Probation Programme
Innovation Partner – Service Enablers

Market Engagement
2 July 2019
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• is not committed to any course of action as a result of this ME.
Aims and objectives

• We want to:
  ✓ Explain our current proposals on service enablers - workforce, ICT and estates – to support the delivery of Unpaid Work and Accredited Programmes
  ✓ Hear your views and suggestions on service enablers
  ✓ Explore together how best to ensure that the services can be effectively enabled
# Structure of this session

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<td>Outline and objectives of the day</td>
<td>Janet Phillipson</td>
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<td>Pensions</td>
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<td>Estates</td>
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<td>Structures, asset transfer and ownership</td>
<td>Janet Phillipson</td>
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<td>Lunch</td>
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<td>Digital and Technology</td>
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<td>Recap and close</td>
<td>Janet Phillipson</td>
<td>13:50-14:00 (10 minutes)</td>
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Workforce
Jacqui Gerick
10:10-10:50
Overview of the workforce
Unpaid Work

• A well-run Community Payback scheme will ensure that correct staff appointments are made and that staff are suitably trained and equipped to provide a high-quality service.

• Group Supervisors are responsible for maintaining a safe working environment where risks to staff, beneficiaries, the public and service users are managed.
Accredited Programmes

- Programme Facilitator: will manage and deliver the accredited programme to Service Users. They must be qualified in the accredited programme and have a clear understanding of the theory, rationale, structure and facilitation requirements and be able to apply motivational interviewing skills within a group environment.

- Treatment Manager: is responsible for effectively managing the integrity of the accredited programme and supporting Programme Facilitators on the successful delivery of the intervention.
Different operating models across CRCs

- **CRCs** have all introduced their own **operating models** to support their workforce to deliver probation services and have had **freedom and flexibility** to move away from how Probation Trusts were set up in the past.

- There are variations across providers with their workforce models having in house directly employed staff and the use of supply chain to deliver services. This will vary dependent on their operating models for each CRC and some are more heavily reliant on one aspect than others.

- Delivery models will be different which will also impact on how the workforce is configured and where staff are located. For example;
  - some CRCs have moved to a more **administrative hub** model where administrative and back office functions would be more centralised;
  - or a **customer service centred** approach where all calls go to the centre;
  - and other CRCs have moved to a more local approach which is more wholly integrated around the **offender journey** and working closely or directly with **local partners**.

- Workforce information by CRC will be available as part of the data room.
Training requirements
Unpaid Work training

• Prior to delivery of Unpaid Work, Supervisors are required to undertake as a minimum introductory training to include:
  • health and safety, first aid and an introduction to the core principles of Unpaid Work in Health and Safety
    • Safeguarding
    • PREVENT
    • Risk awareness
    • Dealing with challenging behaviour
    • Diversity

• More detailed sessions within 6 months.

• Providers are responsible for delivery of training to support unpaid work.

• Training should be designed to ensure that all risks are managed and that service users benefit from their experience of unpaid work.

• Continuous Professional Development – This will include refresher courses on the above core requirements but may also include wider practice issues eg. engaging with service users, support and motivate compliance, Pro-social modelling, problem solving techniques to model life skills, Domestic abuse and Substance abuse awareness, procedural justice and positive reinforcement and desistance

We want to seek your views on training
• What do you think are the core set of training standards / requirements for unpaid work?
Accredited Programmes - Entry level requirements

Module 1 - Core skills workbook

• Core skills Module 1 is comprised of a workbook containing practical and reflective exercises that allows learners to take the first steps to understand the underpinning theories, skills and knowledge that are required for successful assessment for Core Skills Module 2 training event.

• The progression made by learners is supported by the effective sequencing of pre-course work and the course content, which helps to build a tool kit of skills and knowledge for working within a challenging yet very rewarding environment.

All applicants applying for Core Skills Module 2 Training must have passed the Core Skills Assessment Centre and completed Core Skills Module 1 workbook.

Module 2 - Core Skills training face to face

• Core Skills Module 2 is a very practical training event that allows learners to apply what they have learnt from completing Module 1 and applying the theory and knowledge to practical exercises.

• The progression made by learners is supported by the effective sequencing of Core Skills Module 1 and the course content, which help to build on the tool kit of skills and knowledge for working within a challenging yet very rewarding environment.
Accredited Programmes - Facilitator training

**Thinking Skills Programme training (TSP)**

- TSP training involves learners being assessed against core competencies required to become a facilitators. These competencies are used for assessment in core skills and throughout staffs career.

