



Ministry
of Justice

PRS: PRISON RATING SYSTEM

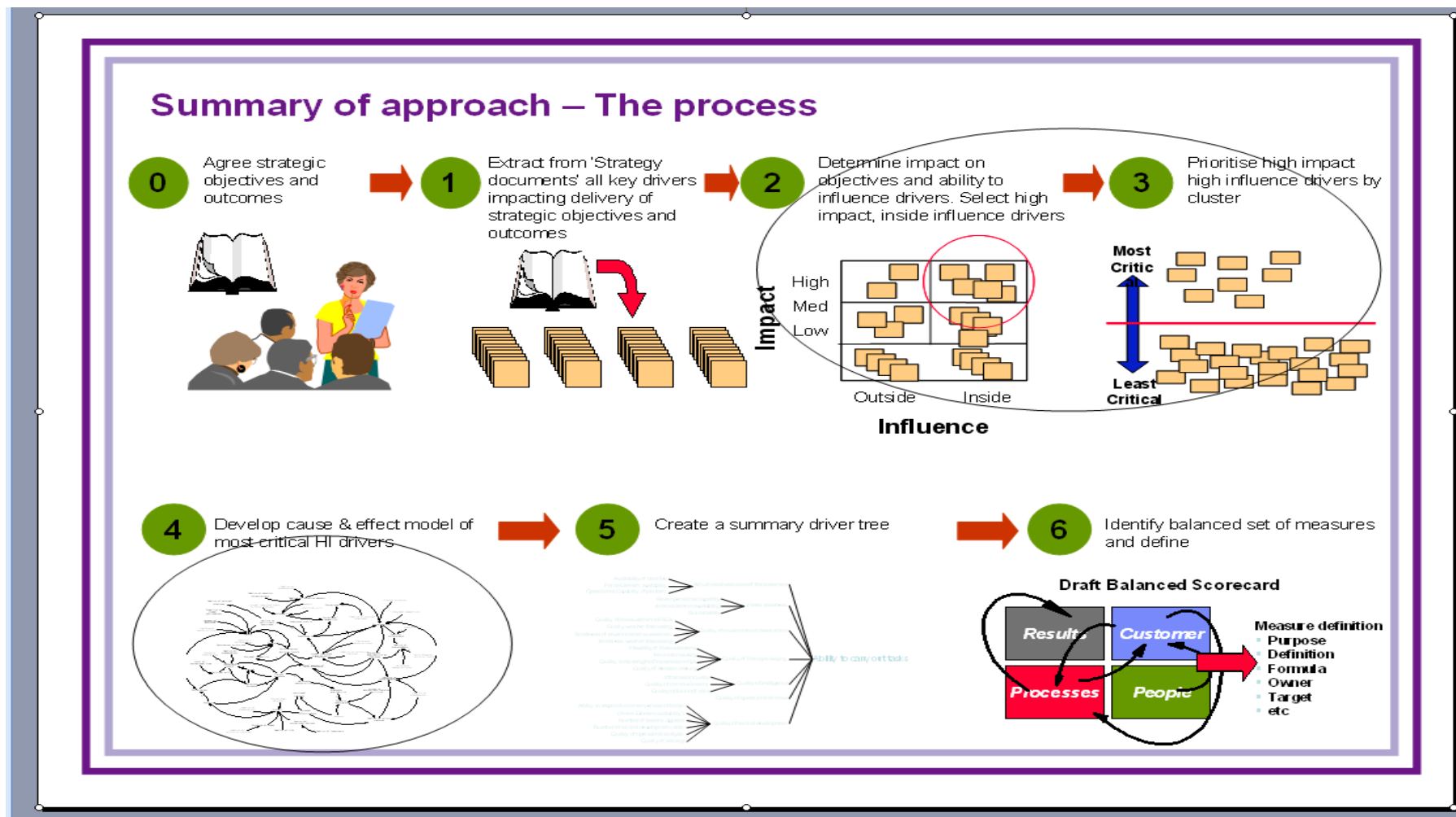
Specification Document

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INTRODUCTION TO THE PRS MODEL

