



National Offender  
Management Service

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

**2014-17**

**Between**

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

**Her Majesty's Prison Service**

**in the**

**Yorkshire and Humberside region**

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## SECTION 1: DEFINED TERMS

### Defined Terms

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

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

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<b>Service Specification</b>	A document specifying, for each service in the <b>NOMS Directory of Services</b> , the outcomes and outputs to be delivered.
<b>SLA Delivery Requirement</b>	A specific, commissioned output delivered by the <b>Establishment</b> or on behalf of the <b>Establishment</b> .
<b>SLA Delivery Requirement Level</b>	The agreed level at which the output is expected to be delivered. The <b>Establishment's</b> performance will be monitored and assessed against this level.

## SECTION 2: FORM OF AGREEMENT

### 2.1 Purpose and Scope of this Document

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

## 2.2 Agreement

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

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

Name (Print): Simon Boddis

Position: Head of Commissioning Group

Date: 28 March 2014

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

Name (Print): Paul Baker

Position: Deputy Director Custody

Date: 26 March 2014

## SECTION 3: REGIONAL CUSTODIAL PROFILE

### 3.1 The Region

- The Directorate of Public Sector Prisons manages a number of prisons within the Yorkshire and Humberside geographic region. The list includes 7 male closed, one male open, one female closed and one female open. The region also contains one male local prison run by the private sector and two High Security prisons which are managed under separate arrangements.
- The region is committed to promoting joined up systems and PSP work in partnership with HSE, YJB and private contractors wherever possible. These form a number of 'mini-systems' in the region, where establishments are committed to improve the offender journey.
- The shape of the region has altered significantly over recent months and is still undergoing change. HMP Wolds moved back to the Public Sector Prisons Directorate in 2013 and has now merged with the neighboring prison, HMP Everthorpe to create a new Prison, HMP Humber which will be managed by one Governor. HMP Northallerton was closed at the end of December 2013.
- Yorkshire and Humberside as a region are committed to delivering six strategic priorities which we believe reflect the work required for us to deliver against the wider Ministry of Justice aims and objectives, and to achieve a transformation in the way justice is delivered.

### 3.2 Prison Population

#### Prison Capacity

Within the Yorkshire Region there is a total operational capacity of 9,429 places available including the High Security Estate and Privately Managed Prisons.

- Yorkshire and Humberside public sector prisons (non High Security) have a total combined operational capacity of 6640 places, including 553 women's places.
- Additionally there are 1367 High Security places
- 276 Young person places for Young People at HMYOI Wetherby.
- HMP Doncaster is a Category B local and is currently privately managed by Serco this establishment has an operational capacity of 1146.

This is a reduction on the previous year as a result of the closure of HMPYOI Northallerton in December 2013.



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### Population Profile

In September 2013\* the total number of offenders residing in Prisons within Yorkshire and Humberside was 9214 offenders (including those within the High Security & Juvenile /Women's Estates and privately managed prisons). 71% of these offenders were from the Yorkshire & Humberside region.

- Within the Public Sector Prisons there were 6731 offenders, of which 72% were from the YH region, with 3% from North East, and 12% from North West.
- The one privately managed prison in the region 'HMP Doncaster' had 1141 offenders identified in the data. 93% were from the Yorkshire region, 0% from North East and 1% from North West.
- The two High Security Estate prisons 'Full Sutton & Wakefield' had 1342 offenders in total of which only 21% were from within the Y&H region, 19% from North West and 6% from North East.

92% (8507) offenders are adult (aged 21+), of which 450 are female. 6% (505) were young adults (18-21), of which 26 are female and 2% (202) were juveniles, all of whom were male.

There were 1495 offenders identified as Indeterminate sentenced offenders (ISP), 64% had a Life sentence and 36% had an IPP sentence:

- High Security Prisons had 57% of the total ISP offenders, of which 18% were IPPs and 82% had life sentences
- Male Public Sector Prisons (non High security) region had 38% (569) of the regions total ISPs, 25% were IPPs and 75% had Life sentences.
- The Female Prisons of Askham Grange and New Hall had 3% (48) of all ISPs, with 42% being IPPs and 58% had Life sentences.
- HMP Doncaster (PMP) had 2% (26) of the total ISPs in region, with 9 IPPs and 17 Life sentences.

\*Data taken from the Offender Location Tool September 2013

### **3.3 Regional Segmentation Profile**

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

The segmentation data is a profile of the Yorkshire & Humberside region, which includes 10

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Public Sector Prisons (non High security) (including 2 female establishments), 2 High Security Prisons, 1 Young Persons (under 18) and 1 privately managed prison.

Nationally there were 66,866 offenders within the segmentation data cohort. (12%) 7,705 offenders were identified within the segmentation data as being within Yorkshire & Humberside Prisons. When reviewing risk of reoffending (OGRS) data regionally:

- 25% were low risk (0-24) of re-offending,
- 21% were medium risk of re-offending (OGRS 25-49)
- 33% were high risk of re-offending (OGRS 50-74)
- 18% were very high risk of re-offending (OGRS 75-89)
- 3% whose risk of re-offending was prolific (OGRS 90-100)

Those offenders whom are high risk of re-offending are the most prevalent group within this region. The 25% of offenders whom are low risk of re-offending generally would not require services beyond those described as Core, however within this group are 588 sexual offenders who are identified as high risk of sexual reoffending on the OSP. The risk of reoffending levels within the Yorkshire and Humberside region were representative of the national profile, only those with a medium risk of reoffending were 1% lower than the national profile and high risk of reoffending offenders were 1% higher in region than the national profile.