- The training aims to develop learners understanding of the theoretical underpinning of TSP. It also provides an opportunity to facilitate exercises from the TSP manual using the therapeutic approach required.

- Emphasis is placed throughout the course on the importance of combining a flexible and responsive approach and maintaining a focus on the purpose and rationale of exercises and sessions within the programme.

- This is a five day course for anyone wanting to facilitate the TSP programme.

**Building Better relationship training (BBR)**

- The BBR Facilitator Training course aims to provide facilitators with a safe environment to gain the knowledge and skills required to deliver a programme addressing Intimate Partner Violence (IPV).

- The course also allows opportunity to practice implementing the skills and knowledge gained while exploring strategies to manage any barriers.

- This is a five day course for anyone wanting to facilitate the BBR programme.
Accredited Programmes - Further training

Treatment manager training

• The treatment manager training is a very comprehensive package and covers all of the key themes required to effectively manage accredited interventions.

• Treatment manager training is intended for facilitators who have been identified to treatment manage, deputy treatment manage or are responsible for supervising an Interventions Services Accredited Programmes.

• These themes include managing facilitators, defensible decision-making, DVD/Live monitoring skills and using the Self-Assessment Audit tool.

Training to deliver Accredited Programmes training

• Additional training is then available to allow staff to be qualified to run training events and train the trainer events.
Role of HMPPS Intervention Services – Accredited Programmes only

- HMPPS Intervention Services are responsible for management and delivery of training to support accredited programmes
- A National Training Directory is published every six months which outlines training course, requirements and upcoming dates
- If additional training is required then providers should discuss requirements with HMPPS Intervention Services on a one to one basis to agree
- HMPPS Intervention Services also run train the trainer events which will enable providers to deliver some of their own training and would look to mirror this arrangement with the future Innovation Partners
Ongoing professional development

• Additional training is available through the Interventions Training Directory.
• HMPPS has set up Professional Practice Forums (PPF’s) for Treatment Managers to attend. PPF’s enable staff to develop and update their knowledge on the specific programme content.
• As part of the professional recognition agenda, we are keen to promote an emphasis on the ongoing professional development of its workforce.

We would like to seek your views:
• What training, standards and professional development opportunities do you think accredited programme staff would benefit from in the future?
Probation workforce strategy
Developing the skills of the workforce

- The effectiveness of probation work depends on staff with the professional and vocational commitment to make a difference with offenders.
- It is vital that probation staff have the right skills for the roles they perform. As new recruits join the profession, and as we seek to build the capability and resilience of the workforce, equipping staff with the right skills is paramount.
- We must also ensure that probation continues to be seen as a rewarding profession that offers opportunities for professional development and long-term careers.

We want to seek your views on future ambition on developing the skills of the workforce and where we need to be joined up across the probation system.

- Where do you think we need to be joined up across the probation system, both private and public sector that requires a system wide view? How do you think we best do this?
- What do you require from the Authority to support staff development in the private sector?
- How do we best share learning and best practise across providers?
Workforce Planning

To support the wider probation workforce strategy we looking to improve the range and quality of data that we get from providers on the make-up of their workforces, including numbers of staff, their grades and training levels.

Our aim to be able to publish this information in future ie. Parliamentary questions

Initially, the Transformation Rehabilitation contracts information requirements for workforce planning were limited. Contract changes capture more information to enable the Authority to begin to understand whole system requirements:

• **Target** (Target staffing (FTE))
• **Staff** (Number of Contractor Personnel (Headcount and FTE))
• **Vacancies** (Number of Vacancies (FTE))
• **Starters** (Number of new starters (Headcount and FTE))
• **Agency** (Number of Agency (Headcount and FTE))
• **Training**

We are seeking a clear understanding of workforce to support the system whilst balancing MI requirements on providers
Training information returns – accredited programmes

• **Formalised** process for an information return process via the publication of our training directory which is shared twice a year.

• Providers will be asked to update us on their pool of Programme Manager, Treatment Managers and Facilitators.

• This will be linked in to the Quality Assurance process and subject to audit.

• Helps support national training plan for programmes.
Pay and reward

• We do not intend to enforce any new pay and reward requirements but we are wanting to understand the market dynamics we have created through TR by having a mixed market economy market with public/private players and how we ensure providers have freedom and flexibility over their workforce but does not create recruitment issues that impact on the system.

We want to seek your views on how workforce planning can be supported in future.

