

Transforming Rehabilitation: Recent Operational Progress

1. The Transforming Rehabilitation Programme established a programme of Business System Readiness testing to determine, at key points in the Programme, how effectively probation organisations that were subject to this major change programme were preparing for and responding to the changes and the challenges they faced. This was in order to support decision making at relevant stages of the Programme and to ensure that all the relevant issues were being identified and given appropriate focus and attention.
2. In designing and conducting these tests the Ministry of Justice (MoJ) was supported by EY, an independent consultancy which also provided assurance on the tests themselves. The different periods of testing were referred to as Test Gates and were aligned to key decisions about operational transition within the Transforming Rehabilitation Programme.
3. A 4th Test Gate was conducted between 5 September 2014 and 26 September 2014. This was after the creation of the National Probation Service (NPS) and the 21 Community Rehabilitation Companies (CRCs) but prior to the decision to move to Preferred Bidder stage, and is a snapshot of the position at the time.
4. A 5th Test Gate was conducted in the middle of November. This is the last Test Gate before the decision to proceed to contract signature is made. Its aim was to provide an assessment of progress on the areas of focus identified during Test Gate 4 and to consider readiness for service transition.
5. The Test Gate 5 report is at Annex A. The following provides an overview of the progress that has been made against the main findings in Test Gate 4.

Recommendations

Test Gate 4 contained four main recommendations. The following table details the actions being taken in relation to the recommendations and the progress that has been made to date.

Main recommendations	Action Taken and Progress
Drive and increased focus upon NPS transition plans and delivery	<ul style="list-style-type: none">• Since 1 June we have been closely monitoring how the new processes are being operated across the system and working to further embed and improve them. NOMS will continue to monitor the operation of processes and performance across the system closely throughout the service transition period.• Within the NPS overall performance is monitored through weekly Senior Leadership Team meetings. For priority measures, a divisional dashboard shows comparative performance between divisions against an agreed performance trajectory.• The NPS put in place an action plan to drive improvements specifically in relation the Case Allocation System. This was supported by improved guidance, additional training information, and more granular reporting. Rapid progress has been made in relation to performance in this area. The NPS will continue to drive further improvements but we are satisfied that the case allocation process is operating safely and does not create a risk to public protection or to effective contract management.

	<ul style="list-style-type: none"> • A Solutions in Partnership initiative (SiP) was also set up in mid-September 2014 to bring together Transforming Rehabilitation programme staff with representatives of the NPS and CRCs as well as NOMS/MoJ national policy leads and ICT specialists to identify - and produce solutions for - the most pressing issues. SiP has been supporting the NPS to drive improvements across the organisation. • Transition plans detailing the activity to be undertaken by the NPS to ensure they are sufficiently independent of the CRCs are in place for all NPS Divisions. These dependencies have now either ceased (e.g the NPS now have their own ICT call handling service and are no longer reliant on the CRCs for this); or plans are in place for all such dependencies to be withdrawn in advance of service commencement (e.g. the CRC supporting answering FOI requests); or they will be formalised (e.g. the NPS continuing to access operational agency worker for a specified length of time through contracts held by the CRCs). The plans are sufficiently developed to not have an impact on transition of the ownership of CRCs to new owners.
<p>Maintain focus on ICT and clearly communicate both TS2 requirements and training needs</p>	<ul style="list-style-type: none"> • Test Gate 5 has found that the ICT sub programme has made good progress since TG4 and remains on track for delivery, including significant progress with respect to performance reporting. • The ICT-Sub Programme is currently working with colleagues in the main programme and NOMS to prepare the NPS and CRCs for the next phase of ICT changes. This has included the continued stand-up of the NPS independent ICT support

desk, and providing them with detailed information about which systems will be available, and when, during the weekends that the further changes to the systems are made.

- A fortnight of national briefing events has just completed. These events looked in detail at the forthcoming changes to nDelius (the main case management system) that will support the commencement of the Offender Rehabilitation Act 2014. OASys (the main risk assessment system) briefing materials have also been created and all the materials to support the NPS and CRCs in preparing their staff for these changes are now also available on the Probation Intranet. Further local briefing events have been commissioned by providers where considered necessary to ensure information is suitably cascaded. The maturity of training plans varies cross NPS regions, as does training capacity. However alternative methods of cascading guidance and information are in place to mitigate against this.
- A decision was made on 26 November that the IT infrastructure and Delius are technically ready for the next phase of changes to be made in the middle of December. As part of the decision to implement the Delius changes on 15 December the readiness of the CRCs and NPS to accept the change was also considered. It was agreed that they are ready but that communications about the changes would continue up until go-live, as would briefings to staff on the changes within the system. The changes being made will also further reduce the number of technical workarounds that have been in place

	<p>since the NPS and CRCs were created on 1 June 2014, thus making the system more efficient to use.</p> <ul style="list-style-type: none"> • There remain some specific issues with the migration of Assisted Technology (AT) users in some areas, where this is the case, this is understood and plans to resolve this are in place.
<p>Significantly improve the sharing of best practice, planning and delivery methods across CRCs and the NPS</p>	<ul style="list-style-type: none"> • Good practice has been shared through the national operations call and through a series of workshops looking at national processes. • Since its establishment in September 2014, the Solutions in Partnership team, which involves both staff from the Programme team and practitioners, has had an important role to play in sharing best practice, planning and delivery methods across CRCs and the NPS. • Additionally the Transforming Rehabilitation Bulletin for senior leaders within probation has also been used to share examples of good practice. • The Rehabilitation Services Contract Management team also play a role in sharing good practice, through their meetings with the CRCs, across the Contract Package Areas that they are responsible for.
<p>A strategic review of priorities and needs is undertaken across Prisons and Probation recruitment activities</p>	<ul style="list-style-type: none"> • As has always been the case there are vacancies in the system at any point in time. • This is an issue that is monitored at senior levels within NOMS,

and CRC Chief Executives and NPS Deputy Directors are required to escalate any concerns which might impact upon public or staff safety so that they can be addressed. Where there are resource pressures they are being dealt with either by recruitment – including additional probation officers through the Probation Qualification Framework – or use of sessional staff (staff who take on extra work on a temporary basis to cover a particular need).

- The NPS is also developing a new, national workload management tool in consultation with the probation unions. This builds on the tool previously developed by London Probation Trust and used by over 20 of the 35 Trusts. Its functionality is being developed to more accurately reflect the relative weight to be attached to work events following the introduction of TR processes. The CRCs remain free to use the tool that their respective Trust was using previously.
- 276 staff started in the NPS as trainee Probation Officers under the Probation Qualification Framework in late October. While they are still training they cannot take on a full caseload, but they are helping to ease some of the pressures within the system. Further intakes are planned for the end of January and the end of March 2015.
- The NPS have now also recruited corporate staff to cover the work in their divisional hubs, and have processes in place for the hubs to support each other where there remain some resourcing pressures.

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| | <ul style="list-style-type: none">• The Through The Gate Project within the Transforming Rehabilitation Programme is also working closely with HMPS on monitoring the current resourcing pressures across the prison estate and will work through any specific impacts of this on the mobilisation plans of bidders over the coming months. |
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Findings

Test Gate 4 also highlighted the following findings that were already known to the Programme and NOMS and being managed. The following table details the actions being taken in relation to the recommendations and the progress that has been made to date.

