

**A
fresh
start**

Home Office



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BULLETIN No 8

This Bulletin combines full details of the revised offer made on 9 March with the improved offer made to the General Secretary of the Prison Officers' Association on the 26 March. The rest of that letter is printed in full on page 2.

We have produced this special bulletin to help you in deciding how to vote on the Fresh Start offer. New elements of the offer are printed in red.

Fresh Start – The New Improvements

- Shorter pay scale for Grade VIII.
- Improvements to pay levels for Grades VII, VI and V
- Specialist allowance to count in assessing starting pay on promotion when it is not payable in the higher grade
- Specialist allowance to be up-rated annually by the full amount of the percentage increase which would have applied to Grade VI, VII and VIII pay but for the framework agreement
- £100 for all staff changing to monthly pay
- London staff living in quarters to get full London Weighting
- The Department to continue to decorate staff quarters internally and externally

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26 March 1987

FRESH START

When we put our revised Fresh Start Offer to you on 9 March 1987 we set a target date for acceptance or rejection of 13 April 1987. We offered, however, to meet you at any time before that date to explain or amplify anything which might be unclear.

As matters have turned out, we have now had prolonged discussions about the entire contents of the revised package and these have led us not only to recognise that it would be beneficial to spell out some of the material in the Revised Offer documentation in greater detail but to improve the Offer in certain respects. These amplifications and improvements are set out in the attached Annexes. Annex A should be read as a supplement to the Statement of Agreed Principles for Fresh Start Proposals which were set out in Appendix I to the Revised Offer; Annex B itemises the improvements to the pay and conditions elements of the Offer. It reflects the contents of the letter, which Kit Chivers is sending you separately today. Annex C updates the scales in Annex B by the 4¼% offered by way of general pay settlement for 1987 (also covered in Kit Chivers' letter). These updated scales would be applicable from the date of the implementation of Fresh Start. Until that time, present rates updated with effect from 1 April by the same factor, would apply. The 39-hour week will be introduced from 1 April.

The supplementary material in Annex A has been produced, in the light of the discussions we have had, with a view to meeting anxieties which have been expressed about how the Statement of Agreed Principles might be applied in practice in establishments. It reflects the advice, which has been given to the teams, which are now conducting reviews of the structure and working arrangements of establishments in order to prepare them for the implementation of Fresh Start. It recognises the need for as much predictability as possible about work patterns, for certainty about the operation of local procedures, for the individual's freedom of choice to be as untrammelled as possible and for there to be recognised methods for settling disputes. It accepts that local arrangements should be enshrined in written agreements and that there should be a mechanism for modifying agreements, where necessary. It seeks to balance management's requirement for greater flexibility in the way work is done in prisons against the need for as much certainty as possible for individuals and even handedness of treatment as between individuals. Most of all, it looks to involve staff, through their local representatives, in the consideration of how work might best be organised to meet the needs of individual establishments.

The Agreed Principles for Fresh Start Proposals in the Revised Offer and the supplementary material which has now been produced — and which, subject to endorsement by the NEC, has been agreed with the POA negotiating team — will be kept under review as Fresh Start implementation proceeds. The aim will be to produce, in due course, a single agreed code of principles on working practices.

Annex B sets out the further improvements, which we have thought it proper to make to what is proposed in the pay and conditions part of the Fresh Start package. In broad terms these are:

- (i) a shortening of the proposed Grade VIII pay scale;
- (ii) improvements to the maximum pay levels at Grade VII, VI and V;
- (iii) confirmation that specialist allowances when not payable substantively in the higher grade will count for the assessment of starting pay on promotion;
- (iv) acceptance that specialist allowances should be up-rated annually by the *full* amount of the percentage increase which would have applied to the pay of Grades VI to VIII were it not for the framework agreement;
- (v) the payment of £100 to all staff changing to monthly pay, payment to be effected by a reduction in the final monthly deductions to be made for the purpose of recovering the one month's advance of salary proposed in the Revised Offer. Staff who choose not to have an advance of salary will receive the £100 when the change to monthly pay is effected. This offers prison staff more favourable treatment than any other group of staff in the Civil Service making this changeover;
- (vi) payment of London Weighting in full to staff in London living in quarters;
- (vii) staff in quarters will continue to enjoy the benefit of internal as well as external decoration of their quarters by the Department.

Quite apart from what is set out in the two Annexes, it would be appropriate, I think, at this point to refer to certain other assurances which we have given to you in the course of our discussions over the past two weeks. These are that:

- (a) the terms and conditions of employment of auxiliaries, night patrols and storemen would be reviewed when the Fresh Start implementation processes have been completed;

(b) staff for new establishments opening during the currency of the framework agreement would be provided in addition to (i) those derived from the framework agreement itself and (ii) those required to replace wastage. Present plans assume a requirement for 2,000 staff over the next three years (500 in 1987/88 and 750 in each of the next two years) for new establishments;

(c) any adjustments for staffing levels as between establishments required by the introduction of Fresh Start would, so far as possible, be achieved through a policy in which new entrant postings and natural wastage were used to bring about the desired changes over a forward period;

(d) the reductions in hours envisaged in the framework agreement would apply automatically from 1 April each year;

(e) staff would be allowed to opt in or out of contracted hours on an annual basis. Other than for compassionate reasons, 6 months notice would be required to change an option once made. All changes would take effect from a set date each year;

(f) Income Tax Compensation (ITC) for 1986 would be paid if Fresh Start were accepted;

(g) in the light of the provision for the payment of the GWCHA during periods of sick leave etc periods of suspension from duty on full pay would also attract payment of the GWCHA;

(h) consideration would be given, in conjunction with Cabinet Office (MPO) and Treasury, to revising the rules on the treatment of staff suspended from duty on the basis of inmate allegations.

I believe that what is set out above, taken together with the contents of Annexes A, B, and C substantially meet most of the points put to us by you in the course of our recent discussions. So far as we are concerned, these discussions have now ended and I must ask for the Association's response to the entire Fresh Start package by the deadline already stated. There can be no further improvements. In order, however, to make it as easy as possible for the staff of the Service to express a view to you we are producing a single document covering the contents of the Revised Offer as set out in Bulletin No 7 and in the Annexes to this letter. We hope to have this in the hands of staff within about a week.

Yours sincerely,
E. Caines

FRESH START

The Final Offer

1. Working Arrangements and Management Structures

The changes which it is intended to make in relation to working arrangements and management structures in prisons are set out in full in Appendices I and 11 and their annexes.

II. Unification

The unified Governor and prison officer structure will be as announced in the original Fresh Start offer. It will involve the amalgamation of the existing Governor IV and Chief Officer 1, and Assistant Governor and Chief Officer 11 grades. The existing Prison Governor and prison officer classes will be absorbed into the unified structure as follows:

| <i>Existing Grade</i> | | <i>New Grade</i> |
|---------------------------------------|---|------------------|
| Governor I | - | Grade I |
| Governor II | - | Grade 11 |
| Governor III | - | Grade III |
| Governor IV & Chief Officer I | - | Grade IV |
| Chief Officer 11 & Assistant Governor | - | Grade V |
| Principal Officer | - | Grade VI |
| Senior Officer | - | Grade VII |
| Prison Officer | - | Grade VIII |

III. Pay and Conditions of Service for Existing Staff

The pay scales offered for Grades I-VIII are set out in Appendix III. They are intended to provide a sound basis for what will eventually be a refined system of pay advancement offering real incentives at all levels for promotion to the next higher level. The pay rates in Appendix III are offered on the following basis:

(a) Grades I-V

- (i) These grades will be All Hours Worked grades.
- (ii) A single, pensionable basic rate of pay will replace all existing forms of emolument, except London Weighting, which may currently be payable to members of the existing Governor and Chief Officer I and 11 grades.

(iii) To smooth the transition from grades with rates of basic pay related to conditioned hours to grades with rates of basic pay related to AD Hours Worked commitments, a tapered, diminishing, non-pensionable allowance will initially be attached to appropriate points of the Grade V scale (see Appendix 111). With the addition of this, all members of Grade V on scale points above the minimum minus I will receive more by way of total remuneration than a member of Grade VI on the maximum of that scale who is in receipt of the Group Working Contracted Hours Allowance (see (b)(iv) below). This allowance will be payable for the 5 year transitional period only. It will be increased in line with basic pay with effect from 1 April 1987 but be reduced at the time of annual pay settlements thereafter by the same percentage as that applied to increase the Grade V scale. At the end of the transitional period, the Grade V scale will be restructured and payment of the residual allowance will cease.

(iv) Assimilation of existing Governors and Chief Officers I and II to the pay rates of the new Grades I to V will be as set out in Appendix III.

(b) Grades VI-VIII

(i) These grades will be conditioned to a working week of 39 hours (net). All meal breaks will be unpaid.

(ii) Overtime working will cease but officers will be free to decide, on an individual basis, whether to work 9 additional hours (contracted hours) per week.

(iii) Officers choosing to work only conditioned hours (39 net per week) will be paid basic pay.

(iv) Officers choosing to work 48 hours will receive basic pay plus a Group Working Contracted Hours Allowance (see Appendix III).

(v) There will be a flat rate specialist allowance of £650 per year payable to Caterers, Dog Handlers, Hospital Officers, Trade Instructors, PEIs, Works Officers, Librarians.

(vi) Basic pay, and any specialist allowance payable, will be pensionable. The Group Working Contracted Hours Allowance will not be pensionable, but will become so as it is absorbed into basic pay through the framework mechanism (see (xi) below).

(vii) Full basic pay plus a specialist allowance, where appropriate, will be payable during periods of authorised absence eg annual leave and sick leave and attendance on training courses.

(viii) The specialist allowance will count for the assessment of starting pay on promotion when it is not payable in the higher grade.

(ix) The Group Working Contracted Hours Allowance will also be payable during periods of annual leave, training and sick leave, the level of the allowance having had regard, inter alia, to the incidence of these absences.

