**DRAFT - ESOL TOOL SPECIFICATION**

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1. INTRODUCTION 
   1. This document sets out the draft Specification for the ESOL (English for Speakers of Other Languages) Tool.
   2. This provision includes the provision of, development, configuration and maintenance of the Tool as well as training in how to use the Tool.
2. GENERAL
   1. This Procurement is for the provision of a prison appropriate ESOL Tool for all eligible Prisoners, henceforth referred to as ‘the Tool’.
   2. The intended outcome is for an effective, high-quality, accessible and evidence based Tool, which is compliant with the Authority information security standards and can produce accurate results around a Prisoners’ educational ability level.
3. SERVICE ELEMENTS IN SCOPE
   1. We are expecting to procure one tool; the tool can be part, fully or not yet developed.
   2. The developed Tool must be evidence based and supported by research. The Tool must be at least part digitised. The Authority recognises that the Tool may need further work in the mobilisation period to be adapted for the Prison environment and may need further work to digitise to the full extent required. Notwithstanding this, the Tool must meet the Minimum Viable Product (MVP) requirements on Service Commencement as set out below.
   3. The Tool will be used by all eligible Prisoners across 104 Adult Prisons in England. Privately Managed Prisons and new/additional Prisons may become in scope at a later date.
   4. Bidders should review the Prisoner eligibility requirements for S&A as detailed in Appendix A below.
   5. Provision of ongoing and comprehensive guidance, training and technical support to staff members who deliver and manage the Tool.
   6. Provision of consistent reporting functionality in accordance with the KPIs and other performance obligations.
   7. The Tool must comply with Authority information security standards and data regulatory governance.
   8. The Tool must produce accurate results, which are capable of informing educational support.
   9. The Supplier may occasionally be required to enter Authority Premises including Prisons at no additional cost to the Authority, for example to support in training or to attend meetings.
   10. The Tool will be facilitated by Core Education Staff on site in Prisons, the Tool must be suitable for delivery on a one-to-one basis, and in small groups (up to a maximum of 10 Prisoners).
       * 1. Further information on the delivery of Screening and Assessment Tools is included in the Core Education Contract, detailed in Appendix A.
   11. It is the Authority’s expectation that all assessment content will be provided by the Bidder. Where materials are required in paper format the Authority expects the Bidder to propose the most cost-effective solution for facilitating access to these resources.
4. SERVICE ELEMENTS OUT OF SCOPE
   1. Careers Information, Advice and Guidance (“**CIAG**”).
   2. Any non-educational curriculum screenings within the Prison, including, but not limited to: Healthcare, Industries, Life Skills, Psychology, Probation, Offender Management Unit and employability screening or assessments.
   3. Prisons in Wales and the Youth Custody Service.
   4. Curriculum course-specific diagnostic screeners required after a Prisoner has signed up to an educational course.
   5. The delivery of the S&A Tool is out of scope of this Procurement. Facilitation of the S&A Tools will be the responsibility of the Core Education providers and will be delivered by Education staff and not the S&A Tool Suppliers.
5. OPERATIONAL REQUIREMENTS
   1. The Tool must be age and functionality appropriate, including being designed and suitable for adult individuals aged 18 or over, for use in a Prison setting.
   2. It is anticipated that the Tool will take approximately 30 minutes to complete on a one-to-one basis or in small groups (maximum 10 people).
   3. The Tool must be capable of being administered by and understood by a range of non-specialists.
   4. Tool outputs must be made available digitally live after completion to recipients designated by the Authority, including, the Core Education delivery Contractors, wider prison staff, the Prisoner, selected third parties (as appropriate) and the Authority.
   5. Tool data must be made available to recipients designated by the Authority in line with any pre-agreed regular data submissions.
   6. The Tool must be evidence based, have been standardised and have been quality assured to ensure it identifies Prisoner ability levels/ indicates potential area(s) of learning needs (as appropriate) and is of a consistent quality. The Tool outputs must be understood by the Prisoner and Staff and must be capable of analysis to identify trends and patterns.
   7. The Tool must be gender neutral and free from bias.
   8. The Tool provided will support any standards set by the Authority, Ofsted, and His Majesty’s Inspectorate of Prisons (HMIP). The Supplier shall make sure that it has a system in place for monitoring the quality and effectiveness of its service provision.
   9. The Tool Supplier will work with key stakeholders identified by the Authority to ensure that information from S&A that is deemed relevant on release from Prison can be shared in line with the Authority information sharing guidance.
   10. The Tool Supplier will work with MoJ/HMPPS Digital strategy and delivery teams to ensure continual compatibility with online systems, hardware and software.
   11. The Tool must be reviewed and updated as necessary (as a minimum on an annual basis) to ensure that the quality and content of the Tool is up-to-date and reflects leading industry standards, as well as governmental priorities, ministerial direction and curriculum amendments.
   12. The security requirements must be reviewed and updated on an annual basis, or more frequently, if necessary, as agreed with the Authority’s Security Working Group.
   13. The Supplier must engage with governance processes and provide timely and accurate Management Information, and data reporting to the Authority in line with agreed timescales.
   14. Continuity Plans must be updated as a minimum once every 6 months, and where needed, and independently audited. These are to be provided to the Authority within 10 working days of audit completion or when requested.
   15. The Supplier must be able to provide Tool support in line with business requirements, constraints and needs.
   16. The Supplier must supply and facilitate training on the effective use of the Tool. This training can vary in format but must meet the needs of all attendees.
6. DATA RECORDING, PROTECTION AND PRIVACY

