

HMPPS Submission to the Prison Service Pay Review Body

HMPPS (England & Wales) Evidence

2022/23



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Introduction

Executive Summary

Government Evidence and PSPRB Remit

- a. This document sets out the evidence from Her Majesty's Prison and Probation Service (HMPPS) to the Prison Service Pay Review Body (PSPRB) to inform the 2022/23 pay round. HMPPS is the agency responsible for prisons and probation in England and Wales. HMPPS is an Executive Agency of the Ministry of Justice (MoJ).
- b. In October 2021, the Chancellor of the Exchequer announced that public sector pay will return to a normal pay setting process and as such the remit letter sent on 2 December 2021 by the Minister for Prisons places no restrictions on the PSPRB.
- c. We have however asked that the PSPRB make affordability a critical part of its consideration when making recommendations – on pages 7-9 we have set out the Department's affordability position and the impact of an unaffordable pay award on both prisons and the wider justice system. In addition, recovery from the pandemic continues to have an exceptional impact on the economy and the labour market, and for this reason we have also asked that the PSPRB is mindful of the current fluctuating and uncertain labour market.
- d. The PSPRB's Terms of Reference state that in reaching recommendations they will take into account the Government's inflation target. The economic evidence already submitted by Her Majesty's Treasury considers further current and future levels of inflation and the impact on public sector pay.

2022 Pay Proposals

- e. Within this evidence pack we have set out our long-term workforce and pay strategy as well as detailed pay proposals for the 2022 round.

- f. Via our pay proposals, we have set out what we consider to be the best possible pay offer for staff for the year ahead to both address immediate challenges and as the first year of a long-term strategy. To achieve this the Department has reprioritised money in addition to its spending review settlement and this sits along wider investments in staff wellbeing, safety, training and support as well as investment in infrastructure and an expanding estate.
- g. Our 2022 pay proposals represent a significant increase in salary for operational prison staff. In its 2020 and 2021 report the PSPRB have focused on Band 3 pay – we have taken seriously the PSPRB’s concerns, and through the range of proposals in this report, a nationally based Band 3 Prison Officer working a typical 39-hour week (paid as ACH) will receive overall annual increases of between £1,430 and £2,556 depending on their current position within the pay range. Band 2 Operational Support Grades – our lowest paid – will see a base pay increase of £1,500.
- h. Secondly, our proposals seek to achieve a complete structural reform across the Fair and Sustainable pay structure to remove ‘leap frogging’ of newly promoted staff over more experienced staff, thus incentivising progression through the pay scale, and achieving a more robust supply of Operational Managers. Structural changes proposed will contribute further to a pay increase for operational staff across the pay ranges and ensure that our pay structures are robust and fair.
- i. With regard to local and geographical variation, we remain committed to the targeted approach offered by the use of Market Supplements across a number of sites where the pay drivers of recruitment and retention challenges are most acute. However, we recognise the PSPRB’s previous recommendations on Market Supplements and through our proposals have started a process of eroding these. We are of the strong opinion that large scale increases to base pay at Band 3 are not an effective or cost-effective

method to remove Market Supplements and would remind the PSPRB of their terms of reference to consider regional / local variations in labour markets and their effects on the recruitment and retention of staff.

- j. Our proposals this year represent the first year of a long-term strategy which will be kept under review against organisational and operational needs and labour market developments.

Content of the evidence

- k. In addition to the detailed proposals, this document provides a range of evidence and information to assist with the PSPRB's work, including context on government and departmental affordability, strategic priorities, details of operational and policy developments across the prison estate and priorities for prisons over the coming years.
- l. The document also provides the information requested by the PSPRB in its 2021/22 report. In some cases, where projects and policies are in development, we have committed to providing further information at oral evidence and where the data required needs to be shared on an official-sensitive basis, this will be done so directly with the Office of Manpower Economics.
- m. This document is comprised of two chapters:
- *Chapter 1: Strategy and Pay Proposals* This chapter will set out the ambitions of our pay and workforce strategy, our objectives for prison pay, and pay proposals for 2022/2023.
 - *Chapter 2: Evidence of key developments, priorities and areas of investment for the coming year and beyond.*

PSPRB Remit Group

- n. The PSPRB remit group comprises all Prison Governors, Operational Managers, Prison Officers and Operational Support Grades (OSGs) in both closed grades and in Fair & Sustainable (F&S) – the two pay structures that exist within the workforce. There is also read across to the vast majority of non-operational and semi-operational roles due to the common pay and grading structure within HMPPS. However, the clear majority of non-operational / semi-operational staff (who are not within the Probation Service delivery arm of HMPPS) have their pay indirectly determined by the PSPRB as a result of either:
- an historical equal pay settlement that links pay awards for closed grade Prison Officers to those for non-operational colleagues with similarly weighted roles, or
 - common pay and grading structures (F&S or the closed managerial structures).
- o. As set out in last year's evidence, we introduced the new Band 12 grade within the F&S pay structure for the 2021/22 financial year. The new Band 12 grade accommodates the cadre of Prison Group Directors (PGD) and a small ring-fenced number of senior operationally-focused roles who transferred from the Senior Civil Service grading structure.
- p. Costs presented in this evidence submission are for HMPPS. HMPPS is responsible for adult offender management services in the community and custody, and for youth custody across England and Wales, within the framework set by the Government. HMPPS is an Executive Agency of the MoJ.
- q. The Agency currently manages Her Majesty's Prison Service (HMP), Youth Custody Service (YCS) and the Probation Service. In addition, it oversees private sector provision for offenders, managing contracts for privately run prisons and youth custody facilities and prisoner escort services.

- r. HMP works to protect the public and reduce reoffending by delivering the sentences and orders of the courts by supporting rehabilitation and helping offenders to reform their lives, whilst ensuring best value for money from public resources.

Affordability

- s. At Spending Review 2020, in the face of significant uncertainty due to COVID-19, the Chancellor announced a more targeted public sector pay policy for 2021/22, introducing a pay pause for those earning above £24,000 across most of the public sector.
- t. This helped protect jobs at a time of crisis and ensure fairness between the private and public sectors. Those working in the public sector have, on average, better remuneration packages than those in the private sector, with the pandemic also demonstrating the significant value of the greater job security offered by the public sector. The temporary pause in rises for some public sector workers was intended to ensure that the gap between the public and private sector wages did not widen further.
- u. At Spending Review 2020, the Chancellor announced that the public sector will see pay rises over the next three years as the recovery in the economy and labour market allows a return to a normal pay setting process. This means the PSPRB and wider public sector Pay Review Bodies have been given an open remit for the 2022/23 pay round.
- v. However, COVID-19 continues to have a considerable effect on the economy, and government borrowing and debt remain at historically high levels.
- w. Further, inflation has risen rapidly as the global economy has reopened and is expected to temporarily peak in 2022 at its highest rate in over a decade. As HM Treasury's economic evidence to the public sector Pay Review Bodies sets out, increases to public sector pay have the potential to exacerbate temporary inflationary pressure by fuelling higher wage demands across the economy or contributing to higher inflation expectations. This, in turn, means higher pay awards would be offset by higher inflation and would ultimately

lead to tightening of monetary policy that would negatively impact employees and would harm growth.

- x. The MoJ's SR21 settlement provides a £3.2bn cash increase over the Parliament to £11.5bn in 2024/25, which is equivalent to a real-terms growth rate of 3.3% per year on average over the SR21 period. This funding will ensure that the justice system is equipped to respond to the impact of COVID-19 and to rising demand over the next three years and will continue transformational reform programmes to make justice more efficient and effective.
- y. This is the first multi-year Spending Review since 2015 and provides MoJ with greater certainty to plan for the longer term and make the changes that will improve our justice system for all and deliver against the Government's priorities.
- z. We are currently undertaking our internal allocations process, where we will take decisions regarding where to prioritise resources in the wider context of departmental and governmental affordability. Whilst SR21 was a positive settlement for the Department, this comes against the backdrop of increased activity due to rising demand across the system and the impacts of the pandemic, and therefore the financial position across the period will still be challenging. Clear prioritisation will be required.
- aa. However, some of the high-level priorities that HM Treasury have agreed funding for relevant to prisons include:
 - Prison safety proposals, we received ring-fenced funding to implement proposals that we believe will improve the safety of prisons, both for prisoners and staff.
 - Prison maintenance, including ensuring cells are compliant with fire safety regulations and replacing faulty security, kitchen or in-cell assets. These investments aim to ensure that costs of reactive maintenance are limited, and as much capacity is retained as possible.

- Increased capacity across courts, prisons and probation to manage the demand from the recruitment of 20k additional police officers, while continuing our prison building programme, with the aim to build up to 20,000 new places by the mid-2020s.
 - Reducing reoffending, investing in the Government's priority to reduce reoffending and beat crime, enabling us to make a significant contribution to tackling the sustained 80% reoffending rate through providing prison leavers with settled accommodation, access to employment and education, and substance misuse treatment.
- bb. Our proposals for this year are estimated to cost £94.4m (including employer National Insurance and pension costs (on-costs)). The affordability of pay increases has been carefully considered, and these pay proposals are assessed by the Department as a priority for funding, in spite of financial pressures and ambitions for the Department over the coming years. We consider these proposals to present the best possible balance between pay strategy and value for money, within what is affordable.
- cc. Recommendations which are assessed by the Department to cost above this would be unaffordable and create significant pressure on the departmental budget – ultimately leading to genuine trade-offs. The continued challenging economic backdrop means that the scope to reprioritise funding and resource from elsewhere is limited. This would involve challenging decisions and would bring significant risks to bear on the Criminal Justice System – which would inevitably become felt by the Prison Service itself, potentially at detriment to the safety, security, maintenance and capacity of the prison estate.

1: Pay and Workforce Strategy and Proposals for 2022/23

HMPPS Pay and Workforce Strategy

- 1.1 The Department continues to undergo and respond to huge changes and it is essential we embrace the changing working culture and environment as a result of the pandemic, alongside the technological advances which will support our delivery and lead to improved productivity. Implementing and embedding a new departmental operating model and delivering the commitments set out in the Prisons Strategy White Paper will provide the operating context and priorities for HMPPS over the coming years.
- 1.2 We have a clear vision and agreed priorities as set out in our Outcome Delivery Plan which outlines how we will transform and modernise HMPPS, our services and our people to deliver the priorities set out as part of the Declaration of Government Reform and the Deputy Prime Minister, Lord Chancellor and Secretary of State for Justice's vision for HMPPS and the justice system.
- 1.3 The Prisons Strategy White Paper articulates our ambition for a modern prison estate that protects the public and cuts crime by rehabilitating offenders. With an investment of £3.75bn into the largest prison building programme in more than a century to provide 20,000 extra prison places, in addition to an extra £550m to tackle reoffending, the White Paper sets out a vision to create the right conditions to rehabilitate prisoners from the moment they leave the dock and enter custody.
- 1.4 HMPPS is built on its people. And our people are essential for delivering the ambitions for the prison service for the coming years, which is why a further core part of these ambitions is expanding, upskilling and investing in our workforce.

- 1.5 Since 2016, we have increased the number of Prison Officers to over 22,000; we enhanced our leadership offer by launching the Unlocked graduates programme, through which over 500 graduates have studied and worked on the frontline to become outstanding future leaders; and we have launched our accelerated development schemes – Spark, Catalyst, and Ignite – to develop staff talent throughout the Prison Service.
- 1.6 We want to build on these achievements and set out further ambitious proposals for the growth of our workforce and how we will support them as the prison estate expands.
- 1.7 Our ten-year vision for the prison workforce is set out in the White Paper. Over the next two years, we are committed to:
- Commencing a large-scale recruitment campaign for up to 5,000 additional Prison Officers in private and public prisons, to deliver up to an additional 20,000 places by the mid-2020s, and introducing a retention framework which will support Governors to identify and tackle local issues and enable targeted national support;
 - Enhancing professional skills: improved training, supervision and qualifications, and a new cross-HMPPS fast track scheme;
 - Testing an enhanced leadership offer through a regional pilot: better preparing staff to move into leadership roles, and exploring new ways of delivering training to whole leadership teams;
 - Continuing to embed the Offender Management in Custody model across the estate;
 - Introducing specialist training and guidance to enable our staff to support prisoners with specific needs;
 - Maximising the use of technology to increase workforce productivity and enhance digital capability so that Prison Officers' time is spent doing meaningful work.
- 1.8 We want our people to be part of an inclusive, collaborative and innovative organisation, which equips individuals by building a learning environment

where everyone can thrive. A diverse workforce is also of paramount importance to us since a diverse workforce brings diversity of perspectives, skills and experience. Diversity drives innovation and leads to better business outcomes. Effective leadership and management to maintain our people's health and wellbeing will be central to our ability to respond to workforce challenges and transition to evolving workforce models now and in the future.

1.9 One of our priorities for 2022 is the development of a Workforce and Reward Strategy for the Department and our respective workforces. This will provide the framework for how our workforce will operate in the coming years across all parts of the Department, including HMPPS, and the reward strategy which will support and underpin this. Through the Workforce and Reward Strategy, we will include an improved productivity narrative and plans for a better deployed and high-performance workforce with an emphasis on engagement and wellbeing underpinned by appropriate reward incentives.

1.10 We will aspire to:

- Attract and retain skills, expertise, and talent – we will recruit, reward, invest and develop the capabilities and skills needed to be a diverse and inclusive, high-performing and productive workforce that facilitates career pathways across an outcomes-focused one MoJ enterprise.
- Create flexible and responsive workforce models, which embrace data and technology to lead digital transformation, optimise automation opportunities and enable us to deploy world class skills, capabilities, and expertise to where it is needed to deliver the outcomes that the Government and the community expect.
- Enhance purposeful leadership and engagement – underpinned by our MoJ and Civil Service values, we will ensure that our leadership continues to shape our behaviour, our purpose, and our delivery of outcomes, and that the MoJ is recognised across Government for our expertise, collaboration, and excellence, where our people are recognised and valued for their contribution.

1.11 It will be important for this strategy to consider the context of the operating environment and following priority areas for change:

- **Improved collaboration across the Department and wider Government, including a focus on “One HMPPS”**

One of our ambitions is for greater cohesion across the Department as a whole and embedding stronger alignment across the different workforce components, in particular in local geographies. This will enable us to utilise and deploy our resources more effectively to respond to pressures, delivering a more fluid and family friendly workforce model. Any proposals will be underpinned by our location strategy and will support the wider Government agendas on Places for Growth and National by Default.

Our longer-term aim remains to move towards a one HMPPS approach, with a common purpose and focus on outcomes. This will enable greater alignment and collaboration between prisons and probation, building on progress made throughout the pandemic. This provides the platform to build on to drive greater alignment at local level, improving our impact with devolved administrations, criminal justice colleagues and other partners. As we work through how this model will operate, it may offer potential for further efficiencies through the pooling of resources, focussing activity on front line operations whilst we review and rationalise HQ resources.

- **Embracing technology developments and digitalisation to improve efficiency and delivery**

Technology continues to change how people live, work, and prosper. Digital collaboration tools and the increased use of data to inform decisions has the potential to transform how our workforce operates and delivers. Work to explore automation and role augmentation opportunities continues across the Department, including Prisons. It is anticipated this will enable us to utilise our available resources more effectively and drive up productivity. Any developments here will inevitably see an impact on role content, grade mix, required skill sets and the deployment and development of staff to support new roles. Appropriate intuitive technology will allow for the release of time which can be used to deliver better outcomes following appropriate training /

reskilling. We are already seeing some progress with work commencing to digitalise the Prison Officer training model and promotion assessments. This will speed up processes and streamline resources whilst improving retention and attraction by modernising our offer to staff.

- **Data Driven Decision Making**

MoJ's new operating model includes a focus on putting data at the heart of our decision making, ensuring our policies and services are informed by high quality data, forecasting evidence and analysis. Data will be a key enabler to driving greater workforce productivity through prisons.

Improved data will enable robust workforce planning in order that the workforce development and workforce plans can be built to address priorities and challenges. Capability development is a key priority for HMPPS and we will continue to invest in the professionalism and expertise of our people, who are at the heart of our organisational capability.

- **Sustained improvements in productivity**

We are focused on delivering sustained improvements in workforce productivity in all areas critical to achieving prison delivery objectives and work is underway to understand how engagement and productivity are linked. MoJ is designing an indicator to enable us to understand the cultural drivers of productivity and support leaders to optimise their workforces by engendering a better sense of culture, belonging and removing barriers to effective and smarter working.

- **Flexibility – working patterns**

Offering more flexible contracts, including improving access to family friendly working within our operational delivery arms (prisons, probation, and courts), is essential to support retention and attraction. HMPPS utilises traditional working practices which is a barrier to retaining and attracting a modern and diverse workforce and is one of the key reasons for leaving in operational areas of the Department. We are keen to introduce a range of new initiatives and changes to benefit the whole MoJ family through work to shape a new employee offer. As part of this work, prisons will focus on two aspects of

flexible working – individualised arrangements and an alternative model to manage and deploy the wider workforce. This will provide an alternative to current ‘fixed shift’ and ‘Team Based Self Rostering’ models and will be supported by the move to a new online rostering solution.

- **Flexibility – career opportunities**

The standard vertical progression model of the past is evolving with employees now keen to explore learning opportunities and to grow across a range of disciplines. Prison job design and improved career mapping will need to respond to this with clear and transparent career paths and opportunities available to all staff. This will help address one of the main reasons why Prison Officers leave the Service: a lack of career opportunities. Supporting work includes:

- **Apprenticeship scheme** – This is planned to be fully rolled out nationally by the end of the financial year. The scheme will support early development and upskilling of new starters, aid retention, and offer a future basis for progression.
- **HMPPS Justice Leaders Scheme** – We have recently launched *Justice Leaders*, a new, exciting and innovative pan-HMPPS four year fast-track leadership scheme that will be the first of its kind to produce senior operational leaders able to work across Prison, Probation and YCS. Candidates on this scheme will undertake a series of placements and academic / operational training that will give them the necessary skills and accreditation to work fluidly in leadership roles across any area of HMPPS upon graduation, creating a more dynamic workforce. This ‘one HMPPS’ approach creates a more mobile and diverse leadership cadre, supporting the retention of senior operational leaders by creating a varied and interesting career path beyond the point of graduation. Across the four years, candidates will complete a bespoke master’s qualification which will incorporate the operational requirements for the three pathways; the level 6 Professional Qualification in Probation (PQiP), Prison Officer Training (POELT) and elements from the level 4 Youth Justice Qualification along with a

number of academic modules on leadership, management, training and development.

