

PRS: PRISON RATING SYSTEM

Specification Document

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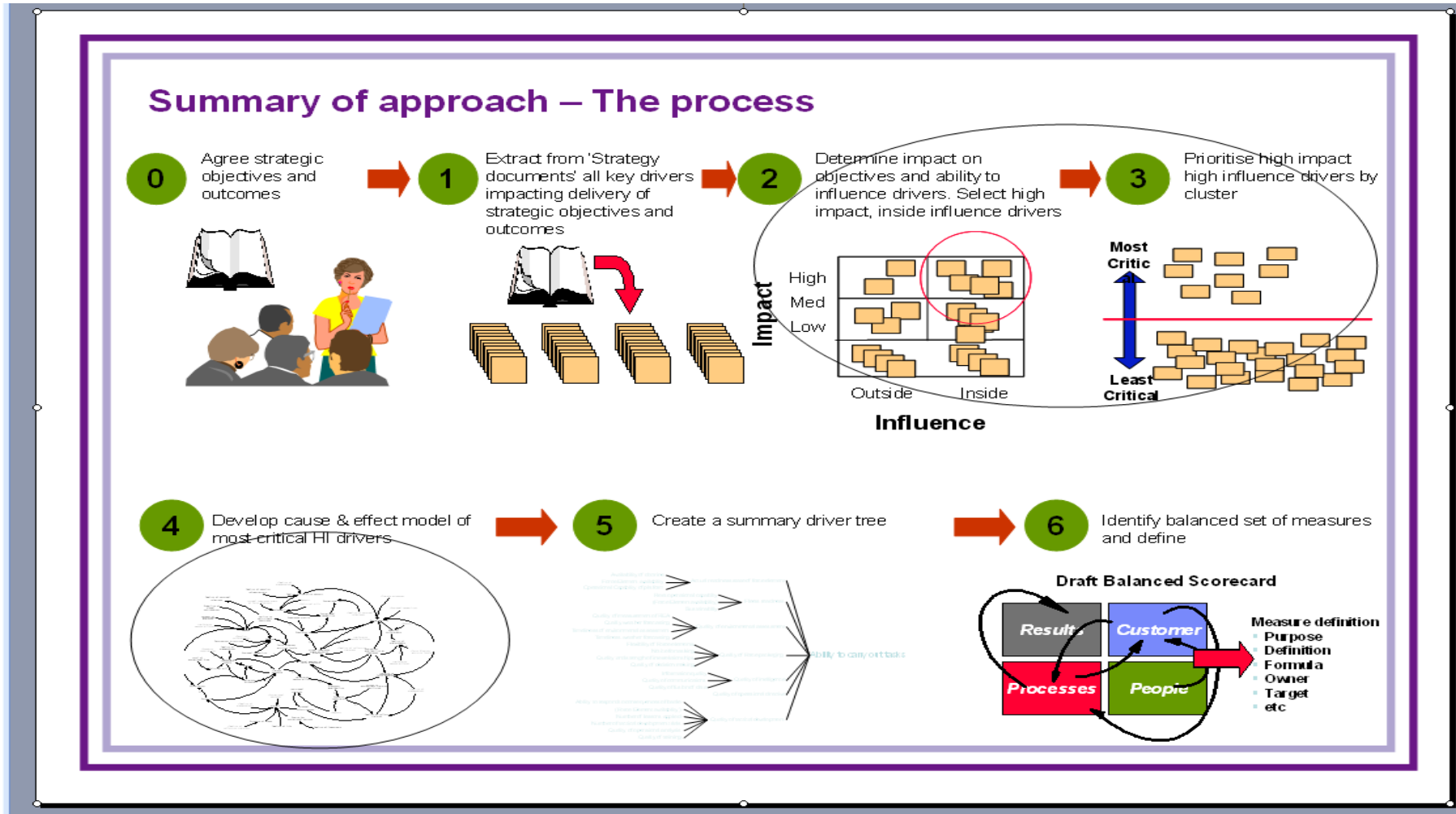
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INTRODUCTION TO THE PRS MODEL

