



HM Prison &
Probation Service



**HM PRISON
SERVICE**

Public Sector Prisons

HMPPS Submission to the Prison Service Pay Review Body

HMPPS (England & Wales) Evidence

2021/22

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Introduction

Introduction

- a. This document sets out the evidence from Her Majesty's Prison and Probation Service (HMPPS) to the Prison Service Pay Review Body (Review Body) to inform the 2021/22 pay round. HMPPS is the agency responsible for prisons and probation in England and Wales. HMPPS is an Executive Agency of the Ministry of Justice (MoJ).
- b. In December 2020, the Chancellor of the Exchequer announced that due to the unprecedented impact of the COVID-19 pandemic, for the 2021/22 financial year there would be a temporary pause on public sector pay rises. This is to help protect public sector jobs and protect investment in public services. However, in order to protect those who need it most, those who earn the median earnings of £24k or less will receive an increase of at least £250 (over 1%), or an increase to the National Living Wage (NLW), if higher.
- c. Our evidence therefore outlines a limited set of proposals for the Review Body's consideration.
- d. We believe that our proposals offer maximum value for money; address the most critical need for structural reform; while balancing against departmental funding pressures and falling in line with the wider public sector pay pause.
- e. This year's proposals have been informed by our longer-term pay strategy, which is set out up front in this evidence. While what we can achieve this year is limited, it is important that we lay the foundations to what will be the most value for money, and best possible deal for staff as we look forward to economic recovery.

- f. The document provides a range of wider information to assist with the Review Body's work, including context on public sector pay policy, details of operational and policy changes and the financial position and strategic priorities of the MoJ and HMPPS.
- g. The document also provides information on key areas raised by the Review Body in its 2020/21 report. In some cases where projects and policies are in development, we have committed to providing further information at oral evidence.
- h. Following on from last year's evidence, our core workforce challenges remain to be attracting and retaining high performing staff into the Prison Service to work in challenging operational environments, as well as ensuring the safety and wellbeing of staff, who are key frontline workers in these unprecedented times.
- i. This document is comprised of three chapters:

Chapter 1: Pay Strategy

In this chapter we will seek to outline a forward-looking pay strategy for the medium-long term.

Chapter 2: Policy and operational context

This chapter will outline our key areas of investment for the coming year and beyond, as well as outline our policies on prison environment, prison workforce and allowances.

Chapter 3: Pay proposals

This chapter will set out our pay proposals for 2021/22 as well as provide details on our annual opt-in exercise to F&S.

The Remit Group

- j. The usual Review Body remit group comprises all Prison Governors, Operational Managers, Prison Officers and Operational Support Grades (OSGs) (in closed grades and in Fair & Sustainable (F&S)). However, the clear majority (c.95%) of non-operational / semi-operational staff (who are not within the National Probation Service (NPS) delivery arm of HMPPS) have their pay indirectly determined by the Review Body as a result of either:
- An historical equal pay settlement that links pay awards for closed grade Prison Officers to those for non-operational colleagues with similarly weighted roles, or
 - Common pay and grading structures (F&S or the closed managerial structures).
- k. As set out in further detail in Chapter 3, HMPPS has introduced a new Band 12 grade into the Fair & Sustainable (F&S) pay structure to accommodate the current cadre of Prison Group Directors (PGD) and a small ring-fenced number of senior operationally-focussed roles who will be transferring from the Senior Civil Service grading structure. This will conclude by 1 April 2021, and an opt-in exercise has already launched in advance of this. This change addresses “leapfrogging” of newly promoted staff over their more experienced colleagues.
- l. We are not seeking proposals from the Review Body for the 2021/22 pay round, however the new Band 12 will form part of the Review Body’s remit group going forward.
- m. Costs presented in this evidence submission are for HMPPS. HMPPS is responsible for adult offender management services in the community and custody, and for youth custody across England and Wales, within the framework set by the Government. HMPPS is an Executive Agency of the MoJ.

- n. The Agency currently manages Her Majesty's Prison Service (HMP), Youth Custody Service (YCS) and the National Probation Service (NPS). In addition, it oversees private sector provision for offenders, managing contracts for privately run prisons and youth custody facilities, prisoner escort services, Community Rehabilitation Companies (CRCs) and electronic monitoring services.
- o. HMP works to protect the public and reduce reoffending by delivering the sentences and orders of the courts by supporting rehabilitation and helping offenders to reform their lives, whilst ensuring best value for money from public resources.

Affordability

- p. The COVID-19 pandemic continues to bring significant disruption to the UK economy. The latest OBR forecasts suggest output is set to fall by 11.3% this year, which represents the largest annual fall since the Great Frost of 1709. Consequently, the UK is already amid the largest recession on record.
- q. The Government has taken monumental action this year to protect jobs in the unprecedented economic context which results from COVID-19. However, unemployment and redundancies across the private sector continue to rise.
- r. At this year's Spending Review, the Chancellor set out that in the interests of fairness, we must exercise restraint in future public sector pay awards as the Government assesses the impact of COVID-19 on the wider economy and labour market.
- s. As such, the Chancellor announced that pay rises in the public sector will be restrained and targeted in 2021/22: all headline increases for those across the public sector earning £24,000 or over, and excluding the NHS, will be paused for 2021/22. This reflects the significant disruption COVID-19 is causing across the wider economy, including its impact on private sector employment, disruption to wages, and uncertainty in the outlook as we move into 2021.

- t. In order to protect those who need it most, those earning less than a £24,000 basic wage on a full-time equivalent basis will receive a minimum £250 uplift.
- u. The pause in public sector uplifts excluding the NHS and those earning less than £24,000 will allow government to protect public sector jobs and invest in public services to respond to COVID-19. This policy also ensures that any further expansion of the gap between public and private sector pay is minimised, ahead of revisiting pay policy once the economic recovery is established and the outlook more certain. HM Treasury's economic evidence¹ sets out the economic and fiscal background to the policy in further detail.
- v. In the context of this pay pause, the remit of pay review bodies across government is limited. We expect that the incredibly challenging economic and fiscal position is recognised for 2021/22 and the pay pause is met both in reality and in spirit.
- w. Given the context of the wider economic and fiscal position, the departmental funding position is equally challenging.
- x. The MoJ has agreed a funding settlement for 2021/22 that is a real-terms increase on the 2020/21 Main Estimate. However, this reflects the breadth of challenges faced and additional investment is already stretched across top funding priorities. We are investing an additional £275m to ensure that the justice system is resourced to meet additional demand as a result of 20,000 additional police officers, and to reduce backlogs in the Crown Court caused by COVID-19. We are also investing significant capital funding in prisons to carry out critical maintenance works and improve the condition of the estate. In such a challenging environment, maintaining careful control of spending will remain fundamental to managing several serious issues across the justice system.

¹ <https://www.gov.uk/government/publications/hmt-economic-evidence-to-review-bodies-2020>

- y. There has been a significant investment in staff over the course of 2020/21 to manage resourcing pressures during the pandemic. As prisons moved into the winter phase of COVID-19 and the lockdown instigated in December 2020, a longer-term approach has been adopted. This involves a change to the Payment Plus scheme having been agreed enabling it to cover COVID-19 absences and additional work caused by COVID-19, and a revised bonus scheme available for additional hours worked by Bands 2 to 5.
- z. HMPPS has also spent additional funding on non-pay interventions: most notably, PPE (medical grade and non-medical grade); PIN credits to offenders so they can maintain contact with family & friends; and additional daily food packs for offenders, all of which continue to require significant investment.
- aa. Our proposals for this year are estimated to cost £24.1m (including employer National Insurance and pension costs (on-costs)). This includes the £250 increase for lower paid staff and progression pay for both Officer and Manager grades.
- bb. We consider our proposals this year to offer maximum value for money while balancing against departments funding pressures and falling in line with wider public sector pay pause.
- cc. Through the strategic planning exercise, the Department has considered these proposals a priority for funding despite considerable financial pressures. Given the importance in investing in our leadership and staff during such a challenging time, the Department considers this is a worthwhile risk to take.
- dd. However, any recommendations which are assessed by the Department to cost above this would be unaffordable and create significant pressure on the departmental budget. The challenging economic backdrop means that the scope to reprioritise funding and resource from elsewhere is limited – having already done so to fund the proposals in this evidence. This would involve challenging decisions and would bare significant risks on the criminal justice system – which would inevitably become felt by the Prison Service itself. Chapter 2, Prison Environment, sets out the planned agenda for prison safety and security investment, an example of an area from which funding may need



to be reprioritised in the event of unexpected pressures on budgets from pay recommendations.

- ee. We therefore ask the Review Body when developing its recommendations not only to be acutely aware of the unprecedented economic and fiscal context which surrounds the pay round for 2021/22, but to be mindful of the unprecedented pressure this brings for the criminal justice system. As such, we ask the Review Body to develop recommendations that are fair and appropriate, are within the remit of the pay pause for prison pay in 2021/22, and which allow us to best maintain safety and security in the operation of prisons.

1: Pay Strategy

- 1.1 The approach to Prison Service pay over recent years has been underpinned by a short-medium term strategy. That approach has been right in the context of the Department's and wider Government's financial arrangements; however, we recognise the limitations this has for achieving a sustainable, robust and forward-looking approach to pay.
- 1.2 The financial and wider economic context this year is ever more uncertain, and the Government has opted for a one-year spending review for 2021/22, alongside a pause for pay increases for staff earning above a £24,000 per annum threshold. While this gives us very limited opportunity to progress our medium-longer term pay strategy this year, it is still important to articulate what this might look like.
- 1.3 Our future reward strategy should be observed within the context of the wider HMPPS business strategy², published in 2019. The strategy shapes the future for HMPPS, setting out how the organisation will work together to protect the public and help people lead law abiding and positive lives. It is centred on following our four principles:
- Enabling people to be their best
 - Building an open, learning culture
 - Transforming through partnerships
 - Modernising estates and technology.
- 1.4 As set out in last year's evidence, pay and reward serves as an enabler to achieving the above, hence the pay strategy is critical for delivering the wider organisational objectives.

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https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/864681/hmppps_business_strategy_shaping_our_future.pdf

- 1.5 The pay strategy is comprised of:
- Upgrading the Fair and Sustainable pay structure
 - Recruitment and Retention
 - Enabling a modern and flexible employer.
- 1.6 Uncertainties in departmental affordability; wider economy; and the labour market mean the specific duration of this strategy is unclear. However, at this stage, we consider this as the medium-long term strategy which will guide prison pay for the coming years, and we seek to achieve its ambitions as soon as we reasonably can.

Upgrading the Fair and Sustainable pay structure

- 1.7 In 2012, HMPPS delivered a programme of workforce reform through the introduction of modernised 'Fair and Sustainable' (F&S) terms and conditions. The market-facing F&S structure is the preferred pay model for staff in the Prison Service, and is comprised of three main elements:
- A modernised grading and pay band structure, reducing 43 different grades and pay scales and multiple separate allowances across different staff groups into a common, 11-Band structure.
 - A single Job Evaluation Scheme to determine the relative job weight of all roles across the 11-Band structure, mitigating a significant equal pay risk.
 - Significant pay reform for Prison Officers, introducing market facing pay scales for new entrants with existing Officers able to protect their pay within closed grades. This would reduce long-term pay costs, whilst enabling the public sector to remain competitive with the private sector.
- 1.8 Investing in our F&S pay structure has been a core feature of HMPPS' proposals to the Review Body over recent years. However, when considering the F&S structure, a longer-term vision is required in order to develop a pay structure which works for all and remains resilient.

- 1.9 In the short to medium term, we have some immediate challenges that need to be addressed. The pay ranges, particularly at the lower end of the scale are structured in such a way that, when existing policies around staff movement (promotions, etc.) are applied, there are insufficient financial incentives and unintended consequences, such as overlaps and leapfrogging - the cause of dissatisfaction and low morale among affected staff and impeding on recruitment into Bands 4, 5 and above. Structural reform is also likely to have a focus on targeting starting pay at entry levels. Addressing these structural issues is likely to form a key component of future pay proposals when affordability and other material considerations permit.
- 1.10 As explained further in Chapter 2, Prison Workforce, we have completed a comprehensive review of the Job Evaluation Scheme and will be implementing amendments to the scheme to make sure that it remains fit for purpose and implemented consistently and effectively.
- 1.11 In the longer term, we want to achieve a clear, modernised and coherent pay structure across all grades, where there is sufficient headroom between the pay bands to incentivise progression through the pay scale. F&S as a market facing approach to pay must take into account the rates of pay in the labour market that the Prison Service operates – and this will form part of the strategy alongside affordability and an evidence-based approach to understanding what drives recruitment and retention.

Recruitment and Retention

- 1.12 The Prison Service will need to recruit a significant number of additional staff in the coming years, in order to meet the increased demand which is already being recognised on the Criminal Justice System. This includes downstream pressure resulting from the Government's commitment to recruit an extra 20,000 police officers and the need to respond to change as a result of COVID-19.
- 1.13 An additional 18,000 prison places have already been planned and increasing prison capacity even further is also being considered, as the Government

assesses new and continual pressures that result from COVID-19, and to accommodate the additional demand under the measures outlined in the Sentencing White Paper, 'A Smarter Approach to Sentencing', published in September 2020.

- 1.14 While some of these places will be provided by the private sector, the public sector plays a considerable role in meeting the forecasted demand. Not only will we be competing in the same marketplace for similar roles, we are also likely to see public sector staff incentivised to join the private sector.
- 1.15 Although the changing labour market certainly changes the status of Prison Officer pay compared to the private sector, comparability of the offer to key public sector employers will remain an issue. Not only does this pose a real challenge for recruiting into the Service, but also for retaining new and existing Officers.
- 1.16 We have seen a positive improvement in retention over recent months, and attrition trends are being closely monitored. The increased uncertainty in the employment market following COVID-19 has most likely been one of the primary factors for the drop in the number of resignations in recent months, thus impacting on the reduced leaving rates seen in the latest quarter across most main grades, not just Prison Officers.
- 1.17 Although we have accelerated recruitment activity and have seen some success, recruitment remains challenging in a number of locations, which is why we are continuing to target investment using Market Supplements.
- 1.18 It is vital that we are able to retain Officers, into whom we have invested significant resource during recruitment, onboarding and training. A high turnover of staff and high numbers of less experienced staff poses serious threats to the stability of an establishment and the ability to run a full regime that delivers effective rehabilitative activities.
- 1.19 It is important to recognise that pay is not the only factor in poor retention, and that an uplift of pay in isolation is expensive and will only yield limited results. Our pay strategy must therefore strike the right balance between investing in

pay and investing in other initiatives which are critical to the retention of prison staff – such as maintaining the estate; safety and security; professionalisation; leadership; and staff wellbeing. It will adopt an evidence-based approach to recruitment and retention, informed by data from new and existing sources.

1.20 In order to recruit and retain an appropriately qualified workforce, on which the safe and secure running of prisons is wholly reliant, the longer-term pay strategy aims to:

- Support the recruitment of staff required to meet the increasing demand of the expanding prison estate by maintaining a competitive salary;
- Recognise the local and regional discrepancies in our ability to recruit and retain Officers; and uphold a targeted approach to address these;
- Better understand and respond to the reasons behind poor retention, adopting an evidence-based approach to retention, and recognise the value of experienced staff;
- Understand and adapt to wider changes in the labour market, particularly the impact of COVID-19.

HMPPS as a modern and flexible employer

1.21 Being a flexible and modern employer is a key aspiration. This is reflected in HMPPS' 2019 business strategy.

1.22 There are a number of issues currently at play which limit HMPPS from achieving the desired flexibility and modernisation. This includes restrictive and outdated technology, terms and conditions that do not reflect a modern employer; rigid shift patterns that were introduced in 1987 and remain unchanged; and inflexible rostering, which we recognise fails to reflect the diverse and current day needs of the workforce. Because of this, we may appear a less attractive employer to a more flexible competitor, and our position in the labour market is therefore limited, especially in offering family friendly working arrangements to our staff working in prisons.

- 1.23 Inflexibility in the operation of prisons also acts as a barrier to attaining maximum efficiency from the prison workforce. Achieving greater flexibility for our workforce will offer greater value for money, minimising financial and resource pressure elsewhere and should have a positive impact on staff sickness levels, general staff health and wellbeing and improve staff retention levels.
- 1.24 Improving flexibility and modernisation across the workforce is being driven forward by a number of reforms currently under consideration. A new prison Reform programme is in the process of being scoped and established that should help address some of the issues we face and open up potential opportunities for future workforce reforms. Alongside this, the rollout of digital prisons will continue and a broader technology refresh within HMPPS should open up greater opportunities to utilise the digital enhancements and support more flexible working arrangements. We will be engaging with recognised trade unions to help inform this programme of work and would welcome collaboration in driving forward this positive change.
- 1.25 These reforms are not directly about pay, and as such will not be for consideration of the Review Body. However, the intrinsic links between pay and working terms, conditions and our ability to recruit and retain staff means that the longer-term vision for pay needs to be reflective of the modern and flexible employer.
- 1.26 The pay strategy therefore aims to:
- Enable modernising working conditions to support better and more efficient deployment of staff;
 - Facilitate a more flexible working offer for staff, to support a more diverse workforce.

