# PRS: PRISON RATING SYSTEM

# Specification Document
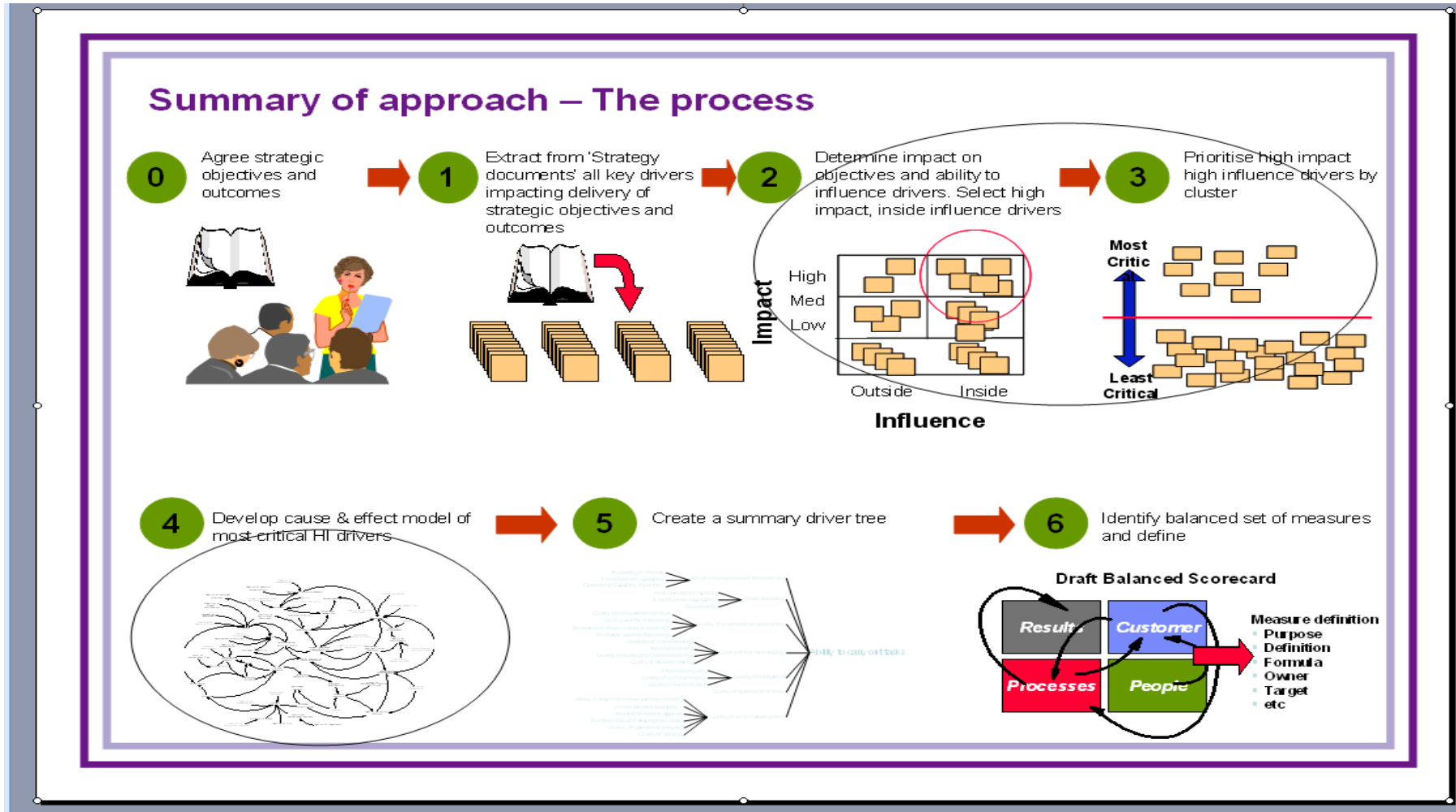
## Introduction to the Prison Rating System

1. The **P**rison **R**ating **S**ystem is abbreviated to the **PRS**.

2. The overall aim of the PRS can be summarised as "Measure what counts rather than count what is easier to measure".

3. The PRS was developed by the Criminal Justice Group (CJG) alongside the National Offender Management Service (NOMS). It was owned and managed by NOMS.

4. The main aim of the PRS development was to create a single, transparent system that enables the performance of both public and contracted prisons to be measured.

5. The development of the PRS enabled a fresh outlook on 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.

6. Development involved working closely with stakeholders (Operations, CJG and Policy) and taking on board feedback for present and future system development.

7. The first PRS was released in Q1 2009.

8. Interim snapshots are produced three times through the year at Q1, Q2 and Q3, for the purposes of operational management and internal monitoring of performance.

