



National Offender
Management Service

**Service Level Agreement
for Prison Services Commissioned by
the National Offender Management
Service from the Public Sector Provider**

2014-17

Between

**The National Offender Management
Service as Commissioner and**

Her Majesty's Prison Service

in the North West

Template Version P1.0

OFFICIAL

Version Control Table		
Version No.	Reason for Issue / Changes	Date Issued / Amended
P 1.0	Published for Commissioning Round from 2014	1 April 2014

Table of Contents

	Page
SECTION 1: DEFINED TERMS	4
SECTION 2: FORM OF AGREEMENT	6
2.1 Purpose and Scope of this Document	6
2.2 Agreement	7
SECTION 3: REGIONAL CUSTODIAL PROFILE	8
3.1 The Region	8
3.2 Prison Population	8
3.3 Regional Segmentation Profile	9
3.4 Custodial Provision in the Region:	14
3.5 Resettlement Prisons:	15
3.5 Offender Journeys and Provision within the region, including inter-regional relationships	15
SECTION 4: COMMISSIONING INTENTIONS	16
4.1 A Regional Response to Commissioning Intentions	16
4.2 Regional Development Objectives	25
SECTION 5: ACCREDITED PROGRAMME PROVISION	27
SECTION 6: NOTICE OF CHANGE PROCESS	29
6.1 Discretionary Changes	29
6.2 Mandatory Changes	29
SECTION 7: RESPONSIBILITIES, TERMS & CONDITIONS	30
7.1 Responsibilities	30
7.2 Delivery partners	30
7.3 Service Definition	31
7.4 Audit, Assurance and Risk Management	31
SECTION 8: MANAGING THE SLA	32
8.1 SLA Review Process	32
8.2 SLA Delivery Issues and Failures	33
SECTION 9: FINANCIAL PROTOCOL	33
9.1 Financial Framework	33
9.2 Principles of the Annual Operating Price and Funding Arrangements	33
SECTION 10: ISSUES RESOLUTION	34
10.1 Issues Resolution Process	34
ANNEX A: NOTICE OF CHANGE AND BUSINESS CASE TEMPLATES	35

OFFICIAL

SECTION 1: DEFINED TERMS

Defined Terms

Throughout this **SLA**, the use of the singular includes the plural. The following defined terms are identified in the document in bold text and have the following meanings, except where the context requires otherwise:

Annual Operating Price	Price to be paid for the Services under the terms of this SLA . In effect, the NOMS-funded annual budget for the Establishment .
Commissioner	The representative of the NOMS Directorate of Commissioning and Commercial acting on behalf of the NOMS Agency to commission services from HMPS under this SLA .
Establishment	The business unit of operational delivery, with a single point of accountability, for which HMPS has agreed to provide services under the terms of this SLA .
Her Majesty's Prison Service (HMPS)	Public sector provider of prison and high-security prison services commissioned by NOMS under the terms of this SLA . (Sometimes referred to in this SLA as "the Provider ".)
In-Year Change	A material change to the Service Requirements or Annual Operating Price of the SLA .
Legislation	Any Act of Parliament or subordinate legislation.
Management Information	Information available to support the management and monitoring of service delivery.
NOMS	National Offender Management Service Agency, or its designated representative, acting in a corporate capacity.
NOMS Directory of Services	The list of NOMS -funded services delivered to offenders, defendants, victims and courts.
Notice of Change (NoC)	Mechanism by which an In-Year Change is affected.
Operational Capacity	The total number of prisoners that an Establishment can hold taking into account control, security and the proper operation of the planned regime.
Party	A party to this SLA .
Provider	See HMPS .
Service Level Agreement (SLA)	This Service Level Agreement between the Commissioner and HMPS .
Service Requirement(s)	The requirement(s) for service delivery under this SLA , as set out in the Establishment Local Annexes.
Service	A service to be provided by HMPS , as detailed in the Service Specification and/or other documents referenced under the Service Requirement .

OFFICIAL

Service Options	An option above the national minimum, available to commission, in some Service Specifications .
Service Specification	A document specifying, for each service in the NOMS Directory of Services , the outcomes and outputs to be delivered.
SLA Delivery Requirement	A specific, commissioned output delivered by the Establishment or on behalf of the Establishment .
SLA Delivery Requirement Level	The agreed level at which the output is expected to be delivered. The Establishment's performance will be monitored and assessed against this level.

SECTION 2: FORM OF AGREEMENT

2.1 Purpose and Scope of this Document

- 2.1.1 This **Service Level Agreement (SLA)** sets out an agreement between the **Commissioner** and **HMPS** for the provision of prison services commissioned and funded by **NOMS** within the control of the Deputy Director of Custody for the North West.
- 2.1.2 This **SLA** provides a description of a range of services that have been commissioned by funders other than NOMS for example health, education and other co-commissioned services to offenders. **HMPS** has specific responsibilities in respect of partnership working and enabling delivery. Responsibility for performance management arrangements of such services usually rests outside of **NOMS**, contained in separate SLAs, contracts or memoranda of understanding (MoU).
- 2.1.3 This **SLA** is designed to reflect the full range of **NOMS** custodial services and recognise the importance of providing a joined up system of custodial provision which supports offender management, rehabilitation and resettlement.
- 2.1.4 The delivery of custodial services by the **High Security Estate** and **Privately Managed Prisons** are managed separately and their performance is not managed as part of this **SLA**. All prisons, including **High Security Estate** and **Privately Managed Prisons**, are included within the **regional profile** of the **SLA** to demonstrate their presence in the region and the provision they offer.
- 2.1.5 This **SLA** has been agreed as part of the NOMS commissioning round. The commissioning round is the cycle of setting out the high level commissioning priorities for NOMS (taking into account service need and demand, resources, government policy and the priorities of other commissioners and funders of offender services) and securing services under SLAs and contracts to meet these priorities.
- 2.1.6 Separate internal agreements and protocols for the delivery of specific ancillary and operational support services remain in force until cancelled in writing. These include, but are not limited to:
- SLAs for estate maintenance
 - MOUs for prisoner retail
 - SLAs covering prison industries and prison laundries
- 2.1.7 For the avoidance of doubt, the **Parties** do not intend this **SLA** to be legally binding.
- 2.1.8 To support transparency, this **SLA** will be published on the Ministry of Justice website.
- 2.1.9 Further information on responsibilities, terms and conditions are outlined in section 7.

OFFICIAL

2.2 Agreement

- 2.2.1 The commencement date for this Regional **Service Level Agreement** will be **1 April 2014** and it shall remain in place until **31 March 2017**, inclusive, unless otherwise agreed by the **Parties**. This Regional SLA and the individual establishment annexes for Public Sector Prisons, which form a part of this agreement, will be reviewed on an annual basis and subject to change under the **Notice of Change** process.

Signed by the Commissioner (acting on behalf of the **NOMS** Agency to commission services from **HMPS** under the terms of this **SLA**):

Name (Print): Simon Boddis

Signature:

Position: Head of Commissioning Group

Date: 28 March 2014

Signed by the Provider (as the representative of **HMPS** in respect of the services commissioned by the **NOMS** Agency under the terms of this SLA):

Name (Print): Alan Scott

Signature:

Position: DDC North West

Date: 26 March 2014

SECTION 3: REGIONAL CUSTODIAL PROFILE

3.1 The Region

The North West region comprises 16 establishments geographically spread from Haverigg in Cumbria to Styal Cheshire. This includes 2 private prisons, HMP Altcourse and HMP Forest Bank and 1 High Security Estate, HMP Manchester. The remaining 13 prisons within this large region are managed by the Deputy Director of Custody, supported by a small team, based at the regional office outside HMP Wymott. The 16 sites have a combined operational capacity of 12787 and fulfil a broad range of functions as listed below.

In order to protect the public and provide what commissioners want, the North West Region subscribes to the Prison Service objectives of;

Holding prisoners securely

Reducing the risk of prisoners reoffending

Providing safe and well ordered establishments in which we treat prisoners humanely, decently and lawfully.

In carrying out our work the North West will follow the Prison Service Principles of;

Working in close partnership with our commissioners and others in the Criminal Justice System to achieve common objectives.