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

- 35% of offenders in the region were violent offenders
- 22% of offenders had an acquisitive offence
- 16% of the regions offenders were sexual offenders
- 10% were convicted of Robbery
- 12% had a Drugs offence
- 2% had motoring as their main offence
- 3% had an offence classified as 'Other'

Violence, Acquisitive and Sexual Offenders are the most prevalent groups within this region. When reviewing the levels of each offence type against the national picture again the figures are generally representative, the exception being the level of sex offenders is slightly higher at 16% compared to 14% nationally and drugs offenders are slightly lower at 12% regionally compared to 14% nationally.

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

- 37% had a sentence length of 4 years or more (determinate sentence)
- 27% serving between 1-4 years.
- 19% had an indeterminate sentence.

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- 9% of the offenders had 12 months or less to serve
- 8% of offenders were identified as recalls.

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

- 4711 offenders in the region with an identified sentence end date
- 38% of these offenders had <6 months left to serve
- 17% had between 6 months and 1 year remaining on their sentence
- 17% had between 1 and 2 years left to serve
- 17% had between 2 and 5 years left of their sentence
- 11% had 5 or more years of time remaining to serve

The risk of violent reoffending assessment (OVP) data was analysed for the 2673 offenders identified as having violence as their main offence, including criminal damage and public order offences only (excluding ISPs, Recalls, unsentenced, non-criminal and young people (<18)).

- 27% were identified with a low risk of violent re-offending (OVP 0-29) and
- 35% scored a medium risk of violent reoffending (OVP 30-59);
- 13% were high risk of violent re-offending (OVP 60-79)
- 3% at very high risk of violent re-offending (OVP 80-99).
- 21% of the offenders with a violent offence had no valid OASys assessment.

There is also some national data analysis on the level of Domestic Violence offending within the violent offenders group. In Prisons, nationally, 16% of violent offenders are a current Domestic Violent perpetrator. 27% are perpetrators at some other time for Domestic violence, leaving 57% whom are not Domestic Violent perpetrators. On this basis up to 1149 offenders in the Yorkshire & Humberside region may be a Domestic Violence perpetrator currently or at some other time. It is important to note that there may be additional offenders whom are or have been a domestic violence which is not part of their index offence.

When reviewing how much time these Violent offenders had left to serve, 12% had a medium or higher risk of violent reoffending with 2 or more years left to serve on their sentence.

The OSP score is an OASys sexual offence risk tool and segmentation data provides an overview of those offenders identified with having a sexual index offence. 1362 offenders were reviewed for their risk of re-offending (with a current sexual offence including those with a sexual motivation /element which are not statutory sexual offences only and excludes unsentenced, non-criminal and young people (<18)):

- 28% of offenders with a sexual offence had low risk of sexual reoffending (OSP score 0-11)

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- 34% of these offenders were identified as medium risk of sexual re-offending (OSP score 12-14),
- 26% were high risk of sexual reoffending (OSP score 15-17).
- 13% had a very high risk of sexual reoffending (OSP score of 18-32).

35% of the sexual offenders within the Yorkshire geographical region had an OSP of medium or higher and had 2 or more years left to serve.

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

### 3.4 Custodial Provision in the Region:

Name	Security Cat	Population: Male/Female/YO/ Juvenile	Size (Op cap)	Specialist/ National Function	PSP Annex to SLA (yes/no)
Askham Grange	Open	Female	128	Womens estate	Yes
Humber	Cat C	Male	1062	Adult male Cat C resettlement	Yes
Hatfield	Cat D	Male and YOI	266	Cat D and YOI Open	Yes
Hull	Cat B	Male	762	Local	Yes
Leeds	Cat B	Male	1212	Local	Yes
Lindholme	Cat C and Cat D	Male	1010	Adult male Cat C working Prison	Yes
Moorland	Cat C	Male	943	*Includes sex offenders*	Yes
New Hall	Closed prison	Female	425	Womens estate, remand & sentenced prisoners	Yes
Wealstun	Cat C trainer	Male	832	Adult male resettlement	Yes
Wetherby	Closed	Juvenile	276	male children and young people 15-18	No
Doncaster	Adult male Cat B local	Male and YOI	1146	Adult male resettlement	No
Full Sutton	Cat A	Male	616	HSE	No
Wakefield	Cat A	Male	751	HSE	No

### 3.5 Resettlement Prisons

Name	CPA
HMP Leeds	West Yorkshire
HMP Wealstun	West Yorkshire
HMP Doncaster	South Yorkshire
HMP Hatfield	South Yorkshire
HMP Moorland	South Yorkshire
HMP Hull	North Yorkshire, Humberside & Lincolnshire
HMP Humber	North Yorkshire, Humberside & Lincolnshire
HMP New Hall	Female Establishment

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

There are 4 mini systems operating in the region;

1. East Yorkshire - Humber, Hull and Full Sutton.
2. West Yorkshire – Leeds, Wealstun and Wakefield
3. South Yorkshire - Lindholme Moorland, Hatfield and Doncaster.
4. Female - New Hall and Askham Grange

The mini system approach was devised to enhance an offender journey with the aim of ensuring that on release the potential for that offender to commit further offences is reduced, as well as looking for more efficient ways of working. The prisoner arrives at the local prison and undergoes an induction which includes an OASys assessment and **iTES**, education assessment. The prisoner is moved, when appropriate, to the training prison within the mini system, and plans are made for effective resettlement on release.