- 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 and managed by NOMS.
- The main aim of the PRS model development was to create a single, transparent system that enables the performance of both public and private prisons to be measured.
- Development of the PRS has enabled a fresh outlook of the way in which prisons are rated in relation to their performance in four key areas (Public Protection, Reducing Reoffending, Decency and Resource Management and Operational Effectiveness).
- Development involved working closely with stakeholders (Operations, CJG and Policy) and taking on board feedback for present and future model development.
- PRS 13/14 is an annual performance assessment, based on the full year’s data and ratified by the NOMS Agency Board.
- Interim snapshots will be produced twice through the year, Q2 and Q3, for the purposes of operational management, but these will not be subject to moderation.
- The final, annual ratings, based on full year’s data, will be ratified by the full NOMS Agency Board (NAB) which includes the three NOMS Non-Executive Directors to provide independent assurance.
- Figure 1 outlines the basic process in the development of the PRS.

Figure1: Summary of the PRS approach



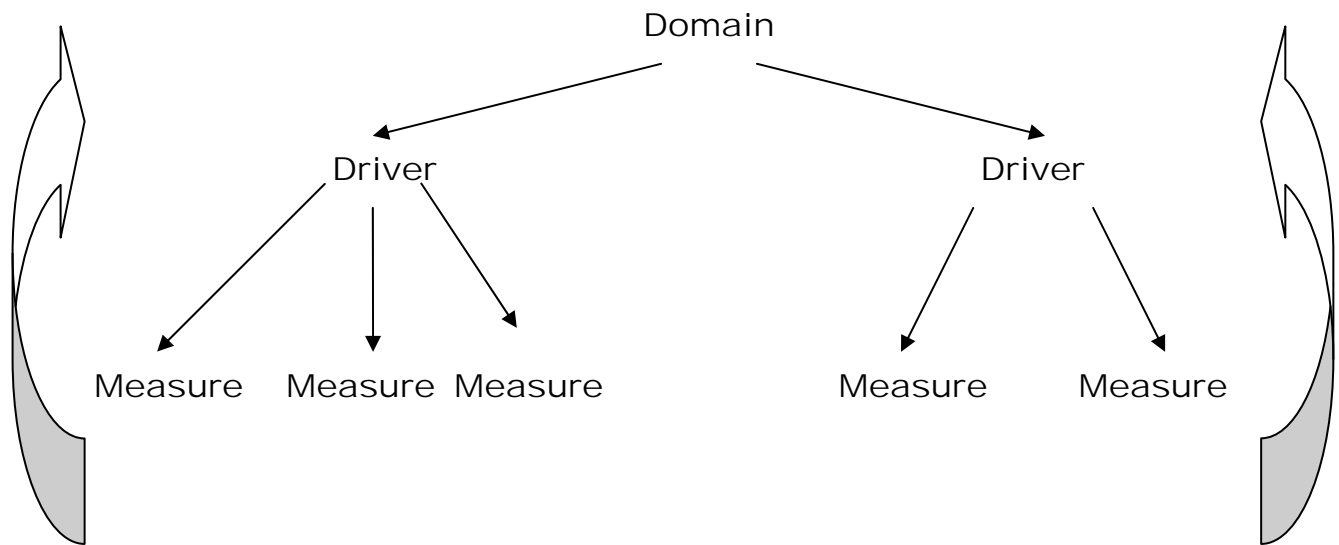
The Key Performance Areas in the PRS

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

Figure 2: The four Domains and their Drivers

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

Figure 3: Summary of Domain/Driver/Measure relationship