- The PRS is the Prison Rating System.
- The Overall aim of PRS can be summarised as “Measure what counts rather than count what is easier to measure”.
- The PRS model was developed by the Criminal Justice Group (CJG) alongside the National Offenders Management Service (NOMS). It is now owned by NOMS.
- The main aim of the PRS model development was to create a single, transparent system that enables the performance of both public and private prisons to be measured.
- Development of the PRS has enabled a fresh outlook of the way in which prisons are rated in relation to their performance in four key areas (Public Protection, Reducing Reoffending, Decency and Resource Management and Operational Effectiveness).
- Development involved working closely with stakeholders (Operations, CJG and Policy) and taking on board feedback for present and future model development.
- PRS 12/13 is an annual performance assessment, based on the full year’s data and ratified by the NOMS Agency Board.
- Interim snapshots will continue to be produced quarterly for the purposes of operational management, but these will not be subject to moderation.
- The final, annual ratings, based on full year’s data, will be ratified by the full NOMS Agency Board (NAB) which includes the three NOMS Non-Executive Directors to provide independent assurance.
- Figure 1 outlines the basic process in the development of the PRS.

Figure1: Summary of the PRS approach

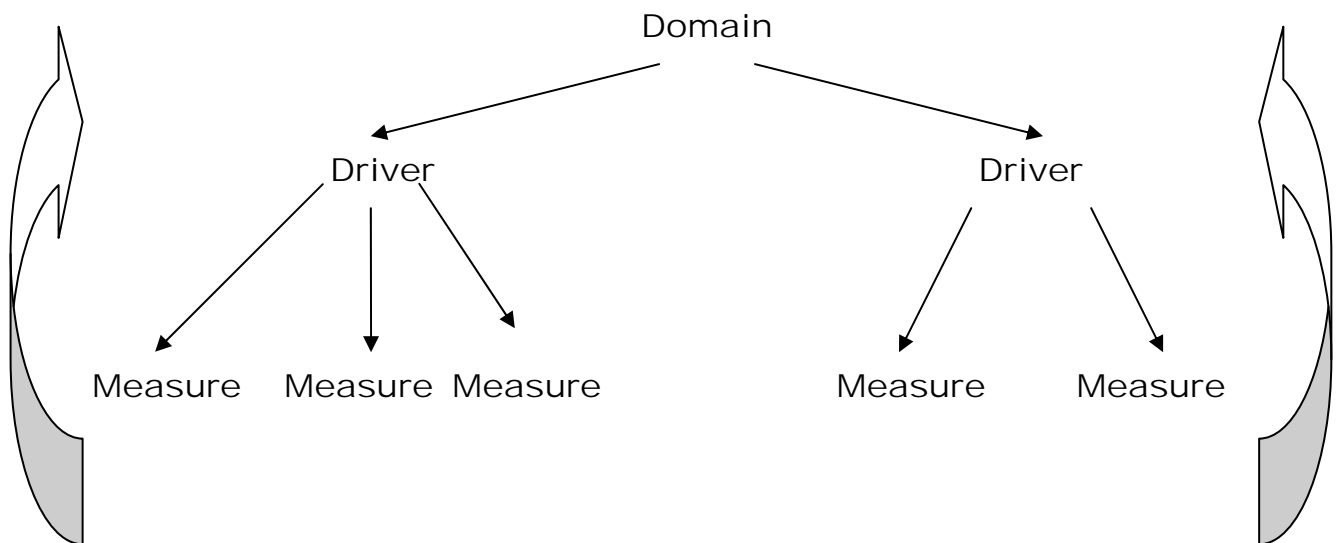


The Key Performance Areas in the PRS

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

Reducing Re-offending & Protecting the Public whilst maintaining value for money			
Public Protection	Reducing Re-offending	Decency	Resource management & Organisational Effectiveness
Security Audit	MDT	Diversity & Equality	Effective management of prisoners to optimise resource & capacity
Quality & Effectiveness of Offender Risk Management	Quality and targeted coverage of OASys (needs assessment)	Quality of offender general treatment/experience	Staff motivation and effective staff
Delivery of the sentence to the court	Resettlement (Social Inclusion)	Maintaining order, control, safety & reducing violence	Value for Money
Effective MAPPA	Targeting Quality interventions to the right offenders at the right time	HMIP Safety	Order and Control
Generic Parole Process	Sex Offender Treatment Programmes	Availability & quality of offender regime	
		Decent Conditions	
		Mental Health (Self Harm)	