If necessary the offender flow will be adapted once the estate has been realigned on the implementation of the Through The Gate operating model. The population reconfiguration changes brought about by the TTG programme and the creation of the Contract Package Areas will be reviewed regularly to inform the population flow.

A Range of accredited programmes are provided in region, delivering evidence-informed, well targeted interventions and services to reduce reoffending. Currently some of the more intensive violence programmes (Self Change Programme and Building Better Relationships) are not available in YH and offenders are transferred outside the region to access these.

## SECTION 4: COMMISSIONING INTENTIONS

### 4.1 A Regional Response to Commissioning Intentions

CI Title & No.	Response to Commissioning Intention	Where appropriate, name which establishment/s annex will provide further detail
1. Enhance public protection and ensure a safe, decent environment and rehabilitative culture	<p><b>Position statement</b></p> <ul style="list-style-type: none"> <li>• <u>Rehabilitation</u> - Our Regional Reducing Reoffending Strategic Priority will support rehabilitation and reducing re-offending initiatives across the Yorkshire &amp; Humberside region. The strategic lead will ensure national evidence of best practice is fed into local strategies and continue to review current measures to provide the most effective regional tool to drive continuous improvement.</li> </ul> <p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ All establishments will achieve or maintain a score for their "Personal Development" dimension of the MQPL questionnaire that improves on their previous score and is equal to or above the national average for their type of establishment.</li> <li>➤ All establishments will equal or better their PRS Reducing Re-offending performance of Quarter 4 2013 during each successive year of this SLA.</li> <li>➤ Proxy measure – ETE and accommodation outcomes will be monitored by the reducing reoffending lead and fed into an analysis of progress against this commissioning intention during each summary of performance against this priority.</li> </ul>	<p><b>Strategic Priority One</b></p> <p>"We will support rehabilitation and reducing reoffending initiatives across the Yorkshire and Humberside Region" <b>Lead Chris Dyer Governor HMP Hatfield</b></p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p>

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	<ul style="list-style-type: none"> <li>• <u>Safe environment</u> - We will promote a corporate and consistent approach to the misuse of drugs and alcohol, encapsulated in our “Zero Tolerance” Strategy. This will be reinforced by the regional security meeting, and will be supported by the Regional Board. Resources to tackle the reduction of drugs and mobile phones into prisons are managed on a regional basis, and diverted according to need. We will continue to support the Regional Prison intelligence unit by providing the police with experienced team members to ensure positive information sharing. Information received will assist in developing prison security and risk assessing the management of individual prisoners whilst in custody and upon release. The introduction of mercury will support opportunities for wider analysis and a joined up approach with Criminal justice partners.</li> </ul> <p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ Reduction in MDT in each establishment to below the average for its comparator group, and for this position to remain for the duration of this SLA (all establishments)</li> </ul> <ul style="list-style-type: none"> <li>• <u>Safer Prisons</u> - We will continue to share learning, and best practice, on suicide and self harm via the regional safer custody meetings, monitoring trends and informing policy. The regional risk register will continue to review the risk on a quarterly basis. Violence will not be tolerated and will be dealt with robustly.</li> </ul> <p><b>Success measure</b></p> <ul style="list-style-type: none"> <li>➤ Reduction in deaths in custody year on year for the duration of this SLA</li> <li>➤ Green Safer Custody audits will be achieved by all prisons</li> <li>➤ Green rating for violence management on PRS will be achieved by all prisons</li> </ul>	<p><b>To be monitored through the Regional Security Committee - lead Ed Cornmell HMP Humber and</b></p> <p><b>Strategic Priority Four</b> - “We will support each other in achieving high standards of performance throughout the region, improving our reputation and increasing public confidence through performance</p> <p><b>Lead Norman Griffin Governor HMP Hull</b></p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p>
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	<p>➤ Reduced number of assaults rate year on year.</p> <ul style="list-style-type: none"> <li>• <u>Public protection</u> – we make sure our responsibilities for protecting the public, including victims, are our highest priority, making sure that we contribute to public protection arrangements and ensuring risk is managed appropriately throughout an offender's journey in our custody.</li> </ul> <p><b>Success measure</b></p> <ul style="list-style-type: none"> <li>➤ All establishments will achieve at least a level three score on OASys quality</li> <li>➤ All establishments will achieve at least a level three score on Return of MAPPA forms</li> <li>➤ All establishments will achieve at least a level three score on Visor effectiveness</li> </ul> <ul style="list-style-type: none"> <li>• Each establishment in the region will fulfil a commitment to comply with the instructions set out in the National Security Framework and the Public Protection Manual and provide assurance that individual establishments' local security and public protection strategies will be kept up to date in line with current policy.</li> <li>• Mandatory training requirements are monitored via the SLA process to ensure the minimum requirements are met. Additional individual training needs are identified during the bi annual staff performance development review and any identified needs addressed accordingly.</li> </ul>	<p>All establishments</p> <p><b>Strategic Priority Four -</b> “We will support each other in achieving high standards of performance throughout the region, improving our reputation and increasing public confidence through performance</p> <p><b>Lead Norman Griffin Governor</b></p> <p><b>HMP Hull</b></p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p>
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2. Strengthen integration of service delivery between directly funded, co-commissioned providers and wider partners	<p><b>Position statement</b></p> <ul style="list-style-type: none"> <li>Partners will be sought who enable establishments to have confidence they have a shared set of aims and values. Prominent co-commissioning partnership relationships will be actively nurtured by designated lead Governors. Regular proactive meetings and engagement will take place with Health Commissioners. We will continue to support the delivery of the offender personality disorder strategy.</li> <li>We will introduce a personality disorder unit at HMP New Hall and explore the possibility, working with co-commissioners, of PD specialist services to identify and commission further new services whilst maintaining the PIPE unit at HMP Hull. CARE will be introduced at HMP New Hall to meet the identified need of the population.</li> <li>Lead Governors will continue to actively manage learning and skills delivery within their prison clusters.</li> <li>Prisoners in regional prisons are given access to employment and benefit workers to assist with maintaining current jobs or securing future work. Support onto the DWP work programme and in applying for job seekers allowance is also available. This includes the National Careers service and DWP.</li> </ul> <p>As the range and number of partners expands we will engage proactively, reviewing our approach and processes to accommodate new partners and providers.</p> <p>All establishments risk assess prisoners on induction to identify individual needs and any care and support requirements. Where necessary prisoners are located in cells or on wings which can cater to specific needs. Partnership relationships will continue to be developed with Local Authorities and NHS England to ensure integrated care and continuity of care between prisons and through the prison gate.</p> <ul style="list-style-type: none"> <li>A designated lead Governor will oversee the regional OLASS provision supported by</li> </ul>	<p><b>Strategic Priority Three</b></p> <p>“We will ensure that our relationships with partners and stakeholders positively contribute to the delivery of our strategic priorities.”</p> <p><b>Lead Susan Kennedy</b> <b>Governor of HMP Leeds</b></p> <p>***HMP New Hall, HMP Hull</p>