- **Alternate careers** - Looking at how we can benefit from a diverse labour market by offering opportunities to those looking for alternate / second careers and how we can develop and deploy our people at different stages of their career into wider roles across the wider Department, including within HMPPS. Research shows that post pandemic, many workers are looking at alternative careers and we will consider how second careers can play a significant role, not only in attracting experienced workers but also how our existing staff can retrain and learn new skills as they progress their careers.

- **Progression Pay**

The performance management process has changed, with end of year markings no longer in place. New performance management arrangements are being introduced this year with a strong emphasis on regular dialogue between line manager and employee. This will be supported by regular recognition in the moment to recognise excellent performance and improves our alignment across the department. Pay progression will need to evolve with this to better link progression through the pay ranges with increasing competency in role. The current pay structure will need to be refreshed to better support this. Our aim is to move to shorter pay ranges based on progression linked to staff capability in role – demonstrated by clear links to outcomes specific to the Prison Service. We intend to take learnings from the work underway in the Probation Service and more widely across government at SCS level on competency-based frameworks to inform a future and outcomes-focused model for Prisons.

- **Employee Value Proposition**

There will be a focus on developing a compelling employee value proposition that is relevant to a multi-generational, multi-disciplinary workforce throughout their MoJ career journey and in developing understanding of our wider offer. The Department, including prisons, needs to be ready to respond to changing

work practices and desires by offering a greater focus on wellbeing through improved flexibility and work life balance. Offering our staff choices about how, where and when they work will be an important factor in our future attraction and retention ambitions within prisons and ensure we can attract and retain diverse talent.

- **Measuring our success**

We need to know the Workforce and Reward Strategy and the initiatives are making a difference. We need to know that they are delivering against our vision for the workforce, our vision and priorities, values and behaviours. We have identified things we must do over 2022-2025 to deliver our strategic themes and outcomes. We won't do these activities in isolation, linking with our financial and digital strategies to ensure we have a one HMPPS approach to achieving outcomes.

Each year we will create an action plan that clearly sets out what we will do that year. Targets will be agreed and monitored. The outcomes will be tested in several quantitative and qualitative ways which include:

- Being an employer of choice
- Staff Engagement Surveys and 360-degree feedback – specifically effective and inspiring leadership
- Attraction and retention data – specifically progress towards mitigating current capability gaps and plans established to develop capabilities for emerging roles
- Health and Wellbeing index
- A skilled and flexible workforce – specifically where our people are taking accountability for their own development, career management and progression, and recognise development opportunities to enhance their capabilities.

- **Delivery of the Strategy**

The delivery of the Strategy will be a shared responsibility, reflecting our culture of collaboration, local level ownership and responsiveness. We will

work with our trade unions, engage with our workforce and involve others as appropriate to make this happen as the Strategy is developed and introduced.

Prison Pay and Reward

1.12 For the coming year our proposals for pay in prisons are therefore focused on smaller step changes which will support us to address some of our immediate challenges and provide a platform for longer-term change without inadvertently prejudicing or impacting more fundamental reforms.

1.13 Pay proposals for this year have been devised on the basis of our core strategic objectives set out for the Prison Service for the medium – long term. As set out in last year's evidence to the PSPRB, these are:

- Recruitment and retention
- Delivering a Fair and Sustainable pay structure for the future
- Enabling a modern and flexible employer

1.14 This year presents the first opportunity to make important progress against these objectives. And our pay proposals have been carefully developed to offer greatest impact against these.

Recruitment and Retention

1.15 This year, the Government has embarked on the biggest prison expansion programme since Victorian times, building the next generation of prisons in order to deliver up to 20,000 additional prison places by the mid-2020's.

1.16 By the end of 2021, we will have delivered around 1,000 additional prison places through a combination of refurbishments, installing temporary accommodation and repurposing of former prison establishments back into prisons.

1.17 The delivery of 20,000 new places will require large-scale recruitment of up to 5,000 additional Prison Officers across both public and private prisons,

subject to decisions on building design, offender profiles and regime requirements.

- 1.18 Our ability to retain experienced staff will also be crucial - particularly in the context of the Government's commitments to recruit an additional 20,000 into the Police and further planned expansions to the Border Force. As the PSPRB recognise, both the Police and Border Force are key competitors of the Prison Service.
- 1.19 Following a pause in recruitment and training of new staff due to the pandemic between April and June 2020, the Prison Service has recruited a significant number of staff over the past year. The number of Band 3 to 5 Officers who joined HMPPS in the year ending 30 September 2021 was 3,712 (headcount); an increase of 1,344 (56.8%) compared to 2,368 in the previous year and a 35.4% (871) increase since the last quarter. Despite high numbers of joiners, the leaving rate amongst Band 3 to 5 Officers is rising. Leaving rates for Prison Officers was 9.8% in the 12 months to June 2021 of which the majority (52%) had completed 2 years' service or less. Turnover has increased again in recent months and latest published statistics show that 11.1% (2,587 headcount) Band 3 to 5 Officers left in the year ending 30 September 2021, and 32% (837) of these leavers have been in the most recent quarter (July to September). This is the highest number of leavers within a quarter in recent records.
- 1.20 While this last year has seen a general tightening of the labour market, the same generally positive recruitment and retention trends which are apparent across the wider public sector have not been felt in the Prison Service. Hence, there are significant challenges to recruitment and retention for the coming years, as we deliver on our prison expansion programme and ambitious reforms for the prison estate. Our proposals for this year's pay round include substantial above inflation pay increases at our key operational Bands and an increase in starting salary of up to 11.2% and 9.7% at Bands 2 and 3

respectively which will significantly strengthen our position in the labour market.¹

- 1.21 Attracting, recruiting and retaining staff however is not solely about pay.
- 1.22 Chapter 2 sets out the range of initiatives across the prison estate which will determine the working environment, conditions, culture and safety for prison staff. In addition to this, it is important we adopt a holistic approach to recruitment and retention, with focus on improving professional skills; enhancing leadership and specialisation; maximising the use of technology; and adopting an enhanced, bespoke and informed approach to recruitment and retention – as set out in the Prison Workforce section.
- 1.23 Investing in pay alone is not cost effective and will only yield limited results. In order to adequately support recruitment and retention, it is crucial that the Department is able to balance investment in prison pay proportionately against these other important initiatives. Whilst we accept that Prison Officer pay is not always competitive enough in all prisons to recruit the staff we need and to stabilise retention – it is essential that any investment in Prison Officer pay is targeted at the staffing groups where the recruitment and retention pressures are greatest and does not introduce unintended consequences to either the overall pay structures or to deliver unsustainable increases in pay to the non-remit group.
- 1.24 In the context of a rapidly changing labour market it is essential that investment in pay is targeted and does not create significant affordability pressures as a reaction to recruitment and retention challenges. Public sector prison pay continues to offer a competitive reward package (especially when taking into account pensions and other benefits) against private sector prison

¹<https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/employmentandemployeetypes/bulletins/jobsandvacanciesintheuk/latest>

operators, and the proposals in this evidence will further strengthen that, as well as advancing the position of prisons against other sectors.

- 1.25 For this reason in our evidence we do not advocate for proposals in the vein of 2020/21 recommendation 3 which would implement a singular large increase across all Band 3 staff (operational and non-operational) and create unmanageable pressure in the pay structures at Bands 4, 5 and above, disincentivising promotion and creating significant 'leap frogging' of the newly promoted over established staff.
- 1.26 It is essential that this investment is done in line with affordability and is aligned to our strategy so therefore the targeted increases in pay should be phased over several years.
- 1.27 The PSPRB have highlighted the need the need for reviewing, and potentially modernising the allowances available to Officers – and we too agree this should be done in a practically feasible and affordable way. Following the suggestions of the PSPRB, we are focusing firstly on the Unsocial Hours Worked (UHW) allowance and Managers' equivalent Required Hours Allowance (RHA), and also on the Care and Maintenance of Dogs allowance.
- 1.28 In order to support recruitment and retention, our pay proposals this year will:
- Ensure a fair, proportionate market-facing pay rise for all Officers, while improving the competitiveness of the Prison Service.
(Proposals: revalorisation at all grades – Proposals 8 & 9)
 - Improve the competitiveness of the Prison Officer role by prioritising investment at our lowest grades.
(Proposals: OSG increase of £1,500; Band 3 increase – Proposals 5 & 6);
 - Target largest increases at operational staff where pay comparability with other sectors presents the greatest challenges, and simultaneously make steps to upgrade and modernise allowances applicable to operational prison staff.

(Proposals: Increasing unsocial hours allowance; increasing RHA; increasing unsocial hours allowance / RHA to all hours worked – Proposals 2, 3 & 4)

- Encourage and incentivise career progression in the Prison Service, with progression pay for staff who are eligible.

(Proposals: officer grade progression; manager grade progression – Proposal 10)

Delivering a Fair and Sustainable pay structure for the future

1.29 In 2012, modernised 'Fair and Sustainable' (F&S) terms and conditions were introduced for Prison Service staff as result of a programme of HMPPS workforce reform. F&S is comprised of three main elements:

- a modernised grading and pay band structure of – since the introduction of Band 12 in 2021/22 – 12 distinct pay bands;
- a single Job Evaluation Scheme to determine the relative job weight of all roles across the structure, mitigating significant equal pay risk;
- significant pay reform for Prison Officers, with market-facing pay scales for new entrants, and protected pay for existing Officers who moved into F&S from closed grades.

1.30 The F&S structure is the primary and preferred model of pay for staff in the Prison Service. However, there are some immediate challenges across the F&S pay structure which have resulted naturally with year-on-year pay awards, but need addressing urgently.

1.31 The pay ranges, particularly at the lower end of the scale are structured in such a way that, when existing policies around staff movement (promotions, etc.) are applied, there are insufficient financial incentives and unintended consequences, such as overlaps and leapfrogging. This causes dissatisfaction and low morale among staff affected and, as one of the reasons staff are leaving is due to poor career opportunities, addressing the structural issues is a real priority for us. It also impedes our ability to recruit

into Bands 4, 5 and above, which in turn limits the robust supply of Operational Managers which is crucial to the ability to deliver on workforce ambitions and the wider ambitions for the prison estate.

1.32 Promotion of operational Officers into management is even more critical in the context of the expanding prison estate and a better supported workforce.

1.33 The PSPRB's evidence for 2021/22 also highlighted challenges associated with the "additional tier" to the F&S pay structure created by the use of red and amber Market Supplements. As set out in Chapter 2, Market Supplements of either £3,000 or £5,000 which are currently applied to 31 establishments have equipped us in tackling localised ongoing recruitment and retention challenges where they are most acute.

1.34 We continue to see a need for their use. However, we acknowledge the PSPRB's concerns around the impact on overall pay structure and recognise the need for nation-wide investment in pay to make the Prison Officer role more market facing. In doing this, we expect to minimise the need for Market Supplements and in turn, achieve a more coherent and consistent pay structure.

1.35 In line with upgrading the F&S pay structure, this year's proposals will:

- Achieve complete structural reform across the F&S pay structure to remove 'leap frogging' of newly promoted staff over more experienced staff, incentivise career progression meanwhile achieving a more robust supply of Operational Managers.

(Proposals: Bands 3 to 5 restructure; Bands 6 to 11 restructure – Proposals 6 & 7)

- Realign the F&S pay scale and limit the impact of an additional tier by investing in pay nationally.

(Proposals: OSG increase, Band 3 increase – Proposals 5 & 8)

Enabling a modern and flexible employer

- 1.36 Being a flexible and modern employer remains a key aspiration for HMPPS. While this is not always about specific reforms in pay, it is important that our longer-term ambitions for pay are reflective of a modern and flexible employer.
- 1.37 Flexibility and modernisation in the Prison Service has historically been limited by restrictive and outdated technology, terms and conditions that do not reflect a modern employer; rigid shift patterns that were introduced in 1987 and remain unchanged; and inflexible rostering, which we recognise fails to reflect the diverse and current day needs of the workforce.
- 1.38 This both impedes our position among other, more flexible, competitors in the labour market; and impedes efficiency in the Prison Service.
- 1.39 Improving flexibility and modernisation across the workforce is being taken forward by a number of reforms under the workforce element of the Transforming Delivery in Prisons programme.
- 1.40 The 'Shaping a new employee offer' workstream of this activity aims to modernise working arrangements so employees can achieve a better work life balance through working in a far more family friendly and flexible way, and in doing so also create a more flexible, resilient and well managed workforce that will meet both the current and future needs of the organisation. Alongside this, the rollout of digital prisons will continue and a broader technology refresh within HMPPS should open up greater opportunities to utilise the digital enhancements and support more flexible working arrangements with the introduction of a new rostering tool. We are engaging with recognised trade unions to help inform this programme of work and would welcome collaboration in driving forward this positive change.
- 1.41 Again, it is important that investment in pay is balanced against the initiatives to improve flexibility and modernisation of the employment offer - not only for

more effective use of taxpayers' money, but importantly, because this will have a real impact on the staff we employ:

- Delivering a pay strategy which directly enables modernised working conditions and facilitates and more flexible working offer for staff.
(*Proposal: increasing unsocial to all hours worked – Proposal 4*)
(*Proposal: restructure of F&S – Proposals 6 & 7*)

Closing the gap between a two-tier workforce

- 1.42 Through the introduction of F&S in 2012 and introduction of a new pay structure, a differential in pay was created between staff who would join on the modernised terms and conditions, and staff who would remain on the legacy terms and conditions: the 'closed grades'.
- 1.43 Our ambition is to target investment for F&S staff in annual pay rounds, and over time, close the differential in pay between the two 'tiers' of staffing groups. This is to limit any adverse impacts on staff morale and reduce any staff perception of unfairness while the pay differential persists.
- 1.44 The progress in closing this gap has been limited over recent years due to public sector pay restraint, or because of pay awards which were not targeted enough towards the F&S staffing group.
- 1.45 The size of the closed grade staffing group is gradually shrinking and the 2015 Public Sector Pension Remedy could have a further impact, and we continue to monitor any implications associated with the pay differential. This year's proposals do not seek to reduce the base pay differential which would facilitate movement towards greater opt-in incentives for both operational and non-operational staff. Instead we propose equitable base pay awards for all staff following the public sector pay pause. We are, however, seeking to target the total pay for F&S operational staff through increases to the unsocial and RHA allowances which will bring total pay for this cohort closer to that of closed grade colleagues and will actually enable some Officers in red Market Supplement sites to opt in should they feel comfortable with an element of risk

around the certainty of Market Supplements, or alternative arrangements, in the longer term.

Pay Proposals 2022/23

- 1.46 As announced by the Chancellor as part of the Spending Review, the public sector pay pause is no longer in place. This means the PSPRB's remit, for the coming year (2022/23) is not restricted.
- 1.47 Our pay proposals for 2022/23 are set out below and detailed pay tables Annexed.
- 1.48 As a combination of these proposals (base pay increases, pay range restructure and changes to the rate and way in which unsocial hours payments are made), a nationally based Band 3 Prison Officer working a typical 39-hour week (paid as ACH) will receive overall annual increases of between £1,430 and £2,556 depending on their current position within the pay range.

Proposal 1: F&S zonal pay

- 1.49 We propose:
- the current locality pay zone structure is not changed;
 - the differential between National and Outer / Inner London maxima rates at Bands 2 to 11 will increase by 2% (i.e. awards for London based staff will keep pace with those for nationally based staff); and;
 - the differentials at pay range maxima continue to be applied consistently across all Bands.
- 1.50 Additional rationale and key drivers:
- Ensuring our offer applies available pay flexibilities (e.g. Market Supplements being paid in 31 red and amber sites) to address local pay issues linked to

specific roles rather than extending the zone structure to other geographical areas

- is within budgetary constraints and remains competitive with public and private sectors, and
 - ensures that the same maxima London / National differentials apply to all Bands in line with our F&S zonal design.
- The base pay cash value of Outer London and Inner London maxima for all Bands will be increased by 2% in line with the National Bands by adding the 37-hour base pay values on Table 1 below to the proposed National Band maxima base rates. This maintains the appropriate zonal differentials.

1.51 The proposed cash values are higher when comparing like for like working patterns that include any Additional Committed Hours (ACH) / Additional Committed Hours Pensionable (ACHP), Unsocial Hours Working (UHW) or Required Hours Addition (RHA). All operational working patterns exceed the closed maximum Local Pay Addition (LPA) inner London rate of £4,250 and, with the exception of Feltham which pays a £4,000 closed grade LPA, will be just over the £3,100 Outer London rate. Table 1 below shows the 2021 and proposed 2022 differentials.

Table 1: Additional pay for inner and outer London zones at maxima

Available Band	Like for Like Weekly Hours Work Pattern	Differential on Maxima	
		2021 with 17% UHW	2022 with 20% UHW
		National / Inner London²	
3	41 hours inc. ACH & 20% UHW	£5,391	£5,718
3	40 hours inc. ACH & 20% UHW	£5,256	£5,557
3	39 hours inc. ACH & 20% UHW	£5,123	£5,397
3	38 hours inc. ACH & 20% UHW	£4,988	£5,238
2 to 5	39 hours inc. ACHP & 20% UHW	£5,077	£5,352
2 to 5 & 7 to 11	37 hours inc. 20% UHW / RHA	£4,853	£5,077
2 to 5 & 7 to 11	37 hours base pay	£4,148	£4,231
		National / Outer London	
3	41 hours inc. ACH & 20% UHW	£3,543	£3,758
3	40 hours inc. ACH & 20% UHW	£3,454	£3,652
3	39 hours inc. ACH & 20% UHW	£3,367	£3,547
3	38 hours inc. ACH & 20% UHW	£3,278	£3,442
2 to 5	39 hours inc. ACHP & 20% UHW	£3,337	£3,517
2 to 5 & 7 to 11	37 hours inc. 20% UHW / RHA	£3,189	£3,337
2 to 5 & 7 to 11	37 hours base pay	£2,726	£2,781

² **Inner London:** Brixton, HQ Westminster, Pentonville, Wandsworth and Wormwood Scrubs.

Proposal 2: An Increase to the Unsocial Hours Working Allowance from 17% to 20%

1.52 We propose:

- to increase the percentage uplift on basic pay for the Unsocial Hours Working Allowance from 17% to 20% paid at Bands 2 to 5.

1.53 Additional rationale and key drivers:

- To maximise the value of the unsocial hours commitment made by operational staff at all levels (see *Proposal 3* for Manager grades).
- To target an award at operational staff which will directly improve recruitment and retention in operational roles which require shift work and unsocial hours.
- This increase, together with that for base pay, will provide operational staff with a significant uplift in-year.
- To improve morale and motivation during a time of exceptional environmental challenge in any custodial setting.
- This is an allowance that the PSPRB has asked to be reviewed.