Findings	Action Taken and Progress
Significant variation in quality of case allocation procedures and outputs from the NPS; c15-20% of cases submitted with incomplete information.	<ul style="list-style-type: none">• As previously described, the NPS already has a detailed plan to address any issues around case allocation and to ensure that practice is sound. Significant improvements have already been seen, and the Solutions in Partnerships team is currently deployed to support this piece of work. Clarification about what constitutes "complete information" has also been provided to address some misunderstandings in recording practice.• TG5 found that case allocation is on a positive trajectory towards Service Transition.
CRCs are operating well but providing support to NPS.	<ul style="list-style-type: none">• Since 1 June there has been continued focus on the work required to complete the stand-up of the NPS. This work is being managed through the NOMS Transforming Rehabilitation Implementation Programme, and progress towards completing NPS Stabilisation activity is tracked at national and divisional level. The NPS is on track to complete schedule 28 (the schedule in the interim service agreement detailing mutual support arrangements) decommissioning, with the exception of a small number of services which the CRC will provide for an additional period. Where necessary these arrangements will be formalised. In addition the NPS continues to recruit in order to achieve a full

	<p>complement of staff within its regional hubs and ICT teams, although a base level of vacancies is always a feature of an operational system. The NPS has finished the successful roll out of its own ICT service support desk.</p> <ul style="list-style-type: none"> • The NPS is on track to be operating independently of the CRCs.
<p>Lengthier court reporting times were documented and as a result more resource is being utilised in court to achieve expected quality and targets.</p>	<ul style="list-style-type: none"> • Our Management Information shows that the vast majority of reports are prepared within the timescale requested, and we have engaged with the judiciary to monitor the extent to which the new changes have impacted on the ability of the NPS to deliver sentencing reports. Feedback from the Courts is that probation has operated safely throughout the process of transition.
<p>Some NPS regions reported high numbers of risk escalations with quite significant numbers being rejected.</p>	<ul style="list-style-type: none"> • TG5 reported that the risk escalation process is working effectively across all NPS regions, with some variations to how the process is managed – either locally or via a central risk escalation team. Overall the number of rejections is small and interaction with the CRCs appears to be uniformly effective. • Clear guidance about the risk escalation and risk review process is included in Probation Instruction 08/14. This is a normal part of the system, which shows risk escalation processes are working as they should. There are also a number of procedures in place through which risk escalation issues may be resolved: CRC staff can refer the issue to their managers who can take the case up with NPS managers;

	<p>issues can also be discussed at local interface meetings where the local CRC and NPS meet regularly to discuss issues; and the CRC can also raise issues with the CRC contract provider at NOMS.</p>
Ensuring there is performance data for CRCs to guide their operations.	<ul style="list-style-type: none">• Systems to provide management information at both a local and national level are now readily available and functioning. Further reports will be delayed through to service transition.

Identified Risks to manage

Test Gate 4 identified a number of risks that needed to be managed to improve the stability of the system. All of the risks identified were already being actively managed by either NOMS or the Programme. The following table details the actions being taken in relation to these risks and the progress that has been made to date.

Key risks	Action Taken and Progress
<p>Recruitment of appropriately qualified POs. Probation Officer (PO) vacancies as a result of: possible increases in workload, staff attrition, change and transition and time required to embed new processes and realise efficiencies.</p> <p>Concern about vacancies leading to potentially unmanageable workloads in some areas. Higher numbers of Probation Service Officers (PSO) available but concern about PSOs having to manage complex cases, without having the necessary experience. PO recruitment into the Prison estate is likely to encourage movement from the CRCs into Prisons.</p>	<ul style="list-style-type: none"> • Around 150 recently trained staff were placed into operational roles within both CRCs and the NPS. As previously mentioned a further 270 staff started the Probation Officer training in October. Looking forward, there are plans to recruit 2 further cohorts in January and March. The January cohort will be equivalent in size to October. March figures will be confirmed in January. • Managing staff resilience is taken very seriously by managers within the NPS and CRCs and the number of joiners and leavers is also monitored nationally and locally to ensure that teams are resourced to a level that enables them to deliver and work safely. Sessional staff are being used as appropriate to take on extra work on a temporary basis to cover a particular need.
<p>Case allocation procedures not continually improving</p>	<ul style="list-style-type: none"> • TG5 found that case allocation is on a positive trajectory, with the internal standard set to be achieved by December already having been exceeded.
<p>TS2 fails to deliver the required ICT functionality</p>	<ul style="list-style-type: none"> • The new functionality has been through rigorous technical testing and as previously explained the technology is now considered to be suitably robust to deploy in the middle of December.

Potential for operational disruption as new CRC owners are onboarded

- The system is not only operating safely now but NOMS are also satisfied that in moving to new owners the statutory duty to protect the public and deliver the effective supervision and rehabilitation of offenders will continue to be fulfilled. And in fact NOMS' assessment is that not proceeding as planned would leave the CRCs in particular in a state of limbo which would limit their ability and need to reconfigure themselves to best deliver effective probation services.
- Both the NPS and the CRCs are already beginning to prepare for the commencement of the Offender Rehabilitation Act (ORA). A series of national briefing events covering the ORA changes were attended by c.500 staff. Further mop up sessions have been scheduled for areas who have asked for further staff to be exposed to the national training. Additional local training and briefing events have been commissioned in each NPS Division and by the CRCs to cascade this information to a broader cross section of staff. The materials to support the CRCs' and NPS' own local briefing events are now available on the probation intranet. Following contract signature the bidders will be able to work directly with the CRCs to prepare.

Areas to give High Confidence at Service Transition

Test Gate 4 identified a series of areas where if action was undertaken there would be high confidence within the system at service transition. The following table details the actions that have been and are being taken in relation to these areas and the progress that has been made to date.

Area Identified	Action Taken and Progress
Strong coordination of provider mobilisation and management of risks relating to operational and business performance caused by mobilisation activity	<ul style="list-style-type: none">• The MoJ has established a Contract Management Implementation & Mobilisation team who are leading on ensuring that there is a manageable mobilisation plan for each contract package area. These plans will be agreed by the NOMS Executive Management Committee who, in considering and agreeing them, will ensure that they will not have an undue impact on operational and business performance. The Contract Management team will act as the interface between the CRCs and the preferred bidders about the detail of their mobilisation plans to ensure that any risks relating to mobilisation activity and performance are managed and understood.
Decoupling - Focus effort primarily in support of NPS stand up (minimising any reliance on support from CRC)	<ul style="list-style-type: none">• As described above the NPS are on track to be operating independently of the CRCs.
Develop Interface Protocols and maintain involvement of Solutions in Partnership to drive improved efficiency in operational processes.	<ul style="list-style-type: none">• Interface protocols between the NPS and CRCs are in place and are being actively managed locally through the System Integration Groups at which the local CRC and NPS discuss issues. The local System Integration Groups are also used to discuss any specific localised issues around how, for example, the risk escalation process is bedding in.

	<ul style="list-style-type: none">• The Solutions in Partnership team continues to engage with the NPS and CRCs to improve the efficiency of process. They have focused particularly on making the very best use of existing ICT, including contributing to recent guidance around the Case Allocation System and use of the Risk of Recidivism Tool.
Continue improvements in staff communications on recruiting and work place support	<ul style="list-style-type: none">• The NPS is now able to offer, independently of the CRCs, support via the Staff Employee Assistance Programme and this has been communicated to the NPS and CRCs. The CRCs, as employers remain responsible for communicating to their staff the workplace support that is in place and for the majority of CRCs the arrangements will reflect those the Probation Trusts had in place. Information about vacancies is also included in the Transforming Rehabilitation bulletin and the NPS bulletin.

Specific findings in relation to the NPS

Test Gate 4 also highlighted the following findings in relation to the NPS. The following table details the actions being taken in relation to the recommendations and the progress that has been made to date.

