



Ministry  
of Justice

# **Technical Guide**

## **Annual NOMS Digest 2015/16**

28 July 2016

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# Annual NOMS Digest Technical Guide

This report provides further technical guidance on the performance indicators used in the Annual Prison Digest 2015/16, covering the rationale for each indicator, the technical description, the data source and the calculation used.

Data have been drawn from administrative IT systems. Although care is taken when processing and analysing the data, the level of detail collected is subject to the inaccuracies inherent in any large-scale recording system. Details of all administrative data sources used in the production of this release can be found in the Ministry of Justice Statement of Administrative Sources<sup>1</sup>.

## Compliance and Enforcement

### Percentage of orders and licences successfully completed

**Rationale** To monitor the proportion of terminated cases that have terminated successfully. This metric gives an overview of offender compliance over the life of the order or licence. This is one of a number of compliance measures used to monitor offender's compliance with orders and condition of licence while under probation supervision.

**Technical description** Successfully completions are those which are recorded on the case management system as having expired normally (i.e. without being revoked for failure to comply or for a further offence) or which have been terminated early by the court for good progress.

#### Data source

**Calculation**  $(a / b) \times 100$   
Where:  
a) No. of orders / licences successfully completed  
b) Total no. of orders and licences terminated (i.e. including those which were unsuccessful and required breach action)

### Release on temporary licence (success rate)

**Rationale** To ensure that prisoners comply with the terms of their release on licence.

**Technical description** A temporary release movement is defined as an unescorted movement on licence. One temporary release movement is recorded for each day of temporary release. For example, a prisoner temporarily released to work outside the establishment for one week should show as five separate temporary release movements.

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<sup>1</sup> [www.gov.uk/government/statistics/ministry-of-justice-statistics-policy-and-procedures](http://www.gov.uk/government/statistics/ministry-of-justice-statistics-policy-and-procedures)

**Data source** Reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.

**Calculation** Successful ROTLs = (a-b)/a  
Where:  
a) Total number of ROTLs  
b) Total number of ROTL failures

## Corporate

### Staff sickness

**Rationale** To monitor and reduce the number of days lost to staff sickness absence in NOMS. .

**Technical description** Staff sickness is reported as the average working days lost through sickness per member of staff for the year.

**Data source** Data from NOMS Oracle Human Resource Management System (HRMS) collated in central performance systems.

Historical data on Probation Trusts and Boards was collected through monthly returns and collated centrally.

**Calculation** Working days lost are calculated using the first and last days of absence recorded on Oracle HRMS. The difference between these dates gives a total of calendar days absence. A large proportion of NOMS staff work shifts rather than standard Monday to Friday weeks. For this reason, calendar days are multiplied by 5/7 to take account of weekends and public days. The resulting figure is further adjusted for part-time staff in proportion with their working hours. This generates a notional total working days lost to staff sickness.

Working days lost are then divided by average full-time equivalent at the end of each month to give a figure for average working days lost per person. This approach is different from standard Cabinet Office methods but provides comparable figures. The historical information provided for Probation Trusts and Boards and the CF when they were in public ownership also gave comparable figures for average working days lost.

## Incentives and Earned Privileges

### The number of prisoners on the Incentives & Earned Privileges (IEP) Scheme

**Rationale** The aim of the IEP Scheme is to allow prisoners to earn additional privileges through responsible behaviour, participation in hard work and engaging positively in OASys and sentence planning. To make sure that the system continues to be effective it is essential to record and monitor on a monthly basis how many prisoners are on each level of the IEP scheme.

<b>Technical description</b>	<p>There are four levels of IEP status: Entry, Basic, Standard and Enhanced.</p> <p>Establishments should enter the number of prisoners on each regime using PNOMIS.</p> <p>Prisoners will be placed on Basic for a range of reasons, not all of which will be because of violent incidents. The inclusion of Basic in the metric is as a proxy measure for the management of anti-social behaviour which will include verbal and physical violence and threatening behaviour. An exact count of how many prisoners go on basic because of their involvement in violent incidents is not currently available from operational systems.</p>
<b>Data source</b>	Monthly data from prison establishments entered into the P-NOMIS system.
<b>Calculation</b>	<p><math>a=b/12</math> Where:</p> <p>a) Average number of prisoners on a particular IEP status b) sum of 12 monthly snapshots of number of prisoners on a particular IEP status</p>