Obtain best value from the resources available using research to ensure effective correctional practice.

Promote diversity, equality of opportunity and combat unlawful discrimination.

Ensure our staff have the right leadership, organisation, support and preparation to carry out their work effectively.

The North West region works in partnership with co-commissioned organisations to deliver services such as healthcare, education and resettlement services. We will continue to develop our commercial confidence and expertise in areas such as Industries, in cooperation with 131 Enterprise Solutions, and in contract management as the Rehabilitation Revolution moves forward with the introduction of 'Through the Gate' services and the restructure of the National Probation Service.

In addition as the pilot for the national reconfiguration project along with the Through the Gate Substance Misuse Services, the North West will review the population composition to prioritise capacity and services for offenders who will be resettled in to Contract Package Areas (CPA). This may involve the transfer of offenders between sites in the North West and external moves. Any changes to prison function or regime will be agreed with the NWWM Commissioning Team.

3.2 Prison Population

At the end of June 2013 the number of offenders in North West prisons was 11,569.

This figure includes 2506 offenders from other regions, including 653 from Wales, 594 from Yorkshire and Humberside and 348 from the West Midlands. There were 3629 prisoners from the North West in prisons in other regions including 967 in the West Midlands, 769 in Yorkshire and Humberside and 759 in the North East.

In the region there were 2309 prisoners held in the two privately run establishments: HMP Altcourse and HMP Forest Bank. HMP Manchester holds a mixed population including Category A and remand prisoners and sits within the High Security Estate.

OFFICIAL

Region	Offenders from NW in prisons in other regions	Offenders from other regions in NW prisons
East Midlands	528	125
East of England	137	44
Greater London	60	159
Kent and Sussex	80	36
North East	759	135
South Central	140	36
South West	143	86
Wales	46	653
West Midlands	967	348
Yorkshire and Humberside	769	594
Total	3629	2506 (Inc 290 blank)

At June 2013 there were 10592 adult prisoners in North West prisons, 819 Young Offenders and 156 Juveniles. Of the 10175 adult males 23% were serving sentences of less than twelve months (including those on remand), 27% were serving 12 months to 4 years and 50% were serving 4 years and over (including IPP and Life sentenced prisoners)

Of the 797 male young offenders in the region 35% were serving sentences of less than twelve months, 44% were serving 12 months to 4 years and 21% more than 4 years.

There were 439 female offenders in HMP Styal, 42% serving sentences of less than twelve months. This compares to 23% of male prisoners serving less than twelve months in prisons in the rest of the North West prison estate. 32% of the female offenders were serving 12 months to 4 years and the remaining 26% were serving sentences of more than 4 years. HMP Styal also held 22 Young Offenders.

3.3 Regional Segmentation Profile

The Segmentation data was taken as a snapshot on 31st March 2013. Segmentation data is compiled from P-NOMIS extract as used for prison population statistics and Police National Computer Research Database. This does not represent the whole population as it excludes non-criminal prisoners, young people (< 18), unsentenced and those without a valid PNC record.

The segmentation data is a profile of the North West region, which includes 12 Public Sector Prisons (non High security) (including 1 female establishment), 1 High Security Prison, 1 split Young Persons site (under 18/Young Adult) and 2 Privately Managed Prisons.

Nationally there were 66,866 offenders within the segmentation data cohort. (15%) 9,740 offenders were identified within the segmentation data as being within North West Prisons. When reviewing risk of reoffending (OGRS) data regionally:

- 21% were low risk (0-24) of re-offending,
- 21% were medium risk of re-offending (OGRS 25-49)
- 33% were high risk of re-offending (OGRS 50-74)
- 21% were very high risk of re-offending (OGRS 75-89)
- 3% whose risk of re-offending was prolific (OGRS 90-100)

Those offenders whom are high risk of re-offending are the most prevalent group within

OFFICIAL

this region. The 21% of offenders whom are low risk of re-offending generally would not require services beyond those described as Core, however within this group are 308 sexual offenders who are identified as high risk of sexual reoffending on the OSP and would require additional rehabilitative services. The risk of reoffending levels within the North West region were broadly representative of the national profile, only those with a low risk of reoffending were 4% lower than the national profile and medium risk of reoffending offenders were 1% lower in region than the national profile. Those with a high risk of reoffending were 3% higher in region than the national profile.

When the data was analysed to identify the main offence types within the cohort:

- 36% of offenders in the region were violent offenders
- 21% of offenders had an acquisitive offence
- 14% of the regions offenders were sexual offenders
- 11% were convicted of Robbery
- 14% had a Drugs offence
- 2% had motoring as their main offence
- 3% had an offence classified as 'Other'

Violence, Acquisitive and Sexual Offenders are the most prevalent groups within this region. When reviewing the levels of each offence type against the national picture again the figures are generally representative, the exception being the level of sex offenders is slightly lower at 10% compared to 14% nationally and drugs offenders are slightly higher at 16% regionally compared to 14% nationally.

The data was analysed to identify the sentence lengths of those held within the geographical region:

- 36% had a sentence length of 4 years or more (determinate sentence)
- 30% serving between 1-4 years.
- 14% had an indeterminate sentence.
- 12% of the offenders had 12 months or less to serve
- 7% of offenders were identified as recalls.

Time left to serve data shows (excluding ISPs, Recalls, unsentenced, non-criminal and young people (<18)):

- 7067 offenders in the region with an identified sentence end date
- 44% of these offenders had <6 months left to serve
- 20% had between 6 months and 1 year remaining on their sentence
- 19% had between 1 and 2 years left to serve
- 14% had between 2 and 5 years left of their sentence
- 3% had 5 or more years of time remaining to serve

The risk of violent reoffending assessment (OVP) data was analysed for the 3213 offenders identified as having violence as their main offence, including criminal damage and public order offences only (excluding ISPs, Recalls, unsentenced, non-criminal and young people (<18)).

- 26% were identified with a low risk of violent re-offending (OVP 0-29) and
- 37% scored a medium risk of violent reoffending (OVP 30-59);
- 15% were high risk of violent re-offending (OVP 60-79)
- 3% at very high risk of violent re-offending (OVP 80-99).
- 19% of the offenders with a violent offence had no valid OASys assessment.

OFFICIAL

There is also some national data analysis on the level of Domestic Violence offending within the violent offenders group. In Prisons, nationally, 16% of violent offenders are a current Domestic Violent perpetrator. 27% are perpetrators at some other time for Domestic violence, leaving 57% whom are not Domestic Violent perpetrators. On this basis up to 1382 offenders in the North West region may be a Domestic Violence perpetrator currently or at some other time. It is important to note that there may be additional offenders whom are or have been a domestic violence which is not part of their index offence.

When reviewing how much time these Violent offenders had left to serve, 9% (173) had a medium or higher risk of violent reoffending with 2 or more years left to serve on their sentence.

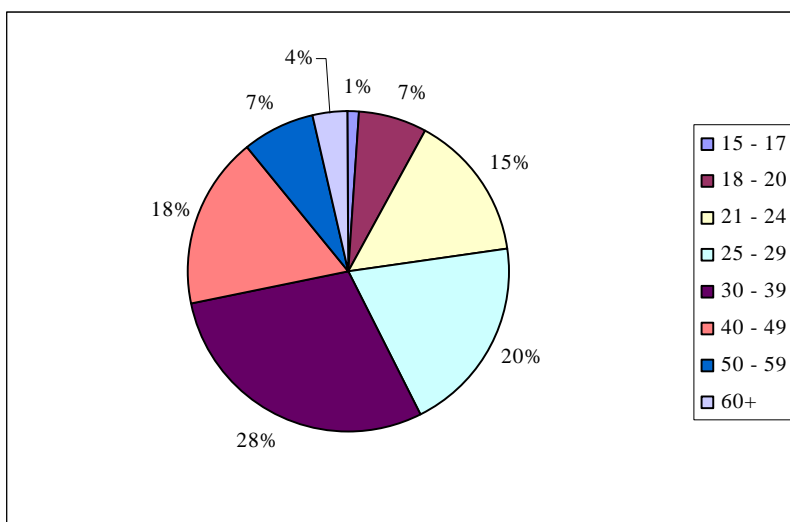
The OSP score is an OASys sexual offence risk tool and segmentation data provides an overview of those offenders identified with having a sexual index offence. 1012 offenders were reviewed for their risk of re-offending (with a current sexual offence including those with a sexual motivation /element which are not statutory sexual offences only and excludes unsentenced, non-criminal and young people (<18)):

- 27% of offenders with a sexual offence had low risk of sexual reoffending (OSP score 0-11)
- 29% of these offenders were identified as medium risk of sexual re-offending (OSP score 12-14),
- 30% were high risk of sexual reoffending (OSP score 15-17).
- 13% had a very high risk of sexual reoffending (OSP score of 18-32).