7.1 In addition, Suppliers must ensure that:

* + - 1. Data generated by the Tool must be handled in compliance with GDPR (General Data Protection Regulation) as provided through the 2018 Data Protection Act: [Data protection: The Data Protection Act - GOV.UK (www.gov.uk)](https://www.gov.uk/data-protection)
      2. There is a documented process for ensuring and recording informed consent which is available in accessible formats and supported with explanatory guidance and administration standards.
      3. The Tool has a privacy notice which is subject to regular review and updated where necessary.
      4. Data hosting used in the delivery of the Services must be based in the UK and compliant with UK Data Protection Requirements.
      5. The data gathered by and stored through the Tool must be compliant with GDPR.
      6. To ensure data protection and privacy, any data used for test and development networks utilised must be anonymised. Data sanitisation type must be explicit overwriting of storage before reallocation (where applicable).
      7. To ensure data protection and privacy, data sanitisation should be carried out in line with the [National Cyber Security Centre](https://www.ncsc.gov.uk/) (NCSC) best practice relevant to the sensitivity of the data being sanitised. Where appropriate and depending on the sensitivity of the data, the Authority may also request Cryptographic Erasure or other methods as agreed with the Authority. In all cases, any sanitisation should be documented and reported through the Authority’s Security Working Group.

1. DIGITAL REQUIREMENTS FOR: CRITICAL
   1. At Service Commencement, the Bidder will ensure that the following MVP criteria is met:
      * 1. The proposed Tool must be accessed, completed, and produce outputs outlined in the Tool specific requirements in paragraphs 12, in a digital format with an offline contingency option in place should the primary (web-based) access route not be available.
        2. Data from the Tool, including user completion, outcome results and recommended next steps must be accessible to the Authority. The Authority owns this data and retains the right to publish the data to other Authority systems.
        3. High-level design documents must be provided that demonstrate how the Tool works and how web-based solutions meet security requirements.
   2. Where a proposed Tool will not be fully digitised by the Service Commencement Date, the Supplier will be expected to demonstrate how and when the proposed Tool will be web-based both in part and in whole through a detailed Development Plan.
   3. The Supplier must be able to provide low-level design documents during the first two months of mobilisation.
   4. The Tools are expected to be compliant with [Government Digital Standard](https://www.gov.uk/service-manual/service-standard) (GDS) in the design, testing and deployment, in time for the go-live milestone or have a commitment to work towards it.
   5. The Tools are expected to meet Technology Code of Practice (TCoP) standards in time for the go-live milestone or have a commitment to work towards them, including the accessibility requirements as noted in the [TCoP](https://www.gov.uk/guidance/the-technology-code-of-practice) and Government guidance on [accessibility requirements](https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps)
2. TECHNICAL STANDARDS
   1. The technical and security standards that the Supplier must meet at or before contract signature are:

|  |  |  |
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| **Requirement** | **Detail** | |
| IT Health Check | Completed at CHECK level annually or sooner where there is a material change to the system. | |
| ISO27001 accreditation | ISO27001 accreditation or a ISO27000 accreditation if the Supplier commits to having ISO27001 complete part 1 within 6 months of Service Commencement and part 2 within 12 months of contract start. | |
| Cyber Essentials Plus |  | |
| ISO9001 principles | ISO09001 or a commitment to work towards it. | |
| Comply with principles of ISO/IEC 27034 |  | |
| Conform to NCSE CPA Build Standard (see supporting documents) |  |
| Comply with principles of ISO/IEC 27034 |  |
| Security governance certification |  |
| ITIL Change process (See supporting documents) |  |
| Federal Information Processing Standard (FIPS) assured encryption IPS 140-2 & 140-3 Validated Cryptographic Modules. | The FIPS 140 standards specify the cryptographic and operational requirements for modules within security systems that protect sensitive information. |
| TLS (version 1.3 or above) | Data protection measures between Authority and Supplier networks, and data protection within the Supplier network must operate at this level |
| CSA CCM v3.0 or equivalent | Configuration and change management must abide by this standard. |
| Vulnerability management type conforms to a recognised standard, for example CSA CCM v3.0 or SSAE-16 / ISAE 3402. | The Supplier must employ independent security consultants and work closely with supply chain partners to assess potential threats and implement mitigation measures including emergency patch deployment where advised to do so (where applicable). |

8.2 Additionally, the Supplier must ensure that their Tool:

* + - 1. Is capable of sharing data using open standards and integration with other Authority services.
      2. Can run on multiple browser versions, see our [Service Manual](https://www.gov.uk/service-manual/technology/designing-for-different-browsers-and-devices).
      3. Offers industry standard user identification and authentication.
      4. Uses a Software as a Service (SaaS) model or appropriately licensed alternative is capable of sharing data and integration with other services.