Figure 3: Summary of Domain/Driver/Measure relationship



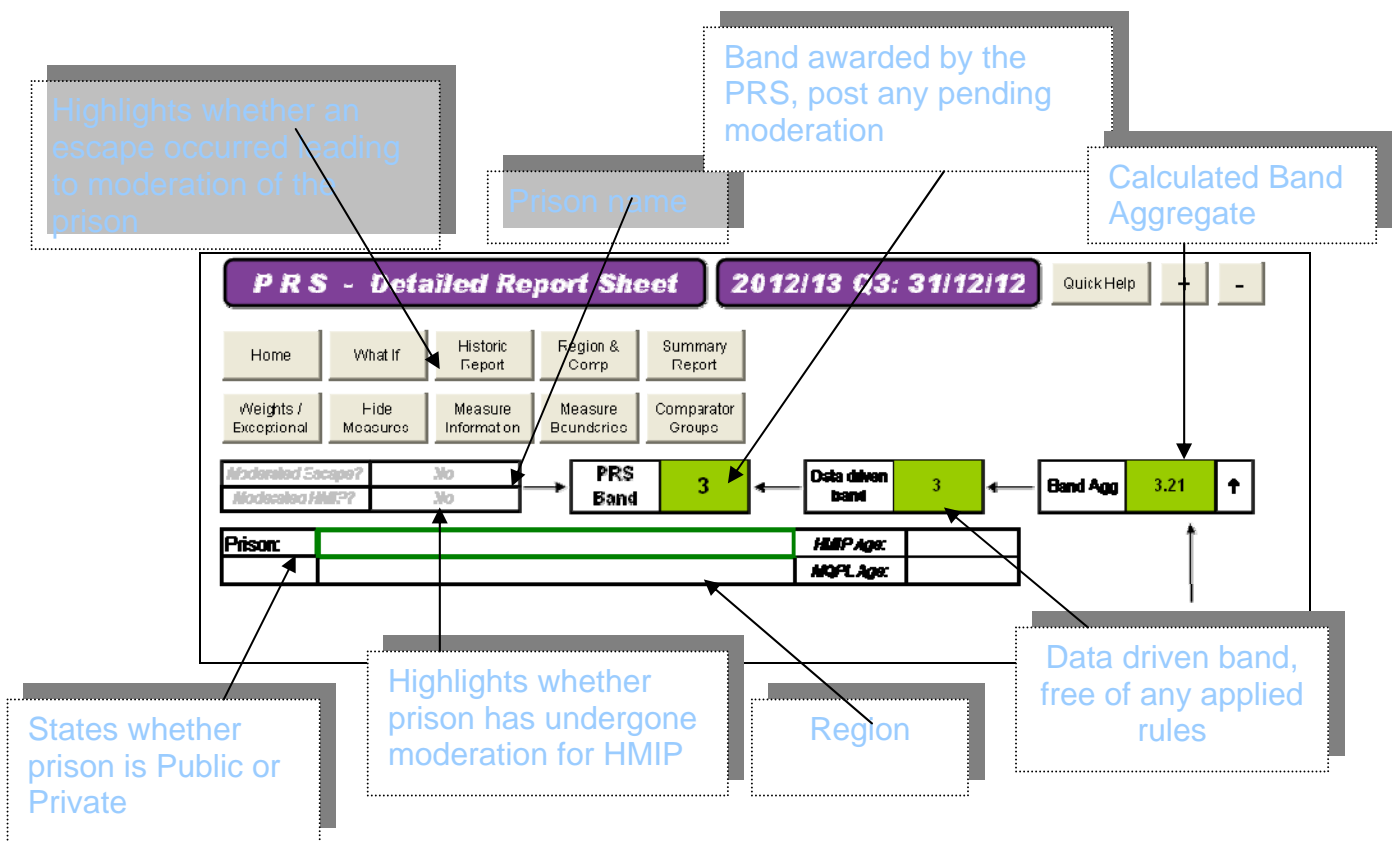
6. For example, consider the driver 'Resettlement'. The performance of this Driver can be found by measuring the performance of a series of measures in turn. These measures are 'Settled accommodation on release', 'Employment on Release', 'Education and Training on Release' and 'HMIP Resettlement'
7.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

The PRS Report Sheet

1. The PRS report sheet is a summary of each prison's performance and shows its overall rating band.
2. This note describes in more detail the various parts of the PRS report.