• Where there are current/potential recruitment issues how do you think these can be best managed where pay and reward is a primary factor

• What role do you see the Authority having in supporting you with strategic workforce planning?
Transition and staff transfer
Staff Transfer

• We intend to transfer by using a Staff Transfer Scheme drawn up under the powers contained in the Offender Management Act (2007) (‘OMA’) similar to the 2014 Transfer scheme.

• Schedule 2 of the OMA empowers the Secretary of to make a Staff Transfer Scheme to transfer employment contracts of existing staff from a provider of probation services provider to another probation service provider on termination of existing arrangements.

• The Staff Transfer scheme covers all staff in scope to transfer to ensure that the probation service continues to operate.

• TUPE will not apply to transfers of probation services; and the transfer will fall within regulation 3(5) of TUPE 2006, the Henke exemption. This is because the transfer involves a transfer of administrative functions between public administrative authorities. Even though the Contracted Providers will be private providers, they are carrying out activities that substantially involve the exercise of public authority and so the Henke exemption will be applicable.

• The Staff Transfer Scheme is the legal mechanism to transfer contracts of employment and protects contractual terms at the point of transfer.

• The staff will retain all the benefits of their contracts of employment as if those contracts had originally been made between them and the Contract Package Area.

• All employees of the CRCs and any sub-contractors will transfer in so far as they have contracts of employment and are part of an organised grouping dedicated to the service(s) transferring.

• This is the same approach to staff transfer that was used for Transforming Rehabilitation.
Transition and mobilisation requirements

- Currently 21 CRCs and will need to move these into the new contract package areas

- Implications for the workforce on transfer:
  - Different organisation, potentially different working practices, different IT, different corporate support model, practical changes could cover different HR policies, changes to non-contractual arrangements, pay-dates etc;

- Staff in scope to transfer
  - When someone is wholly/mainly involved in delivering unpaid work or accredited programmes services/activity they would be in scope to transfer to the Innovation Provider.
  - We will be working with CRCs to undertake an impact assessment of the proposed new delivery model on their workforce and that data on staff assessed to be in-scope under the competition will be available in the data room.
  - Data on workforce and organisational policies will be available in the data room to support bidders.
Engagement and Consultation

• The staff transfer process we intend to follow will mirror the TUPE process and will be a ‘TUPE-like’ process. Therefore, both current and future employers will, having done their due diligence, set out any proposals for change upon transfer develop their measures and the current employer will instigate meaningful consultation with recognised Trade Unions and invite the future employer into the consultation, allowing sufficient time for a robust consultation to take place and be concluded ahead of the transfer.

• Consultation for outsourced interventions will be a private contractor (current CRC) to private contractor requirement and the Authority will monitor to ensure they meet the requirements for consultation.

• As part of the process to support the competition, we will be reviewing bidder’s plans; which will include around consultation to ensure we understand the steps they are planning to take; and can ensure these are sufficient.

• The three recognised trade unions in probation are Napo, Unison and GMB Scoop.

We want to seek your views on this process:

• What role would you expect/want from the authority in overseeing this consultation process? How would you envisage the Authority best supporting you in this process?
Engagement and Consultation

• The staff transfer will be the legal mechanism by which we transfer staff and their employment rights are protected.
• We have not made any commitment to having a National Agreement to cover this part of the programme.

We are interested on your views on the following:
• Would you want a commitment to a National Agreement?
• If so, what would you want a national agreement to cover?
• Who would you envisage would negotiate this agreement? (Authority, Unions, Current Employers, Prospective Bidders)
• When would you envisage a national agreement would be needed by eg. timing?
• Would you envisage an agreement would remain national or seek to move to regional?
Transition and Mobilisation planning

• Priorities for mobilisation and transition will be ensuring we have a smooth transition for the workforce and business continuity for Day 1.

• We will expect detailed transition and mobilisation plans

• We will be keen to understand your plans on (please note this list is not exhaustive):
  • The staff consultation and transfer process, and how this will be executed in line with relevant employment legislation
  • Their plans to run effective business change to support the mobilisation, transfer and post-transfer periods.
  • The onboarding of staff and accurate and timely setup of payroll to ensure continuity and accuracy of payroll and pensions payments for all staff transferring
  • The approach and mechanisms which are in place to securely transfer personnel data
  • Any plans for re-organisation or re-structure at the point of transfer and the impact on the workforce
  • The plan for any supplementary training of the workforce required ahead of commencement date
  • Approach to communicating your plans and engaging with staff and the trade unions to ensure visibility and involvement.
  • Any plans to retain any existing sub-contractor arrangements for any sub-contractor’s services or outline how you will ensure these arrangements will be supported from day 1.
  • Plans for how changes for pensions will be managed
Pension requirements