1. DIGITAL REQUIREMENTS: DESIRED (NOT ESSENTIAL FOR SERVICE COMMENCEMENT & SHOULD BE DEVELOPED DURING THE CONTRACT).
   1. The Supplier is required to supply a compatibility mechanism for service components to communicate with other services such as Application Programme Interfaces (APIs). All data shared with the Authority digitally will be required to be published via a secure API using open standards.
   2. The Tool should be interoperable with the Authority’s own systems for the lifetime of the Contract.
   3. The solution should be usable offline when the internet fails and then synchronised to the online solution when the internet is restored.
   4. Have the ability to import and export bulk data.
   5. Be capable of operating without recourse to browser plug ins or extensions.
2. FUTURE DEVELOPMENT
   1. HMPPS National Regime Model has launched in all Prisons and forms part of the Transforming Delivery Directorate. The Supplier is required to accommodate any reasonable service amendments to align with the National Regime Model and collaborate with other Suppliers to identify what might be required.
   2. The HMPPS Digital Strategy is also under development and will significantly impact on the delivery and data management of the screening and assessment process. The Supplier will be required to evolve Tool provision in-line with agreed strategic developments and change control processes.
3. ESOL TOOL OUTPUTS
   1. The ESOL tool must accurately identify any gaps in a prisoner’s ability to read, write, speak and understand English, written and spoken language, in line with National Standards. The tool must also indicate the level of support required to enable progression.
   2. ESOL assessments can include digital elements but should include interaction with and reading assessment outcomes determined by screening and assessment delivery staff.

**APPENDIX A – CORE EDUCATION PROCUREMENT SPECIFICATION & KPI**

Note: The following Specification and KPIs relate to the Core Education Procurement, responsible for the delivery of Screening and Assessment.

1. **SCREENING AND ASSESSMENT DELIVERY**

1. **Screening and Assessment Delivery - Purpose**

1. The Screening and Assessment process accurately establishes Prisoners' baseline ability level across several educational disciplines upon entry to Prison, as well as indicating any areas of ALN for which they may require support.

1. The results from this process inform the next steps of a Prisoner's Education, Skills, and Work Pathway, including activity allocations, learning plans, referrals, and Education Support Plans.

1. **Screening and Assessment Delivery - Outcome**

1. The PES Core Education Provider will ensure that an initial educational screening and assessment process is conducted in Prisons for all eligible Prisoners and any other Prisoners as eligible as notified by the Authority. The process must be:

1. Delivered by personnel who can administer the screening and assessment Tools in a way that is engaging, promotes the benefits of education, is inclusive and supportive to Prisoners and accurately establishes Prisoners' baseline ability levels.

1. Completed digitally via the Authority's ICT System, with offline contingency arrangements in place which will still allow for assessments to be held in the required timescales and for results to be uploaded onto the Authority's ICT System when possible.

1. The PES Core Education Provider must ensure the screening and assessment process is scheduled and completed within thirty (30) days from the Eligibility Date. Assessment sessions must be planned to maximize efficiency of the process and accuracy of results whilst considering Prisoner's individual needs and the local Prison regime.

1. **Screening and Assessment Delivery - Service Elements in Scope**

1. The PES Core Education Provider will be responsible for the following services in relation to the delivery of screening and assessment services:

1. The use of the screening and assessment Tools within the Authority's ICT System to screen and assess all eligible Prisoners covering the following areas:

1. Functional Skills Assessment -

1. Mathematics

1. English

1. Digital Skills

1. English to Speakers of Other Languages (**ESOL**)

Assessment (***Out of scope for this Procurement***)

1. Reading Assessment

1. Additional Learning Needs Indicator

1. The PES Core Education Provider is required to ensure that the information regarding identification of need and support provided in education is saved in the appropriate place(s) within the Authority's ICT System.

1. The PES Core Education Provider must ensure assessment results are accurately recorded on the Authority's ICT Systems.

1. The PES Core Education Provider must review screening and assessment results to signpost and refer Prisoners to the most appropriate ALN support.

1. The PES Core Education Provider must make appropriate next step functional skills course recommendation in line with functional skills Tool result.

1. **Screening and Assessment Delivery - Operational Requirements**

1. To deliver effective screening and assessment services, the PES Core Education Provider must ensure that Authority-provided Functional Skills, ESOL, and reading assessments and ALN screenings are delivered to capture Prisoner educational ability in Mathematics, English, ESOL, Digital Skills, literacy, and ALN to all eligible Prisoners. The Authority provided Tools will not require specialist or teaching qualified Staff to operate and will be able to be facilitated with basic training.

