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| Prison Operator CompetitionMobilisation, Transition & Transformation Strategy |
| December 2022 |

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# Introduction

## 1.1 Statement of Purpose

The Mobilisation, Transition & Transformation Strategy sets out the key elements of successful mobilisation for existing prisons and should be used by bidders to assist the development of their mobilisation, transition and transformation strategy and bid response.

Our experience of contract mobilisation is that it is a critical time and an inherently challenging period for prisons when we are trying to create and embed a new culture, regime and set of processes for the prison. As such, mobilisation requires careful planning and monitoring to ensure the prison remains safe, decent and stable throughout.

Some of the content in this strategy is also set out as requirements in the mobilisation schedule **(Schedule 5)** in the Prison Operator contract and this strategy should be read in conjunction with that schedule. However, the requirements of the contract will always take precedence. Other areas are recommended but non-mandatory features that we would expect to see addressed within a Mobilisation Assurance Plan. Although both the Mobilisation, Transition & Transformation Strategy and Mobilisation Assurance Plan broadly set out the actions, we would expect the Contractor and Authority to take during mobilisation, transition and transformation, these should not be considered exhaustive.

The Contractor will be responsible for the successful mobilisation, transition and transformation of the prison, but this strategy and the emphasis we have placed on successful mobilisation in the contract demonstrates that it should be a period of close partnership between the Contractor, the Authority and other partners.

Due to the nature of Private Finance Initiatives (PFI), the Authority’s contract is with the Special Purpose Vehicle (SPV) who have sub-contracted the delivery of prison services to a third party known here as the Operating Sub-contractor. The PFI contract brings a unique dynamic to how the transfer of services from one contract to another will happen, thus the scheduling of regular checkpoint and interface meetings, informed by equally close relationships with the SPV and Operating Sub-contractor, allows for a timely, joint response to issues as they arise.

This document is intentionally written to outline the expectations around a transfer from an SPV/Operating Sub-contractor to a new Contractor as that is the most complex however, it does not presume that there will be a transfer from incumbent to new Contractor, that will be subject to the outcome of the Prison Operator competition.

The areas below, show where we expect the Contractor and Authority to develop shared objectives and ambitions during the mobilisation, transition and transformation periods.

### Shared vision

Contractors and their suppliers should seek to develop a shared understanding of the MoJ’s core partnership values and transformation agenda and the benefits of early engagement, specific to mobilisation. This will prevent a culture of silo working and ensure all stakeholders fully understand how their areas impact on mobilisation and the required outputs that need to be achieved.

Commitments should include:

* improving safety and security standards;
* increasing rehabilitation;
* reducing reoffending;
* transforming the nature of time spent in prison.

And have a particular focus on:

* tackling suicide, self-harm and levels of violence;
* improving the recruitment and retention of prison custody officers and other staff;
* improving resettlement outcomes and lowering reoffending rates.

### Leadership

Strong leadership is required from the start of the contract. Leaders in key posts need the experience and capability to build sound business infrastructure and operational processes, as well as inspire staff, to create a stable, safe regime that is balanced between control and rehabilitation. Contractors should demonstrate how they will ensure there is no reduction across key leadership roles and that any new leadership or senior management that is put in place assimilate quickly.

### Staffing, retention and recruitment

It is vital that Contractors train and retain the right staff to deliver a good service. When mobilising an existing prison, all current staff will require time to gain an understanding of the new requirement and working practices and should help to inform the cultural change of the site. Retention can be challenging, and other prisons have faced difficulties in retaining staff, especially when environmental or cultural issues have not been tackled.

The transition process should provide staff with the necessary knowledge and skills, ensuring all are aware of and bought in to the core values and Contractor’s desired culture for the prison as it transitions from one contractor to another. Supporting and developing staff is vital if the prison is to retain staff and keep attrition low.

### Training and culture

Establishing a new culture and ethos of the new Contractor after a long period with the previous Operating Sub-contractor and creating the right balance between rehabilitation, control and security is essential to successful mobilisation ensuring that this culture is a key theme in all staff training. This balance should be the thread that links everything that staff do in their day-to-day interactions and interventions.

Themes for achieving the balance between rehabilitation culture and dynamic security include:

* The attitudes and thinking that enable effective use of soft skills to:
	+ Achieve a supportive rehabilitative environment;
	+ Maximise the use of dynamic security.
* A focus on building staff-prisoner relationships with openness and transparency;
* Staff professionalism (‘staff confidence and competence in the use of authority’);
* Opportunities for prisoners to exercise some degree of autonomy;
* The importance of relationships and strong family links;
* Forming or renewing positive, supportive relationships;
* Strengthened community links and opportunities for prisoners’ self-development;
* Preparation and support for release and resettlement;
* Developing a pro-social identity, sense of purpose and self-determination;
* The development and maintenance of hope and motivation;
* Recognition and celebration of positive change;
* Mental health awareness;
* Importance and requirements attributed to effective security and control measures.

### Assurance

Post contract award, the Contractor will need to provide assurance on how mobilisation is progressing via updates against the Mobilisation Assurance Plan at regular checkpoint meetings throughout the Preparation for Service and into the 6-month Transition phase. This will enable emerging problems to be recognised and addressed in a timely manner. Assurance measures must be in place to support the achievement of the prison’s policies, values and targets at all levels. The Assurance Checklist **(Annex E)** details delivery expectations at each milestone, ensuring:

* proper internal controls are in place;
* that those controls are operating effectively;
* key risks are being managed to enable the mobilisation of the prison;
* a formal early warning system alert is in place to recognise emerging issues that may affect successful mobilisation.

### Engagement and communication

Throughout mobilisation, transition and transformation the importance of strong working relationships within and beyond the prison between the Contractor and Authority’s project/operational teams are key. Ensuring that communication remains an effective two-way process with the flexibility to address risk at its earliest opportunity. The right people with the right levers need to be available throughout the mobilisation period.

### Site specific requirements

Differences in prison sites are detailed in the site-specific competition data room, including the relevant site-specific Vision and MOD, and any relevant design and specification documents to take into account site-specific requirements related to the Committed Investment Works. The Committed Investment Works at HMP Altcourse are the construction and installation of a Video Conferencing Centre (VCC) adjacent and attached to the existing visits building; and ensuring sufficient generator capacity for the whole site, including the new VCC.

# Mobilisation Overview

## 2.1 Introduction

This section provides an overview of the preparation for service, transition and transformation (together the mobilisation period) for an existing prison, the key requirements across each phase of the mobilisation period and how the Authority will hold the Contractor to account through the Mobilisation Assurance Plan. Sections three to five then detail the actions expected to be seen in the distinct periods of preparation for service, transition and transformation.

The approach set out below for the mobilisation of an existing prison will vary from the approach taken for a new prison. In such cases the Contractor will not be building a new service from scratch but taking on an existing prison, with an existing staff group, without any gap in provision, and making the improvements in efficiency and effectiveness as set out in their bid and as required under the contract.

Although the Contractor will need to go through a preparation for service phase, just as it would for a new prison, instead of a *Ramp Up* phase (the period when new prisoner cohorts arrive on site) there will be a handover from one contract to another and then a period of transition and transformation as the Contractor implements and embeds the service it has set out in its bid and as defined under the contract.

