

**National Careers Service: Area Based  
Contracts**

**Generic - Once Only (OO) Questionnaire Template for completion.**



**Education & Skills  
Funding Agency**

**NOTE: Organisations choosing to subcontract some or all of their delivery are accountable and responsible for the performance of each subcontractor. The ESFAs assessment of Prime Contractors' performance will also take into account the performance of any subcontractors and will be marked accordingly.**

**It is Mandatory to complete only once all of the questions listed, irrespective of your Bidding Area(s) selected and upload once in the relevant place in the online technical envelope.**

Prospects Services

**Question [OO-01]: Understanding of context**

**Please describe how the National Careers Service contributes to the Governments economic growth and social mobility agenda's.**

In your response please provide evidence of:

- Sound knowledge of policy context such as DfE Careers Strategy, Fuller working lives, Industrial Strategy and other relevant policy documents, and how you will keep up to date with policy changes;
- How you will support both the strategic direction and the delivery priorities for the National Careers Service and explain how your business model will respond to changes in policy;
- How your strategic planning will be aligned to government policies and priorities;
- Sound knowledge of key National Careers Service principles such as:
  - Universal and impartial service;
  - Service is independent from learning provision;
  - Tailored to the needs of the individual;
  - Sound knowledge of advice and guidance that supports career management for individuals;
  - Focusing on priority groups customers; and
  - Encouraging customers to self-serve using the digital service.

**Maximum score 150 points – weight = 1**

**Maximum 7500 characters (3 pages)**

Sound knowledge of policy context: Prospects, part of Shaw Trust) is an established careers company & current NCS prime in London, South West & West Midlands. We understand and use policy context to inform planning & delivery. We have contributed to the DfE Careers Strategy focusing on skills fit for the future; improving social mobility to break cycles of poverty; raising aspirations & challenging

perceptions. We are committed to providing high quality, 'dedicated support for adults when they need it most' (DfE Careers Strategy, Making the Most of Everyone's Skills and Talents, Dec 2017) supporting them to upskill/reskill to meet employers needs for increased skills & productivity.

The Industrial Strategy focuses on challenges raised by global trends; artificial intelligence; rising automation, environmental concerns & an ageing society. It focuses on sectors which will be important to the future economy & identifies priority skills incl. STEM & digital. Government stresses the need for people to have transferable skills to meet the '... changing nature of the labour market... more flexible, atypical jobs and more self-employment ...longer working lives.' Support for our customers reflects these trends/issues with targeted advice based on up to date labour market information (LMI). Skills Advisory Panels will inform Local Industrial Strategies bringing together employers, LEPS & Combined Authorities. Prospects NCS teams already work with business, LEPS & Combined Authorities in the West of England, West Midlands & London providing input, understanding & assisting their delivery of priorities, raising awareness of NCS contribution & inviting representatives to NCS local steering groups to keep up to date with strategies/plans so careers advice supports local economic growth.

We support DWP Fuller Working Lives (FWL) by advising older workers on retraining to stay in work, & employers to help keep staff, working with other DWP services supporting this policy. The policy to increase apprenticeships, vocational T-levels implementation & focus on STEM sector skills is reflected in our business planning.

The Digital Transformation strategy outlines the vision for delivering Government services – digital by default. We know it will be the prime method of supporting customers as all services become digital; customers, esp. from disadvantaged backgrounds & some older people, can be left behind by lack of digital skills or access.

We support Career Learning Pilots & contributed to National Retraining Scheme to ensure adult careers advice is embedded so individuals have information on skills needed by business, can progress & achieve well-paid, high skilled jobs. We also work with Careers & Enterprise Co. incl. with employers in Opportunity Areas.

Prospects will keep up to date with policy changes at local/national level through: Close partnership working/contributing to ESFA, local, regional & national partners' priorities; active involvement in think tanks, research projects, conferences, calls for evidence, policy forums; representation on strategic groups e.g. All Party Apprenticeship Group; monitoring policy/priority changes using Prospects/Shaw Trust policy team. As a current NCS prime provider we understand the importance of keeping up to date & flexing services to meet the needs of current & future Government strategies. We have successfully done this contributing to key activities e.g. within London Mayor's Industrial Strategy; working with the LA on Build Plymouth initiative.

Supporting strategic direction & delivery priorities: Prospects will continue to work closely with ESFA colleagues to check our approach/delivery meets NCS priorities so individuals are empowered & enabled to make successful work transitions to increase social mobility, productivity & earning power. We will focus on enabling people to independently manage their careers using up to date LMI & high quality digital tools, triaging individuals at point of contact so those who need more help are identified & provided with support e.g. learning/improving digital confidence to self-serve. We will target resources on people who need most help e.g. priority groups making sure we deliver required outcomes.

Our business model is flexible. When policy changes impact on delivery, we provide training on how to implement them. If a new priority group is identified, new processes/partnerships to support them will

be implemented as we have done with Fuller Working Lives projects, eg Prospects NCS West Midlands will provide customer engagement for the construction skills action for Combined Authority Local Industrial Strategy. We will respond quickly/effectively to consequences of Brexit & other national/regional/local 'shocks' e.g. large company closures or new developments.