Closing the pay gap between the two-tier workforce

- 1.27 Since the introduction of F&S in 2012, the ambition has been to target investment for F&S staff in annual pay rounds over a 15-year period until the point that salaries in F&S are equivalent to closed grades. While public sector

pay restraint, coupled more recently with non-targeted pay awards over previous years has limited progress, HMPPS have continued to ask the Review Body to consider the disparity in pay between the modernised terms, and the former closed grade system. This is because the two-tiered system impacts staff morale and carries an equal pay risk, which remains while there is a pay differential between the two groups.

- 1.28 We accept that the Review Body's third recommendation in its 2020/21 report would have closed this gap significantly. However, in light of the exceptional affordability challenges associated with implementing this increase in last year's pay award it was not possible. Furthermore, the wider economic climate, and consequential policy on public sector pay policy set by HM Treasury for the 2021/22 pay round means that for this year, no substantial steps to close the gap between the two-tiered system can be made.
- 1.29 It is also the case that the nature of the challenge is evolving as the size of the closed grade staff group decreases due to staff changing roles or leaving the Service. HMPPS will therefore monitor the challenges associated with the two-tier workforce closely to ensure the most informed and proportionate response.
- 1.30 While these challenges remain as they are, closing the gap between the two systems will continue to underpin HMPPS' prison pay strategy and we will explore affordable approaches to achieve this.

2: Policy and operational context

- 2.1 HMPPS' budget is subject to many competing pressures, and even more so as we respond to the COVID-19 pandemic. In this chapter we seek to set out the current state of play and outline our key priorities for investment for the coming year and beyond, which will help us meet our commitments in providing safe, decent and secure prisons.
- 2.2 Prisons need to be and feel safe for both staff and prisoners. Violent incidents are the most obvious issue, but this is also about wider culture and atmosphere of the prison and the support it provides to vulnerable prisoners and the staff who enable this.
- 2.3 Our policies are designed to protect and benefit our staff, as well as allowing us to provide the required duty of care to our prison service users.
- 2.4 In this chapter we will consider:
- COVID-19 in prisons
 - Prison environment; Safety and Security; Improving Technology; and Prison Performance
 - Prison workforce; staff wellbeing; professionalisation and leadership; performance management; recruitment and retention; and diversity and inclusion
 - The outcomes of Operational Managers Workload Assessment Project (WLAP) and the Job Evaluation Scheme (JES) Review.

COVID-19

Managing the spread of the Virus

- 2.5 The impacts of COVID-19 have been felt in every aspect of life, across the justice system and beyond.
- 2.6 Since the start of the COVID-19 pandemic, there has been keen public and Parliamentary interest in how the MoJ and HMPPS are managing the running of prisons and the probation system to limit the spread of the virus while maintaining the core functions of these vital parts of the justice system.
- 2.7 The core tenet of HMPPS' COVID-19 prison strategy, building on Public Health England (PHE) and Public Health Wales (PHW) advice and learning developed in managing an early outbreak of the virus, is the implementation of effective isolation, reverse cohorting of new entrants to custody, and shielding of vulnerable prisoners. In addition, HMPPS has reduced the movement of prisoners and staff between prisons to prevent the “seeding and feeding” of infection and has restricted regimes to prevent social contact in custody.
- 2.8 We have also rolled out a comprehensive testing regime, including regular weekly testing of staff, and testing of prisoners on reception and transfer between establishments. This is now in place at all prisons and is helping to reduce the number and severity of outbreaks by identifying cases early. We are now expanding the use of quick result LFD testing across the estate for both staff and prisoners.
- 2.9 Whilst every death is a tragedy, thanks to the hard work of our prison staff, and the measures put in place to control infection in the estate, we have kept the number of deaths far below the worst case scenario modelled by PHE at the start of the pandemic.
- 2.10 At the time of writing, we are coming out of the most challenging period of this pandemic so far in both prisons and the wider community. In response to increasing levels of infection in the community, and the new challenge posed

by the increased transmissibility of the new variant, we took the precautionary measure of moving all adult prisons to Stage 4 of the National Framework. Stage 4 regimes have been specifically designed on Public Health England (PHE) advice to reduce physical contact to a minimum, and for the **primary objective of preserving life**. This is important for the safety of both staff and service users.

- 2.11 Our National Framework, which sets out in detail how we will take decisions about easing coronavirus-related restrictions in prisons, was published on GOV.UK on 2 June³.
- 2.12 This roadmap for easing restrictions in prisons has been guided by public health advice alongside an operational assessment of what can be achieved in custodial settings while keeping staff and those in our care safe. Not all establishments will move at the same pace. Prisons must demonstrate readiness and gain agreement from local health authorities, before easing restrictions.
- 2.13 Decisions to ease restrictions will be based on three core objectives:
- **Preservation of life:** to continue to protect our staff, the public, and those in our care by minimising deaths and hospitalisations, ensuring continued access to healthcare, and protecting the NHS from explosive outbreaks.
 - **Maintain security, stability and safety:** to ensure the ongoing stability and safety of the estate, including risks of disorder, self-harm, and sufficient staff confidence to deliver regimes and rehabilitative activities as intended.
 - **Providing sufficient capacity:** to ensure that we have enough space to receive from the courts and sufficient capacity to meet overall demand, as well as sufficient staffing and resources to run establishments.

³ <https://www.gov.uk/government/publications/covid-19-national-framework-for-prison-regimes-and-services>

- 2.14 These temporary restrictions are about getting ahead of the virus, and preventing explosive outbreaks, loss of life and hospitalisations and pressure on the NHS.

Maintaining a quality regime

- 2.15 We continue to endeavour to offer prison residents as much purposeful regime activity as is safely possible, including both in-cell, and out-of-cell, activity as well as basic elements such as access to showers and outdoor exercise. From wave one, we have learned that facilitating a quality regime and ensuring time is productive, including through offering in-cell activity, is more important than simply seeking to maximise time out-of-cell. This is why we are now starting to monitor all aspects of delivery to ensure that a safe, but purposeful, regime is operating in all establishments.
- 2.16 In line with this, we are delivering more in-cell activity and are continuing to improve our offer to support prison residents during this period. For example, distraction packs, supplementary food packs and additional educational materials have been provided. As we increase our digital offering, including further expanding the availability of iPads and laptops, more and more productive time can be offered in-cell.
- 2.17 We have taken a more innovative approach to education during the pandemic with more 'blended learning' which includes telephone tutorials, small groups working with mentors, interactive technology such as the Coracle laptops which are pre-loaded with educational software and initiatives such as 'Way to Learn' which utilises in-cell TV.
- 2.18 We have also put more resources into ensuring that video calling is offered to more residents – a system has now been rolled out nationally – supporting prisoner wellbeing. Other regime interventions to support prisoner wellbeing include funding interventions to expand family contact (e.g. through increased pin credit allowance) and ensuring greater mental health and physical health support (e.g. through the expansion of the provision of food packs).

- 2.19 We have also reflected lessons learned from the March 2020 lockdown: welfare checks and key work which are continuing under more restricted regimes in the adult estate and maintaining out-of-cell education in YCS reflecting the lower risk to the YCS population. It remains our intention to restart fuller Stage 3 Regimes as soon as it is safe to do so.
- 2.20 Compliance and resilience are improved when people feel they are fairly treated and well-informed – therefore communication and consultation will continue to be a focus.
- 2.21 We are committed to increasing staff and residents' resilience by creating opportunities for the prison community to help each other, for example – fund raising efforts and buddy schemes to help the vulnerable.

Managing resource and staffing

- 2.22 The coronavirus pandemic has had an unprecedented impact on prison staffing and resourcing. We have been targeting and pacing out interventions that have allowed us to respond as the pandemic has evolved, supporting areas most in need. Locally, we have planned preventative measures and contingency plans to be COVID-secure and to respond to short-term staffing deficits due to the impact of outbreaks and Track and Trace causing staff to self-isolate.
- 2.23 To ensure that establishments facing the greatest challenges get the most support, we have used targeted overtime and mutual aid across prisons. Throughout the pandemic's first wave, this involved a COVID-19 bonus scheme, and additional bed watch payments to manage immediate and emerging pressures. On top of this, we introduced a £150 special circumstances payment for prisoner facing staff who were facing the daily challenges and additional risk of working with prisoners who may or may not be symptomatic, and a £1,500 bonus for recognising additional hours worked by Operational Managers for the first 3 months of the year. Staff were also able to buy back some of their annual leave days if they wanted to.

- 2.24 As prisons moved into the winter phase of COVID and the lockdown instigated in December 2020 a longer-term approach has been adopted. This involved a change to the Payment Plus scheme having been agreed enabling it to cover COVID absences (not just vacancies) and additional work caused by COVID, and a revised incentive scheme available for additional hours worked by Bands 2 to 5 to support acute, short-term staffing shortages at specific sites.
- 2.25 Between March and June 2020 recruitment and training was suspended while we implemented COVID-19 secure practices in response to Government guidelines on social distancing and non-essential travel. This created a significant gap in our pipeline of new Officers along with levels of pre-COVID vacancies, and attrition naturally anticipated in the months ahead.
- 2.26 Since the end of August, we have accelerated recruitment campaigns and implemented a popular fast-track scheme for our Operational Support Grades (OSG) to become Prison Officers. In November 2020, we launched 'live' online assessment centres to mitigate the COVID risk of attending face-to-face assessment centres, which has also allowed us to increase the capacity of our recruitment pipeline as we have no longer been constrained by physical building space and availability due to government restrictions. We invited former staff to return to work on temporary contracts and took active steps to enable more operationally qualified staff in HQ and non-operational roles to return to prisons and probation to support the continuity of service.
- 2.27 Naturally, the speed at which prisons were forced to adapt to COVID-19 from March onwards, and the resources that were invested into this shift in primary focus has meant that other training initiatives and projects have been delayed. For example, the national launch of the Prison Officer Entry Level Training (POELT) apprenticeship which had been planned for May 2020, is now scheduled for 2021. Social distancing measures required for the classroom learning associated with the apprenticeship requires smaller class sizes, and therefore more trainers. This is very difficult to reconcile with the increased challenges in staffing prisons this year, as a result of COVID-19 illness, or exposure and subsequent self-isolation.

Deaths from COVID-19

- 2.28 Despite best efforts to minimise the spread of the virus, there have tragically been instances of COVID-19 illness and related deaths.
- 2.29 From March 2020 to the end of January 2021, 86 prisoners have died having tested positive for COVID-19 or where there was a clinical assessment that COVID-19 was a contributory factor in their deaths. 27 deaths occurred before July 2020 and 59 deaths have occurred since September 2020.
- 2.30 Of the 86 prisoner deaths, 64 are suspected or confirmed to be due to COVID-19. The remaining 22 deaths are believed to be due to other causes, although the individuals had tested positive for COVID-19.
- 2.31 From March to the end of January 2021, 36 staff working in prisons and probation have tragically died after having tested positive for COVID-19 or where there was a clinical assessment that COVID-19 was a contributory factor in their death. This includes all staff across public and private sector prisons and probation and includes both directly and non-directly employed staff.
- 2.32 As at the end of January 2021, a total of 12,184 staff working in public and private sector prisons and probation had tested positive for COVID-19 since the start of the pandemic, including both directly and non-directly employed staff across prisons, probation and HQ.
- 2.33 The latest HMPPS COVID-19 service user figures are published monthly on the MoJ website via the following link:
www.gov.uk/government/collections/hm-prison-and-probation-service-covid-19-statistics-monthly
- 2.34 As at the end of January 2021:
- **10,354** prisoners or children have tested positive for COVID-19 since the start of the pandemic, across **126** establishments, almost all of whom were adults.

- The number of new confirmed cases has increased by **4,227** since December 2020.
 - **107** establishments had prisoners or children testing positive in January 2021.
- 2.35 The latest HMPPS COVID-19 staff figures are published quarterly and can be found at the following link:
www.gov.uk/government/collections/national-offender-management-service-workforce-statistics
- 2.36 Every death is a tragedy. However, as in the COVID-19 pandemic's first wave, our ongoing interventions continue to be successful in ensuring that deaths and hospitalisations are well below the reasonable worst case scenario modelled by PHE.
- 2.37 Prison staff have continued to ensure the effective running of jails and this has been helped by an increase in staff testing, including mass testing in some establishments.

Prison environment

Safety and Security statistics

2.38 It should be noted that statistics for the 12 months to June / September relate to the exceptional period since the start of the COVID-19 pandemic and the restricted regimes prisons put in place in order to safely manage the risks of infection during the pandemic. This affects the comparability of the statistics with earlier periods, and the longer-term impacts of increased isolation may not be apparent in these statistics.

- **Deaths in custody:** In the 12 months to December 2020, there were 318 deaths in prison custody, an increase of 8% from 300 deaths the previous 12 months.
- **Self-harm:** In the 12 months to September 2020, there were 58,870 self-harm incidents, down 5% from the previous 12 months, comprising a 7% decrease in male establishments and an 8% increase in female establishments. In the most recent quarter, there were 14,167 self-harm incidents, up 9% on the previous quarter, comprising a 5% increase in male establishments and a 24% increase in female establishments.
- **Assaults:** There were 24,407 assault incidents in the 12 months to September 2020, down 27% from the 12 months to September 2019. In the most recent quarter, assaults increased by 9% to 4,956 incidents.
- **Assaults on staff:** There were 8,476 assaults on staff in the 12 months to September 2020, down 16% from the previous 12 months. In the latest quarter, the number of assaults remained steady at 1,897 incidents.
- **Serious assaults:** In the 12 months to September 2020, there were 2,734 serious assault incidents, a decrease of 30% from the previous 12 months. Serious prisoner-on-prisoner assaults decreased by 34% to 1,958 in the 12 months to September 2020. Serious assaults on staff also decreased, by 15% to 823.

Prison Safety

- 2.39 Activity over the last 12 months has been shaped by the regime restrictions introduced in response to the COVID-19 pandemic and the new and different risks to safety they bring, including the risks of isolation and the impact that it has on mental health and wellbeing.
- 2.40 The COVID-19 pandemic caused enormous disruption in the prison estate, with an increased need for prison staff to support the change in approach needed in prison. This required the redeployment of 40% of staff from the Prison Safety Programme to operational roles within prisons.
- 2.41 The loss of resource coupled with the lockdown of prisons meant that a significant proportion of the prison safety projects were paused, initially for 3 months, while prison safety team activity was focussed on supporting operational running of prisons during lockdown.
- 2.42 The Prison Safety Programme Team redesigned the programme from October 2020 as an Interim Safety Programme for the next 12 months. This will build in sufficient flex to allow quick change to respond to any future COVID-19 impacts.
- 2.43 Learning work conducted during COVID-19 to identify the impact on safety will be carried forward in our Supporting Effective Delivery workstream. Additionally, a pilot and evaluation of a postvention project (which will be largely delivered by the Samaritans) is ongoing. Work on digital and innovations on safety during the COVID-19 pandemic will be taken forward through various workstreams.
- 2.44 Throughout the pandemic, we are continuing work to invest £100m to tackle all crime in prison that was announced in August 2019, including drug related violence. We have also continued our close partnership with the Samaritans by awarding a grant of £500k each year that supports the excellent Listeners Scheme. We are also working with them to design an additional support service for prisons in the period following a self-inflicted death, with an initial

grant funding of £240k from July 2018 – March 2020 for its development, and an additional £50k funding to continue its rollout in 2020/21.

- 2.45 It is vital that sufficient funding remains in place in order to implement the safety initiatives set out below – both for the safety and wellbeing of prisoners and of prison staff. We know feeling safe and able to carry out core duties at work safely is an important factor in the retention of staff, particularly for new staff who may be faced with new challenges. We know that the ability to carry out their duties safely leads to better overall performance and outcomes for prisoners. It is important that prison pay is considered in that context, and that recommendations for pay are well balanced against competing pressures.

Offender Management in Custody (OMiC) and key work

- 2.46 The OMiC arrangements include the delivery of key work to all prisoners in the adult closed male estate. Key work was suspended in March 2020 as extensive restrictions were introduced to manage the impact of COVID-19 in prisons. By the end of April 2020, many prisons had had a significant fall in staff absence rates, and it was considered appropriate to develop guidance for an adapted delivery model for key work that adhered to Stage 4 (lockdown) restricted regimes that were being delivered. Additional guidance has also been published regarding delivery of key work at the Stage 3 regime, with the aim of increasing delivery where possible and moving beyond carrying out wellbeing checks.
- 2.47 Since the onset of the pandemic, the majority of prisons have been operating at regime Stage 4 or regime Stage 3. Many establishments have been carrying out wellbeing checks as a minimum and some establishments – where resourcing and risk assessments allowed – had commenced the delivery of key work.
- 2.48 The recent announcement of another period of lockdown has resulted in all prisons returning to a Stage 4 regime. We recognise that heavier regime restrictions can have an impact on the mental and physical wellbeing of prisoners in our custody. Establishments have been asked to focus particularly on providing enhanced wellbeing support to safeguard the mental

and physical wellbeing of prisoners who will be confined to cells for longer periods.