9. The final annual ratings are based on a full year's data, April to March, and were ratified by the HMPPS Agency Board which includes the Non-Executive Directors to provide independent assurance. NOMS was replaced by HM Prison and Probation Service (HMPPS) in April 2017.

10. Figure 1 outlines the basic process in the development of the PRS.

Figure 1: Summary of the PRS approach.

## System Ratings

1. PRS calculates an overall band between 1 to 4 for each prison, i.e. the prison ratings. Each band represents the level of performance the prison is operating at.

Table 1: PRS Bands & Description

| PRS Band | Description |
|---|---|
| 4 | Exceptional Performance |
| 3 | Meeting the Majority of Targets |
| 2 | Overall Performance is of Concern |
| 1 | Overall Performance is of Serious Concern |

## Methodology

1. The PRS band is based on the performance of 31 performance measures (for 2016/17). The number of measures may vary from year to year. See the PRS Dataset for the full list of measures.

2. Six (2016/17) additional measures are also monitored and do not contribute to the PRS band.

3. Escapes, whilst rare, are of significant importance and have a rule attached; please see Rules section.

4. Number of months MDT required random testing not met has a rule attached to it; please see Rules section.

5. Two measures, Non- and Specified Service Costs Within Expected Ranges, are for management information only.

6. Two Tier 2 measures are included; please see the PRS Report section.

### PRS Structure

7. The PRS has a hierarchical structure composed of four levels:

   ➢ Overall PRS Band/Rating.
   ➢ Domains (Public Protection, Reducing Reoffending, Decency and Resource Management and Operational Effectiveness).
   ➢ Drivers; see Table 2.
   ➢ Measures; see the PRS Dataset.

8. Performance of each measure feeds into a driver, the driver performance feeds into a domain and the domain performance feeds into the overall PRS band, as illustrated in Figure 2.

9. The number of measures feeding each driver is variable.
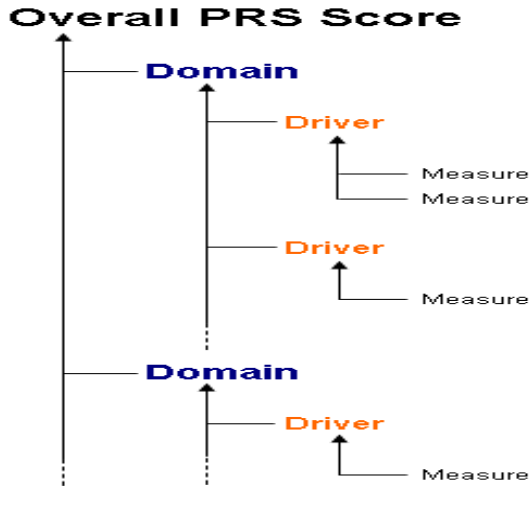
Figure 2: PRS Structure.



Table 2: Domains and Drivers in PRS 2016/17.

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

10. PRS' hierarchical methodology also distinguishes how important each measure, driver and domain is within the model.

11. The importance of each item is also referred to as its 'weight'. Please see the PRS Dataset for all weights by measure, driver and domain.

12. For example, the measure 'Security Audit' has been deemed to be the most important measure in PRS with a relative weight of 9.5%.

13. If a measure is not applicable for one prison the weight of this measure will be re-distributed amongst the other measures or drivers in the domain. This ensures that no prison is treated unfairly or penalised.

Example:

14. Two measures feed into the performance of the driver 'Order & Control': Control & Restraint (C&R) Training and Tornado Commitment.

15. As both measures have been deemed to have equal importance, each carries 50% of the driver weight.

16. If C&R is not applicable for one prison then the measure weight is redistributed so that the Tornado measure now carries 100% of the driver weight.

**Figure 3: PRS Calculation Flow.**

## Overall PRS Score

**Resource Management & Operational Effectiveness** - 14.3% of overall score

Order & Control - 8.9% of total domain value

Control & Restraint Training - 50% of total driver value

Tornado Commitment - 50% of total driver value

Differential Weights According to Prison Type

17. Weights for individual measures differ in some instances from prison to prison. This is to reflect that some areas of performance have been deemed of more or less importance for some prisons than for others.

18. On these bases the prisons have been divided into five prison groups:

*Other – Local Function*
*Other – No Local Function*
*Working Prison*
*Local*
*Dispersals*

19. Please see the PRS Dataset for a complete set of weights by prison type.

HMIP and MPQL Weights

20. The results of Her Majesty's inspectorate of Prisons (HMIP) inspections and Measuring the Quality of Prison Life (MQPL) are weighted in order to take into account the age of the assessment.

21. Table 3 shows how the weights are adjusted.

Table 3: 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% |

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

23. If a prison has obtained a good MQPL or HMIP score of 3 or 4, there is no weight reduction regardless of how old the assessment is.