This structure will be needed even where the provider currently running the prison wins the contract as the contract will have been agreed on different terms.

The diagram below shows a high-level overview of the three phases.



A more detailed flow chart overview of the exit, preparation for service, transition and transformation process is at **Annex B.**

## **2.2 Preparation for Service**

As with new prisons, the period of mobilisation (Preparation for Service) starts at the point of Contract Award (Commencement Date) until the Services Commencement Date, the date when the new Contractor takes on full control of the prison. Unlike new prisons, we would expect a re-competed prison to be at full capacity throughout the entire mobilisation period.

Attention to detail will be vital to assure a successful handover. During this period, mobilisation will cover the planning and delivery of all activities that are essential to the successful handover (transition) and operation of the prison including the development and integration of the Contractor’s proposals for delivering the contract requirements (transformation). As with all competed prisons, we will expect this should be set out in a Mobilisation Assurance Plan under the terms set out in Schedule 5 of the contract.

Due to the sensitive nature of some elements of mobilisation, and the criticality of this period, the Authority needs to ensure there are robust management processes in place and that there is close dialogue between the new Contractor, SPV/Operating Sub-contractor and the Authority.

More detail on the key activities to be undertaken during this period is at section 3.

## 2.3 Transition

Transition is defined as the period following the Services Commencement Date by which time the SPV/Operating Sub-contractor will have handed over essential services, property, assets, data and policy to the new Contractor to ensure a successful transition to the new contract. We expect transition to last for six months and though a relatively short period of time, the successful implementation of the transition phase is key to the whole handover process.

More detail on the key activities to be undertaken during this period is at section 4.

## 2.4 Transformation

The primary objectives of the Prison Operator competition are to secure marked improvements in the efficiency and effectiveness in the delivery of custodial services at the prison, which lead to improved outcomes, including a reduction in re-offending.

The key element of transformation will be the delivery and integration of the Contractor’s proposals for delivering these improvements in efficiency and effectiveness. These proposals will include the Committed Investment Works and any optional investment works the Prison Operator intends to complete. Some activity including planning related to all types of investment works may commence in the Preparation for Service and Transition periods. To ensure these improvements last, it is essential that clear planning, organisation, coordination and management are in place both during and beyond the transformation phase to deliver these benefits as they are realised. We would expect these plans for transformation to form a critical part of the Contractor’s first Annual Custodial Service Delivery Plan, building on the progress made in the Initial Custodial Service Delivery Plan submitted during the Preparation for Service phase.

More detail on the key activities to be undertaken during this period is at section 5.

## 2.5 Roles and Responsibilities

Key to a successful handover of the prison is having clearly defined roles and responsibilities. The table below identifies the main parties involved and the contractual relationships and information flows required during handover. It is expected that in bid proposals, these relationships and information flows are considered.



# Preparation for Service

## 3.1 Introduction

This section sets out the actions that are expected during the Preparation for Service phase. It is not exhaustive, and a Contractor may decide to approach certain elements differently to the way it is set out below. It is intended to demonstrate what elements make up a credible Mobilisation Assurance Plan, but not dictate how that plan should be delivered. It also sets out what the Authority will do to enable and support the Contractor to establish an effective custodial and maintenance service.

## 3.2 Mobilisation Assurance Plan

Within thirty (30) Days of the Commencement Date, the Contractor is required to have provided the Mobilisation Assurance Plan (MAP). This will be the key document for managing the programme of work to deliver a full custodial and maintenance service. The Authority will monitor progress against the MAP, and it will be a central consideration for checkpoint meetings that will be established throughout the Preparation for Service and Transition phases.

As a minimum, the Mobilisation Assurance Plan should set out the actions the Contractor will take under each heading of the Assurance Checklist **(Annex E),** along with timescales and resources. This document gives more detail on preparation for service, transition and transformation (including further detail on several key Assurance Checklist headings) and these should form the production of the Mobilisation Assurance Plan.

### Interface Meetings

Shortly after the Commencement Date, the Authority will convene three interface meetings:

**Interface meeting (1):** Initial meeting between the current SPV/Operating Sub-Contractor and the Authority to agree the process for exit, mobilisation and handover to the new Contractor;

**Interface meeting (2):** Initial meeting between the new Contractor and the Authority for all parties to agree the mobilisation process as the HMPPS PFI Expiry and Transfer Competition lead evolves into the Mobilisation lead. This will then be superseded by regular checkpoint meetings as described below; and

**Interface meeting (3):** Initial meeting between the SPV/Operating Sub-contractor, new Contractor and the HMPPS Mobilisation lead in conjunction with the Custodial Contracts Directorate for all parties to agree the mobilisation and handover programme and thereafter, regular tri-partite meetings on at least a Monthly basis to provide assurance against that programme.

The Interface meeting checklist is at **Annex D** and the purpose of these meetings and required attendees is in the Key Meetings table at **Annex C.**

### Checkpoint Meetings

Checkpoint meetings between the Authority and Contractor will commence early in the Preparation for Service phase, on an at least monthly basis and will be used to plan and monitor activity, as well as identifying and rectifying issues as they arise. A HMPPS Mobilisation lead and Controller will be available from the start of the contract and will work with the SPV/Operating Sub-contractor, the incoming Contractor and other HMPPS/MoJ delivery teams to keep progress on track.

The Assurance Checklist **(Annex E)** will form the standing agenda for these meetings with other areas covered as required. The purpose of these meetings and required attendees is in the Key Meetings table **(Annex C).**

### Initial Custodial Service Delivery Plan

Within thirty (30) Days of the Commencement Date, as part of the Mobilisation Assurance Plan, the Contractor is expected to have provided an Initial Custodial Service Delivery Plan (ICSDP) which will cover the whole period of mobilisation until the prison is at steady state when the Annual Custodial Service Delivery Plan commences (Section 5.3).

The ICSDP will include:

* The staff handbook;
* Public relations procedures;
* The dates by which the Initial Operating Procedures will be delivered to the Authority;
* The initial Detailed Transformation Plan;
* The OSP Partnership and Enabling Plan, and a list of all expected Partnering Agreements (including any Emergency Services contingency planning);
* Requirements for training on the Authority’s ICT System;
* The Contractor’s resourcing plan for the entire mobilisation period;
* The Contractor’s plan to deliver appropriate work opportunities for certain prisoners (including in Prison Industries and any other work inside the Prison);
* The Annual Employment on Release Plan (applicable only where there is a 'Resettlement' function at the prison);
* The Contractor’s plan to deliver at least the minimum number of work places;
* The Contractor’s plan on delivering the full Purposeful Activities offer;
* The Contractor’s plans to establish Property and Facilities Management Services;
* The Contractor’s proposed prisoner incentive and earned priviliges scheme process;
* The Contractor's initial draft Exit Plan; and
* Where applicable, resettlement service plans for current and future delivery.

The Contractor will provide an update of progress against the ICSDP throughout the mobilisation period at the checkpoint meetings. The appropriate focus and detail to be provided against each item in the ICSDP should be tailored to the preparation for service, transition and transformation of an existing prison and to focus largely on progress against the milestones set out in the Mobilisation Assurance Plan.