## Accredited Programmes

### Offending behaviour programme (OBP) completion rates and volumes in custody and the community

<b>Rationale</b>	The purpose of this measure is to monitor the effective delivery of accredited programmes, the appropriate allocation of offenders to accredited programmes, and the support given to offenders to complete accredited programmes.
<b>Technical description</b>	<p>OBPs are rehabilitation programmes designed to identify the reasons why offenders offend and reduce and monitor these factors. As well as reducing risk, programmes support risk assessment and the risk management of offenders. These are fully or provisionally accredited by the Correctional Services Accreditation and Advisory Panel (CSAAP). In custody they are known as Living Skills programmes.</p> <p>For monitoring purposes, OBPs in custody include Domestic Violence completions but exclude sex offender treatment and Substance Misuse programmes which are reported separately.</p> <p>OBP completions in the community exclude domestic violence and sex offender treatment programmes, which are measured separately. They include Substance Misuse programmes.</p>
<b>Data source</b>	In custody: Monthly data from prison establishments collated in central performance systems.

In the community: NPS/ CRCs data collated in central performance systems

<b>Calculation (volumes)</b>	<p>This indicator is a simple count of the number of OBP completions.</p> <p>A completion is counted when an offender completes an accredited programme and all appropriate reports and documents are completed and returned and recorded as such on the appropriate systems.</p> <p>Completions in custody and completions in the community are recorded separately.</p>
<b>Calculation (Percentage of milestone)</b>	<p>The volume of OBP completions as a percentage of the milestone target number of completions.</p>

## **Sex offender treatment programme (SOTP) completion volumes in the community**

<b>Rationale</b>	<p>The purpose of this measure is to monitor the effective delivery of sex offender treatment programmes (SOTPs) and to make sure offenders are appropriately allocated to and supported to complete SOTPs.</p>
<b>Technical description</b>	<p>Sex offender treatment programmes aim to reduce offending by adult male sex offenders. A range of programmes is available for sexual offenders according to the level of risk and need of the offender.</p>
<b>Data source</b>	<p>In custody: Monthly data from prison establishments collated in central performance systems.</p> <p>In the community: NPS/ CRCs data collated in central performance systems</p>
<b>Calculation (volumes)</b>	<p>This indicator is a simple count of the number of SOTP completions.</p> <p>A completion is counted when an offender completes an accredited programme and all appropriate reports and documents are completed and returned and recorded as such on the appropriate system.</p> <p>Completions in custody and completions in the community are recorded and reported separately.</p>
<b>Calculation (Percentage of milestone)</b>	<p>The volume of SOTP completions as a percentage of the milestone target number of completions.</p>

## **Population**

<b>Rationale</b>	<p>To monitor prison population.</p>
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**Technical description** The population in the Digest is a monthly average of each prisons' population and a national monthly average of prison population. Monthly population figures are taken on the last day of each month. Where a prison has not been operational for the full year, the average is only taken of the months that the prison had a population and was operational. Therefore, the sum of each individual prison will not reconcile with the national total in all of the years shown.

**Data source** Monthly data from prison establishments entered into the P-NOMIS system.

**Calculation**  $a = (b_1 + b_2 + b_3 + b_4 + b_5 + b_6 + b_7 + \dots) / c$

where:

- a) Individual Prison Population.
- b) Population in individual prison in month 1 (b1), population in individual prison in month 2 (b2) etc.
- c) Number of months that the prison was operational during the year.

$d = (e_1 + e_2 + \dots + e_{12}) / 12$

where:

- d) National Prison Population
- e) Prison population in month1, month2, ... to month 12

## Prisoner Working Hours

**Rationale** To make sure that prisoners are occupied in purposeful activity whilst in establishments or to give offenders the opportunity to learn new skills and experience and support finding employment on release.

**Technical description** The number of hours working to ensure that prisoners work the required number of hours compared to scheduled hours.

**Data source** Public Prisons and IRCs – Data sourced from the Prison-NOMIS system which captures the number of prisoners in each of their workshops and the hours worked.

Private Prisons –Data sourced from local data monitoring systems used by prisons to record the number of prisoners in each of their workshops and the hours worked each week.

**Calculation** This is a simple count of the number of prisoners working and the number of hours worked by prisoners in industry.

## Prisoners Earnings subject to the Prisoners' Earnings Act 1996

**Rationale** The Prisoners' Earnings Act (PEA) commenced on 26 September 2011. It enables prison governors to impose a levy of up to and including 40 per cent on wages over £20 per week (after tax, national insurance, any court ordered payments and any child support payments) of prisoners who have been assessed as being of low risk of absconding or re-offending and allowed to work outside of prison on temporary licence, in order to prepare for their eventual release.