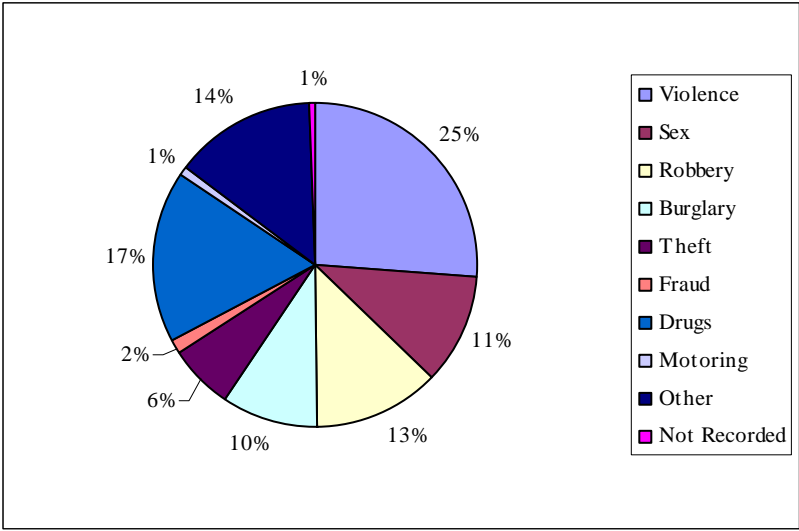
22% (166) of the sexual offenders within the North West geographical region had an OSP of medium or higher and had 2 or more years left to serve.

This Regional profile provides an overview of the population segments within the region. The response to 4.1 Commissioning Intentions, 4.2 Development Objectives and Section 5 Accredited Programme Provision details how the North West region will address the needs of the offender groups in more detail. Specifically the region will use segmentation data to inform strategies for each segment of offenders which will be developed in 14-15. The strategies will be developed and driven at a regional level and will involve the DDC office and Governors from the region, Commissioners, Regional Psychology and the Population Reconfiguration lead.