1.54 Table 2 below illustrates the impact this will have for staff at both the minima and the maxima of their Zone following proposed reforms of the pay ranges (*Proposal 6*), but before any revalorisation (i.e. calculated against 2021/22 base pay rates). As an example, a nationally based Band 3 Prison Officer (our most populous group of staff) will receive an increase of between £659 and £1,740 as a result of this proposal alone.

Table 2: Minimum and maximum of Bands 2 to 5 (37-hour base pay including unsocial)

Band 2: 37 hour inc unsocial	2021 / 22 Spot	2022 / 23 Spot
National	£20,890	£21,426
Outer London	£24,080	£24,697
Inner London	£25,744	£26,404

Band 3: 37 hour inc unsocial	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£23,144	£24,884	£25,697	£26,356
Outer London	£26,018	£27,974	£28,886	£29,627
Inner London	£27,517	£29,586	£30,550	£31,333

Band 4: 37 hour inc unsocial	2021 / 22 Max	2022 / 23 Spot
National	£32,036	£32,857
Outer London	£35,225	£36,128
Inner London	£36,889	£37,835

Band 5: 37 hour inc unsocial	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£32,405	£35,698	£36,476	£37,411
Outer London	£35,245	£38,822	£39,665	£40,682
Inner London	£36,720	£40,450	£41,329	£42,389

Proposal 3: An Increase to the Required Hours Allowance from 17 to 20%

1.55 We propose:

- to increase the percentage uplift on basic pay for the Required Hours Allowance from 17% to 20% paid at Bands 7 to 11. Band 12 does not have an RHA payment and therefore will receive a slightly higher base pay increase of 3%. This is in order to keep ahead of the cumulative impact of separate base pay and RHA increases at Bands 6 to 11 where RHA is paid separately (see *Proposal 9*).

1.56 Additional rationale and key drivers:

- To target an award at operational staff which will directly improve recruitment and retention.
- To maximise the value of the unsocial hours required of Manager grades in custodial settings by Managers at all levels (see *Proposal 2* for Officer grades).
- To improve morale and motivation during a time of exceptional environmental challenge in any custodial setting.

1.57 Table 3 below illustrates the impact this will have for staff at both the minima and the maxima of their Zone following proposed reforms of the pay ranges (*Proposal 7*), but before any revalorisation (i.e. calculated against 2021/22 base pay rates).

Table 3: Minimum and maximum of Bands 6 to 11 (37-hour base pay including RHA)

Band 6: 37 hour inc RHA	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£37,351	£38,309	£42,957	£44,058
Outer London	£40,126	£41,155	£46,146	£47,329
Inner London	£41,569	£42,636	£47,810	£49,036

Band 7: 37 hour inc RHA	Maximum	Spot
	2021/22	2022/23
National	£51,328	£52,644
Outer London	£54,517	£55,915
Inner London	£56,181	£57,622

Band 8: 37 hour inc RHA	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£49,872	£51,151	£59,850	£61,385
Outer London	£52,531	£53,878	£63,040	£64,656
Inner London	£53,917	£55,300	£64,703	£66,362

Band 9: 37 hour inc RHA	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£63,881	£65,519	£76,656	£78,622
Outer London	£66,539	£68,245	£79,845	£81,893
Inner London	£67,926	£69,667	£81,509	£83,599

Band 10: 37 hour inc RHA	Minimum		Maximum	
	2021/22	2022/23	2021/22	2022/23
National	£70,319	£72,122	£84,389	£86,552
Outer London	£72,978	£74,849	£87,578	£89,824
Inner London	£74,364	£76,271	£89,242	£91,530

Band 11: 37 hour inc RHA	Maximum	Spot
	2021/22	2022/23
National	£95,453	£97,901
Outer London	£98,643	£101,172
Inner London	£100,306	£102,878

Proposal 4: To apply the Unsocial Hours Working Allowance to all contractual hours worked

1.58 We propose:

- to apply the Unsocial Hours Working Allowance to all hours that are contractually required of Prison Officers at Bands 2 to 5.

1.59 Currently the application of the Unsocial Hours Working Allowance is effectively restricted to 37 hours per week regardless of the opportunity for Band 3 staff (as well as Bands 2, 4 and 5 staff in certain circumstances) to permanently contract to work more hours per week (up to 41 hours per week at Band 3 and 39 per week at Bands 2, 4 and 5). This is a disincentive for staff to permanently commit to a longer working week in favour of ad hoc overtime which is more expensive for HMPPS. The new arrangements, incentivising a longer contractual working week, also provide greater assurance for Prison Officers around their total hours and remuneration.

1.60 Additional rationale and key drivers:

- To target an award at operational staff which will directly improve recruitment and retention.
- To maximise the value of the unsocial hours commitment made by operational staff at all levels which results in a reduced need for the more expensive Payment Plus hourly rate.
- To improve morale and motivation during a time of exceptional environmental challenge in any custodial setting.
- To improve productivity in encouraging Officers to take up the offer to contract to a slightly longer working week.
- It will enable us to open up further opportunities and incentives for staff to sign up to more hours, and for existing staff to opt into working them. This would be singularly effective alongside other initiatives for more flexible contracts to

drive productivity gains in terms of recruitment and to reduce the reliance on Payment Plus.

1.61 Table 4 below illustrates the impact this will have for Band 3 staff at the maxima of their Zone, and at 2021/22 rates but with unsocial at 20% (as per *Proposal 2*). As an example, a maximum earning nationally based Band 3 Prison Officer will receive between £778 and £1,134 as a result of this proposal alone, depending on their working pattern.

Table 4: Band 3 pay scales for 2021/22 and 2022/23 with 20% unsocial applied to all contracted hours

Band 3 - Maximum Pay Point		Unsocial on 37 hours only	Unsocial on all hours worked	Difference
National	38 hour inc ACH & unsocial	£26,409	£27,187	£778
	39 hour inc ACHP & unsocial	£26,884	£27,780	£896
	39 hour inc ACH & unsocial	£27,121	£28,018	£897
	40 hour inc ACH & unsocial	£27,834	£28,849	£1,015
	41 hour inc ACH & unsocial	£28,546	£29,680	£1,134
Outer London	38 hour inc ACH & unsocial	£29,687	£30,561	£874
	39 hour inc ACHP & unsocial	£30,221	£31,228	£1,007
	39 hour inc ACH & unsocial	£30,488	£31,495	£1,007
	40 hour inc ACH & unsocial	£31,288	£32,429	£1,141
	41 hour inc ACH & unsocial	£32,089	£33,364	£1,275
Inner London	38 hour inc ACH & unsocial	£31,397	£32,321	£924
	39 hour inc ACHP & unsocial	£31,961	£33,027	£1,066
	39 hour inc ACH & unsocial	£32,244	£33,309	£1,065
	40 hour inc ACH & unsocial	£33,090	£34,297	£1,207
	41 hour inc ACH & unsocial	£33,937	£35,285	£1,348

Proposal 5: Increase F&S Band 2 base pay by £1,500

1.62 We propose:

- increasing the Band 2 National spot rate by £1,500;
- that the base pay cash value of Outer London and Inner London spot rates will be increased by adding the 37-hour base pay values shown in Table 1 to

the proposed new National Band maxima values to maintain the appropriate zonal differentials;

- this increase will be used to fully erode Market Supplements where paid to F&S Band 2 staff;
- ensuring that all staff continue to be paid at or above the Government's National Living Wage (NLW).

1.63 Additional rationale and key drivers:

- Encourage closed grade OSG staff to join F&S pay arrangements by continuing to offer a significant and improved pay advantage.
- Improves reward offer with OSG recruitment now recognised as an important gateway route into Prison Officer role.
- Ensure the base pay of Band 2 remains meaningfully above the increase to the Government's National Living Wage (NLW) for 2022/23.

Proposal 6: F&S Bands 3 to 5 Restructure

1.64 We propose:

- shortening the Band 3 pay range from five pay points to three pay points. The minimum (pay point 1) and pay point 3 will be removed from the scale. (See Table 5 below for the illustrated detail – please note that this is prior to any increases as a result of these proposals and is based on 2021 rates);
- moving the F&S Band 4 to a spot rate by removing all pay points below the Band 4 maximum;
- shortening the Band 5 pay range from five pay points to three pay points. The minimum (pay point 1) and pay point 2 will be removed from the scale. (See Table 5 below for the illustrated detail – please note that this is prior to any increases as a result of these proposals and is based on 2021 rates). A minimum earning Band 3 Prison Officer on the National pay range will receive a base pay increase of £956 as a result of the restructure.

Table 5: Bands 3 to 5 base pay restructure prior to any other proposed increases

Band 5 Restructure		Total Uplift			
£	%	£	%		
£31,176	→	£31,176	→	£0	0.0%
£30,453	→	£30,453	→	£0	0.0%
£29,748	→	£29,748	→	£0	0.0%
£29,058	→	£29,748	→	£690	2.4%
£27,697	→	£29,748	→	£2,051	7.4%

Band 4 Restructure		Total Uplift			
£	%	£	%		
£27,381	→	£27,381	→	£0	0.0%
£26,852	→	£27,381	→	£529	2.0%
£26,334	→	£27,381	→	£1,047	4.0%
£25,826	→	£27,381	→	£1,555	6.0%
£24,619	→	£27,381	→	£2,762	11.2%

Band 3 Restructure		Total Uplift			
£	%	£	%		
£21,963	→	£21,963	→	£0	0.0%
£21,547	→	£21,547	→	£0	0.0%
£21,137	→	£21,547	→	£410	1.9%
£20,737	→	£20,737	→	£0	0.0%
£19,781	→	£20,737	→	£956	4.8%

1.65 Additional rationale and key drivers:

- An improved offer at Band 3 minimum (with the higher Unsocial Hours Working Allowance, applied to all contracted hours) will significantly improve our recruitment offer to new recruits.
- A shorter pay range will reduce the time that it will take to progress from minimum to maximum at Band 3. This will in effect reduce the overall cost of in-year progression.
- An improved pay band minimum at Band 3 targets an improvement at the lowest paid Prison Officer.
- Shorter pay ranges will prepare F&S for the introduction of capability based performance and more accurately reflect the time taken to become fully competent at Band 3 and 5 for Prison Officers.
- Band 4 is predominantly a specialist position for Prison Officers and moving to a spot rate is a reflection of their contribution.
- A higher spot rate at Band 4 will encourage more Band 3 staff to apply for promotion opportunities and addresses leapfrogging complaints from experienced Officers.

Proposal 7: F&S Bands 6 to 11 Restructure

1.66 We propose:

- shortening the pay range for Band 6, Band 8, Band 9 and Band 10 to 10% in length from the revised range maximum (see Proposal 1) by uplifting the minimum of the appropriate range. This means that range minimum plus 10% equates to the revised range maximum (see Table 6 below);
- moving the F&S Band 7 to a spot rate at the revised band maximum;
- Moving the F&S Band 11 to a spot rate at the revised band maximum.

Table 6: Band 8 to 10 Pay Range Proposals

Band 8 National base pay		Band 9 National base pay		Band 10 National base pay	
2021	2022	2021	2022	2021	2022
£51,154	£52,177	£65,518	£66,828	£72,127	£73,570
£42,626	£47,434	£54,599	£60,753	£60,102	£66,881
↑ 20%		↑ 20%		↑ 20%	
↑ 10%		↑ 10%		↑ 10%	

1.67 Additional rationale and key drivers:

- These reforms improve the offer for our managerial grades and make career progression a more attractive proposition for our Officer grades.
- Moving to a spot rate for the Band 7 Operational Manager role creates headroom for a promotion uplift for an experienced Band 5.
- A spot rate for Band 7 at this value will incentivise Custodial Managers at Band 5 to apply for promotion when the difference at the moment on promotion is marginal and easily replicated by supplementing with Payment Plus, which is viewed as an easier route.
- Shortening pay ranges and moving to the use of spot rates will assist HMPPS in managing pay progression in the future.

1.68 Band 6 is a non-operational grade but included here for completeness as not reforming here would distort the F&S pay scales. Proposed Band 6 min to max open range would be £34,045 to £37,449.

Proposal 8: F&S Bands 3 to 5

1.69 We propose:

- increasing all National pay points in Bands 3 to 5 by 2%;
- that the base pay cash value of Outer London and Inner London maxima will be increased by adding the 37-hour base pay values shown in Table 1 to the proposed new National Band maxima values to maintain the appropriate zonal differentials; and
- this increase will be used erode Market Supplements where paid to F&S Band 3 staff.

1.70 As a result of uplifting all base pay points by 2%, and depending on working patterns and zone, the increase to pay on each point will range between the values as shown on Table 7 below.

Table 7: Lowest and highest pay point uplifts - all zones & operational working patterns

Band	Working Pattern	Lowest uplift	Highest uplift
Band 3 National	37 hour base pay	£396	£439
	38 hour inc ACH & unsocial	£1,190	£1,324
	39 hour inc ACHP & unsocial	£1,308	£1,452
	39 hour inc ACH & unsocial	£1,312	£1,457
	40 hour inc ACH & unsocial	£1,434	£1,592
	41 hour inc ACH & unsocial	£1,556	£1,727
Band 4 National	37 hour base pay	£492	£548
	39 hour inc ACHP & unsocial	£1,628	£1,810
Band 5 National	37 hour base pay	£554	£624
	39 inc ACHP & unsocial	£1,831	£2,061

Proposal 9: F&S Bands 6 to 12

1.71 We propose:

- increasing all National range maxima values at Bands 6, 8, 9 and 10 by 2%, in line with Bands 3 to 5;
- increasing the range minima of Bands 6, 8, 9 and 10 as proposed above (see Proposal 10) to shorten the pay range;
- applying a 2% increase to staff on Bands 6, 8, 9 and 10 pay at their relative position on this pay range (essentially a 2% pay uplift) before applying any progression;
- applying a 2% increase to the spot rates at Bands 7 and 11;
- applying a 3% increase to the spot rate at Band 12 (because there is no separate RHA payment this slightly higher increase is required to keep ahead of the base pay and RHA increases at Bands 6 to 11 as per Proposals 1 & 3);
- that the base pay cash value of Outer London and Inner London maxima will be increased by adding the 37-hour base pay values shown in Table 1 to the proposed new National Band maxima or spot rate values to maintain the appropriate zonal differentials.

1.72 Additional rationale and key drivers:

- Continue to encourage the remaining closed managerial grades (c.3% of Manager grade staff in the remit group) to opt into F&S by making F&S more attractive.
- Give staff more headroom for future pay progression following opt-in.

1.73 The Pay Comparator research commissioned by the PSPRB in 2019 provides important additional context and data to consider in deciding pay awards. Applying comparators for Manager roles in prisons is challenging. However, the effect of the covid pandemic on the labour market since that research was

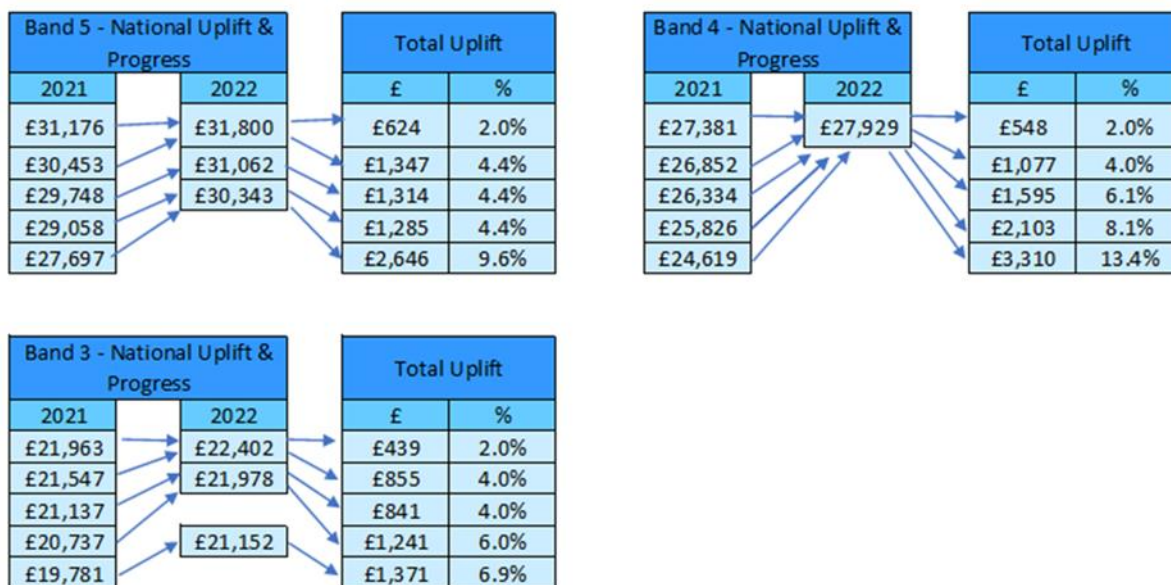
compiled has been significant and HMPPS is still working to understand the full implications for our longer-term recruitment and retention strategy.

- 1.74 Pay for F&S Managers is sufficient to ensure that we do not lose significant numbers to our competitors and that Prison Officer grades are encouraged to seek career progression opportunities and move into management. We do, however, need to ensure that we maintain this position.
- 1.75 We are therefore proposing to increase the pay band minima and maxima and all staff will maintain their relative position. For example, an individual on a pay rate that is half-way between the minimum and maximum of their pay range, will continue to be at the mid-point after the minimum and maximum are increased. This will essentially provide a 2% uplift in line with staff on pay points in Bands 3 to 5 before any progression.
- 1.76 In the same way as the lower Bands, the 37-hour differential values shown in Table 1 will be added to the proposed new National Band maxima rates to maintain the appropriate zonal differentials. The Outer and Inner London minima will be increased to maintain the current pay range lengths.

Proposal 10: pay progression in F&S

- 1.77 We propose:
- eligible staff in Bands 3 and 5 who are not subject to formal poor performance measures, and who do not automatically receive an uplift as a result of pay range restructuring, will progress to the next pay point following pay point uplifts effective 1 April 2022 (see Table 8 below);
 - eligible staff in Bands 8 to 10 who are not subject to formal poor performance measures, will progress by increasing pay by a further 2% (subject to maxima) following relative position uplifts;
 - there is no progression at Band 4, Band 7 or Band 11 subject to the above proposals to restructure these Bands to a spot rate;
 - there is no progression at Band 2 or Band 12 as these are already spot rates.