1. Prisoner Eligibility is defined as:

1. Additional Learning Needs:

1. All Prisoners without a previous record on the Authority’s ICT Systems of completing the PES additional needs indicator Tool.

1. Prisoners for whom it has been agreed by the Governor of a Prison (responsibility can be delegated by the Governor but this can be no lower than a Band 6 member of Prison staff) that repeat ALN screening is appropriate. The Contractor must ensure that any screening that is repeated is collaboratively agreed with healthcare teams and OMU- based Prison staff input and the reasons for repeating the assessment are evidenced and documented.

1. Functional Skills:

1. All Prisoners who do not have any record on the Authority’s ICT Systems of previous assessment results or educational attainment and there is no evidence recorded on learner record systems (“**LRS**”) or provided by the Prisoner of prior attainment of a GCSE grade 4 equivalent in English, mathematics, and Digital Skills.

1. Prisoners for whom it has been agreed by the Governor of a Prison (responsibility can be delegated by the Governor but this can be no lower than a Band 6 member of Prison staff) that repeat Functional Skills assessment is appropriate due to either a significant change in circumstances since the previous assessment (such as acquired brain injury) or evidence of educational attainment being unavailable. The Contractor must ensure that reasons for repeating the assessment are evidenced and documented.

1. Reading:

1. Any Prisoner who states on the Basic Custody Screening Tool (“**BCST”**) that they cannot read.

1. Any Prisoner who scores Pre-Entry, E1 or E2 on the English Functional Skill assessment.

1. Any Prisoner who has potential reading difficulties identified via the ALN indicator Tool.

1. Any Prisoner without an existing educational record who has been referred for a reading assessment by any member of Prison staff. Where a non-educational staff member refers a Prisoner, the referral must be assessed by Staff before a reading assessment is undertaken.

1. Any Prisoner who chooses to self-refer for a reading assessment where there are no other indicators of functional reading ability on record (English level E3 and above for example). Where a Prisoner self refers but there is an indication of ability to read, the referral must be assessed by Staff before a reading assessment is undertaken.

1. ESOL (out of scope for this Procurement):

1. Any Prisoner that has had self-declared an English language need.

1. Any Prisoner that or has had an English language need identified via BCST or education introduction.

1. Any Prisoner that has been referred for an ESOL assessment by any member of Prison staff.

1. In delivery of Screening and Assessment services, the PES Core Education Provider will need to comply with Screening & Assessment KPI 6 (parts a and b)

1. The PES Core Education Provider must review assessment results to recommend the most appropriate adjustments and support for any identified needs and next step functional skills courses for Prisoners.

1. The PES Core Education Provider must ensure all recommendations are in line with results from the functional skills and ALN indicator Tools and are recorded on the Authority's ICT Systems and made accessible to the Prisoner, CIAG and local allocations teams.

1. The PES Core Education Provider must ensure that the purpose of each assessment is clearly explained to the Prisoner before delivery, this must include outcomes from the assessments, information on the wider context of Prison education, the benefits of engaging with education and an overview of the educational courses available in the Prison.

1. The PES Core Education Provider must obtain informed consent from the Prisoner before commencement of each assessment they are eligible for. Informed consent must be recorded on Authority digital systems.

1. The PES Core Education Provider must ensure that all screenings are completed digitally through the Authority's ICT System, with offline contingency arrangements in place should this not be possible. Contingency arrangements must include provision for screenings that are delivered offline to be recorded and uploaded onto the Authority's ICT Systems, and where necessary shared with appropriate Authority and Staff within and external to the Prison, as required.

1. The PES Core Education Provider must ensure that positive behaviours which encourage engagement with education are applied to all interactions with Prisoners.

1. The PES Core Education Provider must schedule all screening and assessment activity with consideration to the Prisoner Journey Process Map and with allowance for individual differences between Prison regimes. The sequencing of Prisoner settlement activity includes initial Prison risk assessments, healthcare screenings, Prison inductions and key worker meetings. This is then followed by the educational screening and assessment procedure covering Functional Skills, Reading, ESOL and ALN, which leads into the CIAG process, activity allocation and/or educational course enrolment.

1. Education Providers must work collaboratively with CIAG staff to ensure that assessments are scheduled to take place before the initial careers’ guidance session.

1. The PES Core Education Provider must ensure that all required screening and assessments for Prisoners must be completed by the end of the site-specific induction period for each Prison and before the Prisoner is moved from the induction wing. If a prisoners individual circumstances prevent screening and assessment from being completed within the site-specific induction period, then the Contractor must ensure that screening and assessment is scheduled for within thirty (30) days from the Eligibility Date unless there are clear and valid reasons to delay the process beyond thirty (30) days.