24. If a prison has however obtained a poor MQPL or HMIP score of 1 or 2 and the assessment is older than two years, the measure weight is reduced by 50 percent.

25. If the poor score is older than three years, the measure weight is reduced by 75 percent.

## Annual Developmental Cycle

1. The Prison Rating System evolves from year to year, with measures and drivers being removed and new ones being introduced. The relative importance, or weight, of each measure, driver and domain is also reviewed annually.

2. Which measures/drivers are included in PRS each year and how important they are is decided according to Business Needs/Priorities/Policies. Examples are:
   Business needs – Data Integrity Driver
   Priority – Violence Reduction
   Policy – Work in Prison

## The PRS Model

1. The PRS model which generates the ratings is built in Excel and uses underlying visual basic application (VBA) which performs calculations & runs functions. The measures in the model are fed by approximately 80 separate data points.

2. The model calculates the performance for each measure, driver and domain and an overall PRS *Band Agg*. The Band Agg is then mapped against one of the PRS Bands 1-4, aka the prison rating.

3. The model was streamlined in 12/13 to make it smaller & faster

### PRS Model Functions

4. The model contains several features and functions.

5. Report – this is the main report, please see below section.

6. WhatIf – a function to analyse the overall impact of an expected improvement/decline in performance at measure level.

7. PRS Light Report - this is a new (2016/17) view of the PRS Report called 'PRS Light'. This gives a simplified breakdown of performance.

8. Historical Report – shows performance for the last three quarters.

9. Group Report – data can be viewed by region or by individually designed groups. The model calculates the average group performance.

10. Indicator Information – technical descriptions of the indicators.

11. Dynamic Groups – these groups are used for identifying 'exceptional' performance for some measures, for example Mandatory Drug Testing.

12. PRS Explained – detailed information about the PRS model and methodology.
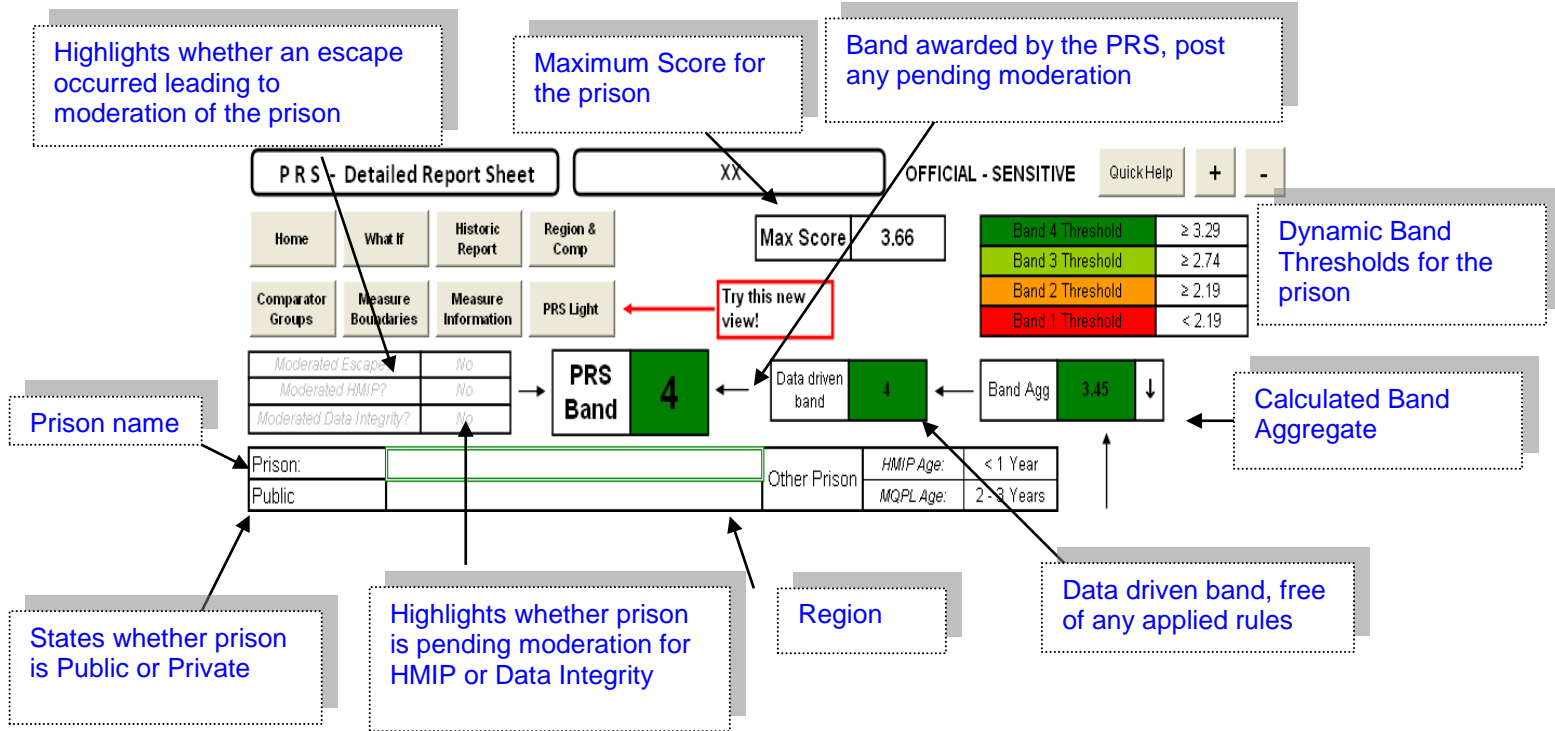
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### The PRS Report