## 3.3 Practical steps to mobilisation

The sections below detail the practical steps required within this stage to ensure the objectives and ambitions detailed in section one for preparation for service, transition and transformation are addressed:

### Shared vision

**The Authority will:**

Provide clarity on its organisational priorities and engage with bidders to detail our values, shared vision and the significance of added value for the prison and how this is expected to be operated within the regime. We will test how well these values and priorities have been applied when evaluating proposals.

**The Contractor will:**

Develop values in line with the prison transformation agenda and develop a shared vision and understanding of the prison which would showcase the importance of providing the required culture within all aspects of delivery, including early engagement with the local community and the benefits this can bring.

### Leadership

**The Authority will:**

Put in place a Mobilisation Lead, working with the existing HMPPS Controller Team from the commencement date to oversee the preparation for service, transition and transformation process in conjunction with HMPPS Operational and Commercial Management teams. The Mobilisation Lead will be the existing PFI Expiry and Transfer competition project lead to maintain continuity and experience, supported by Authority functional leads.

Checkpoint Meetings and Interface Meetings will be established shortly after the Commencement Date and will continue for the duration of mobilisation on an at least monthly basis (and probably more frequently at the start of mobilisation). They will be chaired by an Authority representative. This body will monitor the Mobilisation Assurance Plan, using the Assurance Checklist to keep mobilisation on track.

**The Contractor will:**

Ensure that the Mobilisation Team is available from the earliest possible point in the mobilisation period. Attendees with the right level of authority to cover key elements of the Mobilisation Assurance Plan will be expected to attend checkpoint meetings throughout the mobilisation period. This will include attendees with the relationships with partners in healthcare, emergency services and Local Authorities. Representatives from these third parties may be invited by the Contractor or Authority to attend checkpoints if appropriate.

### Staffing, retention and recruitment

**The Authority will:**

In line with best practice, as a minimum, the Authority would use its reasonable endeavours to facilitate monthly TUPE assurance oversight meetings between the current and new Contractor, starting from the Commencement Date and continuing through the Preparation for Service phase.

It is anticipated that these assurance oversight meetings would help facilitate the transfer of employees from the current to new Contractor.

**The Contractor will:**

The Contractor should demonstrate how they will mentor and manage staff. This should include how they intend to run the regime and prison with existing experienced staff. They should evidence strategies to embed a supportive culture that enables resilience to develop, with the intention that staff retention is high, and attrition is low.

The new Contractor will need to work with the current Contractor to ensure the transition is as seamless as possible. This will involve planning and implementing the associated HR and TUPE activity.

### Training and culture

**The Authority will:**

Provide access to its range of custodial training to support the development of knowledge and skills that the Contractor may feel it needs for its staff. The Authority has extensive experience of delivering specialist packages that can be tailored to the Contractor's needs.   Further details on the range of training provision and associated cost will be available from the HMPPS Custodial Contracts Directorate.

In line with the vision and values in the Model for Operational Delivery and as the Contractor set out in winning the bid to operate the prison, the Authority looks forward to focused activities that will enable realisation of an engaging and supportive staff culture that achieves the balance of rehabilitation, control and security.

**The Contractor will:**

Demonstrate that any training is a starting point and that they have a strategy in place for ensuring staff continue to develop the necessary knowledge, confidence and skills to enable resettlement outcomes introduced through any training course or exercise. They should identify and address any potential gaps in these essential attributes in their workforce.

The Contractor is responsible for ensuring that the training, induction and subsequent processes provide employees with the necessary knowledge, language, confidence and skills to enable resettlement outcomes. For Prison Custody Officers this includes the most up to date POELT training as a minimum, but also the capability of all operational and non-operational staff should be considered by the Contractor.

### Assurance

**The Authority will:**

Provide the Assurance Checklist (**Annex E**) to enable an evolving readiness assessment to be carried out by the Contractor during the mobilisation period.

**The Contractor will:**

Provide robust readiness assessment information within agreed timescales, capturing robust evidence and achievements of all key milestones, allowing additional time in order to rectify any issues before final sign off to go live is approved.

### Engagement and communication

### The Authority will:

Facilitate the tri-partite discussions and relationships between the new Contractor, SPV/Operating Sub-contractor and the Authority to ensure all plans and requirements are understood and agreed; and ensure sufficient arrangements are in place so that staff and local stakeholders (delivery partners, sub-contractors, Trade Unions and prisoners) are kept informed at key stages during the mobilisation period.

The principle will be to consult early and build relationships, which support and provide transparency throughout the mobilisation period and ensure actions are carried out in a timely manner.

A joined-up approach between the new Contractor, SPV/Operating Sub-contractor and the Authority will be adopted in relation to engagement and communication with stakeholders. Communications will be cleared through an agreed route by all parties and will aim to:

* Keep staff informed and onboard with the activity taking place in preparation for contract expiry and transition to the new arrangements, ensuring staff receive the right information at the right time;
* Mitigate the risk of wrong/incorrect information being communicated to staff, prisoners and local stakeholders;
* Ensure staff are aware of the implications for them and their future employment/job security and to alleviate and address worries or concerns;
* Keep local stakeholders (delivery partners, sub-contractors, Trade Unions and prisoners and their families) informed at key stages across the mobilisation period;
* Be clear, concise and consistent.

**The Contractor will:**

Ensure engagement and communication built into their bid, is part of the communication strategy, including attendance at required meetings and up-to-date completion of readiness assessments, ensuring that any key stakeholders and third-party engagement is also included.

During the preparation for service phase, the Contractor will be expected to work with the Authority and Operating Sub-contractor to agree joined up communications which ensure staff and local stakeholders (delivery partners, sub-contractors, Trade Unions and prisoners) are kept informed as per the aims set out above.

### Transfer and Compatibility of ICT including data

Incompatibility of ICT can cause delays to mobilisation. All IT and telecommunication systems must be operational and capable of performing the required functions and services ensuring they are also compatible and interoperable with HMPPS and any third-party suppliers and partner agencies. All digital services must continue to be delivered and any required data export, transfer and import for digital services must be completed before the Service Commencement Date.

**The Authority will:**

Ensure any new digital solutions will be available for NOMIS once agreed, allowing easier compatibility of ICT systems.

**The Contractor will:**

Provide evidence that software is compatible with HMPPS IT systems (Quantum and NOMIS).

Consideration should also be given to the installation and usage of all hardware and server requirements, including all third-party suppliers and partner agencies. This includes ensuring that all digital services are maintained with no loss of service. Assurance for any data required to maintain operations of the prison is being securely and safely transferred to new systems and doesn’t impact the Services Commencement Date.

Digital services represents a key area where added value can be achieved. The existing digital services can be improved as well as more digital services identified and implemented to ensure the operational benefits of digital services can be realised.

### Other Service Providers

Contractors must ensure that sub-contractors meet HMPPS required standards and lead times must be factored into the mobilisation timeline to ensure this does not impact on the Services Commencement Date. This includes any arrangements for the novation (If applicable) of the incumbent Contractor’s existing contracts are agreed and completed before the Services Commencement Date and any TUPE requirements for subcontractor staff where applicable are in place.