(x) The Group Working Contracted Hours Allowance will not reckon in the calculation of starting pay on promotion and promotees from Grade VI to V will not be able to retain this allowance on promotion. However, members of Grade VI promoted to Grade V will receive, in addition to basic pay, the transitional allowance described in (a)(iii) above.

(xi) So that the objective of bringing all prison officers onto conditioned hours of 39 (net) only can be achieved as quickly as possible, the following arrangements will apply over the next 5 years for Grades VI-VIII:

(a) there will be a phased reduction in hours, with a one hour reduction in April 1988 to be followed by reductions of 2 hours per year thereafter until, by April 1992, all prison officers are on a 39 hour week;

(b) the Group Working Contracted Hours Allowance will increase in line with pay on 1 April 1987 but, as hours are reduced, not thereafter;

(c) each year, starting from April 1988, a proportion of the Group Working Contracted Hours Allowance equal to the reduction in added hours for that year will be incorporated into basic (pensionable) pay; in addition, basic pay (but before the incorporation of the appropriate part of the Group Working Contracted Hours Allowance) will be increased at the rate of one half of the percentage increase which would otherwise have been applied to the pay of these grades;

(d) the specialist allowance will be up-rated annually by the full amount of the percentage increase which would have applied to Grade VI, VII and VIII pay but for the framework agreement. (see (c) above);

(e) in return for these guaranteed annual reductions in hours and pay increases, staff will be expected to contribute increased efficiency by accepting that present levels of workload will be undertaken with increases in staffing levels equivalent to half of the capacity represented by the number of hours lost each year.

Quarters

As a consequence of the abolition of housing allowance, rent will become payable for quarters. Rent will be set initially at the level of the current housing allowance and uprated subsequently in line with increases in basic pay.

Staff who occupy quarters will have an option to buy that quarter if it is surplus to requirements or another vacant surplus quarter at a discount. Staff who live in quarters but do not wish to or cannot purchase a prison quarter will be able to take advantage of an advance of salary scheme. Details of both schemes, which will apply from the date of the formal acceptance of Fresh Start are set out in Appendix IV.

Staff living in quarters in London will be paid London Weighting in full.

The Department will continue to decorate staff quarters internally and externally.

Monthly Pay

Staff at all grades will be paid monthly by credit transfer. Staff not already on monthly pay will be given an advance of about one month's salary, repayable by 12 monthly deductions from salary.

Staff changing to monthly pay will also get £100. This will be paid by reducing the monthly deductions made to recover the advance of one month's salary. Staff who refuse the advance will receive the £100 when they change to monthly pay.

Superannuation

Existing Chief Officers I and II, Principal Officers, Senior Officers and prison officers will retain their right to retire at age 55 with "doubling" up to and including service in the new unified Grade IV.

IV. New Entrants

New entrants will be given the same freedom of choice as existing staff to work either basic hours or to contract to work added hours.

With regard to superannuation, new entrants into the Prison Service will, on or after a date to be prescribed, be conditioned to the same arrangements as existing Governor grades ie retirement at age 60 without "doubling". They will have the same facility as existing Governors to buy added years of pension credit if they wish.

The minimum recruitment age for new entrants will be reduced to 20.

V. Voluntary Early Retirement

An early retirement scheme, which will be voluntary, will be introduced for Grades PV. The scheme is outlined in Appendix V.

Vi. Complementing

Proposals for putting the complementing of the Prison Service on to a sounder basis are being prepared. It is important that the Service has confidence in the processes by which the staffing levels which it needs are determined. The existing system for doing this is widely accepted as being defective. What is needed is a system which, by the use of agreed measures, puts the matter beyond doubt and takes the heat out of the running debate about staffing.

Statement of Agreed Principles for Fresh Start Proposals

Appendix 1

Introduction 1 . The purpose of this Statement of Agreed Principles is to provide a framework within which new working arrangements for Prison Officers are to be developed. The new arrangements which will be drawn specifically to meet the individual needs of establishments (and groups within establishments) will be subject to introduction over a phased period.

Aim

2. The general aim is to replace existing management structures, systems and methods with working arrangements that:
 - i. match more closely the work requirements of the establishment;
 - ii. are responsive to changing pressures and demands;
 - iii. enable managers to manage more effectively;
 - iv. promote the unification of governor and prison officer grades and a sense of purpose, ownership and responsibility at all levels; .
 - v. improve the efficiency, effectiveness and economy with which the Prison Service discharges its public service;
 - vi. provide the basis for the enhanced delivery of regimes;
 - vii. bring increased job satisfaction to prison officers through a reduction in hours of attendance and a closer identification and involvement with their work by increased continuity;
 - viii. provide greater predictability of attendance;
 - ix. provide clearer lines of operational accountability;
 - x. provide clear definitions of roles and responsibilities.

Approach

3. The focus of change will be the development of teams of staff working to personal systems of attendance and having shared responsibility for meeting group objectives. Work will be grouped into areas of responsibility and carried out by teams of officers accountable to individual group managers. The new systems will be drawn to help the group discharge its work.

4. The management structure within which the eight unified grades and others will work, should properly reflect, and enable the effective discharge of, the functions of each establishment and provide clear lines of accountability. There is no prescriptive model. Each governor will be invited to review the management structure of his establishment together with his management team, his staff and line managers in regional office. Guidance on the way this exercise should be tackled has been prepared and circulated. All grading and complementing issues will be considered in conjunction with the review team, whose responsibility it will be to make recommendations on grading and complementing matters to the regional director and P6. The staff and trade union side will be consulted and their views will be taken into account before complements are set.

5. The objective throughout will be to protect inmate programmes from casual disruptions and to establish a positive inmate regime. In this regard external work will be organised to help avoid the depletion of the internal regime.

6. There will be staffing continuity at Crown Courts, coupled with a more predictable workload. The arrangements for Magistrates Courts will seek to eliminate duplication of work by the Prison Service and the Police.

Extent of Application

7. The working arrangements referred to below apply to prison officers, senior officers, principal officers including specialists ie caterers, dog handlers, hospital officers, officer instructors, PE officers and works officers.

8. The need to change existing working arrangements is dominated by their general inflexibility. The following general guidance should help inform the process of putting these new arrangements in place in each establishment on a broadly common basis.

9. All local working arrangements should comply with the principles set out below. Where, in an exceptional case, an establishment wishes to implement and work an arrangement which is at variance with these common principles, it will be necessary to refer the case for variation to Headquarters via Regional Office, for approval.

10. Prison Officers are conditioned to a 39 hour working week. Additionally Officers can contract to work a further 9 hours each week and qualify for the Group Working Contracted Hours allowance. These hours are referred to in this document as "conditioned" and "contract" hours respectively.

11. Individuals will be expected to fulfil their contracts. Other than in exceptional circumstances it will not be possible to re-contract for a further period once an officer has withdrawn from a contract.

12. Working Week

- i. the working week will be the period of seven days beginning midnight Saturday. The number of hours that an officer will be required to work may differ from week to week but will average either 48 weekly hours over the cycle of his system of attendance being a combination of 39 conditioned hours and 9 contract or 39 hours for those working conditioned hours only;
- ii. at least two days per working week, at least one of which will be a weekend day, will be free from scheduled duty (Rest Days);
- iii. officers will not be required to attend for scheduled duty on consecutive weekends unless provided for under an approved local agreement;
- iv. an officer may work in some weeks more than his weekly hours because of:
 - a. unavoidable attendance (such as delay in returning from external duty);
 - b. travelling time where part or all of the travelling time is outside the scheduled hours of the shift, although such arrangements should be exceptional.,
 - c. emergency attendance;
 - d. special attendance (exceptionally to be present at eg adjudications, interviews), or for specialist officers to meet unexpected requirements. Additionally there will be scope for voluntary attendance to cover a shortfall of staff which may lead to an excess of weekly hours.

13. Time Off In Lieu

- i. Time Off In Lieu (TOIL) will be given in respect of additional duty performed in excess of weekly hours, where such duty cannot be covered effectively by other means. Group Managers should endeavour to allow TOIL soon after the performance of the additional duty, and wherever possible during the officer's shift cycle. In granting TOIL the officer's preference should be sought and whenever possible complied with providing the needs of the work are met;
- ii. following protracted emergency attendance involving the majority of available staff, ex gratia payments may be made.

14. Shifts

- i. split shifts will not be part of the new working arrangements;

- ii. all day shifts will be worked within 06.00 and 22.00 hours;
- iii. conversion of shifts will form a part of local arrangements. When scheduled shifts covering the evening period are converted to cover the forenoon Group Managers should endeavour to give 48 hours notice. Shifts converted to cover the evening part of the day should be restricted to the absolute minimum and distributed equitably among the group;
- iv. scheduled shifts may be extended by the application of contract or additional hours or a combination of both. Whenever additional hours are applied to extend a scheduled shift TOIL will be given equivalent to the additional duty worked;
- v. meal breaks will not form part of weekly hours and will not be paid.

15. Night Shifts

Officers scheduled for night duty will, subject to any approved local arrangement, be expected to work for seven nights spread over two succeeding duty weeks. Each night duty week consists of either three night shifts and one long day shift or four night shifts. No night shift will be longer than 11 hours. Any shortfall in hours for the week will be retained in reserve to be used later during the officer's shift cycle. Special arrangements may be required for groups whose night duties occur much more frequently.

16. Rest Days

- i. rest days will be protected save for unavoidable "Emergency" or "Special" attendance; and
- ii. it will be open to officers to volunteer to work on a rest day to fulfil contracted hours providing this meets the need for work to be done.

17. Annual Leave

The aim will be for as much annual leave to be rostered in advance as practicable.

- i. "rostered leave" will be administered by group managers to ensure adequate staff on duty and will account for not less than 20 days of an officer's annual leave entitlement. The remaining days will be regarded as "casual leave";
- ii. casual leave will be treated as attendance for the amount of duty shown in the officer's shift system for that day;
- iii. an officer who takes half a day's casual leave will work for half the number of hours shown in the officer's shift system for that day. The remainder will be treated as in (ii) above.