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	<p>Cluster Heads of Learning and Skills.</p> <p>Governance structures are in place at a regional, cluster and establishment level that include a Regional OLASS Pre Governance Board and Performance Review &amp; Planning Meeting. This is attended by all partners and stakeholders, and is held every six weeks.</p> <p>The meeting informs and reports to the Regional Governance Board, chaired by the DDC. This ensures alignment with regional and national learning and skills policy and priorities and the movement of funds, where appropriate. There is clear agreed governance for meetings; minutes are recorded and action plans are in place.</p> <p>We access reliable labour market information pertaining to the areas into which prisoners will be released. This is used to inform our curriculum which is regularly reviewed, so as to meet the needs of a diverse and changing prison population and maximise employment opportunities. We have established good relationships with employers and colleges in resettlement and we regularly refer prisoners to them. Prisoners are supported by the National Careers Service in career planning.</p> <p>All prisoners are screened for functional skills needs following reception and an assessment is undertaken by the OLASS provider. Maths and English courses are offered as well as courses that promote employability, self employment and business venture skills. Our regimes are planned so as to reduce any interruption to a prisoner's learning; sentence planning and IEP are used to effect in securing prisoner engagement in their learning.</p> <p>We work in collaboration with our OLASS and NCS providers, closely monitoring recruitment, attendance and punctuality and we are planning and maximising our resources to ensure that</p>	
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	<p>prisoner achievement is optimised, using our OLASS budget to the full.</p> <p>Through the Gate provision will become business as usual and we will work in a harmonious way with the Community Rehabilitation Companies (CRCs) who are selected to work within our CPAs</p> <p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ All partnerships will be at amber or green status on the Strategic Board RAG register or the necessary action\ escalation will take place.</li> <li>➤ Minutes of governance meetings will show OLASS funds being equally shared and utilised between clusters and prisons to ensure adequate education places are available in each establishment.</li> <li>➤ Positive outcomes for health and education will be reflected in HMIP reports during the period of this SLA.</li> <li>➤ Positive outcomes against employment on release targets.</li> </ul>	<p>All establishments</p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p>
3. Deliver an efficient, quality service	<p><b>Position statement</b></p> <p>We will work together to demonstrate value for money, and deliver within our regional budget, to make our cost per prisoner place as low as possible when compared to establishments from our comparator groups. All establishments will deliver cost effectiveness by implementing the required operating structure, and responding to the recommendations of the benchmarking team. The DDC will seek assurance, during visits to establishments, and during SLA reviews that the prison is meeting all performance targets, including the delivery of interventions. We will continue our commitment to Investors in Excellence, an accreditation which we believe reflects our desire to focus on “what matters most”, and to deliver a service which is of an excellent standard.</p>	<p><b>Strategic Priority Two-</b> “We will work together to demonstrate value for money and deliver within our regional budget to make our cost per place as low as possible”</p> <p><b>Lead Andrew Dickinson</b> <b>Governor HMP Wealstun</b></p> <p><b>Strategic Priority Four -</b> “We will support each other in</p>

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		<p>achieving high standards of performance throughout the region, improving our reputation and increasing public confidence through performance</p> <p><b>Lead Norman Griffin Governor HMP Hull</b></p>
	<p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ Each establishment will reduce their cost per prisoner place, year on year for the duration of this SLA.</li> <li>➤ Each establishment will move to the required operating structure under the benchmark recommendations.</li> <li>➤ Each establishment will be given a green rating under the Fair and Sustainable assessment of their workforce structures.</li> <li>➤ Each establishment will achieve a green rating for their use of the My Detail staff planning tool.</li> <li>➤ Each prison will maintain at least a level three performance rating.</li> <li>➤ Each establishment will achieve or maintain Investors in Excellence accreditation.</li> </ul>	<p>All establishments</p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p> <p>All establishments</p>