13. The PRS report sheet is a summary of each prison's performance by measure, driver and domain and shows its overall rating band.

14. This note describes in more detail the various parts of the PRS report.

### PRS Report Summary

15. The top part of the PRS report sheet, which can be seen below, contains all the basic information regarding the prison. This includes the region, prison type and whether the prison is public or private etc. It will also highlight whether the prison is pending automatic end-year moderation for an escape or poor HMIP outcomes or Data Integrity.

Figure 4: PRS Report Illustration – Prison Information.
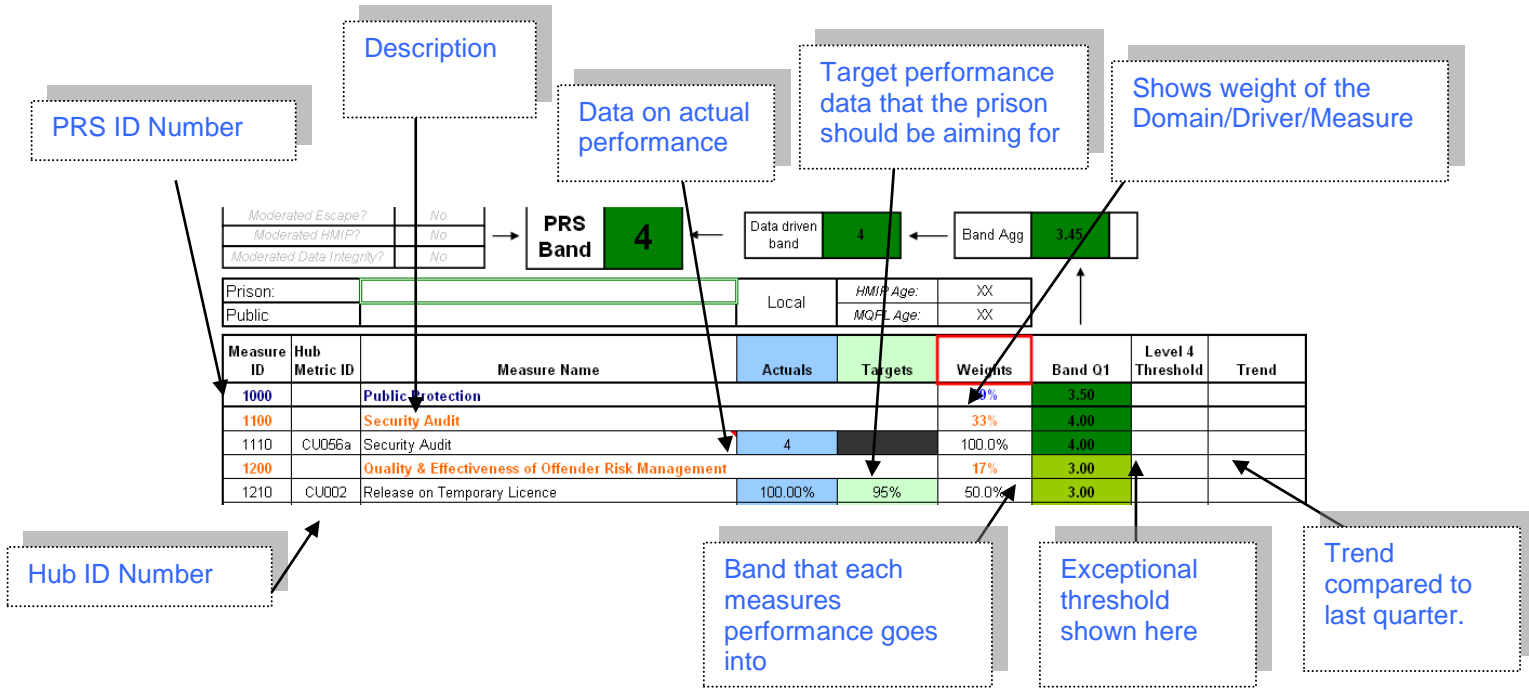


16. The value in 'PRS Band' can differ from that in 'Band Agg' if an escape has occurred. The prison's PRS band is then automatically downgraded by one.

