheet

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1. The PRS model is built in Excel & uses underlying visual basic application (VBA) which performs calculations & runs functions. The measurers in the model are fed by approximately 83 separate data points.
2. The model calculates the performance for each measure, driver domain and an overall PRS *Band Agg*. The Band Agg is then mapped against one of the PRS Bands 1 – 4, aka the prison rating.
3. The PRS report sheet is a summary of each prison's performance and shows its overall rating band.
4. This note describes in more detail the various parts of the PRS report.

PRS Report Summary

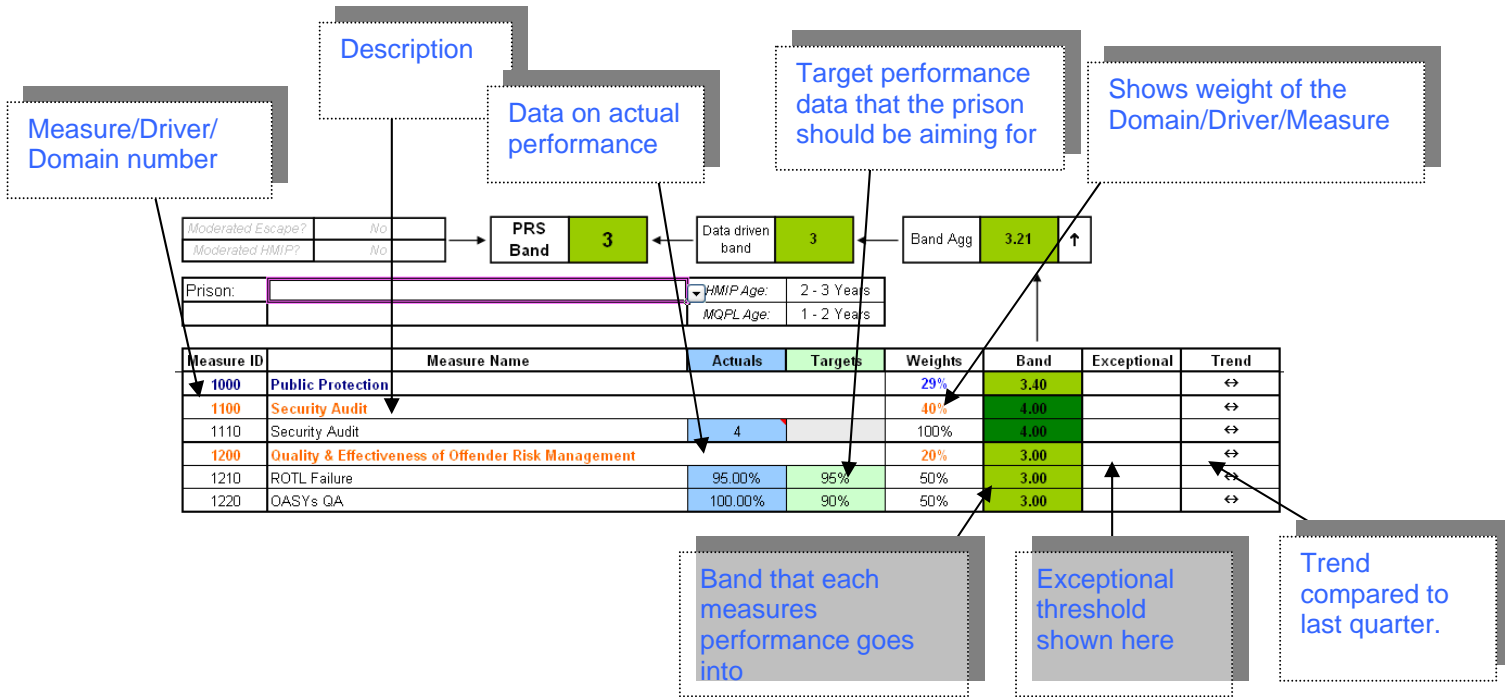
5. The top part of the PRS report sheet, which can be seen below, contains all the basic information regarding the prison. This includes it's Region, Comparator Group and whether the prison is public or private etc. It will also highlight whether the prison is pending automatic end-year moderation for an escape or HMIP.



6. The value in 'PRS Banding' can differ from that in 'Band Agg' if an escape has occurred. The prison's PRS band is then automatically downgraded by one.

Prison Performance

7. The report shows for each prison, how well each measure/driver and domain has performed against their respective targets.



8. The performance for all the 'measures' will determine what band they fall into.

9. Some prisons have additional information for which flags are assigned in the form of cell comments in the PRS report sheet.