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4. Ensure delivery is matched to population, purpose and NOMS outcomes	<p><b>Position statement</b></p> <p>The regional Board will work closely with commissioners and continue to conduct regular reviews of service provision to ensure it meets need, such as the regional accredited programme review. The evidence gathered (and based on the evidence of the Commissioning Strategies Group) will be taken into account by the regional board when overseeing delivery at a regional level and to inform the delivery required for each segment of the population within an establishment. Where this is not economically viable, a hub will be set up for the delivery of more specialised services, particularly for serious violent offenders. Specialist services will be sought, via existing pathways, for those prisoners with a personality disorder. Work will continue with co-commissioners of Personality Disorder specialist services to identify and commission further new services. Domestic violence courses will be established to meet demand across the region. We will work closely with the estate reconfiguration process to make sure we maximise our ability to concentrate resources where they are most likely to meet need and that we can appropriately accommodate each population type.</p> <p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ We will implement the regional population reconfiguration plan in line with the transforming rehabilitation.</li> <li>➤ Accredited courses will achieve a green rating on audit.</li> </ul>	<p><b>Strategic Priority One</b></p> <p>“We will support rehabilitation and reducing reoffending initiatives across the Yorkshire and Humberside Region” <b>Lead</b> <b>Chris Dyer Governor HMP Hatfield</b></p> <p>All establishments</p> <p>All establishments</p>

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5. Ensure that delivery of services is responsive to individual needs and characteristics to maximise outcomes	<p><b>Position statement</b></p> <ul style="list-style-type: none"> <li>The region will focus on ensuring systems are in place to ensure relevant individual needs are assessed effectively, and the information shared appropriately, regularly monitored and reviewed. There will be a range of tailored service provision, including resettlement support from CRCs, accredited intervention programmes for offenders dependent on need, and work with voluntary agencies which will all have as their primary focus providing interventions which will reduce reoffending. Establishments with unique populations, such as juveniles and female offenders will continue to have their needs met in specialised establishments with a sole focus on this population*. This will be strengthened by close relationships with the policy leads and the potential introduction of more functional management relationships with this group of establishments.</li> </ul> <p><b>Success measures</b></p> <ul style="list-style-type: none"> <li>➤ Accredited courses will achieve a green rating on audit</li> <li>➤ HMP Wetherby, HMP New Hall and HMP Askham Grange continue to demonstrate good scores across MQPL and HMIP measures</li> </ul> <ul style="list-style-type: none"> <li>The regional prisons will utilise the standard processes in place for identification and assessment of individual needs within the first days in custody which include healthcare screening, education assessments, equalities questionnaires, safer custody and cell sharing risk assessments. In addition we recognise that a number of offenders may have possible unidentified learning disabilities and mental health problems. To meet this need we have additional screening and assessment arrangements in place for these areas of</li> </ul>	<p><b>Strategic Priority One</b></p> <p>“We will support rehabilitation and reducing reoffending initiatives across the Yorkshire and Humberside Region” <b>Lead</b> <b>Chris Dyer Governor HMP Hatfield</b></p> <p>All establishments</p> <p>* HMP Wetherby, HMP New Hall and HMP Askham Grange</p>

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	need and strategies for sharing assessment information across partners.	
6. Deliver priority national or specialist services	<p><b>Position statement</b></p> <ul style="list-style-type: none"> <li>• We will have a clear focus on developing our relationship with One3One and generating significant business leads for all of our establishments. There will be a particular focus on Lindholme, which will become a working prison and which will have a dedicated band 8 Commercial Engagement Manager *.</li> <li>• We will commit to our aim of increasing commercial income by 5%, but also endeavour to reduce the costs of production to enable each commercial workshop to move towards self-sufficiency.</li> <li>• NOMS' approach to the identification, assessment and management of extremist offenders will be supported by the DDC through monitoring and managing the performance of individual establishments in this area.</li> <li>• The Yorkshire and Humberside Region will ensure all relevant establishments have an appropriate Bail and/or HDC strategy in place.</li> <li>• Yorkshire and Humberside Region will monitor regional establishment's implementation or progress against the NOMS Video Action Plan. A designated Lead Governor will be the regional lead and will establish and maintain relationships with the relevant regional HMCTS HoC to enable joint working between prisons and courts. The region will support and develop working links with the regional Business Change Partner to support region wide improvement and will support /incentivise innovative establishment practice and business cases for expansion where appropriate or a priority.</li> </ul>	<p><b>Strategic Priority Six-</b> "We will introduce and progress income generation projects throughout the region"</p> <p><b>Lead Di Pellew Governor HMP New Hall</b></p> <p>*HMP Lindholme</p> <p><b>To be monitored through the Regional Security Committee - lead Ed Cornmell HMP Humber</b></p> <p><b>Strategic Priority Two-</b> "We will work together to demonstrate value for money and deliver within our regional budget to make our cost per place as low as possible"</p> <p><b>Lead Andrew Dickinson</b></p>

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	<p><b>Success measure</b></p> <ul style="list-style-type: none"> <li>➤ To increase income from commercial activity by 5% from the starting position in 2013/2014 when measured against the end position at 31<sup>st</sup> March 2018.</li> <li>➤ For the region to increase workshop activity places by 5% over the SLA period.</li> <li>➤ To note an increase in the numbers of use of conferencing facilities.</li> </ul>	
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## 4.2 Regional Development Objectives