- 2.49 Moving forward, the recovery of key work delivery will be a priority. HMPPS Regional Senior Leadership Forums have been established in all regions to support the ongoing delivery of OMiC at a local level working with the national project team. This will continue to be a priority over the next 12 months. Support packages are being developed and will be delivered to support the recovery and embedding of case management across establishments.
- 2.50 Implementation of OMiC in the open male prisons and in the women's estate started in November 2020 with expected go-live dates of 31 March and 30 April 2021 respectively.
- 2.51 National Co-ordination Groups have been established to manage the operational implementation in prisons and there will be a focus on communications and engagement from early 2021. HMPPS Regional Senior Leadership Forums will provide governance and support at a local level.

PAVA and physical safety

- 2.52 As part of the exceptional arrangements put in place in order to support the safety of staff and those in our care during COVID-19, the provision of PAVA (a synthetic pepper spray) was extended to include all adult male closed prisons, to staff that had been trained in both PAVA and SPEAR (Spontaneous Protection Enabling Accelerated Response) personal safety training. The position on exceptional deployment has been reviewed as part of the recovery plan. These arrangements will remain in place for the current time and will be reviewed regularly. Additionally, all prisons who had not previously been through readiness assessments have now had their assessment and those prisons who had commenced training prior to the introduction of lockdown measures will be prioritised to recommence training as early as possible. We aim to complete the rollout of PAVA throughout 2021/22.

- 2.53 We continue to support the effective use of the 6,000 Body Worn Video Cameras across the estate. In recognition of the value these bring we are now commencing work to explore new technology and their practical application, whilst continuing to embed the training provided to staff to promote rehabilitative conversations. This provides staff with skills and equipment to deal with challenging situations in a fair and just way. The cameras will also provide high-quality evidence to support prosecutions.

Challenge, Support and Intervention Plan (CSIP)

- 2.54 CSIP is the national case management model for those who pose a raised risk of harming others through violent behaviour. CSIP was mandated for use across the adult estate through a three-staged approach from November 2018. It can be used proactively as well as reactively. Following a pause of the safety programme work, work on CSIP has now restarted, and we are working with Group Safety Leads to establish where prisons are at with CSIP implementation so that the right support can be provided to those prisons that need it. All staff have a role to play in implementing CSIP – this ranges from making referrals to CSIP, case managing and supporting individuals through the CSIP process.
- 2.55 Throughout 2021, we will undertake activities and provide tools to support establishments embedding CSIP as well as providing operational support to establishments via Single Points of Contact (SPOCs). By the end of 2021, depending on the circumstances and impact of COVID-19, we expect all prisons to go through a sign off process to certify that they are using CSIP effectively.

Assessment, Care in Custody and Teamwork (ACCT)

- 2.56 ACCT is the national case management approach for people at risk of self-harm or suicide. Following a review of ACCT in 2015 and subsequent consultation on proposed changes, a new version of ACCT was piloted in 10 prisons in 2019. Further amendments were made following the evaluation report received from the pilot, and the revised approach was due to be rolled out in summer 2020. This rollout was paused due to the COVID-19 pandemic,

with a desire not to cause further disruption by implementing new changes, particularly at a time when there were concerns about the potential for increased risk of self-harm and self-inflicted death for prison residents.

- 2.57 In the meantime, additional wellbeing resources and distraction materials for prison residents have been rolled out, including materials developed in collaboration with the mental health charity Mind. In the absence of national face-to-face training, paused due to the impact of COVID-19, support for staff has been implemented, including upskilling materials for staff to be trained locally as an interim measure.
- 2.58 As we look forward into 2021, work on the revised ACCT has restarted and it will begin to be rolled out across the women's estate in April 2021 and the men's estate in summer 2021. Due to rising self-harm levels in the female estate, it will be implemented there as a priority. To support this implementation, new training in ACCT and self-harm and suicide prevention will be made available. This will include enhanced mental health training (to include the impact of learning disability or autism, brain injury, substance misuse and trauma for mental health), for staff supporting complex individuals.

Prison Security

- 2.59 COVID-19 presents a unique set of challenges to prison services, however improving and investing in prison security remains a key priority for the Government. We are moving forward, as much as possible in the current climate, with our £100m investment in prison security to crack down on crime behind bars, as was announced in August 2019. We have continued to use this investment to improve prison security and target all types of crime in prison; from drug smugglers fuelling a rise in violence and self-harm, to gangs continuing to run their operations from jail, to offenders seeking to contact their victims in the outside world.
- 2.60 Security remains incredibly important to how we run prisons. We have temporarily adapted our security procedures in a proportionate way to ensure

prisons are places of safety, but also abide by the restrictions in place nationally, to protect both staff and prisoners.

- 2.61 We are seeking to reduce conveyance of illicit items into establishments and risk to our Officers by installing entry and gate security and X-ray scanners at 50 priority sites (the first 16 of which were announced in January 2020); stopping devices such as illicit mobile phones working through phone blocking technology; strengthening staff resilience by enhancing our Counter Corruption Unit; and increasing disruptions against high-harm serious and organised crime through a multi-agency team and enhanced intelligence capabilities.
- 2.62 This will be instrumental in disrupting illicit economies in prisons, which are known to drive increasing violence, with debts being enforced, discharged or avoided through assaults on other prisoners or our staff and this behaviour can also lead to increased incidents of self-harm.

Contraband in prisons

- 2.63 The availability of drugs and mobile phones in prisons remains high.
- 2.64 In the 12 months to March 2020, there were 11,792 incidents where mobile phones were found in prisons and 5,510 incidents where SIM cards were found. These are both 3% increases compared with the previous 12 month period.
- 2.65 In the 12 months ending March 2020, there were 21,575 finds of drugs in prisons; an increase of 18% from the 18,325 in the 12 months to March 2019.
- 2.66 In April 2019, we published the National Prison Drugs Strategy. It focusses on three strands to tackle drugs in prisons by restricting the supply, reducing demand and building recovery from drugs and substance misuse. We are working with law enforcement and health partners across government to deliver all three strands of this strategy, and improvements to our drug testing framework are a key component of this strategy.

- 2.67 In November 2020 we announced that over 170 specially trained sniffer dogs are heading to prisons across England and Wales as part of the Government's comprehensive plan to crack down on violence and crime behind bars.
- 2.68 In October 2019 we announced a new digital forensics unit and expanded digital investigations team to crack down on criminal activity involving devices smuggled into jails as part of the £100m investment in prison security.

Counter-corruption

- 2.69 The vast majority of prison staff are hardworking and dedicated. Our Counter Corruption Unit proactively detects, disrupts and deters activities of those suspected of wrongdoing. The unit supports prisons and probation services, with specialist staff at a national and regional level, and works with the police to support their investigations.
- 2.70 We have continued throughout the pandemic to increase the capacity of this unit and deliver our counter-corruption strategy – through our £100m investment in prison security.
- 2.71 During 2021, we will continue our £100m investment in prison security and embed the measures resulting from that investment.

Improving technology

- 2.72 The Department is investing in improving digital resources in prisons. We hope that this will have positive outcomes for both prisoners and staff, including improved mental health outcomes for prisoners, stronger family ties, better communications between prisons and their communities and allowing staff to work more efficiently.
- 2.73 Digital initiatives have included video calls, which were running as a pilot in two prisons until the start of the COVID-19 pandemic, which led to the rollout being expedited. They are now available at 105 prisons, including all female prisons and all Young Offender Institutions. Privately managed prisons are entering their own contractual arrangements to introduce video calling in their

establishments. There have been over 100,000 calls since the go-live date and there are many positive stories about the benefits of video calling and the impact that the technology is having for prison residents.

- 2.74 Another, Content Hub, is an online platform on which prisoners can access a library of resources including those on prison processes (including how COVID-19 is currently affecting the prison regime), managing their physical and mental health and education. So far, in-cell technology is available in HMP Wayland and HMP Berwyn, and will be expanding into the youth estate and other prisons throughout 2021.

Prison Performance

- 2.75 Prison performance is monitored and supported through the prison performance framework, as introduced in last year's evidence.
- 2.76 The framework comprises of measures across six domains: Security, Organisational Effectiveness, and four which are aligned to Her Majesty's Inspectorate of Prisons' (HMIP) healthy prison tests, namely Safety, Respect, Purposeful Activity and Rehabilitation and Release Planning.
- 2.77 The framework evolves over time to ensure measures reflect changing priorities and are based on robust evidence. Recent new measures include accommodation and employment on release, Offender Management in Custody male closed key worker and staff retention, building the outcome-based focus of the framework. Measures under development for the future continue to focus on outcomes and include education attainment, family relationships, time spent out-of-cell, purposeful activity, disproportionality in outcomes (Lammy equalities) and Offender Management in Custody key worker quality.
- 2.78 The framework is measured through the Prison Performance Tool. This is suspended in 2020/21 due to COVID-19 but will be reintroduced from 1 April 2021.

Prison workforce

Staff Wellbeing

- 2.79 This year more than ever staff wellbeing has been of upmost importance, and HMPPS has been focussed on facilitating this. There have been successful efforts to bring previously onsite services such as occupational health clinics and mental health support services remotely, to allow staff to access these services in the safest ways possible.
- 2.80 A communication plan was developed to strongly encourage all staff to complete the Public Health England “COVID-19: Psychological First Aid” online training course from July 2020. The Future Learn online course is effective in assisting people with differing needs with the emotional impact of COVID-19, both inside and outside of work. Accessibility for staff who do not have frequent access to a computer is being given careful consideration, and the course is available from personal devices. There was a good level of engagement from staff with this learning and we received positive feedback on its usefulness.
- 2.81 HMPPS are continuing to provide the Employee Assistance Programme (EAP), which offers confidential 24-hour 365-day support for prison staff with access to a wide range of services including Fast Track Trauma on-site support. HMPPS are also finalising consultation on the new generation of Occupational Health (OH) and EAP contracts which will improve the speed of employee pathways to support, improving access to all services and interventions by establishing video for most interventions (e.g. psychological services and physiotherapy) and remodelling preventative psychological services including Structured Professional Support (now rebranded as Reflective Sessions) delivered to prisons and probation, this is being rolled out across HMPPS from January 2021.
- 2.82 Mental Health Allies (MHA) have been rolled out across HMPPS as one of a suite of support options available to all staff. Allies promote a culture where talking openly about mental health is encouraged, offer support, and share

wellbeing information. They challenge the stigma around mental health and signpost to services working closely with wellbeing leads.

- 2.83 Alongside trauma informed support via PAM Assist, prisons are in the process of creating a network of trained trauma informed staff to integrate Trauma Risk Management (TRiM) into their incident response for staff. Currently, there are 445 trained practitioners and 94 managers.
- 2.84 Work has also taken place to establish COVID-safe immunisation clinics across all prisons for both flu and Hepatitis B. As of November, over 10,000 staff across HMPPS have received a flu vaccine – setting a new record in the history of our seasonal flu campaigns.
- 2.85 Planning and delivery of the COVID-19 vaccination programme is being managed by the Department of Health and Social Care (DHSC). Access to vaccines in phase one has been determined by the Joint Committee on Vaccination and Immunisation (JCVI) to achieve maximum impact in reducing deaths and hospitalisations, and relieving pressure on the NHS.
- 2.86 The JCVI has recommended nine priority groups, covering all those over age 50, as well as the clinically extremely vulnerable, those with underlying health conditions which put them at higher risk of serious disease and death, and health and care workers. The Government has set out the ambition to offer a first vaccine to all those in the first four priority groups by mid-February, with the full phase one completed by May. The second phase of the vaccination programme is still under consideration. The JCVI will provide advice to the Government and plans will be set out in due course.
- 2.87 HMPPS staff who are part of the JCVI priority groups due to their age or clinical vulnerability, are being invited by the NHS to receive the vaccine as part of the phase one rollout.

Sickness absence

- 2.88 The Review Body requested that data was provided on sickness absences and the work ongoing to reduce these. Given the context of the COVID-19

pandemic, sickness related absence levels this year have not been representative of business as usual.

- 2.89 Sickness absences due to COVID-19 are everchanging. At the last recorded snapshot on 29 January 2021, 1,961 staff were absent due to COVID-19 sickness.
- 2.90 Looking at sickness absence aside from COVID-19, for the year to 31 December 2020, HMPPS staff lost an average of 8.2 working days (AWDL) due to non-COVID sickness. This represents a decrease of 1.8 working days compared to the year ending 31 March 2020. However it should be noted that days lost to COVID-19 related sickness are not included in these figures, and that COVID-19 would likely have had an impact on other sickness reasons.
- 2.91 Given the circumstances, supporting both physical and mental health and wellbeing for prison staff remains a priority. Further to the initiatives set out above, we will continue to monitor sickness absences closely throughout and as we recover from the pandemic.

Motivation and morale, and The People Survey

- 2.92 We recognise that overall motivation and morale is of high interest to the Review Body, as it is to us. However, this is inevitably based on a number of issues affecting the workforce and as such is difficult to evaluate.
- 2.93 Around October of each year, the Department launches its People Survey and encourages staff from each MoJ business area to take part and share their views. This gives us the opportunity to gather meaningful data on every aspect of working life and provides a headline measure for Employee Engagement, which relates to commitment to MoJ and its values. The survey is therefore a valuable indicator of overall motivation and morale.
- 2.94 The 2020 People Survey ran from 1 October to 3 November.
- 2.95 For the Prison Service (HMPS), results vary between different pay bands and roles, with the engagement index and core experience question scores typically lower for less senior operational roles.

- 2.96 Response rates among prison staff are low compared to other MoJ business areas. There were 8,778 responses to the 2020 survey in HMPPS – a response rate of 23%, with response numbers and rates varying between different roles. The reporting tool does however indicate where differences between scores are statistically significant at 95% confidence intervals, allowing sound comparisons with average scores to be made. Headline results for HMPS are presented in the heatmaps below.
- 2.97 The Review Body should note the importance of the People Survey as a critical resource for its capacity to collate large swathes of data on a vast range of workplace issues. Staff across the Civil Service are able to provide anonymous feedback on matters which are important and relevant to them. We recognise that there are practical limitations of completing the survey for Prison Officers and are working hard across HMPPS and with individual establishments to improve the usability of the survey for prison staff. We would welcome support and engagement of the People Survey from our staff and from the recognised trade unions and would reiterate the potential benefits of staff engagement to the Review Body in developing their evidence.
- 2.98 In Figures 1 through 4 below:
- Statistical Significance: An arrow indicates if the result is statistically significantly higher (^) or lower (v) than the comparison, at a 95% confidence level. This gives you confidence that the difference is not due to random chance.
 - If no arrow shows next to a percentage, then the result is not statistically significant.
 - Colour Code: Groups that are 5 or 10 percentage points above the average displayed in the first column of the table will be highlighted in light and dark green, and those that are 5 or 10 percentage points below the average will be highlighted in light and dark pink.