10. These additional pieces of information are highlighted by a red triangle in the corner of a cell in the report sheet. By resting the mouse pointer over the cell the information will appear in a textbox as below.

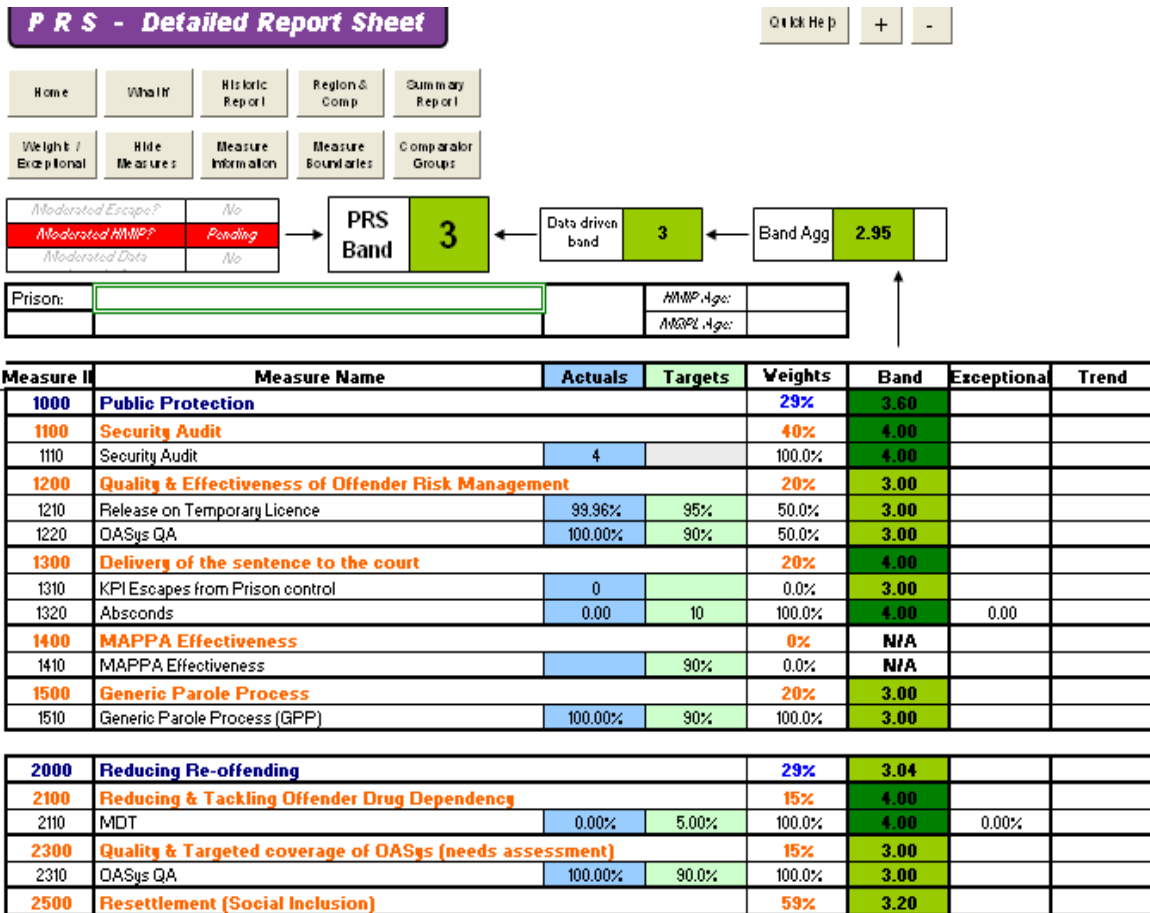
PRS 2014/15 Specification

Measure ID	Measure Name	Actuals	Targets	Weights	Band	Exceptional	Trend
3400	HMIP Safety				2.00		↔
3410	HMIP Safety	2.00			2.00		↔
3500	Availability & quality of offender regime				3.00		↔
3520	HMIP Purposeful	3.00		100%	3.00		↔
3600	Decent Conditions				3.00		↔
3620	MOPL Decency	3.00			3.00		↔
3700	Mental Health (Safer Custody)				3.00		↔
3710	Safer Custody	3.00		100%	3.00		↔
3800	Violence Management				3.00		↔
3810	Violence Management	2.00					↔
3900	Work in Prisons (D)				3.00		↔
3910	Hours Worked in Industry (D)	74.87%					↔
4000	Resource Management & Operational Effectiveness						↓
4400	Staff motivation and effective staff						↔
4410	Staff Sickness	8.97					↔

11. Additional measures, Self Inflicted Death and percentage of targets missed are also added to the report sheet. These measures are not included in the data-driven assessment.

