Probation Programme Market Engagement
Dynamic framework
Service enablers and transition

24 July 2019
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Session objectives

We want to:

✓ Understand what potential providers need in terms of enablers – staff, estates, ICT and assets - to support the provision of services through the dynamic framework

✓ Explain our early thinking in these areas

✓ Seek your feedback on specific questions

✓ Understand any likely impacts on mobilisation, transition or ongoing service provision

We are planning to present our proposal on service enablers in late August / early September taking on board your comments/questions from today. Proposals in this presentation are not final and we are keen to hear your views to inform the proposal.
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<td>Janet Phillipson</td>
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<td>Digital &amp; Technology</td>
<td>James Cook, Tammy Wallace and Haroon Rashid</td>
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<td>Sachia Thompson &amp; Simon Jeffery</td>
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<td>Janet Phillipson</td>
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Digital and Technology
James Cook
Session overview

- Vision for future Probation Digital & Technology Services
  - Transforming probation services to modern digital services designed to meet the needs of all users
- Implications for Dynamic Framework Providers
  - Use of technology and Authority systems and digital services
  - Provider infrastructure services
  - Data Security and Assurance
  - Mobilisation
- Considerations and Feedback
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 with an improved set of digital and data services:
  - Transform probation services to modern digital services designed to meet the needs of all users.
  - 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. “Probation in the Community”.

- Probation service providers, including those under the DF, 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’ and to inform policy and continuous practice development.
- Data strategy – in building a complete dataset for all offenders at all journey points, we need:
  - Data to be captured at all points during the offender journey.
  - The data captured to be high quality.
Digital Service View

FUTURE DATA FLOWS

New micro-services

Operational Databases e.g.

Court Systems  OASys  Delius  NOMIS

Analytical Platform

Live decision support via micro-services

Probation in Court  Assessment and Screening Service  Probation in Community  Sentence Planning  Offender Referral  Delivery & Performance Management  Workforce Management

Analytical Platform

Performance Reporting  Management Info  Official Statistics  Research & Evaluation  Data science apps

Preventing victims by changing lives
Use of Technology and Authority Digital Services

Providers will be expected to use our probation systems and new digital services to manage and track the delivery of interventions. Our systems and new services will be available over the internet. Providers will need to supply their own infrastructure with a modern browser and adherence to good cyber-security practices (more on that later). We are not asking providers to develop their own core systems but recognise that providers may introduce their own supplementary systems to support delivery.

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 inviting our DF providers to participate in User Research.

If required, Authority terminals with access to our core systems and successor services will be provided in prisons. We will not be able to commit to providing delivery partners with access to their own systems from our infrastructure and networks.
Provider Infrastructure Services

We expect providers of interventions services to operate with:

• Appropriate ICT infrastructure for your users e.g. end user devices, personal productivity tools, printers
• Connectivity (to the internet) to access Authority provided systems and digital services
• User administration and management including for access to Authority systems and services
• Effective communications including secure email

You will need to consider:

• Telephony services e.g. fixed, mobile, video conferencing?
• Back office systems and corporate services
• 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
Considerations and Feedback #1

Opportunities and Constraints for Technology to be an Enabler

• What do you expect to be the key technology enablers for you to provide services under the DF e.g. infrastructure, systems/ digital services?

• What do you consider to be the potential technology related blockers/ constraints and opportunities?

• What would you consider successful collaboration with the Authority on development of probation digital services?
Cyber Security

Framework:

- Cyber Security Management Plan

Commissioned organisations on the Framework:

- Certified to Government Cyber Essentials Plus scheme: https://www.cyberessentials.ncsc.gov.uk
- ‘Plus’ requires verification of your cyber security is carried out independently by a Certification Body
- Authority will support Providers working towards certification or re-scoping their certification
- 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
Information Assurance

Commissioned organisations on the Framework:

• Information Security Management System certified within a year to an appropriate standard (ISO/IEC: 27001 or alternatives such as IASME under consideration)
• Security embedded into service management
• Separate live from dev and test. No use of live data for testing
• Providers will be expected to act as Data Controllers in Common (TBC)
• Comply with legislative requirements e.g. DPA:2018, GDPR
• Suppliers will be required to follow industry best practices for data protection e.g:
  
Cyber Security & Information Assurance

General requirements

• All Authority data and systems managed in accordance with the Government Classification Scheme at OFFICIAL

• Cyber Essentials Plus

• Information Security Management System:
  • Good auditable authentication mechanisms
  • Separation of duties
  • Repeatable and agreed risk methodology
  • Security education and training
  • Vetting/screening
  • Incident management

Assurance

• Contractor and Authority working together to deliver end to end cyber security

• IASME/ ISO 27001?