1. Prior to any screening offered, Staff will need to check for previous educational records via the Authority's ICT System and the LRS to confirm if any previous screenings have taken place and to review prior academic attainment to ensure that screening is only offered to Prisoners who meet the eligibility criteria.

1. Prior to screening being administered, the Staff shall ask, and record details of languages spoken and preferred language and offer ESOL screening Tool where appropriate.

1. The PES Core Education Provider must provide the opportunity to all Prisoners to self- declare whether they have a learning need, disability or a medical condition which will affect their learning and:

1. Make reasonable endeavours to seek out further information if appropriate,

1. Clearly differentiate screening Tool results, areas of need, self- declared diagnosis and confirmed diagnoses when recording information,

1. Make reasonable endeavours to confirm any declared diagnosis with relevant Healthcare services or external bodies such as previous education Contractors or the Local Authority where relevant. This must be evidenced and recorded digitally on the Authority's ICT System. Until evidence of a diagnosis is obtained this need must be clearly reported as 'self-declared'.

1. The PES Core Education Provider must ensure that prior to enrolment on a course, Prisoners are asked whether they were enrolled in education prior to imprisonment or if they have an Education, Health, and Care Plan (**EHCP**). If either of these are the case, the Contractor is required to get consent from the Prisoner to contact previous education Contractor and/or LA to request information on support needs.

1. The PES Core Education Provider must ensure that delivery arrangements and the learning environment are designed with suitable adaptations to support those with a range of learning needs, neurodiversity needs, Learning Difficulties and/or Learning Disabilities.

1. The PES Core Education Provider must record and provide assessment, enrolment, and progression data on request from the Authority, aligning to regular reporting practices and information sharing agreements. Contractors will ensure that information regarding support required to participate in education, skills and work on release is recorded digitally and is clearly outlined on the Authority's ICT System in line with requirements set out in the Services and Mandatory Guidelines.

1. The PES Core Education Provider must ensure that in instances where a Prisoner refuses to engage with screening and assessment this is recorded on the Authority's ICT System. A review date must be agreed and as a minimum they must attempt to re-engage the Prisoner every three (3) Months, and evidence of all further attempts made to effectively engage the Prisoner must also be recorded.

1. The PES Core Education Provider must engage actively with inspection of the Services by Ofsted, whether as part of inspections by HMIP (His Majesty's Inspectorate of Prisons) or otherwise, documenting any shortcomings in agreed detailed action plans with targets to address them.

1. The PES Core Education Provider must work with key stakeholders to ensure that legally compliant information sharing arrangements and agreements are in place for the purposes of sharing information from screening and assessment that is relevant to settlement, further referrals, and transfer and/or release. All sharing of information must be done in compliance with Authority information sharing guidance and practices. Any information from screening and assessment that is relevant to settlement, transfer and/or release is shared in line with Authority information sharing guidance and practices.

1. The PES Core Education Provider must work with Prison staff, including the Learning and Skills Manager, Neurodiversity Support Manager and Heads of Education, Skills and Work, health, and other education or support staff, to support sharing of information. This includes the provision of monthly (or at a greater frequency as agreed with the Prison) additional needs indicator Tool screening registers and proactively ensuring that all Prison staff and Staff, who are responsible for meeting the Prisoners' needs within the wider Prison environment, are made aware of any identified need or support.

1. Location and environment of delivery

1. Service delivery will be on site in Prisons, and it will be Prisoner- facing requiring interaction with Prisoners. Screening delivery may be on a 1 to 1 basis, or in small groups (up to a maximum of 10 Prisoners) as determined in conjunction with the Prison to best meet Prisoner needs while not exceeding the Learner Delivery Hours set out in the ADP. It is anticipated that the new digital screening and assessment Tool will take 2 hours to complete screening and assessments for each small group, however the Contractor will need to always be able to provide screening and assessment and have appropriate contingencies in place for circumstances that prevent the usual method of delivery.

1. The learning environment needs to meet the requirements outlined in the 'learning environment' section of this specification.