	<p align="center"><b>Development Objectives</b></p> <p align="center"><b>What do you want to achieve? What will be the measurable outcome, how will you achieve this and by when?</b></p>	<p align="center"><b>Where appropriate, name which establishment/s annex further detail will be found</b></p>
1. Enhance public protection and ensure a safe, decent environment and rehabilitative culture	<p><b>Expectations</b></p> <p><u>Rehabilitation</u> - As a Region we will communicate our expectations for the development of new initiatives that support new ways of working, including:</p> <ul style="list-style-type: none"> <li>• Every contact matters – this will be based on the model developed by HMP Portland and the Five Minute Intervention. All prisons will contribute to the regional approach which will be approved by the regional strategic board and rolled out across all the prisons by March 2015</li> <li>• A Rehabilitative Culture – this will be piloted through the work at HMP Hull which is developing a “Dignity in Desistance” model.</li> <li>• Desistance theory – a Desistance Audit will take place which will identify gaps and good</li> </ul>	<p><b>Strategic Priority One</b></p> <p>“We will support rehabilitation and reducing reoffending initiatives across the Yorkshire and Humberside Region” <b>Lead Chris Dyer Governor HMP Hatfield</b></p>



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	<p>practice in current service provision. Once the model at Hull has been developed a staff training package will be rolled out across the region by March 2015.</p> <ul style="list-style-type: none"> <li>• Peer support workers (PID Workers) – these will be introduced across each Yorkshire and Humberside establishment.</li> </ul> <p><u>Outcomes will be measured by:</u></p> <ul style="list-style-type: none"> <li>➤ Quarterly review of progress and sharing of best practice at Strategic Board of Reducing Reoffending strategic objective.</li> <li>➤ Establishment MQPL outcomes on the personal development module will show improvement during the SLA period</li> <li>➤ Numbers of trained Peer Support workers to be monitored by HoLSE, with a target that all prisons have trained support workers in place by April 2015.</li> </ul> <p><u>Safe Environment</u> - We will develop a safer environment in our establishments through:</p> <ul style="list-style-type: none"> <li>➤ A review of the Regional Prison Intelligence Unit, to improve intelligence analysis and sharing plus co-ordination of police intelligence resources and Organised Crime Group nominal management.</li> <li>➤ Develop a Zero Tolerance approach to drugs within the region.</li> <li>➤ Regionally share best practice between establishments in the management of violence through development of the regional safer custody meeting.</li> <li>➤ We will ensure staff are trained, supported and engaged in our business to be able to deliver the objectives described in this SLA over the next three years</li> </ul> <p><u>Outcomes will be measured by:</u></p> <ul style="list-style-type: none"> <li>➤ Monitoring of stability returns detailing assaults and incidents.</li> </ul>	<p><b>Strategic Priority Four</b> - “We will support each other in achieving high standards of performance throughout the region, improving our reputation and increasing public confidence through performance</p> <p><b>Lead Norman Griffin Governor HMP Hull</b></p> <ul style="list-style-type: none"> <li>• Andy Croft to monitor</li> <li>• Ed Cornmell governor of HMP Humber to lead</li> <li>• Andrew Dickinson governor of</li> </ul>
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	<ul style="list-style-type: none"> <li>➤ Regional Security Meeting development, monitoring and ensuring actions are delivered with regular updates to regional SMB</li> <li>➤ Safer Custody meeting development and monitoring, leading to reduced numbers of SIDs and incidents of self harm during the period of this SLA</li> <li>➤ Establishment HMIP and MQPL outcomes will show improvements during the SLA period on measures relating to safety</li> </ul>	<p>HMP Wealstun to lead</p> <ul style="list-style-type: none"> <li>• All establishments</li> </ul>
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<p>2. Strengthen integration of service delivery between directly funded, co-commissioned providers and wider partners</p>	<p>We will strengthen and develop our key partnerships within the region, including:</p> <ul style="list-style-type: none"> <li>• <u>Health &amp; Social Care</u> To nurture facilitative, supportive relationships with NHS Health &amp; Justice Commissioners and implement the new regional governance arrangements within the mini systems.</li> <li>• <u>Personality Disorder</u> To regionally support and develop PD pathways in region with NHS and NOMS Personality Disorder commissioners, and introduce PD units at HMP New Hall and possibly Wealstun*, subject to the commissioners and the Offender Personality Disorder programme board support.</li> <li>• <u>OLASS</u> To strengthen current governance arrangements to ensure Manchester College are delivering a quality service which meets the needs of offenders within each establishment, which will be reflected in a new Governance board</li> </ul>	<p><b>Strategic Priority Three</b> “We will ensure that our relationships with partners and stakeholders positively contribute to the delivery of our strategic priorities.” <b>Lead Susan Kennedy</b> <b>Governor of HMP Leeds</b></p> <p>*HMP New Hall and Wealstun</p> <p>DDC responsibility</p>
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	<ul style="list-style-type: none"> <li>• <u>Police and Crime Commissioners</u> To develop links with Police and crime Commissioners in each region and ensure the needs of offenders in custody and plans for their release into the community are considered and included in the PCC crime plan.</li> <li>• <u>Transforming Rehabilitation</u> We will establish relationships with the community rehabilitation companies who will be assigned to each CPA, and ensure cooperation and commitment to delivering effective Through The Gate services.</li> </ul> <p>Local Authorities By April 2015 we will develop a co-commissioning relationship with Local Authorities and other Partners which seeks to:</p> <ul style="list-style-type: none"> <li>• Identify named contacts in prisons and local authorities</li> <li>• Develop a shared delivery plan including sharing aggregate and individual data to identify families meeting the Troubled Families Programme criteria</li> <li>• Explore current and new work opportunities to strengthen or extend proven interventions and services</li> </ul> <p><u>Outcomes will be measured by:</u></p> <ul style="list-style-type: none"> <li>➤ All partnership relationships will be RAG rated and efforts made to strengthen any identified weaknesses. All partnerships will be rated amber or green status on the Strategic Board's RAG register, reviewed quarterly.</li> <li>➤ Monitoring health and PD partnership through Regional Health Partnership Board and outcomes from mini systems.</li> </ul>	<p>All establishments</p> <p>All establishments</p>
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	<ul style="list-style-type: none"><li>➤ OLASS strategy will be developed and outcomes monitored at the quarterly regional OLASS board and via the OLASS Performance and planning meeting.</li><li>➤ Monitoring development of police/prison intelligence via Regional Security meeting.</li><li>➤ Attendance at key stakeholder engagement events</li></ul> <p>Partners and other providers have a positive impact on prisons beyond delivery of a service - integration of delivery by all providers is therefore vital in ensuring that we maximise investment and maximise outcomes for offenders. Recognising that the range and volume of partners with which we work is expanding, the DDC will ensure that by September 2014 prisons in this region review how they work with existing and new partners and providers (including by anticipating any changes as a result of Through the Gate) and create plans which describe how they will deliver:</p> <ul style="list-style-type: none"><li>• A clear strategic vision for how services align to maximise outcomes and create an integrated, seamless offender management service (including a shared understanding of outcomes and priorities)</li><li>• A clear agreed plan of how services sequence and compliment each other, providing continuity of services to offenders both within and across prisons (facilitating the needs of all providers and contractual partners to allow them to effectively deliver)</li><li>• Leadership which actively enables and integrates services, where partnership working arrangements improve performance and aid resolution of issues</li><li>• An understanding of resource allocation, and how delivery and choices impact on the investment and activity of others</li><li>• An agreement on how to safely use and share data and information</li></ul> <p>Progress towards implementation of plans will be monitored at a local level during</p>	
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	establishment visits and at a regional level at regional meetings to ensure strategic oversight and effectiveness is maintained.	
3. Deliver an efficient, quality service	<p><u>Regional Strategy for Service Delivery</u></p> <ul style="list-style-type: none"> <li>To maximise efficiency and prevent duplication, a regional strategy will be developed for the key segments of our prisoner population to inform future delivery of an efficient quality service both within the CPAs and across Yorkshire and Humberside, to include: <ol style="list-style-type: none"> <li>Sex offenders;</li> <li>Violent offenders (inc domestic violence);</li> <li>Acquisitive offenders;</li> <li>Short sentences;</li> <li>Indeterminate sentences (IPP/Lifers);</li> <li>Women and young people.</li> </ol> </li> </ul> <p><u>Service Management</u></p> <p>Regionally we will:</p> <ul style="list-style-type: none"> <li>Take forward the findings of the regional OBP review.</li> <li>Co-ordinate case management details for the region to identify gaps in risk assessment, backlogs of OASys assessments, prioritisation of IPP/ISPs and monitoring of risk of serious recidivism (RSR).</li> <li>Establish queuing of offenders within appropriate Contract Package Area (CPA) for engagement with Through The Gate (TTG) provider, as per the Transforming Rehabilitation reforms.</li> <li>Promote use of video conferencing and use of technology to enhance service delivery</li> </ul>	<p><b>Strategic Priority Two-</b> “We will work together to demonstrate value for money and deliver within our regional budget to make our cost per place as low as possible”</p> <p><b>Lead Andrew Dickinson Governor HMP Wealstun</b></p> <p>And</p> <p><b>Strategic Priority Four -</b> “We will support each other in achieving high standards of performance throughout the region, improving our reputation and increasing public confidence through performance</p> <p><b>Lead Norman Griffin Governor HMP Hull</b></p>