**Technical description** The PEA provides that the amounts arising from the levy can be directed to four purposes:

- to prescribed voluntary organisations concerned with victim support or crime prevention;
- into the Consolidated Fund to contribute to the prisoner's upkeep;
- to the prisoner's dependants; or
- to an investment account held on the prisoner's behalf.

**Data source** The data are sourced from monitoring systems used by prisons. Information on prisoner earnings subject to the Prisoners' Earnings Act 1996, for 2015/16 was provided by the following establishments: Askham Grange, Blantyre House, Brixton, Drake Hall, East Sutton, Eastwood, Ford, Guy's Marsh, Hatfield, Hewell, Hollesley Bay, Holloway, Humber, Kennet, Kirkham, Kirklevington Grange, Leyhill, North Sea, Norwich, Prescoed, Send, Spring Hill, Standford, Stoke Heath, Styal, Sudbury, Thorn Cross.

**Calculation**  $a = b_1 + b_2 + \dots + b_{12}/c$

where:

a) average number of active prisoners per establishment  
b)  $b_1$  is number of active prisoners in month 1,  $b_2$  is average number of active prisoners in month 2 (calculate for each month that the prison has active prisoners)  
c) the number of months that the prison is active

$d = e/f$

where:

d) average net earnings per prison  
e) total net earnings  
f) number of prisons that provided information

$g = h/f$

where:

g) average net deductions per prison



## Unlawfully at large incidents

There are three types of incidents which result in a prisoner being unlawfully at large. These are escapes (including those from contractor escorts), absconds and failure to return from temporary release. Each of these is defined below.

These are monitored to analyse the frequency across the estate and identify any trends nationally, while taking into consideration the management of risk to the public.

### Escapes

#### Definition

A prisoner escapes when they are able to pass beyond the perimeter of a secure prison or the control of escorting staff. This may involve overcoming physical security restraints such as a wall or fence; locks, bolts or bars; a secure vehicle; handcuffs; or the direct supervision of escorting staff.

An escape is counted as a Key Performance Indicator (KPI) escape if (i) the prisoner is at liberty for 15 minutes or more before recapture or (ii) a prisoner escapes and is charged with another criminal offence

Escapes are presented in six tables:

#### **i. Prisons**

Escapes by breaching the secure perimeter of prison grounds. This table excludes escapes by Category A prisoners.

#### **ii. Prison Escorts**

Escaping the control of escorting prison service staff. This table excludes escapes by Category A prisoners.

#### **iii. Prisons and prison escorts**

The sum of the above two tables combined.

#### **iv. Private Escort contractors**

Escapes from the secure vehicles or supervision of contracted prison escorts. This includes escapes from court where contracted prison escort staff have been notified of the requirement to escort a prisoner for admission to prison custody and are present in court.

#### **v. KPI Category A escapes**

This is an escape by a prisoner who is classed as Category A on account of being highly dangerous to the public.

#### **vi. National breakdowns by main offence of prisoner.**

The total number of escapes from prison custody is obtained by the sum of tables iii, iv and v

## KPI Category A escapes

**Rationale** Escapes are monitored to analyse the frequency across the estate and identify any trends nationally, while taking into consideration the management of risk to the public.

**Technical description** This is an escape by a prisoner who is classed as Category A on account of being highly dangerous to the public.  
  
A KPI escape is counted if (i) the prisoner is at liberty for 15 minutes or more before recapture or (ii) a prisoner escapes and is charged with another criminal offence.

**Data source** Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.

**Calculation** This indicator is a simple count of the number of Category A escapes.

## KPI Escapes from prisons and prison escorts

**Rationale** Escapes are monitored to analyse the frequency across the estate and identify any trends nationally, while taking into consideration the management of risk to the public.

**Technical description** A prisoner escapes from escort when they are able to pass beyond the control of escorting staff. This may involve overcoming physical security restraints such as a wall or fence; locks, bolts or bars; a secure vehicle; handcuffs; or the direct supervision of escorting staff.  
A KPI escape is counted if (i) the prisoner is at liberty for 15 minutes or more before recapture or (ii) a prisoner escapes and is charged with another criminal offence.

**Data source** Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.

**Calculation** Rate of escapes from prison and prison escorts = No. of escapes divided by average prison population.

## Escapes from contractor escorts

**Rationale** Escapes are monitored to analyse the frequency across the estate and identify any trends nationally, while taking into consideration the management of risk to the public.