18. Substitution

- i. in the temporary absence of managers their duties will generally be covered by their supervisor and from within the group;
- ii. when a manager's absence has continued for a period of more than 3 weeks and an early return to duty is not expected then substitution procedures will apply.

19. Complements

In future complements will be set in line with the group working arrangements described in paragraph 3 above and will provide cover for annual leave, sickness and staff training absence.

20. Under normal circumstances local working arrangements will provide sufficient cover for temporary shortfalls in staff availability. Reductions in complementing levels brought about by the promotion, transfer or retirement of staff, will be made good as quickly as possible. When more serious shortfalls occur for which no early relief is possible it will be for the Governor in consultation with his staff to determine interim arrangements to meet operational difficulties.

Annex A

Application of Agreed Principles for Fresh Start Proposals

1. This advice on how the Statement of Agreed Principles for Fresh Start set out in Appendix 1 of the Revised Offer (above) should be applied has been formulated following discussion with the Prison Officers' Association. The essence of the approach taken is that flexibility in determining how the needs of the work can most effectively be matched to staff availability should be combined with as much predictability and fairness for staff as possible. In the interests of flexibility it is accepted that there may be good grounds for departing from the guidelines and practice set out below in particular local circumstances.

Status of Local Agreements

2. Governors and local POA Branches should seek to reach agreements about how the principles set out in the Statement and this document can best be reflected in local shift systems and working practices. Such local agreements should be consistent with the Statement of Agreed Principles and with the provisions of this document.

3. Local agreements should be set down in writing. Each agreement should be signed and dated by the Governor and on behalf of the Branch, as the parties to the agreement.
4. Agreements should be honoured by both parties. Staff should only be asked to act contrary to the terms of an agreement in a clear operational emergency when events make it necessary for the Governor to call in the majority of available staff to meet a threat. If either party wishes to revise an agreement, every attempt should be made through the normal processes of local discussion to agree a suitable revision. When it is clear that no agreement can be reached in this way, the Cubbon formula should be initiated. The Statement of Agreed Principles and this jointly agreed document will be applied in the Cubbon formula process in the event of a failure to reach agreement between the parties locally.

Minimum Staffing Levels

5. In the interests of staff and inmate safety, security and control, minimum staffing levels should be set by Governors in consultation with Regional Directors after discussion with the local branch of the POA.
6. The minimum staffing level will normally be met by use of conditioned or contract hours. Only where it is not possible to cover the need in this way should staff be asked to anticipate additional hours.
7. A record of the occasions when an establishment operates at such a level will be maintained locally.

Working Week

8. Each weekly period should contain no more than five duty days. Officers scheduled for night duty will be expected to work for seven nights spread over two succeeding duty weeks. Each night duty week consists of either three night shifts and one long shift or four night shifts.
9. Staff changing from one division to another or one sub-division to another should have their weekend rest days protected and staff changing from one locally agreed shift system to another should do so on Sunday of their weekend off duty.
10. All rescheduling of rest days should normally be with the agreement of the officer concerned, subject to paragraph 17(i) and (ii) below.
11. At the discretion of the Group Manager and subject to the needs of the work, exchange of duty between staff may be permitted.

Shifts

12. Shift times will always be specified. The current experience of staff conducting the review exercises is that shifts similar in outline to those presently in use can be adapted to meet the more flexible approach introduced by Fresh Start. Precise timings of shifts will be determined to meet the special needs of each local working group.

All shifts are *net* of meal breaks and should be shown:

eg
 Main (M) 07.30-17.30 less 1 hour meal break = 9 hours.
 Early (E) 06.45-13.30 less 0.5 hour meal break = 6.25 hours.
 All Day (A) 07.00-20.15 less, say, breakfast 08.00-08.30, midday break 12.30-13.30, and tea 17.30-18.00
 11.25 hours

13. In the case of long shifts, the aim should be for the working day to be no longer than 12.5 hours net of meal breaks. The minimum length of any scheduled shift should be 4 hours.

Meal Breaks

14. Group Managers should ensure that all staff take proper meal breaks, where necessary arranging for a system of early and late meals to be taken. Meal breaks should normally be taken at the time usually associated with each meal and be an uninterrupted period of at least 30 minutes to give staff a reasonable break. The arrangements below should normally be followed:

Breakfast: 30 minutes between 07.30 - 09.30
 Midday: 60 minutes between 11.45 - 14.00
 Tea: 30 minutes between 16.00 - 18.00

15. An officer will not normally be scheduled to work longer than five hours without a meal break. But if it is his last or only period of duty for any given day he may be scheduled to work six hours. There should normally be a minimum of four hours between the starting time of any two meal breaks. If, exceptionally, a meal break is due but cannot be taken during a shift the meal break time will count as additional duty worked.

16. To meet the needs of the work, shifts will be designed in accordance with paragraphs 13, 14 and 15. The preferences of staff will be taken into account. Where staff state a preference for introducing a breakfast break, even though it would extend their overall length of attendance and is not required by paragraphs 13, 14 and 15, their request will normally be accepted where it relates to shifts starting at or before 07.00.

Additional Hours

17. Officers will not normally be required to work longer than the sum of their conditioned hours or

conditioned plus contract hours over the length of the shift cycle. But staff may be asked on occasions to work more than their average weekly hours because of.

- i. an operational emergency
- ii. the need to ensure minimum staffing levels are maintained
- iii. unavoidable or unforeseen operational reasons such as delay in returning from external duty.

18. Hours worked in this way will be repaid as soon as possible as described in paragraphs 22-25 below.

19. Wherever possible, additional hours should be met by volunteers. Where this does not meet the need, officers with "banked" hours or who have contracted in should normally be called upon first. When asking staff to work additional hours, the Group Manager should ensure fairness of treatment.

Shift Conversion

20. Where shift conversion proves necessary Group Managers should aim to meet the need from volunteers using conditioned or contract hours. Where this is not possible, shift conversion should be shared fairly with officers who have contracted in and those who have "banked" hours normally being called upon first. As much notice as possible should be given.

21. Once a shift is converted, it should not normally be re-converted at short notice without the agreement of the officer concerned.

Time Off In Lieu

22. In granting Time Off in Lieu priority should be given if possible to staff who have attended for additional duty involuntarily.

23. Group Managers should ensure that individual members of staff do not work high levels of additional hours without being compensated by TOIL. The aim should be for no more than five additional hours to be accumulated in any one week. Accumulated TOIL will be granted as soon as operationally possible and within a maximum period of five weeks.

24. Within these principles and subject to the needs of the work, local agreements may specify the amount of additional hours worked which can be carried forward and the time period within which TOIL should be granted for them.

25. Group Managers will need to maintain clear records to ensure fair treatment in the working of additional hours and the granting of TOIL.

Banked Hours

26. Similarly, where in any week an officer has not attended for his total hours for that week these hours will be banked. (An example would be because he sought and was allowed to leave early on a shift for urgent domestic reasons.) Group Managers should aim to ensure that no more than five hours are accumulated in this way in any one week and for these hours to be worked as soon as possible and in any event within a maximum period of five weeks.

Official Absences From Duty

27. Official and authorised absences are allowed for a number of circumstances such as special leave, training courses, promotion boards, official interviews and so on. The credit for such absences will be as long as is required for the purpose up to the full number of hours shown in the officer's shift system for that day depending among other things on location and travelling time. For example, where an officer attends a short interview or training course he will normally be expected to return to duty for the rest of his shift. Where on occasions of this kind the officer's duties have been covered, the aim will be to redeploy the officer to other work for the rest of his shift. But subject to the needs of the work, group managers may grant requests from officers who wish to leave early (see paragraph 26).

Annual Leave

28. Subject to the requirements of the work, the granting of annual leave should accommodate staff preferences so far as possible. Group Managers should encourage staff to take their full annual leave allowance. Having regard to the needs of the work, staff should be allowed to take leave in worthwhile periods including at least one period of two weeks per year. Group Managers should aim to meet requests for casual leave (including weekend duty days) as flexibly as possible.

Training

29. All training absences should be approved and booked as far in advance as possible. When a staff surplus is identified well in advance, the training co-ordinator may wish to organise local training eg C&R or MUFTI.

30. Each Group Manager will wish to ensure that the skills to cover the work of the group are spread as widely as is practicable across the members of his team. This will not only increase the range of jobs available to individual members of the team but also provide the Group Manager with greater flexibility to cover the range of jobs from a greater pool of his staff.

Guidance on the Review of the Management Structure of Prison Service Establishments

Introduction

I. This guidance has been prepared to help governors, in consultation with their line managers in regional office, to review their management structures as a core part of introducing the “Fresh Start” arrangements. It is in two parts. This paper describes the broad framework and the principles on which it is based. The annex outlines the approach to be adopted in the reviews.

2. The essence of prison work is that it is primarily custodial — implying both the care and control of inmates and it requires a sound management structure to support it. Structures are not ends in themselves, they are merely mechanisms to enable all staff to discharge their duties and deliver an establishment’s functions in the most efficient way. With this in mind, key considerations informing each review should be:

- i. a focus on the inmate and the relationship between staff and the inmate;
- ii. the integration of security, inmate care and control;
- iii. the fullest delegation of responsibility for work activities; and
- iv. the encouragement of team working.

The aim must also be to provide a framework within which staff— our major resource — are able to give of their best both in the interest of their own development and job satisfaction and of getting the job done well.

Management Approach

3. The role of the Governor is that of overall manager of all management operations and ultimate operational commander in emergencies. This means he is accountable for everything which happens in his establishment. He can only discharge this accountability effectively by working through other people who are, in turn, accountable to him for the discharge of duties and responsibilities delegated to them. For this to be effective, there must be clear understandings at all levels of who is responsible for what and to whom every person is accountable. Everybody must be accountable to somebody. The reporting pattern follows these lines of accountability. There must be no avoidable overlaps of responsibility and no gaps. The management structure is the expression of how responsibility and accountability are charted within an establishment.