Table 8: Progression with new pay point values Bands 3 to 5 National



1.78 Additional rationale and key drivers:

- Support our aim for staff to reach the maxima within a reasonable time that reflects full competence within a role and which mitigates any equal pay risk attached to paying staff below the maximum 'rate for the job'.
- Improve rates of retention by progressing staff towards pay range maxima (rate for the job).

1.79 Under F&S pay arrangements, there is no automatic entitlement to annual progression increases and this can be subject to performance, affordability, public sector pay policy and PSPRB recommendations. There are also eligibility criteria relating to the date a new employee joins HMPPS.

1.80 In its 2020/21 report, following a number of concerns raised in its 2019/20 report, the PSPRB essentially broke the link between pay progression and performance by recommending progression increases for all eligible staff (those who had sufficient qualifying time in post) with the exception of those who were subject to formal poor performance measures.

1.81 Given the subsequent replacement of the SPDR performance management system, as set out in Chapter 2, there is no longer any link between end of

year performance marking and pay progression for 2022/23. This approach has aligned HMPPS with performance policy across the Civil Service.

Therefore, HMPPS proposes to award progression increases to all eligible staff who are not subject to formal poor performance measures.

- 1.82 The eligibility criteria for progression (aside from not being subject to formal poor performance measures) continues to link to entrant length of service. Length of service criteria is that external new recruits must have been employed by HMPPS by no later than 31 December 2021. All staff must also be in the Band in which progression will apply on both 31 March 2022 and 1 April 2022.
- 1.83 Our approach remains to progress Operational Managers towards the pay band maximum within 5-6 years in order to honour the expectations set by our pay scale and minimise staff dissatisfaction. This is therefore the rationale for continuing to propose pay progression increases for Managers (subject to maximum). Over half of this group, however, are at, or close to, the maximum of the Bands 7 to 11 pay ranges and will not be awarded the full 2% progression. As with headline increases, progression pay represents a pressure on prison budgets and therefore needs to be both affordable and compliant with public sector pay policy. In this respect the PSPRB is respectfully reminded that the cost of pay progression must be included within the overall affordability.
- 1.84 We are therefore proposing that eligible staff in Bands 7 to 10 who are not subject to formal poor performance measures and who are below their Band maxima see a progression increase worth 2% in 2022. This will be subject to Band maxima.
- 1.85 Bands 3 to 5 pay ranges currently contain up to 5 pay points with the intention that staff can progress from minima to maxima over 4 years. It is proposed that this will reduce in 2022/23 to 3 pay points at Bands 3 and 5 and to a maximum spot rate at Band 4. We will progress eligible staff in Bands 3 to 5, who do not already receive an automatic uplift as a result of pay range

restructuring, to the next available higher pay point (after existing Band 3 pay points have been increased) effective from 1 April 2022. For those eligible for progression (either as a result of restructuring or standard pay point progression alone) this will provide for overall increases of between 2% and 6.9% at Band 3, between 2% and 13.4% at Band 4 and between 2% and 9.6% at Band 5.

Proposal 11: Uniformed Staff and Phase One Operational Managers on closed (pre-F&S) pay arrangements

1.86 We propose (in addition to those contained in *Proposal 8*):

- that all closed grade uniformed staff receive a consolidated award of 2%;
- that Operational Managers currently at scale maximum receive a 2% consolidated award.

1.87 Additional rationale and key drivers:

- Despite wishing to progress our strategy to close the pay differentials between F&S Bands and closed grades where they exist, this proposal recognises the significant contribution of closed grades with their F&S colleagues in managing the pandemic and its effect across all of our custodial settings.
- Help to maintain operational and employee relations stability.
- Compliance with the Government's NLW; and honour contractual pay progression where that still exists in the closed grades.

Proposal 12: Care and Maintenance of Dogs allowance

1.88 We propose:

- that the allowance for the Care and Maintenance of Dogs is increased by £674 per annum to £2,200 (from £1,526) or by £842 to £2,750 (from £842 for those with responsibility for more than one dog). This proposal is likely to be supported by the POA – who made representations for the allowance to be increased last year – and by the PSPRB who recommended this allowance be reviewed.

1.89 The PSPRB introduced a second rate for the Care and Maintenance of Dogs allowance in its 2016 report. This means there are now two rates – one for care of a single dog (amount is £1,526 a year) and one for care of multiple dogs (amount is 25% more than the single rate – £1,908 a year). This provides consistency of arrangements for other workforces who employ dog handlers (such as Border Force and the Police).

1.90 These rates have not been revisited since 2016 despite the certain elements of the role (such as follows) not being reflected in the Job Description:

- Impact on the handler & family.
- Watering and kennel cleaning.
- More frequent cleaning inside homes and vehicles.
- dogs must not be left unsupervised for any more than 8 hours.
- Handlers give up an area of their garden.
- The requirement by DEFRA to exercise the dog for at least 2 hours daily is also a relatively more recent requirement.

1.91 It is therefore considered that a modest increase to the allowance is now warranted.

Proposal 12: Allowances and Payments

1.92 We propose:

- no increases to any allowances other than those for which cash values are calculated as a percentage or hourly rate of 37-hour base pay, and where that 37-hour base pay will increase under these proposals. The actual percentage values or hourly rates are, however, to remain the same.

1.93 These proposals set out our intention to increase the Unsocial Hours Working (UHW) and RHA payments from 17% to 20% and re-baseline the former to be calculated against all (contracted) hours worked.

- 1.94 There are also plans to review the Care and Maintenance of Dogs Allowance as part of our 2023/24 proposals (doing this in 2023 rather than now is supported by the business unit in the interests of evidencing a comprehensive review of the allowance).
- 1.95 More generally, however, we have considered PSPRB recommendation 5 and have concluded that not only would it be unaffordable to increase the allowances listed in Annex F of the PSPRB's 2021 report by the same value as headline increases, but also that there is no justification for doing so. The list of allowances focuses largely on on-call / stand-by arrangements, the requirements of which have not changed, and arguably have become less onerous since many of these were introduced in early 2000s when fewer staff would have mobile phones etc. and being on-call / stand-by would genuinely require being at home or in the workplace.
- 1.96 The bespoke allowances for NTRG and NTDRG were only recently introduced (working closely with the business) and the requirements of that role have not changed.
- 1.97 Payment Plus (PP) is also included in the list and it would clearly be unsustainable and contrary to our intended direction of travel to reduce reliance on PP at the same time as committing to annual increases.
- 1.98 We are seeking to target investment elsewhere in terms of establishing safer regimes and investment in allowances payments that are primarily linked to emergency response and indiscipline (Tornado / Dirty Protest) would seem to cut across this.
- 1.99 It is accepted that it is sensible that allowances are periodically reviewed – we do not, however, necessarily accept that we should be obliged to review each of the allowances listed at Annex G of the PSPRB's 2021 report in the order or to the timeframe that the PSPRB has suggested.

F&S Market Supplements at Red and Amber sites

- 1.100 HMPPS will extend the payment of Market Supplements in the 31 red / amber sites, by a further year until 31 March 2023 – although the value of these will be eroded by pay point increases as per *Proposal 8*.
- 1.101 Retaining prison staff and experience in these 31 establishments is crucial for productivity, regime stability and therefore achieving better outcomes. Evidence from focus groups show that experienced Officers have a positive effect on reducing violence in prisons. It is also clearly important for developing a strong pipeline of future leadership talent.
- 1.102 Evidence currently shows that there is a need to retain the targeted approach to recruiting and retaining in these hard to recruit sites, hence the need for continuation of the 31 Market Supplement sites at this point.

2: Evidence of key developments, priorities and areas of investment for the coming year and beyond

COVID-19 Recovery

- 2.1 Over the course of the pandemic, we have pursued a range of interventions to reduce this risk to our staff and prisoners. We have rolled out a comprehensive asymptomatic testing regime for both staff and prisoners. This has included regular asymptomatic testing for staff, and the use of daily contact testing to allow staff to return safely to work, avoiding the need to isolate.
- 2.2 Responding to COVID-19 has required an exceptional response in custody as we acted to keep staff, prisoners, and the wider public safe. To date, this response has been effective in avoiding the worst-case scenario and keeping deaths in custody far below those modelled by PHE at the start of the pandemic.
- 2.3 Throughout the pandemic, our response has been guided by the National Framework for COVID-19 in Custody, which has clearly set out the mitigations we will take in custody, commensurate with the risk from COVID.
- 2.4 The National Framework set out how we would seek to balance the need to keep our staff and prisoners safe from COVID, with the need to ensure the stability of the estate, and sufficient capacity was maintained. Throughout the pandemic we have worked to ensure that our mitigations remain proportionate to the risk from COVID-19. This has included ensuring that we respond to

emerging variants (such as the emergence of Delta), but also supporting prisons to operate more of their regimes.³

- 2.5 Staffing absences peaked in Wave 2 (winter 2020/21) at c.4,500 but have remained significantly below this peak over the course of the third wave. These have risen again over the course of Omicron but have now begun to steadily decline. With live outbreak sites peaking at 90 during Wave 2, during Omicron outbreaks have reached over 100 although are beginning to reduce.
- 2.6 Up to 11 February 2022, a cumulative total of **33,123** prisoners or children tested positive for COVID-19 across **128** establishments, **alongside 35,181** HMPPS and YCS staff since the start of the pandemic. The safety and wellbeing of our staff, and prisoners in our care, remains our primary concern.
- 2.7 As we seek to recover from COVID-19 we will continue our innovative and rigorous testing approach to protect staff and prisoners. This will continue to involve regular asymptomatic staff testing, ensuring positive cases are identified early, and they can return to work safely.
- 2.8 We are continuing to ensure that our mitigations in custody are sustainable and reflect the ongoing risk presented by COVID-19, whilst ensuring that prisons can continue to deliver the fullest possible regimes and rehabilitate prisoners.
- 2.9 Our approach to testing is underlined by guidance from UKHSA and SAGE. They continue to support testing across establishments. Our package of mitigations has helped to reduce the size and duration of outbreaks, with confirmed cases in Wave 3 only reaching 20% of the Wave 2 peak. Due to the enhanced risk from Omicron we used the National Framework to return prisons to Stage 3 of the framework as a baseline. This month we opened the Gateway to Stage 2 and are preparing to open the Stage 1 Gateway, allowing prisons to continue progression. This has led to prisons safely progressing to

³ [COVID-19: National Framework for Prison Regimes and Services - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/covid-19-national-framework-for-prison-regimes-and-services)

more open regimes within the National Framework and helped to keep our staff and prisoners safe.

- 2.10 We have supported staff to test for asymptomatic COVID, keeping infection risk low and protecting those in our care. This has allowed staff to safely return to duties at the appropriate time.
- 2.11 From March 2020 to the start of February 2022, 32 staff from the Prison and Youth Custody Services have died having tested positive for COVID-19 within 28 days of death where it was confirmed post-mortem as a contributing factor. A further 158 prisoners have died having tested positive for COVID-19 where this was a contributing factor. Despite these tragedies we have consistently kept deaths in prison well below the estimates at the start of the pandemic.
- 2.12 Our approach has protected those residing in our prisons, those working there and the wider community and has effectively enabled us to avoid the worst-case scenario whilst continuing to deliver prison regimes.

Prison Environment

Prison Safety

- 2.13 Statistics for these periods relate to the exceptional period during the COVID-19 pandemic, including reduced activity within the Criminal Justice System and the restricted regimes prisons put in place in order to safely manage the risks of infection during the pandemic. Comparisons of these statistics with earlier periods will reflect the impact of COVID-19 as well as underlying trends.
- 2.14 Assault levels have been on a downward trend since 2018 and in the 12-month reporting period to June 2021, we saw falls in the number of all assaults, which includes assaults and serious assaults by prisoners on prisoners and by prisoners on prison staff. That said, statistics for this period relate to the exceptional period during the COVID-19 pandemic, including reduced activity within the Criminal Justice System and the restricted regimes prisons put in place to safely manage the risks of infection during the

pandemic. Comparisons of these statistics with earlier periods will reflect the impact of COVID-19 as well as underlying trends.

- 2.15 There were 19,470 assault incidents in the 12 months to June 2021, down 30% from the 12 months to June 2020. In the most recent quarter, assaults increased by 11% to 5,128 incidents.
- 2.16 There were 7,612 assaults on staff in the 12 months to June 2021, down 16% from the previous 12 months. In the latest quarter the number of assaults increased by 14% to 2,028 incidents.
- 2.17 In the 12 months to June 2021, there were 2,009 serious assault incidents, a decrease of 37% from the previous 12 months. Serious prisoner-on-prisoner assaults decreased by 44% to 1,332 in the 12 months to June 2021. Serious assaults on staff also decreased, by 16% to 717.
- **Deaths in Custody:** In the 12 months to September 2021, there were 396 deaths in prison custody, an increase of 40% from 283 deaths the previous 12 months. Of these, 81 deaths were self-inflicted, a 13% increase from the 72 self-inflicted deaths in the previous 12 months. In the most recent quarter there were 65 deaths, a 6% decrease from 69 deaths in the previous quarter.
 - **Self-harm:** There were 53,290 self-harm incidents in the 12 months to June 2021, down 13% from the previous 12 months, comprising a 16% decrease in male establishments and a 2% increase in female establishments. Over the same period, the rate of self-harm incidents per 1,000 prisoners, which takes account of the reduction in the prison population between this and the previous year, decreased 13% in male establishments but increased 16% in female establishments. In the most recent quarter, there were 14,007 self-harm incidents, up 16% on the previous quarter, comprising of an 8% increase in male establishments and a 47% increase in female establishments. There were 11,453 individuals who self-harmed in the 12 months to June 2021, down 11% from the previous 12 months. The number of self-harm incidents per individual decreased from 4.8 in the 12 months to June 2020 to 4.7 in the 12 months to June 2021.

- **Assaults:** There were 19,470 assault incidents in the 12 months to June 2021, down 30% from the 12 months to June 2020. In the most recent quarter, assaults increased by 11% to 5,128 incidents.
- **Assaults on staff:** There were 7,612 assaults on staff in the 12 months to June 2021, down 16% from the previous 12 months. In the latest quarter the number of assaults increased by 14% to 2,028 incidents.
- **Serious assaults:** In the 12 months to June 2021, there were 2,009 serious assault incidents, a decrease of 37% from the previous 12 months. Serious prisoner-on-prisoner assaults decreased by 44% to 1,332 in the 12 months to June 2021. Serious assaults on staff also decreased, by 16% to 717.

Prison Safety primary areas of focus over the next 12 months

- 2.18 The COVID-19 pandemic has caused enormous disruption across the prison estate, with an increased need for prison staff to support the change in approach needed in prisons. This required the redeployment of staff from the Prison Safety Programme to operational roles within prisons. The loss of resource coupled with the lockdown of prisons meant that a significant proportion of the prison safety projects were paused while prison safety team activity was focused on supporting the operational running of prisons during lockdown. As of autumn, 2021, the vast majority of prison safety staff were back working on the Interim Safety Programme, which had built in sufficient flex to allow quick change to respond to any future COVID-19 impacts. The programme was extended until March 2022, at which point we will start the Next Generation safety programme of work.
- 2.19 The primary areas of focus over the next 12 months are to support prisons through recovery, ensuring that the return to normal regimes is done as safely as possible. This will include making sure that key safety interventions such as key work, Challenge, Support and Intervention Plan (CSIP) and Assessment, Care in Custody and Teamwork (ACCT) are used effectively.

- 2.20 Alongside this, we know that the pandemic has had an impact on the wellbeing of both prisoners and staff, so we will be working to ensure that both groups are supported through this period and in the longer term.
- 2.21 To protect staff and prisoners in very serious assaults, we are rolling out PAVA – a synthetic pepper spray – for use by Prison Officers, having piloted this in 4 prisons. Staff will be able to use the PAVA spray where there is serious violence or an imminent or perceived risk of it and there is an immediate necessity to create a safe and protective environment. PAVA is being introduced as part of a wider Personal Safety package alongside SPEAR training. This is to ensure that PAVA is used as part of a range of skills for staff to resolve and de-escalate incidents. The training is based on using the body's natural flinch reaction when faced with danger and focuses on pre-contact cues to give staff greater awareness of their surroundings. PAVA and SPEAR are supported by additional 'Five Minute Intervention' training and key work delivery. This is managed under robust governance.
- 2.22 Assessment, Care in Custody and Teamwork (ACCT) is a multi-disciplinary case management approach used in prisons to support people at risk of suicide or self-harm. In 2021 we implemented a revised version of ACCT (version 6) across the prison estate. Revisions include a stronger emphasis on taking a person-centred approach; better multi-disciplinary team working; a consistent quality assurance process and an improved focus on identifying and addressing an individual's risks, triggers, and protective factors. The revised ACCT version 6 has been rolled out across the estate, and we are now continuing work to support establishments to embed ACCT successfully.
- 2.23 Challenge, Support and Intervention Plan (CSIP) is the national case management model for those who pose a raised risk of harming others through violent behaviour. CSIP was mandated for use across the adult estate through a three-staged approach from November 2018. It can be used proactively as well as reactively. All staff including Prison Officers have a role to play in implementing CSIP – this ranges from making referrals for CSIP, supporting CSIP investigations, case managing and supporting individuals

through the CSIP process. Following a pause of the safety programme work due to the COVID-19 pandemic, CSIP restarted in September 2020.

- 2.24 Since then, establishments are working hard to embed CSIP in the day-to-day running of their prisons. The National Safety Team have provided establishments with a range of resources on CSIP to aid recovery and ensure that they feel confident to use CSIP to manage prisoners who present the most challenging violent behaviour. To further support key staffing groups to remain confident in their use of CSIP, we have scheduled several CSIP learning day events due to take place in December 2021 and January 2022.
- 2.25 In 2022, prisons will undertake a self-assessment as part of a national sign-off process to certify that they are using CSIP effectively, the process will run from January - June 2022 where CSIP is in use, after which is it expected that CSIP will become part of business as usual safety work.

Next generation safety programme

- 2.26 There is no place for violent behaviour in prisons, which should be safe, orderly and decent places for both prisoners and staff. Prisons should be stable, generate hope and provide opportunities for prisoners to turn their lives around, through regimes that ensure time is well spent. And, when safety is undermined, this must be dealt with swiftly and effectively. As detailed in the Prison Strategy White Paper, we intend to build the next generation of prisons designed for safety, security, stability and rehabilitation. We will be developing our plan for the Next Generation safety programme which will start in April 2022.