PRS Report Summary

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



4. The value in 'PRS Banding' can differ from that in 'Band Ago' due to moderation.

Prison Performance

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

The screenshot shows a PRS report interface with several callouts explaining its components:

- Measure/Driver/Domain number:** Points to the '1000' in the 'Public Protection' row.
- Description:** Points to the 'Public Protection' text in the same row.
- Data on actual performance:** Points to the '4' in the 'Actuals' column for 'Security Audit'.
- Target performance data that the prison should be aiming for:** Points to the '95%' in the 'Targets' column for 'ROTL Failure'.
- Shows weight of the Domain/Driver/Measure:** Points to the '29%' in the 'Weights' column for 'Public Protection'.
- Band that each measures performance goes into:** Points to the '3.40' in the 'Band' column for 'Public Protection'.
- Exceptional threshold shown here:** Points to the '4.00' in the 'Band' column for 'Security Audit'.
- Trend compared to last quarter:** Points to the '↔' in the 'Trend' column for 'Public Protection'.

Measure ID	Measure Name	Actuals	Targets	Weights	Band	Exceptional	Trend
1000	Public Protection			29%	3.40		↔
1100	Security Audit			40%	4.00		↔
1110	Security Audit	4		100%	4.00		↔
1200	Quality & Effectiveness of Offender Risk Management			20%	3.00		↔
1210	ROTL Failure	95.00%	95%	50%	3.00		↔
1220	OASYS QA	100.00%	90%	50%	3.00		↔

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

7. Some prisons have additional checks carried out for which flags are assigned in the PRS report sheet.

8. These additional checks are highlighted in yellow in the report sheet.

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Measure ID	Measure Name	Actuals	Targets	Weights	Band	Exceptional
3500	Availability & quality of offender regime			8%	2.00	
3520	HMIP Purposeful	2.00	SFU Score: 1 SFU Date: 02/05/2011	100%	2.00	
3600	Decent Conditions			8%	1.00	
3620	MQPL Decency	1.00		100%	1.00	
3700	Mental Health (Safer Custody)			15%	4.00	
3710	Safer Custody	4.00	Audit Date: 17/06/2011	100%	4.00	
3800	Violence Management					
3810	Violence Management	3.00	The Violence Management metric is formulated with reference to: -Violence rates as measured by the estimated numbers of assaults in assault and fight incidents -Management responses to assaults and fights measured police referrals, proven violence adjudications and numbers on basic. Violence Rating: 2 Management Rating: 3 For further information see the measure information.			
4000	Resource Management & Operational Effectiveness					
4400	Staff motivation and effective staff			National Target: 9.5	1.00	
4410	Staff Sickness	12.06	9.5	100%	1.00	10.67
4500	Value for Money					
4510	PCA	3	The figure shown is the % deviation of budget vs. modelled budget A negative figure corresponds to underspend A positive figure corresponds to overspend Budget: £11,568,855.73 Modelled Budget: £11,133,169.70 % dev. from Modelled Budget: 3.91%			
4600	Order and Control					
4610	C & R	82.61%				
4620	Tornado	21.78				
Tier 2 Measures						
5410	SIDs	0				

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

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

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

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P R S - Detailed Report Sheet		2012/13 Q3: 31/12/12		Quick Help		+ -	
Home	What If	Historic Report	Region & Comp	Summary Report			
Weights / Exceptional	Hide Measures	Measure Information	Measure Boundaries	Comparator Groups			
Moderated Escape?	No	PRS Band	3	Data driven band	3	Band Agg	3.12 ↑
Moderated HMPP?	No						
Prison:	Ashfield	HMP Age:	2 - 3 Years				
Private:	South West	MQPL Age:	2 - 3 Years				
Measure ID	Measure Name	Actuals	Targets	Weights	Band	Exceptional	Trend
1000	Public Protection			29%	3.00		↔
1100	Security Audit			50%	3.00		↔
1110	Security Audit	3		100%	3.00		↔
1200	Quality & Effectiveness of Offender Risk Management			25%	3.00		↔
1210	ROTL Failure	100.00%	95%	100%	3.00		↔
1220	OASys QA		90%	0%	N/A		
1300	Delivery of the sentence to the court			0%	N/A		
1310	KPI Escapes from Prison control	0	0	0%	3.00		↔
1320	Absconds	0.00		0%	N/A		
1400	Effective MAPPA			25%	3.00		↔
1410	MAPPA	100.00%	90%	100%	3.00		↔
1500	GPP			0%	N/A		
1510	GPP		80%	0%	N/A		
2000	Reducing Re-offending			29%	3.47		↑
2100	Reducing & Tackling Offender Drug Dependency			20%	4.00		↔
2110	MDT	0.97%	3.50%	100%	4.00	1.47%	↔
2300	Quality & Targeted coverage of OASys (needs assessment)			0%	N/A		
2310	OASys QA			0%	N/A		
2500	Resettlement (Social Inclusion)			80%	3.33		↔
2510	Settled Accommodation on Release	90.18%	80%	33%	3.00	96.6%	↔