Tier 2 Measures					
5410	SIDs	0		0%	3.00
5420	% of Missed Targets	20.00%		0%	N/A

12. The diagram below is a snap shot if a typical PRS report sheet.



13. Where targets have been met, the measure is in a green band. Where performance is close to the target the measure falls into an amber band and where performance is very low the measure falls into a red band.

Weights in the PRS

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1. PRS is based on a hierarchical methodology which distinguish *how* important each measure, driver and domain is within the model.
2. The importance of each item is also referred to as 'weights'.
3. They indicate the relative importance of each domain, driver and measure to the model overall and are applied at three different levels:
 - From Measure to Driver level
(*The sum of the Measure weightings equals the Driver weighting*)
 - From Driver to Domain level
(*The sum of the Driver weightings equals the Domain weighting*)
 - From Domain to Overall level
(*The sum of Domain weights is 100%*)
4. These weights are known as **global** weights as they show the relative importance of individual indicators to the model overall.
5. Actual weights applied in the model may vary for individual prisons where certain measures are not applicable.
6. In these cases the weights are redistributed amongst the other measures. This redistribution ensures that all drivers and measures aggregate to the Domain weighting whilst retaining the relative importance to each other.
7. For example, consider the Driver 4600 (Order & Control) which has a weight of 2.0. This Driver has two measures (Control & Restraint (C&R) Training and Tornado Commitment) which each carry 50% of the driver weight i.e. 1.0. If, for an individual prison C&R is not applicable then the measure weights are redistributed so that the Tornado measure now carries 100% of the driver weight i.e. 2.0.
8. Please refer to the PRS Specification Annex for full weight details.

Differential Weights according to Prison Type

9. Weights for the dispersal prisons differ in some instances in comparison to all other prisons. See PRS Specification Annex for full weighting details.

10. Work in Prisons

Three types of prison have been identified: 'Working Prisons', Locals and Others

Working Prisons: 5% in the Reducing Reoffending domain

2.5% in the Decency domain

Five prisons have been categorised as working prisons: Coldingley, Featherstone, Lindholme, Ranby and Wymott.

Local Prisons: a reduced overall weight of 2.5%, located in the Decency domain alone

Other Prisons: 5% overall (2.5% in Reducing Reoffending and 2.5% in Decency)

11. HMI Purposeful Activity

Working and Dispersal Prisons: 3.3%

Local Prisons: 2.5%

Other Prisons: 3%

HMIP and MPQL Weights

12. The results from HMIP inspections and MQPL are weighted in order to take into account the age of the assessment.

13. Figure 4 shows how the weights are adjusted:

Figure 4: HMIP/MQPL weighting

Band awarded	Age of result	Weight
1 – 4	<= 1 year	100%
3 – 4	>1 year	100%
1 – 2	2 years old	50%
1 – 2	3 years old	25%

14. If the result is less than a year old then it is of high importance and a full 100% weighting is applied.

15. If however, a band 1 or 2 was awarded and the result is more than 1 year old then it is assumed that the prison has had time to address the issue and the weightings are adjusted accordingly.

12. The main report shows the original result and indicates the age of the report. The weightings above are applied during the calculation of the driver band so that the result places less emphasis on the HMIP/MQPL score.

13. In Q3 2011/12 HMIP changed the methodology for Short Follow-up Inspections and new Weight Rules were introduced in PRS. HMIP ceased SFU's in April 2014 but the scores will continue to be included in PRS, and the rules apply, until they are made redundant by a new full inspection by HMIP.

14. SFU Scoring: 1 = Insufficient progress has been made or 2 = Sufficient progress has been made.

15. PRS Rules

- Poor original scores (1&2) and poor SFU scores (1): the *date* used for the age reduction in the weight will be the date of the SFU inspection. I.e. a prison will not benefit from age reduction based on the date of the initial full inspection. The weights applied to the original scores will be reduced as per Figure 4.
- Poor original scores (1&2) and good SFU Scores (2): no changes to the current age weighting process.
- Good original scores (3&4) and poor SFU (1): the weight on original score is reduced by 50% and then it increases time; 1 – 2 years 75% and older than 2 years 100%
- Good original scores (3&4) and good SFU Scores (2): no age reduction to weight