4. The grading structure reflects the relative weights of different jobs and hence relative pay levels. ‘[t]he pay grade structure does not determine the management structure. There can be differently graded jobs at the same management level.

Management Structure

5. Structurally, there should be as few management levels as possible and clear functional lines from the bottom to the top of the organisation. In most establishments a model with no more than 6 levels, including the governor and the basic working level in the establishment, seems best fitted to Prison Service circumstances and work can appropriately be grouped in not more than 7 functional divisions.

Management Effectiveness

6. Overall management effectiveness will depend on having clearly defined individual responsibilities and lines of accountability. This will be assisted by as much delegation of authority to act as possible down the management line and the development of team working. Whilst responsibility can be delegated, accountability cannot.

Fresh Start Review

7. The aims of the Fresh Start structural review are to:

- i. develop clear lines of accountability throughout the establishment;
- ii. provide clear definitions of individual roles and responsibilities;
- iii. promote effective management based on team working — a cornerstone on which the structure should be founded — and the delegation of responsibility;
- iv. provide a framework within which all staff can give of their best and by these means
- v. generate a unity of purpose and a sense of ownership and responsibility at all levels;
- vi. support and make effective the new complementing and shift systems, as part of this process;
- vii. make a reality of the unification of the management structure; and
- viii. deliver the establishment’s functions in the most effective and efficient way and to help improve regime quality.

Approach to Reviewing the Structure

- 8 Taking the agreed functions, priorities and targets of the establishments as their starting point, Governors should, together with review teams:
- i. identify all work activities by which the functions of the establishment are delivered;
 - ii. combine work activities into coherent functional blocks;
 - iii. determine work groupings and map them on an accountability chart;
 - iv. consider the need for intermediate levels of management between group managers and the Governor. The broad approach to this exercise is set out below. More detailed guidance on accountability charting is given in the Annex.

Identification of Work Activities

9. The checklist of work activities (and explanatory note) in Appendix I of the Annex has been designed to assist the basic process of identifying the work to be done and how activities might best be combined in functional blocks. Not all activities will be performed in every establishment. The checklist is produced as a guide and is not prescriptive.

Combining Work Activities into Coherent Functional Blocks

10. Though the patterns set out in the Annex should not be regarded as definitive for all situations, in the sense that in certain establishments different links between functions may suggest themselves, seven functional blocks will generally be identified. Not all blocks need figure in the structure of every establishment. In the smaller ones, blocks will be combined. The links in the checklist of activities are based upon this approach.

Work Groupings and Senior Management Structure

11. To give organisational shape to the functional blocks they need to be converted into a sound management structure. Within each functional block, the manpower teams will assess workloads and allocate staff to work groups. Each work group will be the responsibility of a designated group manager. The size of the work group and range and quality of activities to be covered will determine the grade of the group manager (normally 6) and the allocation of management responsibilities within the work group (normally to grade 7 staff). When this stage has been reached the bottom tiers of the accountability chart can be completed. The structure should be determined initially by the needs of the establishment when it is operating normally; arrangements for handling emergencies and dealing with crises should then be decided in accordance with paragraphs 22 onwards in the Annex,

12. Completion of the upper levels of the chart will be determined in accordance with the following principles:

there will normally be about 5 functional heads at management level 2 (ie immediately below the governor) viz

- Head of Custody (covering Operations, Residential and Inmate Services)
- Head of Medical Services
- Head of Inmate Activities
- Head of Management Support Services
- Head of Works Services

These level 2 managers will be individually accountable to the Governor and will work with him as members of the senior management team of the establishment. Nobody else will report direct to the Governor,

13. There will normally be need for only one intermediate level between Level 2 managers and group managers, and at smaller establishments there may not be the need for an intermediate level at all.

14. The annex provides detailed guidance on charting. This will be backed up by training for Governors and their senior management team before the review teams visit establishments. Training will also be given to other managers and staff, in preparation for, and as part of, the review process. This will be followed in due course by further developmental training and the issue of a management manual.

Annex to Appendix II

Guidance on the Review of the Management Structure of Prison Service Establishments

Grouping Activities

The exact shape of functional groupings and work activities will fall to be determined in each establishment. It will involve consideration of such matters as:

- nature of the work to be done;
- optimum size for effective team working

- functional and geographical coherence of the work; and
- ensuring the needs of the work are met.

Advice on how to tackle groupings is set out below together with some examples of how the outcome might look.

Functional Blocks

2. The work activities should be grouped by functions. Details of suggested links are set out in the Checklist of Activities and Responsibilities at Appendix I. The resultant functional blocks should then be used to construct the management structure. Not all blocks need figure in the organisational structure of every establishment. In some establishments, especially the smaller ones, functional blocks may be combined; in others, different functional blocks (eg external services~ may need to be constructed. This will be determined in line with the needs of the establishment. The following examples indicate sonic components of each functional block.

i. Work activities in support of the establishment’s security, control and operational working:

Security, Special searching,
Perimeter, Gate, Dogs,
Emergency communications, Control room.
Police liaison, Contingency Planning.

OPERATIONS

ii. Work activities centred on units of inmate accommodation:

Inmate care and control,
Accommodation units,
Inmate applications, Reviews,
Home Leave, Release on licence.

RESIDENTIAL

iii. Residentially-related services which have to be organised centrally

because of geographical necessity, efficiency, or overload on the Residential function. Examples will differ depending on the establishment:

Adjudications, Segregation,
Bathing, Inmates’ kit, Canteen,
Exercise, Visits
Catering.

INMATE
SERVICES

iv. Work activities linked by medical specialism

Hospital,
Specialist medical services.

MEDICAL
SERVICES

v. Co-ordinated components of what have been called “regime functions”

CIT, VT, Education,
Chaplaincy,
Work, Industries, Farm, Gardens,
PE Recreation, Pre-Release courses, Community Liaison.

INMATE
ACTIVITIES

vi. Management support services

Maintenance of monitoring
systems, including particularly
financial management and
budgetary control systems.

MANAGEMENT
SUPPORT SERVICE

Administrative support,
Co-ordination of information
technology,
Records, Supplies, Provisions
Co-ordination of staff training
Personnel Services including Messes and Clubs.

vii. Support services delivered by works grades

Building,
Maintenance, Repairs

WORKS SERVICES

3. Line management has responsibility for objective setting, performance monitoring, planning, development, Health and Safety and the personnel management of their staff etc. Care should be taken to ensure that management capacity is available across all blocks to discharge these functions effectively. The senior management team will be expected to ensure that targets are set and monitored throughout the establishment. Management Support Services will assist the governor to monitor and maintain management systems. Development and other general management work not assigned to Management Support Services should be allocated to individual managers and delegated so far as consonant with the demands of the work. For example, public and race relations might fall to Inmate Activities and investigations, disciplinary proceedings to the operational core.

4. Management Support Services brings together an establishment's management support functions. It has four main roles:

- i. Audit — maintaining management information and monitoring systems, including particularly financial management and budgetary control systems and helping governors co-ordinate target setting and to undertake performance monitoring.
- ii. Service — acting in support of line managers with responsibility for carrying out particular functions such as health and safety, personnel management and staff training, servicing the appropriate committees and acting as a central point of reference;
- iii. Support — providing administrative support including co-ordinating information technology, supplies and maintaining records;
- iv. Development — being the focal point beneath the governor for co-ordinating the development of forward plans for establishments, for example under the CI 55/84 process, and evaluating and helping to interpret major policy developments.

Under the new arrangements the discipline office will be placed in the core block and the Industrial and Farms and Gardens Managers' commands will be placed in the Inmate Activity block.

5. Core Functions

OPERATIONS

The Residential block will be the primary function for most establishments. The function will be closely related to Operations and Inmate Services to enhance the integration of security, care and control.

RESIDENTIAL

In this way, the blocks of Residential, Operations and Inmate Services will form the core of the establishment's functions and be managed by the Head of Custody (see paragraphs 26 and 27).

INMATE
SERVICES

In some establishments, the Inmate Services will be represented by a minimum of residentially-related work activities (which have to be organised centrally). They will be linked with the Residential Block at group or intermediate levels of accountability.

MEDICAL
SERVICES

Medical Services will be a special category of Inmate Services. The hospital includes residentially-related activities which have to be organised centrally. Responsibility for hospital functions will lie with one manager within the establishment's management structure

INMATE
ACTIVITIES

Inmate Activities will group other specialist functions provided for inmates outside the Residential core in order to foster their practical co-ordination.

Support Functions

MANAGEMENT
SUPPORT SERVICES

Management Support Services and Works Services will as their titles suggest be support services to enable the governor to discharge his responsibilities.

WORKS SERVICES

Grouping Particular Activities

6. There should be little difficulty in assigning sensible groupings for most activities. But set out below are some suggested groupings for particular activities.

Reception-Related Work

7. These activities (reception and discharge procedures, property, photography) will always fall to the core. Their specific placement in one of these blocks depends on their scale, priority and physical arrangement in the particular establishment but primary responsibility will remain in the core.

External Work

8. For the same reasons, responsibility for external activities (court duties, escorts, productions, bedwatches) cannot be prescribed for all establishments. Primary responsibility will remain in the core and courts liaison duties will be undertaken in the management line of the chosen block. In some establishments, the court commitment will be of such priority that it will warrant the status of a separate block in the preliminary groupings of functions. Elsewhere at group or intermediate levels of the management structure, responsibility for these external work activities will link to the core functions.

Orderly Officer Duties

9. Responsibility for regulating the deployment of staff will be devolved to group managers. The remaining duties shade from maintenance of the daily routine, and the co-ordination of movement, to command responsibility during emergencies. The need for this post and its grading should be carefully assessed. Where a post of this kind can be properly justified it will form part of the core functions.