Strategic planning: Prospects strategy aligns with government policies/priorities. Eg our Digital Business Innovation unit focuses on supporting/incubating digital innovation/product development, championing uses of digital tools company-wide & our services incl. NCS e.g. virtual reality tools, social media, digital badge progress awards. Our participation in national policy-maker events will continue to inform strategic planning ensuring we align with Government. Prospects purpose is to inspire citizens to develop their full potential: this aligns with Government's key messages on social mobility, reducing in-work poverty, increasing numbers of disabled people in work & removing barriers so everyone can succeed whatever their background & circumstances, with NCS as a key enabler.

Sound knowledge of key principles

Universal & impartial: Prospects provides a National Careers Service universally available using all channels (phone, digital, face to face) so any adult can access personalised careers IAG in the right place at the right time. Qualified impartial advisers will support via individual/group face-to-face sessions (provided locally in accessible premises), over the phone and digital/social media platforms so customers can choose the channels (or combinations) which best suit their needs.

Service independent from learning provision: We will provide an independent service ensuring unbiased IAG so the customer is given the right advice for their specific needs rather than that which might benefit individual learning providers.

Tailored support: Advisers are trained to diagnose need, looking at aspiration, aptitude, ability & barriers, agreeing with customers bespoke Action Plans setting out goals & next steps determined by their needs & preferred delivery mode.

Sound knowledge: Prospects has provided careers support for 20+ years. We are matrix accredited, provide careers qualifications incl. Levels 4/6 in Career Guidance & Development/Levels 3/4 in Advice & Guidance. We run regular workshops for NCS staff to update their skills/knowledge including LMI to ensure individuals are given up to date information to support their career self-management.

Focus on priority groups: We will prioritise people in greatest need of support working with local specialist partners to shape, align and focus delivery on priority groups ensuring bespoke, knowledgeable advice.

Self-serve using the digital service: we will encourage all customers to self-serve, supporting those who do not have the ability to use the digital service with the aim of empowering them to take control of their career planning in the future in a digital age.

### **Question [OO-02]: Marketing, Social Media and Branding**

**Please explain how you will support a nationally co-ordinated marketing and social media strategy for the service as detailed in PART C - Marketing and Branding of the ITT.**

In your response please provide evidence of:

- Your capability and experience of supporting media activities through radio and press interviews, and digital media activities such as on-line interviews, engagement through social media, webinars, etc. You should include details of how you have measured the impact of media activity;
- Your capability and experience of producing content which can be used across a range of media platforms including print, digital and social media;
- Your ability to use digital and social media to raise awareness of the value of careers advice through differentiated activities which address the needs of particular audiences;
- Your experience of managing co-ordinated marketing activity across different media (including digital and social media) in support of national campaigns and promotions, so that consistent messages reach local areas and venues.
- How you will ensure that all careers advisers use social media strategy to promote the service by generating and sharing local relevant content which exemplifies how the service benefits customers;
- What you will include in your marketing strategy for each of the geographical areas that you are bidding for and the impact measures that will be used;
- What investment you will make to achieve these requirements and in what timescale
- How you (and your subcontractors) will ensure you comply with the brand for the Service and any related brand values and guidelines as detailed the tender specification.

**Maximum score 150 points – weight = 3**

**Maximum 7500 characters (3 pages)**

Prospects is current National Careers Service (NCS) Prime in the West Midlands, South West & London & experienced in supporting National NCS marketing, developing local brand-compliant campaigns & meeting contractual requirements. [REDACTED]

**Supporting Media Activities:** We will support NCS national marketing strategy by continuing to support ESFA campaigns (National Apprenticeship Week (NAW) events/social media) & engaging with local media. Prospects' 2017 NCS delivery featured on: BBC Midlands Today; national newspapers; Facebook live stream & Tone FM live broadcast from our Apprenticeship Bus roadshow; Glamour Magazine. Our PR/social media plans highlight monthly key themes linked to National initiatives, which inform press/media releases locally (Jan-18 New Year New Career; Feb/Mar-18 Apprenticeships: Dispelling myths/promoting benefits). Regular media releases enable us to build journalist connections, & maintain a high NCS profile highlighting key topics to the public.

**Impact Measurement:** Various tools are used to gather data; Hootsuite for Facebook/Twitter, Facebook insights, followerwonk.com to maximise reach by scheduling posts according to when followers are active online; Google Analytics to identify sources of referral traffic; Kantar Media highlights articles containing NCS; Media sourced stats, (Heart FM shared impact stats with us following a joint Apprenticeship campaign). This data is aggregated/analysed to measure reach/effectiveness & inform future campaigns.

**Producing Content:** Our marketing team includes print, digital & social media design/content specialists. Our in-house video production studio trains Advisers to present to camera, enabling authentic video content for live streaming/online/social media/Instagram campaigns.