1. **CORE EDUCATION PROCUREMENT KPI 6 – S&A**
2. **PART A**

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| **Metric(s) Name:** | **Prisoners for whom Screening and Assessment is completed on time.** |
| **Long name:** | The percentage of in-scope prisoners for whom all required screening Tools and assessments are **Completed On Time**. |
| **Rationale:** | A contractual measure to hold the PES Core Education Provider to account for the timely completion of the following screening Tools and assessments, where required, so that prisoners can be allocated to undertake appropriate education, skills and work activity:   * Additional Learning Needs indicator Tool; * Functional Skills (Mathematics, English, Digital Skills) screening Tool; * English for Speakers of Other Languages ("**ESOL**") assessments; and * Reading Support assessments     "**Required Screening Tools And Assessments**".    This should assist the Prison and PES Core Education Provider in gathering information to make critical decisions and enable the formulation of appropriate support mechanisms for prisoners, where these are determined as required. This will support the long-term aims to improve prisoners’ numeracy and literacy, and other qualifications and skills, and to reduce reoffending. |
| **Output:** | The number of in-scope prisoners for whom all Required Screening Tools And Assessments are Completed On Time, as a percentage of all in-scope prisoners who reached 30 calendar-days from the Eligibility Date in the performance period or whose Required Screening Tools And Assessments were Completed On Time in the performance period. |
| **Performance Ratings:** | |
| Deep Green / Rating of 4 | Where the percentage of in-scope prisoners for whom all Required Screening Tools And Assessments are Completed On Time is greater  than or equal to 98.0%. |
| Green / Rating of 3 | Where the percentage of in-scope prisoners for whom all Required  Screening Tools And Assessments are Completed On Time is greater than or equal to 95.0% and less than 98.0%. |
| Amber / Rating of 2 | Where the percentage of in-scope prisoners for whom all Required Screening Tools And Assessments are Completed On Time is greater than or equal to 90.0% and less than 95.0% |
| Red / Rating of 1 | Where the percentage of in-scope prisoners for whom all Required Screening Tools And Assessments are Completed On Time is less than  90.0%. |

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| **Technical Description** | **Definitions**    **Required Screening Tools and Assessments:** The screening Tools and/or assessments which the Contractor is required to undertake for a prisoner (as defined by the Authority), when the prisoner meets the eligibility criteria for the screening Tool or assessment defined in the “in- scope prisoners” section below.    **Completed:** The date on which a prisoner’s screening Tool or assessment result is recorded on the Authority’s ICT System.    **Eligibility Date:** The date on which an in-scope prisoner becomes eligible to undertake the Required Screening Tools And Assessments. This date is the most recent of:   * The date the prisoner is first received into custody. * The date of transfer, if the prisoner is transferred to another Prison within 30 calendar-days of first receipt into custody and has not already Completed all the Required Screening Tools and Assessments. * The date that the reason for delay is recorded on the Authority’s ICT System as having been resolved, if the Authority and the Contractor agree to delay a prisoner’s Required Screening Tools and Assessments due to one of the reasons listed in the “out of scope prisoners” section below.     **Completed On Time:** For each in-scope prisoner, the Contractor has 30 calendar-days, starting from the prisoner’s Eligibility Date, to complete all the Required Screening Tools And Assessments and record the results on the Authority’s ICT System.    **Scope**    **In-scope prisoners**    A prisoner is in-scope if they meet the eligibility criteria for one or more of the Required Screening Tools and Assessments, as per the definitions below.    Requires the completion of the Additional Learning Needs indicator Tool:   * All prisoners without a previous record on the Authority’s ICT System of completing the Prison Education Services ("**PES**") Additional Learning Needs indicator Tool.     Requires the completion of the Functional Skills (Mathematics, English, Digital Skills) screening Tool:   * All prisoners without a previous record on the Authority’s ICT System of having Completed Functional Skills screening and there is no evidence, either recorded on the Learning Records Service ("**LRS**") or provided by the prisoner, of prior attainment of a GCSE Grade 4, or equivalent, in English, Mathematics and ICT/Digital Skills.   Requires the completion of an English for Speakers of Other Languages ("ESOL") assessment:   * All prisoners without a previous record on the Authority’s ICT System of having previously completed an ESOL assessment and: * Has self-declared an English language need; or * Has had an English language need identified via the Basic Custody Screening Tool ("BCST") or education introduction; or * Has been referred for an ESOL assessment by any member of Prison staff.     Requires the completion of a Reading Support assessment:   * All prisoners without a previous record on the Authority’s ICT System of having previously completed a Reading Support assessment where the prisoner: * Self declares on the BCST that they cannot read or struggle with reading; or * Scores Pre-Entry, E1 or E2 on the English Functional Skill assessment; or * Has potential reading difficulties identified via the Additional Learning Needs indicator Tool; or * Does not have an existing educational record and has been referred for a Reading Support assessment by any member of Prison staff. In circumstances where a non-educational staff member refers a prisoner, the referral must be assessed by education staff before a Reading Support assessment is undertaken; or * Chooses to self-refer for a Reading Support assessment where there are no other indicators of functional reading ability on record (English level E3 and above for example). Where a prisoner self-refers but there is an indication of ability to read, the referral must be assessed by education staff before a Reading Support assessment is undertaken.     Out of scope prisoners:   * All prisoners who were first received into custody prior to 1st April 2025. * All prisoners who do not meet the eligibility criteria for any of the Required Screening Tools and Assessments outlined in the “in- scope prisoners” section. * Prisoners who have not reached 30 calendar-days from the Eligibility Date within the performance period and have not yet Completed all the Required Screening Tools and Assessments.   Individual prisoners for whom it has been agreed that screening and assessment should be delayed, because it is not possible or appropriate for it to be Completed On Time. Reasons for delay may include the following (not an exhaustive list):   * Drug/alcohol dependency recovery; * Health concern/assessment/treatment; * Prisoner safety (e.g. where outreach work cannot be facilitated); * Security issue that poses a risk to staff; * Failure of the prisoner to engage; * Prison regime circumstances outside of the Contractor’s control.     Where the decision is made to delay screening, this must be clearly recorded on the Authority’s ICT System, agreed with appropriate Prison staff and have a review date set for further engagement with the prisoner. Once the reason for the delay has been resolved the Contractor will have 30 calendar-days, starting from the date the reason for the delay is recorded as resolved, to Complete the Required Screening Tools and Assessments. |
| **Formula / Calculation** | **Scoring system**     * One (1) point will be awarded if all the Required Screening Tools And Assessments for an in-scope prisoner are Completed On Time. * Zero (0) points will be awarded if all the Required Screening Tools and Assessments for an in-scope prisoner are not Completed On Time, including when one or more of the Required Screening Tools and Assessments for an in-scope prisoner is Completed more than 30 calendar-days after the Eligibility Date.     Any in-scope prisoners whose Required Screening Tools and Assessments are not all Completed by the end of the performance period will be carried over in the denominator to subsequent performance periods until all the Required Screening Tools And Assessments have been Completed. A prisoner whose Required Screening Tools and Assessments were carried over from a previous performance period and not Completed On Time will be removed from the denominator in the performance period in which all Required Screening Tools and Assessments are Completed.    **Exemptions**    A prisoner will be excluded from the numerator and denominator, when agreed by the Authority and Contractor, if one of the following events occurs within 30 calendar-days of the Eligibility Date and all the Required Screening Tools and Assessments have not been Completed:   * **The death, escape or absconding of the prisoner;** * **Release of the prisoner from custody;** * **Transfer of the prisoner to another Prison**. If the prisoner has not Completed all the Required Screening Tools and Assessments prior   to the date the transfer is completed, the prisoner will be excluded from the numerator and denominator for the Prison from which the prisoner is transferred with effect from the date the transfer is completed. The deadline for Completing the prisoner’s remaining Required Screening Tools and Assessments will be reset for the receiving Prison with effect from the date that the transfer is completed. However, if the prisoner has Completed all the Required Screening Tools and Assessments prior to the date the transfer is completed, the prisoner will not be excluded from the numerator and denominator for the Prison from which the prisoner is transferred. |
| **Additional Guidance:** | **Screening Tool:** An evidence-based and standardised series of questions designed to accurately determine a prisoner’s ability level/additional learning need, to determine their starting point, and to inform the next step of their Education, Skills and Work pathway.    **Additional Learning Needs indicator Tool:** A question set which provides an indicator of a prisoner’s additional learning needs, which can produce accurate results informing education and Prison-wide additional needs support planning processes.    **Functional Skills (Mathematics, English, Digital Skills) screening Tool:** A series of questions designed to accurately determine a prisoner’s ability level in Mathematics, English and Digital skills. |
|  | **English for Speakers of Other Languages ("ESOL") Assessment:** Module of the Functional Skills digital assessment Tool that identifies a prisoner’s existing English language proficiency level and areas of need.    **Reading Support Assessment:** An assessment Tool that identifies prisoners’ existing reading proficiency level and areas of need. |