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

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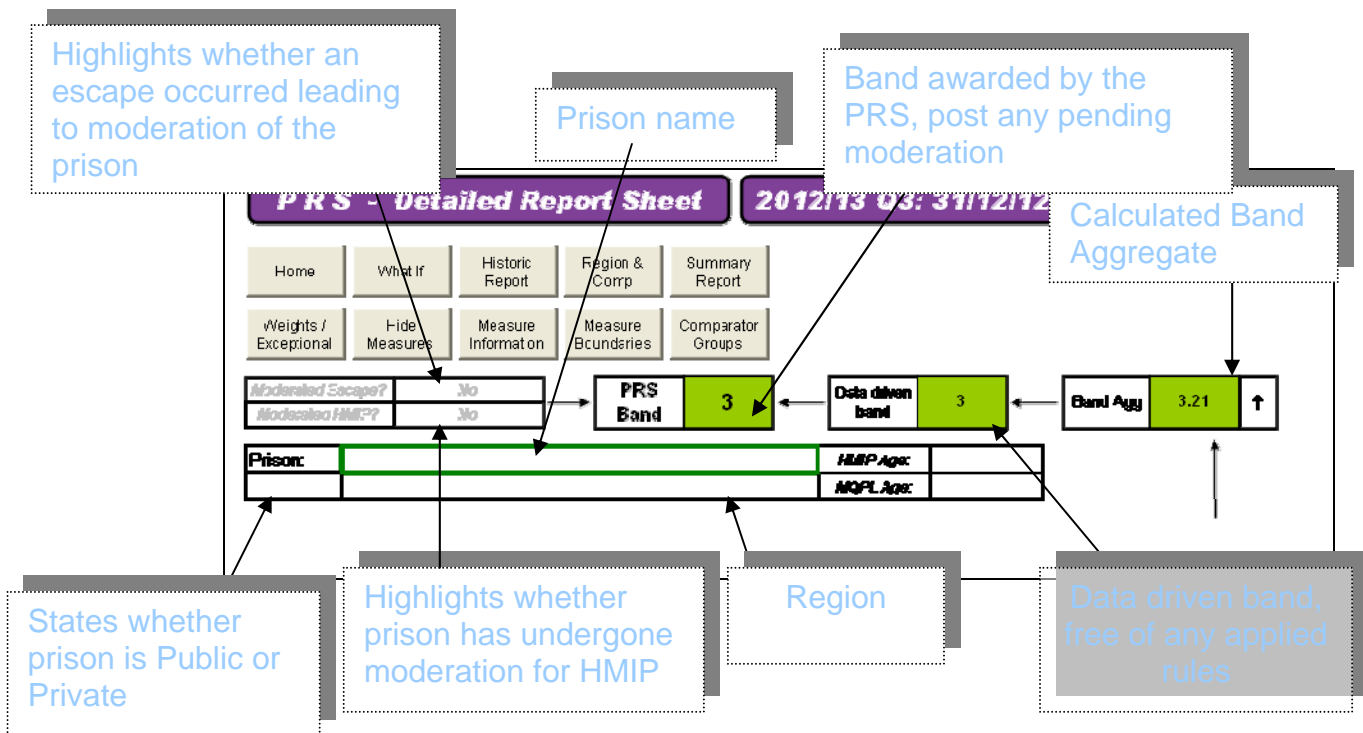
The PRS Report Sheet

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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 its Region, Comparator Group and whether the prison is public or private etc. It will also highlight whether the prison is pending moderated for an escape or poor HMIP outcomes.



4. An escape automatically downgrades the overall band by one. Therefore, the value in 'PRS Banding' can differ from that in 'Band Agg' 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 sheet for 'Altcourse' prison. At the top, there are summary boxes: 'PRS Band 3', 'Data driven band 3', and 'Band Agg 3.21'. Below these are filters for 'Prison: Altcourse' and 'Private: North West'. The main table lists measures with columns for Measure ID, Measure Name, Actuals, Targets, Weights, Band, Exceptional, and Trend. Callouts explain that the PRS Band is determined by the Data driven band and Band Agg. The table shows that the overall PRS Band is 3, while individual measures like 'Public Protection' (Band 3.40) and 'Security Audit' (Band 4.00) have higher bands. A red triangle in the 'Actuals' column for 'Security Audit' indicates additional information is available.

| 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 | OASy's 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 information for which flags are assigned in the form of cell comments in the PRS report sheet.