Findings	Actions and Progress
One NPS region received a red rating (meaning they were found to have, at the time, either no clear action plan for how to address criteria or no clear action plan to get back on track and no workaround or contingency plan in place) as they were unable to make payments for all unpaid invoices and is reliant on SSC emergency payments.	<ul style="list-style-type: none">• Evidence from TG 5 is that understanding of Finance processes has improved since TG4 in this area; however, a large proportion of suppliers in this region continue to experience delayed payment, in part due to delays in the receipt of Purchase Orders. The region has a plan to commence divisional procurement support in January, in line with NPS Central long-term strategy to move from the National Hub, which should address issues relating to delayed supplier payments.
One NPS region received a red rating (meaning they were found to have, at the time, either no clear action plan for how to address criteria or no clear action plan to get back on track and no workaround or contingency plan in place) as they had identified that resourcing issues created key risks with regards to ICT & Data.	<ul style="list-style-type: none">• The NPS ICT Hub for this division has now gone live. In relation to training, a fortnight of national briefing sessions, attended by staff from both the NPS and CRCs, about the TS2 changes have just completed and all the relevant briefing materials are now available on the probation intranet. The materials have been designed so that they can be delivered to NPS and CRC staff simultaneously and the NPS are ensuring that trainers across all their divisions support the delivery of training in other divisions when this is practicable.• During the TG5 visit to this region it was stated that an nDelius training plan had been developed for the Region, which involves briefings of middle managers, some training events

	<p>and the identification of LDU super users to support the roll out.</p>
<p>Limited resource for ICT helpdesk and training. Recruitment for helpdesk underway; in some regions staff will not be appointed by go live (due to identifying correctly skilled staff and security clearance timings). Unable to train staff in TS2 and Ndelius changes due to resource limitations</p>	<ul style="list-style-type: none"> • NPS ICT support function is now live across all Regions. Recruitment to the 50 posts in the original design has progressed well. All divisional hub manager posts have been filled and consideration is being given to increasing staff numbers as call volumes stabilise. Priority is currently being given to support call resolution, where service levels are good, over service requests which has some impact for users. • Training materials for TS2 functionality have been distributed to both NPS and CRC personnel at national briefing events. Further local briefing events have been commissioned by providers where considered necessary to ensure information is suitably cascaded. The briefing events are being used to continue to reinforce messages as to the agreed business processes to be followed regarding Role Based Access Controls and nDelius recording. • A current priority is ensuring that these changes are well understood in advance of their deployment in mid December.
<p>Roles yet to be filled in NPS Hubs. Some tasks not completed due to lack of expertise or delays in completion due to reliance on workarounds.</p>	<ul style="list-style-type: none"> • Test Gate 5 recognised that recruitment into key roles remains a challenge across the NPS but progress has been made since Test Gate 4 to fill vacancies. • As previously mentioned the NPS have now also recruited corporate staff to cover the work in their divisional hubs, and

	<p>have processes in place for the hubs to support each other where there remain some resourcing pressures. Recruitment to the hubs is at different stages. Hubs in Wales, the North East, the North West, and the Midlands are fully staffed or within an accepted tolerance. Hubs in London, the South West and the South East remain under-staffed. Adverts for the last stage of the recruitment process to hub posts have now closed and, with the exception of the South West, the number of candidates post-sift exceeds the number of posts. Alternative models are under consideration for the South West including over-recruitment to other hubs to provide remote support to the South West and, in the interim, agency staff.</p> <ul style="list-style-type: none"> • Contingencies have been in place since June and will not be dismantled until hubs are sufficiently staffed. Contingencies include: all i-procurement activity being undertaken through established NOMS hub teams; and additional support to HR administrative activity from the NOMS HR hub. • Significant investment has been and continues to be made in training and briefing to increase NPS staff understanding of and compliance with corporate processes. Significant progress has been made since June with a corresponding reduction in the level of re-work required of the hubs. The NPS continues to keep under review the effectiveness and sufficiency of the admin hub model.
<p>Workload pressures impacting process compliance. Staff carrying higher caseloads than acceptable in steady state (all high risk), with potential impact on staff morale. Pressures at</p>	<ul style="list-style-type: none"> • In Test Gate 5 NPS regions provided evidence that they are managing the position. Some regions have introduced workforce planning committees, and all have workforce

court impacting timeliness.

planning processes.

- Test Gate 5 also stated however that until there is a corporate workforce plan, supported by a workforce management tool, it is difficult to forecast with accuracy and regions remain more reactive in their approach than they would like.
- The NPS are developing a new, national workload management tool in consultation with the probation unions. This builds on the tool previously developed by London Probation Trust and used by over 20 of the 35 Trusts. Its functionality is being developed to more accurately reflect the relative weight to be attached to work events following the introduction of TR processes. A 'beta' version is in use now by Performance & Quality teams to monitor caseloads. A full version will be subject to consultation before Christmas and rolled out before service transition.
- The balance of work for individual staff has changed as a result of Transforming Rehabilitation, with NPS staff now providing all of the pre sentence reports (PSRs) to courts and managing high risk and MAPPA cases, while CRC staff no longer manage any high risk or MAPPA cases. Under the final design CRC staff will not be allowed to prepare PSRs, although to facilitate the transition, in some locations, CRC staff have been used to prepare court reports on an interim basis.
- Management Information shows that the vast majority of

	<p>reports are prepared within the timescale requested, and we have engaged with the judiciary to monitor the extent to which the new changes have impacted on the ability of the NPS to deliver sentencing reports. Feedback from the Courts is that probation has operated safely throughout the process of transition.</p> <ul style="list-style-type: none"> • Instances of high workloads are being appropriately dealt with by recruitment and use of sessional staff (staff who take on extra work on a temporary basis to cover a particular need). • A review of the NPS operating model, E3 programme, has been commissioned to develop and implement any changes required to achieve an efficient, effective and excellent NPS. Phase 1, to complete by April 15, will review and assess the Probation core delivery areas with a view to implementing changes from June 15 onwards.
<p>Performance data limited. Deputy Directors unable to accurately report on performance and put contingencies and mitigation in place in areas where performance may have dipped.</p>	<ul style="list-style-type: none"> • Significant progress has been made since TG4 with respect to performance reporting and national reporting is in place. In addition, with the exception of London, Performance & Quality teams are able to produce reports at a local and individual level across a number of metrics. Where this is in place, it has aided business decisions, such as targeted training for RSR completion.
<p>Separation of CRC and NPS NPS remains reliant on the CRC's post contract signature and services need to be formalised into contracts – financial and reputational impacts attached</p>	<ul style="list-style-type: none"> • NPS suppliers have now been created on the Shared Services system and where it has become apparent that it is necessary for a new contract to be set up this is now in train. For those areas (operational agency workers; report writers; personal support and clinical supervision; personal alarms; mobile

	<p>telephones and dongles; and local ICT support) an agreement between the Secretary of State – on behalf of the NPS – and the CRCs has been drawn up so that the NPS can continue to access these services through contracts held by the CRCs at cost. In parallel, work is underway with MoJ procurement to put in place contracts for the NPS to access services as soon as possible, and by service transition date where possible.</p>
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Specific findings in relation to CRCs

Test Gate 4 also highlighted the following findings in relation to the CRCs. The following table details the actions being taken in relation to the recommendations and the progress that has been made to date.

Findings	Actions and Progress
<p>One CRC received a red rating (meaning they were found to have, at the time, either no clear action plan for how to address criteria or no clear action plan to get back on track and no workaround or contingency plan in place) as the Estate was only 79% statutory compliant, having reduced from 86% compliant in July.</p>	<ul style="list-style-type: none"> Investigation shows Estate Directorate monthly performance reports indicating a minimum statutory compliance of 98% since June 1. The CRC has adjusted its reporting regime and reports from October are consistent and demonstrate high compliance.
<p>One CRC received a red rating received a red rating (meaning they were found to have, at the time, either no clear action plan for how to address criteria or no clear action plan to get back on track and no workaround or contingency plan in place) due to reported incidents when offenders have arrived for appointments without pre-notice, where the CRC have had no information on the offender. The CRC reported that where this happened it was considered a serious risk to staff and public protection.</p>	<ul style="list-style-type: none"> The new system for probation services in place since 1 June 2014 is designed so that there are clear ways for CRC staff to gain access to the information they require. It is a normal part of probation practice for an initial interview to be conducted with new offenders without having full information. However, the MoJ is aware that there have been issues in ensuring that all probation staff are aware of the processes by which they can access relevant information. In response, therefore, clearer guidance has been disseminated, including to the relevant CRC, to raise awareness amongst CRC staff as to the process by which to gain access to this information. Discussions about this issue have also taken place locally through the Systems Integrations Group. TG5 has observed significant progress in terms of operational