• Cyber Essentials “Plus” independent auditing

• Good commercial practices for cyber security including regular security testing and timely remediation

• Providers to have access to suitably experienced/ qualified security specialists
Considerations and Feedback #2

Data Security
- What are the key considerations for the provision, use and sharing of Authority data?
- Do you expect to be sharing data with any supply chain partners?
- How is data security best maintained and assured (impact of Cyber Essentials Plus and ISMS standard - ISO 27001/ IASME?)
- What do you consider to be the potential information security related blockers/ constraints and opportunities?
Support for the Dynamic Framework Providers

- We aim to provide bidders and organisations on the Framework with regular updates to our roadmap and share progress and new functionality.
- Familiarisation with our systems and services, online documentation to be made available but unlikely to be providing training courses for staff of interventions service providers.
- Training support.
Further Considerations and Feedback #3

. Mobilisation
• With no expected transfer of hardware assets from incumbents, what would help you mobilise the required IT successfully within no more than six months for Day 1 services?
• What do you see as the role of the Authority in overseeing the mobilisation?
Estates
Sachia Thompson & Simon Jeffery
Session overview

• We will set out our core requirements for the future
• Agenda will cover:

1) Future Strategic Aims
2) Estates Requirements
3) Questions
Future Strategic Aims for Probation Services

These are the aims for the wider probation programme and estate, and will also apply where relevant and proportionate to services commissioned through the dynamic framework:

• 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**
Future Strategic Aims for Probation Services (contd.)

- 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

- 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 9 protected characteristics.
Estates requirements for consideration

- The Authority is currently assessing its wider estate plans for the NPS to take on offender management for all offenders – this is likely to be a mix of current buildings from NPS and CRCs
- As such, we do not have the complete picture on the capacity we will have that we might be able to offer to interventions providers to meet service-users or run interventions or groups. We would like to offer space where we identify we have capacity to do so.

Where we do not have capacity we expect providers to provide:

- Space for both individual or group meetings and interventions with service-users; this space should be appropriate to allow confidential discussions to encourage service-users to be open about any risks, needs, plans or concerns
- Office space for running the operation including all front and back-office staff and space for equipment
- It should provide a safe environment for staff and users.
Questions

We are keen to understand from providers likely to bid for services under the dynamic framework:

- Whether you would prefer to offer services in Authority, your own or other premises;

- If preferred or required, whether you would be able to source your own or other shared premises;

- If you preferred space in Authority premises, would you be seeking interview rooms, group activity rooms or also desk space?

- Do the answers above differ according to:
  Type of service
  Length of contract
  Specific location
Workforce
Jacqui Gerick
Workforce requirements

• What requirements would you expect to be in place for the workforce as part of the dynamic framework? Does it differ for the differ need areas?

• What minimum training would you expect to have your workforce undertake to be able to deliver a high quality service?

• Would you want to use ex-offenders in the delivery of services on the framework? Are there currently any barriers to this you would like us to review as part of the design?

• Would you want to use volunteers in the delivery of services on the framework? Are there currently any barriers to this you would like us to review as part of the design?

Need areas

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Staff Transfer

- When someone is identified as wholly/mainly involved in delivering services that will in future be delivered on the dynamic framework as a day one service then they may be in scope to transfer.

- We will be working with CRCs to undertake an impact assessment of the proposed future delivery model on their current workforce.

- Data on workforce and organisational policies, if staff are in scope will be available in the data room to support bidders as part of the competition process.

- There are three likely scenarios across the DF:
  1. no staff in scope to transfer
  2. Small numbers of staff in scope to transfer
  3. Larger numbers of staff in scope to transfer

- This is likely to differ dependent on the type of service and how current providers are currently delivering services and their associated operating models.

- *If staff transfer is identified, what potential issues does this create for you which we should be aware of to inform our design.*
Assets
Janet Phillipson
Assets

- We do not currently expect there to be any physical assets transferred at the beginning of the dynamic framework or at the end of call-off contracts.
- Are there any physical or intangible assets that you expect would be required for delivery of the services?
Next Steps

We will hold another webinar to outline our proposal on service enablers in late August/early September. Therefore, so that we can consider your views in developing our proposal, if you have any further feedback or questions please send to ProbationDynamicFramework@justice.gov.uk by 12 August.

Thank you.