1. **PART B – S&A QUALITY CAP**

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| **Metric(s) Name:** | **Quality of screening and assessment provision** |
| **Long name:** | A quarterly assurance process for the quality of screening and assessment provision. |
| **Rationale:** | A contractual measure to hold the PES Core Education Provider to account for the quality of delivery of screening and assessment provision. The screening Tools and assessments will provide a more accurate indication of a prisoner’s ability level and neurodiversity needs, informing accurate, individualised education pathways and supporting planning. This will support the long-term aims to improve prisoners’ numeracy and literacy, and other qualifications and skills,  and to reduce reoffending. |
| **Output:** | A rating from 1 to 4, based on the number of Key Lines of Enquiry that were passed. |
| **Performance Ratings:** | |
| Deep Green / Rating of 4 | Where all three (3) Key Lines of Enquiry have been passed. |
| Green / Rating of 3 | Where two (2) out of three Key Lines of Enquiry have been passed. |
| Amber / Rating of 2 | Where one (1) out of three Key Lines of Enquiry has been passed. |
| Red / Rating of 1 | Where no (0) Key Lines of Enquiry have been passed. |
| **Technical Description:** | The quality of the PES Core Education Provider’s delivery of screening and assessment provision will be assessed against three Key Lines of Enquiry, which are set out in the Additional Guidance section of this Technical Note.    **Definitions**    **Population Size**: The total number of distinct prisoners in the prison who Completed at least one screening Tool or assessment in the performance period.    **Sample Size:** The number of prisoners whose screening and assessment records will be assessed, out of all those prisoners in the Prison who Completed at least one screening Tool or assessment in the performance period.    **Margin Of Error**: The Margin of Error expresses the amount of the random variation in a sample. A lower Margin of Error of ±5% gives a greater confidence that the sample’s reported percentages are close to the “true” percentages in the whole population. |
|  | Confidence Level: A 95% Confidence Level means the "true" percentage for the entire population would be within the Margin of Error around the sample’s reported percentage 95% of the time.    Completed: The date on which a prisoner’s screening Tool or assessment result is recorded on the Authority’s ICT System.    Scope    In-scope prisoners: The measure applies to all prisoners who have Completed at least one of the screening Tools and assessments in the performance period.    Assurance methodology    The following assurance activities will be carried out each performance period:     1. The Prison (more specifically the Learning and Skills Manager or the Head of Education Skills and Work) will assess a sample of prisoners’ screening and assessment records against the three Key Lines of Enquiry set out in the Additional Guidance section. The Sample Size will be determined using the Sample Size calculation detailed in the Additional Guidance section, based on a ±5% Margin of Error and a 95% Confidence Level.      1. This assurance will be moderated across prisons by the Authority, to ensure accuracy and consistency, using dip sampling.     More information on both of these activities can be found in the Additional Guidance section of this Technical Note.    Scoring system    The Contractor will be awarded a “pass” or “fail” for each Key Line of Enquiry, based on the following criteria:   * Pass: The requirements for that Key Line of Enquiry have been met in 95% or more of the assessed sample of prisoners’ screening and assessment records. * Fail: The requirements for that Key Line of Enquiry have been met in less than 95% of the assessed sample of prisoners’ screening and assessment records.     The three Key Lines of Enquiry are equally weighted. |