We produce NCS branded leaflets, infographics (social media/print), brochures, videos (Talking Heads with industry leaders), animations promoted online via hashtags/social influencers, Facebook pages/content, Tweets, web design/apps, press releases, monthly ESFA approved case studies (incl. videos posted online/on social media). All content promotes the digital service & the National Contact Centre (NCC) number which we will continue to do on the new contract. We produce guides in electronic/hard copy on using social media to support job search eg 'Hidden Jobs Market' which shows how many vacancies are shared on social media & the impact a social media presence eg LinkedIn has on effective job search.

**Raising Awareness/Differentiation:** Digital/social media activity is targeted to various audiences to promote the impact & benefits of career management on work & life successes. Audiences include: priority customer groups; advocates; employers; third sector; community organisations; recruitment agencies; JCP; Local Authorities; schools, training providers, FE/HE. Our marketing plans target different audiences, with focused activity plans. Targeted advertising enables us to differentiate our message by geography/demographics eg 18-24-year olds' Apprenticeship event SW; locally targeted promotional video reached 5,104 people, 2,306 views/26 event responses/48 clicks/14 comments/18 shares. The video ran for 18 days & cost £85 total.

**Coordinated Activity:** Our Marketing Manager/Coordinator is the point of contact with ESFA on our current NCS contracts coordinating local dissemination of national campaigns across a variety of media, incl.: NAW/National Careers Week Calendars of local events circulated via social media & flyers to venues/customers/local partners (NCW Top Ten Supporter 2017); 'Apprenticeship Mythbuster' social media infographic/hashtags for NAW17. Careers Advisers & operational staff attend national events (Skills Show promoting NCS directly to the public). Our social media strategy is aligned to National awareness days, sharing themes to increase reach.

**Local Relevant Content:** Prospects trains NCS Advisers in social media & content production. This enables us to create effective & relevant local content promoting & advocating the Service by showing how it benefits customers, including customer testimonies of how the NCS has benefited them. Prospects encourages NCS Advisers to join local social media groups (job groups/clubs) to develop ambient local knowledge & as a route to market eg posting to say we will be providing support/IAG from the job centre/library that week. We encourage Advisers to feed content/good news stories to local NCS social media channels via the Marketing team to ensure brand compliance. Subcontractors' advisers adhere to this through quarterly Adviser meetings to review social media impact/share ideas & best practice.

#### **Local Strategy:**

We will create a local, marketing strategy to: promote the service in line with ESFA strategy & standards and raise awareness of the service through emarketing campaigns, website content, local job fairs, targeting different customer groups eg through Shaw Trust Hubs and (charity) shops.

The strategy will outline our target audience, which will include details of customer groups; local stakeholders; customer bases.

Messaging aims will include; identifying different audiences/customer groups working with LEPs; delivering differentiated key messages, local materials & marketing approaches for each; driving customers to NCS resources/services, promoting digital service/NCC, encouraging self-service.

**Impact measures:** Analytics on all social media platforms eg local Facebook post for Adult Apprenticeships event reached 79,383; CommuniGator measures mail opens & interest in email marketing; TextMarketer measures delivery success, allows recipients to respond directly; Data on

attendance at events, positive social media comments, media coverage, website hits, awareness of NCS & use of services before/after campaigns.

**Investment: Financial:** We will have an annual marketing budget to produce promotional materials such as display stands & leaflets. However, a large proportion of our marketing is via social media with the main cost being staffing.

**Staff Allocation:** A dedicated NCS Marketing lead will be assigned throughout the lifetime of the contract. On contract award, Prospects' Marketing Director will support Area marketing teams with mobilisation of the contract; our corporate marketing team will support NCS teams eg helping with video/social media campaigns etc. & share best practice/contacts.

**Added value:** We will support subcontractor marketing teams through membership of Prospects social media group, sharing best practice & innovation, training via our corporate marketing team. **Timescale:** Contract award to contract end.

**Brand Compliance:** Mirroring the NCS Contract for Services requirements, brand guidelines will form part of staff & subcontractor inductions, ongoing training & subcontractor contracts. NCS induction includes briefing on brand values, importance & compliance. Advisers are made aware of brand values & Customer Charter (CC). The CC, displayed at all venues, is incl. with email confirmation of customers' appointments ensuring they are aware of their NCS service rights/responsibilities. All marketing materials are clearly branded National Careers Service & signed off by the Prospects Marketing Manager/Coordinator prior to production to ensure consistency/compliance.

### Question [OO-03]: Information Technology (IT) Systems

Please provide evidence of your capability to meet information technology requirements and the systems and resources you will have in place to deliver the service integration by the required timescale.