 **The Authority will:**

Ensure if Contractors call off HMPPS contracts, i.e. Utilities, Prison Uniforms, the Authority will give advance notice to partners/suppliers in order to allow for any "transition time" to a change in current contracts along with managing the increase in demand within the required lead times.

**The Contractor will:**

Notify suppliers and place an order with sufficient warning as to when goods/services are required, ensuring that this is within the required mobilisation timelines.

As the Contractor is mandated to use the Authority’s Utilities Contract, the Contractor will need to submit details for the invoice address and contact details to the Authority to enable us to arrange for a Local Operator Arrangement to be issued via Crown Commercial Services so that the Contractor can manage the sites on behalf of MoJ/HMPPS and pay our Utilities Supplier directly.

### Committed Investment Works and optional investments proposed by the Prison Operator

The Prison Operator is required to deliver the Committed Investment Works as outlined in the site-specific Vision and MOD documents, and other relevant documents, in the competition data room, and they may also propose a number of optional investment works that they require in order to deliver their future operating model. The works will be contained in the Outline Transformation Plan (paragraph 5.1 below) and then further developing in the Detailed Transformation Plan (paragraph 5.2 below).

**The Authority will:**

Support the negotiation and agreement of access to the site prior to Services Commencement through the Interface Meetings.

**The Contractor will:**

Provide an Outline Transformation Plan as part of the response to the Prison Operator Services Mini-Competition - Volume 2.

Provide a Detailed Transformation Plan in line with paragraph 5.2 below.

## 3.4 Handover from the SPV/Operating Sub-contractor to the new Contractor

### Introduction

Due to the nature of Private Finance Initiatives (PFI), the Authority’s contract is with the Special Purpose Vehicle (SPV) who have sub-contracted the delivery of prison services to a third party known here as the Operating Sub-contractor.

During the preparation for service and transition phases, the Authority will be working closely with the SPV to ensure existing contractual obligations for service delivery are met whilst at the same time facilitating engagement with both the Operating Sub-contractor and new Contractor allowing the smooth and efficient handover of the prison.

We want to ensure there is time and space for the new Contractor to work closely with the SPV and the Operating Sub-contractor. The Preparation for Service phase will give the new Contractor time to develop a good understanding of the site and individual buildings and agree a programme of handover with the Operating Sub-contractor and SPV.

### Work completed to date to facilitate contract expiry

To support exit preparations, provide assurance to bidders and facilitate a smooth mobilisation and handover, the Authority has undertaken over the past two years, the following:

* Completed detailed dliapidation and asset verification surveys to provide a clear picture of the current condition of the site and assets, leading to the development of an agreed repair and replacement action plan in conjunction with the SPV/Operating Sub-contractor for works to be completed before contract expiry. This will inform the Termination Survey, to be completed 12 months before contract expiry and ensure that any outstanding works and/or new works are completed within the life of the current contract thereby forming a Statement of Works that will be shared with bidders in the data room;
* Produced a 10 year forward lifecycle and condition survey so that bidders are aware of any major asset repair or replacement, along with associated timing as they develop their bids;
* Completed digital surveys to provide a clear picture of the digital infrastructure and systems that will need to be interfaced with the new Contractor’s processes and systems;
* Worked closely with the SPV/Operating Sub-contractor to provide up to date TUPE data, site plans and details of their third-party contracts and supply chains which will support bidders in developing their bids;
* Seek to strenghten the exit provisions within the current PFI Project Agreements so that there is clarity on the responsibilities of the SPV/Operating Sub-contractor and Authority with regard to exit requirements;
* Opened the Competition Data Room to make available a significant amount of documentation under the prison-specific documents section to enable bidders to gain an understanding of the site and the custodial and FM requirements;
* Facilitated site visits for bidders, enabling them to better understand the layout of the site and assets contained within;
* The Authority is working with the SPV/Operating Sub-contractor to facilitate a smooth and efficient transfer of services, including, but not limited to :
	+ the management structure to be employed by the SPV/Operating Sub-contractor during both transfer and cessation of the Services;
	+ details of how the SPV/Operating Sub-contractor and new Contractor will achieve data transfer;
	+ any early access requirements identified by the new Contractor;
	+ procedures to deal with requests made by the Authority and/or potential and

actual new Contractor for employee information;

* + a detailed description of both the transfer and cessation processes, including a timetable for the transfer and cessation of the Services on a single date or over a period of time, as required by the Authority; and
	+ A timetable for providing exit assistance aligning to the mobilisation and transition plans of the new Contractor as notified to the SPV/Operating Sub-contractor in writing.

### Preparation for Service

From the Commencement Date and up to the Services Commencement Date, the Operating Sub-contractor is responsible for the site including but not limited to:

* Site security;
* Site safety;
* Site access;
* Site Maintenance.

During this phase, there is no right of general access by the new Contractor and access to the site, including for preliminary works for any Committed Investment Works, and the Contractor will comply with the following:

* Access is agreed by all parties through the interface meetings;
* Access is managed/controlled by the Operating Sub-contractor as reasonably required to ensure the security and safety of the site and all persons within it;
* Attendance by the new Contractor or their representatives will not hinder the delivery of existing prison services;
* Activity on the site undertaken by the new Contractor or their representative during this period will be subject to the agreement of all parties through the interface meetings and approval by the Operating Sub-contractor will not be unreasonably withheld.

### Process for the handover of the prison

During the Preparation for Service phase, a detailed programme will set out the process and activity to facilitate the handover of the site and will be agreed by all parties through the Interface Meetings.

The Authority will work with all parties to facilitate the transfer of the site and custodial service, including but not be limited to the transfer of the following items:

|  |
| --- |
| **Asset Information** |
| Assets | Details of assets including condition and location supporting the Asset Verification data held by the Authority and in the data room along with information relating to the use of the assets including technical specifications. |
| FM Maintenance Programmes | Confirmation that any outstanding works as part of the Planned Preventive Maintenance (PPM) or Reactive Maintenance Programmes has been completed.All PPM documents for the M&E installations. |
| Dilapidation and Termination Survey Action Plans | Assurance against the completion of agreed works identified through the Dilapidation and subsequent Termination surveys at contract end.All planned inspection of building schedules and reports following surveys. |
| Furniture, Fixtures & Equipment Lists (FF&E) | Validation of the current FF&E list prior to the Services Commencement Date. |
| **Knowledge Transfer** |
| Prisoner Data | Handover of Prisoner data held outside of P-NOMIS both in a digital and paper format. |
| Archived records (both electronic and paper based) | Handover or destruction of archived records as required by the Authority. |
| Maintenance manuals, records and certification | Handover of maintenance manuals, records and test certification i.e Fire Inspection Records. |
| Warranties | Handover of current and unexpired warranties, for example, associated with additional construction works or asset replacement. |
| **Digital** |
| Hardware | Provision of information relating to all digital hardware – laptops, servers etc that will be handed over at contract expiry. |
| Infrastructure | Agreed access to the site for the new Contractor to install any required digital infrastructure i.e. cabling prior to SCD to allow for the seamless transfer of digital services.  |
| Data | Copies of documents, reports, summaries, systems and security components.  |
| Data Protection Map | The roles of both the Authority and new Contractor in relation to the Personal Data (GPDR) being processed in accordance with the Contract is set out in the Data Map contained at Appendix 1 of Schedule 25 and is part of the documents that need to be submitted to the Authority as part of the Data Protection Map. The Data Protection Roadmap will need to be updated during mobilisation and maintained during the life of the contract.  |
| **Title Leases** |
| Title leases | The process for the transfer of the title lease from the Authority to the new Contractor. |
| **General Operations** |
| Cell Certification | In accordance with the requirements of **paragraph 6.8.1** of **Schedule 14 (Payment Mechanism)**, the Authority will share the current cell certification numbers with the new Contractor prior to SCD. At the Services Commencement Date, the new Contractor will undertake a review of all cells to ensure they are content they are compliant with PSI 17/2012 Certified Prisoner Accommodation and verification to the Controller |
| Stock/Consumables | The handover of the following but not limited to raw materials, critical FM spares, shop stock, used in the operation and maintenance of custodial service.Confirmation that all spares, parts and consumables have been stored in good order and safely and a schedule of spares is handed over to the Authority. |
| **Staffing** |
| Staffing data and TUPE | The provision of staffing data to support the TUPE process and effective transfer of staff to the new Contractor. |