Figure 1: HMPS & YCS – All Bands

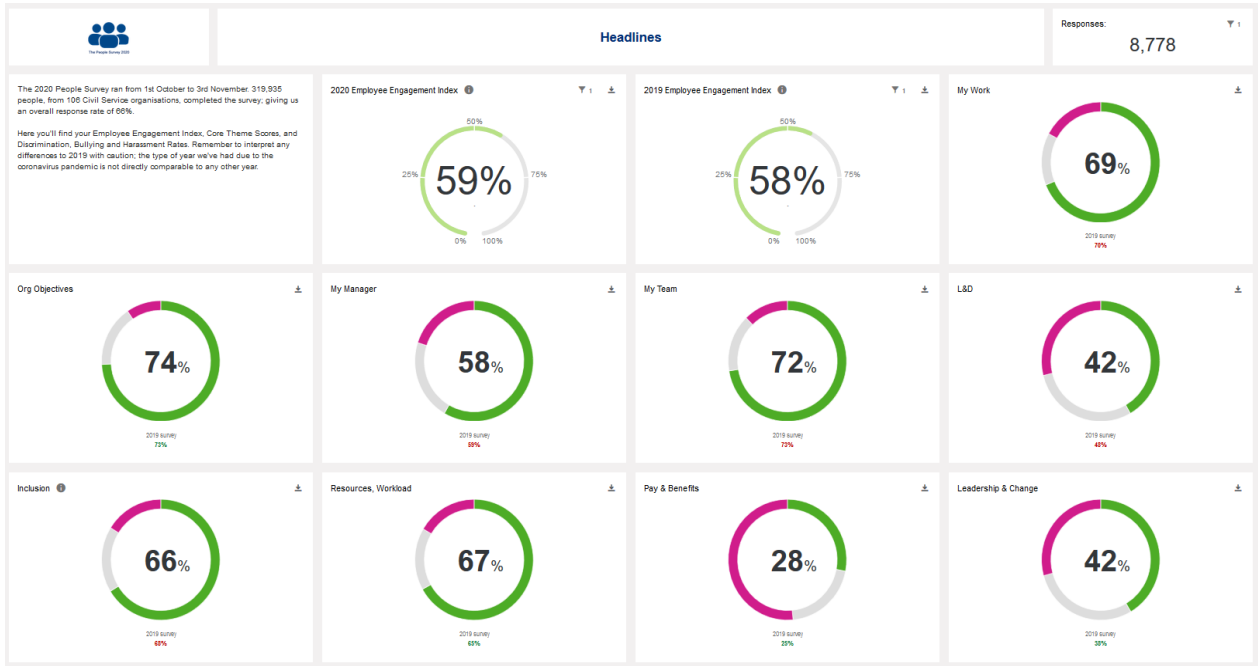


Figure 2: HMPS & YCS – Bands 2 – 4 (percentage point difference from HMPS)

Core Themes Heatmap (percentage point difference)

Comparison: vs Current unit
Breakout: Grade - HMPS

Responses	8,778	559	69	98	1,134	68	188	39	2,056	127	64	130	30	169	162	45	180	395	144
		Band 2 - OSIG	Band 2 - Other	Band 2 - Support...	Band 3 - Busines...	Band 3 - Instructur	Band 3 - Other	Band 3 - PA/Secre...	Band 3 - Prison O...	Band 4 - Busines...	Band 4 - Case Wo...	Band 4 - Facilitator	Band 4 - Facilities a...	Band 4 - Instructur	Band 4 - Other	Band 4 - Skilled D...	Band 4 - Speciali...	Band 4 - Supervis...	Band 4 - Other
> My work	69%	-17	+1	-3	+1	-10	-4	+13	-12	+6	+6	+2	+3	-2	+5	+7	+1	+1	+20
> Organisational objectives and purpose	74%	-5	+3	+2	-1	-8	-5	+3	-7	+9	+5	+6	-9	-7	0	-1	-9	-2	+10
> My manager	58%	-18	+3	+1	+1	-8	-2	+11	-8	+5	+6	+8	-3	-6	+1	+8	-4	+1	+17
> My team	72%	-27	+1	-3	+2	-16	+4	+3	-7	+5	+7	+8	-8	-16	-3	-6	-1	0	+11
> Learning and development	42%	-5	+2	+4	-4	-2	-8	0	-6	+8	+6	+14	-13	-7	+7	+5	+3	+4	+12
> Inclusion and fair treatment	66%	-11	+8	+7	+3	-5	-2	+17	-9	+6	+7	+6	+2	-4	+1	+2	-4	-1	+16
> Resources and workload	67%	-8	+11	+2	+5	+5	+2	+11	-8	+5	+2	+13	+11	+2	+2	+9	+1	+2	+18
> Pay and benefits	28%	-2	-1	+2	+6	+2	0	-2	-11	+14	+6	+20	+23	+4	+1	+14	-5	-6	+26
> Leadership and managing change	42%	-4	+9	+9	-1	-4	+2	+16	-8	+6	-3	0	+2	-7	0	+2	-12	-6	+17
> Taking action	24%	-5	+8	+5	-5	-2	-3	+22	-7	+1	+2	-10	-9	-9	-4	+7	-7	-9	+20

Figure 3: HMPS & YCS – Bands 5 – 7 (percentage point difference from HMPS)

Core Themes Heatmap (percentage point difference)

Comparison: vs Current unit
Breakout: Grade - HMPS

Responses	8,778	HMP504 - Supervise...	Band 5 - Cha plain	Band 5 - Custodia...	Band 5 - Hub Man...	Band 5 - Other	Band 5 - Treatment...	Band 6 - Actv ite...	Band 6 - Advisor	Band 6 - Facilities...	Band 6 - Other	Band 6 - Program...	Band 7 - Head of ...	Band 7 - Other
> My work	69%	+20 ^	+4 ^	+14 ^	+18 ^	+15	+18 ^	+14	+17 ^	+16 ^	+16	+18 ^	+18 ^	+23 ^
> Organisational objectives and purpose	74%	+10 ^	-1	+13 ^	+10 ^	+8	+7	+19	+11	+12 ^	+26 ^	+16 ^	+23 ^	+18 ^
> My manager	58%	+17 ^	+4 ^	+13 ^	+15 ^	+10	+8	+11	+14	+7	+17	+14 ^	+11	+7
> My team	72%	+11 ^	+7 ^	+16 ^	+9	+20 ^	+14 ^	-3	+16 ^	+12 ^	+22 ^	+16 ^	+13 ^	+20 ^
> Learning and development	42%	+12 ^	+3	+6 ^	+15 ^	+18 ^	+10	+17	-8	+6	+7	+11 ^	+14 ^	+4
> Inclusion and fair treatment	66%	+16 ^	+2	+8 ^	+6	+13	+15 ^	+18	+17 ^	+14 ^	+19	+12 ^	+17 ^	+14 ^
> Resources and workload	67%	+18 ^	0	+4	+6	+18 ^	+6	+2	+8	+3	+15	+4	+13 ^	+8
> Pay and benefits	28%	+26 ^	-8 v	+16 ^	+17 ^	+15	+9	+34 ^	+18 ^	+18 ^	0	-2	+10	+33 ^
> Leadership and managing change	42%	+17 ^	0	+6 ^	+8	+11	+12	+7	+20 ^	+11	+18	+17 ^	+20 ^	+9
> Taking action	24%	+20 ^	-3	+9 ^	+3	+6	+6	+1	+11	+12 ^	+18	+20 ^	+16 ^	+20 ^

Figure 4: HMPS & YCS – Bands 8+ (percentage point difference from HMPS)

Core Themes Heatmap (percentage point difference)

Comparison: vs Current unit
Breakout: Grade - HMPS

Responses	8,778	HMP504 - Senior C...	Band 8 - Deputy G...	Band 8 - Head of ...	Band 8 - Other	Band 9 - Deputy G...	Band 8+...	Band 10 - Governor	Band 10 - Other	Band 9 - Other	Other	Senior Civil Serv...	[No Value]
> My work	69%	+29 ^	+18 ^	+18 ^	+28 ^	+24 ^	+29 ^	+24	+23 ^	-3	+2	-6 v	
> Organisational objectives and purpose	74%	+18 ^	+18 ^	+13 ^	+24 ^	+22 ^	+24 ^	+21	+16 ^	-4	+1	-5 v	
> My manager	58%	+29 ^	+15 ^	+17 ^	+33 ^	+26 ^	+31 ^	+36 ^	+23 ^	-6 v	+5	-7 v	
> My team	72%	+20 ^	+18 ^	+17 ^	+25 ^	+20 ^	+24 ^	+28	+25 ^	-3	+10	-4 v	
> Learning and development	42%	+25 ^	+8 ^	+11 ^	+19 ^	+18 ^	+44 ^	+35	+24 ^	-6 v	+21	-9 v	
> Inclusion and fair treatment	66%	+21 ^	+14 ^	+15 ^	+25 ^	+22 ^	+29 ^	+27	+25 ^	-8 v	-8	-10 v	
> Resources and workload	67%	+4	0	+5	+16 ^	+11	+19 ^	+16	+11 ^	-5 v	0	-8 v	
> Pay and benefits	28%	-5	+9 ^	+20 ^	+8	+42 ^	+8	+49 ^	+14 ^	-3	+2	-8 v	
> Leadership and managing change	42%	+26 ^	+16 ^	+19 ^	+28 ^	+25 ^	+43 ^	+34 ^	+30 ^	-4	+18	-9 v	
> Taking action	24%	+27 ^	+24 ^	+21 ^	+43 ^	+26 ^	+43 ^	+51 ^	+53 ^	+1	+30 ^	-7 v	

Professionalisation and Leadership

2.99 Developing talent and leadership in our people are key objectives of the HMPPS Strategy and People Plan which sets out our vision to enable people to be their best and foster confident leaders at all levels. Focus is both on developing internal talent and recognising the need to bring diversity of talent and experience into our organisation via external candidates. We believe that encouraging progression amongst staff and developing effective leaders will have a positive effect on retention, motivation and morale.

Specialist roles – Youth Custody Service

2.100 The transition to the new Band 4 Youth Justice Worker role is a phased transition process over five years, after which it is anticipated that the existing Band 3 Prison Officer role will have been entirely replaced in the YCS. The Custodial Manager job description has been updated to emphasise the rehabilitative culture of the youth estate. The workforce will be increased by approximately 20%, 123 new roles across different grades. Transition to the new roles will require mandating a certain level of accredited training for promotion.

2.101 The new youth justice specialist role continues to be embedded within YCS, with funding for every Prison Officer in youth custody services to take up a foundation degree in youth justice.

Specialist roles – Advanced Prison Officer

2.102 We have previously committed to creating new specialist roles in prisons at Band 4 and have worked to design the new Advanced Prison Officer (APO) role. In line with HMPPS' intentions to negotiate the basis for a new APO Role, detailed discussions took place with the POA at the start of 2020 and a draft agreement (based on these constructive talks) had been prepared and was ready to share with the POA in late February.

2.103 At that point, the first wave of the pandemic took hold and both parties agreed that the focus must be on the operational response, meaning discussion was

paused. The POA felt that this was not the right moment to ballot their membership on proposed new terms while there was a need to focus on responding to the COVID-19 pandemic.

2.104 The APO role continues to have relevance and value. The key benefits include:

- Improves our career offer and broadens the opportunity available to staff
- An invaluable mentoring resource across prisons to support new staff and reduce attrition
- Supports our ambitions on professionalisation and encouraging progression
- Opportunity to give experienced Officers in the closed grades a route into F&S that does not involve line management duties but recognises their significant experience.

2.105 It is our intention to resume discussions with relevant recognised trade unions on this specialist role as soon as it is safe and practical to do so. At that point, it will make sense to revisit the APO role and ensure this remains the most effective offer, and best facilitates our ambition to be a flexible and modernised employer. Discussions will also need to reflect the new and evolving financial context for the Department, and indeed the broader economic situation. It is right that, at the point they are reached, any plans for the APO role would be subject to Ministerial agreement and available funding.

Leadership schemes

2.106 The challenge presented by COVID-19 initially interrupted face-to-face leadership and talent development programme delivery, as HMPPS staff doubled down on their efforts to maintain a safe service / environment in prisons and the community. A few programmes for which face-to-face delivery is essential have been paused until restrictions are lifted, however, the Leadership, Talent and Capability Team have adapted to circumstances (enabled by an IT upgrade) allowing for the continuity of several programmes, by moving to virtual delivery.

- 2.107 The Team continue to develop the digital offer through the creation of bite-sized learning packages, that can be accessed locally, thereby providing interim opportunities for those wishing to develop their leadership skills. For example, Thinking Yourself into Leadership, a half-day interactive workshop for aspiring managers is now delivered virtually and an accessible recording of this is being added to the MyLearning platform. As soon as it is safe, we will reinstate the full offer.
- 2.108 A significant building block in the HMPPS Leadership Development Strategy was launched in early 2020. The HMPPS Leadership Code paints a picture of what good leadership looks like, to inspire and engage our people. Built in support of the Civil Service Success Profiles, the Code consolidates the HMPPS Vision and Values into eight leadership standards and illustrates the expected knowledge, skills and behaviours of leaders. The Code and its accompanying suite of communication products known as 'Codebreakers', aim to establish, reinforce and shape a common / shared language to unite leaders across the organisation. 5,700 copies of the Code have been distributed to all prisons and probation offices and have received a positive response. Video and face-to-face presentations have been used to promote the products.
- 2.109 The evolving HMPPS Talent Management Strategy has seen the commissioning of a robust and comprehensive Talent Assessment Process to support the talent pipeline. A Deputy Director level pilot will kick-start the rollout of the Talent Assessment Process in January 2021, prior to further rollout at other grades. The assessment tools of both leadership performance and potential link directly to the Leadership Code. Development opportunities will be available to *all* with the matching of those assessed as 'top talent' to arising opportunities being performed by a newly created Career Council. This forum has a membership of senior leaders and will enable talented individuals to prepare for succession to the expected roles / tasks through a range of targeted interventions. One such intervention, the Senior Leaders Programme (SLP) pilot, will continue following the commissioning of a further three bi-annual cohorts. The pilot has received excellent reviews and two thirds of the

cohort have achieved promotion whilst on the programme. Cohort two delegates have been selected and we aim for this programme to commence in June 2021.

- 2.110 The Leadership, Talent and Capability Team have also been planning and designing a suite of new fast-track programmes under our Talent Management and Succession Strategy that are currently a 'work-in-progress'. These schemes (Spark, Ignite and the Pan HMPPS Fast-track scheme) aim to recruit both internal and external talent including graduates to middle and senior leadership positions in Prisons, Probation and HQ. We expect Spark and Ignite to launch later in 2021, whilst the fast-track scheme will not be until 2022.
- 2.111 The Catalyst programme was launched in summer 2020 and is a 12-month bespoke development opportunity to support newly promoted Senior Civil Servants (Deputy Director / SCSPB1). It provides the organisation with the confidence that structured learning will be implemented for those coming into our organisation, which is particularly important for those who arrive from external routes. Individually tailored development offers all new Deputy Director leaders support to access timely and comprehensive development in line with the needs of the business and the individual.
- 2.112 The Leadership, Talent and Capability Team now lead on delivery and continual improvement of the Black and Minority Ethnic (BAME) Coaching Programme that aims to inspire individuals to develop personally and professionally and responds to the Lammy Review (2017) on the levelling up and inclusivity agendas to achieve greater representation in senior roles. Around 60 applications have been received for the 3-month coaching offer. Quarterly professional coaching supervision is being sourced to support our cohort of internal coaches.
- 2.113 The Aspiring Leaders Workshops (pilots) that support those with future leadership aspirations are currently on pause due to COVID-19, however, an accompanying Aspiring Leaders Toolkit has been developed and is available in assisted technology compliant and PDF versions. The interactive tool,

available on the organisational resource platform 'MyLearning', has gained stellar reviews.

- 2.114 The Empowered Senior Leaders Programme for all Governors and Probation Senior Leaders has been attended by 196 delegates. Programme delivery has moved to virtual, allowing it to continue. Positive reviews have been received from delegates and several have moved into more senior roles since completing the programme.
- 2.115 The Leadership, Talent and Succession Team have drafted a recovery plan for the reinstatement of face-to-face learning, at a time when it is safe to do so. Current working assumption is that this will not be before 1 April, however this date is likely to change.
- 2.116 Dedicated support will be provided to develop leadership capability in establishments included in the Prison Performance Support Programme (PPSP) and poor performing probation areas. The Standards Coaching Team will also be deployed to establishments requiring additional support and coaching to boost levels of competence and confidence and reinforce expected standards of behaviour.

Performance Management

- 2.117 At the time of preparing this evidence, work on a new performance management process that aligns with the wider Civil Service and MoJ approach remains under development. The ongoing impact of COVID-19 has meant implementation of the new system has been delayed.
- 2.118 Last year's evidence, and the Review Body's 2020/21 report, highlighted concerns about the SPDR system, in terms of staff engagement and compliance with the mid and end of year appraisal, and the disparity of SPDR markings for BAME and disabled staff. As seen further below, these challenges remain, and there is work ongoing to ensure such challenges are mitigated in developing a new approach.

- 2.119 For the 2019/20 fiscal year, the usual process for assessment at year end was suspended due to COVID-19, with the aim of relieving staff of some of the administrative burden around the end of year performance management process at such a difficult and demanding time.
- 2.120 Given the exceptional circumstances, managers were therefore only required to record a rating for those staff assessed as 'Outstanding'. This means that the majority of staff were awarded a 'Good' marking, including those whose performance could have ordinarily fallen to 'Improvement Required' should they have been assessed according to the SPDR system.
- 2.121 This means that analysis and comparison of the SPDR assessment markings 'Good' and 'Improvement Required' with previous years are not possible. However, staff on formal Managing Poor Performance measures are recorded separately, and this process has continued as usual.
- 2.122 As such, it is therefore not possible to provide the "data that shows the number of staff who have not received a performance marking has significantly reduced as a result of staff having meaningful conversations with their line managers about performance, and that the distribution of performance markings which as completed is becoming less skewed", as requested in the Review Body's 2020/21 report.
- 2.123 Analysis in the HMPPS Staff Equalities Report 2019/20, published in November 2020, of the breakdown of 'Outstanding' markings found that proportionately fewer 'Outstanding' markings were awarded to male compared to female staff; staff aged under 30 and over 60; BAME (and particularly Black) staff compared to White staff; and disabled staff compared to non-disabled staff; and with better markings outcomes for more senior staff – hence the need for the new system to actively mitigate the risk of bias.
- 2.124 HMPPS have now removed the SPDR appraisal process for 2020/21 and beyond. This has the effect of removing the link between pay progression and end of year performance marking for a further year this year, meaning all staff who are not subject to poor performance measures will be eligible for progression increases, as set out in Chapter 3. This is a temporary exception

to Government policy, which does not allow for automatic pay progression to become ingrained as standard practice. We will seek to establish an alternative mechanism for pay progression alongside developing the new performance management system.