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

Weights in the PRS

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

7. Please refer to Specification Annex for full weighting details.

HMIP and MQPL Weights

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

9. Figure 4 shows how the weights are adjusted:

Figure 4: HMIP/MQPL weighting

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

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

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

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

13. From Q3 2011/12 Update to the HMIP Short Follow-up Inspections and new Weight Rules

14. The way in which Short Follow-Up (SFU) Inspections are scored by HMIP has changed. Previously, if an establishment had an SFU Inspection, each HMIP measure would get a score ranging between 1 ('Outcomes for prisoners are poor') and 4 ('Outcomes for prisoners are good').

15. Under the new process, an SFU will be conducted where the overall inspection score is a 3 or 4. Each HMIP measure will have an SFU score of either 1 ('Insufficient progress has been made') or 2 ('Sufficient progress has been made').

16. PRS Rules

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

Dispersal Estates

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

Additional Rules in the PRS

1. Rules are used within the model to ensure prisons are assessed appropriately.
2. In the main, prison performance will be assessed against indicators with a target however in some circumstances an additional check will be made on the performance data.
3. Additional rules:
 - Since Q4 2010/11, a prison with any domain rated as Level 1 or Level 2 (<2.75) cannot achieve a Level 4, exceptional performance rating overall even if band aggregate is above ≥ 3.25 .
 - Escape: Moderation for Escape will be lifted without the need to submit moderation proposal if:
 - If the escape occurred over a year ago
 - The establishment has had a data driven rating of 3 (regardless of moderation) over the last 3 quarters.
 - The action plan resulting from the escape has been implemented.
 - The DDC will be responsible for alerting the PRS team if action plans have been implemented during the 'checking' period following provisional release and if so, the moderation will be lifted for validated release.
 - If HMIP or MQPL measure which is more than 1 year old and scores poorly then a reduced weighting is applied. See the weighting section for more information.
4. The main report uses rules to flag dates of inspections and escapes, small sample sizes and other additional information. The following flags are shown in the model where applicable:
 - Security Audit: Date of audit is shown;
 - ROTLs: Shows the number;

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- Escapes: Shows the date of the last escape;
- Settled Accommodation, Employment of Release and Education and Training on Release: Shows number if less than 100;
- HMIP and MQPL: Shows the age of the reports;
- HMIP SFU Scores: a pop-up message over the HMIP Actual displays the SFU score & date of score
- For audits, the traffic colour awarded is presented.
- Generic Parole Process: Shows number of expected GPP dossiers
- Violence Management: a pop-up message over the Actual displays the individual Violence and Management Ratings
- Prison Cost Analysis - PCA: : a pop-up message over the Actual displays both the Actual and Modelled Budget

Moderation Process

What is Moderation?