### Prison Performance

17. The report shows, for each prison, how well each measure/driver and domain has performed against their respective targets. For drivers and domains the satisfactory level of performance is a band of 3.

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Figure 5: PRS Report Illustration – Measure, Driver & Domain Performance.



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

19. Some prisons have additional information for which flags are assigned in the form of cell comments or 'pop ups' in the PRS report sheet.

20. 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

Figure 6: PRS Report Illustration – Additional Information Available.



21. Tier 2: 'Self Inflicted Death' and 'percentage of targets missed', are also included in the report sheet. These measures do not contribute to the data-driven assessment and are for management information only.

## Figure 7: PRS Report Illustration – Tier 2

| | | Tier 2 Measures | | | | |
|---|---|---|---|---|---|---|
| 5410 | CU005a | Self Inflicted Deaths (SIDs) | 0 | | 0% | 3.00 |
| 5420 | | % of Missed Targets | 15.38% | | 0% | N/A |

22. The diagram below is a snap shot of a typical PRS report sheet.

## Figure 8: PRS Report Illustration

PRS - Detailed Report Sheet — #N/A — OFFICIAL - SENSITIVE — Quick Help — + — -

Home | What If | Historic Report | Region & Comp Group — Max Score 3.63

Band 4 Threshold ≥ 3.27
Band 3 Threshold ≥ 2.72
Band 2 Threshold ≥ 2.18
Band 1 Threshold < 2.18