**Note:** This list is not exhaustive and is dependent on the co-operative conduct of all parties.

### Existing Construction Works

At Services Commencement Date, there may be construction or major maintenance works underway, commenced by either the Authority or SPV/Operating Sub-contractor that will not be complete. In this instance the new Contractor may be asked, to complete the works subject to the processes set out in the Contract. Upon completion, the new Contractor shall ensure that the works that have been handed over are maintained to the required standards for the duration of the contract, including the maintenance of equipment in accordance with associated warranties.

# Transition

## 4.1 Introduction

Transition is a key period beginning from the Services Commencement Date for a six-month period where many of the risks following handover are more likely to manifest themselves. Leaders and staff may be acclimatising to the changeover from the previous Operating Sub-contractor to the new Contractor and the rhythm of the new regime may take a while to settle. Equally, teething issues with the new regime may have an impact on individuals’ experience of the prison, the effects of which may be most acute with more vulnerable prisoners.

The new Contractor and Authority will therefore need to be vigilant during transition to ensure that the prison remains safe, secure and decent post-handover.

We have established the following principles that should apply during the transition phase:

* The focus of transition should be on achieving stability, with the process supporting the ability of the Authority and new Contractor to prevent rather than respond to serious disruption;
* Overall site-level progress should be regularly monitored at the right level of authority, with a focus on progress against the MAP as well as levels of security, order, control and stability;
* Any teething issues are resolved, enabling the prison to transition effectively to steady state;
* The Authority and new Contractor should be confident that they can be transparent about progress and risks throughout transition.

**The Authority will:**

In addition to Checkpoint Meetings, which will continue to meet at least monthly, convening Stability Threat Assessment Meetings (STAM) throughout the transition phase, chaired by the Authority. These meetings will allow the Authority and new Contractor to formally assess the stability of the prison, drawing on metrics and operational intelligence to decide whether to pause, slow down or speed up the rate of transition. It does not replace the day-to-day dialogue on stability between the Director and Controller.

**The Contractor will:**

Work in partnership with the Authority by providing attendees with the right level of authority, the key membership requirements at both Checkpoint Meetings and STAMs. They should take a flexible approach throughout the mobilisation period, identifying and communicating risk at the earliest opportunity that may cause any delay.

All partners and planned contracted services should be aligned to the planned transition and handover of the prison and robust engagement with all stakeholders will be essential.

## 4.2 Asset Verification and Management

With an existing prison, it is important that we understand what assets the Operating Sub-contractor is required to hand back at expiry and ensure that they are handed back in the condition as required by the contract. The Authority is working closely with the SPV and Operating Sub-contractor to verify the condition of the buildings and assets prior to expiry and will provide in the site-specific data room, an agreed action plan detailing all maintenance and replacement activity to be undertaken by the Operating Sub-contractor, a ten-year lifecycle and forward condition survey, site and building plans and the current asset and FF&E lists alongside other site specific information as necessary.

### Built Environment and Mechanical & Electrical (M&E) Assets Condition Verification

As required in Schedule 11 (Property & FM), within sixty (60) Days after the Services Commencement Date, the Contractor should inspect the Built Environment and M&E Assets to confirm their condition status and provide the Authority with a Built Environment and M&E Assets Condition Verification Report.

Within the Built Environment and M&E Assets Condition Verification Report, the Contractor should identify any discrepancies or variations from the Built Environment and M&E Assets described in the Asset Management Records and/or found during their inspections of the site and inform the Authority.

At the same time, the Contractor should also provide detailed proposals for maintaining, repairing and, where necessary, replacing or renewing the relevant equipment within the prison during the Contract Period. These proposals should form part of the following suite of documents:

### Asset Register

The Contractor is responsible for creating an Asset Register (including the Equipment Register and Asset Condition Schedule) for the prison and the site in accordance with the requirements set out in the contract.

The Asset Register shall set out the assets of the prison (including the digital services provided) and the site. In addition to the Contractor's obligations to update the Equipment Register as above, the Asset Register should be reviewed within the first sixty (60) Days of the Services Commencement Date and any anomalies identified and thereafter updated regularly.

The Contractor shall maintain and update the Asset Register, ensuring that the age, condition details of lifespan, relevant history and any changes or modifications to the assets are captured and recorded in the agreed manner in the Asset Register. All Assets are to be labelled with a unique asset code. The Contractor should report any changes and updates to the Asset Register to the Authority.

### Asset Condition Schedule

The Authority will make available asset condition survey data, related reports and indicative lifecycle replacement information (including in the form of the Asset Management Records) which may assist the Contractor in compiling its own list and priorities and developing the Asset Forward Replacement Plan.

The asset condition survey data forms the basis of the Asset Condition Schedule and the Contractor's Asset Forward Replacement Plan.

### Equipment Register and Equipment Refresh Plan

In accordance with Schedule 10 (Equipment Register), the Contractor should provide to the Authority a draft Equipment Register for review and approval no later than sixty (60) Days after the Services Commencement Date. The Equipment Register should be reviewed and updated not less than once every 6 Months and, in any event, promptly upon any material change in the equipment used by the Contractor. The updated Equipment Register should be submitted to the Authority for review and approval.

The Contractor should maintain an Equipment Refresh Plan aligned to the Equipment Register which should be updated by the Contractor on 1st April of each contract year and submitted to the Authority for review and approval.

### Asset Forward Maintenance Plan

The Contractor is responsible for developing a schedule of Maintenance Services and Works to form the Asset Forward Maintenance Plan that flows from the Built Environment and M&E Assets Condition Verification Report.

The Asset Forward Maintenance Plan should include all the maintenance requirements of the Contract ranging from the day-to-day routine maintenance activities through to major asset management activities, including any major capital equipment maintenance and refit planning.