	<p>process and interfaces, with robust plans in place to ensure performance continues to improve. Data available evidences this is already occurring, however, isolated incidents at local level will remain.</p>
<p>Many CRCs are reliant on “dual access” (having both an NPS and CRC account) which is planned to be reset in January 2015. The challenge is to improve staff understanding of Non-Statutory Interventions (NSI) and the correct protocols for accessing the required data.</p>	<ul style="list-style-type: none"> • The new functionality in the next ICT release will mean that the workaround that has been in place to give some users "dual access" will no longer be needed. We have moved the date of doing this from December to January to provide additional time for organisations to put in place and action plans to prepare for the removal of dual access. • A list of staff requiring receptionist access rights in each CRC has been sent to the central Programme team. • National guidance on NSIs has been received by CRCs and will be disseminated to staff. • A number of CRCs will be holding staff briefing days to issue guidance to staff affected by the change.
<p>Managing Probation Officer (PO) vacancies as a result of possible increased in workload, staff attrition, change and recruitment into the Prison estate.</p>	<ul style="list-style-type: none"> • CRC CEOs are communicating collectively with NPS Deputy Directors and NOMS Leaders to reach a national solution. • A number of CRCs are making adjustments to their Operating Model to maximise the PO resource, allocate more cases to POs and ensure adequate training and support mechanisms are in place. • Workload Management Tools (WMTs) are used to effectively manage workload. • PO recruitment campaigns are in train • CRCs are committed to PQF allocations for the next cohort.
<p>A decrease in the number of Specified Activity Requirements</p>	<ul style="list-style-type: none"> • Evidence suggests that interface meetings are being used

<p>(SARS) and Accredited Programmes. This has been attributed to a number of factors including fewer recommendations in PSRs and changes to sentencing trends.</p>	<p>effectively to discuss the service provided between CRC and NPS and how recommendations are delivered to the court by NPS. The Department also monitors the situation through its Management Information, although volumes for each requirement needs to be considered in the wider context of overall probation caseload, which has decreased in recent years. Changes to the volume or case mix of overall caseloads may affect completion volumes for particular interventions.</p>
<p>Cases allocated from the NPS to the CRC are falling short of the requisite quality and timeliness present a challenge to CRC delivery</p>	<ul style="list-style-type: none"> • CRCs are proactively monitoring this situation, recording logs of cases received with incomplete information and sharing this information with the NPS in order to improve performance. • Issues with the case allocation process are discussed regularly at interface meetings with the NPS. • NPS regions have made good progress since Test Gate 4, with regards to Case Allocation timeliness and RSR completion, since TG4 and the trajectory suggests expectations further improved CAS timeliness and RSR completion rates will be achieved by Service Transition. • Not having a full set of information is not something new to the Transforming Rehabilitation programme. Under the Probation Trust system an offender might begin supervision before all relevant information was available for him, for example because he had been sentenced by a court that was not in the same area as his local probation, or because probation were waiting for information to be provided by partnership agencies. It is a normal part of probation practice for an initial interview to be conducted with new offenders without having full information available.
<p>Although interface protocols are in place many are built</p>	<ul style="list-style-type: none"> • All interface protocols are signed off and viewed as workable.

<p>predominantly on strong relationships between current staff. Challenge is that processes for interaction between the CRC and NPS are not formalised when commercial providers are introduced.</p>	<ul style="list-style-type: none"> • Contract Management and Systems Integration Group meetings are embedding well and shared learning is being undertaken as part of business as usual processes.
<p>Partnerships and stakeholders might disengage with CRCs post share sale (anecdotal evidence of this currently). The Integrated Offender Management function is reliant on engagement from partnerships. Engagement of Police and Crime Commissioners (PCCs): Interface between PCCs, CRC and NPS not clear.</p>	<ul style="list-style-type: none"> • NPS and CRC SMT are actively conducting briefings in the communities to ensure that their partners are informed of the changes that are taking place as a result of TR. • System Integration Group meetings are being used to discuss the interface with partners and there is a communications strategy in place for sharing information with key stakeholders at different stages of the Programme. This has included direct engagement nationally with the PCCs and the provision of information about the interplay between Integrated Offender Management and the Transforming Rehabilitation reforms.

Specific Findings in relation to Corporate Services

Test Gate 4 also highlighted the following findings in relation to Corporate Services. The following table details the actions being taken in relation to the recommendations and the progress that has been made to date.

Findings	Actions and progress
<p>Finance: De-segregation of NPS contracts may not complete by Service Transition</p>	<ul style="list-style-type: none"> • TG5 found that the separation of NPS Services provided through CRCs is well advanced, with the first tranche of NPS contracts having been migrated onto existing NOMS contracts on 3 November. Plans are in place to migrate the second tranche in early December, which will enable coverage in all but five areas of exception detailed below. • Side agreements have been developed, requiring CRCs to continue the provision of agency staff, mobile phones and personal safety alarms beyond Service Transition. NPS is working with MoJ procurement to fast-track the establishment of suitable replacements for each of these contracts.
<p>Finance: Challenge in extracting complete and accurate cost data from certain CRCs and this may continue in the build up to Service Transition</p>	<ul style="list-style-type: none"> • This issue is now being managed by MoJ Finance and clear communications are being sent to CRCs to mitigate this risk.
<p>Finance: Pension warranties may not be ready for sign-off at the time of Service Transition if CRCs are non-compliant with Greater Manchester Pension Fund (GMPF) policies and Local Government Pension Scheme (LGPS) regulations. Admission Agreements may not be closed at Service Transition if employee's eligibility is not agreed between MoJ and GMPF</p>	<ul style="list-style-type: none"> • The project to put in place a pension solution has now closed as access to the Local Government Pension Scheme (LGPS) for NPS and the CRCs has been achieved. The NPS has been confirmed as a Scheme Employer and all CRCs are now admitted bodies in the LGPS. Furthermore, the LGPS Admission Agreements, the Secretary of State Guarantees and the Admission Agreements have all been executed. Any

	<p>residual work is being handed over to be dealt with under business as usual arrangements at the beginning of December. Management arrangements are operating effectively to deal with individual appeals and other individual casework.</p> <ul style="list-style-type: none"> • With regards to pension warranties, GMPF will provide a negative statement confirming that they are unaware of any non compliance of the CRCs with the LGPS Regulations.
<p>ICT & Data: Approval of the low level business requirement for data archiving is delayed and electronic archiving may not be achieved by 31st Oct</p>	<ul style="list-style-type: none"> • Electronic archiving plans have been base lined, however the delivery timeline is challenging. Contingencies have been developed should this activity need to continue post service transition.
<p>ICT & Data: TS2 OASys delivery may not be fit for purpose due to omissions, by the business, in the original requirements</p>	<ul style="list-style-type: none"> • Additional functionality requested was added to the code which is on track for go-live in December. User Acceptance Testing has completed with no outstanding defects.
<p>ICT & Data: TOM for NPS ICT Support may fail to be delivered by amendment date, driven by a roll out timetable on the critical path with no contingency for delays</p>	<ul style="list-style-type: none"> • NPS ICT support function is now live across all Regions. Recruitment to the 50 posts in the original design has progressed well. All divisional hub manager posts have been filled and consideration is being given to increase staff numbers as call volumes stabilise. Priority is currently being given to support call resolution.
<p>ICT & Data: Complete timetable for testing phases are still to be confirmed and there are likely to be overlaps, leaving no time for effective and efficient defect resolution. Business operations may be compromised by a high number of high severity incidents</p>	<ul style="list-style-type: none"> • The vast majority of defect resolution has been successful. As of 26 November we know there will be 4 workarounds which relate to specific, detailed elements of functionality. These are all manageable and guidance explaining them will be provided

found in live service following TS2 nDelius rollout

to users in week commencing 1 December.

Business and System Readiness

Test Gate 5 Report

OFFICIAL SENSITIVE

Authors | BSR Test Team
Document Owner | Martin John

27th Nov 2014

Executive summary

Set out below are estimates of confidence against the criteria that Test Gate 5 was designed to assure. The statements are qualitative and are intended to reflect findings drawn from NPS and Central Function reports alongside CRC assessments.