Accountability Charting

10. All work will be allocated to a designated manager who will lead in its supervision, planning and review and who will give account for its delivery to agreed levels and within known limits. The manager will deploy staff to meet priorities. Accountability charting is the process of tracing from work activities the appropriate levels of responsibility and lines of accountability through group managers and intermediate levels to the governor.

11. The value of deriving a lean structure must be stressed. Emerging lines of accountability to the governor should not be determined by the currently available managerial complement or the capacity of individual members of staff.

12. The question of the number, and grading of managers and staff needed will be examined together with the review team whose responsibility it will be to recommend the numbers and grades of staff required to the Regional Director and P6 Division. The number of managers needed at each level will be determined by such factors as numbers of staff to be managed, workload, work complexity, and geography etc.

Grouped Activities

13. Within each functional block, the working level is the base of the chart. I-laying identified all the work at this level, the next step is to draw it together into preliminary groupings that meet the organisational principles set out above and make sense in the particular establishment. The size of the work group and range and quality of activities to be covered will help determine the allocation of management responsibilities within the group.

Accountability Chart

14. Emerging areas of responsibility should be plotted on a framework whose parameters are;

- a maximum of 6 levels including the governor and the basic working level in the establishment.
- work activities preliminarily grouped according to the functional blocks and possibly sub-divided to reflect manageable spans of responsibility.

Illustrations of charting are set out on pages 14 and 15. They outline the charting approach and are not to be taken as comprehensive or definitive examples.

Mixed Groups

15. When responsibilities bridge different types of work (eg dog handlers and control room staff) or functions from separate blocks (eg related activities in Residential and Inmate Services), judgement will be required to establish appropriate management reporting lines. Refinement in the distribution of lines of accountability will also prove necessary as working groups, specialisms, equivalent responsibilities and blocks converge. At group manager level (see paragraph 11 of the main guidance) spans of management control will be no greater than 6 areas of accountability and managers reporting direct. The reporting structure is described in Appendix 3.

Intermediate Levels of Management

16. Intermediate levels will be plotted on the accountability chart between group managers and the governor. Structures should be as lean as possible to reinforce clear lines of responsibility and control. Judgement will be required to establish the appropriate managerial levels. (See paragraphs 11-13 of the main report). At intermediate levels of the structure, spans of management control will usually lie between 4 and 6 areas of responsibility and managers reporting direct. In every case grading and complementing guidance will be given by the regional review team and both will be determined ultimately in conjunction with regional office and P6 Division.

Cross-Grade Accountabilities

17. Accountability charting will involve staff of one class or specialism reporting to a manager of a different class or specialism. This will occur in particular in assigning responsibilities for mixed groups (see paragraph 15) and between unified and non-unified grades. Intermediate levels of management in some blocks will be open to appropriate grades of staff not yet considered for unification. All staff will be responsible through clear lines of accountability to the governor for their operational and managerial performances. All work activities and responsibilities should be traced through the management structure. But in the case of certain specialists a distinction needs to be drawn between their professional role and where they stand in the management structure. As for everybody else, the latter must be clearly defined; in relation to the former, however, specialists such as Chaplains and Doctors will continue to have access to the Governor on purely professional matters which cannot be settled at a lower level.

Inmate Activities

18. Most of the non-unified grades to be considered will be grouped in the inmate Activities block. The specialists will include most commonly the Industrial Manager, the Farm Manager, the Education Officer, and the PE instructors. The aim will be to promote

- full co-ordination of inmate activities to improve regime delivery.
- responsibilities properly delegated below the level of the governor.
- clear lines of accountability.

The Medical Officer

19. The full-time Medical Officer will be the manager of the establishment's full range of medical services including the hospital. A clear statement of role and responsibility should be developed. He/she will be accountable to the Governor for the management function while retaining professional responsibility for the provision of clinical care for which he/she will be accountable up the professional management line. Where there is no full-time medical officer the part-time medical officer will be accountable for the full range of medical services. In his/her absence responsibility will be delegated to the next in line who will act for him/her in consultation, if necessary, with the supervising area SMO/PMO. This means, in effect, that the senior Hospital Officer grade will continue to be responsible to the managing medical officer for the running of the hospital on a day-to-day basis.

Psychological and Probation Staff

20. Prison Psychological grades and seconded Probation Service staff may contribute a range of specialist services which will not fit within one coherent block. The primary function of these specialists' contributions will determine their accountability. For Probation staff this will most usually be the Residential block. In the case of psychology grades primarily involved in inmate training, accountability will link with that of other specialists in the Inmate Activities block. Where psychologists contribute mainly management services including staff training the link might be with the Management Support Services block. Only rarely (in the case of visiting psychologists conducting inmate assessments for Medical Officers) will their accountability be rendered in the Medical Services block.

The Governor

21. The Governor will provide a ceiling to the chart. Emerging levels of responsibility and lines of accountability will result in a span of management control which will usually lie *between 4 and 6*. Most commonly, these will be the intermediate managers carrying responsibility for:

- the Operations/Residential/Inmate Services core of functions
- Medical Services
- co-ordinated inmate Activities
- Management Support Services
- Works Services

Management and Command

22. The confusion and conflict in existing management structures often stem from a failure to discriminate between the response required for normal operations and the command structure necessary for dealing with emergencies. The result is that establishments are more or less at battle stations, as it were, managing as if in crisis at all times. It is therefore vital to identify and distinguish between:

Management

The approach which enables the routine functions of the establishment to be performed effectively.

Command

The approach for handling emergencies and dealing with crisis.

Cover for Command

23. The need for “out of hours” cover will be determined primarily by the needs of the command model. The extent of the cover required will have to be determined in each establishment for:

- daytime, evenings and nights
- weekends and public holidays

to achieve 24 hours a day and 7 days a week cover. There will be three levels of command:

| | |
|-------------|--|
| Ultimate | = Governor |
| Operational | = Intermediate Manager (as defined below) |
| First-line | = Grade 6, 7 or 8 (according to the particular establishment) |

The Governor

24. As indicated in paragraph 3 of the Guidance, the role of the governor is that of overall manager of all management operations and ultimate operational commander in emergencies. He will take personal command of incidents only in major emergencies but will need to be available in less serious incidents to be kept informed of developments and to make key decisions. It is therefore expected that he should work from Monday to Friday, with periodic attendance out of hours and at weekends. He should continue to be available to take personal operational command unless absent on sick or annual leave or other authorised absences,

25. There should not normally be a need to cover his absence on rest days or other short-term absences. For longer absences the Governor will decide whether all his duties should be covered by a designated second-in-charge.

The Head of Custody

26. The Head of Custody will be the intermediate manager accountable for the Operations/Residential/Inmate Services functions. He should also normally be the operational commander in charge of incidents, other than major emergencies, and will report to the governor. For these reasons, he should be designated second-in-charge.

27. This role needs to be covered 7 days a week. Cover may be provided by the Head of Custody working weekends (either 1 in 2 or 1 in 3, according to local circumstances). On his rest days, cover on the tactical operational front or to deal with incidents will be provided by another operational intermediate manager, at the second tier of accountability, on duty to carry out his own management job. Rest days of those operational managers working regular weekends need not be covered.

First-Line Tactical Command

28. There will always be a need for a first-line commander to take immediate operational decisions in the initial stages of an incident. This will be reflected in local contingency plans. At present this role is often occupied by an Orderly Officer and/or the Security Officer. In future this role may be covered by a number of group managers or supervising grades on a rostered basis which should provide for the duty to be covered at all times. The management structure and local contingency plans will identify clearly the managers who are to carry out this duty officer role.

- in the day time
- in the evening
- at night at the weekend

Cover for Absences

The Governors Absences

29. When the governor is absent for more than a week, the Head of Custody as designated second-in-charge will act for him in both normal management and command operations. In consequence:

- the Head of Custody’s normal management role will be covered from within his group
- his operational command role will be covered by another operational intermediate manager at the second tier of accountability.

The Head of Custody’s Absences

30. Absences will be covered from within his group by a measure of job sharing lower in the structure. Urgent decisions will be referred to the governor but only where they cannot be delayed or delegated. The Head of

Custody's operational command role will be covered by another operational intermediate manager at the second tier of accountability, whose grading will need to reflect this requirement.

Other Operational Intermediate Managers

31. Normal absences will not be covered. Necessary action will be taken by those managers' subordinates as part of team working in the normal management operation. The operational command role will be shared among operational intermediate managers.

Other Intermediate Managers

32. In the case of intermediate managers outside the unified structure, and where no command role is envisaged, existing arrangements for covering absences will continue to apply.

Arrangements for First-Line Tactical Command

33. There will no longer be a need for the role of Orderly Officer in normal management arrangements because:

- the regulation of daily detailing will be devolved to group managers.
- the co-ordination of daily routines and inmate movement will be the responsibility of relevant managers in the Operations/Residential/Inmate Services core, working in consultation with other managers (in particular with those accountable for Inmate Activities).

Other Aspects of Managerial Practice

34. In conjunction with the review of the management structure, the governor will need to consider:

- handover procedures and use of occurrence books
- full delegation and team working at each level of the structure
- essential management information systems
- performance criteria for individual job holders and for working groups
- updating contingency plans and operational orders
- tests to apply to the management structure (see Appendix 2)
- staff reporting structure, including job descriptions (see Appendix 3)
- communication structure (see Appendix 4).