Comparator Groups | Measure Boundaries | Measure Information | PRS Light

Moderated Escape? No
Moderated HMIP? No
Moderated Data Integrity? No

PRS Band 4 ← Data driven band 4 ← Band Agg 3.27

HMIP Age: < 1 year
MQPL Age: < 1 year

| Measure ID | Hub Metric ID | Measure Name | Actuals | Targets | Weights | Band Q4 2016/17 | Level 4 Threshold | Trend |
|---|---|---|---|---|---|---|---|---|
| 1000 | | Public Protection | | | 30% | 3.50 | | |
| 1100 | | Security Audit | | | 50% | 4.00 | | |
| 1110 | CU056a | Security Audit | 4 | | 100.0% | 4.00 | | |
| 1200 | | Quality & Effectiveness of Offender Risk Management | | | 0% | N/A | | |
| 1210 | CU002 | Release on Temporary Licence | | 95% | 0.0% | N/A | | |
| 1300 | | Delivery of the sentence to the court | | | 0% | N/A | | |
| 1310 | CU007 | KPI Escapes from Prison control | | | 0.0% | 3.00 | | |
| 1320 | CU003 | Absconds | | | 0.0% | N/A | | |
| 1400 | | MAPPA Effectiveness | | | 25% | 3.00 | | |
| 1410 | CU086 | MAPPA Effectiveness | 100.00% | 90% | 100.0% | 3.00 | | |
| 1500 | | Generic Parole Process | | | 25% | 3.00 | | |
| 1510 | CU108 | Generic Parole Process (GPP) | 97.50% | 90% | 100.0% | 3.00 | | |
| 2000 | | Reducing Re-offending | | | 25% | 3.16 | | |
| 2100 | | Reducing & Tackling Offender Drug Dependency | | | 16% | 4.00 | | |
| 2110 | CU016 | MDT | 0.28% | 3.75% | 100.0% | 4.00 | 1.13% | |
| 2120 | CU016b | No. of months MDT required random testing not met | 0 | | 0.0% | 3.00 | | |
| 2300 | | Offender Management | | | 30% | 3.00 | | |
| 2310 | CU083 | OASys QA | 100.00% | 90.0% | 44.6% | 3.00 | | |
| 2320 | CU116 | Offender Management Audit | 3 | | 55.4% | 3.00 | | |
| 2500 | | Resettlement (Social Inclusion) | | | 8% | 3.00 | | |
| 2540 | CU067 | HMIP Resettlement | 3.00 | | 100.0% | 3.00 | | |
| 2550 | CU110 | BCST Part 1 | | 90.00% | 0.0% | N/A | | |
| 2600 | | Targeting Quality interventions to the right offenders at the right time | | | 16% | 3.00 | | |
| 2610 | CU021 | Offender Behaviour Programme (OBP) Completions | 73 | 72 | 100.0% | 3.00 | | |
| 2700 | | Sex Offender Treatment Programmes | | | 16% | 3.00 | | |
| 2710 | CU019 | Sex Offender Treatment Programme (SOTP) Completions | 19 | 18 | 100.0% | 3.00 | | |
| 2800 | | Work in Prisons | | | 16% | 3.00 | | |
| 2810 | CU095a | Hours Worked in Industry | 89.22% | 80.0% | 100.0% | 3.00 | | |
| 3000 | | Decency | | | 30% | 3.12 | | |
| 3100 | | Diversity & Equality | | | 7% | 2.00 | | |
| 3130 | CU074a | MQPL BME Simplified | 0 | 1 | 100.0% | 2.00 | | |
| 3200 | | Quality of Offender General Treatment/Experience | | | 14% | 3.00 | | |
| 3210 | CU075 | HMIP Respect | 3.00 | | 100.0% | 3.00 | | |
| 3300 | | Maintaining Order, Control, Safety & Reducing Violence | | | 7% | 4.00 | | |
| 3320 | CU076 | MQPL Safety | 4.00 | | 100.0% | 4.00 | | |
| 3400 | | HMIP Safety | | | 14% | 3.00 | | |
| 3410 | CU077 | HMIP Safety | 3.00 | | 100.0% | 3.00 | | |
| 3500 | | Availability & Quality of Offender Regime | | | 11% | 4.00 | | |
| 3520 | CU078 | HMIP Purposeful Activity | 4.00 | | 100.0% | 4.00 | | |
| 3600 | | Decent Conditions | | | 7% | 3.00 | | |
| 3620 | CU079 | MQPL Decency | 3.00 | | 100.0% | 3.00 | | |
| 3700 | | Mental Health (Self Harm) | | | 14% | 4.00 | | |
| 3710 | CU057a | Self Harm Audit | 4.00 | | 100.0% | 4.00 | | |
| 3800 | | Violence Reduction | | | 26% | 2.50 | | |
| 3820 | CU113 | Violence - Record | 4.00 | | 50.0% | 4.00 | | |
| 3830 | CU115 | Violence - Reduce | 1.00 | | 50.0% | 1.00 | | |
| 4000 | | Resource Management & Operational Effectiveness | | | 14% | 3.31 | | |
| 4100 | | Data Integrity | | | 20% | 3.00 | | |
| 4110 | CU105a | Prison NOMIS Dashboard | 2.90 | 2.85 | 50.0% | 3.00 | 2.92 | |
| 4120 | CU106 | Data Integrity Audit | | | 0.0% | N/A | | |
| 4130 | CU104 | INview Unassigned Costs | -0.06% | 1.00% | 50.0% | 3.00 | | |
| 4200 | | Foreign National Prisoner Referrals | | | 0% | N/A | | |
| 4210 | CU099 | Foreign National Prisoner Referrals | | 90% | 0.0% | N/A | | |
| 4400 | | Staff Motivation & Effective Staff | | | 31% | 4.00 | | |
| 4410 | CR003 | Staff Sickness | 5.96 | 9 | 100.0% | 4.00 | 7.13 | |
| 4500 | | Value for Money | | | 39% | 3.00 | | |
| 4510 | CU111 | Prison Operating within Budget | 99.6% | 100.0% | 100.0% | 3.00 | | |
| 4600 | | Order & Control | | | 10% | 3.00 | | |
| 4610 | CU031 | Control & Restraint (C&R) Training | 86.14% | 80% | 50.0% | 3.00 | | |
| 4620 | CU060 | Tornado Commitment | 40.67 | 36.00 | 50.0% | 3.00 | | |
| | | Tier 2 Measures | | | | | | |
| 5410 | CU005a | Self Inflicted Deaths (SIDs) | | | 0% | 3.00 | | |
| 5420 | | % of Missed Targets | 8.33% | | 0% | N/A | | |

23. 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.

## Calculation & Band Thresholds

1. An overall PRS Band Agg is calculated for each prison which then maps against one of the PRS Bands 1 – 4.

2. How?

### Step 1) Measure level

3. Colour code **Black** in the PRS Report.

4. Each measure performance is mapped against a band.

5. Each measure has its own specific thresholds. The standard is 'Met Target' = Band 3. Please see the PRS Dataset for individual measures' band thresholds.

6. The below example shows that a band 3 has been achieved as the actual performance of 85% is above the target of 80% for C&R. A band 1 has been achieved for Tornado as the actual performance is 19.5 against a target of 24. A band 1 has been awarded as only 81% of the target has been achieved (19.5 / 24 = 81%).