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	<p>and digital working to improve efficiency.</p> <p><u>Outcomes will be measured by:</u></p> <ul style="list-style-type: none"><li>➤ Regional level workshop for each segmentation group to be held with a policy produced and implemented within the lifetime of the SLA.</li><li>➤ OBP service delivery within establishments will be on target for the duration of the SLA.</li><li>➤ Regional target for all establishments in region to achieve at least a level 3 on PRS for resource management</li><li>➤ The correct proportion of offenders being located within their correct CPA</li><li>➤ Quarterly review of cost per prisoner place in establishments through value for money strategic objective.</li></ul> <p>By November the prison will review <u>the type</u> of strategies it employs, and the services and interventions it offers to ensure that the approaches being used are ones which are effective with the type of offenders that receive them, and that <u>the factors</u> being targeted for change are related to desistance, reduced reoffending and public protection, or a reduction in harmful institutional behaviour. It will draw on local data and evidence, including that provided within the NOMS Evidence and Segmentation Companion Document (available at <a href="http://www.justice.gov.uk/about/noms/commissioning">www.justice.gov.uk/about/noms/commissioning</a>.) when completing these reviews and have in place a strategy for developing its use of evidence to inform practice to maximise outcomes.</p> <p>By November the prison will develop and implement effective quality assurance processes which indicate whether the services, activity and interventions it provides are of an acceptable standard of quality and are having the impact they are intended to deliver. Information from these processes will be regularly reviewed by the senior management team and specific members of staff will be given responsibility for the QA processes and following through on</p>	
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5. Ensure that delivery of services is responsive to individual needs and characteristics to maximise outcomes	<ul style="list-style-type: none"> <li>All prisons in the region will be expected to have in place systems for the effective screening, identification and recording of all data relating to the protected characteristics of all their prisoners. This data should be routinely recorded on Prison-Nomis.</li> <li>Establishments will tailor their service provision based on identified characteristics such as described above.</li> </ul> <p><u>Outcomes will be measured by</u></p> <ul style="list-style-type: none"> <li>➤ Assurance will be sought by the DDC during SLA meetings and establishment visits</li> </ul>	
6. Deliver priority national or specialist services	<p><u>Business engagement and income generation.</u></p> <ul style="list-style-type: none"> <li>We will develop a strategy for business and commercial development to increase regime and income generation through the work of the West Yorkshire Business Development pilot and a regional approach to work in prisons, encouraging growth over next 3 years. This will be in close cooperation with One3One</li> </ul> <p><u>Restorative Justice\ Victim Awareness</u></p> <ul style="list-style-type: none"> <li>We will support the continuation of RJ/VA work in region through the identification of a regional lead for RJ/VA to offer support to prisons and establishing a support and</li> </ul>	<p><b>Strategic Priority Six-</b> “We will introduce and progress income generation projects throughout the region”</p> <p><b>Lead Di Pellew Governor HMP New Hall</b></p>