**Technical description** A prisoner escapes from escort when they are able to pass beyond the control of escorting staff. This may involve overcoming physical security

restraints such as a wall or fence; locks, bolts or bars; a secure vehicle; handcuffs; or the direct supervision of escorting staff.  
An escape is counted if (i) the prisoner is at liberty for 15 minutes or more before recapture or (ii) a prisoner escapes and is charged with another criminal offence.

**Data source** Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.

**Calculation** Rate of escapes from contractor escorts = 1: {No of movements} divided by {No of escapes from contractor escorts}

## Absconds

**Rationale** Absconds are monitored to analyse the frequency across the open estate and identify any trends nationally also taking into consideration, the management of risk to the public.

**Technical description** An abscond is defined as an incident where a prisoner absents him or herself from prison custody without lawful authority and without overcoming a physical security barrier such as that provided by a wall or fence, locks, bolts or bars, a secure vehicle, handcuffs, or the direct supervision of staff, usually from open prison

**Data source** Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.

**Calculation** This indicator is a simple count of absconds.

## Temporary Release Failures

### Definition

Not all temporary release failures result in a prisoner being unlawfully at large. A temporary release failure is when a prisoner fails to comply with the terms of their licence terms for temporary release. This may involve failing to return to prison at their due time and reported as being unlawfully at large, returning to prison later than the terms of their licence, being arrested on suspicion of committing an offence whilst on temporary release or other breaches of their licence, including but not limited to, returning to the prison with unauthorised items, being at a different address to the terms of their licence or consuming alcohol on temporary release.

### Failure to return from temporary release

**Rationale** Failure to Return is monitored to analyse the frequency of failures to return across the estate and identify trends, taking into consideration the management of risk to the public.

<b>Technical description</b>	Failure to return after release on temporary licence is the subset of the above where a prisoner has not returned to the establishment by the designated time. If the prisoner returns shortly after the designated time, the failure may be classified as a late return, as opposed to a failure to return, at the discretion of the establishment. Failures to return result in a prisoner being classified as unlawfully at large
<b>Data source</b>	Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS
<b>Calculation</b>	This indicator is a simple count of the subset of Temporary Release Failures that have been recorded as Failure to Return.

## Release in Error

<b>Rationale</b>	Releases in Error are monitored to analyse the frequency across the estate and identify any trends nationally, while taking into consideration the management of risk to the public.
<b>Technical description</b>	A prisoner is released in error if they are wrongly discharged from an establishment or court when they should have remained in custody, and the prisoner has not deliberately played a part in the error (i.e. the prisoner had no intent of escaping). Examples include misplaced warrants for imprisonment or remand, recall notices not acted upon, sentence miscalculation or discharging the wrong person on escort. If it is believed that the situation was in any way manipulated by the prisoner, for example by taking the identity of another person, then this will be classified as an escape, and not a release in error.
<b>Data source</b>	Data on escapes is reported by prison establishments on central administration systems and collated on the Incident Reporting Module (IRS) on P-NOMIS.
<b>Calculation</b>	The indicator is a simple count of the number of Releases in Error. Although this would be better considered on a rate basis (Releases in Error / total releases from prison), the denominator for this is not available. Releases from prison data only cover sentenced prisoners, and Releases in Error can include remand prisoners.

## Safety and Decency in Custody

### Crowding in custody

<b>Rationale</b>	To monitor and to maintain crowding within acceptable levels.
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**Technical description** Crowding is the count of total number of prisoners who, on the last day of the month, are held in a cell, cubicle or room where the number of occupants exceeds the baseline certified normal accommodation of the cell, cubicle or room. This includes the number of prisoners held two to a single cell, three prisoners in a cell designed for one or two and any prisoners held crowdedly in larger cells or dormitories. For example, if 12 prisoners occupy a dormitory with a capacity of 10, then the 12 prisoners should be counted as crowded. If the establishment has reported a number of prisoners 'doubled', then at least this number should be reported as crowded.

**Data source** Monthly data from prison establishments collated in central performance systems.

**Calculation** Crowding rate for the year is calculated by summing the crowding figure for each month and prison population figure for each month. The total crowding figure for the year is then divided by the total population for the year and expressed as a percentage to show the rate of crowding.

## Doubling

**Rationale** To monitor and to maintain crowding within acceptable levels.

**Technical description** Doubling is measured by the count of prisoners who, at unlock on the last day of the month, are held two to a cell with a capacity of one. Both of those prisoners are then counted as being two to a cell.