TG5 Purpose	Target	Confidence	Evidence
<i>Are NPS operational processes on the right trajectory for Service Transition?</i>	Regions have implemented measures to ensure Operational Processes are conducted in accordance with PIs and are meeting defined targets	H	<ul style="list-style-type: none"> Data now available to monitor the timeliness of RSR completion and Case Allocation with positive trends towards Service Transition. Revised guidance on RSR completion has been issued, which regions have adopted. Service levels to courts have been maintained, PSR timeliness and SDR/FDR rates are stable; some courts identified where performance needs to improve. Regions are awaiting the roll-out of a national workload management tool and in certain areas have established workforce committees to address resourcing challenges. Multiple recruitment campaigns are in progress across all Regions and a major review of court practices is underway to drive improvements into the new operating model. Regions have attended ICT briefings and are in the process of devising training plans for staff. Improvements in performance reporting are a significant step forward compared to TG4.
	Regions are aware of vacancies within their organisation and are planning appropriately for the future	M	
	Regions are prepared for ICT upgrades and are informed as to their responsibilities to support TR	H	
<i>Are CRCs addressing key risks from TG4?</i>	CRCs have demonstrated that risks to successful delivery of Service Transition are identified and appropriate controls are in place.	H	<ul style="list-style-type: none"> Risk management practice observed within CRCs is appropriate; Risks are recorded, actively managed by allocated owners and periodically reviewed at risk boards. Control measures for the residual risks in the lead up to Service Transition are in place and are being managed actively.
<i>Are key corporate service risks being addressed?</i>	Regions are financially independent of the CRC and are able to pay supplier for goods and services received	H	<ul style="list-style-type: none"> Regions have a better understanding on Finance procedures with an increase in conformity with respect to supplier payments. Contingency arrangements are in place, via side contracts for CRCs to continue the provision of agency staff, mobile phones and personal safety alarms. MoJ Estates are actively progressing activity to mitigate known risks to the estates, some of which are non TR-related. No critical estate risks have been identified in the build up to Service Transition.
	Estate risks identified during TG4 are under active management control, to ensure statutory compliance for Service Transition	H	

Improvements continue to be made (some significantly, such as performance data and reporting); resourcing and recruitment continues to require active management

Section 1

Summary of Findings

This section covers the key findings of the Test Gate and related challenges

Introduction and approach

Background

- Test Gate 4, which reported in early October, highlighted some significant areas of CRC and NPS progress since the 1st June separation. It also identified areas which required continued focus ahead of Contract Award.
- Test Gate 5, the last Test Gate prior to the Contract Award milestone, was conducted in mid November. Its aim was to provide an assessment of progress on the areas of focus identified during Test Gate 4 and to consider readiness for service transition.
- This report provides information and evidence covering business functions associated with both operations and corporate services, with a particular focus on the NPS. As guided by the Programme's Implementation & System Acceptance Board (ISAB), testing has sought to answer the following key questions:
 - *Are operational processes with the NPS on the right trajectory toward Service Transition?*
 - *Have CRCs put appropriate mitigations in place to manage risks, identified during TG4, ahead of Service Transition?*

Focus of Testing

- All NPS regions were visited and a desktop exercise, concentrating on specific areas of challenge arising from Test Gate 4, was conducted with all CRCs and central functions. Follow-on engagement was by exception, based on analysis of returns.
- Following NPS visits, moderation exercises took place to ensure consistency of assessment across the functions.
- During the testing process, findings were fed into the Programme's Mobilisation and Transition Coordination Centre, where appropriate, to maximise programme and operational engagement while testing continued.

Contents of the report

- This report outlines the results from this testing cycle. It provides an assessment of the current state and a trajectory towards service transition, structured by theme, across Corporate Functions and the NPS, building on a developed understanding of the business challenges across CRCs.
- The competition sub programme is currently in the commercial preferred bidder phase. Engagement with suppliers, looking ahead to mobilisation post contract award, has been active and is ongoing and has therefore not been assessed as part of this work. The Crown Commercial Service is leading an assessment of the capability, contract management planning and implementation of the NOMS Rehabilitation Services Directorate (RSD) and these are therefore aspects that have not been included in this Test Gate.

RAG ratings

This report uses the same standard notation for RAG rating as used in previous Test Gate reports. These RAG ratings provide an absolute view of the state of evidence provided by respondents. Where appropriate, as recommended by the Major Projects Authority, RAG ratings are supplemented by progress indicators.



Criteria not met or milestone not on track

- AND no clear action plan for how to address criteria
- OR no clear action plan to get back on track AND no workaround or contingency plan in place



Not on track

- EITHER a clear action plan is in place to rectify;
- OR viable workaround and contingency plans are in place



Criteria met AND on track.

- Meets the expected progress at this stage in the programme

Key Findings – Corporate Services

The list below are the key findings drawn from engagement with MoJ Finance, Pensions, ICT and Estates Teams.

Theme	RAG	TG5 Findings
Finance & Pensions	G	<ul style="list-style-type: none"> The separation of NPS services provided through the CRC is well advanced, with the first tranche of NPS contracts having been migrated onto existing NOMS contracts on 3 November. Plans are in place to migrate the second tranche in early December, which will enable coverage in all but five areas of exception detailed below. Side contracts have been developed requiring CRCs to continue providing ongoing access to the following contracts beyond Service Transition: Pre-Sentence Report writers, operational staff, clinical support, mobile phones, personal safety alarms. NPS is working with MoJ procurement to fast-track the establishment of suitable replacements for each of these contracts. Pensions Admission Agreements, including eligibility criteria, have been signed and agreed with the Greater Manchester Pension Fund (GMPF) (hosting pension arrangements for all probation staff) and all members of the CRCs are entitled to the Local Government Pension Scheme. The agreements allow for the eligibility to be automatically closed at Service Transition.
ICT and Data	A	<ul style="list-style-type: none"> The ICT sub programme has made good progress since Test Gate 4, and remains on track for delivery. nDelius remains on track with the main challenge to delivery around the time it could take to fix defects that may be identified for resolution ahead of go-live. Any workarounds required will begin to be identified in late Nov along with potential for impact upon operational users. Electronic archiving plans have been base lined, however the delivery timeline is challenging. Contingencies have been developed should this activity need to continue post service transition. Activity to Baseline performance measures to allow performance reporting has been delayed from its initial delivery date, however there is high confidence this work will complete early in the new year. Payment mechanism is on track for delivery with dry runs scheduled for Dec. PAG are progressing with plans to develop performance reports against each of the BAU metrics, expected early next year. It is understood that whilst PAG will be producing national level reports, NPS P&Q functions will have access to lower level data to produce local reports at LDU and individual level. NPS ICT support function is now live across all Regions. Recruitment to the 50 posts in the original design has progressed well; All divisional hub manager posts have been filled and consideration is being given to increase staff numbers as call volumes stabilise. Priority is currently being given to support call resolution, where service levels are good. Training materials for TS2 functionality have been distributed to both NPS and CRC personnel at events held at Newbold Revel, with the responsibility on the Regions to ensure staff are prepared for the changes. As has been mentioned in previous reports, communications from the ICT programme could continue to be improved to ensure that the Business is fully aware of its responsibilities.
Estates	G	<ul style="list-style-type: none"> MoJ Estates is actively progressing resolutions to a small quantity of issues, some of which pre-date the TR Programme. During TG4, concerns were raised by one CRC that its estate was only 79% statutory compliant. Investigation showed Estate Directorate monthly performance reports indicating a minimum statutory compliance of 98% since June 1. The CRC has adjusted its reporting regime and reports from October are consistent and demonstrate high compliance.

Key Findings – NPS

The list below are the key findings drawn from interviews with the Deputy Directors, senior management teams and operational staff of NPS regions.