### Asset Forward Replacement Plan

The Contractor is responsible for developing a schedule of works to form the Asset Forward Replacement Plan that flows from the Built Environment and M&E Assets Condition Verification Report.

The Asset Forward Replacement Plan should include replacements, refurbishments and reconstructions as a result of any Reactive Maintenance, Minor Maintenance Work or Major Maintenance Works, or other reason (including the carrying out of the optional improvement works outlined in the relevant section of the Model for Operational Delivery (MOD) document in the data room and should include details of the costs for each relevant year.

## 4.3 Transitioning to Steady State

Throughout mobilisation, the HMPPS Mobilisation Lead will work collaboratively with the HMPPS Custodial Contracts Directorate to consider the options for when the mobilisation lead support is phased out and the prison becomes the responsibility of HMPPS business as usual contract management (Steady State), ensuring this is done through a collective decision-making process that is evidence based and ratified at the appropriate level of seniority and, that compliments a safe and successful mobilisation.

The Stability, Threat Assessment Meetings (STAM) are there to consider significant operational performance indicators to assess if the prison is safe, decent, secure and stable. Using the first STAM to inform the decision on handover, provides a clear expectation for planning purposes but also a formal framework that enables all parties to make a joint recommendation and avoids an inflexible deadline set internally which may not align with the level of support required at the time.

It is anticipated that the STAM will provide an assessment based on the prison’s internal stability and threat assessments and its status over preceding weeks. If all agree that the prison is safe, decent, secure and stable then a recommendation will be made to the PFI Expiry and Transfer Board for the mobilisation team to withdraw and declare Steady State or to extend the support if required. This would then be reviewed on a regular basis at subsequent STAMs.

# Transformation

## 5.1 Outline Transformation Plan

As part of the Prison Operator Services Mini-Competition - Volume 2, the bidder should submit an Outline Transformation Plan. This should cover:

* details of the improvements in efficiency and effectiveness of the Services from the Services Commencement Date; and
* the activities it will carry out to deliver the Committed Investment Works by the relevant critical milestone date; and
* the activities it will carry out to deliver any optional investment works identified by the Prison Operator and which it is reliant on in order to deliver its future operating model.

## 5.2 Detailed Transformation Plan

Within thirty (30) Days after the Commencement Date, the new Contractor will submit an initial Detailed Transformation Plan as part of the ICSDP to the Authority that includes:

* critical milestones (including, until they are achieved, the critical milestones set out in the Outline Transformation Plan);
* the milestone dates for each of the critical milestones;
* the achievement criteria for each proposed critical milestone; and
* the tasks required by the Contractor to achieve each critical milestone; and
* the proposed start and end date for each task.

Following receipt of the initial Detailed Transformation Plan from the Contractor, the Authority will review and comment on the initial Detailed Transformation Plan as soon as reasonably practicable; and notify the Contractor that it approves or rejects the initial Detailed Transformation Plan using the process set out in the Contract.

We expect the Transformation Plan to evolve over time and expect the Contractor to update as necessary to reflect the current state of Transformation. This will include the addition of the detailed plans relating to the delivery of the Committed Investment Works when they are finalised and approved following the process set out in the Contract.

## 5.3 Annual Custodial Service Delivery Plan

 The Contractor will be expected to work to an Annual Custodial Service Delivery Plan (ACSDP), submitted ninety (90) days after the Services Commencement Date but implemented once the prison is at steady state following the end of the transition phase. If the ICSDP is likely to continue into the start of a new Financial Year, then the ACSDP should cover just the period after the prison becomes fully operational.

In addition to items to be included in the ICSDP as detailed in section 3.2, the ACSDP will include:

* Operating Procedures, along with proposed review dates;
* The Contractor’s overarching strategy for Education Services, Prison Library Services, Prison Industries and Prison Work;
* Annual Interventions Plan;
* Annual Interventions Costs;
* Annual Resourcing Plan;
* Annual Search Risk Assessment and Search Strategy;
* Annual Fire Risk Assessment;
* Annual Drug Strategy;
* Sustainability Plan;
* The current draft Exit Plan;
* Annual Purposeful Activity Plan;
* Annual ROTL Delivery Plan (applicable only where there is a Resettlement function at the prison);
* Updates to the Detailed Transformation Plan; and
* Incentives Scheme process.

# Exit Plan

## **6.1 Contents of Exit Plan**

Within ninety (90) Days after the Services Commencement Date, the Contractor shall provide a revised version of the draft Exit Plan (as defined in **Schedule 24 (Handover and Exit Management)**) submitted as part of the ICSDP which sets out the Contractor's proposed methodology for achieving an orderly transition to the Authority or a new Contractor at contract expiry.

The draft Exit Plan shall contain, as a minimum:

* Re-competition data;
* Separate mechanisms for dealing with:
	+ expiry;
	+ an early termination by the Authority; and
	+ any other early termination.
* the management structure to be employed by the Contractor during both transfer and cessation of services;
* details of how the Contractor will achieve data transfer, systems migration and full segregation of the Authority's ICT System from the Contractor's ICT System and how the Contractor will assist the Authority in procuring licences of any Third Party IPRs and/or Third Party Software that the Authority requires to be in place following the expiry of the Contract;
* details of how the Contractor will assist with the migration of ICT equipment, systems and relevant data to a new Contractor, including the migration of digital services;
* procedures to deal with requests made by the Authority and/or potential and actual new Contractors for employee information; and
* in the versions produced during the exit period:
	+ a detailed description of both the transfer and cessation processes, including a timetable for the transfer and cessation of the Services (or relevant part of the Services) on a single date or over a period of time, as required by the Authority; and
	+ a timetable for providing exit assistance aligning to the mobilisation and transition plans of the new Contractor.

## 6.2 Updating the Exit Plan

The Contractor shall review and (if appropriate) update the draft Exit Plan by the 1st January in each Contract Year (commencing with an update following the second Contract Year) to reflect changes in the Services or any of the components of the draft Exit Plan.

Following the update, the Contractor shall submit the revised draft Exit Plan to the Authority for review. Within thirty (30) Days following submission of the revised draft Exit Plan, the Contractor and Authority shall meet and use reasonable endeavours to agree the contents of the revised draft Exit Plan, based on the principles set out in **Schedule 24 (Handover and Exit Management)** and the changes that have occurred in the Services since the draft Exit Plan was last agreed.

If the Parties are unable to agree the contents of the revised draft Exit Plan within the thirty-day period, such dispute shall be resolved in accordance with the Dispute Resolution Procedure.

Each annual revision of the draft Exit Plan shall form part of the ASCDP.