Julia James
10:50-11:10
Pensions

• Former Probation Trust staff were eligible to join the Local Government Pensions Scheme (LGPS) and retained their rights to be members of the LGPS when they transferred to the CRC’s on 1 June 2014. In respect of former Probation Trust staff who retain eligibility to participate in the LGPS bidders will be required:

  • to participate in the LGPS by way of an Admission Agreement, and will be required and become Admission Bodies of the Greater Manchester Pensions Fund

  • ensure eligible employees are enrolled in the LGPS;

  • to comply with all rules of the Local Government Pension Scheme including LGPS Regulations and Greater Manchester Pension Fund Rules. Assurance mechanisms will be built in from HMPPS and MoJ Finance to monitor this going forward;

  • pay all sums due under the LGPS Admission Agreement including the relevant employer pension contributions;

  • publish a Discretions policy to comply with LGPS Regulations on what Discretions will be agreed. Any Discretions involving pension strain costs must be paid by the new providers.

  • to take on the responsibility for strain costs associated with waiving actuarial reduction on active LGPS members for early and ill health retirement; and

  • migrate the HR, Payroll and Finance data relating to existing LGPS active and deferred members transferring to their HR and Payroll system to enable HR and Payroll to undertake their duties as an Admitted Body.
About the Pensions Scheme

• A flat Employer Pension contribution rate may be set in due course and bidders are likely to be asked **not to** risk price for any variation.

• The LGPS has some key features unlike other pension schemes and allows members to retire from age 55 with a reduced pension or seek agreement of the employer to pay the costs associated with them retiring early.

• 3 levels of ill health retirement operate under the LGPS rules and staff deemed medically unfit on any of those categories will be retired with an enhanced pension dependent on the level and the new provider will meet the additional cost of the enhancement.

• Further data will be available via the data room.

• There are approximately 1700 active members (as of June 2019) of the Local Government Pension scheme employed across 21 CRCs who we anticipate will move to the Innovation Providers.

• The pension fund for LGPS is Greater Manchester Pension Fund. It is administered by the Tameside Metropolitan Borough Council which is the Administering Authority.

• Further Information can be found on LGPS website to GMPF [https://www.gmpf.org.uk/documents/policies/administrationstrategy.pdf](https://www.gmpf.org.uk/documents/policies/administrationstrategy.pdf)
About the Pensions Scheme

• There are fewer than 20 former Civil Servants who retain eligibility to participate in the Civil Service Pension Scheme (CSPS), Where such employees exist, it is expected bidders will be required:
  • to participate in the CSPS by way of an Admission Agreement, and will be required and become an Admitted Body;
  • ensure eligible employees are enrolled in the CSPS; and
  • comply with all rules of the CSPS including paying all sums due under the CSPS Admission Agreement including the relevant employer pension contributions.

• In respect of both the LGPS & CSPS if the bidder ceases to participate in either at a time when it has employees eligible to participate it is expected bidders will be required to set up a broadly comparable pension scheme.

• Other Pension Schemes
  • New starters who joined the CRCs from 2015 were not eligible to participate in either the LGPS or the CSPS, and currently belong to their employers’ schemes where they have chosen to do so.
  • No new staff members will be eligible to participate in either the LGPS or the CSPS.
  • Bidders will be required to comply with the statutory auto enrolment provisions for all such staff.
  • The numbers of the staff to whom these arrangements apply will be confirmed via the data room in due course.
Table Discussion

1. Developing the Skills of the workforce
2. Workforce Planning
3. Engagement and Consultation
1. Developing the skills of the workforce

- What do you think are the core set of training standards / requirements for unpaid work?
- What training, standards and professional development opportunities do you think accredited programme staff would benefit from in the future?
- Where do you think we need to be joined up across the probation system, both private and public sector that requires a system wide view? How do you think we best do this?
- What do you require from the Authority to support staff development in the private sector?
- How do we best share learning and best practice across providers?