Theme	RAG	TG5 Findings
Operational processes	G	<ul style="list-style-type: none"> • Case Allocation: Significant progress has been made in this area since Test Gate 4. The majority of the regions are either achieving or are on track to achieve the Dec target with a positive trajectory towards Service Transition. Revised guidance on RSR completion, combined with data at LDU level and targeted intervention plans, where needed, have enabled this. It should be noted that there are variances across regions, with some isolated instances of performance in courts below expected levels, albeit with an observed positive trend. A continued focus will need to be maintained, supported by the data, to ensure current expectations (2 working days) are met with the required quality (RSR completion). Some regions, notably XXXXX, reported very positive figures on RSR completion which indicate that Service Transition targets are highly achievable. • OASys: Whilst PI guidance on the process for completing OASys is well documented, variances both across and within regions were observed, with practitioners utilising OASys, nDelius and CAS to complete assessments. There are plans to ensure consistency in this area, with a short term solution which will see OASys as the primary vehicle for completion implemented shortly. • Risk Escalation: The process is working effectively across all NPS regions, with some local variations to how the process is managed, either locally or via a central risk escalation team. Overall, the number of rejections is small and interaction with the CRCs appears to be uniformly effective. • Enforcement: No issues of a significant nature were raised in relation to Breach; continuous improvement activities will ensure increased consistency of process across NPS regions. XXXXX, is a particular good practice case, where a central prosecution team has been established. This provides consistency across the region and importantly a central body to liaise with CRC colleagues in both processing Breach and providing feedback on process and quality.
People & Training	A	<ul style="list-style-type: none"> • Recruitment into key roles remains a challenge across the NPS but progress has been made since Test Gate 4 to fill vacancies. Rolling recruitment campaigns are underway and further intakes of staff are expected in January and March. Vacancy returns are being monitored by NPS centrally with a view to assessing the additional resource need, but the expectation is of improvements and pressures continuing to balance between now and Service Transition. Regions continue to use sessional and agency staff to ensure service delivery is maintained. Recruitment into other corporate areas, where there is less competition on resource, has been positive. • Shared Services processes are cited as hindering effective recruitment in tandem with the competitive market for qualified operational staff. Forthcoming graduation of PQF learners will be a positive step, as will Cohorts 2 and 3, but these do add to supervisory requirements in the regions. • NPS regions provided evidence that they are managing the position. Some regions have introduced workforce planning committees, and all have workforce planning processes. However, until there is a corporate workforce plan, supported by a workforce management tool, it is difficult to forecast with accuracy and regions remain more reactive in their approach than they would like. • A review of the NPS operating model, E3 programme, has been commissioned to develop and implement any changes required to achieve an efficient, effective and excellent NPS. Phase 1, to complete by April 15, will review and assess the Probation core delivery areas with a view to implementing changes from June 15 onwards.

Key Findings – NPS (continued)

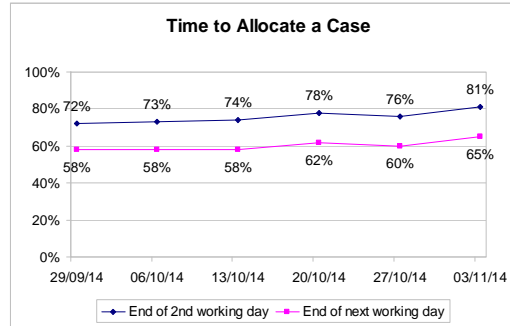
The list below are the key findings drawn from interviews with the Deputy Directors, senior management teams and operational staff of NPS regions.

Theme	RAG	TG5 Findings
Finance, Legal & Commercial	G	<ul style="list-style-type: none"> On the whole, missed or late supplier payments are rare and no significant concerns were raised regarding the ability of the NPS to pay suppliers in a timely manner. The NPS has demonstrated signs of adapting to the cultural shift posed by Civil Service delegations of authority; for instance, by aggregating purchase requests within regional Administrative Hubs to reduce the burden upon approvers. General understanding of NPS responsibilities within the procurement process appears comprehensive within SMTs and has been cascaded to staff. One region is currently an exception and a large proportion of suppliers are experiencing delayed payment, in part due to significant delays in the receipt of Purchase Orders. The region outlined its plan to commence divisional procurement support in January, in line with NPS Central long-term strategy to move from the National Hub, which should address issues relating to delayed supplier payments. The move to the NPS operating model has resulted in some contract management activity being brought in line in anticipation of business as usual. Some concerns were raised as to Middle Managers' ability and experience to perform this role. Change managers are providing support to those staff and the intention will be to centrally manage contracts where possible.
ICT & Data	G	<ul style="list-style-type: none"> Significant progress has been made since TG4 with respect to performance reporting. With the exception of one NPS, P&Q teams are able to produce reports at a local and individual level across a number of metrics. Where this is in place, it has aided business decisions, such as targeted training for RSR completion. The maturity of training plans for the introduction of nDelius and OASys upgrades varies across the regions. Train the trainer events have taken place and learning materials have been provided. It is recognised that training capacity is varied, however alternative methods of cascading guidance and information are in place. There remain some specific issues with Assisted Technology (AT) users in some areas, where they are yet to be migrated, but with plans in place to manage at a local level. NPS ICT support prioritises AT user calls, but supply chain challenges can be problematic when equipment fails.
Interfaces	G	<ul style="list-style-type: none"> Relationships with partners and stakeholders are being maintained as business as usual and comprehensive stakeholder engagement strategies have been developed in certain regions. Interface protocols have been formalised, reviewed and are viewed as workable. It is recognised that some individuals' relationships have scope for development. Where identified, the relationships are not viewed by regional Deputy Directors as detrimental to operational performance.

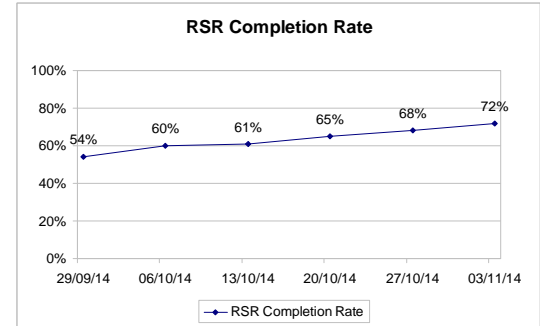
NPS and Corporate Function Achievements Since TG4

Case Allocation

- Data available at the point of TG5 Testing indicates that on w/c 3 November 81% of cases were allocated within two working days.
- The percentage of cases allocated within two working days and one working day increased by 9% and 7% respectively from w/c 29 September to w/c 3 November.
- The national average for cases allocated within two working days is currently above the 5 December expectation of 75%. Trajectory is encouraging for the expectation of near 100% cases allocated within two working days at Service Transition.



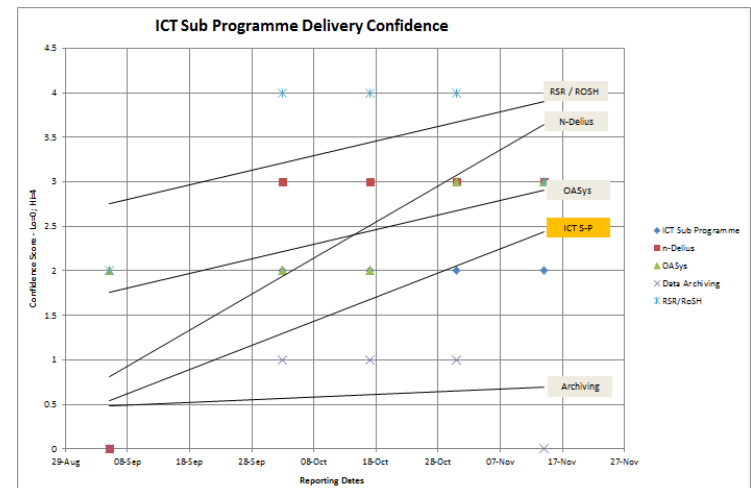
Source: RSR Allocation Process Weekly Report National 22 Sep - 9 Nov



- RSR completion has increased by 18 percentage points from w/c 29 September to w/c 3 November. This is a significant improvement, driven by the introduction of a single version of the RSR tool and the distribution of revised guidance. Further improvements are expected as the new process embeds.

ICT Delivery Confidence

- Overall Delivery confidence remains at Amber, reflecting various challenges across workstreams. Additional governance boards have been established and plans are in place to manage Go-Live risks
- n-Delius: Activity remains on track for Go-Live on 16 December with planned milestones met. Testboards have been put in place to manage this critical activity.
- OASys: Remains on track for Go-Live on 8 December. User Acceptance Testing has completed with no outstanding defects.
- Data Archiving: Work is currently underway to plan and coordinate activity and resources. Risk of delivery due to resource availability and volume of work for CRCs.
- RSR/RoSH: RSR tool is live and RoSH has successfully passed UAT with a two week pilot now in train.



Source: ICT Sub-Programme Status Report

Key Challenges (relating to Corporate Services)




There are a number of challenges still to work on. From the evidence presented, reasonable actions are underway to address them.