Working with the Samaritans to develop a “postvention” service

- 2.27 We have designed an additional support service in conjunction with the Samaritans for prisons in the period following a self-inflicted death, with the aim of reducing the risk of further suicides (in accordance with National Institute for Health and Care Excellence and Office for Health Improvement and Disparities). This involves additional training for Listeners (Samaritans-trained prisoners who provide emotional and wellbeing support to other

prisoners), guidance for Governors and safety teams, information materials for staff and prisoners, and the deployment of a Samaritans adviser in the event of a self-inflicted death. We will continue to fund this service over the next two years, so that help is provided to both staff and prisoners in the tragic circumstances it is most needed.

Offender Management in Custody (OMiC) and key work

- 2.28 We are reviewing the things that prevented progress with delivery pre-COVID and are providing prisons with lessons learned, support and guidance on how to best deliver and utilise key work to maximum effect.
- 2.29 To reinforce the value of key work, a communications and engagement plan has been developed for Governors, staff and prisoners about the principles and benefits of key work. We are also carrying out a review of the key work training (including in POELT) with HMPPS Learning and Development and have published a toolkit for key workers (May 2021) which provides guidance and tools to help them plan, deliver and record their sessions.
- 2.30 The introduction of performance measures will play an important role in providing assurance that key work and case management is being consistently delivered and to a good quality. There is a key work performance measure on the performance hub to monitor the delivery of key work sessions and work is ongoing with Data & Analysis on the development of a key work Quality measure. This will assess the quality of key work to allow for a more rounded view of performance. Prisons key work performance will contribute to their overall Prison Performance Tool (PPT) rating.
- 2.31 A Performance and Evaluation strategy for OMiC has been developed and sets out the proposed research activity for the next 12 months. This includes several small-scale research projects in both men's and women's prisons which started in Autumn 2021.
- 2.32 Adequate staffing levels in prisons are key to the delivery of OMiC. We have introduced a number of measures to tackle retention and increase recruitment (as set out in the Recruitment and Retention section), but a continuation of

increasing leaving rates (2% points over the past 12 months) and a challenging labour market mean the delivery of OMiC could be pressurised.

Key OMiC staffing issues include:

- Whilst Band 3 to 5 Prison Officer numbers have been steadily rising over the last 12 months, turnover is increasing.
 - The leaving rates for Band 3 to 5 Prison Officers was 11.1% at end September 2021.
 - Modelling is indicating that by the start of Q1 22/23, the resourcing pipeline will not be large enough to fill all the scheduled Prison Officer training courses available and Prison Officer vacancies will begin to increase. Should this persist, a challenging number of vacancies will be felt at a time when we need to increase staffing levels to switch on some of the 20,000 prison places, which will require significant additional Prison Officers recruitment over the SR period. This will further impact on the delivery of OMiC.
 - Implementation of key work commenced in the closed male estate at the beginning of 2018. Prison Officers undertaking key work have 45 minutes per week allocated to each prisoner on their caseload of around six prisoners. All male closed prisons have been allocated their OMiC funding and are therefore resourced to deliver key work to all prisoners. However, whilst prisons have been resourced financially, a lot of prisons do not have the staff in post to be able to deliver the sessions.
- 2.33 Resource pressures in prisons and probation from both high absence rates during COVID and staff turnover has impacted the OMiC model in the past year. Prisons and probation have new and competing priorities and we need to ensure that OMiC is a top priority.
- 2.34 Sustained and systematic delivery is required to effect change and achieve the intended outcomes. There is a real opportunity to give fresh impetus, and to gear prisons and probation up for renewed efforts and focus on OMiC delivery in recovering from the impact of COVID. The current staffing

pressures and the impact of COVID-19 means that the risk management and rehabilitation of prisoners is being compromised.

- 2.35 Evidence shows that having positive relationships and frequent structured meetings between staff and prisoners are key drivers to reducing violence and improving resettlement outcomes.
- 2.36 Implementation of key work commenced in the closed male estate at the beginning of 2018. Prison Officers undertaking key work have 45 minutes per week allocated to each prisoner on their caseload of around six prisoners. All male closed prisons have been allocated their OMiC funding and are therefore resourced to deliver key work to all prisoners. However, whilst prisons have been resourced financially, a lot of prisons do not have the staff in post to be able to deliver the sessions.
- 2.37 Over the last 12 months the primary focus for Offender Management in Custody (OMiC) has been:
- The development and implementation of Exceptional Delivery Models (EDMs) for Key work and Case Management in response to the COVID-19 pandemic.
 - Implementation of OMiC in the male closed estate (implemented 31 March 2021).
 - Implementation of OMiC in the Women's estate (implemented 30 April 2021).
 - Supporting the embedding of OMiC Case Management across custodial and community settings; including developing frameworks for delivery, performance measures and briefings and training materials for staff.
 - Developing a recovery strategy to support establishments to work towards effective delivery of OMiC.
 - A Performance and Evaluation strategy for OMiC has been developed and sets out the proposed research activity for the next 12 months. This includes

several small-scale research projects in both men's and women's prisons that started in Autumn 2021.

Key Workers

- 2.38 Key work has been the backbone of our efforts to improve safety in prisons. Since 2013, violence, suicide and self-harm levels in prisons had significantly increased, although have decreased in the last year. Assault rates peaked in the July to September quarter of 2018 as the rollout of key work got underway, since then we saw a downward trend prior to the pandemic in early 2020, demonstrating that the benefits of key work were beginning to be realised. After 5 years of increases, the rate of assaults decreased from 403 per 1,000 prisoners in September 2018 to 380 per 1,000 prisoners in March 2020. The rate of self-inflicted deaths also reduced from a peak of 1.4 per 1,000 prisoners in 2017 to 1.0 in 2020, and the rate of self-harm began to stabilise after several years of increases.
- 2.39 The introduction of key work was a major change programme that has been severely disrupted by the pandemic, and we expect that it will have a greater impact as we recover from COVID-19 and embed delivery.
- 2.40 HMI Prisons have undertaken several scrutiny visits since March 2020 and a theme identified is how valued key work has been for prisoners and staff prior to lockdown in terms of feeling safe, feeling listened to and being able to progress through their sentence.
- 2.41 Over the next 12 months the key areas of focus will include the implementation of the Performance and Evaluation Strategy for key work, supporting prisons to embed key work and case management as we recover from the impact of the COVID 19 pandemic. The wider Safety Audit, that Operational and System Assurance Group (OSAG) complete on a two to three-year basis, will also look at the resources allocated to key work, the consistency and quality of the sessions being delivered and whether the model is being fully delivered.

2.42 Going forward, we aim to bring OMiC and Future Regime Design together within the Transformation Programme, which will mean that key work has a significant role to play in driving regime delivery. This is our Time Well Spent vision for future regimes.

Prison Security

Prison security statistics for the year March 20 – March 21⁴

2.43 Statistics for these periods relate to the exceptional period during the COVID-19 pandemic, including reduced activity within the Criminal Justice System and the restricted regimes prisons put in place in order to safely manage the risks of infection during the pandemic. Comparisons of these statistics with earlier periods will reflect the impact of COVID-19 as well as underlying trends.

2.44 **Drugs:**

- **Decreased** to 20,295 finds (compared with 21,575 in the previous 12-month period), a decrease of 6%. We found fewer drugs in cells (8% decrease during COVID) and found more in external prison areas (15% increase during COVID), suggesting fewer drugs reached individuals.
- **Prevalence:** Random Mandatory Drug Testing (rMDT) was suspended across prisons resulting in a significant drop in the number of completed tests throughout 2020/21. In the 12-months to March 2021, there were 4,738 random mandatory drug tests (rMDT) carried out nationally across all types of drugs, of which 606 (12.8%) gave a positive result.

⁴ The following data is only of those drugs found and is reflective of COVID-19 pandemic e.g. less visitors than usual. A large number (34%) of drugs found cannot be attributed to a conveyance route.

2.45 **Mobiles:**

- **Decreased** 8,793 incidents (25% decrease) where mobile phones were found in prisons and 3,991 (28% decrease) incidents of SIM cards found.

2.46 **Entry Method of Drug Finds in the year 2020-21**

- Post – 42%
- Prisoners – 12%
- Thrown-in – 9%
- Visitor – 0.6%
- Staff – 0.3%
- Drone – 0.2%

2.47 The trend of previous years has been an increase in all these key indicators.

2.48 Whilst our measures are having degrees of success, we know that drugs and other contraband continue to make their way into prisons. We know that 42% of drug finds come via the mail so we are focusing our efforts in detecting and preventing this.

Contraband in prisons

2.49 The threat to prison security is ever-changing and can have far reaching consequences. Contraband within prison has wide reaching effects including increase in drug-related deaths, criminality within prisons, violence, drug debts, self-harm and suicide, and corruption.

2.50 Drugs pose one of the most serious challenges to prison security and drug supply is enhanced by illegal mobile phone use and criminal activity by prisoners that also drives victimisation, bullying and crime, both within prison walls and extending into the community. We are aiming to restrict the number of drugs coming into the estate, which will remove the root cause of violence,

ongoing criminality and substance misuse as well as making it easier for prisoners to come off drugs.

- 2.51 Despite investment and increased security, we know that criminals continue to attempt to subvert our security measures and run criminal networks from within the prison walls – therefore we must keep adapting to these security risks.
- 2.52 We have seen changes in routes of conveyance, both in part due to COVID but also due to displacement from common methods due to our increased interventions and Enhanced Gate Security (EGS). For example: in the year 2020-21 the most prevalent route of drug conveyance was via the post with 42% of drug finds being in the mailroom. Our analysis suggests this was due to reduced visiting owing to COVID-19 meaning less opportunity to convey drugs via the person, but also to reflect our better detection within the mailroom and displacement from the gate due to our enhanced measures.
- 2.53 COVID-19 restrictions had an impact on the demand for drugs in two ways. The first that prisoners spent increased times behind their doors and wanting to kill time. Secondly, a restricted regime meant an increased demand for drugs with a sedating effect. Despite this increase Psychoactive Substances (PS) were found in more incidents than any other drug category in the 12 months to March 2021. The drugs most frequently found in prison over the last 3 years are psychoactive substances (PS or 'spice'), with this being 45% of drugs found in 2021. This is predominantly soaked into paper or fibres making it more conveyable.
- 2.54 COVID-19 has impacted the security picture in other ways including:
- Restrictions in prisoner movement and visitors, which has impacted on the data we are able to collect.
 - Added challenge to evidence as to whether our methods are preventing conveyance of items or whether the pandemic is the root cause of this.

- Random mandatory drug testing was suspended which has affected our understanding of prevalence of drug use and measures of success.
- Lockdown restrictions have impeded established routes of conveyance, most notably social visits. It is reported that the suspension of visits had a significant impact on the availability of drugs in custody, displacing conveyance to other routes.

Security Investment Programme

2.55 Prison security encompasses work to tackle the activities that disrupt the delivery of safe, decent and secure regimes and cause harm in the community and covers:

- Threats – prison escapes, violence within prisons, crime in the community orchestrated from within prisons;
- Enablers - practices which contribute to the threats above such as secreting items in the mail, throwing items over prison walls, using drones to drop packages over prison walls and corrupting prison staff; and
- Commodities - illicit items brought into prisons such as drugs, mobile phones and weapons.

2.56 Over the last 12 months, the focus has been on rolling out the Security Investment Programme (SIP) across the estate. This £100m investment was announced in August 2019 and aims to tackle crime in prisons. The SIP was impacted by COVID-19 both in its initialisation phase, and then with individual projects. For example, both EGS and Trace Detection were affected due to impacts on the enabling works supply chain and sub-contractor resources. This has meant the completion of the project which was due for March 2021 was extended until March 2022.

2.57 A full evaluation of the SIP is underway and will be published in 2023. We will also identify interim findings on the programme's delivery (barriers, issues and what went well) and perceived outcomes of the three lines of defence (physical security measures, corruption and mobile phones). We will also

conduct an economic analysis on the cost of serious and organised crime, final findings on the process evaluation of multi-agency response to serious organised crime (MARSOC) and cost benefit analysis for MARSOC.

Key developments over the last 12 months

- 2.58 There are 90 drugs trace detection units in circulation which enable the testing of paper to prevent drugs such as psychoactive substances from getting into prisons.
- 2.59 In order to respond to the threat of serious and organised crime, we have launched a multi-agency response to serious organised crime (MARSOC). This was built to target criminals who pose the greatest risk, with 10 regional hubs now operating with 119 staff.
- 2.60 We have expanded our 'pursue' and 'prevent' Counter Corruption and intelligence functions with a further 173 staff recruited.

Improving security measures

- 2.61 The Department aims to complete the delivery of the Security Investment Programme by March 2022 and embed. We also hope to deliver trace detection for screening of mail, Prisoner Communication Monitoring Service, phone blocking and site completion of remaining 7 EGS sites. Transition and Handover is to ensure a formal transition of all the Target Operating Model (TOM) capabilities developed within the Security Investment Programme.
- 2.62 The next 6 months provides a timeframe to ensure that security measures and practices are implemented effectively and efficiently. We will be procuring x-ray baggage scanners to enhance screening capability at the gate for staff and visitors. Due to commercial issues the procurement of baggage scanners has been delayed.

Improving technology

- 2.63 The Department is investing in improving digital resources in prisons for prisoners and staff which we believe will have positive outcomes. This

includes allowing staff to work more efficiently, with up to date technology, alongside improved mental health outcomes for prisoners, stronger family ties, better communication between prisons and their communities.

- 2.64 The impact of COVID led to the rollout of digital video calls being expedited. They are now available in the majority of prisons, including all female prisons and all Young Offender Institutions. Privately managed prisons are entering their own contractual arrangements to introduce video calling in their establishments.
- 2.65 The Prisons Technology Transformation Programme (PTTP) is underway and will replace the outsourced Quantum platform by designing and building the end-to-end network, security and improving end user devices for our staff.
- 2.66 In-cell telephony is also available across the vast majority of the estate, these phones are installed in prisoner's cells to enable closer family ties and improved safety on wings.
- 2.67 The use of in-cell technology is also a key tenet of improving the technology inside prisons. These devices, including laptops, provide access to transactional services such as ordering meals, shopping and phone credit and to the prisoner platform, The Content Hub. This technology supports prisoners with access to information about their sentence, materials to assist them with rehabilitation and to undertake day-to-day transactions such as ordering their meals and topping up their in-cell phone credit, considerably easing the burden on prison staff.
- 2.68 It also contains educational and other content to support areas such as mental health. In-cell laptops have already been successfully piloted at HMP Wayland and HMP Berwyn men's prisons and proved the demand for devices and benefits they could bring. The rollout is continuing and by Summer 2022 HMPPS aim to have delivered in-cell technology to 15 prisons.
- 2.69 Increasing workforce productivity through continuing the delivery of the Prison Technology Transformation Programme will lay the foundation for future programmes.

2.70 Upgrading this equipment will allow for increased productivity and a reduction in time wasted by users waiting for systems to boot up, respond or working to resolve problems. Modern technology will be faster to use in its own right, meaning staff can reinvest that time in building quality relationships with prisoners.

Prison Performance

2.71 Our reforms set out in the Prisons Strategy White Paper will set clear expectations of Governors through transparent and measurable Key Performance Indicators and targets, as well as increasing transparency by publishing prison level performance data.

2.72 Prison performance is monitored and supported through the prison performance framework which is reviewed at the start of each performance year. The framework is measured through the Prison Performance Tool (PPT).

2.73 The framework currently comprises measures across six domains: Security, Organisational Effectiveness, and four which are aligned to Her Majesty's Inspectorate of Prison's (HMIP) healthy prison tests, namely Safety, Respect, Purposeful Activity and Rehabilitation and Release Planning.

2.74 The framework evolves over time to ensure measures reflect changing priorities and are based on robust evidence. Recent new measures include accommodation on release and employment at six weeks following release.

2.75 Measures under development for the future continue to focus on outcomes and include education progression in English and maths, family relationships, disproportionality in outcomes (Lammy Review) and the quality of Offender Management in Custody key work.

2.76 The Government also seeks to reduce the number of first-time entrants to the youth justice system and the number of children held on remand, whilst driving up standards of provision for those children that do come into custody.

- 2.77 To support children and young people, the YCS provided specialist mental health support in Young Offender Institutions (YOIs) and Secure Training Centres (STCs) and mobilised an Enhanced SECURE STAIRS Team, comprised of colleagues from across NHS England and NHS Improvement to provide a blanket of support and advice. SECURE STAIRS is a trauma informed approach to meeting the needs of children in custody. In response to COVID-19, a multi-agency Enhanced SECURE STAIRS Team was convened and met weekly to ensure children's care continued to be informed by relevant guidelines. Activities also included formulation driven care for children and guided reflective practice for staff.
- 2.78 There has also been significant focus over the last 12 months on raising standards in some parts of the youth estate where it is recognised that the quality of provision has been unacceptable. The Secretary of State confirmed on 2 December 2021 that the contract to manage Rainsbrook STC with the private provider, MTC, had been ended by mutual agreement. This was due to serious concerns over safety and performance and the contract with MTC terminated on 31 December 2021.

Prison Workforce

Recruitment and Retention

- 2.79 Both recruitment and retention have become increasingly challenging this year.
- 2.80 Pressures are concentrated most acutely in around 20 prisons. Sites facing greater workforce pressures (through attrition and recruitment challenges) are experiencing the effect of fourteen months of continuous recruitment due to vacancies in the same localities, in a supply-constrained labour market. This is resulting in marginal returns in applications. Competitors include recruitment drives from the Police, Border force, and firms such as Amazon, who can offer comparatively safer working conditions, upfront financial incentives and / or more flexible working options.

- 2.81 Between March – June 2020 we had to suspend recruitment and training while we implemented COVID-19 secure practices in response to Government guidelines on social distancing and non-essential travel. This created a significant gap in our pipeline of new Officers.
- 2.82 The 4-month gap in the supply of new Officers, levels of pre-COVID vacancies, plus those vacancies accumulated between March to present, and attrition naturally anticipated in the months ahead has resulted in us expediting new recruitment campaigns, launching virtual assessment centres and building our training capacity to accelerate our recruitment pipeline. We accelerated the launch of 60+ recruitment campaigns in Autumn 2020 and currently have recruitment activity ongoing for all sites with a current or future recruitment need. Recent recruitment campaigns have delivered at unprecedented levels: the number of new Band 3 to 5 Prison Officers who joined HMPPS in the year ending 30 September 2021 was 50.2% higher compared to the previous year.
- 2.83 The leaving rate amongst Band 3 to 5 Prison Officers (for the 12 months ending 30 September 2021) was 11.1%. This is an increase of 2.0 percentage points compared to the year ending 31 March 2021. 32% (837) of the leavers in the past year to September 2021 (2,587 of which 1,659 were resignations) have been leavers in the most recent quarter (July to September). This is the highest number of leavers within a quarter seen for some time. Application volumes have decreased rapidly whilst the number of open campaigns has increased. Should this persist, a challenging number of vacancies will be felt at a time when we need to increase staffing levels to switch on some of the 20,000 prison places, which will require up to 5,000 new Prison Officers across public and private prisons.
- 2.84 During the pandemic we have digitised our recruitment processes and now run ‘online assessment centres’, increasing capacity, reducing our time to hire by several months, whilst improving candidate experience and satisfaction levels.