2. Workforce Planning

- Where there are current/potential recruitment issues how do you think these can be best managed where pay and reward is a primary factor?
- What role do you see the Authority having in supporting you with strategic workforce planning?
Table Discussion

3. Engagement and Consultation

- What role would you expect/want from the authority in overseeing the consultation process?
- How would you envisage the Authority best supporting you in this process?
- Would you want a commitment to a National Agreement?
  - If so, what would you want a national agreement to cover?
  - Who would you envisage would negotiate this agreement? (Authority, Unions, Current Employers, Prospective Bidders)
  - When would you envisage a national agreement would be needed by eg. timing?
  - Would you envisage an agreement would remain national or seek to move to regional?
Estates
Sachia Thompson, Beth Chappell & Simon Jeffery
11:10-11:50
Session overview

- We will set out our core requirements for the future estate covering UPW and Accredited Programmes
- Agenda will cover:

  1) Future Strategic Aims
  2) Overview of Estate
  3) Accommodation Requirements
  4) Estate configuration/Handover
  5) Mobilisation and Transition
  6) Any questions
Future Strategic Aims

• An estate that supports **better integration and partnerships with NPS and other local justice partners (where possible)**

• **Geographically located** to provide reasonable travel time for service users to access services to encourage and facilitate compliance

• An estate that provides for **appropriate confidential space** within which service users for service users, and adequate group or training rooms for the delivery of interventions.

• An estate that is **safe and accessible for users and staff but risk appropriate**

• An estate that provides **value for money and efficiency**

• Fair, consistent and effective mechanisms in place for **charging where there is shared space** within the estate
Future Strategic Aims

• It should be **environmentally sustainable** as specified under the Greening Governments Commitments Policy.

• It should be capable of providing **access for the diverse needs of service users and staff** in accordance with Equality Act 2010 and the nine protected characteristics.
Overview of estate - Single use Sites

• Sites which are exclusively used for Unpaid Work provision

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<th>EAST MIDLANDS</th>
<th>EAST OF ENGLAND</th>
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Overview of estate - Shared Sites

- Sites which are used in part for Unpaid Work provision.

Part UPW Sites by Region

Part UPW Sites by Tenure

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Accommodation Requirements

We would expect suppliers to provide:

• Space for both individual and group meetings with service-users for purposes such as inductions and placement assessment. This space should be appropriate to allow confidential discussions between service-users and the staff member they are meeting to encourage service-users to be open about any risks, needs, plans or concerns.

• Appropriate space for accredited programmes delivery, which meets the guidance set out under the Integration and Integrity Framework.

• If relevant, rooms/space for ETE delivery.

• Office space for running the operation including all front and back-office staff and space for equipment.

• Storage space for equipment or fleet.

• It should provide a safe environment for staff and users.
Estate Configuration/Handover

UPW

- Stand-alone UPW sites (sites for storage, UPW tools and fleet) will transfer to the new provider where they wish to take them.
- Where UPW sites are co-located in Authority buildings the Supplier will be invited to enter into a licence to use the space.

Accredited Programmes

- The Authority will not be providing space for providers to facilitate these.
- For group work and service user meetings, providers will need to find their own premises. While we may later be able to make some space available, we can't commit to this at this stage so bids will need to assume cost of finding own properties.
- In Wales work is more advanced due to the earlier OM transfer so we will be able to confirm available space at an earlier stage.
Estate Configuration/Handover

• The Supplier will enter into new leases or licences dedicated to this contract in the name of the company which holds the contract with the Authority rather than a parent company unless shared with other services.

• The Supplier shall accept and be responsible for all property costs such as rent, rates and dilapidation requirements for any properties under a lease that is transferred by the Authority.

• The Authority will not be responsible for liabilities the Supplier enters into beyond the life of the service contract.

• There will be no obligation on the Authority to provide space in MoJ properties, however where contractors are offered space in MoJ property, the following will apply:
  • The Supplier will sign Licence agreements in respect of their occupation
  • The Supplier will pay a Licence fee for the space occupied
  • The Authority will remain responsible for the provision of FM services in the properties
  • The Supplier will not be entitled to assign the licences nor share with occupation save for sharing of occupation with a material sub-contractor
Mobilisation and Transition - Future arrangements

- During the transition period (or at lease event) the Supplier may move out of buildings as they fall due in accordance with their Mobilisation/Transition Plans.

- Possible asset ownership routes at commencement of contract and during transition phase are:

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<tr>
<td>Suppliers have the opportunity to take on new property</td>
<td>Authority grants licences on shared space</td>
<td>The Supplier could negotiate directly with the CRC sites held by them during transition. In this instance you accept all liabilities under the term of the CRC occupation including dilaps</td>
<td>Hybrid approach a combination of routes 1, 2 or 3</td>
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<td>• Licences will be co-terminus as with Authority lease</td>
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<td>• FM services to be provided by Authority</td>
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<td>• Alterations will require approvals</td>
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Table Discussion – 25 minutes