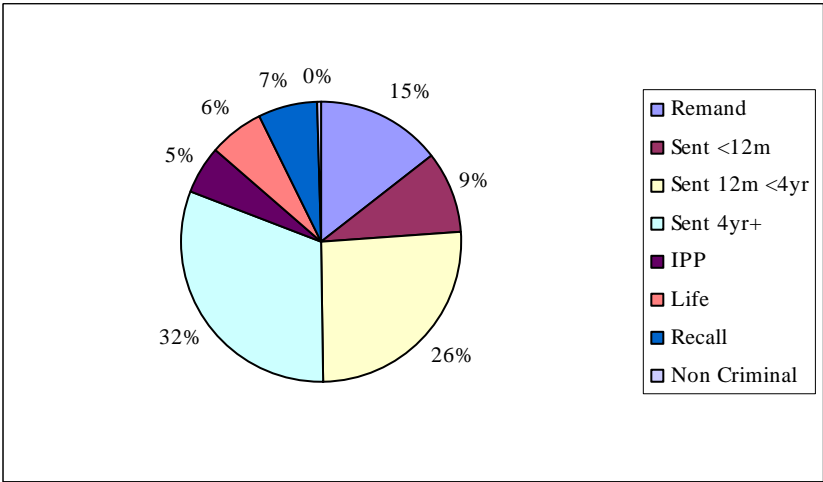
Age Profile



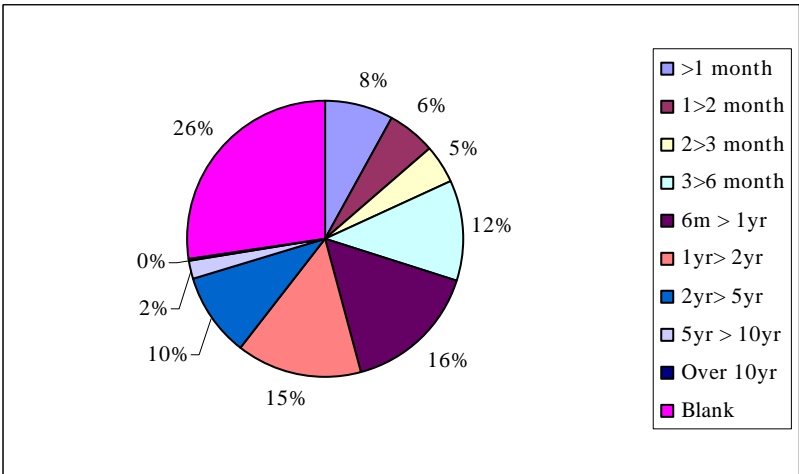
Offence Analysis



Sentence Status

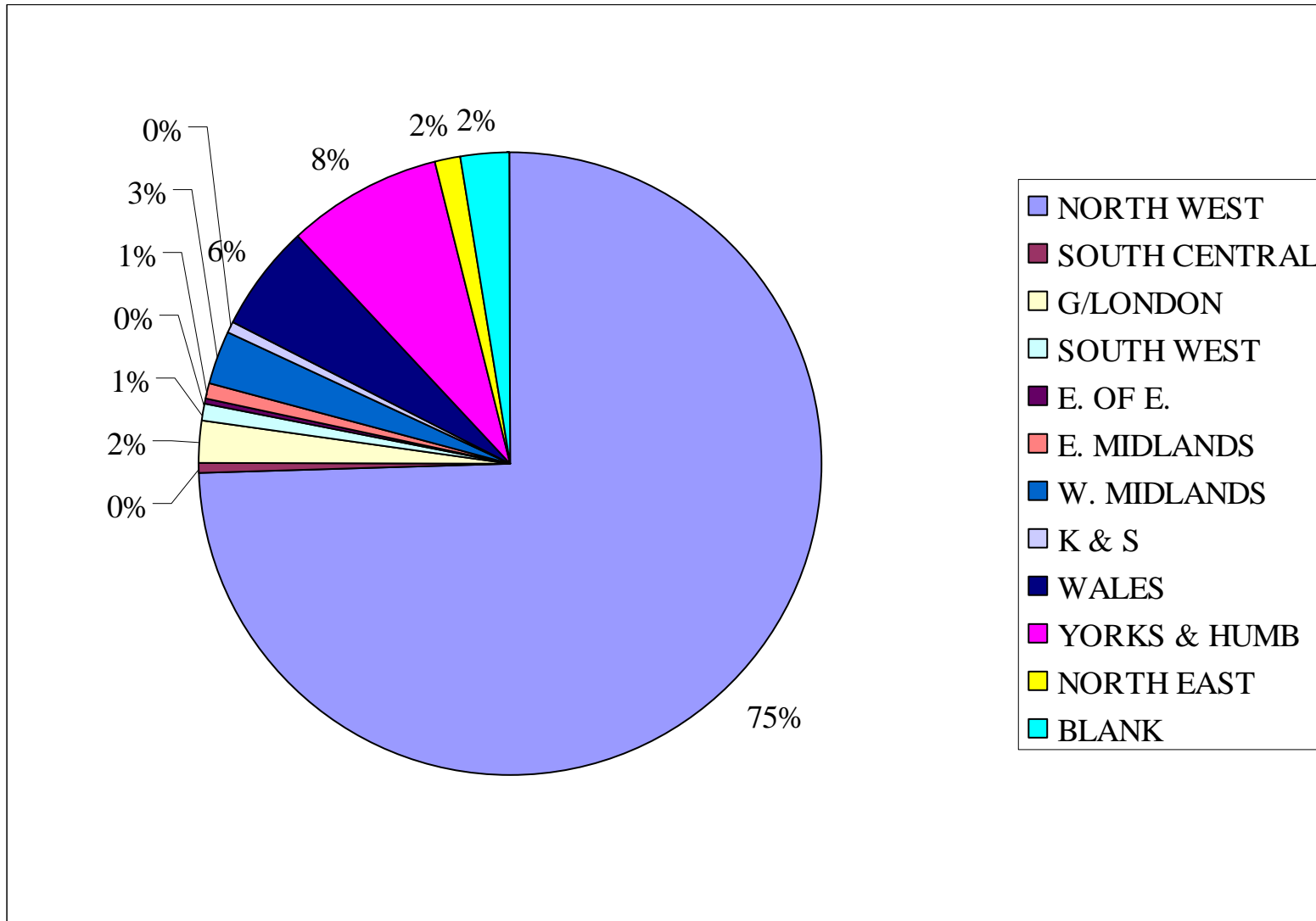


Determinate Time to Serve



OFFICIAL

Offender Regions of Origin



OFFICIAL

3.4 Custodial Provision in the Region:

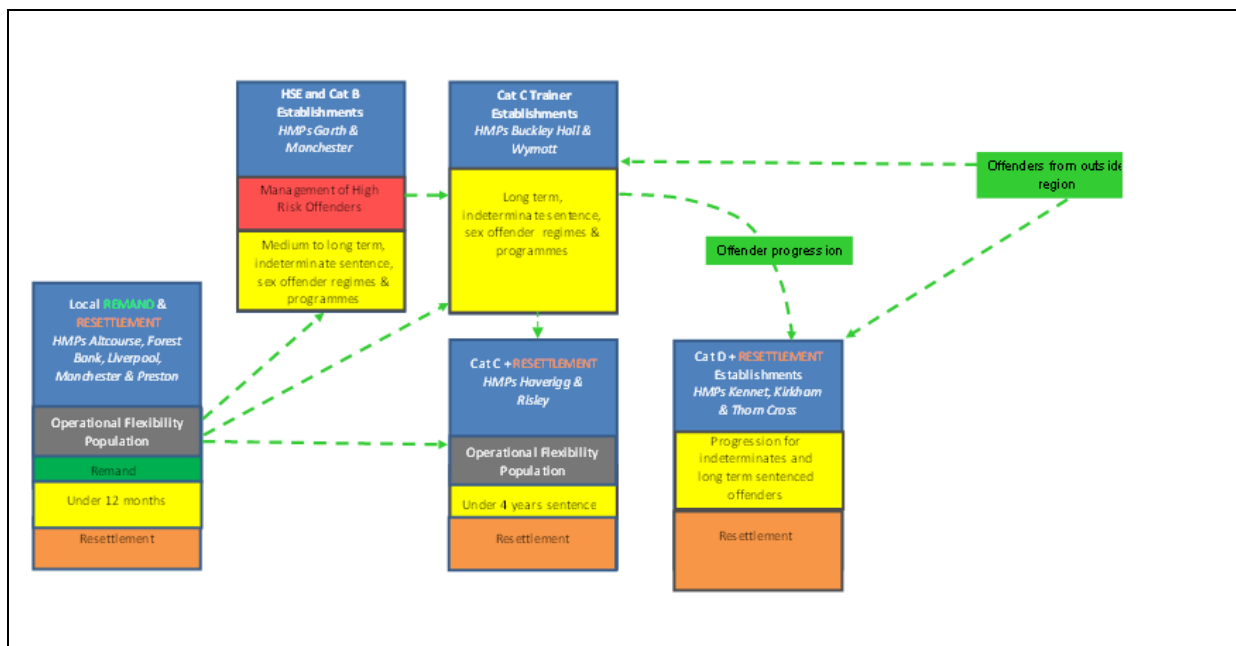
<u>Name</u>	<u>Security Cat</u>	<u>Population: Male/Female/ YO/Juvenile</u>	<u>Size (Op cap)</u>	<u>Specialist/National Function</u>	<u>PSP Annex to SLA (yes/no)</u>
Altcourse	B	Male/YO	1204	No	No
Buckley Hall	C	Male	445	No	Yes
Forest Bank	B	Male/YO	1364	No	No
Garth	B	Male	846	PD Treatment Unit	Yes
Haverigg	C	Male	644	UKBA Spoke	Yes
Hindley YO	Closed	Male YO	192	No	Yes
Hindley Juv		Male Juvenile		No	No
Kennet	C	Male	342	No	Yes
Kirkham	D	Male	675	Lifer & IPPS	Yes
Lancaster Farms	Closed	Male YO	530	No	Yes
Liverpool	B	Male	1462	No	Yes
Manchester	A	Male	1238	Specialist Intervention Unit	N/A
Preston	B	Male	842	Regional Healthcare In-patient Facility	Yes
Risley	C	Male	1095	UKBA Hub	Yes
Styal	Closed	Female/YO	459	Mother & Baby Unit	Yes
Thorn Cross	D/Open	Male/YO	321	No	Yes
Wymott	C	Male	1128	SO Treatment Site	Yes

OFFICIAL

3.5 Resettlement Prisons:

Name	Contract Package Area (CPA) - Lot
Altcourse	CPA 6 – Cheshire & Greater Manchester
Forest Bank	CPA 6 – Cheshire & Greater Manchester
Haverigg	CPA 2 – Cumbria & Lancashire
Hindley	CPA 6 – Cheshire & Greater Manchester
Kennet	CPA 7 – Merseyside
Kirkham	CPA 2 – Cumbria & Lancashire
Lancaster Farms	CPA 2 - Cumbria & Lancashire
Liverpool	CPA 7 - Merseyside
Manchester	CPA 6 – Cheshire & Greater Manchester
Preston	CPA 2 – Cumbria & Lancashire
Risley	CPA 6 – Cheshire & Greater Manchester
Styal	CPA 6 – Cheshire & Greater Manchester
Thorn Cross	CPA 6 – Cheshire & Greater Manchester

3.5 Offender Journeys and Provision within the region, including inter-regional relationships



SECTION 4: COMMISSIONING INTENTIONS

4.1 A Regional Response to Commissioning Intentions

CI Title & No.	Response to Commissioning Intention	Where appropriate, name which establishment/s annex will provide further detail
1. Enhance public protection and ensure a safe, decent environment and rehabilitative culture	<p>1 (a) The North West is currently developing the region to best fit the Resettlement agenda and the Through the Gate model. We will have 5 locals in the region including Liverpool and Preston who will provide the resettlement for offenders serving 12 months or less serving the CPA's for Greater Manchester & Cheshire, Lancashire & Cumbria and Merseyside and 2 resettlement prison, Haverigg and Risley for offenders serving 12 months to 4 years that serve the same CPA's.</p> <p>All sites have as their clear purpose and responsibility to protect the public and reduce reoffending. The implementation of both the population reconfiguration and the TTG model will ensure that there are effective offender flows throughout the system and that progression is optimised where appropriate. This will be supported by effective risk assessment systems and ongoing needs analysis and built within a reducing re-offending strategy.</p>	All
	<p>1 (b) Establishments will seek to promote, amongst staff of all grades, a sense of personal responsibility and opportunity to interact with offenders in a way which both models appropriate social behaviour and sets positive expectations regarding offenders capacity to change and desist from offending. Staff within all prisons have a critical role in ensuring that offenders become and remain motivated to engage whilst in prison through interventions, behaviour, employment and links with family. Offenders who feel a sense of personal investment from staff are more likely to experience the environment as safer and may be more responsive to attempts to reduce reoffending. The introduction of the revised IEP arrangements within prison specifically requires both engagement by prisoners in their sentence and positive contribution to the prison community. Effective implementation of this policy will require staff of all grades to acknowledge the progress of offenders through their sentence and create the opportunity for personal support and challenge to be given to prisoners whose risk and social behaviour requires improvement.</p>	All
	<p>The further development of the every contact matters agenda within the North West also gives staff the opportunity to enhance their role and purpose at work during a time of ongoing change and challenge. All governors will seek to proactively communicate the message of what matters to staff in their daily engagement, through the development of their strategic objectives and listen to improve exercises. Ongoing monitoring of MQPL and SQL scores will be used to assess the impact of this agenda.</p>	