- 2.85 The OSG to Prison Officer fast track scheme supported Prison Officer recruitment. There were 380 OSG to Officer conversions in the 12 months to end September 2021. Two targeted campaigns have been undertaken to-date (October and July) with a third campaign launched on 1 December 2021. A further campaign is scheduled to launch on 1 July 2022.
- 2.86 In addition to the pressures in recruiting and retaining enough staff to resource an expanding prison estate, we are also yet to feel the impact of the 2015 Public Sector Prison Remedy which may see significant numbers of operational staff opting to take retirement or partial retirement. We anticipate this will happen once the financial impact of the remedy is routinely included in Pension Benefit statements from 2023 onwards.

Recruitment, marketing and application volumes

- 2.87 Attraction to the Prison Service is a core part of ensuring a stable and sustainable recruitment pipeline. While there is always room for improvement, attraction into the Prison Service has not been a problem until recently. Government recruitment campaigns across higher profile roles such as those in the NHS, teaching, Armed forces and Police have also experienced a significant decline in applications since April 2021 (source Omnigov).
- 2.88 One of the challenges to recruiting into the Prison Service is the lack of awareness or insight into the Prison Officer role. The role of Prison Officer has a low profile and many who might be suitable would, if they ever considered it, dismiss being a Prison Officer out of hand because of misconceptions about the role.
- 2.89 A new marketing and communications strategy for Prison Officer recruitment will create greater awareness and understanding and position it as a vocation and a career so it does not compete head on with commercial sector roles. The team will use PR, documentaries, media partnerships and social media to change perceptions and reach to wider audiences who might be looking for a career change. The strategy will also seek to create greater local relevance for these roles at a community-level. This will follow the learnings from the Portland and Wayland taskforce.

2.90 The Portland & Wayland Taskforce was introduced to deliver a range of initiatives to help drive Prison Officer recruitment in our most challenging to recruit to prisons including:

- Cluster campaign to leverage easier to recruit to prisons including home to work financial support.
- Part-time campaign (Wayland) including home to work financial support.
- Level Transfer campaign including full Public Interest Transfer (PIT) for experienced staff.
- External recruitment supported with home to work travel.
- Landing pages with prison-specific information and videos.
- Candidate engagement with prison tours and webinar sessions to reach candidates and prospects.
- Outreach recruitment events, job centres, pop-up stalls in shopping centres and recruitment fairs. Lessons learned from the taskforce activity will be reviewed with the ability to adopt at other hard to recruit to establishments.

Understanding and addressing poor retention

2.91 Taking decisive action to retain our staff is a priority. We know that retention is key to achieving a net increase in prison staff in line with prison expansion plans. We have launched a Retention strategy and interactive toolkit to ensure we engage and retain our new recruits and experienced staff alike; both operational and non-operational. Some staff turnover is natural, expected and unavoidable. It also provides welcome opportunities for introducing fresh talent and new ideas. However, the rate of voluntary resignations across the estate (particularly in the Prison Officer grade) has been rising over recent years.

2.92 Research from the 2017/18 Prison Officer retention strategy and framework looked into why staff were voluntarily leaving HMPS and found there were 10

main drivers of staff attrition. The drivers have been reviewed in 2021 and remain valid, telling us that people are leaving our organisation for various reasons which can be summarised by the *ten drivers of attrition*. These are:

- Leadership
- Pay and reward
- Career progression
- Induction
- Learning and development
- Environment
- Roles and responsibilities
- Health and wellbeing
- Staffing
- Ways of working

2.93 We know that some of the reasons are best tackled centrally, such as flexible contracts and pay policy. Some reasons are due to the geographic location of the prison and local employment market competition. Our research also shows that local leadership, a focus on staff wellbeing and ways of working have a tangible impact on the workforce and this is where the biggest opportunity to reduce our controllable attrition lies.

2.94 Improving retention will be the result of a long-term sustainable and collaborative approach; with ownership taken at a local level by prison leaders together with regional and national support.

2.95 Prisons report the direct link of lack of experienced staff to workforce stability, effective decision making and confidence. If controllable attrition is reduced, experienced staff will increase; positively impacting on stability and safety. There are a number of prisons that have very low resignation rates, and we

want to share this best practice. Underpinning the retention strategy will be shared learning. This will be continuous, and the HR Community will share learning from establishments, regions and departments. From this the toolkit will be updated to ensure that everyone has access to the most recent advice or interventions available.

Exit interviews

- 2.96 A new exit interview process was introduced in August 2021 and was designed to enable individual establishments to identify why operational and non-operational staff are leaving, linked to the ten drivers of attrition outlined above, allowing for the introduction of targeted local interventions to reduce staff turnover. Collated exit interview data from across the Estate also supports the identification of regional and national trends. There are now 129 HR staff who have been retrained in the new exit interview.
- 2.97 This launch of the new approach replaces a former approach to exit interviews. Relaunching with the new approach seeks to:
- Improve consistency (as different establishments were using various versions of exit surveys)
 - Refocus everyone on the importance of gathering exit information to improve completion rates (which were low)
 - Improve the quality of the data gathered and to align it to the 10 drivers of attrition (which form the basis of our retention strategy and toolkit)
- 2.98 The design of the new exit interview is centred on the following objectives:
- To fully understand the reasons why a staff member has resigned – linked to local Drivers of Attrition
 - To find out if anything could have prevented their resignation
 - To identify if there are any patterns in who is leaving

- To understand what is working well in the establishment
- To use negative feedback and suggestions for change to make improvements
- To enable leavers to have their say and end on a positive note
- To build a national picture of who is leaving and why

2.99 Electronic uploading of interview findings is being piloted in Kent, Surrey and Sussex - this will ensure that results are available instantly.

Retention Strategy and toolkit

2.100 A Retention Strategy and interactive toolkit was launched on 30 November 2021, with a focus on collaborative working between HR and the business. This strategy is intended to ensure we engage and retain our new recruits and experienced staff alike; both operational and non-operational.

2.101 This strategy, and the accompanying toolkit, is part of the first tranche of the Prison Workforce Reform Programme to stabilise the workforce by developing new tools, intelligence and processes to enable retention of staff in prisons. We aim to stabilise the workforce by:

- Developing support tools and interventions to address today's causes of high attrition rates among prison staff;
- Future proofing our workforce stabilisation through effective wellbeing strategies.

2.102 The Retention Toolkit provides the steps that can be taken locally, regionally and / or nationally to improve retention. The toolkit encourages a collaborative approach; with ownership taken at a local level by prison leaders together with regional and national support. Used alongside the Retention Strategy it is intended to ensure that we understand our drivers of attrition and take action to address the issues our prisons are facing in retaining staff. Each business area will review their attrition rate monthly, and this will be one of the measures of success. Feedback will also be key at workforce planning meetings to ensure that the appropriate interventions are being undertaken. In

addition, a National Retention Board will meet quarterly with representation from all areas of the business and groups offering national interventions to discuss wider findings.

2.103 Retention Deep Dives in our most acute attrition sites are being undertaken by an Occupational Psychologist to understand drivers of attrition at establishments with the highest voluntary resignations.

2.104 Due to the complexity of workforce risk activity underway, a People Risk Taskforce was established December 2021. This will operate until the HMPPS People Team is confident on the trajectory for reducing staffing issues. The purpose is to galvanise current action to ensure maximum impact of the broad array of activity underway: ensure HMPPS have a clear forecast and sound understanding of the anticipated impact of the mitigations currently in place; generate and drive innovative thinking to develop further solutions to manage the HMPPS people risk, ensuring actions are firmly embedded.

Flexible working arrangements

2.105 A suite of high-level individualised flexible working arrangements has been established. As a part of a proof of concept exercise this suite of working arrangements is being translated into a tangible package of more flexible working options that can be tailored and practically applied at individual sites. This suite of individualised offers will present current and prospective employees with a greater range of flexible working options with the aim of improving retention and attraction and complementing the introduction of part-time POELT training.

2.106 Additionally, an alternative approach / model is being developed to determine the attendance arrangements and deployment of the wider workforce (those not subject to bespoke individualised arrangements). This alternative approach will provide the wider workforce with increased flexibility to adjust their working arrangements at short notice around their individual needs. This alternative approach, alongside the introduction of a new rostering tool with

increased levels of automation and integration, will play a significant role in modernising the organisation's employment offer.

2.107 The modernised employment offer will enable the organisation to access areas of the labour market that it previously couldn't, supporting improved recruitment and retention, as well as enhancing equality by offering more flexible working arrangements to individuals with caring or family responsibilities.

Additional retention initiatives in collaborative development

- **Acceptable Behaviours Collaboration** - Collaborating to tackle unacceptable behaviours within our organisation, addressing the cultural issues that impact on health and wellbeing. Providing a positive environment where our people feel valued, supported and included for their individual contributions, nurturing a positive environment where everyone feels like they are being treated fairly and that they belong, within a safe environment where they feel confident that unacceptable behaviours will not be tolerated.
- **Structured Staff Supervision** - Piloting structured staff supervision to Band 3 Prison Officers in order to support dealing with operational complexities, coaching on solutions and building resilience, improving capability, confidence and performance and helping to manage risks and promote stability, security, safety and order.
- **Staff Safety and Support Strategies Framework** - Ensuring all prison staff are aware of the suite of available options to support their well-being and resilience with proactiveness at the heart of design and the collaborative creation of a suite of multi-media support tools for our staff to access to support their wellbeing and resilience, raising awareness of Support Services available to our staff, both proactive and reactive.

Operational Stability Payment

2.108 Following a number of temporary schemes during the pandemic and following submission of a Business case to HMT, an Operational Stability Payment

(OSP) was introduced as of December 2021 to tackle short-term acute pressures where other, non-pay, mitigations are not appropriate. OSP provides an additional payment to staff who agree to deliver a set number of additional hours. The scheme is not intended to be a business as usual resourcing mechanism, and it remains the intention of HMPPS to fully recruit to our target staffing levels.

Apprenticeship

- 2.109 We have moved to a Custody & Detention Apprenticeship which enhances practical skills and is in line with adult learning principles and reflective practice. The new Custody & Detention Apprenticeship is currently being rolled out and is for all new Prison Officers joining HMPPS during 2021 in the North/Midlands and 2022 for the South of England and Wales.
- 2.110 All new Officers complete a 2-week induction as part of the apprenticeship. This clearly informs what a learner should practice or learn at their establishment in preparation for their foundation training. The new standardised induction will be available for all establishments in April 2022.
- 2.111 The apprentice's work will be assessed in the prison setting to ensure they are demonstrating the appropriate skills, knowledge and behaviours in line with what is expected of a Prison Officer and against OFSTED and ESFA (Education and Skills Funding Agency) frameworks.
- 2.112 The apprenticeship launch was paused until 2021, as the numbers of staff required to be trainers has increased in light of social distancing requiring smaller class sizes. Instead, all new staff continued to follow the new practical skills-based apprenticeship curriculum, with some limited CPD once they get into the prisons.

A targeted approach to Recruitment and Retention: Market Supplements

- 2.113 Market Supplements were originally introduced in early 2017 as an additional (non-pensionable) payment of either £3,000 p.a. (at Amber sites) or £5,000 (at Red sites) for Band 3 Prison Officers (on F&S, or legacy pay terms and

conditions only) as a means to address acute recruitment and retention challenges at our most difficult to recruit and retain at prisons.

- 2.114 We continue to see a need for their use and have secured HM Treasury approval for their continuation beyond April 2022.
- 2.115 Continuation of Market Supplements for 2022/23 allows us to compete against local market forces, tackle ongoing recruitment difficulties in these areas and retain experienced Prison Officers in order to ensure the safe operation of these 31 establishments. Continuation of Market Supplements for 2022/23 also allow us to mitigate the risks of the losing experienced staff to the large recruitment drive of the Police Force and similar organisations such as Border Force.
- 2.116 However, the PSPRB’s evidence for 2021/22 highlighted challenges associated with the “additional tier” to the F&S pay structure created by the use of red and amber Market Supplements. They also raised concerns over the impact of Market Supplements on the recruitment and retention at neighbouring prison establishments.
- 2.117 As set out within our pay strategy, detailed further in Chapter 1, we are looking carefully at the use and effectiveness of Market Supplements over the longer term.
- 2.118 Acknowledging the PSPRB’s argument for nation-wide investment in pay to make the Prison Officer role more market-facing, we set proposals for this year to do so. Our proposed increases to our lowest paid grades will therefore have the effect of phasing out parts of the Market Supplements where they are in place. We will carefully monitor the impact this has on localised recruitment and retention trends in order to inform our longer-term approach.

Professionalisation and Leadership

- 2.119 The MoJ Leadership, Talent and Capability Team are responsible for the planning, design and delivery of learning programmes to support HMPPS leaders. Both virtual and face-to-face learning has been deployed in 2021 and a hybrid model of delivery will continue to be scheduled in 2022.

2.120 COVID-19 has continued to interrupt face-to-face leadership and talent development programme delivery with only a small volume of programmes delivered. Focus has been to complete programmes which commenced prior to lockdown and for those where waiting-lists have grown considerably during this period.

2.121 The MoJ Leadership, Talent and Capability Team continue to develop an increased portfolio of virtual learning across HMPPS. As the HMPPS IT refresh continues it is hoped that it will become business as usual to offer a blended approach that is accessible by all HMPPS employees.

Leadership schemes

- The Leadership Journey commences delivery in March 2022 across 13 sites, including prisons, probation and YCS. This pilot will see all leaders in the region receive a blended mix of learning opportunities including horizontal sessions alongside colleagues in similar roles as well as vertical workshops that build 'in-team' cross-hierarchical capability and collaboration. In addition, learners will receive online learning and will be signposted to on-demand opportunities. This is an exciting opportunity which will be evaluated, and recommendations made for future scaling of this approach across the whole of HMPPS.
- The first cohort of the HMPPS Justice Leaders Scheme will launch in September 2022. This programme is a new, exciting and innovative pan-HMPPS four year fast-track leadership scheme that will be the first of its kind to produce senior operational leaders able to work across prison, probation and YCS. Candidates on this scheme will undertake a series of placements and academic / operational training that will give them the necessary skills and accreditation to work fluidly in leadership roles across any area of HMPPS upon graduation.
- In 2021 an HMPPS Deputy Director Talent Pilot was delivered that aimed to reduce opportunity for bias by increasing the evidence base of information used to predict an individual's talent. The pilot also focussed on how the talent

data can be used to provide suitably challenging development opportunities to leaders. This has included the delivery of the first Career Council with senior leaders from across HMPPS, to match talent with learning, the creation of a document that provides suggested development activity for all, the offer of 1-2-1 coaching conversations and continuation of development panels for 'top-talent'. Recommendations for roll-out in 2022 will be made prior to the next talent identification round.

- 15 high-potential future senior leaders (i.e. Prison Governors) completed the Senior Leaders Programme (pilot cohort). 12 of the 15 delegates have successfully secured a promotion since starting the programme. The second cohort of 15 was delivered between June and December 2021. The programme included an external leadership placement and a Level 7 qualification. The third cohort will be recruited to the scheme in late 2022, to start in 2023.
- A pilot of a new internal fast-track scheme SPARK was launched in September 2021 with 15 delegates joining the scheme. This programme accelerates the development of high-potential employees into Heads of Function roles over a two-year period. A second cohort is planned to be launched in early 2022 with a start date scheduled in April.
- Two Leadership School events (one virtual and one face-to-face) were delivered in 2021. These are cross MoJ, mixed hierarchy, leadership events with approximately 160 delegates from HMPPS in attendance. Two further schools are planned for May and November 2022 and some themed interventions throughout the year will be provided for those who cannot attend.
- The Unlocked programme brought 111 graduates into the Prison Service in July 2021. These learners will work in Prison Officer roles for two years. Work has continued to develop the offer for those coming to the end of the programme. The contract for this programme will be re-tendered in 2022.

- Pilot Aspiring Leaders workshops were delivered from October – November 2021 to 40 employees (having been paused since March 2020). The aim is to deliver more of these workshops in 2022.
- The Thrive (BAME Coaching) Programme, which aims to increase representation of leaders from ethnic minority backgrounds has seen 115 colleagues being matched to a coach since the programme's inception.

National assessments

2.122 Assessed development portfolios were designed and delivered between June 2020 and September 2021, now hosted on MyLearning and available to operational HMPS staff aspiring for promotion to Custodial Manager, Head of Function and Deputy Governor roles.

2.123 Promotional assessments delivered, for operational Prison Service staff aspiring to these levels include:

- Custodial Manager Assessment Centre: 13 April – 11 June. This was delivered face to face from our Birmingham Assessment Centre
- Head of Function Assessment Centre: 20 September – 7 October online
- Deputy Governor Assessment Centre: 26 October – 3 November online
- Governor Assessment Centre: 6 - 7 December online
- Incident Management Silver Command assessments 2-3 times per month from April – November for HoF accreditation. Delivered from November – January for Dep / Gov accreditation, where HoF will resume

2.124 Other assessments designed and delivered:

- Incident Management Gold Command assessment designed and delivered end of October.

- Justice Leaders Scheme selection designed between June 2021 to January 2022 and delivered in stages between November 2021 and April 2022

Specialist roles – Youth Custody Service

2.125 The new youth justice specialist role continues to be embedded within Youth Custody Service, with funding for every Prison Officer in youth custody services to take up a level 4 qualification in youth justice.

Staff Wellbeing

2.126 COVID-19 absence data documented within the Workforce Statistics (September 2021) shows that management of and work to reduce absence has been significantly disrupted across the board. COVID-19 has had a massive ongoing impact on the ability to deliver and manage absence across the entire organisation. Health surveillance was postponed as per HSE advice but resumed as soon as Optima were able to, having followed government COVID guidelines. This also affected workplace assessments and physio, but these were commenced on a video conferencing remote model.