- 2.125 We intend to win the confidence of staff, particularly in relation to protected characteristics, by putting fairness and transparency as the primary principles of the new system.
- 2.126 Internal discussions with stakeholders including trade unions on the development of the approach are continuing, with a view to implementation of the new system later in 2021.

Recruitment and Retention

- 2.127 The delivery of a successful, safe and secure prison regime is reliant on our ability to recruit and retain an appropriately qualified and trained workforce to adequately resource our prisons.
- 2.128 The labour market has changed rapidly as environmental, societal, technological and political factors have influenced how we recruit. High unemployment in some sectors, coupled with low employment in others, has created market instability. This instability, coupled with the increase or decrease in job opportunities, impacts on candidate behaviour in the marketplace and employee behaviour in the workplace which impacts on staff retention. Location remains an ongoing recruitment challenge.
- 2.129 Between March and July 2020, HMPPS had to suspend recruitment and training while we implemented COVID-19 secure practices in response to Government guidelines on social distancing and non-essential travel. This created a significant gap in our pipeline of new Officers. The 4-month gap in the supply of new Officers, levels of pre-COVID vacancies, plus those vacancies accumulated between March to present due to attrition over the same period resulted in HMPPS accelerating the opening of new recruitment campaigns, designing and launching a 'live' Prison Officer online assessment centre and building our training capacity to accelerate our recruitment

pipeline. HMPPS is now able to offer an almost entirely online recruitment assessment centre, with those successful at assessment centre being invited to attend a face-to-face fitness test and medical screening.

2.130 During the pandemic, we launched a national recruitment campaign to fast-track Operational Support Grades (OSG) into Prison Officer roles which has proved very popular and attracted a high number of applicants.

Expanding the prison estate

2.131 As set out in Chapter 1, the Prison Service will need to recruit a significant number of additional staff in the coming years, in order to meet the increased demand which is already being recognised on the Criminal Justice System. This includes downstream pressure resulting from the Government's commitment to recruit an extra 20,000 police officers and the need to respond to change as a result of COVID-19.

2.132 An additional 18,000 prison places have already been planned and increasing prison capacity even further is also being considered, as the Government assesses new and continual pressures that result from COVID-19, and to accommodate the additional demand under the measures outlined in the Sentencing White Paper, 'A Smarter Approach to Sentencing', published in September 2020.

2.133 It is yet to be determined how many of these prison places will be resourced by the private and the public sector respectively.

Retention

2.134 It is vital that we are able to retain Officers, into whom we have invested significant resource during onboarding and training. Poor retention is costly to HMPPS and a high turnover of staff and high numbers of less experienced staff poses serious threats to the stability of an establishment and the ability to run a full regime that delivers effective rehabilitative activities.

2.135 For Band 3 to 5 Prison Officers, following a recent upward trend, the leaving rate of 9.4% in the year ending 31 December 2020 represented a decrease of

2.9 percentage points since the year ending 31 March 2020. Similarly, for Band 2 OSG staff, the leaving rate was 11.4% in the year ending 31 December 2020, a slight decrease of 1.1 percentage points compared to the year ending 31 March 2020.

2.136 The overall leaving rate across HMPPS over the past year stood at 8.4%, which is a decrease of 2.1 percentage points compared to the year ending 31 March 2020. Although a marked improvement, attrition is being closely monitored. The increased uncertainty in the employment market following COVID-19 has most likely been one of the primary factors for the drop in the number of resignations in recent months, thus impacting on the overall reduced leaving rates in the latest quarter across all main grades, not just Prison Officers.

2.137 However, we recognise that we must still address retention as an immediate priority so that we are not faced with increases in leaving rates when the economy begins to recover, other sectors begin to recruit, and the labour market becomes more competitive.

2.138 We continue to see the highest leaving rates in those with 0-1 completed years of service, therefore work on early days attrition continues to be the focus.

2.139 There is work planned to address attrition including an increased focus on addressing attrition, particularly in Bands 3 to 5, between MoJ People Group and the operational line.

Addressing poor retention

2.140 We have created a retention programme which is linked to wider activities around employee experience, employee lifecycle and staff engagement at work. In parallel, we are looking at leaver trend data and using exit interview outcomes to establish the drivers of attrition in HMPPS. This work consists of reviewing existing policy, process and benefit arrangements for staff and establishing how best to optimise them order to retain a leading presence in the labour market, as an employer of choice.

- 2.141 We are targeting action in prisons losing the most experienced Officers to understand why this is happening. A retention board has been set up with the overall aim to bring the issue into workforce planning discussions and more perceived accountability into management. Governors and PGD will be accountable to the Executive on their retention position and will need to have local plans in place as part of workforce planning.
- 2.142 Updating POELT to an apprenticeship aims to reduce early days attrition by developing long-term incentives for new recruits, incorporating training delivered through on-site experience to better equip them for the role. Building on the POELT course, the apprenticeship goes on to provide greater support and learning over time, including provision of apprenticeship coaches who support staff for the first 15 months of their career. This will again contribute to greater retention in the early stages of employment and provide a clear picture of expectations of new staff as they progress through the programme. This aims to make performance improvement management a more effective process for line managers. Furthermore, work to build more awareness of career pathways across prisons and probation is underway, both for apprentices and existing staff.
- 2.143 We introduced a new assessment process for Prison Officers in October 2018 based on current best practice which includes tests for strengths, behaviours and resilience and have improved our access to information about the role and expectations of applicants. The resilience on new starters has been identified as a national problem and a lack of clarity of perception of the job role is seen as one factor in early career abandonment. Looking at the assessments using Success Profiles as the basis, it is possible to identify resilience as part of the selection process. A review of the updated Prison Officer recruitment process and performance on the job had been planned for 2020, however in the context of the pandemic this has not been feasible. A review will need to consider the leaving rates of Prison Officers before and after the introduction of the revised process, and this data will be skewed due to the effects of COVID-19 on Prison Officer job satisfaction and the wider employment market effects.

- 2.144 Provision of POELT and early career mentors and monitoring of their activity is part of the retention strategy which the board is currently developing. This aims to iron out early issues which staff may face and provide a non-line management-based support mechanism for them.
- 2.145 We recognise that the career offer that HMPPS can provide will play an important part in improving retention. Professionalisation of the Prison Officer's role and with the addition of increased formal learning and achievement through apprenticeships will offer greater career opportunities to new Prison Officers and help in maintaining existing staff whilst attracting new Prison Officers into the Service. The revised leadership schemes hope to inspire progression amongst staff.
- 2.146 Retention of experienced Prison Officers is essential for managing a stable regime and we have improved our promotions policy and in doing so expect more staff to apply for permanent promotion. This improvement will act as an incentive for staff to further their careers whilst allowing the Prison Service to promote talented staff and improve capability across the Prison Officer cadre.
- 2.147 We recognise that whilst it is important that Prison Officer pay remains competitive with the other private sector organisations, pay alone is not the only factor in poor retention, and that an uplift of pay in isolation is expensive and will only yield limited results. HMPPS is examining how best to improve its attrition rate. Initiatives include the rollout of an exit survey and revisiting the retention toolkit, with a view to evaluating how it might be improved and used more widely. A retention board has also been set up, who meet regularly.

Exit survey update

- 2.148 Exit interviews have been used to gain insight into Prison Service leavers' reasoning for handing in their notice for some time and were automatically emailed out through SSCL, however HMPPS HR are now asked to do an exit survey for every member of staff. They get a resignation report every day to follow up with people who are resigning.

- 2.149 The retention board was set up in January 2020, and one of its functions was to produce an exit survey which could be used to gain insight into reasons for leaving and thus better inform retention strategy. Resource was pulled away from March onwards as the primary focus was naturally on COVID-19 response. Later in the year, attention was able to be returned to the exit survey, but this is still at development stage. A pilot was conducted that raised concerns such as who should carry out the survey, as there are obvious issues with line manager conducting these with leavers, given that poor line management is perceived as a key reason for staff attrition. There was a lack of meaningful themes that could be pulled out from this pilot due to retention issues being more localised than anticipated.
- 2.150 Moving forward, MoJ HR will continue to support these exit interviews and attrition will be reviewed at prison, PGD and Executive Director (ED) level.

Market Supplements

- 2.151 Market Supplements remain a key aspect of our strategy to support establishments where there are the greatest recruitment challenges.
- 2.152 Market Supplements of either £3,000 or £5,000 are currently applied to 4,300 F&S Band 3 Prison Officers in 31 sites and these arrangements are agreed to stay in place until April 2022. A table with the current list of sites qualifying for Market Supplements has been included at Annex B.
- 2.153 Identifying arrangements beyond April 2022 will require careful consideration – including of the effectiveness and ongoing need for Market Supplements, as well as value for money. A Market Supplement review is being carried out to support this and the findings will be delivered ahead of the 2022/23 pay round.
- 2.154 Continuation of Market Supplements for 2021/22 allows us to tackle ongoing recruitment difficulties in these areas and retain experienced Prison Officers in order to ensure the safe operation of these 31 establishments. Retaining staff and their invaluable experience in these sites is crucial for regime stability and

productivity, particularly, considering the disruption to operations through the challenges the COVID-19 pandemic has brought.

2.155 Continuation of Market Supplements for 2021/22 also allow us to mitigate the risks of the losing experienced staff to the large recruitment drive of the Police Force and similar organisations such as Border Force, which offer a more competitive pay.

2.156 While the Review Body's report for 2020/21 questioned the efficacy of Market Supplements and proposed nationalising amber site payments, we continue to see the need for a targeted approach for mitigating specific and acute challenges.

Diversity and Inclusion

2.157 In response to recommendation 28 of the Lammy Review 2017, HMPPS committed to a target of 14% of all staff recruited being from a Black, Asian and Minority Ethnic (BAME) background by December 2020.

2.158 The latest published workforce statistics up to June 2020 provide information on recruitment diversity statistics. The following outcomes have been identified:

- All Prison Officer Entry Levels: BAME candidates made up 18.2% of applicants and 11.0% of formal offers accepted between July 2018 and June 2020. These proportions varied over the quarters ranging from 14.5% to 29.9% for applicants, and 7.1% to 17.6% for offers formally accepted.
- Public Sector Prison Officers: BAME candidates made up 17.4% of applicants and 10.7% of formal offers accepted between July 2018 and June 2020. These proportions varied over the quarters ranging from 12.0% to 25.2% for applicants and 7.1% to 17.2% for offers accepted.
- Youth Custody Services Prison Officers: BAME candidates made up 31.9% of applicants and 22.7% of formal offers accepted over the whole period.

- Officer Support Grades: BAME candidates made up 18.8% of applicants and 12.6% of formal offers accepted, with large variations between the quarters.

2.159 While the proportion of prison staff from diverse backgrounds is gradually rising, we recognise we must continue to do more. We continue to work hard to increase diversity in our prisons by ensuring we are listening and acting on the views of staff, making adjustments to selection processes to address any areas of disparity and targeting our efforts on areas which may not have a representative workforce.

2.160 As at 30 September 2020, 10.6% of all HMPPS staff declared themselves to be from a BAME background. On the same date, 8.2% of all Public Sector Prisons staff and 15.8% of all YCS staff declared themselves from a BAME background.

2.161 We are working hard to boost diversity in our prisons through:

- Using existing insight from staff surveys and staff focus groups within prisons to track views and understand barriers about recruitment and progression among different ethnic minorities.
- Use of ad tracking to see what media is most effective at bringing in applicants from ethnic minority groups.
- Messaging that focuses on case studies of Officers from ethnic minority groups, carried in PR (media articles) and blogs, social media and advertising to show diversity of our workforce at all levels.
- Ongoing monitoring of selection processes to assess impact on different groups and make adjustments as necessary to address any areas of disparity.
- Specific community engagement and regional activity focusing on prison establishments that do not have a representative workforce, with several locations identified as needing attention in the first instance – including HMP Aylesbury, Onley, Swinfen Hall, Woodhill and The Mount.

Operational Managers Workload Assessment Project (WLAP) and the Job Evaluation Scheme (JES) Review

- 2.162 The Operational Managers Workload Assessment Project (WLAP) began in November 2019, in response to a challenge in the way in which the numbers and grades of Band 7 to 11 Managers are allocated to public sector establishments (excluding the Youth Estate) by the PGA. The project sought to understand and assess how effectively the current allocation approach works, and to identify alternative ways allocations could be made and evaluate their benefits.
- 2.163 As part of the project, sixteen prisons were visited, and meetings were held with Governors, Senior Management Teams (SMTs) and Operational Managers. The JES Review has picked up the outcomes of the WLAP and will implement changes that will help reduce the burden on Operational Managers. These have been agreed by the PGA.
- 2.164 The two key themes that have been picked up by the JES Review focussed on Deputy Governors with functional responsibility and the time taken in undertaking regular Duty Governor duties.
- 2.165 The JES Review findings were that the Deputy Governor with Function role has become non-compliant in standard prisons, with job holders not managing a function. There has also been an increase in non-compliant use of “Head of Function” hybrid roles to assist with plugging the gap of functional work. Most job holders feel they are unable to work with a function within their contracted hours. This on occasions means they will change function or pick up ad hoc pieces of work to assist. Deputy Governors feel that with Governing Governors spending increasing amounts of time out of the establishments for meetings and more corporate duties, they are spending more time deputising. This in turn creates more pressure on Custodial Managers and Hub Managers as work is passed down.
- 2.166 The other area of concern has been around the amount of time that Operational Managers are spending doing Duty Governor duties at the expense of their usual Head of Function roles. Again, the JES Review has

looked at this and a focussed piece of work has looked at a number of different types of prison and the duties expected at each when acting as the Duty Governor. Findings varied as did the types of activities undertaken by the Duty Governor that were not consistent, or in some cases appropriate. The biggest drain on Operational Manager resource was apparent across the larger standard prisons which led to the JES Review also looking at the more broader complexity levels of prisons.

2.167 The review therefore revisited all the complexity structures agreed within F&S to ensure they are still fit for purpose and levels of compliance are maintained. The review also considered the exceptions to the structures for prisons in special measures and urgent notification where a temporary change may be needed.

2.168 The outcome of the prison complexity review was the following two recommendations:

- That an additional complexity level is introduced between Standard and Complex, called 'Standard Plus'. Prisons which are assessed and fall within the Standard Plus criteria will mirror the SMT structure in a Standard model, with an additional Manager provided, which Governing Governors can benchmark at the required Band (7 or 8), to meet the needs of their establishment and structures. This will help with the resource issue and numbers of Operational Managers needed to cover the Duty Governor rota alongside their functional responsibilities.
- A revised complexity process incorporating a new more objective scoring mechanism and criteria, with the ability to incorporate new levels.

2.169 These will be implemented from April 2021 and the desired outcomes are that HMPPS is able to provide a more robust process for the assessment of prison complexity, including a review process, and that the more robust scoring mechanism will more easily allow stakeholders to recognise variations of and between prisons.

2.170 In summary and based on the findings of both the workload management review and JES Review, the following additional changes will be implemented over the course of the next few months:

- Deputy Governors in standard prisons will no longer have a function.
- A new prison complexity level is being created for Standard Plus that allows for an additional Operational Manager.
- The role of Duty Governor is being re-defined and standardised across the system to remove some of the ad hoc add-ons that have been added onto duties.
- Minimum staffing numbers of Operational Managers have been agreed with the PGA per prison and this will be monitored as part of ongoing assurance checks.
- Hybrid job descriptions will be phased out of standard prisons and only used for genuine job share part time staffing requirement

2.171 Next steps have been identified and work is underway to implement these changes. It is hoped that these will reduce the burden on Operational Managers.

3: Pay

Pay Proposals 2021/2022

- 3.1 Our pay proposals for 2021/22 are set out below and detailed pay tables Annexed.
- 3.2 The Government has announced a temporary pause for pay increases in 2021/22 for public sector employees earning the full-time equivalent (FTE) basic salary of £24,000 per annum or above. This means that this year, we are not asking the Review Body for recommendations on headline uplifts for those over this threshold, as set out in the Review Body's remit letter. For avoidance of doubt, this includes pay increases which would substitute an increase to basic pay, for example increasing rates of allowances.
- 3.3 Progression pay for staff who have yet to reach their pay range maximum remains within scope for payment within the parameters of the pay pause.
- 3.4 Prison Service staff within the remit of the Review Body are subject to the public sector pay pause. The proposals set out below are therefore limited to:
- Provide all staff earning the national equivalent (FTE) basic salary of less than £24,000 with a headline consolidated pay increase of £250 (or uplift to NLW if this is higher);
 - Pay progression for staff who are yet to reach their pay range maximum; and
 - Providing some modest limited additional investment in order to preserve the integrity of the F&S zonal pay structure (staff earning less than £24,000 in the Inner and Outer London zones will receive increases ranging between £250 and £254).