OFFICIAL

	<p>1 (c) Violence Reduction Strategies and meetings are monitored on a regular basis by the DDC to ensure effective processes are in place to promote safety for all offenders. Any issues are raised on bilats with the Governors.</p> <p>All offenders regardless of their risk of reconviction are likely to benefit from positive relationships with staff.</p> <p>The North West Regional Safer Custody meeting is an effective forum for promoting a learning culture, identifying good practice in terms of safety in prisons and creates opportunities for shared learning.</p> <p>The North West Region will regularly review the prison MQPL & HMIP reports in order to capture the feelings of perceived safety by prisoners. This will enable the sharing of good practice or the targeting of resources where appropriate to assist in establishing a rehabilitative culture.</p> <p>1(d) The North West region is committed to comply with the instructions set out in the National Security Framework and the Public Protection Manual and provide assurance that individual establishments' Local Security and Public Protection Strategies will be kept up to date in line with current policy.</p> <p>1 (e) The North West region is committed to comply with the instructions set out in the National Security Framework and the Public Protection Manual and provide assurance that individual establishments' Local Security and Public Protection Strategies will be kept up to date in line with current policy.</p> <p>1 (f) The North West region is committed to comply with the instructions set out in the National Security Framework and the Public Protection Manual and provide assurance that individual establishments' Local Security and Public Protection Strategies will be kept up to date in line with current policy.</p> <p>1 (g) The North West region is committed to comply with the instructions set out in the National Security Framework and the Public Protection Manual and provide assurance that individual establishments' Local Security and Public Protection Strategies will be kept up to date in line with current policy.</p>	<p>All</p> <p>All</p> <p>All</p> <p>All</p> <p>All</p>
2. Strengthen integration of service delivery	2 (a) See Development Objective in response to CI 2a	

OFFICIAL[illegible]

OFFICIAL

	<p>further bid for Kings Fund at Wymott. We have accessible accommodation with shower facilities. There is a call off contract in place with Allied for social care needs. We have a good working relationship with Local Authorities who although they do not have any statutory obligations to assist us they do provide what they can. On the publication of the Care Bill currently being developed an action plan will be constructed in consultation with them.</p> <p>2 (e) See Development Objective for CI 2 e</p> <p>2 (f) The North West will continue to support the delivery of the NHS/NOMS offender personality disorder strategy and the Government's intentions described in the Offender Personality Disorder consultation response published by the Department of Health on 21st October 2011.</p> <p>2 (g) OLASS 4 partnership arrangements are well embedded with clear governance procedures. Our Regional lead reviews resources, performance and need on a quarterly basis and our relationship with the commissioner is tangible and active within this forum. Curriculum reviews are regular and ongoing to ensure that needs are met with a changing population but also with changing employment opportunities upon release.</p> <p>We will set minimum standards for learning and skills within specific work areas within each prison to ensure that functional skills are given the local importance required to reduce risk. Access to mainstream learning is already an important factor within the open prison within region but something that we can build upon more successfully. Utilising our space and buildings better within open prisons and offering more shared community/prison provision will improve the offer to offenders in the later stages of their sentence.</p> <p>2 (h) We will also allow for good quality 'preparation for work' courses via the curriculum provision in each site and continue working with the National Careers Advisors to ensure the best possible outcomes and ensuring their service is enabled.</p> <p>North West Region is committed to working with the Shannon Trust to establish a National Reading Network in every prison. Each prison will nominated an SMT lead and will provide a weekly staffing commitment for delivery. After completing the training, peer mentors will be able to offer reading support to all prisoners with the aim of providing a supportive and safe learning environment.</p>	<p>Haverigg, Kirkham, Preston, Manchester, Risley, Styal, Thorn Cross</p> <p>All prisons where necessary</p>
3. Deliver an efficient, quality service	<p>3 (a) Nationally all public prisons have been reviewed under the "benchmarking process". This programme has analysed best performance in both staffing levels and regime delivery before applying this generically across each part of the estate. All prisons in the North West are due to have implemented report recommendations from site visits by April 2015 to ensure efficiencies are driven through and an effective regime is embedded.</p>	All

OFFICIAL

	<p>The North West Region is committed to focussing resources on the delivery of evidence – informed interventions and services.</p> <p>More specifically, the region will deliver a number of accredited interventions, in order to target instrumental violence, alcohol related violence, domestic abuse, emotional management, general offending behaviour and resettlement needs. The service delivery requirements for accredited interventions have been based on a regional needs analysis (see Commissioning Intentions 4 response). The North West Region will work closely with BDG to implement the optimum delivery model for all accredited interventions delivered.</p> <p>The North West region will ensure that non accredited interventions are grounded in a credible theoretical model of change, using a high quality methodology. Investment in non accredited interventions will be regularly reviewed.</p> <p>Staff involved in the delivery of interventions and specialist services are competent to deliver the specific work strand and this has been achieved through specific programme training or professional qualification. Ongoing support is provided through on-site individual and group supervision.</p> <p>Education - OLASS4 provider will agree with each North West prison how the curriculum will sequence and compliment existing provision, providing continuity of ETE services both within the prison and on release. The curriculum will be determined by the individual needs of offenders and those of the labour market where they will be resettled.</p> <p>Identification of basic skills needs and addressing those needs, for those who require support, must be a priority of OLASS4 at an early stage of an individual's sentence, so that prisoners can fully engage with a prison's rehabilitative regime and the increased focus on vocational skills development set out in <i>Making Prisons Work</i>.</p> <p>The intense period of preparation for work prior to release (within sight of release- less than 12 months left to serve) will also support opportunities for prisoners to learn vocational skills and practice business skills, making self employment a further option for those for whom it is viable.</p> <p>The OLASS4 provider must provide skills training, in support of prison work that is available where that work represents real employment opportunities on release, strengthen employer links, and ensure strong links with the DWP's Work Programme.</p> <p>Access to realistic, relevant and up-to-date careers advice will help offenders make informed</p>	
--	---	--

OFFICIAL

	<p>choices about their future options on release. North West prisons will work closely with the National Careers Service (NCS) in custody to ensure that linkages to mainstream careers services and learning opportunities are available, both pre-imprisonment and post release.</p> <p>3 (b) The North West region has a number of robust quality assurance processes in place across a range of work streams.</p> <p>As the region moves through the new initiatives resulting from benchmarking, the need for robust and transparent governance has been identified. A regional MTT board meets monthly to ensure progress on all sites is timely and to a high standard. Working closely with regional workforce planning and finance meetings, strong governance of staffing and financial efficiencies is achieved, As the state reconfigures this places the region well to redeploy resources geographically as and when required. The regional MTT lead carries out a pre and post implementation visits using the checklist to assess progress before and after implementation.</p> <p>For accredited interventions there are Compliance (capturing the operational elements) and Clinical audits, as well as on site treatment management oversight to ensure clinical integrity. Data regarding the performance of accredited programme delivery sites is collated on a monthly basis in order to mitigate against risks associated with non delivery. For non accredited interventions, the National Interventions Directory (NID) is collated at establishment level. A quarterly/annual review of the NID is undertaken to establish accuracy & consistency with the regional SLA and establishment annexes. A PSO 4350 panel is in place to regionally approve and quality assure non accredited interventions.</p> <p>Quality assurance of learning and skills for offenders in custody is continually developed in line with the Common Inspection Framework and the Framework for Excellence. Quality assurance arrangements are the responsibility of the prison as inspected and reported on by Her Majesty's Inspectorate of Prisons (HMIP)/Ofsted. The annual learning and skills self-assessment report (SAR) for the prison is the responsibility of the Governor's designated representative. The SAR is in line with the principles set out in the Common Inspection Framework.</p> <p>The OLASS4 Governance framework and the Cluster partnership Boards represent the commissioning arrangements of the OLASS4 contract with partner SFA.</p> <p>Lessons learnt from existing commissioning arrangements will be developed as a model of good practice for future TTG models and arrangements.</p>	
4. Ensure delivery is matched to population,	4 (a) The North West will utilise a range of services to address the needs of its prisoners through OBP's, non accredited interventions as recorded on the NID along with psychological	