In your response please provide evidence of:

- Your current or proposed operational IT systems and the changes required to them to support the delivery of the service; ensuring the security measures are in place that reduce the risk of exposure of sensitive information from these systems;
- A plan that demonstrates how you will integrate with the Data Sharing Service from October 2018;
- Your approach to delivering the obligations set out on the Code of Connection;
- Your approach to delivering the data interfacing defined in the tender specification;
- Your approach to establishing/amending service management arrangements to ensure continuity of services and ability to develop/enhance services over time;
- Your planned 'end-to-end' service solution, clearly describing the key components including telephone capability;
- Your service integration plans, highlighting any bespoke aspects that need development and when they will be delivered;
- How the IT systems and the business processes will be tested;
- What criteria will be used to demonstrate readiness;
- How you will drive and support growth (scalability) through information technology;
- How you will cater for change and evolution of the service;
- Your track record of delivering projects for ICT integration to agreed deadlines; and
- How subcontractors will use IT systems;

**Maximum score 150 points Weight = 3**

**Maximum 7500 characters (3 pages)**

Prospects is a current National Careers Service (NCS) prime contractor in London, West Midlands & the South West. We will provide a tailored customisation of [REDACTED], updated from our existing comprehensive NCS system, to both direct staff & subcontractors alike. This is accessible through [REDACTED] enabling seamless integration with cloud based applications & social media sources to report on multi-channel delivery. This will include dedicated SharePoint functionality, for all evidence gathering, & PowerBI; to empower business analytics & customer analysis at all levels. This system refresh will expand on established processes to support the "Digital by Default" agenda, support digital self-service for customers & ensure a comprehensive "Privacy by Design" approach to minimise risks, whilst still maintaining user-centricity.

Data traversing the network is encrypted from end-to-end via transport layer security protocol 1.2. [REDACTED] uses internet connectivity over HTTPS which enables browser level encryption for data in

transit; it is also protected by our SSL certification providing another layer of encryption for data in transit. User access to data is tightly controlled via permission settings.

#### Data Sharing Service

To ensure we integrate with the Data Sharing Service from 1/10/18 we will design/test a proof of concept (PoC) from the data dictionary requirement & data modelling that is currently understood. We will develop the new solution using AGILE methodology [REDACTED] principles to establish & interface against our CRM. This will be ready to test with the final ESFA specification.

#### Code of Connection

We will deliver the obligations set out in the Code of Connection (CoC) by providing a full network diagram showing all touch points & a project plan detailing connectivity/user testing life cycle. We have Cyber Essentials (CE) accreditation & our network has been successfully Pen tested (IT Health Check) with an approved external accreditor. We will obtain CE+ by 1/10/18.

#### Delivering the data interfacing

We currently have a fully functional interface that meets the requirements of the ESFA Data Collection. We will develop a new [REDACTED] interface in line with the requirement for DSS. This will be fully tested with the ESFA national systems.

#### Service management arrangements

We will use our existing systems & experience of the NCS, & new specification to amend/develop services. This revised & improved design will be iteratively enhanced (Sprints) using a combination of the most up-to-date application tools. This will produce a streamlined/robust suite, designed to maximise time supporting customers. All staff will receive training on the new solution. The solution is underpinned by a SQL server with 'Always On' implementation, data encrypted at rest, & Geo-relocated to a 2nd UK Microsoft data centre for Disaster Recovery.

#### End-to-end service solution

Prospects' solution will encompass all key processes including CRM, SharePoint, Contact Centre [REDACTED], Skype for Business, DSS integration [REDACTED] & ESFA Hub (XML) upload; accessible via Windows 10.0 laptop, smartphone & tablet devices, subject to Conditional Access, to support real-time delivery. Prospects has a comprehensive Contact Centre function, enabled via [REDACTED] as part of its existing NCS appointment booking & tracking functions, enabling staff level availability, scheduling/appointment overviews. We will work with the ESFA to make this information available directly through mobile & web applications. All NCS staff are provided with linked Skype for Business accounts that enable recording of telephone customer interactions. This will be enhanced through 2019 with the addition of MS Teams.

#### Service integration plans

We are implementing [REDACTED] for all staff & subcontractors to provide full management of user end-points. This will include Multi Factor Authentication (MFA), Self Service Password Reset (SSPR), Data Loss Prevention capabilities, & Single Sign On (SSO) (Jun18). We will develop a PoC environment using [REDACTED] directly to our CRM solution (Aug18) & revise our existing data collection solution to meet the revised ESFA Hub requirements (Sep18).

#### IT systems & business process testing

All elements listed in the CoC Service Responsibilities are established in our current system, such as extensive data quality/eligibility controls, & have gone through thorough BAT processes. Prospects will employ AGILE planning methodologies allied with our existing ISO9001 & 27001 processes &

cyclical user acceptance testing to ensure that an initial fully functional solution is service ready by Aug18.

Criteria used to demonstrate readiness will include:

1. Capability to record customer data against the new ESFA data model in place & accessible to all staff. Primarily digitally but a full offline equivalence will also be established (Aug18)
2. All delivery staff successfully trained in the use of the relevant digital solutions, have access to support channels & all corresponding training materials (Sep18)
3. All digital transfer methods for the service; live DSS data sharing/monthly submissions to the Hub will have successfully passed BAT, in partnership with other Primes & ESFA colleagues, covering all business scenarios for customer interactions (Sep18)
4. All IT solutions passing appropriate internal & external security reviews i.e. Annual PEN test, CE+ & any identified critical vulnerabilities addressed (Sep18).