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

PRS 2013/14 Specification

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

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: 2

For further information see the measure information.

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.

PRS - Detailed Report Sheet | 2013/14 Q2: 30/09/13 | Quick Help | + | -

Home | What's | Historic Report | Region & Comp | Summary Report

Weights / Exceptional | Hide Measures | Measure Information | Measure Boundaries | Comparability Groups

Moderated Escape? No | Moderated HMIP? No

PRS Band: **4** | Data driven band: **4** | Band Agg: **3.27**

Prison: | HMIP Age:

Region: | MOPL Age:

| Measure ID | Measure Name | Actuals | Targets | Weights | Band | Exceptional | Trend |
|-------------|---|---------|---------|------------|-------------|-------------|-------|
| 1000 | Public Protection | | | 29% | 3.20 | | |
| 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 | 100.00% | 95% | 50% | 3.00 | | |
| 1220 | OASy's QA | 100.00% | 90% | 50% | 3.00 | | |
| 1300 | Delivery of the sentence to the court | | | 0% | N/A | | |
| 1310 | KPI Escapes from Prison control | 0 | | 0% | 3.00 | | |
| 1320 | Absconds | 0.00 | 0 | 0% | N/A | | |
| 1400 | Effective MAPP | | | 20% | 3.00 | | |
| 1410 | MAPP | 100.00% | 90% | 100% | 3.00 | | |
| 1500 | GPP | | | 20% | 2.00 | | |
| 1510 | GPP | 87.50% | 90% | 100% | 2.00 | | |
| 2000 | Reducing Re-offending | | | 29% | 3.64 | | |
| 2100 | Reducing & Tackling Offender Drug Dependency | | | 17% | 4.00 | | |
| 2110 | MDT | 6.54% | 10.00% | 100% | 4.00 | 9.23% | |
| 2300 | Quality & Targeted coverage of OASy's (needs assessment) | | | 17% | 3.00 | | |
| 2310 | OASy's QA | 100.00% | 90.0% | 100% | 3.00 | | |

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

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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 (Control & Restraint (C&R) Training and Tornado Commitment) which each carry 50% of the driver weight i.e. 1.0. If, for an individual prison C&R is not applicable then the measure weights are redistributed so that the Tornado measure now carries 100% of the driver weight i.e. 2.0.
7. Please refer to Specification Annex for full weighting details.

HMIP and MPQL 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. In Q3 2011/12 HMIP changed the methodology for Short Follow-up Inspections and new Weight Rules were introduced in PRS. HMIP ceased SFU's in April 2014 but the scores will continue to be included in PRS, and the rules apply, until they are made redundant by a new full inspection by HMIP.
14. SFU Scoring: 1 = Insufficient progress has been made or 2 = Sufficient progress has been made.
15. PRS Rules
 - Poor original scores (1&2) and poor SFU scores (1): the *date* used for the age reduction in the weight will be the date of the SFU inspection. I.e. a prison will not benefit from age reduction based on the date of the initial full inspection. The weights applied to the original scores will be reduced as per Figure 4.
 - Poor original scores (1&2) and good SFU Scores (2): no changes to the current age weighting process.
 - Good original scores (3&4) and poor SFU (1): the weight on original score is reduced by 50% and then it increases time; 1 – 2 years 75% and older than 2 years 100%
 - Good original scores (3&4) and good SFU Scores (2): no age reduction to weight