OFFICIAL

purpose and NOMS outcomes	<p>interventions as supplied by the North West Psychology Team. Currently the segmentation data and local data are used to assess the need across the region. However this will require reviewing once the impact of the Pilot for the TTG reconfiguration has taken place, this is expected to be concluded in October 2014. A regional strategy will be developed to ensure the most appropriate programmes are placed in the correct establishments.</p> <p>In line with recommendations made by the National Sex Offender Strategy Board, HMP Garth and HMP Wymott will become Sex Offender Treatment Sites, with HMP Risley acting as a Sex Offender support site.</p>	
5. Ensure that delivery of services is responsive to individual needs and characteristics to maximise outcomes	<p>5 (a) The North West Region is committed to ensuring that an individual offenders needs and characteristics are identified through partnership working. Services to assist with these needs will be delivered based on risk, need and factors such as release dates etc. Assessment will be made through risk assessments, sentence planning process and interaction between Offender Supervisors and prisoners. Support for a wide range of prisoners with specific characteristics such as age, disability, ethnicity, sexual orientation, veterans are available. Partnership working with the providers of both Health and Education will address learning difficulties and health and mental health needs</p> <p>5 (b) We recognise that many offenders will require access to specific services before part or all of their risk factors can be effectively tackled. The generic needs analysis at each prison will ensure that the sequence of services is used to support the services to maximise the outcomes.</p> <p>Protected Characteristics has historically been more difficult to capture and data has been sporadic depending on the openness of the offender, however we do know that the use of peer support is particularly effective when declaration of such information is given. Alongside our staff, some prisons use peer mentors to allow them to gain a fuller understanding of Protected Characteristics and how this information can be particularly sensitive to each individual.</p> <p>The information gathered can then ensure a 'tailoring' of services via sequencing, resulting in the most effective intervention type and style being delivered to each offender.</p> <p>Within accredited programmes, responsivity interviews are utilised, in order to enable the treatment manager to focus on ways to make inclusion possible. Areas considered include; intellectual ability, language, literacy, dyslexia, mental and physical health, psychopathic traits and disability. Within the higher intensity programmes, an assessment of cognitive functioning is completed where there are concerns that the offender's level of intellectual functioning may prevent meaningful engagement with the material or may cause difficulty coping in the group setting. More specifically, one of the strengths of the Self Change Programme is that it allows offenders to progress through the programme at a rate that matches their individual progress and learning speed.</p>	Garth

OFFICIAL

	We will work with partners to recognise any additional needs of the population and with them plan the provision accordingly, maximising any external funding opportunities to support the additional need.	
6. Deliver priority national or specialist services	<p>6 (a) NOMS approach to the identification, assessment and management of extremist offenders will be supported by the DDC through monitoring and managing the performance of individual establishments in this area.</p> <p>6 (b) The North West prisons have a multi agency approach to RJ. Graham Beck Governor of HMP Kirkham is the Regional Lead. Key Partners include Lancashire, Merseyside, Cheshire and Cumbria Probation Trusts, Police and Crime Commissioners and Police Forces. All prisons offer a supportive environment for Restorative Justice and the majority will strive to deliver conferencing where NOMS grant funded training has taken place.</p> <p>6c) The North West DDC will ensure that all prisons holding remand prisoners will have a local bail/BASS strategy in place. The North West DDC will ensure that all prisons releasing prisoners on HDC will have a local HDC/BASS strategy in place.</p> <p>6 (d) As part of the implementation of New Ways of Working all Phase 1 and 2 sites will deliver their revised core day as imposed by BDG, which supports the development of a 'working week' for prisoners. In addition all sites will seek to optimise the use of existing workshop capacity and explore potential for cost neutral expansion where appropriate.</p> <p>Prisons will work constructively with ONE3ONE solutions. A Regional Model, if developed will also seek to engage with local companies to increase the amount of commercial work available. All work sourced will be subject to the terms of the Code of Practice and will be appropriately priced to ensure compliance with State Aid requirements.</p> <p>In order to ensure regime 'take up' prisons will monitor closely both activity services and workshop efficiency rates and will seek to improve year on year the number of offenders working and hours worked until at optimal capacity.</p> <p>6 (e) The use of video link has a number of mutual benefits for prisons, courts and other CJS Partners including improved security through reduced escorts, more efficient court sittings and Justice hearing, reduced escort costs and improved offender welfare.</p> <p>The ministerial strategy and action plan of 2013 promotes the wider use of video conferencing to support offender engagement with CJS and where possible community partners. Increased access will be required to support the implementation of TTG and should be used more widely</p>	<p style="text-align: center;">All Prisons</p> <p style="text-align: center;">Liverpool & Preston</p> <p style="text-align: center;">All Prisons</p>

OFFICIAL

	<p>in the OM process.</p> <p>All North West prisons will promote and facilitate the use of video link technology in order to provide a more optimum service to CJS partners and will at a local level seek to develop more flexible approaches to explore how other partners may benefit from video link and conferencing facilities. All sites with facilities will have a Single Point of contact to promote their use, and ensure the provision of internal resources and address issues of double booking.</p>	All prisons
--	--	-------------

OFFICIAL

4.2 Regional Development Objectives

CI Title & No.	Development Objectives What do you want to achieve? What will be the measurable outcome How will you achieve this and by when?	
Enhance Public Protection and ensure a safe, decent environment and rehabilitative culture (1a)	The North West will pilot the reconfiguration of the North West Prison Population to meet the needs of the TTG Resettlement agenda and the SMS. We will ensure that the sentenced prisoners due for discharge within 5 months are located in the correct prison to meet their correct discharge CPA. By 1.10.14 being fully operational by 31.3.15	
Strengthen integration of service delivery between directly funded, co-commissioned providers and wider partners (2a)	<p>Partners and other providers have a positive impact on prisons beyond delivery of a service - integration of delivery by all providers is therefore vital in ensuring that we maximise investment and maximise outcomes for offenders. Recognising that the range and volume of partners with which we work is expanding, the DDC will ensure that by September 2014 prisons in this region review how they work with existing and new partners and providers (including by anticipating any changes as a result of Through the Gate) and create plans which describe how they will deliver:</p> <p>A clear strategic vision for how services align to maximise outcomes and create an integrated, seamless offender management service (including a shared understanding of outcomes and priorities)</p> <p>A clear agreed plan of how services sequence and compliment each other, providing continuity of services to offenders both within and across prisons (facilitating the needs of all providers and contractual partners to allow them to effectively deliver)</p> <p>Leadership which actively enables and integrates services, where partnership working arrangements improve performance and aid resolution of issues</p> <p>An understanding of resource allocation, and how delivery and choices impact on the investment and activity of others</p> <p>An agreement on how to safely use and share data and information</p> <p>Progress towards implementation of plans will be monitored at a local level during establishment visits and at a regional level at regional meetings to ensure strategic oversight and effectiveness is maintained.</p>	
Strengthen integration of service delivery between directly funded, co-commissioned providers and wider partners (2e)	The North West will ensure that establishments are engaging with Local Authorities and other partners to improve support for offenders and their families, to assist with providing interventions and services to enhance their relationships. Prisons must evidence what engagement has taken place with local partners and report through Service Level Agreement meetings with DDC by 30 September 2014.	All
Strengthen integration of service delivery between directly funded, co-commissioned providers and	To ensure improved access to services for offenders with personality disorders the North West DDC will support the implementation of a Psychologically Informed Planned Environment (PIPE) in HMP Wymott and the development of an Enabling Environment at	Wymott, Styal