Additional Rules in the PRS

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1. Rules are used within the model to ensure prisons are assessed appropriately.
2. In the main, prison performance will be assessed against indicators with a target however in some circumstances an additional check will be made on the performance data.
3. Additional rules:
 - A prison with any domain rated as Level 1 or Level 2 (<2.75) cannot achieve a Level 4, exceptional performance rating overall even if band aggregate is above ≥ 3.25 . This rule came into effect for the Q4 2010/11, end of year performance ratings. *(Unchanged)*
 - If an escape occurs, the PRS report highlights that the final rating is pending moderation and it will automatically go forward for mandated moderation. To indicate this 'Escape Moderation?' Field is populated with 'Automatic'. The overall PRS Band will decrease by one band from the data driven score. *(Unchanged)*
 - If a prison scores two or more level 1s for HMIP measures (for clusters and split establishment ≤ 1.5 aggregated score) then the prison will automatically go forward for moderation, as for escapes. The main report will highlight that the final prison rating is pending moderation. *(Unchanged)*
 - If a prison has a sickness rating of 1 then even if the Band Aggregate is greater than or equal to 3.25 the overall band will drop from a 4 to a 3. *(Unchanged)*
 - Data Integrity, if the overall driver is a band 1 (less than 2.20) it equals automatic moderation at year end. *(New for 2014/15)*
 - If HMIP or MQPL measure which is more than 1 year old and scores poorly then a reduced weighting is applied. See the weighting section for more information.
4. Additional information is available in the report as 'flags' over the 'Actuals' cells such as dates of inspections and escapes, small sample sizes and other additional information. The following flags are shown in the model, where applicable:
 - Security & Safer custody Audit Dates
 - Date of the last Escape

- Settled Accommodation on Discharge, Employment on Discharge and Training / Education on Discharge, flags if the number of releases is less than a 100
- HMIP and MQPL: Shows the age of the reports and date of inspections.
- For HMIP it also flags SFU score, if applicable, and date of SFU
- Generic Parole Process: Shows number of expected GPP dossiers
- Violence Management: Shows the individual Violence and Management Ratings

Treating Prison Closures, Openings and Re Roles

New Prisons & Inclusion in PRS

1. Newly opened prisons are granted a six month 'bedding-in' period before inclusion in PRS. The prison will be included once a whole quarter's data is available, post the bedding-in period. The reporting period will commence from the first full month following the bedding-in period and any subsequent months.

2. For example: Prison X is operational from 15 April. The bedding-in period takes them to mid-October, partially into the Q3 period. The prison would therefore not be included in Q3 PRS, but would be included in Q4 when a whole quarter's data is available. The year-to-date data would commence from the 1st of November, the first month of a full set of data post the bedding in period.

Prison Closures in PRS

1. The Prison Rating System will exclude data for the final quarter before the date of closure. This will account for the period in which functions gradually reduce. Any operational data after this point will still need to be inputted on management systems but will not be included in PRS. This is consistent with prison openings where a six month bedding in period is permitted before inclusion in PRS during which data is collated on operational and management information systems.

Comparator Groups

2. Prisons due to close will be removed from dynamic comparator groups for other establishments following their final PRS report. Comparators for the prisons in question will continue until the point of closure.

Prison Re Roles

1. As opposed to last year, 13/14, when a re-role was treated as a closure and a new prison, re-roles will be managed through Notices of Change in 14/15.

2. It will be the Commissioner's responsibility and final decision whether to classify a change as a re-role or not.
3. In the case of a *significant* change the commissioner can grant bedding-in period between 3 and 6 months.

Moderation Process

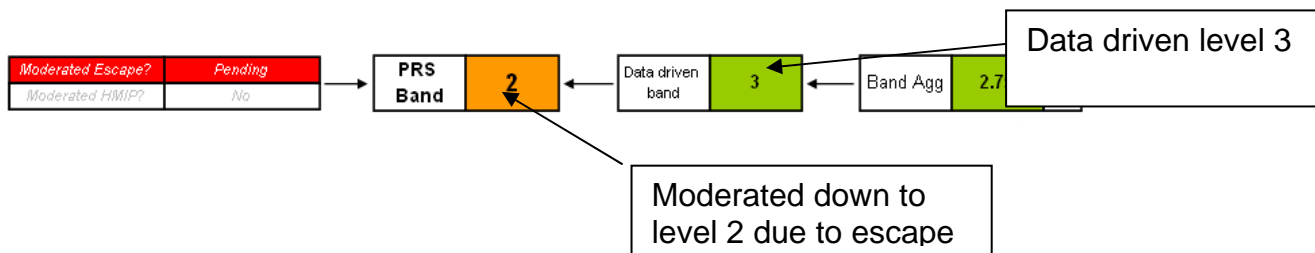
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What is Moderation?