#### Drive & support growth

Prospects' solutions are adaptive, scalable, actively reviewed, updated & enhanced based on an evolving product backlog process fed by service & user requirements/feedback. As part of our drive to increase customer engagement with digital solutions we will actively involve customers to directly address their perceptions of their digital interaction with NCS through feedback surveys & focus groups; improving the experience for future customers. Prospects' complete NCS solution sits within our Corporate MS environment benefiting from up-to-date enabled features. We will implement a bi-annual review & prioritised elevation activity to ensure that the systems expand but maintain consistency with current operational models/revised service guidelines.

#### Evolution of the service

We have a team of highly experienced developers & operational staff with over a decade of experience of the NCS & its predecessors; supported by a formal change management process & steering group. This will support service changes with extremely developed insights into system/service design, futureproofing & predicted direction of careers guidance in a digital age.

#### Track record of delivering ICT integration

We have an extensive track record of delivering live services/systems on time, working with partners to ensure requirements are met. We have already successfully deployed an instance of [REDACTED] for an existing DWP contract & were active partners in the testing & piloting of the current CDS & Data Collection interfaces; so are aware of activity & resource needs.

#### Subcontractors

Prospects' systems outlined above will be available to subcontractors via [REDACTED] over a secure browser connection; enabling caseload & performance management, evidence gathering & business intelligence analysis. All subcontractors will have CE+ in place by 1/10/18.

### Question [OO-04]: Subcontracting

**Please explain how you intend to manage the risks associated with delivering the service through a network of subcontractors to meet ESFA requirements?**

In your response please provide evidence of:

- The capacity in which you intend to use subcontractors in the delivery of the service, including:
  - Information, Advice and Guidance services; and
  - Supporting services including, but not limited to, technology, telephony, marketing, advertising, administration and finance.

- The processes you will put in place to:
  - Select and appoint subcontractors; and
  - Monitor, measure and manage the performance of all subcontractors including how you will deal with poor quality and under or over performance; and
  - Manage risks and mitigation.
- How you will ensure they meet the mandatory requirements and the minimum service requirements as set out in the ITT;
- How you will ensure consistent quality in the delivery of the service;

Please **supply details on the Subcontractor pro forma** of all of the organisations (name and type of organisation) with whom you intend to subcontract with and how they will support your delivery model.

**Maximum score 150 points Weight = 2**

**Maximum 5000 characters (2 pages)**

Prospects has wide experience of managing subcontractor delivery risks using ESFA & Merlin approved processes evidenced by 3 on-target National Careers Service (NCS) prime contracts using 37+ providers, & Merlin 2016 overall grade Excellent; Supply Chain Design 93%.

We will use quality-assured providers to deliver end-to-end IAG & specialist services (to meet priority group needs) & our own direct delivery. Mix of subcontracted & direct delivery minimises risk enabling flexibility/agility to scale delivery up/down to meet changing contract/ESFA needs.

Prospects will provide supporting services e.g. quality support/admin/MI, CRM, Progression Centre, marketing/advertising/social media, LMI, policy updates, customer follow up text service, SMART survey, delivery resources (lesson plans, ESFA COACH modules, training) & IT support.

Selection & appointment (Area Director overall responsibility) (1) Assess ITT requirements; analyse current suppliers' performance & suitability using Expression of Interest (Eoi) & advertise to address delivery gaps using Eoi process. Shortlist against specified criteria e.g. proven track record of delivering IAG with adults/NCS priority groups, qualified advisers (IAG L6 preferred), geography, Matrix, GDPR, Ofsted etc. (2) Shortlisted businesses complete Stage 2 Eoi, criteria incl. finance, key policies/procedures e.g. E&D, Safeguarding, Data Security, H&S. (3) Preferred providers receive written offer setting out customer volumes, management fee, mandatory requirements (reqs.) e.g. Cyber Essentials Plus by 1/10/18, NCS marketing/branding rules, performance, go-live date. Signed acceptance required. (4) Contracts finalised following NCS award. Unsuccessful providers given feedback on why not selected. Preferred/reserve subcontractors kept up to date with progress.

Monitoring, Measuring, Managing Performance: Supply Chain Managers (SCM) responsible for ensuring on-target performance. Process: Confirm volumes, minimum/mandatory reqs., quality reqs. (detailed in Subcontractor Handbook which each receive & overseen by Quality Managers [QM]), comms. plan agreed i.e. weekly telecom, monthly face to face to review delivery outcomes (customer satisfaction, career management, job/learning) v targets. SCM will address slippage of performance numbers or quality immediately. Prospects CRM (used for our current prime contracts) identifies subcontractor performance & is used by SCM, QM and provider to track delivery.

Discrepancies on outcomes and/or quality, discussed with provider to assess causes & agree remedial timed actions e.g. training, recruitment support etc. Month 1: Timebound informal performance improvement plans (PIPs) agreed with additional weekly SCM support. Month 2: If performance does not improve, a formal PIP agreed with intensive support from SCM & QM. If insufficient

improvement, reduction of customer numbers will be agreed. Month 3: Where improvements still not made, ESFA approval for new subcontractor sought.

**Over-performance (O/P):** At contract offer, ESFA max contract values explained to providers & imperative of staying on profile. O/P will be agreed in advance with on-target providers if re-profiling required from under-performing provider. Unexplained/acute/unplanned O/P will trigger SCM audit/evidence checks and remedial action.