OFFICIAL

wider partners (2f)	HMP Styal. Establishments will work collaboratively with the NOMS/NHS Offender PD Strategy Team and NHS colleagues to develop the services for implementation by March, 2015.	
4. Ensure delivery is matched to population, purpose and NOMS outcomes	A Regional Strategy for the provision of all programmes is to be developed to ensure the programmes are placed in the establishments where the need is greatest and also to ensure resilience when faced with staffing difficulties. This is expected to be in place for 15/16 and the plan should be developed and presented to DDC by 30 September 2014.	Regional
4. Ensure delivery is matched to population, purpose and NOMS outcomes	HMP Garth will be in a position to start Sex Offender Treatment Programmes with a new 194 bed unit for Sex Offenders. Although the unit will start to receive prisoners in 13/14, the unit is expected to be fully operation with programmes and activity places by 31.5.14.	Garth
4. Ensure delivery is matched to population, purpose and NOMS outcomes	It is expected that the announcement in connection with HMP Kennet taking sex offenders will be made prior to the end of 13/14. If approved a project team will be formed by 1.4.14 to develop a project plan for the introduction of sex offenders including regime, activity places and the development of ROTL placements. Kennet will ensure that Public Protection systems are robust and sustainable to ensure risk is minimised for sex offenders in a partial open prison. By 1.10.14	Kennet
Deliver priority national or specialist services (6c)	To ensure the efficient use of prison places through development and implementation of local bail strategies and use of HDC, the North West DDC will monitor BASS Referral and Placement rates and trends to ensure these are in the expected range for the respective prison remand populations and/or HDC throughputs. The Hub data will be examined and discussed with Governors quarterly and improvement objectives will be considered where BASS year on year regional Placements fall substantially (>20 % points) below the national average change.	All prisons

SECTION 5: ACCREDITED PROGRAMME PROVISION

A summary of the Accredited Programmes provided in the Region

Accredited Programmes Provided within the Region							
Name of accredited programme	PSP		PMP		REGIONAL TOTAL		Total National Volume (Completions)
	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	
Programme Type: General							
Thinking Skills Programme (TSP)	458	411	60	54	518	420	3534
Focus on Resettlement (FOR)	60	54	0	0	60	54	444
Belief In Change	48	40	0	0	48	40	40
Kainos/Challenge to Change/ Living Skills Plus	72	60	0	0	72	60	180
Total	638	565	60	54	698	619	
Programme Type: Violent							
Healthy Relationships Programme -High Intensity (HRP-HI)	16	14	0	0	16	14	137
Healthy Relationships Programme - Moderate Intensity (HRP-MI)	24	21	0	0	24	21	92
RESOLVE	130	117	0	0	130	117	1472
Self Change Programme	18	16	0	0	18	16	174

OFFICIAL

Total	188	168	0	0	188	168	
Programme Type: Sex Offender Treatment Programme (nationally commissioned)							
Core Sex Offender Treatment Programme (C-SOTP)	72	67	0	0	72	67	613
Adapted Sex Offender Treatment Programme (A-SOTP) (Becoming New Me) (BNM)	8	7	0	0	8	7	92
Extended Sex Offender Treatment Programme (E-SOTP)	9	8	0	0	9	8	125
Healthy Sexual Functioning (HSP) Programme	10	10	0	0	10	10	43
Total	99	92	0	0	99	92	
Grand Total	925	825	60	54	985	879	

SECTION 6: NOTICE OF CHANGE PROCESS

This section describes the process by which material changes to this SLA are agreed by HMPS and the Commissioner.

6.1 Discretionary Changes

- 6.1.1 Either Party may propose a discretionary change.
- 6.1.2 In the first instance, the Party proposing the discretionary change will discuss the proposal with the other Party.
- 6.1.3 If they wish to proceed, the Party proposing the discretionary change will then prepare a Notice of Change (NoC) accompanied, where appropriate, by a business case (a NoC template and business case template/checklist are provided at Annex A) for the consideration by the Parties and any relevant internal and external stakeholders .
- 6.1.4 In considering the proposed NoC, the Commissioner and/or HMPS and any relevant internal and external stakeholders may request further details or clarification to enable them to consider the proposed change.
- 6.1.5 The Party receiving the proposed NoC will respond to the Party proposing the change in an appropriate and timely way.
- 6.1.6 Having considered the responses the Commissioner will decide to:
 - Amend the SLA to include the proposed change, or;
 - Modify the proposed NoC, or;
 - Let the proposal lapse and take no further action.
- 6.1.7 The Commissioner will inform HMPS and any relevant internal and external stakeholders of the decision taken.
- 6.1.8 Where, after consultation, HMPS believes that a change will have a detrimental effect upon its delivery of the SLA and/or will result in additional costs above and beyond those provided for by NOMS; it may use the issue resolution process set out in Section 10. In this case, HMPS must start the issue resolution process within 10 working days of being notified of the Commissioner's decision to approve a change.

6.2 Mandatory Changes

- 6.2.1 Where the Commissioner considers a change to be mandatory it will notify HMPS, clearly stating that the change is a mandatory change.
- 6.2.2 Any changes which the Commissioner states are mandatory changes must be implemented by HMPS. Mandatory changes do not require agreement by HMPS and must be implemented by HMPS immediately on notification or by the date specified.
- 6.2.3 Where the mandatory change is considered by the Commissioner to have

OFFICIAL

a material impact on the Service Requirements or the Annual Operating Price, the Notice of Change process will be used.

- 6.2.4 Where HMPS believes that a mandatory change will have a detrimental effect upon itself, its delivery of the SLA and/or will result in additional costs above and beyond the Annual Operating Price, it may use the issues resolution process as set out in Section 10. In this case, HMPS must start the issue resolution process within 10 days of being notified of a mandatory change.
- 6.2.5 Whilst the issues resolution process is taking place, HMPS will still be required to comply with the requirements of the Mandatory Change.

6.3 Documenting changes

- 6.3.1 Both Parties will maintain a register of all NoCs issued, together with their outcomes and a summary of all changes agreed to the Service Requirements and/or the Annual Operating Price for audit trail purposes.
- 6.3.2 Where required, the Commissioner will be responsible for issuing updated and/or amended SLA documentation (in some cases it may suffice to append a signed copy of an agreed NoC to this SLA).

SECTION 7: RESPONSIBILITIES, TERMS & CONDITIONS

7.1 Responsibilities

- 7.1.1 HMPS agrees to provide the Services in accordance with the terms of this SLA.
- 7.1.2 In delivering the requirements of this SLA, HMPS shall comply with all relevant legislation, statutory and regulatory requirements (and any subsequent amendments, additions or deletions to such), and all mandatory content in applicable Prison Service Instructions
- 7.1.3 In delivering the requirements of this SLA, HMPS agrees to co-operate fully with NOMS to exchange experiences and good practices.
- 7.1.4 If, at any time after the commencement of this SLA, HMPS believes that it will not be able to meet the Service Requirements for whatever reason, it shall notify the Commissioner as soon as possible, providing details of the issue. Any material changes required as a result of the issue will be managed in accordance with the Notice of Change process set out at Section 6.

7.2 Delivery partners

- 7.2.1 HMPS shall work with the local community and with the voluntary and community sector, social enterprises, faith groups, private and statutory organisations and agencies and, in Wales, the Welsh Assembly Government, as well as national statutory partners to achieve the

OFFICIAL

requirements of this SLA and to further both NOMS objectives and the objectives of partners.

- 7.2.2 HMPS may sub-contract another organisation to deliver the Services as specified in the Establishment Local Annex. Restricted probation services and restricted services to the courts cannot, under legislation, be sub-contracted to non-public sector organisations. HMPS will remain accountable for the delivery of any sub-contracted Services and must notify the Commissioner of any delivery partners, under sub-contracting or other arrangements.
- 7.2.3 HMPS shall work to meet any requirements and obligations agreed and supported by the Commissioner under joint working arrangements with NOMS partners and providers of probation services (other than the Secretary of State.) This includes the sharing of information.
- 7.2.4 The Establishment will support the delivery of projects funded by the European Social Fund.

7.3 Service Definition

- 7.3.1 HMPS will deliver the outcomes and outputs in the applicable Service Specifications listed in the Establishment Local Annex. HMPS will deliver these services in accordance with the NOMS Statement of Vision and Values and subject to the Annual Operating Price.
- 7.3.2 As Service Specifications are introduced or updated, they will be introduced into the SLA through the Notice of Change process, except where the change introduced by the Service Specification(s) is not material.
- 7.3.3 HMPS will meet the SLA Delivery Requirement Levels set following negotiations with the Commissioner and documented on the NOMS Performance Hub.
- 7.3.4 Where there is a need to make material changes to the Service Requirements, HMPS and Commissioner will follow the Notice of Change process set out in Section Six. Such changes will reflect NOMS requirements and priorities, as well as any agreed recommendations arising from audit and inspection reports.