2.127 HMPPS are remodelling preventative psychological services including Reflective Sessions delivered to staff. The remodelled service includes a bespoke offering for Governors, Deputy Governors and Regional Probation Directors aimed to improve access to preventative mental health care for senior leaders.

2.128 This year we have been finalising contracts for the new generation of Occupational Health (OH) and Employee Assistance Programme (EAP) contracts which will improve the speed of employee pathways to support and continuing to provide the EAP which offers confidential 24-hour 365-day support for prison staff with access to a wide range of services including Fast Track Trauma on-site support, wellbeing workshops and Computerised Cognitive Behavioural Therapy (C-CBT).

2.129 We have also been improving access to all services and interventions. Establishing the OH remote model using video conferencing or telephone consultations for all interventions e.g. Psychological services and

physiotherapy as well as all assessment types enabling staff to have access to OH in a convenient and timely manner. Employees are able to access the services online or by telephone, text and email to arrange an appointment. Video conferencing referrals have been undertaken for HMPPS staff since VCs were rolled out in August 2020. The OH provider, Optima Health continue to host conference calls bi-monthly with HRBP Community in each region / function promoting the use of Video Conferencing for OH management referrals. In the latest OH provider MI pack which covers the month of December 2021, all OH appointments have been delivered within KPI targets.

- 2.130 Prisons have been establishing COVID-safe immunisation clinics across all prisons for both flu and Hepatitis B. Numbers at the clinics were reduced and appointment times increased to allow the nurse to engage with COVID-safe procedures and PPE. At the time of writing all prisons have 2 flu clinics booked with a 90% utilisation. Staff are also able to access the flu vaccine at a pharmacy and claim the amount back on HR System, SOP.
- 2.131 We have delivered the Post COVID Syndrome management referral for employees with symptoms of COVID for over 12 weeks. The individual has an initial assessment and if appropriate referred onto an 8-week Functional Rehabilitation Programme (FRP). This could include mental health interventions with review systems to monitor progress and adjust programmes where necessary. The focus is on restoration of health. The unpredictable and fluctuating nature of long COVID means that some employees may need to return to work gradually, over a long period of time – building up work capacity – and will need support or adjustments in the workplace.
- 2.132 The Post Incident Care Policy and User Guide provides guidance to support all employees who are at risk of and have been affected by traumatic workplace events. This document supports the overarching **Post Incident Care Policy Framework**. In addition the OH provider has launched a new wellbeing platform for both employees and staff:
<https://hmpps.workplacewellbeing.com/>

- 2.133 Promotion of the Zero Suicide Alliance training under the “*Reach Out Save Lives*” staff suicide and self-harm prevention campaign launched in September 2020. We have been encouraging staff to engage with the training in order to enable conversations about suicide and self-harm with the aim of destigmatising crisis mental health and encouraging staff to look out for one another and in addition enabling staff to engage with tools to assist someone who may be struggling.
- 2.134 The roll out of the “Mental Health in Policy Development Training” aimed at those working in policy roles to upskill and enable the policy creator to understand how policy can impact mental health and wellbeing of the workforce.
- 2.135 We have continued the roll out of Mental Health Allies (MHA) across HMPPS as one of a suite of support options available to all staff. Allies promote a culture where talking openly about mental health is encouraged, offer support, and share wellbeing information. They challenge the stigma around mental health and signpost to services working closely with wellbeing leads.
- 2.136 Building on learning from the Army, HMPPS has delivered the Trauma Risk Management (TRiM) programme to provide **Trauma Risk Management (TRiM)** practitioners in every prison. TRiM colleagues identify staff who may be struggling after a traumatic event and offer on-site support. They are trained to identify symptoms and signpost to assistance and support to help relieve symptoms of post-traumatic stress. Practitioners offer one to one confidential support with follow up checks.
- 2.137 Over 50's could access a flu vaccination through the onsite prison flu clinics. As the NHS provided free flu vaccines for over 50's it is likely that many employees will have accessed a flu vaccine via their local GP or pharmacy, maybe at the same time as receiving a COVID booster vaccination. Therefore, our uptake of flu vaccinations is likely to be lower as this was not the case last year as NHS offered to 65 and over.
- 2.138 We are also encouraging staff to disclose their COVID vaccination status on HR System SOP. This is not mandatory but provides vaccine coverage data

during the ongoing pandemic. Current flu vaccination data indicates lower figures than of last year; full data will not be available until mid-January. It is likely that the COVID Vaccination uptake figures are higher than reported due to staff not disclosing their status on SOP.

- 2.139 There is currently limited or incompatible IT infrastructure within prisons to facilitate remote or video services and to access SOP for vaccination status. Mental Health in Policy Training did not gain the expected traction due to time pressures on policy teams. The limitations of Prison IT infrastructure are well documented and understood.
- 2.140 HMPPS are continuing to: promote the Reach Out Save Lives Campaign, embedding training into the area of learning and development for those new into the role; support staff in managing long-term health conditions with further innovations around the Digital Assessment Routing Tool (DART); improve the health of staff through initiatives such as the ongoing provision of vitamin D as a trivial benefit in kind. In addition, we are working on new innovations from the commencement of the new OH and EAP contract. OH contract went live in October 2021 until October 2024 and EAP will be live in February 2022 until Feb 2025.
- 2.141 HMPPS will continue to manage the impact of COVID-19 on absence across the organisation including the possible effects of 'long COVID' and continue to deliver large scale immunisation programmes to staff.

Sickness absence

- 2.142 HMPPS staff lost an average of 12.3 working days to sickness absence in the 12 months ending 30 September 2021 (including COVID sickness)
- 2.143 This represents an increase of 0.9 average working days lost (AWDL) compared to the 11.4 average working days lost for the year ending 31 March 2021. This is an increase of over two days compared to the predominantly COVID-free year ending 31 March 2020. It should be noted that since June 2021, this data now includes COVID-19 related sickness data. Previously

published figures were revised with our June 2021 release to include COVID-19 related sickness data.

- 2.144 The most common category of sickness absence in terms of days lost was mental and behavioural disorders, corresponding to 28.3% of absences in the past year. This category was most prevalent for Probation Officers, where 50.1% of working days lost were attributed to mental and behavioural disorders.
- 2.145 For HMPPS overall the category that accounted for the second largest proportion of working days lost was epidemic / pandemic (27.5%). Together the top two categories accounted for 55.9% of all working days lost.
- 2.146 We are continuing to work in partnership with HMPPS leaders in regard to Attendance Management during COVID and as a part of business as usual to establish on-going dialogue with staff to gain understanding about the unique attendance challenges that staff members may face e.g. vulnerable, underlying health issues, delays in access to care, pregnant workers. We are also providing support to line managers in terms of applying policy, including encouraging the involvement of other services including OH, EAP and Workplace Adjustment.
- 2.147 We will continue to support complex attendance issues, to ensure staff are supported and that guidance works in partnership with HR Case Management.
- 2.148 HR colleagues are working locally, regionally and nationally to reduce absence but also to ensure responses are 'fit for purpose' at a time of ongoing uncertainty and rapid change, as we support staff through the pandemic. Although sickness is an issue, there are a range of attendance issues that are reflected in the data and experience of staff across the management of attendance, where the complexity of COVID has impacted their ability to attend the workplace.

The People Survey and core themes, motivation and morale

- 2.149 A full overview report covering HMPS and YCS has been extracted from the People Survey Results dashboard and included as part of the overall submissions, along with a narrative detailing the scores, and their direction of travel, for all 9 core themes and the Engagement Index.
- 2.150 Narrative has also been included detailing how the results from last year's survey were fed back to strategic leadership teams and used throughout the year, as well as some actions taken.
- 2.151 As the People Survey results are embargoed for sharing outside of the Department until published on Gov.uk this part of the overall submission has been shared with the PSPRB on an Official Sensitive basis.

Diversity and Inclusion

- 2.152 In accordance with recommendation 28 of the 2017 Lammy Review, HMPPS remains committed to achieving a target of 14% of all staff recruited being from a Black, Asian and Minority Ethnic background.
- 2.153 The proportions for offers formally accepted by BAME candidates for Prison Officer roles varied each quarter between December 2019 and March 2021 ranging from 8.7% to 32.0%.
- 2.154 HMPPS regularly reviews and evaluates candidate performance during the Prison Officer recruitment process for fairness and efficacy and no adverse impact has been found against any group participating in the Prison Officer recruitment process at any stage of the recruitment process, including BAME candidates. We continue to recruit Prison Officers and tailor our marketing and attraction to increase diversity of applications. HMPPS is targeting prisons where there is disparity between the Black, Asian and Minority Ethnic workforce population and the regional working population through using an enhanced recruitment approach.
- 2.155 To make valid comparisons across time or across different groups requires a measure of disparity of outcomes on a standard scale. This standardised

measure of disparity of outcomes is described as the **Relative Rate Index (RRI)**. The RRI, or Relative Rate Index ⁵, gives a standardised measure of difference between groups. The RRI is calculated by dividing the rate of success (i.e. the percentage of those who applied that accepted a formal offer) for one group by the rate of success for the other group with a diversity characteristic, thus creating a single standardised ratio measure of relative difference in outcomes between those two groups.

2.156 BAME candidates made up 19.8% of all Prison Officer applicants, and 12.6% of formal offers accepted between July 2019 and June 2021. The statistically significant RRI value of 0.58 suggests that BAME candidates had a disproportionately low success rate compared to white candidates. This was mainly driven by a large proportion of BAME candidates not reaching the assessment stage (RRI of 0.65).

2.157 Prison Officer campaigns continue across different parts of the country, recruiting from local populations, at different times. It should therefore be expected that the percentage of BAME applicants will fluctuate over time.

2.158 HMPPS are targeting establishments where there is disparity between the ethnic minority workforce population within the particular prison to the regional working population through using an enhanced recruitment approach. The approach includes engaging with the wider diverse community to increase knowledge of careers within HMPPS, designing and facilitating recruitment attraction events through digital platforms and allocating a “buddy” for candidates from ethnic minority backgrounds to support them through the recruitment process.

2.159 Recent analysis of prison workforce and recruitment data by different ethnic groups suggests a specific focus on attracting and engaging Asian candidates alongside understanding any unique challenges or barriers which may

⁵ [Recruitment diversity statistics June 21 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/statistics/recruitment-diversity-statistics-june-21)

contribute to disparity, particularly in certain locations. Officials are exploring this with outreach being a key focus.

2.160 Additionally, HMPPS Race Action Programme (RAP) will build on the ambitions of Lammy recommendations 28 and 29 and enhance regional recruitment activity by engaging 3rd sector ethnic minority organisations, outreach and community engagement to increase representation of ethnic minority staff in under-represented areas.

2.161 More broadly, specific Inclusive Recruitment guidance is available for vacancy managers to support them in embedding inclusion through each step of their recruitment campaigns.

Performance Management

2.162 A new performance management process has been developed and will be introduced from April 2022. This aligns the whole Department's approach to the flexibilities across the Civil Service on staff performance management, given HMPPS chose not to adopt the policy change when first introduced back in 2018.

2.163 The core of the approach is regular performance conversations to occur throughout the year on a rolling basis. These conversations should be forward-looking and focused on development as well as performance. The starting point is for performance conversations to occur every eight weeks, but flexibilities are possible to alter the frequency to cater for Managers with large spans of control. Performance conversations can also occur in teams, particularly where there are team-based or shared objectives. Conversations about personal development and any dips in performance should be discussed in a one-to-one setting. No performance markings, guided distribution or moderation meetings are required.

2.164 It is underpinned by a new Recognition and Reward policy, also to be introduced in April 2022. The principle of this policy encourages regular awards (vouchers / small bonuses / gifts) throughout the financial year to

recognise exceptional contributions, impact or demonstration of the MoJ Values.

2.165 Performance management and reward oversight is achieved through a Quarterly Review process. Senior Managers review the performance within their responsible areas to ensure that the performance management approach is working as intended. They should assure themselves that:

- Support is in place for high performing / high potential individuals who have shown the potential to progress or individuals who have shown dips in performance or under-performing for a sustained period;
- Recognition and Reward (R&R) was used in a fair and inclusive way.

2.166 This approach has been developed in collaboration with stakeholders across the Department and has been through trade union consultation. Aligning with the wider MoJ approach, no performance markings will be required, therefore analysis will have to draw on less traditional methods of measuring performance, such as data on the distribution of R&R awards and survey feedback. We will also retain the recording of individuals on poor performance measures.

2.167 HR Policy's role has been to develop this performance management system by engaging with stakeholders, consulting with unions, conducting equality analysis. HR Change, HR Performance Managers and HR Business Partners will continue to have a role in helping the workforce understand and apply the new policies. HR Policy will continue to have a role in reviewing policy as required.

2.168 It should be noted that in no way does this link to future pay progression and the revised arrangements will not be the new mechanism to determine staff performance and how they progress through the ranges.

2.169 Having moved away from a link between progression pay and an annual performance assessment, our ambition is to install a new link for progression through the ranges to the required capability in a role. The new model will be

bespoke for the Prison Service and will be designed to link the progression requirements for individual roles to prison outcomes and priorities. Learnings from the work underway in the Probation Service and more widely across government at SCS level on competency-based frameworks will inform the future model for prisons.

- 2.170 Last year the PSPRB requested information on performance marking distributions broken down by grade and protected characteristics. Unfortunately, it is not possible to provide this data. As per last year's response, the 2019/20 SPDR end of year assessment was suspended due to COVID-19, with the aim to relieve some of the administrative burden on managers and staff. Given the exceptional circumstances, managers were only required to record a rating for those staff assessed as 'outstanding'. This meant that the majority of staff would have been awarded with a 'good' marking, including those whose performance may have dipped to 'improvement required'.
- 2.171 For 2020/21, the appraisal process was wholly suspended due to COVID-19 and no appraisal markings were given. Therefore, performance markings analysis and comparison with previous years are not possible. Staff on formal Managing Poor Performance measures are recorded separately, and this process has continued as usual.
- 2.172 Analysis in the HMPPS Staff Equalities Report, 2019/20 (published on 26 November 2020) of the breakdown of 'outstanding' markings found these were worse for male staff, staff aged under 30 and over 60, BAME (and particularly Black staff) staff compared to white staff, and disabled staff compared to non-disabled staff, and with better outcomes for more senior staff.
- 2.173 The latest HMPPS Staff Equalities Report 2020/21 (published 25 November 2021) contains no SPDR analysis because, as flagged, no performance markings were recorded.

2.174 Over the last year the primary focus has been to finalise a new Performance Management (PM) system for the whole Department which will replace SPDR. This has included:

- preparing a new suite of products which provide the policy and supporting guidance in innovative and accessible ways;
- conducting equality analysis on the proposed system and considering mitigations against bias;
- engagement and consultation with all trade unions;
- managing an 'early adopter' phase to test some of the approach and products within HMPPS environments.

2.175 The 'early adopters' are a small number of sites providing a selected mix of prison, probation and HQ sites across HMPPS introduced in Autumn 2021. The intention is to evaluate how different sites adapt to the new approach on a practical basis and whether we can potentially learn anything to aid the full implementation in April 2022.

2.176 Early anecdotal indication is that the new approach has been received positively by staff so far, and the move away from the SPDR approach that gave rise to disparities in markings. We will be evaluating this early adopter phase through site surveys and direct feedback from HR leads. Full evaluation of how this new PM system was received in these early adopter sites will not be available until after January 2022 when the phase concludes.

2.177 We are facing a big cultural change where HMPPS is moving from a rigid system of performance markings, guided distribution and moderation twice a year, to a flexible system of regular conversations and quarterly reviews. Much of this challenge is within operational environments, hence our focus on these during early the adopter phase.

2.178 We are also faced with balancing the needs of maintaining a forward-looking, flexible and light-touch performance management approach with the need to obtain and use data on performance measures.

2.179 The new approach has now been communicated to unions and consultation is completed. We will be focused on completing the early adopter phase to evaluate whether there is any learning to benefit from. We will then be focused on the change activities required for an introduction of the new PM policy from April 2022.

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

2.180 Following the outcome of the JES Review (outlined in last year's evidence), it was concluded that the current prison complexity types needed to be expanded from a three to a four-tier structure (Standard, Standard Plus, Complex and Complex and Diverse). The rationale for this was linked to the work undertaken outside of the JES Review to look at the workload of Operational Managers and the requirements to cover the Duty Governor duties, alongside offering greater management resilience in some of the larger Standard prisons. The rationale and recommendations were independently agreed alongside approvals from HMPPS Higher Leadership Team.

2.181 The review also looked at the current indicators used to determine a prison's complexity. Changes have been made to enable the process to be less subjective and simpler to measure. This included identifying indicators which may differ from those currently used but would be relevant in helping a panel of senior stakeholders in their decision-making process for future complexity levels.

2.182 As a result of the changes to the complexity model, and given that no formal review has been undertaken since 2012 when it was first introduced, the review recommended that a full review of all establishments should be undertaken to identify which of the new four model categories of complexity they fit.

2.183 In assessing all 109 establishments, each with some level of difference, it is important to recognise that such categorisation requires an element of operational judgement. However, these judgements are based upon a

broader data set of metrics as agreed by the JES Project with input from PGDs and Governors.

- 2.184 Work was commissioned to capture key data and assess which establishments are Complex and Diverse, Complex, Standard Plus or Standard, in order that the staff (Senior Management Team) within, could work to their respective job descriptions which were based on prison complexity using the methodology described.
- 2.185 The HMPPS Job Evaluation Review confirmed the need for an additional complexity level Standard Plus and the Review also stipulated the minimum number of Operational Managers required within each establishment senior team. The outcome of the complexity review panel has confirmed that 30 establishments should now be in the new complexity category of Standard Plus. Based on the minimum Operational Managers per establishment, Dartmoor as a Standard closed establishment is currently below the minimum and would require an additional Band 7 Operational Manager. A further 8 Standard Plus establishments currently fall below the new minimum so would require additional resource. Additionally, where the minimum numbers are met at the Standard Plus complexity level, 14 establishments would need to uplift a Band 7 post to a Band 8. The complexity review has resulted in a handful of Complex establishments having their complexity level reduced and the panel agreed to a two-year transition period, given the SMT configuration would need to change.
- 2.186 It should be noted that all establishments will now be subject to an annual review, with consideration given to any in year changes in size, purpose or other factors that could impact on a final complexity rating. The outcome of the complexity panel review will be shared with the trade unions and approved with the Higher Leadership Teams before any changes are communicated and implemented.