Table 4: Measure Level Calculation.

| Measure ID | Hub Metric ID | Measure Name | Actuals | Targets | Weights | Band |
|---|---|---|---|---|---|---|
| 4610 | CU031 | Control & Restraint (C&R) Training / Minimising and Managing Physical Restraint (MMPR) Training | 85.31% | 80% | 50.0% | 3.00 |
| 4620 | CU060 | Tornado Commitment | 19.50 | 24.00 | 50.0% | 1.00 |

### Step 2) Calculate driver band

7. Colour code **Orange**.

8. If there is one measure in the driver; the driver band will equal the measure band.

9. If there are two or more measures in a driver = the sum of (**measure bands x weights**), as illustrated below.

Table 5: Driver Level Calculation.

| Measure ID | Hub Metric ID | Measure Name | Actuals | Targets | Weights | Band | Band x Weight |
|---|---|---|---|---|---|---|---|
| 4600 | | Order & Control | | | 8.9% | 2.00 | 1.50 + 0.50 = 2.00 |
| 4610 | CU031 | Control & Restraint (C&R) Training / Minimising and Managing Physical Restraint (MMPR) Training | 85.31% | 80% | 50.0% | 3.00 | 3.00 x 50% = 1.50 |
| 4620 | CU060 | Tornado Commitment | 19.50 | 24.00 | 50.0% | 1.00 | 1.00 x 50% = 0.50 |

## Step 3) Calculate domain band

10. Colour code **Blue**.

11. The sum of (driver bands x weights).

12. The measures have been hidden below to illustrate clearly how the drivers sum to the domain band.

Table 6: Domain Level Calculation.

| Measure ID | Hub Metric ID | Measure Name | Actuals | Targets | Weights | Band | Band x Weight |
|---|---|---|---|---|---|---|---|
| 4000 | | Resource Management & Operational Effectiveness | | | 14.3% | 3.20 | |
| 4100 | | Data Integrity | | | 17.8% | 3.00 | 3.00 x 17.8% = 0.54 |
| 4200 | | Foreign National Prisoner Referrals | | | 8.9% | 3.00 | 3.00 x 8.9% = 0.27 |
| 4400 | | Staff Motivation & Effective Staff | | | 28.6% | 4.00 | 4.00 x 28.6% = 1.14 |
| 4500 | | Value for Money | | | 35.7% | 3.00 | 3.00 x 35.7% = 1.07 |
| 4600 | | Order & Control | | | 8.9% | 2.00 | 2.00 x 8.9% = 0.18 |

## Step 4) Calculate overall PRS Band Aggregate (Band Agg)

13. The sum of (domain bands x weights).

14. Table 7 below shows only the four domains and how their scores multiplied by weights equal the data driven band agg.

15. The band agg is then mapped to an overall PRS Band (1 to 4) according to set band thresholds.

Table 7: Calculation overall PRS Score.

| Measure ID | Hub Metric ID | Measure Name | Actuals | Targets | Weights | Band | Band x Weight |
|---|---|---|---|---|---|---|---|
| 1000 | | Public Protection | | | 28.6% | 3.40 | 3.40 x 28.6% = 0.97 |
| 2000 | | Reducing Re-offending | | | 25.0% | 3.17 | 3.17 x 25.0% = 0.79 |
| 3000 | | Decency | | | 32.1% | 3.00 | 3.00 x 32.1% = 0.96 |
| 4000 | | Resource Management & Operational Effectiveness | | | 14.3% | 3.20 | 3.20 x 14.3% = 0.46 |

Moderated Escape? No · Moderated HMIP? No · Moderated Data Integrity? No → PRS Band 3 ← Data driven band 3 ← Band Agg 3.18 ↑

## Dynamic PRS Thresholds

16. Each prison has its own unique band thresholds which are relative to the measures that are applicable to the prison.

17. How?
A 'maximum' Band Agg score is calculated for each prison. The maximum score is the sum of the highest outcomes for each applicable measure for the prison. That is, for the maximum score a prison would have to meet every target and score a band 4 for those measures were a 4 is applicable.

18. A percentage is then applied to each prison's maximum score and a band mapped against it; see Table 8.

Table 8: Old Static Thresholds & New Dynamic Thresholds.

| | 2014/15 Band Thresholds | 2015/16 Band Thresholds |
|---|---|---|
| Band 4 | ≥ 3.25 | ≥ 90% of maximum attainable score |
| Band 3 | ≥ 2.75 | ≥ 75% of maximum attainable score |
| Band 2 | ≥ 2.20 | ≥ 60% of maximum attainable score |
| Band 1 | < 2.20 | < 60% of maximum attainable score |

19. Example:
Prison X's maximum band agg score is 3.60. 90% of 3.60 equals 3.24. If the prison's Band Agg is 3.24 or above, the overall band awarded will be a 4. If the Band Agg is between 3.24–2.70, the prison will be awarded a band 3, and so on; see Table 9.