7.4 Audit, Assurance and Risk Management

- 7.4.1 The Establishment shall fully co-operate with any audits or reviews initiated by the Commissioner and provide evidence that any review findings are being addressed.
- 7.4.2 The Commissioner will, where possible, provide HMPS and the Establishment with reasonable notice of any audit or inspection it intends to initiate, but reserves the right to arrange for an audit or inspection to be conducted on any area at any time without prior notice.

OFFICIAL

7.4.3 Where any investigation is undertaken by a person or body empowered to conduct such investigation and/or proceedings, HMPS shall:

- Provide any information requested in the timescale allotted;
- Attend and permit members of the Establishment's staff to attend any meetings as required;
- Allow itself and any member of the Establishment's staff to appear as witnesses in any ensuing proceedings;
- Co-operate fully and promptly in every way required by the person or body conducting such investigation during the course of that investigation and/or proceedings; and
- Ensure that its sub-contractors (including sub-contractors of any tier) fulfil the above responsibilities.

SECTION 8: MANAGING THE SLA

8.1 SLA Review Process

8.1.1 The SLA Review Process will be a proportionate review of delivery against this SLA and will be conducted in a manner and at a frequency determined by the Commissioner, largely relying on HMPS's internal assurance information and processes. Findings from the SLA Review Process will be made available to HMPS and may be shared with any relevant internal or external stakeholders.

8.1.2 Any formal meeting between the Commissioner and HMPS convened as part of the SLA Review Process shall be scheduled in advance wherever possible and both Parties will have the opportunity to involve others if necessary to ensure that issues can be addressed.

8.1.3 In addition to the aforementioned SLA Review Process, the Commissioner and HMPS shall agree, as necessary, meetings and visits to any site where Services are provided. This schedule may be reviewed and revised to reflect changes in HMPS's delivery against the SLA.

8.1.4 The Commissioner shall have access at all reasonable times to information pertaining to SLA delivery. In addition, HMPS shall support reasonable requests from the Commissioner for information about the Services as required from time to time, and shall despatch promptly to the Commissioner all other relevant information, including, but not limited to, first drafts of the following reports:

- Performance reports, including audit reports
- Her Majesty's Inspectorate of Prisons reports
- Prison and Probation Ombudsman reports
- Reports by the Office of the Surveillance Commissioner
- Reports by the Interception of Communications Commissioner's Office
- Any other reports into serious operational failures

8.1.5 HMPS will provide service cost information through the INview costing

OFFICIAL

system (supported by MyDetail and Phoenix).

8.2 SLA Delivery Issues and Failures

- 8.2.1 In the first instance, the Commissioner and HMPS will seek to resolve any issues that may arise through bipartite discussion at the lowest appropriate level.
- 8.2.2 If an issue cannot be resolved at the lowest appropriate level between Commissioner and HMPS it shall be escalated to line managers. If the issue is not resolved by escalation then it shall be managed in accordance with the Issues Resolution process detailed in Section Ten of this SLA.
- 8.2.3 Where the Commissioner is not satisfied with the actions taken by HMPS in response to identified delivery issues and/or failures, or it considers the issues and/or failures to be of a serious nature, it may use the Issues Resolution Process detailed in Section 10.
- 8.2.4 Without prejudice to any improvement action that may be under way under this agreement, NOMS reserves the right to take more immediate performance improvement action where serious deficiencies are identified or there is a repetition of the same issues.
- 8.2.5 Sustained failure to deliver could ultimately result in the Commissioner ceasing to commission the services at the Establishment from HMPS.
- 8.2.6 NOMS may take into consideration the performance of the Establishment from periods prior to the term of this SLA.

SECTION 9: FINANCIAL PROTOCOL

9.1 Financial Framework

- 9.1.1 HMPS shall meet the requirements of the delegated financial authority issued to the Governor on behalf of the NOMS CEO and comply with the requirements of HM Treasury's "Managing Public Money" document and NOMS financial controls and frameworks.

9.2 Principles of the Annual Operating Price and Funding Arrangements

- 9.2.1 The Annual Operating Price for this agreement will be the sum of the annual operating prices outlined in each local establishment annex for this region. Where the Annual Operating Price is subject to change which does not affect the delivery of the Service Requirements in this SLA, no Notice of Change is necessary.
- 9.2.2 The Establishment will receive funding for the financial year from NOMS, subject to the delegated financial authority issued to the Governing Governor on behalf of the NOMS Chief Executive.

SECTION 10: ISSUES RESOLUTION

10.1 Issues Resolution Process

- 10.1.1 The Parties shall seek to work together to resolve any issues (including any failure to agree a matter) that may arise under this SLA at the lowest appropriate level in a timely way, having regard for the objectives of NOMS. If an issue cannot be resolved at this level it shall be escalated to line managers.
- 10.1.2 If the Parties are unable to resolve an issue through line managers, either Party may invoke this process by notifying the other in writing and notifying the Secretary to the NOMS Commissioning and Commercial Sub-Committee
- 10.1.3 The Issue Resolution Process must be carried out in a timely manner, starting with an Issue Report, prepared by the Party which invoked the process, setting out:
- Name of the originator;
 - Date the issue was first raised;
 - Description of the issue (including any relevant evidence and history of similar problems);
 - The implications of the issue, its severity and the degree of urgency;
 - An estimate of the current and potential cost of the issue; and
 - Work being undertaken to resolve the issue.
- 10.1.4 Within 10 working days of invoking the process, the Party which invoked the process will share the Issue Report with the other Party, who may add any additional comments to it before it is submitted to the NOMS Commissioning and Commercial Sub-Committee.
- 10.1.5 If a resolution is not achieved at the NOMS Commissioning and Commercial Sub-Committee, the matter will be referred to the NOMS Executive Management Committee for a final and binding decision.
- 10.1.6 For the avoidance of doubt, the rights and responsibilities of the Parties shall not cease due to any issue.

OFFICIAL

Annex A: Notice of Change and Business Case templates

NOTICE OF CHANGE (NoC)

Issued by: [Insert: Commissioner or Provider details]

In respect of: [name of Establishment]

Date of Issue:

Ref No: [Insert: Unique reference number in a format agreed by Commissioner and the Provider]

Title & Issue [Provide a relevant title for the NoC (including details of the subject and applicable date/period), a brief headline/outline description of the change proposed and state whether or not this NoC is mandatory. Where the NoC relates to a change of SLA Delivery Requirement Level this should be made clear and this document copied to Performance and Analysis Group]			
Change Required [Please provide full details of the proposed change(s) or refer to an attached document including the date from which it will be implemented.]			
Financial Implications: VALUE: £ In-year figure (£): n/a (assuming implemented on date specified above) Full year costs (£): n/a		[Please provide full details of the financial implications or refer to an attached document.]	
Outcomes		[Please provide full details of the outcomes expected or refer to an attached document.]	
Quality Implications:		[Please provide full details of quality implications]	
Regional Implications:		[Please provide full details of any impact this proposed change would have at a regional level]	
Issued		Approved	
Date:		Date:	
Signed:		Signed:	
Name:		Name:	
Position:		Position:	

OFFICIAL

Business Case template / checklist

Issue

[Background to and purpose, including NOMS or sponsor for the change.]

Timing

[Including any lead in time, details if implementation is to be phased.]

Cost

[Any estimated cost implication.]

Scope of Work

[The issue being considered including the provision of defined deliverables and timescales (what is to be delivered by when) - include the provision of any breakdown of goods and services to be provided including how its delivery is to be managed (contingency plan).]

Benefits

[The benefits to be obtained (financial, intangible, skills transfer) and an assessment of the benefits against the cost of the project.]

Considerations

[How implementation will be handled; the risks of not proceeding; other options that have been considered; availability of funding and approval.]

Special Issues

[Any special issues for consideration.]