1. Moderation is a process whereby there is an opportunity for the final prison rating, Q4, awarded to any given prison to be considered for amendment.
2. It enables additional evidence that cannot be accounted for in the PRS to be considered.
3. The NOMS Agency Board (NAB) including the three NOMS Non-Executive Directors, meets and discuss each moderation in July. The board makes a decision on each proposal supported by additional evidence, recommendations and views by directorates and commissioners.
4. The annual moderation process is published on the performance Hub in conjunction with Q4 Provisional PRS.

Moderation for an escape

4. If an escape occurs, the PRS report highlights that the final rating is pending moderation and it will automatically go forward for mandated moderation.
5. To indicate this 'Escape Moderation?' Field is populated with 'Automatic'.
6. The overall PRS Band will decrease by one band from the data driven score.
7. NAB at year end will make the decision, based on director and commissioning recommendations, as whether to lift the moderation or not for the current and subsequent year.



Moderation for HMIP

8. If a prison scores two or more level 1s for HMIP measures (for clusters and split establishment =< 1.5 aggregated score) then the prison will automatically go forward for moderation, as for escapes. The main report will highlight that the final prison rating is pending moderation.
9. A moderation form will be completed stating the director’s and commissioners recommendations and taking into consideration any changes in performance since the prison’s last inspection.

Moderation for Data Integrity Driver

10. If the overall driver equals a Band 1 for the Data Integrity Driver it equals automatic moderation at year end. The main report will highlight that the final prison rating is pending moderation.
11. A moderation form will be completed stating the director’s and commissioner’s recommendations as whether to moderate downwards or keep the data driven rating.

Determining Band Levels

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1. Each prison is awarded an overall band of between 1 and 4. This band is based on an overall aggregated band score for the prison (detailed in figure 5 below).

Figure 5: Level Description Table

Total Score	Level	Level Description
≥ 3.25	4	Exceptional Performance
≥ 2.75	3	Meeting the majority of targets
≥ 2.2	2	Overall performance is of concern
< 2.2	1	Overall performance is of serious concern

2. The overall aggregated score is calculated using a similar hierarchy to the weights, shown in PRS Specification Annex.
3. Performance for measures is assessed on a 4 point scale:
 - Level 1 – % of target achieved represents unacceptable performance
 - Level 2 – % of target achieved is less than 100%, but is a relatively near miss
 - Level 3 – Meeting Target (100% of target met)
 - Level 4 – Either
 - a. Meeting target and doing better than peers (comparative group) or national average
 - b. 4 point scales already exists i.e. HMIP and audits.
4. For details about individual measures and the level boundaries please see the PRS Specification Annex.

Dynamic Comparator Groups

5. Comparator groups are used in PRS when determining the exceptional performance ratings for certain measures, by allowing performance for one prison to be compared to a group of their peers. Previously, each prison was assigned to one comparator group, and these static groups were only updated following a significant re-role.
6. Each prison has its own individual group, based on its statistical relationship with other prisons, rather than being part of a fixed group. This

places individual prisons at the centre of their group rather than potentially at the edge.

7. Individual groups are based on the statistical distance between prisons based on a series of variables. These are:
 - Gender
 - Prison main function
 - Average population
 - Budget
 - Average prisoner age
 - Annual churn
 - Proportion of prisoners of each category
 - Proportion of prisoners in each sentence length band

Exceptional Performance (Level 4)

8. Where applicable, a level 4 for exceptional performance is achieved for measures where a level 3 has been awarded and the actual performance is within the top 25% of a prison's dynamic comparator group.
9. The relevant peer group can be comparator groups (detailed in the PRS Specification Annex), regional groups or national. See Annex for details of each measure where a level 4 is obtainable and the relevant peer group for that measure.
10. For most measures the 75th percentile of the relevant peer groups' actual performance data is calculated. A level 4 is then awarded to all prisons whose actual performance is greater than or equal to this percentile value.
11. The 75th percentile value is calculated for measures where a higher actual value indicates a better performance. For some measures, e.g. MDT, a lower actual value indicates better performance. In these cases the 25th percentile is calculated and a level 4 awarded to all prisons whose actual performance is less than or equal to this value.
12. For audits, a level 4 is achieved by a Green colour being awarded to the establishment.

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