Dispersal Estate

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

Additional Rules in the PRS

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1. Rules are used within the model to ensure prisons are assessed appropriately.
2. In the main, prison performance will be assessed against indicators with a target however in some circumstances an additional check will be made on the performance data.
3. Additional rules:
 - If a prison has a level 1 sickness rating it cannot achieve a Level 4, exceptional performance rating overall even if band aggregate is above ≥ 3.25 .
 - 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 .
 - If an escape occurs, the PRS report highlights that the final rating is pending moderation and it will automatically go forward for mandated moderation. To indicate this 'Escape Moderation?' Field is populated with 'Automatic'. The overall PRS Band will decrease by one band from the data driven score.
 - If a prison scores two or more level 1s for HMIP measures (for clusters and split establishment ≤ 1.5 aggregated score) then the prison will automatically go forward for moderation, as for escapes. The main report will highlight that the final prison rating is pending moderation at year end.
 - 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;
 - 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
 - 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

Treating Prison Closures, Openings and Re Roles

New Prisons & Inclusion in PRS

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

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

Prison Closures in PRS

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

Comparator Groups

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

Prison Re Roles

1. It is the Commissioner's responsibility and final decision whether to classify a change as a re-role or not.

2. In the case of a *significant* change the commissioner can grant bedding-in period between 3 and 6 months.

Moderation Process

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What is Moderation?

1. Moderation is a process whereby there is an opportunity for the final prison rating, Q4, awarded to any given prison to be considered for amendment.
2. It enables additional evidence that cannot be accounted for in the PRS to be considered.
3. Process:

PAG produces end-year prison ratings

Directors and Commissioners submit a joint moderation proposal to the NOMS Agency Board (NAB) challenging the final rating

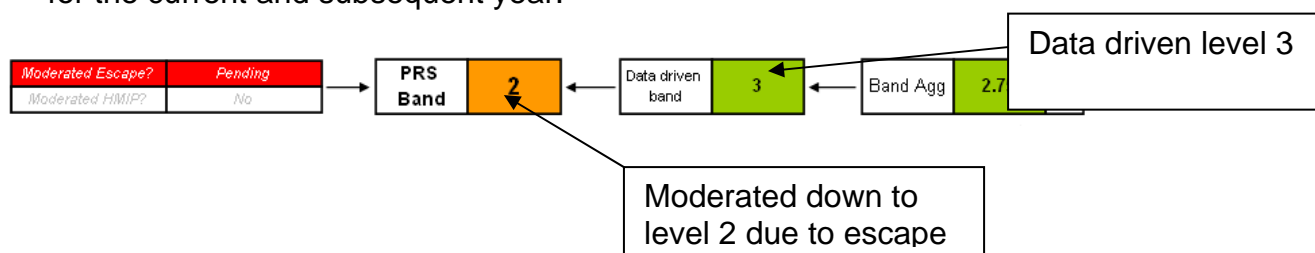
NAB considers the evidence recommendations on the proposal and decides a final rating

PAG publish annual rating internally on the PAG Performance Hub

The annual ratings are published on the gov.uk website supported by the underlying data and documentation

Moderation for an escape

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



Moderation for HMIP

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

Determining Band Levels

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

Figure 5: Level Description Table

| Total Score | Level | Level Description |
|-----------------------|----------|---|
| ≥ 3.25 | 4 | Exceptional Performance |
| $\geq 2.75 \leq 3.25$ | 3 | Meeting the majority of targets |
| $\geq 2.2 \leq 2.75$ | 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 4 Either:
Meeting targets and doing better than peers
A 4 point scale already exists (for example HMIP)
Is not awarded as it not applicable (for example, there is no reason to exceed the target)
 - Level 3 Meeting target (100% of target met)
 - Level 2 % of target achieved is less than 100%, but is a relatively near miss
 - Level 1 % of target achieved represents unacceptable performance
4. For details about individual measures and the level boundaries please see PRS Specification Annex.

Dynamic Comparator Groups

5. Comparator groups are used in PRS when determining the exceptional performance ratings for certain measures, by allowing performance for one prison to be compared to a group of their peers.
6. 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.

7. 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.
8. 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)

9. 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.
10. 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.
11. 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.
12. 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.
13. For audits, HMIP and MQPL a level 4 is achieved by a Green colour being awarded to the establishment.

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