Proposal 1: F&S zonal pay

- 3.5 We propose:
- the current locality pay zone structure is not changed;

- the base pay differential between National and Outer / Inner London maxima rates at Bands 2 and 3 will remain unchanged at £2,726 and £4,148 respectively (i.e. awards for London based staff will keep pace with the £250 awards for nationally based staff); and
- existing differentials at pay range maxima continue to be applied consistently across all other Bands in which there will be no pay range increases this year.

3.6 Key drivers and links to pay strategy:

- Maintaining the existing zonal differentials will enable us to:
 - Ensure that our offer applies available pay flexibilities, supporting a targeted approach (e.g. Market Supplements being paid in red and amber sites) to address local pay issues linked to specific roles rather than extending the zone structure to other geographical areas, offering greatest value for money.
 - Remain competitive with public and private sectors within budgetary constraints; best supporting recruitment and retention into the Prison Service.
 - Ensure that the same maxima London / National differentials apply to all Bands in line with our F&S zonal design.
 - The base pay cash value of Outer London and Inner London Band 2 spot rates and maxima for Band 3 be increased by £250 in line with the National Bands by adding the 37-hour base pay values on Table 1 below to the proposed National maxima base rates. This maintains the appropriate zonal differentials. Because pay increases to maximum values are a cash value, rather than a percentage increase, the value of these differentials is unchanged this year.

3.7 The proposed cash values are higher when comparing like for like working patterns that include any Additional Committed Hours (ACH) / Additional Committed Hours – Pensionable (ACHP), unsocial hours working (UHW) or Required Hours Addition (RHA). All operational working patterns exceed the

closed maximum Local Pay Addition (LPA) Inner London rate of £4,250 and will be just under the £3,100 Outer London rate. Table 1 below shows the 2020 and proposed 2021 differentials.

Table 1: Additional pay for Inner and Outer London zones at maxima

Available Band	Like for Like Weekly Hours Work Pattern	Differential on Maxima	
		2020	2021
		National / Inner London⁴	
3	41 hours inc. ACH & 17% UHW	£5,391	£5,365
3	40 hours inc. ACH & 17% UHW	£5,256	£5,231
3	39 hours inc. ACH & 17% UHW	£5,123	£5,096
2 to 5	39 hours inc. ACHP & 17% UHW	£5,077	£5,077
3	38 hours inc. ACH & 17% UHW	£4,988	£4,988
2 to 5 & 7 to 11	37 hours inc. 17% UHW / RHA	£4,853	£4,853
2 to 5 & 7 to 11	37 hours base pay	£4,148	£4,148
		National / Outer London⁵	
3	41 hours inc. ACH & 17% UHW	£3,543	£3,543
3	40 hours inc. ACH & 17% UHW	£3,454	£3,454
3	39 hours inc. ACH & 17% UHW	£3,367	£3,367
2 to 5	39 hours inc. ACHP & 17% UHW	£3,337	£3,337
3	38 hours inc. ACH & 17% UHW	£3,278	£3,278
2 to 5 & 7 to 11	37 hours inc. 17% UHW / RHA	£3,189	£3,189
2 to 5 & 7 to 11	37 hours base pay	£2,726	£2,726

Proposal 2: F&S Band 2

3.8 We propose:

- Increasing the Band 2 National spot rate by £250;
- That the base pay cash value of Outer London and Inner London spot rates will be increased by adding the 37 hour base pay values shown in Table 1 to the proposed new National Band maxima values to maintain the appropriate zonal differentials (those values are unchanged from 2020 and effectively also increase the Outer and Inner London spot rates by £250).

⁴ **Inner London:** Brixton, HQ Westminster, Pentonville, Wandsworth and Wormwood Scrubs.

⁵ **Outer London:** Belmarsh, Bronzefield, Croydon, Downview, Feltham, Highdown and Isis.

3.9 Key drivers and links to pay strategy:

- Encourage closed grade OSG staff to join F&S pay arrangements by continuing to offer a significant and improved pay advantage;
- Ensure the base pay of Band 2 remains meaningfully above the increase to the Government's National Living Wage (NLW) for 2020/21.

Proposal 3: F&S Bands 3 to 5

3.10 We propose:

- Increasing all National pay points in Band 3 by £250. All pay points for Bands 4 and 5 are above the pay pause threshold of £24,000 per annum. We therefore propose no increases to pay points in these Bands.
- That the base pay cash value of the Band 3 Outer London and Inner London pay range maxima will be increased by adding the 37 hour base pay values shown in Table 1 to the proposed new National Band maxima values to maintain the appropriate zonal differentials (these values are unchanged from 2020 and effectively also increase Outer and Inner London maxima by £250);
- In order to protect the integrity of the pay structures and zonal differentials below the maximum, there will be slightly higher increases of up to £254 for some of the lower pay points in the Outer and Inner London zones.

Proposal 4: F&S Bands 7 to 11

3.11 Due to the public sector pay pause for employees earning a basic salary of £24,000 per annum or greater, we do not propose any headline base pay increases at Bands 7 to 11 for 2021/22.

3.12 Awards for staff in Bands 7 to 11 this year will be limited to pay progression for those yet to reach their pay range maximum as set out at **proposal 6**.

Proposal 5: Introduction of F&S Band 12

3.13 We inform the Review Body that:

- Effective 1 April 2021, F&S introduces a Band 12.

3.14 Band 12 will comprise a single spot rate of £103,000 with no zonal / regional differentials or additional allowances (such as RHA). Band 12 will be used primarily to accommodate the Prison Group Directors (PGD) who are currently subject to the terms, conditions and pay arrangements for Senior Civil Servants. Band 12 will, however, also be available to accommodate a small number of other, very specific, senior operationally facing roles.

3.15 Because there will be no Outer or Inner London rate for Band 12, the incumbent of the London PGD role will receive an annual non-consolidated payment of £5,000 to reflect (a) the role is location specific to London and (b) the significant differential between National and Inner London Band 11 pay band maxima. This may indicate a future direction of travel for staff recruited into roles that don't require a daily or even regular London attendance.

3.16 All future recruitment into PGD and other qualifying roles will be into F&S Band 12, appointed to the initial spot rate of £103,000 (which will be subject to uplift in future years as a result of pay award determinations following Review Body recommendations). Current incumbents of qualifying roles are in the process of being given the opportunity to opt into F&S Band 12. Those who choose to opt in will retain a valid 'ticket' with which to return to alternative SCS PB1 posts in the future should they wish to do so. Future recruits to Band 12 will, however, need to obtain such a ticket via existing SCS recruitment principles.

3.17 Key drivers and links to pay strategy:

- The route for filling Prison Group Director (PGD) roles internally is ordinarily from Band 11 Governors on promotion, although selection processes have generally been subject to external advertisement. As a HMPPS grade, Band 11 annual salary uplifts are determined through the Review Body process.

- The problems associated with much lower pay progression in the SCS compared to HMPPS grades have been evident for many years but exacerbated in recent years by greater pay restrictions imposed on the Senior Civil Service. Instances of newly promoted PGDs leapfrogging more experienced staff in the roles has been common place , and the salaries of senior Governors have tended to move closer over time to those of PGDs and overtake them in more than one case.
- The current position is not sustainable – it cannot be credibly defended as fair and has a detrimental effect on morale and motivation. We resolved to explore the potential to create Band 12 some time ago to address the issue.

3.18 The outcomes from the recent HMPPS JES Review conclude that a Band 12 can be created within the existing HMPPS bespoke job evaluation scheme and pay structure without the need for a full redesign or affecting the current evaluation process. This has been tested through the independent scheme designer, who confirmed that there are no JES-related impediments to creating Band 12.

3.19 The Review Body will wish to note that the necessary actions to introduce Band 12 and the spot rate of £103,000 effective 1 April 2021 are already underway having obtained prior approval from Cabinet Office and HM Treasury. From next year (2022/23), however, determination of pay for this Band will transfer to within the remit of the Review Body. We would expect future considerations to maintain a reasonable pay differential between Bands 11 and 12 in line with a coherent pay structure.

Proposal 6: Pay progression in F&S

3.20 Pay progression for those who have yet to reach their pay range maximum remains in scope for consideration during the public sector pay pause. We therefore propose:

- Eligible staff in Bands 3 to 5 who are not subject to formal poor performance measures will progress to the next pay point.

- Given the suspension of the SPDR performance management system, pay progression will, for this year, not be linked to performance marking. This reflects a temporary and one-off exception to Government policy which prohibits automatic progression. We will seek to establish a new indicator for progression pay, which is compliant with this policy, as the new performance management system is developed.
- 3.21 Pay progression, as above, at Band 3 will follow £250 increases to existing pay points.
- 3.22 We also propose that:
- Eligible staff in Bands 7 to 11 who are not subject to formal poor performance measures will progress by increasing pay by 4.0% (subject to maxima).
- 3.23 Key drivers and link to pay strategy:
- Support our aim for staff to reach the maxima within a reasonable time that reflects full competence within a role (potentially aligned to future competency based progression and apprenticeship programmes);
 - Mitigate any legal challenge attached to paying staff below the pay band maximum ('rate for the job');
 - Recognise and reward experience within the Service and improve rates of retention by progressing staff towards pay range maxima.
- 3.24 Under F&S pay arrangements, there is no automatic entitlement to annual progression increases and this can be subject to performance, affordability, public sector pay policy and Review Body recommendations. There are also eligibility criteria relating to the date a new employee joins HMPPS.
- 3.25 In the 2020/21 report, following a number of concerns raised in the 2019/20 report, the Review Body essentially broke the link between pay progression and performance by recommending progression increases for all eligible staff (those who had sufficient qualifying time in post) with the exception of those who were subject to formal poor performance measures.

- 3.26 Given the suspension of the SPDR performance management system, as set out in Chapter 2, there is no ability to reinstate that link between end of year performance marking and pay progression for 2021/22. Therefore, for a further year, HMPPS proposes to award progression increases to all eligible staff who are not subject to formal poor performance measures.
- 3.27 The eligibility criteria for progression (aside from not being subject to formal poor performance measures) continues to link to entrant length of service. Length of service criteria is that external new recruits must have been employed by HMPPS by no later than 31 December 2020. All staff must also be in the Band in which progression will apply on both 31 March 2021 and 1 April 2021.
- 3.28 As set out in Chapter 2, we are currently in consultation with recognised trade unions on developing a new performance management system where the emphasis will be on regular in-year assessment and reward.
- 3.29 Hence, for this year, we are proposing that performance is not factored into progression pay. This is a time-limited measure for one year in order to allow us to implement a more robust performance management system for all staff.
- 3.30 HMPPS recognises that public sector pay policy does not allow for automatic pay progression to become ingrained as standard practice. The proposed approach for this year is a temporary one. We will seek to establish an alternative mechanism for pay progression so that in future years it is not automatically earned by all staff. This detail is still being worked through and we hope to be able to signal some more definite intentions as part of next year's evidence.
- 3.31 Our approach remains to progress Operational Managers towards the pay band maximum within 5-6 years and there is genuine mitigation of legal challenges on pay consideration attached to this approach. This is therefore the rationale for continuing to propose pay progression increases for Managers (subject to maximum) despite the pay pause and general climate of pay restraint. Over half of this group, however, are at, or close to, the maximum of the Bands 7 to 11 pay ranges and will not be awarded the full 4%

progression. As with headline increases, progression pay represents a pressure on prison budgets and therefore needs to be both affordable and compliant with public sector pay policy. In this respect the Review Body is respectfully reminded that the cost of pay progression must be included within the overall affordability.

3.32 We are therefore proposing that eligible staff in Bands 7 to 11 who are not subject to formal poor performance measures and who are below their Band maxima see a progression increase worth 4.0% in 2021. This will be subject to Band maxima.

3.33 Bands 3 to 5 pay ranges currently contain 5 pay points with the intention that staff can progress from minima to maxima over 4 years. For 2021/22, we will progress eligible staff in Bands 3 to 5 to the next available higher pay point (after existing Band 3 pay points have been increased) effective from 1 April 2021. For those eligible for progression, this will provide for overall increases of between 3% and 6% at Band 3, between 2% and 5% at Bands 4 and 5. The £250 increase at Band 3 for staff already at the maximum and therefore not eligible for progression equates to an increase of just over 1%.

3.34 Table 2 below shows the impact of both uplifting pay point values and progressing to the next pay point for Bands 3 to 5. The combined percentage increases are similar within the Outer and Inner London pay ranges.

Table 2: Progression with new pay point values Bands 3 to 5 National⁶

Band 5 - National Uplift & Progress		Total Uplift	
2020	2021	£	%
£38,161	£38,161	£0	0.0%
£37,276	£37,276	£885	2.4%
£36,413	£36,413	£863	2.4%
£35,569	£35,569	£844	2.4%
£33,903	£33,903	£1,666	4.9%

Band 4 - National Uplift & Progress		Total Uplift	
2020	2021	£	%
£33,516	£33,516	£0	0.0%
£32,868	£32,868	£648	2.0%
£32,234	£32,234	£634	2.0%
£31,612	£31,612	£622	2.0%
£30,135	£30,135	£1,477	4.9%

Band 3 - National Uplift & Progress		Total Uplift	
2020	2021	£	%
£26,813	£27,121	£308	1.1%
£26,229	£26,608	£892	3.4%
£25,793	£26,101	£815	3.2%
£25,299	£25,607	£802	3.2%
£24,118	£24,427	£1,489	6.2%

Proposal 7: Allowances and Payments

3.35 We propose:

- No increases to any allowances other than those for which cash values are calculated as a percentage or hourly rate of 37-hour base pay, and where that 37-hour base pay will increase under these proposals. The actual percentage values or hourly rates are, however, to remain the same.
- Because the only award that is proposed for staff in closed grades is to consolidate the annual 2% awards that are already received as non-consolidated at the maximum in lieu of further progression (see **proposal 8**), we propose that for this year the Required Hours Allowance (RHA) for closed Operational Manager grades remains at current values.

⁶ Note: Pay values for Bands 4 and 5 are for a 39-hour week (including 2 hours ACHP) with 17% unsocial hours working. Band 3 values are for a 39-hour week (including 2 hours ACH) with 17% unsocial hours working and all values are rounded.

- 3.36 There is no evidence that other allowances need to be increased or introduced. With particular regard to the National Technical Response Group (NTRG) on-call allowance, that was flagged in the 2020/21 report, there is no indication from the business that the requirements of the role have changed since introducing the allowance only relatively recently. This allowance was not intended as an additional payment as much as a consolidation of various, frequently claimed, on-call payments. It would therefore be inappropriate to consider increasing this bespoke allowance without having first undertaken a full review of the on-call arrangements and associated payments across the entire estate.

F&S Market Supplements at Red and Amber sites

- 3.37 HMPPS will extend the payment of Market Supplements in the 31 red / amber sites, which are currently due to expire with effect from 31 March 2021, by a further year until 31 March 2022.
- 3.38 Retaining prison staff and experience in these 31 establishments is crucial for productivity, regime stability and therefore achieving better outcomes. Evidence from focus groups show that experienced Officers have a positive effect on reducing violence in prisons. It is also clearly important for developing a strong pipeline of future leadership talent.
- 3.39 Evidence currently shows that there is a need to retain the targeted approach to recruiting and retaining in these hard to recruit sites, hence the need for continuation of the 31 Market Supplement sites at this point.
- 3.40 The 12-month extension will provide time for HMPPS to undertake a thorough review of the need for Market Supplements, or alternative interventions, beyond March 2022 in light of the post-pandemic labour market, and the UK exit from the EU.

Duty Governor Payment

- 3.41 HMPPS maintains the position that the introduction of an allowance or additional pay is not the appropriate response for addressing issues around

the additional responsibilities and workload linked to the role of Duty Governor. Our strategy focuses instead on better management and deployment of resources which has been supported by a JES Review of the Duty Governor role and a separate review of prison complexity.

3.42 Further detail is provided in Chapter 2. In summary, however, based on the findings of both the workload management and JES reviews, the following two key recommendations will be taken forward:

- An additional prison complexity level is introduced between Standard and Complex, called 'Standard Plus'. Prisons which are assessed and fall within the Standard Plus criteria will mirror the SMT structure in a Standard model, with an additional Manager provided, which Governing Governors can benchmark at the required Band (7 or 8), to meet the needs of their establishment and structures. This will help with the resource issue and numbers of Operational Managers needed to cover the Duty Governor rota alongside their functional responsibilities.
- A revised complexity process incorporating a new more objective scoring mechanism and criteria, with the ability to incorporate new levels.

3.43 These will be implemented from April 2021 and the desired outcomes are that HMPPS is able to provide a more robust process for the assessment of prison complexity, including a review process and that the more robust scoring mechanism will more easily allow stakeholders to recognise variations of and between prisons.