We will minimise/mitigate risks using a risk register, clear communication, rigorous management & frequent liaison with providers. Key risks incl: \*underperformance mitigated by tight SCM controls & identified training/support to address issues; \*loss of subcontractor mitigated by ability to backfill by Prospects delivery team/proven consultants & reserve subcontractor list; \*Data loss mitigated by regular quality checks & Cyber Essentials Plus; \*Safeguarding mitigated by regular checks of procedures incl. DBS for all advisers.

**Meeting mandatory/service requirements (reqs):** During recruitment of supply chain, potential providers are given details of reqs. & responsibilities. Their contract mirrors the prime contract. Prior to go-live, Prospects' induction covers minimum reqs. & provides support so there is clarity about what needs to be done/how/when. The SCM & QM monitor reqs. weekly/monthly/quarterly to check compliance. Updated reqs. are communicated promptly & confirmed in writing with training organised if necessary.

**Consistent Quality:** QMs monthly supply chain health checks assess delivery against ITT quality reqs. e.g. the 6 professional delivery activities, Action Plans etc. Inconsistencies will be identified & training instigated. Staff will attend quarterly good practice events/training & ESFA-led continuous improvement e.g. COACH modules. All customers receive an online feedback survey, results will be analysed to inform training to improve quality for individual providers & across the network. Quarterly reviews of providers matrix retention, policy compliance e.g. E&D, GDPR etc. will support consistent quality.

### **Question [OO-05]: Performance Management**

**Please include details of your performance management processes that will ensure your performance (and that of any of your subcontractors) is maintained at the agreed level and explain how your performance management will result in an improved service and improved Outcomes for Customers.**

In your response please provide evidence of:

- Your performance monitoring measures, the relationships between them and how they are used to get a holistic view of performance;
- How you use benchmarking to measure performance;
- How you utilise trends to measure improvements;
- How you use performance management to improve Outcomes for Customers;
- The intervention activities you will have in place and how are these will be implemented and monitored;
- How you will use accurate and timely data to provide a targeted, relevant personalised service offering;

**Maximum score 150 points Weight =2**

**Maximum 7500 characters (3 pages)**

Performance management (PM) processes/measures & their relationships apply to direct & subcontracted delivery. They provide a holistic view of performance for Operations Managers (OM), responsible overall for PM, reporting to Area Directors (AD), supported by Supply Chain Managers (SCM) managing subcontractor performance, Quality Managers (QM) covering compliance/quality & team managers (TM) managing Prospects direct delivery.

Prospects will reflect ESFA's comprehensive PM processes to achieve customer outcomes, agreed performance & a high-quality, improving service. PM & resulting successful remedial actions maintain agreed performance, while improvements identified & actioned will improve service & customer outcomes. PM processes developed across Shaw Trust group, which Prospects is part of, are continually reviewed to improve services & outcomes for customers.

Contract delivery targets & KPIs reflecting the National Careers Service (NCS) specification are confirmed during service implementation & in providers' contracts. Monthly delivery profiles & KPIs e.g. partnership activity, outcomes/national target achievement (customer satisfaction, career management, jobs & learning) within the contractual cap; area based KPIs (confirmed post contract award) & quality indicators/compliance are agreed annually for direct/subcontracted delivery.

OMs oversee/track performance using weekly, monthly, quarterly, annual MI reports, meeting TMs & SCMs weekly to review & gain holistic understanding of overall contract performance, confirming that service delivery & adviser approach are in the interests of customers & employers & meet local needs. The OM & AD report to the ESFA Contract Manager providing MI on finances, volumes, national/area KPIs/targets, partnership work & other required outputs, including a case for growth.

Delivery teams/subcontractors are RAG rated against all criteria. This balanced scorecard approach covers performance outcomes & quality indicators, providing holistic assessment, enabling early remedial action to be designed/implemented, preventing loss of performance or quality.

Advisers are caseloaded according to specialism, experience, venues or delivery mode. Their performance is monitored by TMs daily via NCS CRM dashboard & weekly through individual CRM correction lists of potential non-conformities & missing information/customer progressions which they must address promptly to ensure data integrity & contract compliance. TMs hold weekly telekits with advisers to check delivery, quality & compliance. Identified underperformance/poor quality triggers a detailed, timebound performance improvement plan.

SCMs manage subcontractors with weekly correction lists & telekits, monthly review meetings to assess delivery performance against agreed profiles & address issues identified by QMs e.g. incomplete/poor Careers & Skills Action Plans (CSAP). Financial management, Ofsted inspection, Matrix processes, risk management, H&S, policy compliance, partnership activity, ESFA quality activities/continuous improvement programmes, performance against KPIs & data security are monitored & remedial action/support implemented if needed.

OMs monitor outcome performance bi-weekly to understand contract-wide what is working well, potential improvements & targets/KPIs not being achieved. This holistic view flags up relationships between areas of concern & performance patterns e.g. by geography, priority group, provider, outcomes.