- Can you meet our accommodation requirements? What refinements if any do you propose.
- What are your thoughts about finding your own property to deliver accredited programmes?
- What data would be useful for you to inform your strategy on the estate?
- What are your thoughts on negotiating transfers with the existing CRCs?
- Are there any regional or town specific issues which need to be explored to inform the accommodation model?
Structures, asset transfer and ownership

Janet Phillipson
11:50-12:30
Session overview

• Structures and branding
• Asset transfer and ownership
• Our questions to you
• Your questions to us
• Next steps
Session objectives

• We want to get your views on how best to structure the requirements regarding organisation of the service and transfer and ownership of assets to provide flexibility and value for money but also to maintain a distinct identity for probation services staff and to protect the service and the Authority's interests for future transfers

• We will share our current thinking but we have consciously not developed any final positions at this stage as we want to hear your ideas about what would work best for you and where the right balance of flexibility and security lies
Structure and branding

- We are considering whether to require bidders to set up specific company structures or allow the service to be run as part of wider group activities.
- Either way, paymech will require clear separation or apportionment of costs.
- We intend to provide service branding which will be owned by the Authority rather than the bidder to assist future transfers, and services will need to be run in this name e.g. London Accredited Programmes and Unpaid Work Service.
Asset transfer and ownership

• The main assets currently in use will be fleet and equipment used for unpaid work
• Where relevant, these will be available for transfer
• Some fleet is owned, some is leased
• If fleet or other assets are bought for this contract and paid for through the target cost paymech, we are considering mandating that it be available for transfer free of charge to the Authority or a future provider at the end of the contract
Table Discussion - 25 minutes

We would welcome your initial views today on the following questions:

1. What are your views about company structure and setting up separate companies or organisations?

2. How easy will it be for you to separate or apportion costs (and demonstrate how this has been done) if there is no separate company?

3. What are your views about branding being separate to operating company?

4. Do either separate structures or new branding cause any concerns re mobilisation?

5. Are you likely to want to use existing (owned) or shared fleet and equipment?

6. What are your views about free of charge transfer at end of contract? Are there any challenges to how this would operate?
Lunch – 30 minutes
12:30-13:00
Digital and Technology
James Cook, Tammy Wallace and Haroon Rashid
13:00-13:50
Session overview

- Vision for future Probation Digital Services
  - Transforming probation services to modern digital services designed to meet the needs of all users
  - Focus on optimising value from where we invest
  - How we design modern digital services

- Implications for Providers considering bidding for next generation of contracts
  - Use of Authority provided systems
  - Security and assurance
  - What you will need to provide - infrastructure
  - ITT Considerations

- Mobilisation and transition

- Considerations for the Competition and Beyond

- Discussion and Feedback
Vision for future Probation Digital Services

Transforming probation services to modern digital services designed to meet the needs of all users.

- Developing a digital strategy for probation:
  - Improved set of digital and data services
  - Replace our current siloed applications with a group of digital services that are more consistent in look and feel
  - Create user facing services to enable specific workflows or manage specific processes, e.g. “Refer an offender”.

- Authority will provide its core digital services for probation to the NPS and IPs:
  - support transformed business processes which relieves staff of arduous and difficult administrative tasks
  - better utilise data to inform professional judgement.
  - allow more focused work with offenders to achieve our common business outcomes
  - improve support for commissioning as well as the management and performance of the NPS and our delivery partners.
Vision for future Probation Digital & Technology services

- The NPS and CRCs have taken some steps to demonstrate how digital tools and modernised technology can improve the service
- We now seek to transform the use of technology in probation and replace the current core probation systems provided by the MoJ
- Both the NPS and our Innovation Partners will use the core HMPPS systems and new digital services in the delivery of probation services in England and Wales
- This will allow the data to be exploited to identify what works across the whole system and to inform policy and continuous practice development
- Innovation Partners will be expected to access our systems and services from their own infrastructure and technology.
What does the future look like?

Probation in court

Vision
We want to create high quality advice that gives the court and community confidence in recommendations made to enable and support colleagues in creating the best possible sentence plans.

Assessments and screening

Vision
We want to create a flexible, centralized assessment and screening service that intelligently and accurately records offender risk and needs, resulting in informed, targeted and effective sentencing for offenders. Fostering the need to strengthen the evidence base, ensuring consistency in the way risk is assessed, calculated and shared.

Probation in the community

Vision
Service users will have one responsible officer throughout their sentence in order to understand their needs, track risk and encourage and support them to complete their sentence plans.