3.44 Additionally:

- Deputy Governors in standard prisons will no longer have a function
- A new prison complexity level is being created, Standard Plus, that allows for an additional Operational Manager
- The role of Duty Governor is being re-defined and standardised across the system to remove some of the ad hoc add-ons that have been added onto duties

- Minimum staffing numbers of Operational Managers have been agreed with the PGA per prison and this will be monitored as part of ongoing assurance checks
- Hybrid job descriptions will be phased out of standard prisons and only used for genuine job share part time staffing requirements

Proposal 8: Uniformed Staff and Phase One Operational Managers on closed (pre-F&S) pay arrangements

3.45 We propose:

- The salaries for closed-grade OSGs, former G4S Security Officers and Prison Officer 2 are increased by £250 in accordance with the parameters of public sector pay policy;
- That the Night Patrol salary is increased by £436 to £20,464 so that it is compliant with projected 1 April 2020 NLW of £8.91 per hour – based on a 44-hour week;
- That the Prison Auxiliary salary is increased by £387 to £18,139 so that it is compliant with projected 1 April 2020 NLW of £8.91 per hours – based on a 39-hour week;
- That the 2% annual non-consolidated awards paid to closed grade Operational Managers currently at scale maximum are consolidated into salary. Salaries will therefore be increased by the cash value of a 2% payment calculated on scale maximum values effective 1 March 2021.
- To ensure the cost-neutral nature of this proposal, RHA values will not increase accordingly this year (neither will the eroding RHA that is paid to some legacy Senior Manager Ds be reduced this year).
- Current public sector pay policy and terms of the pay pause for staff otherwise earning more than £24,000 per annum does not permit us to propose any further salary increases for closed grade staff.

3.46 Key drivers and link to pay strategy:

- Provide all staff earning the national equivalent (FTE) basic salary of less than £24,000 with a headline consolidated pay increase of £250 (or uplift to NLW if this is higher) – maintaining a competitive market salary, while within the confines of broader public sector pay policy and government affordability.
- The current non-consolidated awards for Operational Managers are contractual but linked to end-year performance assessments which will no longer be available upon the intended movement to a new performance management system with the focus on in-year appraisal. Because receiving these awards (traditionally subject to a 'Good' or better performance marking) is effectively guaranteed for so many staff, removing the marking which determines eligibility would negatively impact our ability to persuade trade unions and staff to sign up to the new arrangements. Consolidating the payments provides a cost-neutral⁷ way of protecting total earnings without the necessary performance link. It will also have the added advantage for staff that the new consolidated salary will be factored into promotion calculations etc., whereby the existing non-consolidated awards are not taken into account.

3.47 Although consolidating the 2% will result in increased base pay this will not impact potential opt-in to F&S. This is because currently a 2% incentive uplift (to compensate the removal of the 2% awards once in F&S) is added to the initial base pay assimilation. This step will become unnecessary with the higher base pay assimilation returning the same result. See Table 3 and Table 5.

⁷ These legacy non-consolidated payments are pensionable and so the proposal to consolidate is entirely cost-neutral even when 'on-costs' are taken into account.

Table 3: Comparison of closed managerial grades and equivalent F&S Bands

Closed Managerial Grades Compared to F&S Bands							
Grade Scale	Year	Values inc. RHA		Band	Year	Values inc. RHA	
		Min ⁸	Max			Min	Max
Manager F	2020	N/A	£48,101	Band 7	2020	£44,633	£51,328
	2021	N/A	£49,944		2021	£44,633	£51,328
Manager E	2020	N/A	£55,636	Band 8	2020	£49,872	£59,850
	2021	N/A	£56,630		2021	£49,872	£59,850
Senior Manager D	2020	N/A	£71,840	Band 9	2020	£63,881	£76,656
	2021	N/A	£73,277		2021	£63,881	£76,656
Senior Manager C	2020	N/A	£79,198	Band 10	2020	£70,319	£84,839
	2021	N/A	£79,762		2021	£70,319	£84,839
Senior Manager B	2020	N/A	£86,830	Band 11	2020	£79,545	£95,453
	2021	N/A	£88,567		2021	£79,545	£95,453
Senior Manager A	2020	N/A	£89,456				
	2021	N/A	£91,246				

Proposal 9: Opt-in to F&S

3.48 We propose:

- To enable Principal Officer Specialists who opt in to move directly to F&S Band 5 maximum;
- To enable Prison Officer Specialists, working to Band 4, who opt in to join F&S at the maximum; and
- Normal opt-in policy to apply for all other grades.

⁸ There are no longer any staff at the minimum of the closed grade manager pay scales.

3.49 Key drivers and link to pay strategy:

- To provide Operational Managers, Principal Officer Specialists and Prison Officer Specialists) working to Band 4 (both of whom are in receipt of an additional allowance) with the necessary financial benefit to opt into F&S pay arrangements – whilst contributing to a reduction in the number of staff on closed grades T&Cs;
- Under our pay award proposals effective 1 April 2021, Operational Managers, Operational Support Grades (OSGs), Prison Officer 2s (PO2s), G4S Prison Custody Officers (PCOs) and Principal Officers can benefit from normal opt-in policy;
- Enables access to more modernised and longer-term reforms for staff by ensuring opt-in to F&S is financially beneficial; and
- Closed terms Prison Officers cannot benefit from opting in due to the continuing pay gap.

2019/20 Opt-in

3.50 In 2019 we identified a total of 949 staff (both operational and non-operational) who would have benefitted from opting in after the April 2019 pay award. Only 129 (13.6%) of staff accepted their offers to opt in. Those who declined the offer included large numbers of OSGs who have now declined similar offers over several consecutive years.

2020/21 Opt-in

3.51 Due to the delayed implementation of the 2020/21 pay award we will be running the 2020/21 opt-in exercise during February for payment in the March 2021 payroll. Because of the extremely limited take up during the 2019/20 exercise we have decided to run a condensed version of the options exercise this year, writing only to those who will newly benefit this year. Because equivalent pay awards to staff in both F&S closed grades were paid in 2020/21 this is expected to be limited to staff whose circumstances have changed during the last year, with no significant further groups being brought

into scope. While those groups of staff who have been written to with beneficial opt-in offers in previous years will not be proactively contacted again this year, communications will be issued explaining that should they now wish to opt into F&S (when they have not previously) they will be permitted to do so should they contact us.

2021/22 Opt-in

3.52 As stated earlier, the only awards proposed to staff in closed grades for 2021/22 are:

- £250 increases for those earning national (FTE) base pay equivalent of £24,000 or less (staff earning less than NLW effective 1 April 2021 will receive a higher increase to match this where necessary); and
- Consolidated increases of 2% for Operational Managers to directly replace annual non-consolidated awards of the same value (therefore having no cost implication or impact on opt-in).

3.53 It is not therefore expected that significant additional groups of staff will be brought into scope for beneficial opt-in except where they would not map to a higher pay point than before as a result of proposed F&S structural reforms and range shortening.

3.54 Whilst most senior Prison Officers will still not benefit from joining F&S, Senior Officers in Inner London will generally be able to gain by opting in.

3.55 For Operational Support Grades (OSGs), without additional allowances, opting into F&S effective from 1 April 2021 will result in an increase of £935 per annum on the National F&S pay range.

3.56 G4S Prison Custody Officers (PCOs) and Principal Officers will also benefit from the normal opt-in policy as illustrated in Table 4 below.

3.57 Prison Officer 2s (PO2s) will also benefit from opting in and receive additional pay increases following our pay proposals. The proposed higher starting pay

at Band 3, as a result of F&S reforms will now also bring into scope for beneficial opt-in PO2 rate 2 LPA recipients in Outer London (Feltham only).

- 3.58 Under standard opt-in policy, Principal Officer Specialists and Prison Officer Specialists working to Band 4 remain in closed grades because they do not gain financially on opt-in due to the loss of their specialist allowance. We are therefore proposing that we allow both staff groups to move directly to the maximum of their F&S Band. Where LPA is not an issue, this will increase their pay effective from their 31 March 2021 rate by £339 and £654 respectively in the National Bands.

Table 4: 2020/21 award and opt-in gain

Principal Officer Specialist – Opt-In to Maximum Band 5 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£37,822	£37,822	N/A	£38,161	£339	£339

Principal Officer – Standard Opt-In to Maximum Band 5 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£36,622	£36,622	N/A	£37,276	£654	£654

Senior Officer including LPA – Standard Opt-In to Maximum Band 4 Inner London Only						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£38,316	£38,316	N/A	£38,593	£277	£277

Prison Officer Specialist – Opt-In to Maximum Band 4 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£32,849	£32,849	N/A	£33,516	£667	£667

Prison Officer 2 (PO2) 39 hour with unsocial hours – Standard Opt-In to Minimum Band 3 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£23,185	£23,493	£308	£25,406	£2,114	£2,422

Prison Officer 2 (PO2) 39 hour with unsocial hours (LPA rate 2 – Feltham only) – Standard Opt-In to Minimum Band 3 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£27,185	£27,493	£308	£28,787	£1,294	£1,602

G4S Prison Custody Officer – Standard Opt-In to Maximum Band 3 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£26,370	£26,370	N/A	£26,884	£514	£514

OSG – Standard Opt-In to Maximum Band 3 National						
	31/03/2021	01/04/2021		01/04/2021		
Opt-In Year	Closed Pay	Proposed Closed Pay	Pay Award Gain	Proposed F&S Pay	Gain from Opt-in	Total Gain
2021	£20,670	£20,920	£250	£21,855	£935	£1,185

- 3.59 Almost all Phase One Operational Managers (closed Band 7 to 11 equivalents) have already moved across to F&S pay arrangements. Nonetheless, we wish to continue incentivising those few remaining on closed terms to opt into F&S and in 2019 we incorporated the previously temporary 2% consolidated increase to base pay upon opt-in (to compensate the loss of the contractual annual non-consolidated close grade payment) into the standard opt-in arrangements.
- 3.60 Our proposals this year include consolidating these contractual payments so that this additional increase will no longer be required, and the higher base pay will result in the standard opt-in calculation returning approximately the same result. Following opt-in, our proposed higher rates to the F&S Band maxima will provide additional headroom for future progression pay uplifts ranging from 2.82% to 5.93%. Table 5 below illustrates this in detail.

Table 5: Managers & Senior Managers opting into F&S National from scale maxima⁹

Proposed Scale	Manager		Senior Manager				
	F	E	D	D	C	B	A
Pre-F&S Scale Pay (2021)	£42,977	£50,663	£67,190	£73,277	£79,762	£88,567	£91,246
RHA	£5,967	£5,967	£5,967	N/A	N/A	N/A	N/A
Total Pay	£48,944	£56,630	£73,157	£73,277	£79,762	£88,567	£91,246
	↓	↓	↓	↓	↓	↓	↓
	Opt in to Band & Assimilation Pay						
Assimilation Band	7	8	9	9	10	11	11
Opt in Base Pay	£42,560	£49,243	£63,615	£63,719	£69,358	£77,015	£79,344
RHA 17%	£7,235	£8,371	£10,815	£10,832	£11,791	£13,093	£13,489
Total Pay	£49,795	£57,614	£74,430	£74,551	£81,149	£90,108	£92,833
	↓	↓	↓	↓	↓	↓	↓
	Increase in Pay from Opting in						
Increase in Pay £	£851	£984	£1,273	£1,274	£1,387	£1,541	£1,587
Increase in Pay %	1.74%	1.74%	1.74%	1.74%	1.74%	1.74%	1.74%
	↓	↓	↓	↓	↓	↓	↓
	Headroom for Future Progression						
Base Pay Maxima	£43,870	£51,154	£65,518	£65,518	£72,127	£81,584	£81,584
RHA 17%	£7,458	£8,696	£11,138	£11,138	£12,262	£13,869	£13,869
Total Pay	£51,328	£59,850	£76,656	£76,656	£84,389	£95,453	£95,453
Headroom £	£1,533	£2,236	£2,226	£2,105	£3,240	£5,345	£2,620
Headroom %	3.08%	3.88%	2.99%	2.82%	3.99%	5.93%	2.82%

⁹ For example, the calculation for a Manager F opting in from pay maxima will be:

Pre-F&S scale pay: £42,977 + £5,967 (RHA) = £48,944

Base pay on opt-in: £42,977 + £5,967 / 1.15 = £42,560

Total pay on opt-in: £42,560 + £7,235 (17% RHA) = £49,795

Headroom (available progression) £51,328 (Band maximum) - £49,795 (pay on opt-in) = £1,533

Proposal 10: Notional Rents

3.61 We ask that:

- The Review Body does not make any recommendations for notional rents and that, as stated in last year's evidence, these are now removed from the remit of consideration for the Review Body.
- Our intention is that notional rents will cease with effect from 1 April 2024, with phased increases taking place over the preceding years to raise rents to a level consistent with social housing in the local authority area in which the quarter is located.
- Thereafter, rents will be managed by MoJ Estates in line with Government rent setting policies for local authority housing.

3.62 Before the implementation of Fresh Start in 1987, Governor and Prison Officer grades were entitled to housing as part of their remuneration and were allocated Prison Service quarters or, if no quarters were available, a rent allowance. The rent allowance was consolidated into pay as part of the Fresh Start settlement and those in quarters were charged a *notional rent*, set annually as part of pay negotiations and later taken into the remit of the Review Body. Those staff occupying quarters were given the opportunity to purchase at a discounted rate and this opportunity continued for some years afterwards.

3.63 The system of notional rents, originally intended as a transitory arrangement, has now continued for nearly 34 years. As the value of notional rents has not been raised in recent years, those occupying quarters now enjoy a significant and disproportionate benefit. Legislative changes, since 1987, have also created a position where tenants are subject to a variety of different contractual terms, offering various levels of protection; although it is intended, in so far as possible, to move tenants to a new standard tenancy agreement.

3.64 There are now only 27 occupied quarters within the Prison Service estate and only 19 of these are occupied by staff covered by the Review Body remit. It is

planned to offer sitting tenants the opportunity to purchase their quarters, but it is likely that a significant number will be unwilling or unable to afford the purchase price. It is unfair to other Officers and to the taxpayer to continue to subsidise the cost of housing for a very small number of staff. The current notional rent is insufficient to cover even the cost of necessary maintenance which inevitably impacts on other MoJ expenditure and establishment budgets. At present, the responsibility for maintenance falls to the establishment to which the Prison Officer quarter is allocated and is supported out of general funds. This will change during 2021 and remaining quarters will be transferred to MoJ Estates who will become responsible for their maintenance.

- 3.65 The most recently available published data shows that social housing rents charged in the areas where quarters are located, range from £4,137 in Darlington to £6,656 in Wandsworth. This compares with the notional annual rent charged to Prison Officers of £1,675. Comparisons with social housing level rent provides a fair assessment of the value of the benefit that Officers are receiving from the present position and it is proposed that rents for occupied quarters should be raised to similar levels.
- 3.66 It is recognised that to raise rent to the same level as social housing levels in one year would place an unreasonable burden on the Officers concerned. Instead, it is proposed to phase in the increases over a three-year period from April 2021, with a rise of £1,500 per annum in the notional rent until it reaches the same level as social housing in the same local authority area. This would mean that by April 2024, any tenants within the remit of the Review Body will be paying at least the average rent for social housing within the same local authority area. Rents would be set, from thereon, based on the Government Rent Standard.
- 3.67 Separate to this evidence we intend to raise rents in a similar way for other occupiers such as Chaplains and industrial staff.

Financial Considerations

3.68 The estimated cost of the above proposals for 2012/21 is c. **£24.1m** (including on costs¹⁰). These costs are presented for HMPPS (excluding the National Probation Service which has a separate pay determination process) given the significant read across of Review Body recommendations to non-remit group staff.

3.69 A breakdown of proposals is set out below:

Table 6: Costs of 2021/22 pay proposals

PAY PROPOSALS 2021/22	
Manager F&S (Bands 6 to 11)	Cost (incl. on-costs)
Progression 4% (subject to maximum	£4.3m
Officer & Support F&S (Bands 2 to 5)	
Revalorisation (£250 increase – Bands 2 and 3 only)	£8.1m
Progression next pay point (fixed)	£11.0m
Closed Grades	
Non-Consolidated award (£250 / NLW increase below £24k)	£0.7m
Consolidation of 2% annual payments for Operational Managers	N/A – consolidated existing arrangements only
TOTAL COST	£24.1m

3.70 In making these proposals, HMPPS has already exercised approved available flexibilities in the context of current public sector pay policy and the pay pause for those earning £24,000 per annum and above. As per our remit letter, we

¹⁰ Employer's Pension and NI contributions.

would ask that the Review Body makes recommendations that are compliant with the current public sector pay policy position. It should also be noted that HMPPS continues to operate under severe budgetary pressures. As such, any recommendations above those detailed in this submission would be unfunded and would create significant affordability issues for HMPPS and MoJ.