Benchmarking criteria inform weekly/monthly/quarterly PM assessments. Prospects benchmarks against ESFA national targets (outcomes percentages & priority groups), area based KPIs, profiled partnership activity, quality/compliance e.g. delivery observation, CSAPs graded against Ofsted framework, mystery shopping data, incoming/outgoing call quality, handling/transfers, booking targets, failure to attend rates.

We benchmark priority groups in each area using local profiles (e.g. NCS research) to deliver services & achieve outcomes for all priority groups proportionately, and will focus on low skilled & SEN/disabilities. We use benchmarking to analyse customer diversity, implementing activities to engage under-represented groups.

Our three NCS prime contracts use data to analyse trends. Delivery teams & QMs assess trends quarterly from our NCS delivery (including subcontractor comparisons) & public/local information, to identify delivery approaches working well, and impact locally & nationally. We set targets based on benchmarks and evaluate trends over time to check that interventions result in improved customer outcomes e.g. increasing qualification levels, more 50+ returning to work.

We record/monitor performance trends, measuring improvement/impact. Trend analysis helps understand services at macro/micro levels, measure improvements and adapt delivery e.g. replicating elsewhere changes such as new venues & updated/focused marketing following increased engagement of priority groups in a specific locality.

Our forensic PM processes enable us to identify underperformance, by benchmarking against targets & quality indicators by subcontractor/adviser, & take targeted remedial action to improve customer outcomes.

Conversion percentages of customers engaged to JLOs is a key impact measure. If subcontractors/advisers are not reaching targets, we identify reasons & prescribe an improvement plan focusing on actions needed to improve outcomes, e.g. reviewing delivery locations, adviser training, new partnership work.

Quality indicators such as poorly completed CSAPs (checked via CRM) & feedback on services from customers (measured by Smart Survey, emailed to customers five days and 3 months after intervention) are analysed monthly. Biannual 'Feedback Fortnights' ask all customers to complete a simple survey. Analyses are used in PM to identify good/poor performance. Learning and good practice are shared across the team and help design further action to improve customer outcomes.

Individual, timebound performance improvement plans instigated by TMs/SCMs to address underperformance enable us to tailor support to individual advisers/subcontractors. Plans detail individual actions to be taken; results are monitored weekly to measure service/outcome improvements. Actions could include reviewing venues/opening new ones to meet demand; targeted activities in areas where priority groups live; enhanced/new partnership work to improve referrals and support; subcontractor 'deep dives' assessing their business model; and additional training for advisers e.g. to meet the needs of 50+, improve low conversion of JLOs.

Prospects uses data to provide targeted, relevant personalised services. We use Microsoft Power BI portal to collate/analyse data from a customer perspective e.g. are we achieving outcomes which match aspirations (jobs/training); compare customers' desired SIC/SOC code to employer demand via the Labour Market Insight tool; take workforce data from UKCES/LMI for All; use apprenticeship vacancy information. This enables advisers to give personalised advice to customers based on current, accurate data.

We use anonymised data on contract delivery to compare and analyse performance, by customer group, adviser, subcontractor, geography, and take remedial action e.g. if lone parents in an area are not achieving outcomes, we invest resources to diagnose local problems & deliver targeted activities to solve them.

### Question [OO-06]: Security Standards and Business Continuity

Please describe how your organisation is committed to ensuring that the confidentiality, integrity and availability of National Careers Service data will be protected.

In your response please provide evidence of:

- How your organisation, and any appointed sub-contractors or third parties, will meet all the National Careers Service security standards as set out in the relevant sections of the attached document set
- How you can provide sufficient guarantees that the requirements of the GDPR will be met and the rights of data subjects protected. GDPR data processors must only be appointed if they can provide sufficient guarantees that the requirements of the GDPR will be met and the rights of data subjects protected.

Please attach a copy of your organisations overall security policy and any other relevant documentation that demonstrates your organisations active commitment to security and how this policy is implemented. **Attach this policy to the appropriately marked section in the Technical envelope.**

Please attach a copy of your organisations business continuity and disaster recovery policies and plans to ensure continuity of service in the event of a business continuity incident. **Attach this policy to the appropriately marked section in the Technical envelope.**

**Maximum score 150 points Weight =2**

**Maximum 7500 characters (3 pages)**

#### Meeting Security Standards

Prospects will meet all National Careers Service (NCS) security standards including: clause 17 & section 8 of the Contract for Services (Cfs); the Code of Connection (CoC); Data Collection Guidance; Data Dictionary.

We are ISO27001:2013, Cyber Essentials (CE) accredited (CE+ accredited by 1st Oct '18) & ICO registered (Reg. Z730185X).

To ensure the compliance with Data Protection (DP) legislation, we commit to sharing data & cooperating fully with ESFA/Secretary of State.

We will ensure subcontractors meet the NCS security standards & business continuity best practice through; supply chain monitoring to ensure compliance; self-assessment/ongoing audit; monitoring visits to assess continuity of service arrangements, ISO 27001-13 methodologies & requirements cited in CE; supply chain having access to Prospects Information Security & GDPR training modules; corporate support for supply chain including network days; mentoring & support to achieve standards.