# Annexes

## Annex A: Glossary

This glossary is an aid to reading the Mobilisation, Transition and Transformation Strategy only and does not affect the contractual definitions set out within the Contract.

|  |  |  |
| --- | --- | --- |
| **Term** | **Definition** | **Contract clause**(if applicable) |
| Annual Custodial Service Delivery Plan | Annual plan submitted by the Contractor showing how they will provide the custodial services in the next contract year | T&Cs Clause 24 |
| Authority | Ministry of Justice and its agencies i.e. HMPPS |  |
| Business as Usual (BAU) | The point at which the contract is at steady state and contract managed by the HMPPS Custodial Contracts Group |  |
| Commencement Date | Date of the contract |  |
| Contract | Document including schedules and appendices and annexes that outlines the contractual relationship between the Authority and the Contractor |  |
| Contract Award | Commencement Date  |  |
| Contractor | Organisation appointed to deliver the contracted services |  |
| Controller | The person appointed in respect of the Prison by the Authority |  |
| Custodial Contracts Directorate | Group within HMPPS that contract manages private sector prisons and a range of system-wide contracts  |  |
| Director | The person appointed by the Contractor to carry out such functions as are conferred on him or her by the Criminal Justice Act 1991 or as may be conferred on him or her by the Prison Rules in respect of the Prison, and approved by the Authority |  |
| Exit Plan | The Controlled Document with this title to be maintained by the Contractor in accordance with the provisions of paragraph 6 (Exit Plan) of Schedule 24 (Handover & Exit Management) | Schedule 24 (Handover & Exit Management) |
| Facilities Management | A range of disciplines and services to ensure the functionality, comfort, safety and efficiency of a built environment — buildings and grounds, infrastructure support services etc | Schedule 11 (Property &FM) |
| HMPPS Mobilisation Lead | The PFI Expiry & Transfer Team Competition Lead will evolve (where possible) to the Mobilisation Lead to support the mobilisation of the prison |  |
| Operating Sub-contractor | Current contractor contracted by the Special Purpose Vehicle to deliver services at the prison |  |
| Initial Custodial Service Delivery Plan | Collection of documents as part of the Mobilisation Assurance Plan to manage the planning and delivery of custodial services from the commencement date | Schedule 5 (Mobilisation) |
| Initial Operating Procedures | Details of each core operating procedure for each service requirement area | Schedule 5 (Mobilisation) |
| Mobilisation Period | The period commencing on the Commencement Date and ending on either: (a) the completion of the Preparation for Service phase if an Existing Prison; or (b) the completion of the Ramp-Up Period (if a New Prison) and covers all activity undertaken by the Contractor to prepare to deliver, and then deliver, all Services within the Prison | Schedule 5 (Mobilisation) |
| Mobilisation Assurance Plan (MAP) | The Controlled Document with this title prepared by the Contractor in accordance with the requirements of Schedule 5 (Mobilisation). The MAP covers the Preparation for Service and Transition phases | Schedule 5 (Mobilisation) |
| PFI Expiry & Transfer Team | Programme team within HMPPS Prison Supply Directorate responsible for managing the expiry of the existing PFI contracts and the Prison Operator Services Framework Mini competitions  |  |
| Preparation for Service | The period up to the Services Commencement Date covering the planning and delivery of all activities that are essential to the successful handover and operation of the prison including the development and integration of the Contractor’s proposals for delivering the contract requirements. | Schedule 5 (Mobilisation) |
| Services Commencement Date | The date on which the Contractor commences provision of the services in accordance with the terms of this Contract. In respect of an existing prison, the date on which the Contractor takes overall control of the prison |  |
| Stability, Threat Assessment Meeting (STAM) | A contractually obligated meeting involving the Controller, Senior Contract Manager, Prison Mobilisation Lead and the Prison Director and Contractor personnel responsible for Security | Schedule 5 (Mobilisation) |
| Steady State | The point at which the contract is handed over and contract managed by the HMPPS Custodial Contracts Group |  |
| Transition | Transition is defined as the 6-month period after the Services Commencement Date. | Schedule 5 (Mobilisation) |
| Transformation | The key element of transformation will be the delivery and integration of the Contractor’s proposals for delivering improvements in efficiency and effectiveness. | Schedule 5 (Mobilisation) |
| Transformation Plan | The controlled document as defined in Schedule 5 (Mobilisation) maintained by the Contractor | Schedule 5 (Mobilisation) |
| **Other definitions are included in Part 1 of the Contract Terms and Conditions – Definitions and Interpretation** |

## Annex B: Exit, Preparation for Service, Transition & Transformation process flow



## Annex C: Key Meetings

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Meeting Title** | **Purpose** | **Attendees** | **When** | **Frequency** | **Chair** |
| Interface Meeting (1) with incumbent | Initial meeting between the current SPV/Operating Sub-Contractor and the Authority to agree the process for exit, mobilisation and handover to the new Contractor. | HMPPS Mobilisation LeadPFI Expiry and Transfer TeamHead of Privately Managed PrisonsCCD Senior Contract Manager PFI Exit and Competition LeadSPV/Operating Sub-Contractor representativesController (after initial meeting) | Commencement date  | Initial meeting (followed by update meetings at least Monthly) | Head of Competitions/HMPPS Mobilisation Lead |
| Interface Meeting (2) with new Contractor | Initial meeting between the new Contractor and the Authority for all parties to agree the mobilisation process as the HMPPS PFI Expiry and Transfer Competition lead evolves into the Mobilisation lead. This will then be superseded by regular checkpoint meetings as described below | New ContractorHMPPS Mobilisation LeadPFI Expiry and Transfer TeamHead of Privately Managed PrisonsCCD Senior Contract Manager PFI Exit and Competition LeadFuture Operator Representatives | Commencement date  | Initial meeting (then becomes the checkpoint meeting)  | Head of Competitions/HMPPS Mobilisation Lead |
| Interface Meeting (3) | Initial meet & greet between all parties to agree the mobilisation programme and thereafter, regular fortnightly tri-partite meetings to provide assurance against the programme. | New ContractorHMPPS Mobilisation LeadPFI Expiry and Transfer TeamHead of Privately Managed PrisonsCCD Senior Contract Manager PFI Exit and Competition LeadController (after initial meeting)SPV/Operating Sub-contractorFuture Operator Representatives | Commencement date | Initial meeting and then at least Monthly | Head of Privately Managed Prisons/ HMPPS Mobilisation Lead |
| Critical Systems Workshop | To discuss key systems and processes that would impact on operational continuity and/or the establishments stability rating if processes/systems were not embedded at the point of Services Commencement Date. The Critical Systems Workshop will allow all parties to discuss these systems/processes, including looking at current state, data transference, equipment/assets and any subcontractors and licencing involved. The incumbent to identify the critical systems to be discussed.  | New ContractorHMPPS Mobilisation LeadPFI Expiry and Transfer TeamHead of Privately Managed PrisonsController SPV/Operating Sub-contractor | As soon as possible when Future Operator mobilisation teams are stood up  | At least Monthly  | HMPPS Mobilisation Lead |
| Checkpoint Meeting | Regular meeting between HMPPS Mobilisation Lead, new Contractor, Delivery Leads and Controller.  | New ContractorHMPPS Mobilisation LeadControllerDelivery LeadsOther service providers and any other parties may attend by invitation only dependant on subject matter.  | From Commencement Date through to Services Commencement Date (and beyond if required) | Fortnightly or monthly depending on business need  | HMPPS Mobilisation Lead  |
| Stability & Threat Assessment Meeting (STAM) | Tri-partite meeting during transition period to monitor transition and acceptance of steady state  | New ContractorHMPPS Mobilisation LeadControllerDelivery LeadsHead of Privately Managed Prisons  | From Transition through to Steady State | At least Monthly | HMPPS Mobilisation Lead/Controller |
| Project Team Updates | Meeting with HMPPS, Incumbent and New Operator Project teams to discuss progress  | HMPPS Mobilisation LeadAuthority Project leadIncumbent Project LeadFuture Operator Project Lead  | From Commencement Date through to Services Commencement Date | Fortnightly | Authority Project Lead  |
| TUPE Assurance Oversight Meetings  | Between the current and new Contractor, starting It is anticipated that these assurance oversight meetings would help facilitate the transfer of employees from the current to new Contractor.   | New ContractorAuthority HR Business PartnerHead of Privately Managed Prisons | from the Commencement Date and continuing through the Preparation for Service phase.  | At least Monthly  | HMPPS HR Delivery Lead |
| Stability & Threat Assessment Meeting (STAM) | Meeting during transition period to monitor transition and acceptance of steady state  | New ContractorHMPPS Mobilisation LeadControllerDelivery LeadsHead of Privately Managed Prisons  | From Transition through to Steady State | At least Monthly | HMPPS Mobilisation Lead/Controller |