Table 9: Example - Dynamic Thresholds for a Maximum Band Agg Score of 3.60.

| Threshold | PRS Band | Band Agg |
|---|---|---|
| Equal to or greater than 90% of max score | 4 | Equal to or greater than 3.24 |
| Less than 90% but greater or equal to 75% of max score | 3 | Less than 3.24 but greater or equal to 2.70 |
| Less than 75% but greater or equal to 60% of max score | 2 | Less than 2.70 but greater or equal to 2.16 |
| Less than 60% of max score | 1 | Less than 2.16 |

20. For details about individual measures and the level boundaries please see the PRS Dataset.

21. The maximum score may change through the year and this will impact the individual band thresholds.

## Exceptional Thresholds & Comparator Groups

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1. A band 4 for exceptional performance can be achieved for some measures where a level 3 has been awarded and the actual performance is within the top x% of a relevant dynamic comparator group.

2. Applicable measures in 2016/17 are MDT & Prison NOMIS Dashboard

3. See the PRS Dataset for details of each measure where a level 4 is obtainable and the relevant comparator peer group for that measure.

4. For the Prison NOMIS Dashboard the 75th percentile of the relevant peer group's 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.

5. The 75th percentile value is calculated for measures where a higher actual value indicates a better performance. For 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.

6. Comparator groups for 2016/17 are based on the variables listed below. The variables are based on factors that prisons are less able to influence and are independent of any variations in performance. For example, the rate of assaults is not a suitable variable as this is dependent of the performance of the prisons in question.

Table 10: Comparator Group Factors.

| Factor | Example |
|---|---|
| Type | Closed, Local, Open |
| YO, Juvenile | YO, Juvenile, Non YO/Juvenile |
| Main security category | Cat A, Cat B, Cat C, Cat D, N/A |
| Gender | Male, Female |
| Sex Offenders | Percentage as a proportion of population. |
| F&S Complexity level | Standard, Complex, Complex & Diverse |
| Op Cap | <400, 400-750, 750-1000,1000-1300, >1300 |

7. Further factors are then applied at a lower level, if required, to determine appropriate groups.

Table 11: Lower Level Comparator Group Factors.

| Factor | Example |
|---|---|
| Average Prisoner age | 17,18,19 … |
| Building age | Old, Other |
| Churn | Population turnover (receptions/pop) |
| Foreign Nationals | Percentage as a proportion of population. |
| Sec category breakdown | 35% Cat C, 65% YO |

8. As previously, groups are 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 addresses the situation with groups in the past where some prisons may find themselves as an outlier in their current group.

9. The variables selected have been through a process of consultation with operational and policy colleagues and have been checked for statistical significance against the relevant measures in PRS. This has highlighted statistical significance in some areas and the final set of variables is a balance between what analysis shows to be significant and what operational and policy colleagues advise to be important based on experience.

## Moderation

### What is Moderation?

1. Moderation is a process whereby there is an opportunity for the final prison rating 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 HMPPS Agency Board, including the Non-Executive Directors, meet and discuss each moderation proposal in June. The board makes a decision on each proposal supported by additional evidence, recommendations and views by Directores and Commissioners.

## Rules

1. Rules are used within the model to ensure prisons are assessed appropriately.

2. In the main, prison performance will be assessed against measures with a target, however, in some circumstances an additional check will be made on the performance data.

3. Additional rules:

   - A prison with any domain rated as level 1 or level 2 cannot achieve a level 4, exceptional performance rating overall even if band aggregate is greater than or equal to the band 4 threshold. This rule came into effect for the 2010/11 end of year performance ratings. *(Unchanged)*

   - If an escape occurs, the PRS report highlights that the final rating is pending moderation and it will automatically go forward for mandated moderation. To indicate this, the 'Escape Moderation?' Field is populated with 'Automatic'. The overall PRS Band will decrease by one band from the data driven score. *(Unchanged)*

   - If a prison scores two or more level 1s for HMIP measures (for clusters and split establishment <= 1.5 aggregated score) then the prison will automatically go forward for moderation, as for escapes. The main report will highlight that the final prison rating is pending moderation. *(Unchanged)*

- If a prison has a sickness rating of 1 then even if the Band Aggregate is greater than or equal to the band 4 threshold, the overall band will drop from a 4 to a 3. *(Unchanged)*

- If a prison scores under 2 in the data integrity driver (when a data integrity audit has been carried out), they will be put forward for moderation. *(Unchanged)*

- If the required number of random drug tests have not been carried out, as mandated by the PSO 3601 then: *(Unchanged)*

    o One month where required number of tests is not met triggers a no level 4 rule at measure level OR moderation at year-end if MDT performance is already Band 1.
    o More than 6 months in a whole year where a prison does not complete the required number of tests results in a reduction of MDT band by 1.

### 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

3. The PRS 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.

<u>Comparator Groups</u>

4. 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.

<u>Prison Re-Roles</u>

5. A re-role will be managed through a Notice of Change.

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

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