1. Moderation is a process is governed by the NOMS Agency Board (NAB). It is a process whereby there is an opportunity for the final prison rating, Q4, awarded to any given prison to be considered for amendment.
2. It enables additional evidence that cannot be accounted for in the PRS to be considered.
3. The process works as follows:

Prison Ratings for year end are produced



Director's offices collate all the moderation forms



Moderation forms are sent for final sign off and comments

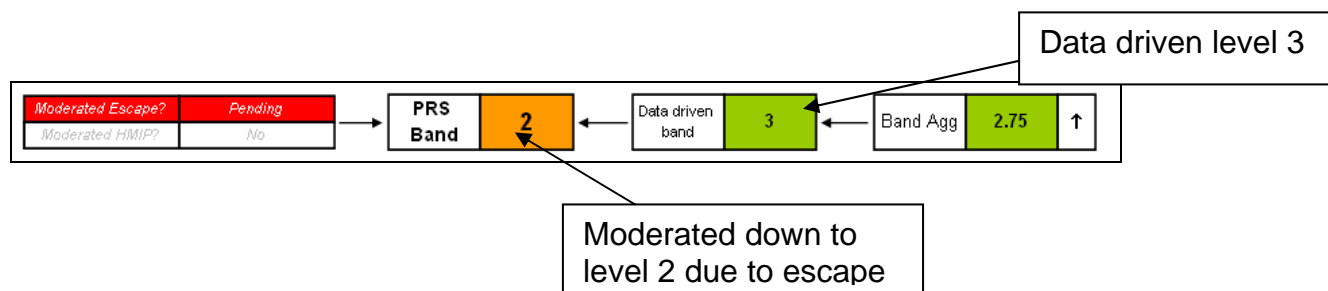


Moderation requests are considered at the NAB

4. Moderation is in Q4 for 2012.13.

Moderation for an escape

4. If an escape occurs, the PRS report highlights that the final rating is pending moderation and it will automatically go forward for mandated moderation.
5. Moderation for Escape will be lifted without the need to submit moderation proposal if: it happened over a year ago, the PRS rating has been => 3 for the last three quarters & the PRS team has confirmation from the DDC that the action plans have been implemented.
6. The DDC will be responsible for alerting the PRS team if action plans have been implemented during the 'checking' period following provisional release and if so, the moderation will be lifted for validated release.
7. This process ensures that all escapes are considered along with the circumstances that contributed to the escape and the robustness of any action plans.
8. The general expectation is that an escape will result in a downward moderation of the prison's rating however each case will be reviewed individually by the moderation panel.



Moderation for HMIP

9. If a prison has a level 1 score for 2 or more HMIPs then, as for escapes, the main report will highlight that the final prison rating is pending moderation and it will automatically go forward for mandated moderation.

10. A moderation form will be completed stating the DDC's recommendations and taking into consideration any changes in performance since the prison's last inspection.

Determining Band Levels

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

Figure 5: Level Description Table

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

2. The overall aggregated score is calculated using a similar hierarchy to the weights, shown in Annex C.
3. Performance for measures is assessed on a 4 point scale:
 - Level 1 – x % of target achieved. Where x indicates a level of unacceptable performance;
 - Level 2 – x % of target achieved. Where x is less than 100% but a relatively near miss when compared to target;
 - Level 3 – Meeting Target (100% of target met);
 - Level 4 – Either
 - a. Meeting target and doing better than peers (comparative group)
 - b. 4 pt scale already exists i.e. HMIP
 - c. Not applicable e.g. ROTL average performance is 99%
4. For details about individual measures and the level boundaries please see Specification Annex.

Dynamic Comparator Groups

5. Comparator groups are used in PRS when determining the exceptional performance ratings for certain measures, by allowing performance for one prison to be compared to a group of their peers. Previously, each prison was assigned to one comparator group, and these static groups were only updated following a significant re-role.
6. PAG has carried out a review of comparator groups for 2012/13. The aim of the review has been to create groups that are more data driven and to introduce a more consistent methodology across the different groups
- .
7. Groups will be based on broadly similar variables to those used in the current groups but a key difference is that individual groups will be based on a wider range of variables as opposed to the narrow range currently in existence for some groups. Examples of this would be *inner city male local* or *Cat C cellular - poor control* groups, which are based on single factors.
8. A further key difference is that groups will be dynamic as opposed to fixed. This means that each prison will have its own individual group, based on its statistical relationship with other prisons, rather than being part of a fixed group. This will place individual prisons at the centre of their group rather than potentially at the edge. This will address the current situation where some prisons may find themselves as an outlier in their current group.
9. Individual groups will be based on the statistical distance between prisons based on a series of variables. These are:
 - Gender
 - Prison main function
 - Average population
 - Budget
 - Average prisoner age
 - Annual churn

- Proportion of prisoners of each category
- Proportion of prisoners in each sentence length band

Exceptional Performance (Level 4)

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