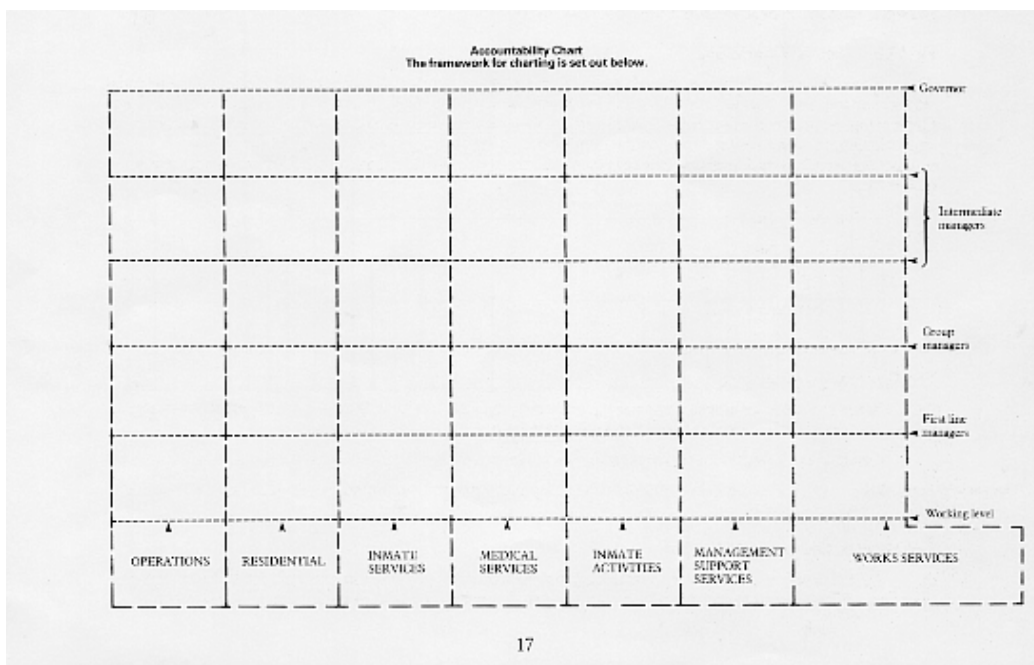


Illustration of Charting
A Large Establishment

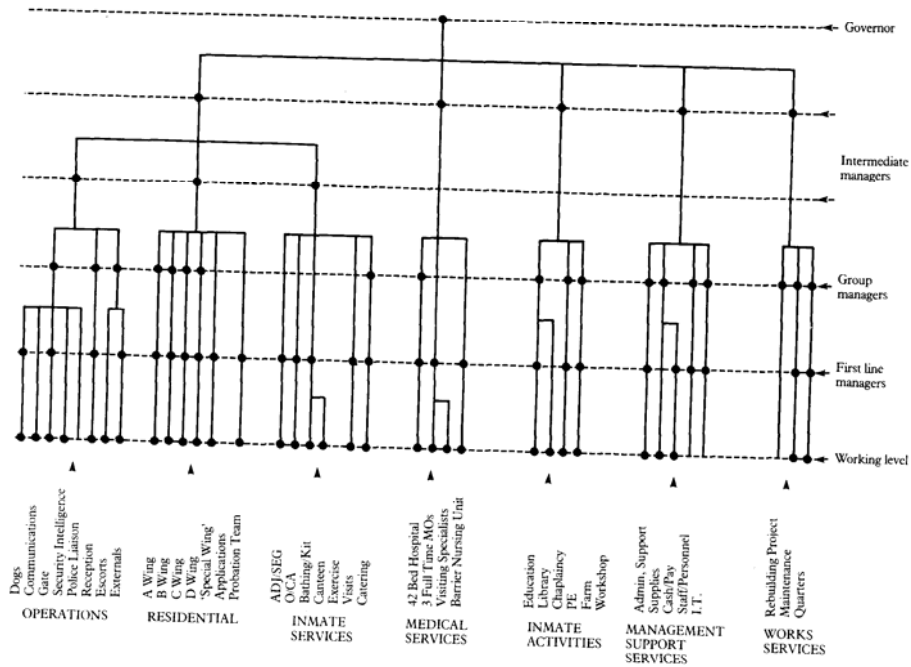
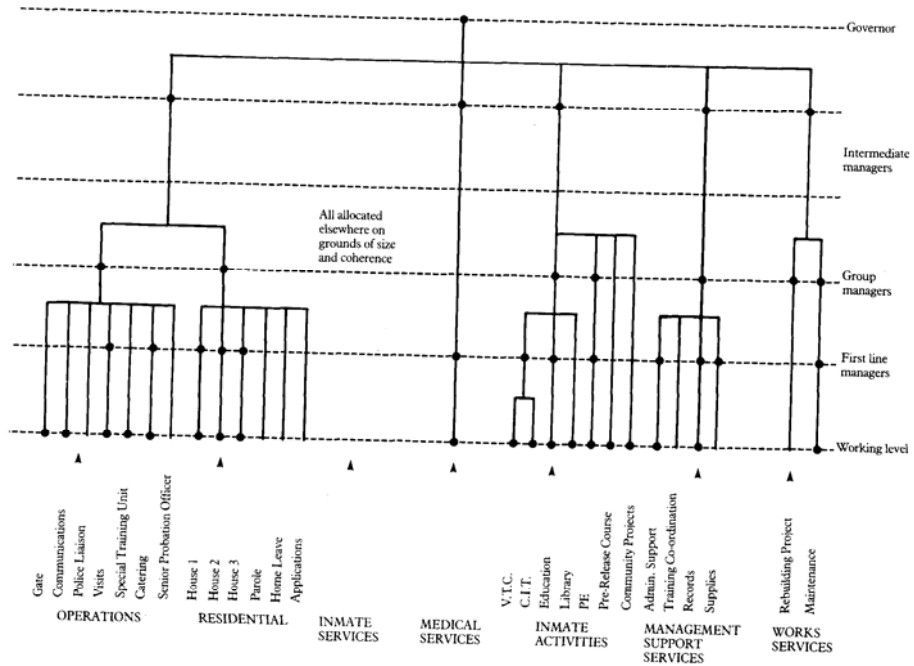


Illustration of Charting
A Small Establishment



Abbreviations for functional blocks:

| | | |
|-----|---|-----------------------------|
| OPS | = | Operations |
| RES | = | Residential |
| IS | = | Inmate Services |
| MED | = | Medical Services |
| IA | = | Inmate Activities |
| MSS | = | Management Support Services |
| WS | = | Works Services |

2. **Inmate Services** will be residentially-related work activities which have to be organised centrally in a particular establishment. They are designated in the checklist:

IS if not RES

to reinforce the organisational primacy of the Residential function.

3. **Operations, Residential and Inmate Services** will relate together as the core of the establishment. Depending on the particular establishment, responsibility for some work activities will be assigned most coherently to the Operations, the Residential, or the Inmate Services block. They are therefore designated in the checklist:

OPS/RES/IS

4. Proper managerial accountability will be devolved within each functional block. There will, however, be essential and "extra-territorial" work activities which will be assigned as Management Support Services. These are designated in the checklist;

devolved + MSS

to indicate an additional element requiring support services.

5. Some areas may appear to be repeated in the checklist but are common names for the same work activity or different emphases within a class of procedures or processes.

| | | | |
|---------------------------|----------------------|---------------------------|---------------------|
| Accommodation | RES | Catering | IS if not RES |
| Accounting, budgets | devolved + MSS | Cells | RES |
| Adjudications | IS if not RES | Censoring | IS if not RES |
| Allocation of cells | RES | Centre P0 (if required) | OPS/RES/IS |
| Allocations, transfers | IS if not RES | Chaplaincy | IA |
| Allowances - cash | MSS | CIT courses | IA |
| — inmates | RES | Classes | IA |
| — staff | devolved -I- MSS | Cleaning | RES + devolved |
| Annual leave | devolved | Clerical support | devolved + MSS |
| Annual staff reporting | | Clothing exchange, kit | IS if not RES + MSS |
| — procedures | devolved + MSS | Communications, routine | devolved |
| — standards | devolved ± MSS | Community links | devolved + IA |
| Appeals | IS if not RES | Community projects | IA |
| Applications, inmates' | RES | Computers | devolved + MSS |
| Assessment, co-ordination | RES | Consultation | devolved |
| Association | IS if not RES | Contingency plans | OPS + devolved |
| Audit | devolved + MSS | Contractors' escorts | OPS |
| | | Control room | OPS |
| Bail | IS if not RES | Courses, inmates' | IA |
| Bathing, showers | IS if not RES | Court duties | OPS/RES/IS |
| Bedwatches | OPS/RES/IS | Court liaison, inspection | OPS/RES/IS |
| Board of Visitors | | | |
| — liaison | RES | Detail office | devolved |
| — standards | devolved | Developmental work | devolved + MSS |
| Budgets | devolved + MSS | Dining, servery | IS if not RES |
| Building | WS | Discharge procedures | OPS/RES/IS |
| | | Disciplinary proceedings | devolved |
| Calculation of sentences | RES | Discipline office | RES |
| Canteen, inmates' | IS if not RES -F MSS | Documentation | devolved + MSS |
| Career planning, staff | devolved + MSS | Dog section | OPS |
| Car park | OPS | Domestic work | IA |
| Cash | MSS | Dormitories | RES |
| Cashier's tasks | MSS | Drill, inmates' | IA |
| Categorisation | IS if not RES | Driver | MSS |
| Category A & E procedures | OPS/RES/IS | | |