**Additional Guidance: Key Lines of Enquiry**

The three Key Lines of Enquiry, and the requirements which need to be met for each Key Line of Enquiry, are as follows:

|  |  |  |
| --- | --- | --- |
| **Key Line of Enquiry** | | **Requirements** |
| 1 | Prior to the screening Tools and assessments being completed, were all relevant ICT systems checked for any existing assessment results? | * All relevant ICT systems have been checked (e.g. Learning Records Service ("**LRS**"), Curious). |
| 2 | Where assessments have been completed, have those assessments been recorded on the Authority’s ICT System accurately, including a summary of results and next step recommendations? | * All required data have been recorded on the Authority’s ICT System, according to the Specification. * Recommendations for next steps functional skills programmes of study have been recorded on the Authority’s ICT System. * Where appropriate, recommendations for additional learning needs support have been recorded on the Authority’s ICT System. * Referrals to stakeholders have been made and recorded on the Authority’s ICT System, where   appropriate. |
| 3 | Where a decision has been made to delay screening and assessment beyond the 30- calendar-day window (including refusals), is there evidence of when this decision was made, whether this decision was made in collaboration with appropriate Prison staff, the reasons for  the delay, and an agreed review date within 3 months? | The following information has been recorded on the Authority’s ICT System:   * Date of decision making; * Prison staff member’s name involved in decision making; * Reasons for delay; and * Review date. |

**Assessment methodology@**

**Step 1: Sample size calculation**

For a Sample Size to be statistically significant, meaning that the result is not likely due to chance, a Margin Of Error of ±5% and a Confidence Level of 95% should be used.

𝑁𝑧2𝑝𝑞

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = (𝐸2(𝑁 − 1) + 𝑧2𝑝𝑞)

Where:

n is the Sample Size required N is the Population Size

p and q are the population proportions and are set at 0.5 z is the Confidence Level and is set at 1.96 (i.e. a 95% confidence level)

E is the Margin Of Error and is set to 0.05.

The Sample Size (n) will be rounded up to the next whole number, to ensure that the Sample Size is statistically significant.

Worked example

750 prisoners completed at least one screening Tool or assessment at HMP Example in the performance period.

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) =

(750 × 1.962 × 0.5 × 0.5)

((0.052 × (750 − 1)) + (1.962 × 0.5 × 0.5))

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = (750 × 3.8416 × 0.5 × 0.5)

((0.0025 × 749) + (3.8416 × 0.5 × 0.5))

720.3

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = (1.8725 + 0.9604)

720.3

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = (1.8725 + 0.9604)

720.3

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = 2.8329

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = 254.2624

𝑆𝑎𝑚𝑝𝑙𝑒 𝑆𝑖𝑧𝑒 (𝑛) = 255 (𝑟𝑜𝑢𝑛𝑑𝑒𝑑 𝑢𝑝 𝑡𝑜 𝑡ℎ𝑒 𝑛𝑒𝑥𝑡 𝑤ℎ𝑜𝑙𝑒 𝑛𝑢𝑚𝑏𝑒𝑟)

Therefore, the screening and assessment records of 255 prisoners will be assessed for HMP Example for the performance period.

**Step 2: Dip sampling**

‘Dip sampling" is a technique used to check that processes are being following properly without having to look at every single case. Moderators will "dip" into the prisoners’ screening and assessment records at random and check that the screening Tools and assessments have been processed properly.