**Data source** Monthly data from prison establishments collated in central performance systems.

**Calculation** Doubling rate for the year is calculated by summing the doubling figure for each month and prison population figure for each month. The total doubling figure for the year is then divided by the total population for the year and expressed as a percentage to show the rate of doubling.

## Substance misuse

### Mandatory drug testing (MDT) in custody

**Rationale** Random mandatory drug testing provides the best available measure of drug misuse in prisons.

**Technical description** The measure for the rate of drug-misuse is based on the rate of positive drug tests under the random MDT programme. This provides the most accurate indication of the level of drug-misuse in establishments. Random samples are those where a prisoner has been selected for

testing using a random prisoner selector on central systems. The programme produces a list of prisoner numbers in the required sample, plus a reserve list. All prisoners - including unconvicted and new receptions - can be selected by the system for random MDT.

A sample is positive when the screening test is positive and there has been no confirmation test (for whatever reason), or a confirmation test was positive. A sample that tests positive for more than one drug counts as one positive sample. Furthermore, some positive samples will be mitigated and declared negative due to prescribed medication. The number of tests does not include spoilt samples or refusals. In the case of transferred prisoners, results for a sample are recorded against the establishment where the sample was taken.

**Data source** Monthly data from prison establishments collated in the Mandatory Drug Testing Database.

**Calculation**  $a=(b/c)*100$   
where:  
a) MDT Positive Rate.  
b) Total number of random drug tests that prove positive.  
c) Total number of random drug tests carried out.

## Foreign and National Offender Referrals

**Rationale** To ensure all foreign nationals receive due consideration for deportation by referring them to the Home Office within the set timeframe

### Technical description

**Data source** Data are based on a monthly list generated from the Prison National Offender Management Information System (P-NOMIS) of FNOs first sentence dates cross referenced with a list of subsequent referrals received by the Home Office.

**Calculation**  $a = (b/c) *100$   
where:  
a) Rate of referrals within 10 working days  
b) Number of referrals received within 10 working days for prisoners sentenced within the period.  
c) Number of Foreign and National Prisoners sentenced during the period

## Mother and Baby Units

**Rationale** To monitor the number of women offenders (and their babies) given places on prison mother and baby units (MBUs). Also, to monitor the

number of MBU applications that are approved/refused, and identify any disproportionate outcomes.

**Technical description** MBU applications are considered by a multi-disciplinary Admissions Board, consisting of an Independent Chair, MBU Manager, Community Offender Manager, and having input from the Local Authority Children's Services. The Board makes a recommendation to the Governor/Director of a prison with a MBU on whether a child and mother should be admitted to such a unit, with the best interests of the child being the primary consideration, alongside the safety and welfare of other mothers and babies on the unit. The Chair must communicate the recommendation within 24 hours of the conclusion of the Board, though it is the responsibility of the Governor/Director of the prison to reach the final decision. An applicant has the right to appeal a decision not to allocate a place on an MBU, with appeals determined by the Head of the Women's Team.

**Data source** MBU data are collected from prison establishments by means of a monthly return submitted via the National Offender Management Service Performance Hub: a secure web-based data collection and management information reporting system. Although care is taken when processing and analysing the returns, the detail collected is subject to the inaccuracies inherent in any large scale recording system.

**Calculation** The following measures are cumulative annual totals:

- Number of applications received for admission to MBU.
- Number of applications approved by a board.
- Number of applications refused by a board.
- Number of women received into MBU.
- Number of babies admitted into MBU.

The following measures are one off figures as of a fixed point in time (i.e. 31 March):

- Number of mothers in MBU at year end.
- Number of babies in MBU at year end.

## Electronic Monitoring

**Rationale** Electronic Monitoring was introduced in 1999 to support the police, courts, prisons and wider justice system in England and Wales.

**Technical description** Electronic monitoring is used:

- as a condition of court bail;
- as a requirement of a court sentence, including community orders and suspended sentences;
- as a licence condition following release from custody, including Home Detention Curfew;
- as a condition of immigration bail, managed by the Home Office; and
- to intensively monitor a small number of subjects on specialist orders including Multi-Agency Public Protection Arrangements

(MAPPA), Special Immigration Appeals Commission (SIAC), and Terrorism Prevention and Investigation Measures (TPIMs). These are monitored with a Global Positioning System (GPS) tag rather than a radio frequency (RF) tag.

**Data source** Information is provided directly by the contractors – EMS Capita.

**Calculation** This is a simple count of the number of subjects receiving electronic monitoring and the number of new electronic monitoring orders.