Area	Key challenges	Activities	Projection at ST
Finance	There is a need to ensure the National Procurement Hub can provide timely support to the NPS, managing off-system invoices, outstanding requisitions and non compliant spend requests.	<ul style="list-style-type: none"> As the Hub's capability increases and the NPS understanding of the procurement process continues to improve, this issue will be gradually mitigated. In the short term, temporary resource has been provided to clear the invoice backlog The longer term solution, involves delegating procurement support to Regional Hubs. 	<ul style="list-style-type: none"> The invoice backlog is expected to be cleared and processes will have bedded in, allowing the National Procurement Hub to provide a high quality service. Procurement support may have been delegated to Regional Hubs for certain regions, including XXXXX.
Finance	Under LGPS regulations, it is a requirement that all CRCs have a discretionary benefits policy in place prior to Contract Signature. There is the potential for this activity not to have been completed within the prescribed timescales.	<ul style="list-style-type: none"> MoJ Pensions are monitoring the submission of discretionary benefits policies to GMPF and additional communication has been sent to CRC CEOs detailing the requirement to submit this data to the GMPF. 	<ul style="list-style-type: none"> This will have been resolved prior to Contract Award.
ICT	Ensuring the timely delivery of baselined performance metrics (schedule 9).	<ul style="list-style-type: none"> Activity is underway to extract and assess the 4 metrics still in development (SL10, 11, 15, 17) Of note, 2 of the assessed metrics (SL3, 4) are currently well below expected levels and require further consideration. 	<ul style="list-style-type: none"> Confidence is high that activity to baseline all 11 metrics (out of 17) will be complete in advance of Service Transition.
ICT	Delivery of NDelius changes to planned timescales, ensuring any defects are identified and workarounds planned	<ul style="list-style-type: none"> Any workarounds required for defects that cannot be fixed will begin to be understood and planned from the 24th November. 	<ul style="list-style-type: none"> Expectation is that the full TS2 requirement set will be delivered by Service Transition.
ICT	CRCs have the rights to use software from the point of Service Transition	<ul style="list-style-type: none"> Work is on-going with suppliers to confirm continued use of ICT software. Confirmation from SAP is outstanding and is being progressed by MOJ commercials. 	<ul style="list-style-type: none"> It is expected that all licence agreements will be in place.

Key Challenges (relating to NPS)





There are a number of challenges still outstanding to the programme. From the evidence presented, reasonable actions are underway to address them.

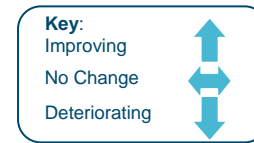
Area	Key challenges	Activities	Projection at ST
People and Training	<p>Active management of the NPS vacancies position over the period to service transition, recognising the potential for reduced staff morale and high workload levels in certain areas.</p>	<ul style="list-style-type: none"> Multiple recruitment campaigns are in train. Workforce Planning Committees have been introduced in certain areas and a Divisional Workforce Resource Tool is utilised in XXXXX. The introduction of the National Workload Management Tool will allow NPS regions to proactively manage workload. The graduation of PQF learners will increase the resource pool for operational positions. 	<ul style="list-style-type: none"> Whilst management of the situation will improve with the introduction of the National WMT, the overall NPS vacancy rate is not expected to change significantly by the point of Service Transition.
Operational Processes	<p>Whilst current CAS and RSR completion statistics indicate the NPS is on the right trajectory towards Service Transition, variations across the country will need to be managed.</p>	<ul style="list-style-type: none"> Exception reports are run at an individual and LDU level to identify where performance is under-average and drive improvement. National and local level guidance has been issued to improve staff understanding of the process for uploading RSR scores to n-Delius. Continual improvement is expected as processes continue to embed. 	<ul style="list-style-type: none"> Given the current trajectory and pro-active management, there is confidence that the programme expectation will be achieved by Service Transition.

Key:
 Improving 
 No Change 
 Deteriorating 

What will be achieved by Service Transition (ST)

The table below is taken from the Test Gate 4 report that shows the assessment of what may be achieved by Service Transition; updates have been made to reflect the findings from Test Gate 5 .

Theme	Objectives	Confidence		Projection for ST at TG4	Projection for ST at TG5
		TG4	TG5		
Governance & Organisation	Formal contract management governance forums operating and appropriate risk management in place	M		<ul style="list-style-type: none"> Governance structures likely to be in place and work currently underway to define the delegated authorities for approvals and resource allocation 	<ul style="list-style-type: none"> Contract management meetings will have become BAU Business risk management practices will be in place with appropriate controls in place Continuing trend of improved performance reporting
People & Training	Recruitment to CRCs and NPS largely achieved; staff resilience achieved in terms of appropriate skills and experience	M		<ul style="list-style-type: none"> There is a competitive jobs market with Prisons, NPS, CRCs and local authorities all vying for PO resource or skillset. CRCs and NPS largely operating well with level of vacancies however there may be protracted incidents of sick leave / absence 	<ul style="list-style-type: none"> NPS regions and CRCs will continue to have vacancies across operational and corporate areas. Workload management tool will be live, enabling NPS regions to more accurately conduct workforce planning There will likely be continued reliance on sessional and agency workers in courts. Staff trained will have completed TS2 related ICT training
Operational Processes	Finalised training and full familiarity with revised operating procedures, strong feedback from NPS, CRCs and courts that operations are performing well	H		<ul style="list-style-type: none"> CRCs are very largely operating successful local operations and are working well with NPS colleagues, anticipate that this will continue – effective liaison and cooperation at national, regional and local levels 	<ul style="list-style-type: none"> Levels of RSR completion and Case Allocations will be at expected levels Enforcement processes will be operating effectively, albeit it with some regional variations which will continue post ST Risk Escalation process embedded, effective discussions and learning via management groups. Review of court processes and ways of working will be near completion.
Finance	Budgets for CRCs agreed and budget controls in place. NPS are able to pay suppliers	H		<ul style="list-style-type: none"> Anticipate a short intense period of work to agree how to address each item on the value tracker that identifies CRC spend on behalf of NPS but fully expect financial controls and budgets to be in place. 	<ul style="list-style-type: none"> Regions will have sufficient understanding of Finance procedures and continuing improvements to timeliness of supplier payment are expected. Regions increasingly less reliant on CRC for procurement with a contingency in place where necessary.



What will be achieved by Service Transition (ST) (continued)

The table below is taken from the Test Gate 4 report that shows the assessment of what may be achieved by Service Transition; updates have been made to reflect the findings from Test Gate 5 .

Theme	Objectives	Confidence		Projection for ST at TG4	Projection for ST at TG5
		TG4	TG5		
ICT and Data	TS2 requirements delivered in full	M	↑	<ul style="list-style-type: none"> Significant work has been undertaken with Steria to agree the commercial arrangements to deliver the TS2 requirements specification; however there is a large volume of work to complete and these requirements and associated training has yet to be determined and communicated 	<ul style="list-style-type: none"> TS2 will have been delivered Training sessions will have taken place across regions, assisted by centrally provided materials.
Legal and Commercial	CRCs able to demonstrate full compliance with statutory operational commitments	H		<ul style="list-style-type: none"> This is currently the case and not a position expected to deteriorate – new owners may indeed bring this into sharper focus 	<ul style="list-style-type: none"> The expectation is that CRCs will be able to demonstrate compliance with statutory operational commitments.
Estates	Future plans for the estates completed and issues clearly communicated with a mitigation plan in place	M	↑	<ul style="list-style-type: none"> Although it is not expected that Estates will be an issue there are a number of issues that pre-date TR that remain; this is likely to be a key focus for new owners 	<ul style="list-style-type: none"> All estates will have achieved expected levels of statutory compliance MOJ Estates will continue to address on-going issues which are wider than TR.
Interfaces	Feedback from stakeholders and partners demonstrate that aspects such as IOM continue to be delivered effectively	H	↔	<ul style="list-style-type: none"> This is currently the case and although single or dual representation at events such as Safeguarding Boards may still require resolution this is not seen as an area of risk 	<ul style="list-style-type: none"> Relationships with Statutory and Non-Statutory partners will continue to function well Interface agreements between NPS and CRCs will continue to improve and greater clarity will have been achieved on representation at key Boards and continued improvement in terms of quality of input from both CRC and NPS

Updates to challenges faced by CRCs at Test Gate 4

During Test Gate 4, a number of challenges were identified, relating to CRCs. From the evidence presented in TG5, reasonable actions are underway to address them.