| | | | |
|-----------------------------|----------------|----------------------------|----------------|
| Earnings, inmates' | MSS | Lifer procedures | RES |
| Education | IA | Lighting | WS + MSS |
| Emergency communications | OPS | Local Review Committee | RES |
| Emergency equipment | OPS | | |
| Entertainment, inmates' | | Mail, censoring | IS if not RES |
| central | IA | Maintenance | WS |
| unit-based | RES | Management info systems | devolved + MSS |
| Equipment | devolved + MSS | - servicing | MSS |
| Escorts | OPS/RES/IS | Management support | devolved + MSS |
| Evaluation | devolved + MSS | Manpower, deployment | devolved |
| Exercise | IS if not RES | Manpower recording | devolved |
| | | Manufacturing clerk | IA + MSS |
| Farm | IA | Medical specialists | MED |
| Files, registry | MSS | Messenger service | MSS |
| Financial management | devolved + MSS | Movement co-ordination | |
| Fire duties, precautions | devolved + OPS | - if required | OPS/RES/IS |
| First aid | devolved + MED | | |
| Follow up to HMCIP report | devolved + MSS | Night Orderly Officer | OPS |
| Fuel - heating | WS + MSS | Night staffing, duties | OPS/RES/IS |
| - vehicle | MSS | Notices, CI,s etc | MSS |
| Gate | OPS | OCA | IS if not RES |
| Gardens, grounds | IA | Occurrence books | devolved |
| Grants, inmates' | RES | Offices | devolved + MSS |
| Group activities, inmates' | IA | Officers' Club | devolved + MSS |
| GP fund | RES | Officers' Mess | devolved + MSS |
| Gymnasium (see PE) | | Operational assessment | devolved + MSS |
| | | Orderlies, trusties | devolved + IA |
| Handovers, occurrence books | devolved | Orderly Officer | |
| Health and Safety | devolved + MSS | - if required | OPS |
| Heating | WS | Outside agencies | devolved |
| Hiking (see Patrols) | | | |
| Hobbies | RES | Patrols | OPS |
| Home Leave | RES | Pay, staff | devolved + MSS |
| Hospital | MED | Performance indicators | devolved + MSS |
| Hostel | RES | Perimeter | OPS |
| Housing - admin | MSS | Personnel | devolved + MSS |
| - maintenance | WS | Pest control | WS |
| | | Petitions | RES |
| Incident procedures | OPS + devolved | Photography | OPS/RES/IS |
| Induction | IS if not RES | Physical education | IA |
| Industrial relations | devolved | Planning, target setting | devolved + MSS |
| industries | IA | Police liaison | OPS |
| Information systems | devolved + MSS | Population mix | OPS/IRES/IS |
| Information room | MSS | PRES hostel | RES |
| Information technology | devolved | PRES selection | RES |
| - servicing | MSS | Pre-release courses | IA |
| inspection, evaluation | devolved + MSS | Prison Visitors | IA |
| Intelligence, recording | OPS | Probation staff | IA |
| Investigations | devolved | Probationary staff | devolved + MSS |
| | | Procedural checks | devolved + MSS |
| Job descriptions | | Productions | OPS/RES/IS |
| - revision | devolved | Progress reviews, inmates' | RES |
| - library | MSS | Property | OPS/IRES/IS |
| | | Psychiatric services | MED |
| Keys issue and procedures | OPS | Psychological services | IA or MSS |
| Kit, inmates' | IS if not RES | Public relations | devolved + IA |
| Kitchen | IS if not RES | Punishment block | IS if not RES |
| Labour control | IA | Quality control | devolved + MSS |
| Landing duties | RES | Quarters | |
| Laundering, dry cleaning | | - admin | MSS |
| (see Property) | | - maintenance | WS |
| Legal Aid | IS if not RES | | |
| Library services | IA | | |

| | | | |
|-------------------------------------|----------------|--|----------------|
| Race relations | devolved | Sportsfield (see PE) | |
| Race Relations Liaison | IA | Staff applications | devolved |
| Re-categorisation | RES | Staff associations | devolved |
| Reception | OPS/RES/ES | Staff facilities | devolved + MSS |
| Records, inmates' | devolved + MSS | Staff training | devolved + MSS |
| Recreation, inmates' | | Staff welfare | devolved |
| - central | IA | Stores | devolved + MSS |
| - unit-based | RES | Supervision | devolved |
| Recruitment, staff | devolved + MSS | Supplies | devolved + MSS |
| Regime monitoring | devolved + IA | Switchboard | MSS or OPS |
| Registry | MSS | | |
| Regulating | devolved | Targets | devolved + MSS |
| Release procedures | OPS/RES/IS | Temporary releases | RES |
| Religious activities | IA | Text transmission service | MSS |
| Report writing | RES + devolved | Trade training (see VT, CIT) | |
| Reprography | MSS | Training (see Staff training) | |
| Restraints | | Transfers | IS if not RES |
| - mechanical | OPS/RES/IS | Treatment, medical | MED |
| - medical | MED | Transport arrangements | MSS |
| Research | MSS | Trustees (see Orderlies) | |
| Reviews, inmates' progress | RES | Typing services | MSS |
| Routine wing searching | RES | | |
| Rule 43/46 | IS if not RES | Units | RES |
| Sanitation, recesses | RES + devolved | Vehicle escorts | OPS |
| Searching, bolts & bars | RES + devolved | Vehicles | MSS |
| Security | OPS + devolved | Victualling | MSS |
| Segregation | IS if not RES | Visiting specialists | MED |
| Selection procedures | RES + devolved | Visits — domestic, official and special | IS if not RES |
| Sentence planning | RES | Vocational training | IA |
| Serveries | IS if not RES | | |
| Shared Working (see Welfare) | | Welfare, inmates' | RES |
| Showers (see Bathing) | | Wings | RES |
| Sick parades, special sick | MED | Work allocation, inmates' | IA |
| Sick leave, records | devolved + MSS | Work parties | IA |
| Small repairs | WS | Workshops | IA |
| Social work projects | IA | Works services, building | WS |
| Social work in prison (see Welfare) | | | |
| Special cells | IS if not RES | | |
| Special searching | OPS | | |

Tests to Apply to the Management Structure

1. Coherence and Clarity

- Accountabilities will reflect actual and unambiguous responsibilities for work activities which deliver the agreed functions of the establishment.
- The lines of accountability will be logically consistent, clear and intelligible.
- They will be built up from work activities grouped with reference to the building blocks.
- Lines of accountability will not promote undue polarisation or divisiveness amongst staff.
 - Cross-grade accountabilities will be justified on functional grounds.
 - Spans of management control for group and higher levels of accountability will not exceed 6 areas and managers reporting direct without justification.
 - Intermediate levels of accountability will represent necessary points of co-ordination and management and they will be appropriately graded.
 - Proper delegation and team working will be facilitated at all levels of the management structure.
- The role and accountability of the governor and other key managerial posts will be clear with particular reference to appropriate spans of direct management control and proper delegation.
- The organisation chart will be agreed with the Regional Director, published locally, and available to the board of visitors and all staff.

2. Comprehensiveness

- All work activities and responsibilities will be accounted for (see Checklist Appendix 1).
- Accountabilities will be traced from the lowest levels of delivery to the governor.
- The placing of responsibilities for activities related to Reception, External and Orderly Officer duties and those designed as Inmate Services will be fully justified.
- The placing of responsibilities for work activities designated as Medical Services should match the circumstances in the establishment.
- All staff, including specialists, will be held responsible through clear lines of accountability to the governor. for their operational and managerial performance.

3. Compatibility

- The management structure must reflect and promote the agreed functions and priorities of the establishment.
- Authority to act will be fully devolved and consistent with the complementing and shift systems.
- The management structure will be based on appropriate work routines and procedures for all staff.
- The management structure will advance the unification of Prison Department operational grades and not hamper the integration of all grades of staff
- The management structure will be translated into agreed and published job descriptions which conform to this guidance.
- The requirements of operation and command will be reflected in the management structure, the weighting of particular management posts, and individual job descriptions.
- The supporting systems will be reviewed to ensure compatibility with the management structure
 - annual staff reporting procedures
 - agreed job descriptions for all staff
 - communications and meeting structure
 - operational instructions and local contingency plans
 - management information systems
- The management structure will be reviewed regularly and agreed between the governor and Regional Director.

Appendix 3

Staff Reporting Structure

1. The reporting systems must be compatible with assigned accountabilities. Annual Staff reporting procedures follows precisely the management structure, with managers as reporting officers for those in line relation to them. Line managers at all levels will have responsibility for reporting on their staff. Where this structure results in a non-specialist reporting on a specialist (or vice-versa) the counter-signing officer will be in the same specialism as the person reported on.

Job Descriptions

2. Governors will be invited to ensure that job descriptions describe the relevant work activities and exact responsibilities of each job holder.

Job descriptions will be:

- agreed for all staff
- updated as necessary and reviewed annually
- published and available to all staff and the Board of Visitors
- held centrally in a library of job descriptions

Each job description will comprise

- job title
- clear statement of *purpose*
- definition of *accountability*
 - to a stipulated reporting officer with indication of countersigning officer.
 - for specified resources of staff, plant, budget, and (in some cases) inmates.
- list of *responsibilities* including role in the command structure
- indicate *essential* team working
 - key points of liaison in the management structure membership of management meetings
- *cover arrangements*
- *performance criteria*
- *date of review* and date of next review

Appendix 4

Communications

1. The meeting structure should match the management structure and embody the principles laid out in the report of the working party on communications in the Prison Service (1986) so that:

- information flows freely up, down and across the organisation
- teamworking and the resolution of day-to-day problems between managers is achieved. In terms of written communications, there should be:
 - minutes of formal management meetings with appropriate and prompt distribution
 - a set of operational orders, separated from notices of passing interest
 - full access to Circular Instructions, Home Office Notices, and other official communications to staff
 - a weekly staff bulletin of general information
 - consideration of effectively sited and updated noticeboards for all staff
 - a local handbook for the induction of staff
- appropriate written material for inmates.

2. Correspondence within the establishment should be submitted to the appropriate member of staff as indicated by the management structure. There will be no need for all papers from staff to be addressed to the governor as has been the custom.

3. A clear management structure should also enable communications from outside the establishment to be directed to the appropriate and accountable member of staff.