Consistent assessment, via screening and health assessment tools, to identify needs and protected characteristics, including:
- BANS Offenders
- Female Offenders
- Young Adults
- Offenders with Learning Disabilities

For all groups with protected characteristics we will ensure that contractual clauses specify the need for rapid compliance (principally with the Equality Act 2010) and address Government commitments.

Sentence planning

Vision
We want to create an engaging and motivating sentence planning service for offenders that effectively reduces offending rates and changes lives, enabling Probation staff to spend less time re-keying offender data into data systems and spend more time face-to-face with offenders.

Sentence planning

Sentence planning

Offender referral

Vision
We want to create a service that ensures Offender Managers have had the time to accurately identify resettlement needs and align them with the offenders length of sentence. Services are evidence-based and quality assured to ensure effectiveness of interventions.

Delivery and performance management

Vision
Driving forwards via digital and data the ability to track, deliver, monitor, effectively manage and progress are evidence-based and quality assured to ensure effectiveness of interventions.

Workforce management

Vision
Enabling our Probation workforce to do their job quickly, efficiently, easily and from day 1 of the new structure.

Core services

Vision
Enabling the Probation Service to build, run and maintain all digital services. Ensuring services are suitable, secure, accessible, compliant, secure and easy to monitor.

Preventing victims by changing lives
FUTURE DATA FLOWS

Digital Service View

New micro-services

Probation in Court

Assessment and Screening Service

Probation in Community

Sentence Planning

Offender Referral

Delivery & Performance Management

Workforce Management

Operational Databases e.g.

Court Systems

OASys

Delius

NOMIS

Analytical Platform

Live decision support via micro-services

Performance Reporting

Management Info

Official Statistics

Research & Evaluation

Data science apps

Preventing victims by changing lives
### High level design - data principles

To deliver the data strategy i.e. a complete dataset for all offenders at all journey points, we need 2 things:

1. Data to be captured at all journey points
2. The data captured to be high quality

The digital enablers deliver the former, the data principles deliver the latter.

<table>
<thead>
<tr>
<th>Data is standardised across our services: governed by definitions and rules</th>
<th>Data is structured wherever possible e.g. less free text, “data not documents”, machine readable</th>
<th>Data is captured by default (i.e. as part of a digitised process, not as a separate process)</th>
<th>Data is collected once (where appropriate), connected around an individual’s journey, and available at any point going forward</th>
<th>Data is compatible between systems - we can identify offenders and journeys regardless of where the data is stored</th>
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<tbody>
<tr>
<td>New Services provide the opportunity for new data to be captured and analysed and fill gaps in the data model</td>
<td>Analysts have easy access to a complete set of high quality data, from one source (the Analytical Platform)</td>
<td>Staff see the benefits of good quality data &amp; are aware of the downstream impact of the data they collect and decisions made (feedback loop)</td>
<td>Data validation is used to ensure minimal error is made when inputting data</td>
<td>Digital products are easy to use and encourage compliance</td>
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"We will deliver end-to-end services that are more resilient, flexible and joined up to better meet the needs of our business and users"

Our new Digital Services will be developed with an Agile methodology and mindset, delivering new functionality and capabilities at greater velocity and at the point of need.

We will continuously improve services throughout their lifetime, ensuring that users are getting the best possible user experience and that we can quickly respond when things change in our wider environment, such as policy, legislation or technical advances.

This means that we will be gradually replacing our existing core systems:

- OASys - risk and needs assessment tool in prison and the community
- nDelius - the Authority’s probation case management system
- Interventions Manager - records delivery of Accredited (and non-accredited) Programmes and Interventions

We will replace these with Digital Services that will provide the end-to-end capabilities required by our business and Innovation Partners, so that we can:

- Improve the way information is shared between the Authority and Innovation Partners
- Better plan, schedule and track delivery of programmes and interventions
- Gather data across the entire service-user journey to make better and more timely decisions
Implications for potential bidders

Providers will be **expected to use our new Digital Services** to manage and track the delivery of Accredited Programmes and Unpaid Work.

Our new Services will be available **over the internet**, removing the need to maintain a secure link via a PSN connection. Providers will need a modern browser and adherence to good cyber-security practices (more on that later).

Our services will be fully **managed and supported**, including:

- A service desk to report issues and faults
- A route to relevant services on the Authority catalogue (such as account creation/amendment/deletion)
- Reporting on the performance of the Authority provided services

Our Digital Services team aim to **put the user first, focus on user needs** and **improve user experience** as well as addressing the needs of the business. As such, we will be looking for our Innovation Partners to:

- Participate in regular User Research
- Actively engage with User Forums
- Contribute to reviews of system and service usage
Implications for potential bidders

We are not seeking providers to develop their own core systems but recognise that IPs may introduce their own supplementary systems to support delivery.