Information on Senior Management Team

Establishment Design Principles – High Level Assumptions

- 2.187 The prison Benchmark (BM) process from 2014 built on the already established F&S design principles. These specific design principles enhanced the original F&S model by further delivering a consistently resourced structure for each prison type which applies a scale variant to reflect operational requirement and the establishment's operational capacity as seen from a national perspective.
- 2.188 The Senior Management Team (SMT) structures are underpinned by the Job Evaluation Scheme (JES) and use appropriately evaluated job descriptions (JDs).
- 2.189 At specific establishments the approach is to deploy different JDs or new JDs than those which would be seen in the F&S model. When assuring compliance to the BM model it may be different to F&S in some sites when reviewing JDs used but the integrity of the Band level of the roles should remain consistent to the F&S model. It should be noted that several establishments will deploy a limited number of discrete or specialist roles in addition to the common roles found in the designed structures to reflect a local operational requirement.
- 2.190 Prisons may also require additional resources to reduce the frequency Operational Managers are required on the Duty Governor rota, thereby reducing workload. It is unknown at this stage the number of prisons which will be affected as this is dependent on the outcome of the JES Prison Complexity Review.
- 2.191 We should note that whilst increasing Operational Manager resource will help remedy hours worked, workload and wellbeing it would have no additional effect on the JES scoring of Operational Managers.

2.192 The 4 proposed F&S establishment complexity levels are used in the BM process but are further enhanced to reflect the establishment's operational capacity further, these are:

- Standard
- Standard Plus
- Complex
- Complex & Diverse

2.193 Non-operational Managers will remain a core feature of the make-up of an establishment's SMT and any posts deemed over and above the minimum numbers would be an additional resource requirement.

2.194 The SMT headcounts are minimum numbers for each complexity level. Governors have the ability to flex their structures within their financial envelope, the JD suite and the JES rules via the Annex G process. Following a Complexity Panel, prisons who remain within their current complexity level will not be automatically required to reduce SMT numbers if they are currently above core structure numbers. Prisons that are moved down a level will be expected to move to the new complexity SMT structure within 2 years transition period.

SMT roles not subject to current design principles

- Any role within the structure which is funded externally and is a resource over and above the set level can remain whilst a funding stream is received.
(*These roles will still be aligned to an appropriate JES JD*)
- Chaplaincy roles at all levels have been mapped according to the F&S data return, this includes the Managing Chaplain role which should be in all prison structures.

- Discrete and specialist roles will be very limited and not common across a prison type, an establishment should be able to explain and identify this on site by site bases.

2.195 The PSPRB have specially requested feedback on the impact of increasing the number of Operational Managers at those prisons identified by HMPPS. We can confirm that the impact did create a small overall increase in Operational Managers numbers in establishments but was implemented at the same time as other JES review recommendations – for instance, creating a new complexity level of Standard Plus and amending the criteria for complexity levels. This resulted in some prisons moving down complexity level (from Complex to Standard Plus) and therefore reducing the number of Senior Management Team. There was an overall small net gain though.

2.196 Broadly speaking, the impact of the setting of minimum numbers has enabled Governors to ensure Duty Governor duties (including Segregation visits and Adjudications) are covered and that Operational Managers have enough time to deliver their job descriptions in addition to contributing to the Duty Governor roster. It is too early to measure the impact on wellbeing, which was very much the reason this was introduced, but anecdotal reports from the operation line is positive in those prisons who have received additional Operational Managers.

Specific evidence requested by the PSPRB in 2021 Report

2.197 In the PSPRB report 2021, a number of requests for data were made. Where the data or information can be published, we have included it within this report. Some of the data are being provided directly to the Secretariat. Table 9 below

Table 9: Index of evidence requested by PSPRB in its 2021 report:

Evidence request from PSPRB 2021 report:	Page reference
Updates on additional Band 5 Custodial Manager posts through the implementation of the Offender Management in Custody model	Page 78 – 79 (National Assessments)
Feedback on the impact of increasing the number of Operational Managers at those prisons identified by HMPPS	Page –90 – 94 (<u>Operational Managers Workload Assessment Project (WLAP) and the Job Evaluation Scheme (JES) Review</u>)
Information on any further discussions between HMPPS and the Prison Governors' Association on the Duty Governor role and whether the standardisation of this role has produced any meaningful positive impact on the workload of Operational Managers.	Page –90 – 94 (<u>Operational Managers Workload Assessment Project (WLAP) and the Job Evaluation Scheme (JES) Review</u>)
Evidence on plans for flexible working in operational roles and how this can be achieved and monitored	Page 24 – 25 (Enabling a modern and flexible employer)
Evidence on pay strategy which addresses the significant difference between the two pay structures at Band 3, but also incorporates recommendation 3 from our 2020 report.	Please see Chapter 1 – HMPPS Pay and Workforce Strategy
Data on Band 12 staff along with information on the types of roles they undertake.	To be provided directly to the secretariat
Motivation and morale: Detailed evidence on the issues that are affecting continuing low levels of motivation and morale in the Prison Service, and the measures that have been put in place to improve these.	To be provided directly to the secretariat
Identify proxy indicators which, taken together, can provide an overall assessment of the organisational position on Morale and motivation	To be provided directly to the secretariat
Evidence of plans to address Officers bullied, harassed or discriminated	To be provided directly to the secretariat

Evidence on how its new exit interview process is developing along with any early data and emerging themes	Page 70 – 71 (Exit Interviews)
Progress on implementing the Lammy Report recommendations on Black, Asian and Minority Ethnic representation in the prison workforce	Page 84 – 86 (Diversity and Inclusion)
Data on the composition of staff in receipt of allowances (included in appendix F), including by protected characteristics.	To be provided directly to the secretariat
Data on the number of staff in receipt of allowances (including by protected characteristics)	To be provided directly to the secretariat
Temporary cover - whether these vacancies are establishment or headquarters based.	To be provided directly to the secretariat

Annexes: Pay Tables

Annex A: Pay Ranges Bands 2 to 5

Band	Zone	Working Hours / Pattern ⁵
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HMPPS Calculation				
Pay Effective 1 April 2021				
Pay Points / Range: 01 Apr 21 - 31 Mar 22				
1	2	3	4	5

HMPPS Calculation		
Pay Effective 1 April 2022		
Pay Points / Range: 01 Apr 22 - 31 Mar 23		
1	2	3

2	National	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 20% unsocial
		39 hour inc ACHP & 20% unsocial
	Outer London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 20% unsocial
		39 hour inc ACHP & 20% unsocial
	Inner London	37 hour Base Pay
		39 hour inc ACHP
		37 hour inc 20% unsocial
		39 hour inc ACHP & 20% unsocial

£17,855
£18,820
£20,890
£21,855
£20,581
£21,693
£24,080
£25,192
£22,003
£23,192
£25,744
£26,933

£19,355
£20,401
£23,226
£24,481
£22,136
£23,332
£26,563
£27,998
£23,586
£24,861
£28,303
£29,833

⁵ 20% unsocial applies from April 2022. It was 17% for 2021

3	National	37 hour Base Pay	£19,781	£20,737	£21,137	£21,547	£21,963	£21,152	£21,978	£22,402
		39 hour inc ACHP	£20,850	£21,858	£22,280	£22,712	£23,150	£22,295	£23,166	£23,613
		37 hour inc 20% unsocial	£23,144	£24,262	£24,730	£25,210	£25,697	£25,382	£26,374	£26,883
		38 hour inc ACH & 20% unsocial	£23,785	£24,935	£25,416	£25,909	£26,409	£26,182	£27,205	£27,730
		39 hour inc ACHP & 20% unsocial	£24,213	£25,383	£25,873	£26,375	£26,884	£26,754	£27,799	£28,336
		39 hour inc ACH & 20% unsocial	£24,427	£25,607	£26,101	£26,608	£27,121	£26,983	£28,037	£28,578
		40 hour inc ACH & 20% unsocial	£25,068	£26,280	£26,787	£27,306	£27,834	£27,783	£28,868	£29,426
		41 hour inc ACH & 20% unsocial	£25,710	£26,952	£27,472	£28,005	£28,546	£28,583	£29,700	£30,273
	Outer London	37 hour Base Pay	£22,238	£23,312	£23,762	£24,222	£24,689	£23,778	£24,706	£25,183
		39 hour inc ACHP	£23,440	£24,572	£25,046	£25,531	£26,024	£25,063	£26,041	£26,544
		37 hour inc 20% unsocial	£26,018	£27,275	£27,802	£28,340	£28,886	£28,534	£29,647	£30,219
		38 hour inc ACH & 20% unsocial	£26,740	£28,031	£28,572	£29,125	£29,687	£29,433	£30,582	£31,172
		39 hour inc ACHP & 20% unsocial	£27,221	£28,535	£29,086	£29,649	£30,221	£30,076	£31,250	£31,853
		39 hour inc ACH & 20% unsocial	£27,461	£28,787	£29,343	£29,911	£30,488	£30,333	£31,517	£32,125
		40 hour inc ACH & 20% unsocial	£28,182	£29,543	£30,114	£30,696	£31,288	£31,233	£32,452	£33,078
		41 hour inc ACH & 20% unsocial	£28,903	£30,299	£30,884	£31,482	£32,089	£32,132	£33,386	£34,031
	Inner London	37 hour Base Pay	£23,519	£24,655	£25,130	£25,617	£26,111	£25,148	£26,129	£26,633
		39 hour inc ACHP	£24,790	£25,988	£26,488	£27,002	£27,522	£26,507	£27,541	£28,073
		37 hour inc 20% unsocial	£27,517	£28,846	£29,402	£29,972	£30,550	£30,178	£31,355	£31,960
		38 hour inc ACH & 20% unsocial	£28,280	£29,646	£30,217	£30,803	£31,397	£31,129	£32,343	£32,968
		39 hour inc ACHP & 20% unsocial	£28,789	£30,179	£30,760	£31,357	£31,961	£31,809	£33,050	£33,687
		39 hour inc ACH & 20% unsocial	£29,043	£30,446	£31,032	£31,634	£32,244	£32,081	£33,332	£33,975
		40 hour inc ACH & 20% unsocial	£29,806	£31,245	£31,847	£32,464	£33,090	£33,032	£34,321	£34,983
		41 hour inc ACH & 20% unsocial	£30,568	£32,045	£32,662	£33,295	£33,937	£33,984	£35,309	£35,991

4	National	37 hour Base Pay	£24,619	£25,826	£26,334	£26,852	£27,381	£27,929
		39 hour inc ACHP	£25,950	£27,222	£27,757	£28,303	£28,861	£29,438
		37 hour inc 20% unsocial	£28,804	£30,216	£30,811	£31,417	£32,036	£33,514
		39 hour inc ACHP & 20% unsocial	£30,135	£31,612	£32,234	£32,868	£33,516	£35,326
	Outer London	37 hour Base Pay	£27,072	£28,399	£28,957	£29,526	£30,107	£30,709
		39 hour inc ACHP	£28,535	£29,934	£30,522	£31,122	£31,734	£32,369
		37 hour inc 20% unsocial	£31,674	£33,227	£33,880	£34,545	£35,225	£36,851
		39 hour inc ACHP & 20% unsocial	£33,138	£34,762	£35,445	£36,141	£36,853	£38,843
	Inner London	37 hour Base Pay	£28,351	£29,740	£30,324	£30,920	£31,529	£32,160
		39 hour inc ACHP	£29,883	£31,348	£31,963	£32,591	£33,233	£33,898
		37 hour inc 20% unsocial	£33,171	£34,796	£35,479	£36,176	£36,889	£38,591
		39 hour inc ACHP & 20% unsocial	£34,703	£36,403	£37,118	£37,848	£38,593	£40,678

5	National	37 hour Base Pay	£27,697	£29,058	£29,748	£30,453	£31,176	£30,343	£31,062	£31,800
		39 hour inc ACHP	£29,194	£30,629	£31,356	£32,099	£32,861	£31,983	£32,741	£33,518
		37 hour inc 20% unsocial	£32,405	£33,998	£34,805	£35,630	£36,476	£36,412	£37,274	£38,159
		39 hour inc ACHP & 20% unsocial	£33,903	£35,569	£36,413	£37,276	£38,161	£38,380	£39,289	£40,222
	Outer London	37 hour Base Pay	£30,124	£31,603	£32,352	£33,117	£33,902	£32,998	£33,779	£34,580
		39 hour inc ACHP	£31,752	£33,311	£34,101	£34,907	£35,735	£34,782	£35,605	£36,449
		37 hour inc 20% unsocial	£35,245	£36,976	£37,852	£38,747	£39,665	£39,598	£40,535	£41,496
		39 hour inc ACHP & 20% unsocial	£36,873	£38,684	£39,601	£40,537	£41,498	£41,738	£42,726	£43,739
	Inner London	37 hour Base Pay	£31,385	£32,927	£33,708	£34,506	£35,324	£34,381	£35,195	£36,030
		39 hour inc ACHP	£33,081	£34,707	£35,530	£36,371	£37,233	£36,239	£37,097	£37,978
		37 hour inc 20% unsocial	£36,720	£38,525	£39,438	£40,372	£41,329	£41,257	£42,234	£43,237
		39 hour inc ACHP & 20% unsocial	£38,417	£40,304	£41,260	£42,237	£43,238	£43,487	£44,517	£45,574

Annex B: Pay Ranges Bands 6 to 11

Band	Zone	Working Hours / Pattern ⁶	Pay Effective 1 April 2021		Pay Effective 1 April 2022	
			Pay Points / Range: 01 Apr 21 - 31 Mar 22		Pay Points / Range: 01 Apr 22 - 31 Mar 23	
			Min / Spot	Max	Min / Spot	Max
6	National	37 hour Base Pay	£31,924	£36,715	£34,045	£37,449
		37 hour inc RHA	£37,351	£42,957	£40,854	£44,939
	Outer London	37 hour Base Pay	£34,296	£39,441	£36,573	£40,230
		37 hour inc RHA	£40,126	£46,146	£43,888	£48,276
	Inner London	37 hour Base Pay	£35,530	£40,863	£37,892	£41,680
		37 hour inc RHA	£41,569	£47,810	£45,470	£50,016
7	National	37 hour Base Pay	£38,148	£43,870	£44,747	
		37 hour inc RHA	£44,633	£51,328	£53,697	
	Outer London	37 hour Base Pay	£40,519	£46,596	£47,528	
		37 hour inc RHA	£47,407	£54,517	£57,034	
	Inner London	37 hour Base Pay	£41,755	£48,018	£48,978	
		37 hour inc RHA	£48,853	£56,181	£58,774	
8	National	37 hour Base Pay	£42,626	£51,154	£47,434	£52,177
		37 hour inc RHA	£49,872	£59,850	£56,920	£62,612
	Outer London	37 hour Base Pay	£44,898	£53,880	£49,962	£54,958
		37 hour inc RHA	£52,531	£63,040	£59,954	£65,949
	Inner London	37 hour Base Pay	£46,083	£55,302	£51,281	£56,408
		37 hour inc RHA	£53,917	£64,703	£61,537	£67,690

⁶ 20% RHA applies from April 2022. It was 17% for 2021

9	National	37 hour Base Pay	£54,599	£65,518	£60,753	£66,828
		37 hour inc RHA	£63,881	£76,656	£72,904	£80,194
	Outer London	37 hour Base Pay	£56,871	£68,244	£63,281	£69,609
		37 hour inc RHA	£66,539	£79,845	£75,937	£83,531
	Inner London	37 hour Base Pay	£58,056	£69,666	£64,600	£71,059
		37 hour inc RHA	£67,926	£81,509	£77,520	£85,271
10	National	37 hour Base Pay	£60,102	£72,127	£66,881	£73,570
		37 hour inc RHA	£70,319	£84,389	£80,258	£88,283
	Outer London	37 hour Base Pay	£62,374	£74,853	£69,410	£76,350
		37 hour inc RHA	£72,978	£87,578	£83,292	£91,620
	Inner London	37 hour Base Pay	£63,559	£76,275	£70,728	£77,801
		37 hour inc RHA	£74,364	£89,242	£84,874	£93,361
11	National	37 hour Base Pay	£67,987	£81,584	£83,216	
		37 hour inc RHA	£79,545	£95,453	£99,859	
	Outer London	37 hour Base Pay	£70,259	£84,310	£85,996	
		37 hour inc RHA	£82,203	£98,643	£103,195	
	Inner London	37 hour Base Pay	£71,444	£85,732	£87,447	
		37 hour inc RHA	£83,589	£100,306	£104,936	
12	All zones ⁷	37 hour inc RHA	£103,000		£106,090	

⁷ Band 12 staff working in Inner London receive a £5,000 annual non-consolidated payment

Annex C: Pay ranges for closed grades

Closed Uniformed Grades pay scales 2021/22 and proposed 2022/23⁸

Grade	Pay Point	2021	2022	Grade	Pay Point	2021	2022
Principal Officer	Single Rate	£36,622	£37,354	Prison Officer	Maximum	£31,649	£32,282
Senior Officer	Single Rate	£34,066	£34,747	G4S Prison Custody Officer (PCO)	3 years or more	£26,370	£26,897
OSG	Single Rate	£20,920	£21,338		2 years	£25,123	£25,625
G4S Security Officer (SO)	2 years or more	£20,618	£21,030		1 year	£24,226	£24,711
	1 year	£19,786	£20,182	Night Patrol (closed)	Maximum	£20,465	£20,874
				Prison Auxiliary (closed)	Maximum	£18,139	£18,502

Grade	Working Hours / Pattern	2021	2022
Prison Officer 2	37 hour Base Pay	£19,025	£19,406
	37 hour inc 17% unsocial	£22,259	£22,704
	38 hour inc ACH & 17% unsocial	£22,876	£23,334
	39 hour inc ACH & 17% unsocial	£23,493	£23,963
	40 hour inc ACH & 17% unsocial	£24,110	£24,593
	41 hour inc ACH & 17% unsocial	£24,727	£25,222

⁸ All closed grade staff (with the exception of some former G4S staff) are now at maximum.

Operational Phase One Manager pay scales 2021/22 and proposed 2022/23

Effective From	Including RHA			Excluding RHA	
	01-Apr-21	01-Apr-22		01-Apr-21	01-Apr-22
Senior Manager A	£91,246	£93,071	Senior Manager D	£67,310	£68,656
Senior Manager B	£88,567	£90,338	From 23 July 2009		
Senior Manager C	£79,762	£81,357	Manager E	£50,664	£51,677
Senior Manager D	£73,277	£74,743	Manager F	£42,977	£43,837
Senior Manager D (Inc RHA closed 22 July 2009)	£67,310 *	£68,656 *	Manager G	£35,379	£36,087
			RHA	£5,967	£5,967

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