Appendix III

Annex B

Proposed salary scales and Assimilation Terms (1/4/86 Rates)

| | Existing basic pay w/e 1.4.96 | Existing basic pay for Pension Purposes (Pay & PVQ) | | Proposed basic pay for Unified grades (1.4.96) | Proposed Allowance (1.4.96 Terms): Non-Pensionable | Proposed Total Remuneration (1.4.96 Terms) |
|------------------------------|--|---|------------|---|--|--|
| | £pa | £pa | Grade | £pa | £pa | £pa |
| Governor I | 25159 | 26490 | Grade I | 30000 | 1250 | 31250 |
| Governor II | 22575 20336 18872 | 23906 21687 20203 | Grade II | 27750 | - | 27750 |
| Governor III | 18636 17388 16747 16107 15323 | 19967 18719 18078 17438 16654 | Grade III | 24500 | - | 24500 |
| Governor IV | 14976 14083 13609 13273 12912 | 16109 15216 14742 14406 14045 | Grade IV | 21000 20250 19500 | - | 21000 20250 19500 |
| Chief Officer I | 11843 | 12834 | | | Transitional Allowance | |
| Assistant Governor | 12971 12194 11789 11317 10777 10232 | 14104 13327 12922 12450 11910 11365 | Grade V | 19000 18150 17300 16500 15700 15000 [14500] | - - 850 1650 2450 3150 [-] | 19000 18150 18150 18150 18150 18150 [14500] |
| Assistant Governor (Trainee) | 12487 11721 11317 10846 10305 9764 | | | | | |
| Chief Officer II | 10966 10518 | | | | Group Working Contracted Hours Allowance | (For Staff Working Contracted Hours) |
| Principal Officer | 9031 8613 8395 | 9834 9416 9198 | Grade VI | 14500 14000 13650 | 3500 | 18000 17500 17150 |
| Senior Officer | 8062 7700 7508 | 8865 8503 8311 | Grade VII | 13000 | 3500 | 16500 |
| Prison Officer | 7489 Long Service 7246 Increments ----- 7007 Normal Max | 8292 8049 - 7810 7424 7195 6973 6760 6514 | Grade VIII | 12050 (15yr LSI) 11750 (12yr LSI) - 11500 10800 10350 10000 9650 9300 9000 | 3500 | 15550 15250 - 15000 14300 13850 13500 13150 12800 12500 |

New scale – shorter than revised offer

Assimilation Terms

| | |
|---|---|
| Existing Governors I to Grade I | : Flat rate to Flat rate |
| Existing Governors II to Grade II | Scale points to Flat rate |
| Existing Governors III to Grade III | : Scale points to Flat rate |
| Existing Governors IV to Grade IV | Max to Max Min+3 to Min +1 Min +-2 to Min Min +1 to Min* Min to Min* |
| Existing Chief Officers I to Grade IV | With 2 years' or more service in the Chief Officer I grade to Max With at least 1 year's but less than 2 years' service in the Chief Officer I grade to Min 4-1 With less than one year's service in the Chief Officer I grade to Mm |
| Existing Assistant Governors to Grade V | Corresponding points |
| Existing Assistant Governors (Trainee) to Grade V | With 2 years' or more service in the Assistant Governor (Trainee) grade to Min + 1* With at least 1 year's service hut less than 2 years' service in the Assistant Governor (Trainee) grade to Min* With less than 1 year's service in the Assistant Governor (Imince) grade to Min |
| Existing Chief Officers II to Grade V | : Max to Max Min to Min +4* |
| Existing Principal Officers to Grade VI | Corresponding points |
| Existing Senior Officers to Grade VII | : Scale points to FLat rate |
| Existing Prison Officers to Grade VIII | Long Service Increments to Corresponding points Max to Max Min +4 to Max* Min+3 to Min 1+5 Min +2 to Min +4 Min +1 to Min+3 Min to Min +2 |

*Taking date of restructuring as future incremental date, ie next increment due 1 year from date of transfer to new scale. [Other incremental dates unchanged]

+ Decremental point (Min - 1) for the purpose assimilating the AG (Trainee) Grade (except at scale Max) which will disappear one year after date of transfer to new scale.

NOTES

1. Grades V to I in the unified hierarchy will be All Hours Worked
2. Grades VIII to VI in the unified hierarchy will have conditioned hours of 39 (net) per week
3. London Weighting, as appropriate, will be paid in addition.

Proposed salary scales (1/4/87 Rates)

| | Proposed basic pay | Proposed Allowance Non-Pensionable | Proposed Total Remuneration |
|------------|--------------------|--|--------------------------------------|
| | £pa | £pa | £pa |
| Grade I | 30000 | 1303 | 31303 |
| Grade II | 27750 | - | 27750 |
| Grade III | 25541 | - | 25541 |
| Grade IV | 21893 | - | 21893 |
| | 21111 | | 21111 |
| | 20329 | | 20329 |
| | | Transitional Allowance | |
| Grade V | 19808 | - | 19808 |
| | 18921 | - | 18921 |
| | 18035 | 886 | 18921 |
| | 17201 | 1720 | 18921 |
| | 16367 | 2554 | 18921 |
| | 15638 | 3283 | 18921 |
| | [15116] | [-] | [15116] |
| | | Group Working Contracted Hours Allowance | (For Staff Working Contracted Hours) |
| Grade VI | 15116 | 3649 | 18765 |
| | 14595 | | 18244 |
| | 14230 | | 17879 |
| Grade VII | 13553 | 3649 | 17202 |
| Grade VIII | 12050 (15yr LSI) | 3649 | 16211 |
| | 11750 (12yr LSI) | | 15898 |
| | - | | - |
| | 11989 | | 15638 |
| | 11259 | | 14908 |
| | 10790 | | 14439 |
| | 10425 | | 14074 |
| | 10060 | | 13709 |
| | 9695 | | 13344 |
| | 9383 | | 13032 |

*The pay of these grades which now falls between Unified Civil Service Grade 5 and 3 in 1986 pay term will be revised to reflect changes made in 1987 to both the scale for grade 5 and that for Grade 3.

Appendix IV

Purchase of Surplus Official Quarters — Schemes for Advance of Salary and Discount sales

Advances of salary

In conjunction with the Fresh Start package the Department will introduce a scheme to assist a prison officer occupying an official quarter to purchase either a surplus Prison Department quarter or a property of his own choice in the open market. The assistance will take the form of an advance, free of interest, recoverable from salary in regular instalments over a period of not more than ten years, not exceeding six months gross salary and up to a maximum of £10,000 in the London pay area and £8,000 elsewhere. The scheme will be restricted to prison officers in Grades VI, VII and VIII who are under the minimum retirement age; have at least two years service; have a satisfactory health and conduct record; and produce satisfactory evidence that a house is being purchased and that all reasonable efforts have been made to obtain the maximum mortgage. Further details will be published in a Notice to Staff.

Discount sales

Alternatively, as part of the Fresh Start package, the Department is prepared to allow a prison officer who has continuously occupied an official quarter for more than two years to purchase it at a discount if it is deemed surplus to requirements, or to purchase another vacant surplus quarter. The scheme would provide for discounts up to 60%, depending on how long quarters and other specified types of housing have been occupied, subject to an overall maximum of £35,000. The discount benefit is subject to a reducing clawback condition for 3 years (in line with local authority arrangements). No officer would be able to benefit from both the Advance of Salary and Discount Sales Schemes.

Operative date and enquiries

The operative date for both the Advance of Salary and Discount Sales Schemes will be the date of acceptance of Fresh Start. Meanwhile enquiries about the proposed schemes can be addressed to Mr Ward, PS Division, Cleland House (01-211 4133).

Appendix V

EARLY RETIREMENT

1. The amalgamation of the Governor IV and Chief Officer I grades to form the new Grade IV and of the Assistant Governor and Chief Officer II grades to form the new Grade V, with redefined roles for the unified grades, will probably result in some reduction in the requirement for staff at those levels as new working arrangements are introduced. Consequently, the Department will be prepared to release on early retirement, on a voluntary basis, officers in the ranks of Governor IV, Assistant Governor, Chief Officer I and Chief Officer II age 50 or over. The terms for all Governors IV and Assistant Governors and for Chief Officers I and II aged 50-54 are set out in paragraph 2 below. Special arrangements are considered necessary for Chief Officers I and II who are above the minimum retirement age for their grade, as early retirement arrangements are not available to them. These are set out in paragraph 3.

Terms for Governors IV and Assistant Governors aged 50-59 and Chief Officers I and II aged 50-54

2. The conditions on which interested officers will be invited to retire early will be Flexible Early Retirement (PER) terms under the new early retirement arrangements announced in Home Office Notice 125/1986. These provide for:

- (i) enhancement of reckonable service to the amount that could be achieved by age 60 in the case of Governor grades or age 55 in the case of Chief Officers, subject to a maximum enhancement of 62/3 years-
- (ii) immediate payment of lump sum based on enhanced reckonable service;
- (iii) immediate payment of pension based on enhanced reckonable service.

Terms for Chief Officers I and II aged 55-59

3. The new early retirement arrangements are not, of course, available to these officers, as they have passed their minimum retirement age and are able to retire under normal arrangements at any time up to age 60. The Department does not, however, consider that it would be right to exclude these officers from a scheme designed to reduce the number of staff in the new Grades IV and V. In keeping with proposals in "Fresh Start" and a voluntary approach to reducing numbers in these grades, there will be a lump sum payable to officers in this category, in addition to normal benefits, if they elect to bring forward their final retirement date. This will be paid at the rate of £100 for each month between the date of retirement and the date of the 60th birthday, to a maximum of £16,000.

Possible Extension of the Offer to Governors I-III aged 55-59

4. There is a possibility that the number of officers in the above categories who wish to retire early will not be sufficient to reduce the numbers in new Grades IV and V to the levels required. In that event the Department will be prepared also to allow Governors I, Governors II and Governors III aged 55-59 to retire on PER terms, on the basis that promotions consequent upon retirements at these levels would lead to a reduction in the number of officers at Grades IV and V.

Timing

5. The timing and number of individual retirements and early retirements will be geared to the operational requirements of particular establishments on the introduction of new working arrangements. All officers in the categories in question will be asked whether they wish to be invited to retire early under the terms set out above, so that the wishes of those opting for early retirement may be taken into account in planning the future staffing of each establishment. Officers who wish, without commitment, to register an interest in early retirement should do so by writing to Mr R F Cumings, P1 Division, Cleland House, by 1 September 1987.

Enquiries

6. Enquiries about the proposed early retirement arrangements may be addressed to Mr D F O'Mahony, PS Division, Cleland House (Tel 01-211 8704).