The Strategic Partner Gateway will not be available for data exchange with our systems but there is consideration for use of APIs by providers in the future.

Prisons Access

- Authority terminals with access to our core systems and successor services will be provided in prisons if required.
- We will not be able to commit to providing IPs with access to their own systems from our infrastructure and networks.
Providers will need….Cyber Security & Information Assurance

High Level Requirements

• Certified to or working towards ISO/IEC:27001 - Authority will support Providers working towards certification or re-scoping their certification during the tender process

• Certified to or gain Cyber Essentials Plus
  Have a repeatable risk assessment and risk management methodology

• Devices used by the Supplier must follow industry best practices for device security. e.g. https://www.ncsc.gov.uk/guidance/end-user-device-security

• HMG Guidance rather that standards

• Compliance with GDPR / DPA :2018

Governance

• Information Security Management System certified to ISO/IEC: 27001

• Security embedded into service management

• Separate live from dev and test. No use of live data for testing

• The Providers will be expected to act as Data Controllers in Common (TBC)

• Comply with legislative requirements

• Suppliers will be required to follow industry best practices for data protection e.g: https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr
Cyber Security & Information Assurance Requirements

**Assurance**

- Contractor and Authority working together to deliver end to end cyber security
- All Authority data and systems managed in accordance with the Government Classification Scheme at OFFICIAL
- Good commercial practices for cyber security
- Perform regular Security testing and timely remediation
- Providers to have access to suitably experienced/qualified security specialists

**General requirements (27001 compliance)**

- Good auditable authentication mechanisms
- Separation of Duties
- Repeatable and agreed risk methodology
- Security Education and training
- Vetting/screening
- Incident management
Providers will need…. Infrastructure services

- Appropriate ICT infrastructure for your users eg. end user devices, personal productivity tools, printers
- Connectivity (to the internet) to access Authority provided systems and digital services
- Effective communications including secure email and FTP service
- Telephony services – fixed, mobile, video conferencing
- Back office systems and corporate services to operate across your Contract Package Area(s)
- Supplementary systems supporting delivery of your services
- Assistive Technology
- Service management arrangements supporting your infrastructure and ICT services and liaison with Authority service management
- Consideration for disaster recovery/ business continuity
- User administration and management for access to Authority systems and services
Mobilisation & Transition

**Mobilisation**

Successful bidders will be expected to ensure during the proposed six month mobilisation period that all critical IT services are in place by service commencement.

Development of a mobilisation plan as part of the tender process.

The plan will need to include a critical path for delivery and key risks, issues and dependencies.

**Transition**

It is expected that there will be further changes to IT as the Provider moves to their target operating model.

Development of a transition plan as part of the tender process.

The plan will need to include a critical path for delivery and key risks, issues and dependencies.
Considerations for the Competition and Beyond

- We aim to provide bidders with regular updates to our roadmap and share progress including forthcoming API development and new functionality.
- Potential for an Open Day/Visit to the Studio
- Will expect to provide a testbed and non production APIs for providers
- Training support
- Familiarisation, online documentation to be made available but unlikely to be providing training courses for IP staff
ITT Requirements

- ICT strategy:
  - Delivery approach
  - Engagement with the Authority

- Technology and Infrastructure Solution:
  - Development, installation and testing
  - Service management arrangements

- Information Security:
  - Cyber Security
  - Data Assurance
Table Discussion - 25 minutes

1. Digital Service Development
   • What would you consider successful collaboration with the Authority on development of probation digital services?

2. Opportunities and Constraints for Technology to be an Enabler
   • What do you expect to be the key areas of potential tech led innovation?
   • What role should the Authority play to support effective development?
   • What do you consider to be potential blockers/ constraints?

3. Data
   • What are the key considerations for the provision, use and sharing of Authority data?

4. Mobilisation
   • With no expected transfer of hardware assets from incumbents, what would help you mobilise the required IT successfully within six months?
   • What do you see as the role of the Authority in overseeing the mobilisation & transition?
MoJ High level technology principles

Technology Code of Practice

Digital Service Standard
https://www.gov.uk/service-manual/service-standard

Supplier Standard for Digital & Technology Service Providers
Recap and close

Janet Phillipson
13:50-14:00
Next steps and feedback

We aim to share draft contract schedules in August.

Therefore please send any further feedback or questions by close 12 July to ProbationAPandUPW@justice.gov.uk.

Thank you.