In addition, we confirm:

- Data processing will be carried out as per Schedule 8, unless prohibited by law;
- Our support for Data Protection Impact Assessments (DPIA). As part of pre-implementation, we will carry out mock DPIA led by our Director of Quality & Programme Management Office;
- Protective Measures against a Data Loss Event are specified in our ISO27001 compliant Business Continuity & Disaster Recovery Plans (BCDRP), tested & reviewed annually;
- Safer Recruitment procedures assuring reliability/integrity, & staff training to ensure awareness of requirements are in place, including: mandatory BPSS/DBS checks; proof of ID/eligibility to work; 2 references; mandatory Security Awareness Training Programme including induction, annual

Information Protection training & testing; staff Information Security Handbook; security roadshows; performance monitoring & audit by line managers & our Information Assurance Officer; staff newsletter.

- Prospects maintains complete accurate records & information to demonstrate compliance with clause 17 & the CoC, including the relevant policies, which are reviewed & updated at least annually in line with DP legislation/best practice/requirements of our ISO9001:2015 Corporate Quality Management certificate.

As an incumbent NCS provider, we are experienced/effective at working within the confines of the Data Collection Guidance & Data Dictionary & will continue to do so for this contract. We complete contractually required annual Security Plan reviews for current NCS contracts with ESFA compliance verification to provide audit trail.

For current NCS the following data protection protocols are in place, underpinned by our Information Security Management System (ISMS) & ISO27001/CE compliant policies. These will be checked, updated & migrated to the new contract:

**Encryption:** Official data may be transferred out of Prospects network by email or via Prospects Secure Email Exchange service (SES). Electronic official-sensitive information transactions are FIPS 140-2 validated via TLS/SSL v1.2 encryption & may be transferred by SES or password protected encryption, or physically by staff or authorised courier.

**Backup:** All primary data/databases are backed up automatically to & stored locally. Business critical servers are imaged using Live State System Recovery, backed up to network storage & copied offsite. Backup logs are checked & verified daily. Strategy is reviewed following security events/systems changes.

**Portable/Removable Media:** Prospects' laptops, tablets & smartphones use FIPS 140-2 validated full drive encryption, & remote workers using devices are required to operate under our Mobile Data Security Policy.

**Security Testing:** Penetration Testing & IT Health Checks are carried out annually by a fully certified CREST/UKCESG partner. Remedial work is overseen by the partner to ensure resolution of outstanding issues.

#### Meeting GDPR Requirements

Prospects currently operates in full compliance with the Data Protection Act 1995 (DPA). We recognise the GDPR updates of the DPA & are in the process of reviewing/revising our operations led by our Director of Quality & Programme Management to ensure we are fully compliant with requirements ready for the official enforcement date of 25th May 2018.

Our revised mandatory Data Collection Retention & Sharing Policy (DCRSP) is built on the ICO data processing conditions. Meeting the GDPR requirement that consent is clear/distinguishable from other matters & provided in an intelligible, easily accessible format, all Prospects managed communication modes for NCS will include a new Privacy Notice (PN) describing how the specific data provided will be used, & how it can be accessed by the data subject. The PN links to our comprehensive GDPR compliant plain English Privacy Statement (PS), which details our approach to data protection/information security & provides detailed guidance to data subjects to access their data. It is publicly available on Prospects' website.

#### Protecting Data Subject Rights

Prospects commits to supporting the controller in protecting data subject rights as per the GDPR. All such scenarios are dealt with using our GDPR/ISO31000 (Risk Management) compliant Incident Management System (IMS) embedded into our data portal. IMS training forms part of our mandatory Security Awareness Training Programme & is covered at induction & annual staff training/testing.

Our PS describes the process for subjects to access their data:

- Subject makes request to Prospects staff member

- Staff member logs the request on the IMS
- 2 original ID documents are verified by the staff member. ID verification triggers notification to our Information Assurance Officer who identifies all in scope data held (including meta data)
- In the event of a data breach, the data controller is notified within 12 hours, & the ICO within 72 hours as in the process outlined above & in line with our BCDRP. Prospects will work with the controller to resolve breaches & take remedial action in line with legislation.

Privacy by Design: Prospects complies with ISO27001:2013 section 14, assuring that privacy by design is embedded across our operations in line with the GDPR, including:

- Delivery model & systems design processes require justification that any data processing meet ICO data processing conditions
- Changes to systems within the development lifecycle are controlled by formal change control procedures
- PN included on every communication, with clear direction to the PS, & a simple process for data request/breach notifications to be effectively & swiftly processed;
- Information involved in application service transactions is protected to prevent incomplete transmission, misrouting, unauthorised message alteration, unauthorised disclosure, unauthorised message duplication, or replay;
- Established, appropriately protected secure development environments for system development & integration encompassing the whole development lifecycle.

Data Protection Officer (DPO): Prospects will have a DPO by contract go live. The role is independent & of sufficient seniority to inform Trustees & support IS teams. Responsibilities: management/maintenance of our data audit programme; GDPR compliance/risk assessment/strategy; oversight of privacy management programme/policies covering requirements of regulatory authorities/commissioners; development of training programmes; Privacy Incident Response Plan.