## Annex D: Interface Meeting (3) Checklist

**1. Leadership, project governance and organisation**

Review key leadership roles and the interaction between the Operating Sub-contractor and new Contractor.

**2. Risk governance/scheduled review meetings**

Mechanism to manage and monitor progress of preparation for service and through to transition as well as providing a forum to identify/manage risks during those phases.

Strategic, operational, communication and progress meetings are in place with Operating Sub-contractor, new Contractor and Authority during the preparation for service phase and into the transition phase.

**3. Communication, partner and stakeholder engagement strategies**

Plan, produce and review internal and external communication and engagement demonstrating how all relevant parties will receive key communication.

**4. Delivery and transitioning of ICT**

Delivery and transition ICT from the Operating Sub-contractor to the new Contractor.

**5. Property, facilities and life-cycle management**

Review facilities management (FM) requirements and what is necessary to mobilise FM services.

Identify procedures to report hard and soft FM services - to include comprehensive handover and highlight any outstanding work.

**6. Prison industries and resettlement service plans for current and future delivery**

Review the process for handover of industries and resettlement services to include a working Prison Plan for each purposed industry/service, a plan for the set-up of each new industry/service to be introduced to the prison.

**7. First night, induction and discharge procedures prior handover.**

Review the operational procedures together with timing and testing with third-party providers, including full induction and security awareness training for all staff and third-party operators.

**8. Third-party engagement**

Review the plans for the approach for establishing and maintaining third-party relationships, including who the critical partners are, anticipated outcomes (including reduction in re-offending and successful resettlement) and partnership working processes.

**9.** Any mobilisation and transition activities identified by the SPV/Operating Sub-contractor, new Contractor or Authority including those relating to Committed Investment Works and other investment works proposed by the Prison Operator upon which its future operating model is reliant.

## Annex E: MAP Assurance Checklist

**1. Leadership, project governance and organisation**

1.1 Identify key leadership roles, experience and responsibilities providing evidence where required.

1.2 Identify the Contractor’s key individuals or roles to be present at meetings, including the Checkpoint and Stability Threat Assessment meetings.

**2. Risk governance/scheduled review meetings**

2.1 Mechanism to manage and monitor progress of mobilisation, transition and transformation as well as providing a forum to identify/manage risks during that period of the contract.

2.2 Strategic, operational, communication and progress meetings are in place with Contractor and Authority during the mobilisation, transition and transformation process.

**3. Shared vision, respect, values and goals**

3.1 Develop the vision, values and goals of the prison to be will be communicated to all staff, stakeholders and third-party suppliers.

**4. Communication, partner and stakeholder engagement strategies**

4.1 Plan and produce internal and external communication and engagement demonstrating how all relevant parties will receive key communication.

**5. Recruitment and retention during the life of the contract**

5.1 Develop recruitment plan to meet the mobilisation timescales demonstrating a clear understanding of the geography and economics of the area and local employment market.

5.2 Develop retention plan, staff engagement and approach to achieve a balance mix of experienced staff with the right skill set.

**6. Organisational staffing requirements**

6.1 Plan and produce operating procedures and processes including performance evaluation.

**7.** **Training, personal development and setting the right workplace culture**

7.1 Delivery of training, real time experience and mentoring including mandatory training from HMPPS outlining training to be delivered and timescales.

**8. Delivery and transitioning of ICT (Compatibility)**

8.1 Delivery and transition ICT, which must be compatible with Authority systems.

8.2 The usage of ICT including telephony, E-mail and video conferencing systems.

**9. Property, facilities and life-cycle management**

9.1 Detail facilities management (FM) requirements and provide what is necessary to mobilise FM services within the prison during the contract life, including annual health checks.

9.2 Identify procedures to report hard and soft FM services - to include comprehensive handover and highlight any outstanding work.

9.3 Detail performance management and delivery management information.

 **10. Prison industries and resettlement service plans for current and future delivery**

10.1 Define industries and resettlement services to include a working Prison Plan for each purposed industry/service, a plan for the set-up of each new industry/service to be introduced to the prison. Detailing the approach to steady state identifying activity arrangements.

**11. Operational and quality assurance requirements for the delivery of custodial services**

11.1 Develop the Mobilisation Assurance Plan (including Initial Custodial Service Delivery Plan), including timelines for production of initial operating procedures and handbooks.

**12. Adherence to the National Security Framework, (Local Security Strategy)**

12.1 Adhering to National Security Framework, plan, produce and implement a Local Security Strategy to ensure public protection, a safe, decent and secure environment is achieved.

**13. First night, induction and discharge procedures prior handover.**

13.1 Detail operational procedures together with timing and testing with third-party providers, including full induction and security awareness training for all staff and third-party operators.

**14. Third-party engagement**

14.1 Plan the approach for establishing and maintaining third-party relationships, including who the critical partners are, anticipated outcomes (including reduction in re-offending and successful resettlement) and partnership working processes.

14.2 Detail the plans for contracting with third-party sub-contractors and ensuring that those contracts are in place on or before Services Commencement Date as required i.e. utilities.

**15. Provide a Safe, Secure, and Decent environment (Safeguarding)**

15.1 Detail provision for prisoners at risk, foreign national prisoners, healthcare arrangements, substance misuse services and mental health services.

15.2 Detail provision for maintaining a safe, secure and decent regime and environment that supports health, well-being, rehabilitation and reduces re-offending.

**16 Transformation Plan**

16.1 Detail the delivery and integration of the new Contractor's Proposals for delivering improvements in efficiency and effectiveness of the Services from the Services Commencement Date including those relating to the Committed Investment Works and any optional investment works proposed by the Prison Operator upon which its future operating model is reliant.

**17 Mobilisation Action Plan**

17.1 Detailed Gantt chart timeline expanding on the Mobilisation Assurance Plan submitted as part of the bid, detailing every aspect of mobilisation delivery across the mobilisation period including critical milestones and full interdependencies across the programme.

**18.** Any mobilisation, transition and transformation activities provided by the Contractor and included within the Contractor's proposal.