Additional considerations and forward look

- 3.71 HMPPS has for some time now been looking at some structural reforms to F&S. These reforms would be to address issues such as adequate financial incentives for career progression through promotion and the time taken to progress from minimum to maximum of the pay ranges; to address inherent issues such as pay range overlaps and the leap-frogging within ranges; and, to reset the pay ranges in a clear and coherent way in order to support our longer term workforce strategy, including professionalising the workforce.
- 3.72 The current pay pause, departmental affordability and wider uncertainties brought about by the pandemic means that we are unable at this stage to put forward any firm proposals in the space, at this time. These are, however, the type of issues that we are likely to be seeking to address in future submissions.

Conclusion

- 3.73 The proposals set out seek to target restricted investment in pay for 2021/22 to staff in most need, providing these staff with a pay award – either through headline increases for those earning less than the current threshold set in public sector pay policy, or progression for all staff who have not yet reached their pay range maximum.
- 3.74 These proposals are considered to offer best value for money while falling in line with wider public sector pay policy and Government affordability.



Annex A: Pay Tables

F&S Band pay ranges 2020/21 and proposed 2021/22			Pay Effective 1 April 2020					Proposed Pay Effective 1 April 2021					
Band	Zone	Working Hours / Pattern	Pay Points / Range 1 April 2020 to 31 March 2021					Pay Points / Range 1 April 2021 to 31 March 2022					
			1	2	3	4	5	1	2	3			
2	National	37 hour Base Pay	£17,605					£17,855					
		39 hour inc ACHP	£18,557					£18,820					
		37 hour inc 17% unsocial	£20,598					£20,890					
		39 hour inc ACHP & 17% unsocial	£21,549					£21,855					
	Outer London	37 hour Base Pay	£20,331					£20,581					
		39 hour inc ACHP	£21,430					£21,693					
		37 hour inc 17% unsocial	£23,787					£24,080					
		39 hour inc ACHP & 17% unsocial	£24,886					£25,192					
	Inner London	37 hour Base Pay	£21,753					£22,003					
		39 hour inc ACHP	£22,929					£23,192					
		37 hour inc 17% unsocial	£25,451					£25,744					
		39 hour inc ACHP & 17% unsocial	£26,627					£26,933					
3	National	37 hour Base Pay	£19,531	£20,487	£20,887	£21,297	£21,713	£19,781	£20,737	£21,137	£21,547	£21,963	
		39 hour inc ACHP	£20,587	£21,594	£22,016	£22,448	£22,887	£20,850	£21,858	£22,280	£22,712	£23,150	
		37 hour inc 17% unsocial	£22,851	£23,970	£24,438	£24,917	£25,404	£23,144	£24,262	£24,730	£25,210	£25,697	
		38 hour inc ACH & 17% unsocial	£23,485	£24,634	£25,115	£25,608	£26,108	£23,785	£24,935	£25,416	£25,909	£26,409	
		39 hour inc ACHP & 17% unsocial	£23,907	£25,077	£25,567	£26,069	£26,578	£24,213	£25,383	£25,873	£26,375	£26,884	
		39 hour inc ACH & 17% unsocial	£24,118	£25,299	£25,793	£26,299	£26,813	£24,427	£25,607	£26,101	£26,608	£27,121	
		40 hour inc ACH & 17% unsocial	£24,752	£25,963	£26,470	£26,990	£27,517	£25,068	£26,280	£26,787	£27,306	£27,834	
		41 hour inc ACH & 17% unsocial	£25,385	£26,628	£27,147	£27,680	£28,221	£25,710	£26,952	£27,472	£28,005	£28,546	
	Outer London	37 hour Base Pay	£21,985	£23,060	£23,510	£23,971	£24,439	£22,238	£23,312	£23,762	£24,222	£24,689	
		39 hour inc ACHP	£23,173	£24,306	£24,781	£25,267	£25,760	£23,440	£24,572	£25,046	£25,531	£26,024	
		37 hour inc 17% unsocial	£25,722	£26,980	£27,507	£28,046	£28,594	£26,018	£27,275	£27,802	£28,340	£28,886	
		38 hour inc ACH & 17% unsocial	£26,435	£27,728	£28,269	£28,824	£29,386	£26,740	£28,031	£28,572	£29,125	£29,687	
		39 hour inc ACHP & 17% unsocial	£26,911	£28,227	£28,778	£29,342	£29,915	£27,221	£28,535	£29,086	£29,649	£30,221	
		39 hour inc ACH & 17% unsocial	£27,149	£28,476	£29,032	£29,601	£30,179	£27,461	£28,787	£29,343	£29,911	£30,488	
		40 hour inc ACH & 17% unsocial	£27,862	£29,224	£29,794	£30,378	£30,971	£28,182	£29,543	£30,114	£30,696	£31,288	
		41 hour inc ACH & 17% unsocial	£28,575	£29,972	£30,557	£31,156	£31,764	£28,903	£30,299	£30,884	£31,482	£32,089	
	Inner London	37 hour Base Pay	£23,264	£24,402	£24,878	£25,366	£25,861	£23,520	£24,656	£25,131	£25,618	£26,111	
		39 hour inc ACHP	£24,522	£25,721	£26,223	£26,737	£27,259	£24,791	£25,989	£26,489	£27,003	£27,522	
		37 hour inc 17% unsocial	£27,219	£28,550	£29,107	£29,678	£30,257	£27,518	£28,848	£29,403	£29,937	£30,550	
		38 hour inc ACH & 17% unsocial	£27,973	£29,342	£29,914	£30,501	£31,096	£28,281	£29,647	£30,218	£30,804	£31,397	
		39 hour inc ACHP & 17% unsocial	£28,476	£29,869	£30,452	£31,049	£31,655	£28,790	£30,180	£30,762	£31,358	£31,961	
		39 hour inc ACH & 17% unsocial	£28,728	£30,133	£30,721	£31,324	£31,935	£29,044	£30,447	£31,033	£31,635	£32,244	
		40 hour inc ACH & 17% unsocial	£29,482	£30,925	£31,528	£32,146	£32,774	£29,807	£31,246	£31,848	£32,466	£33,090	
		41 hour inc ACH & 17% unsocial	£30,237	£31,716	£32,335	£32,969	£33,612	£30,570	£32,046	£32,664	£33,296	£33,937	

Band	Zone	Working Hours / Pattern
4	National	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial
	Outer London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial
	Inner London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial

Pay Points / Range 1 April 2018 to 31 March 2019				
1	2	3	4	5
£24,619	£25,826	£26,334	£26,852	£27,381
£25,950	£27,222	£27,757	£28,303	£28,861
£28,804	£30,216	£30,811	£31,417	£32,036
£30,135	£31,612	£32,234	£32,868	£33,516
£27,072	£28,399	£28,957	£29,526	£30,107
£28,535	£29,934	£30,522	£31,122	£31,734
£31,674	£33,227	£33,880	£34,545	£35,225
£33,138	£34,762	£35,445	£36,141	£36,853
£28,351	£29,740	£30,324	£30,920	£31,529
£29,883	£31,348	£31,963	£32,591	£33,233
£33,171	£34,796	£35,479	£36,176	£36,889
£34,703	£36,403	£37,118	£37,848	£38,593

Pay Points / Range 1 April 2019 to 31 March 2020				
1	2			
£24,619	£25,826	£26,334	£26,852	£27,381
£25,950	£27,222	£27,757	£28,303	£28,861
£28,804	£30,216	£30,811	£31,417	£32,036
£30,135	£31,612	£32,234	£32,868	£33,516
£27,072	£28,399	£28,957	£29,526	£30,107
£28,535	£29,934	£30,522	£31,122	£31,734
£31,674	£33,227	£33,880	£34,545	£35,225
£33,138	£34,762	£35,445	£36,141	£36,853
£28,351	£29,740	£30,324	£30,920	£31,529
£29,883	£31,348	£31,963	£32,591	£33,233
£33,171	£34,796	£35,479	£36,176	£36,889
£34,703	£36,403	£37,118	£37,848	£38,593

5	National	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial
	Outer London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial
	Inner London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 17% unsocial
		39 hour inc ACHP & 17% unsocial

£27,697	£29,058	£29,748	£30,453	£31,176
£29,194	£30,629	£31,356	£32,099	£32,861
£32,405	£33,998	£34,805	£35,630	£36,476
£33,903	£35,569	£36,413	£37,276	£38,161
£30,124	£31,603	£32,352	£33,117	£33,902
£31,752	£33,311	£34,101	£34,907	£35,735
£35,245	£36,976	£37,852	£38,747	£39,665
£36,873	£38,684	£39,601	£40,537	£41,498
£31,385	£32,927	£33,708	£34,506	£35,324
£33,081	£34,707	£35,530	£36,371	£37,233
£36,720	£38,525	£38,474	£40,372	£41,329
£38,417	£40,304	£41,260	£42,237	£43,238

£27,697	£29,058	£29,748	£30,453	£31,176
£29,194	£30,629	£31,356	£32,099	£32,861
£32,405	£33,998	£34,805	£35,630	£36,476
£33,903	£35,569	£36,413	£37,276	£38,161
£30,124	£31,603	£32,352	£33,117	£33,902
£31,752	£33,311	£34,101	£34,907	£35,735
£35,245	£36,976	£37,852	£38,747	£39,665
£36,873	£38,684	£39,601	£40,537	£41,498
£31,385	£32,927	£33,708	£34,506	£35,324
£33,081	£34,707	£35,530	£36,371	£37,233
£36,720	£38,525	£38,474	£40,372	£41,329
£38,417	£40,304	£41,260	£42,237	£43,238

Band	Zone	Working Hours / Pattern	Pay Range 1 April 2020 to 31 March 2021		Pay Range 1 April 2021 to 31 March 2022	
			Min	Max	Min	Max
7	National	37 hour Base Pay	£38,148	£43,870	£38,148	£43,870
		37 hour inc RHA	£44,633	£51,328	£44,633	£51,328
	Outer London	37 hour Base Pay	£40,519	£46,596	£40,519	£46,596
		37 hour inc RHA	£47,407	£54,517	£47,407	£54,517
	Inner London	37 hour Base Pay	£41,755	£48,018	£41,755	£48,018
		37 hour inc RHA	£48,853	£56,181	£48,853	£56,181
8	National	37 hour Base Pay	£42,626	£51,154	£42,626	£51,154
		37 hour inc RHA	£49,872	£59,850	£49,872	£59,850
	Outer London	37 hour Base Pay	£44,898	£53,880	£44,898	£53,880
		37 hour inc RHA	£52,531	£63,040	£52,531	£63,040
	Inner London	37 hour Base Pay	£46,083	£55,302	£46,083	£55,302
		37 hour inc RHA	£53,917	£64,703	£53,917	£64,703
9	National	37 hour Base Pay	£54,599	£65,518	£54,599	£65,518
		37 hour inc RHA	£63,881	£76,656	£63,881	£76,656
	Outer London	37 hour Base Pay	£56,871	£68,244	£56,871	£68,244
		37 hour inc RHA	£66,539	£79,845	£66,539	£79,845
	Inner London	37 hour Base Pay	£58,056	£69,666	£58,056	£69,666
		37 hour inc RHA	£67,926	£81,509	£67,926	£81,509
10	National	37 hour Base Pay	£60,102	£72,127	£60,102	£72,127
		37 hour inc RHA	£70,319	£84,389	£70,319	£84,839
	Outer London	37 hour Base Pay	£62,374	£74,853	£62,374	£74,853
		37 hour inc RHA	£72,978	£87,578	£72,978	£87,578
	Inner London	37 hour Base Pay	£63,559	£76,275	£63,559	£76,275
		37 hour inc RHA	£74,364	£89,242	£74,364	£89,242
11	National	37 hour Base Pay	£67,987	£81,584	£67,987	£81,584
		37 hour inc RHA	£79,545	£95,453	£79,545	£95,453
	Outer London	37 hour Base Pay	£70,279	£84,310	£70,279	£84,310
		37 hour inc RHA	£82,203	£98,643	£82,203	£98,643
	Inner London	37 hour Base Pay	£71,444	£85,732	£71,444	£85,732
		37 hour inc RHA	£83,589	£100,306	£83,589	£100,306
12	Single Spot Rate		N/A		£103,000	

Closed Uniformed Grades pay scales 2020/21 and proposed 2021/22¹¹

Grade	Pay Point	2020	2021	Grade	Pay Point	2020	2021
Principal Officer	Year 2	£36,622	£36,622	Prison Officer	Point 6	£31,649	£31,649
	Year 1	£34,706	£34,706				
Senior Officer	Single Rate	£31,649	£31,649	G4S Prison Custody Officer (PCO)	3 years or more	£26,370	£26,370
OSG	Single Rate	£20,670	£20,920		2 years	£25,123	£25,123
					1 year	£24,226	£24,226
G4S Security Officer (SO)					New starter	£20,641	£20,891
				2 years or more	£20,368	£20,618	
				1 year	£19,536	£19,786	
Night Patrol (closed)				Prison Auxiliary (closed)	Maximum	£20,030	£20,464
					Maximum	£17,752	£18,139

Grade	Working Hours / Pattern	2020				2021
		1	2	3	4	4
Prison Officer 2	37 hour Base Pay	£16,822	£17,696	£18,235	£18,775	£19,025
	37 hour inc 17% unsocial	£19,682	£20,703	£21,336	£21,967	£22,259
	38 hour inc ACH & 17% unsocial	£20,227	£21,277	£21,927	£22,576	£22,876
	39 hour inc ACH & 17% unsocial	£20,772	£21,850	£22,518	£23,184	£23,493
	40 hour inc ACH & 17% unsocial	£21,317	£22,424	£23,109	£23,793	£24,110
	41 hour inc ACH & 17% unsocial	£21,864	£23,000	£23,701	£24,402	£24,727

¹¹ All closed grade staff (with the exception of some former G4S staff) are now at maximum – in future years only maximum values will be shown.

Operational Phase One Manager pay scales 2020/21 and proposed 2021/22

Effective From	Including RHA			Excluding RHA	
	01-Apr-20	01-Apr-21		01-Apr-20	01-Apr-21
Senior Manager A	£89,456	£91,246	Senior Manager D From 23 July 2009	£65,872	£67,190
	£86,832	£88,569		£61,077	£62,299
	£81,151	£82,775		£57,154	£58,298
	£77,412	£78,961		£55,338	£56,445
	£74,492	£75,982		£54,641	£55,734
	£71,897	£73,335		£49,319	£50,306
	£69,894	£71,292			
Senior Manager B	£86,830	£88,567	Manager E	£49,669	£50,663
	£81,151	£82,775		£44,836	£45,733
	£77,412	£78,961		£42,786	£43,642
	£74,492	£75,982		£39,311	£40,098
	£71,897	£73,335		£37,447	£38,196
	£69,894	£71,292		£35,975	£36,695
	£65,811	£67,128			
Senior Manager C	£78,198	£79,672	Manager F	£42,134	£42,977
	£73,074	£74,536		£37,497	£38,247
	£70,515	£71,926		£35,689	£36,403
	£67,655	£69,009		£34,259	£34,945
	£63,641	£64,914		£33,131	£33,794
	£61,430	£62,659		£32,036	£32,677
Senior Manager D Incl. of RHA closed 22-Jul-09	£71,840	£73,277	Manager G	£34,685	£35,379
	£65,907 *	£67,226 *		£32,317	£32,964
	£66,089	£67,411		£30,919	£31,538
	£61,477	£62,707		£29,667	£30,261
	£59,242	£60,427		£28,388	£28,956
	£54,942	£56,041		£27,094	£27,636
	£50,986	£52,006			
		RHA	£5,967	£5,967	
		Eroding RHA**	£35	£35	

Cons 2% increase maximum 2009 rate pay

* The 2009 maximum value on the all-inclusive RHA Senior Manager D pay scale was retained as an additional pay point. This is the maximum available for those individuals in non-qualifying roles who chose to remain on this closed scale.

** Senior Manager D staff in non-qualifying RHA roles who moved across to the non-inclusive RHA SMD scale that was introduced post 22 July 2009 and who are on or progress to the maximum have an eroding RHA. When the maximum increases the RHA reduces to maintain total pay at the 2009 rate of £65,907. This value will now increase as a result of consolidating the 2% annual award in lieu of progression (the annual award will no longer be received). Staff in these roles who are below the maximum retain the same RHA value as staff in qualifying roles.

Annex B: Market Supplement Sites

Establishments with Market Supplements	
Red Sites	Amber Sites
Aylesbury	Belmarsh
Bedford	Brixton
Bullingdon	Chelmsford
Coldingley	Erlestoke
Cookham Wood	Guys Marsh
Downview	Isis
Elmley	Lewes
Feltham	Littlehey
Grendon	Pentonville
High Down	Rochester
Highpoint	Wandsworth
Huntercombe	Whitmoor
Send	Wormwood Scrubs
Standford Hill	
Swaleside	
The Mount	
Winchester	
Woodhill	