Theme	Key challenges	Actions	Projection at ST
ICT and Data	<p>Many CRCs are reliant on dual access and this is planned to cease in January 2015. The challenge is to improve staff understanding of Non-Statutory Interventions (NSI) and the correct protocols for accessing the required data</p>	<p>TG4 Actions</p> <ul style="list-style-type: none"> ICT Sub-Programme to issue clear and more specific guidance on Non-Statutory Interventions. Some CRC's issuing local guidance and working with staff to reduce use of dual access. <p>TG5 Progress</p> <ul style="list-style-type: none"> A list of staff requiring receptionist access rights in each CRC has been sent to the central programme. National guidance on NSIs has been received by CRCs and will be disseminated to staff. A number of CRCs will be holding staff briefing days to issue guidance to staff affected by the change. 	<ul style="list-style-type: none"> Appropriate CRC access levels will be in place, along with full use of NSIs. CRCs may be taking the opportunity to review Business Continuity Plans to provide assurance on access to data.
People and Training	<p>Managing Probation Officer (PO) vacancies as a result of: possible increases in workload, staff attrition, change and recruitment into the Prison estate.</p>	<p>TG4 Actions</p> <ul style="list-style-type: none"> Recruitment drive across CRCs to fill already agreed vacancies. Workforce planning and re-aligning the organisation to best fit the workforce. Temporary staff to be recruited in the interim. Train current PSOs to manage complex domestic abuse offenders. CRCs to request PQF allocations from next cohort. <p>TG5 Progress</p> <ul style="list-style-type: none"> CRC CEOs are communicating collectively with NPS DDs and NOMS Leaders to reach a national solution. A number of CRCs are making adjustments to the Operating Model, to maximise the PO resource, allocate more cases to PSOs and ensure adequate training and support mechanisms are in place. Workload Management Tools (WMTs) are used to effectively manage workload. PO recruitment campaigns are in train. CRCs are committed to PQF allocations for the next cohort. 	<ul style="list-style-type: none"> PO vacancy rates are likely to remain through to Service Transition, with active management in tandem with NPS recruitment. Where applicable, changes to the Operating Model and the use of WMTs will enable CRCs to manage this situation and further improvements will be expected under new ownership.
Operational Processes	<p>A decrease in the number of Specified Activity Requirements (SARS) and Accredited Programmes. This has been attributed to a number of factors including fewer recommendations in PSR's and changes to sentencing trends.</p>	<p>TG4 Actions</p> <ul style="list-style-type: none"> Increased engagement between CRC's and sentencers – where possible facilitated by NPS. CRC's to promote suite of interventions to NPS to ensure they are considered in PSRs. SIG meetings to highlight and monitor any dips in proposals via the NPS. <p>TG5 Progress</p> <ul style="list-style-type: none"> This topic was not considered directly during TG5; however interface meetings are reported as an effective tool to manage the service provided between CRC and NPS and how recommendations are delivered to the court by NPS 	<ul style="list-style-type: none"> Analysis of the sentencing process (underway already in regions such as SW) may be required or continued should this remain a feature.

Updates to challenges faced by CRCs at Test Gate 4 (continued)

During Test Gate 4, a number of challenges were identified, relating to CRCs. From the evidence presented in TG5, reasonable actions are underway to address them.

Theme	Key challenges	Actions	Projection at ST
Operational Processes	Ensuring cases allocated from the NPS to the CRC demonstrate appropriate quality and timeliness.	<p>TG4 Actions</p> <ul style="list-style-type: none"> Discussions being held at national, regional and local management level. SIG meetings to deal with the issues as they arise. Interface meetings between CRC's to cover operational process reviews and discuss process issues and ways to resolve. Solutions in Partnership team are addressing such issues and disseminating examples of leading practice <p>TG5 Progress</p> <ul style="list-style-type: none"> CRCs are proactively monitoring this situation, recording logs of cases received with incomplete information and sharing this information with the NPS in order to improve performance. Issues with the case allocation process are discussed regularly at interface meetings with the NPS. Relationship between XXXXXXXX and XXXXXXXX have not yet matured to the extent that has been evidenced within other regions. The CRC expressed concerns regarding below-average CAS timeliness and RSR completion in one regional court, whilst court visits highlighted the need for improved focus on quality; however, overall, XXXXX is operating above the national average for both CAS timeliness and RSR completion. Evidence from the NPS visit suggests that positive progress will continue to be made in the build up to Service Transition. 	<ul style="list-style-type: none"> The timeliness for RSR and CAS completion will improve and likely reach expected levels by Service Transition There may well remain isolated incidents of where timeliness targets and / or quality levels are not achieved.
Interfaces	Although interface protocols are in place many are built predominantly on strong relationships between current staff. Challenge is that processes for interaction between the CRC and NPS are not formalised when commercial providers are introduced.	<p>TG4 Actions</p> <ul style="list-style-type: none"> Outstanding interface protocols to be signed off. SIG Meetings to encourage formalised interface between NPS and CRC – both parties present. <p>TG5 Progress</p> <ul style="list-style-type: none"> All interface protocols are signed off and viewed as workable. It has been noted that senior relationships in certain regions require improved focus. 	<ul style="list-style-type: none"> Interface protocols formalised and adhered to Governance boards within Rehabilitation Services Directorate (incl CRCs) will escalate most interface issues between CRCs and NPS
	Partnerships and stakeholders disengaging with CRC's post share sale (anecdotal evidence of this currently). The IOM function is reliant on engagement from partnerships. Engagement of PCC's: Interface between PCC's, CRC and NPS not clear.	<p>TG4 Actions</p> <ul style="list-style-type: none"> CRCs sharing the information of the successful bidder as soon as possible to alleviate any concerns. Leverage of current relationships between CRC's and their partnership / stakeholders. <p>TG5 Progress</p> <ul style="list-style-type: none"> NPS and CRC SMT are actively conducting briefings in the communities to ensure that their partners are informed of the changes that are taking place as a result of TR 	<ul style="list-style-type: none"> Interaction with stakeholders continues to be maintained Services continue to be delivered during a period of significant change

Recommendations

There are a number of actions that could be put in place to ensure further the confidence in the successful delivery of Service Transition and of the end state model thereafter:

Area of Focus	Recommendations
<p>Test Gate 5 has identified the NPS Probation Officer vacancy position as a challenge. Data was not collected from CRCs, although a similar picture is expected in a competitive job market.</p>	<p>1. Increased focus from a national perspective to assess requirements of respective organisations and to coordinate recruitment activity across NPS, CRCs and Prisons.</p>
<p>Inefficiencies in the Shared Services recruitment process have been stated by NPS SMTs as a barrier to filling vacant roles within the organisation; vetting also cited as a challenge.</p>	<p>2. An assessment of the root causes of recruitment process delay should be made to determine whether this is exclusively an issue of Shared Service process and policy (including vetting) or a more systemic challenge</p>
<p>Test Gate 5 has evidenced that RSR completion rates and case allocation timeliness have improved and the trajectory for Service Transition is encouraging. CRCs continue to state this as an area of concern, quoting specific courts where performance is below expected targets.</p>	<p>3. Continued focus and monitoring by the NPS leadership to maintain an improving trend towards Service Transition for RSR and CAS completion timeliness and quality.</p>
<p>Regional understanding of ICT TS2 requirements will be particularly important to ensure a smooth transition following Go-Live.</p>	<p>4. Continued focus from the ICT sub-programme on effective communications with their stakeholders.</p>
<p>It has been evidenced through this Test Gate that all Interfaces have been formalised and in the main are operating effectively. There are isolated examples where relationships at senior levels could be improved.</p>	<p>5. Senior Contract Managers to monitor the interface agreements, feeding strengths and areas for improvement back to the Regional Deputy Directors, in support of effective relationships at senior and working levels.</p>
<p>CRCs have raised concerns over the removal of dual access RBACs.</p>	<p>6. Continued focus on the distribution of advice on the use of NSIs across both the CRCs and NPS regions. Cluster leads given responsibility to ensure their teams are following correct procedures.</p>