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	<p>development network for those staff working in the field of restorative justice and victim awareness.</p> <p><u>Outcomes will be measured by:</u></p> <ul style="list-style-type: none"><li>• Establishments reaching the 80% target set for hours worked in industry.</li><li>• Quarterly review of income generation strategic objective at the strategic board against the 5% target to increase commercial income across the region</li><li>• A feasibility study for a regional RJ resource to be published and acted upon within the lifetime of this SLA</li></ul>	<p><b>Strategic Priority Five</b> – “We will continue to invest in our staff and unlock their full potential while providing a safe and decent work environment where their contribution is valued”.</p> <p><b>Lead Sara Snell Governor HMP Wetherby</b></p>
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## SECTION 5: ACCREDITED PROGRAMME PROVISION

A summary of the Accredited Programmes provided in the Region

Accredited Programmes Provided within the Region							
	PSP		PMP		REGIONAL TOTAL		Total National Volume (Completions)
Name of accredited programme	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	Number of agreed starts (expected for 2014-15)	Number of agreed completions (planned total for 2014-15)	
<b>Programme Type: General</b>							
Thinking Skills Programme ( <b>TSP</b> )	310	279	0	0	310	279	3534
Focus on Resettlement ( <b>FOR</b> )	60	54	0	0	60	54	444
<b>Total</b>	<b>370</b>	<b>333</b>	<b>0</b>	<b>0</b>	<b>370</b>	<b>333</b>	
<b>Programme Type: Violent</b>							
Choices, Actions, Relationships, Emotions ( <b>CARE</b> )	16	14	0	0	16	14	36
RESOLVE	130	117	0	0	130	117	1472
<b>Total</b>	<b>146</b>	<b>131</b>	<b>0</b>	<b>0</b>	<b>146</b>	<b>131</b>	

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<b>Programme Type: Sex Offender Treatment Programme (nationally commissioned)</b>							
Core Sex Offender Treatment Programme <b>(C-SOTP)</b>	45	42	0	0	45	42	613
Adapted Sex Offender Treatment Programme <b>(A-SOTP)</b> (Becoming New Me) <b>(BNM)</b>	8	7	0	0	8	7	92
Living as New Me Adapted Sexual Offending Treatment Programme (LNM)	3	3	0	0	3	3	3
<b>Total</b>	<b>56</b>	<b>52</b>	<b>0</b>	<b>0</b>	<b>56</b>	<b>52</b>	
<b>Grand Total</b>	<b>572</b>	<b>516</b>	<b>0</b>	<b>0</b>	<b>572</b>	<b>516</b>	

## **SECTION 6: NOTICE OF CHANGE PROCESS**

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

### **6.1 Discretionary Changes**

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

### **6.2 Mandatory Changes**

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

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

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

### **6.3 Documenting changes**

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

## **SECTION 7: RESPONSIBILITIES, TERMS & CONDITIONS**

### **7.1 Responsibilities**

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

### **7.2 Delivery partners**

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

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objectives of partners.

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

### **7.3 Service Definition**

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

### **7.4 Audit, Assurance and Risk Management**

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

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conduct such investigation and/or proceedings, HMPS shall:

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

## **SECTION 8: MANAGING THE SLA**

### **8.1 SLA Review Process**

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

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

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

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

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

8.1.5 HMPS will provide service cost information through the INview costing system (supported by MyDetail and Phoenix).

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### **8.2 SLA Delivery Issues and Failures**

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

## **SECTION 9: FINANCIAL PROTOCOL**

### **9.1 Financial Framework**

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

### **9.2 Principles of the Annual Operating Price and Funding Arrangements**

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



## SECTION 10: ISSUES RESOLUTION

### 10.1 Issues Resolution Process

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

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**Annex A: Notice of Change and Business Case templates**

**NOTICE OF CHANGE (NoC)**

**Issued by:** [Insert: Commissioner or Provider details]

**In respect of:** [name of Establishment]

**Date of Issue:**

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

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

## Business Case template / checklist

**Issue**

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

**Timing**

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

**Cost**

[Any estimated cost implication.]

**Scope of Work**

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

**Benefits**

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

**Considerations**

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

**Special Issues**

[Any special issues for consideration.]