[2.11.1] Management Structure

Please provide details of your management structure, systems and processes.

Your response should:

- Include an organisation chart to describe your proposed management structure for this provision, including any subcontractor roles where applicable and the percentage of time that will be allocated to this contract for each listed role
- Provide a clear explanation of your capacity to manage this provision alongside existing and any potential future commitments
- Clearly describe the systems and processes that will be used to provide a robust audit trail of evidence to support payment validation, prevent fraud and meet ESF requirements. This should include but not be limited to: attendance records/action plans, participant consent, evidence to support claims for outcome payments and evidence to prove participants' eligibility.

Insert your response in the pre-set, shaded space on the following pages. Your response MUST be limited to 2 sides of A4.

Working Links and partners have the right management structures, systems and processes in place locally to deliver a high performing and compliant service. We have: Well-established local infrastructure across D2N2 via the delivery of comparable services to disadvantaged group including Work Programme, ESF BBO and ESF SFA skills provision; Established ESF processes and systems from our delivery of other ESF contracts, e.g. DWP ESF Families, and NOMS ESF; Centrally-based claims, compliance and audit functions which sit outside operational delivery helping ensure impartiality and high levels of probity.

REDACTED (organogram)

Our **Management Structure** provides: Maximised frontline support from experienced Personal Mentors (PersMs), Health Advisor (HA), In Work Support Consultants (IWSCs) and Employer Services Consultants (ESCs), all managed locally by an experienced Performance Manager (PM); Robust ESF/DWP compliance from national, contract independent audit functions, with a Local Administrator providing support on the contract; Cost reductions through shared management and corporate services. This management structure has been successfully implemented previously e.g. on our North London Work Choice contract resulting in an increase in performance from REDACTED % to REDACTED % in 3 months. **Capacity to deliver:** We have capacity to manage this provision alongside current and future commitments due to **Flexible national management structure**, led by ***REDACTED***, England Country Manager with 10+ years' experience managing similar services e.g. DWP New Deal and ESF Families; our focus on **local delivery and central back-office support** improves local frontline quality and back-office claims and processing consistency. Our delivery will be supported by our centrally funded, corporate functions e.g. marketing; IT & information security; finance; HR; facilities; procurement; and risk; **local infrastructure:** via the delivery of contracts including Work Programme, ESF BBO and ESF SFA skills provision; **smooth transition from current contracts:** Staff are in place who will transfer from contracts that are drawing to a close or demobilising; and **experience and scale:** We have delivered over 400 publically funded contracts, worth over REDACTED; supporting over 400,000 people. Our turnover is £ REDACTED m and in our employability business we currently employ REDACTED of whom are delivery staff. **Audit and ESF Compliance:** We have significant experience delivering ESF contracts (e.g. NOMS ESF, SFA ESF) so are regularly audited by relevant agencies including an Article 16 in Jun '16 achieving a zero error rating. Our process for auditing the service ensuring compliance is: Processes to support PersM delivery will be confirmed by our central Business Analysis Team in partnership with operations and our contract compliance team by go-live; All staff will receive training on the processes required to deliver the service e.g. how to complete an ESF1420 form, update CRM; PersM will log all data in CRM which can be accessed by our central teams enabling complete compliance oversight in realtime; Our PM and Partnerships Manager (PartM) will monitor records compliance through monthly percentage checks and manage staff/partners who fail to meet compliance requirements; Management will be supported by our Claims and Validation teams who will verify every record and outcome before claims are submitted; We have checks in place, including annual internal audit of records against ESF requirements by centrally funded Internal Auditors and monthly contract compliance testing conducted by Compliance Officers with outcome reports including compliance scores and job

outcomes, fed into operations and our Board for review. We will implement the following procedures to provide a robust audit trail of evidence: Attendance Records: Attendance sheets signed when participants attend PersM appointments/interventions which are securely stored as evidence to support claims; PersM updates participant CRM record with attendance. Action Plans (APs): APs and reviewed APs will be signed by PersM and participant then securely stored in participants' files. PersM will update CRM to reflect agreed actions and activities completion, along with supporting evidence e.g. course completion certificates; Participant Consent: PersM will ensure the Participant signs the ESF1420 Form giving consent in initial meeting and PersM will countersign. Completed forms are stored securely on site and a copy sent to DWP ESF Admin Team within 5 working days; Claims for Outcome Payments: PersM will update CRM to record participant progression into work and log evidence e.g. a copy of a job acceptance letter in CRM. PM will conduct checks of participant files, both CRM and paper based to ensure employment details are completed (e.g. start date, employer name and contact details) and that there is evidence for every outcome. Files of participants progressing into employment will be reviewed by our internal Claims Team (CT) who run weekly reports to capture all appropriate files. The CT conducts a 'completeness' check on each participant file and each outcome document to ensure compliance and evidence. Any issues are reported to the PM and PartM to ensure all PersM rectify them prior to claims submission. Prior to submission our Validation Team (VT) will conduct an independent check, contacting employers to clarify they employ the participant, start date and employment hours. They record notes of employer interaction on participant's CRM file; the CT apply a reference to all records reflecting status e.g. claim submitted, this enables claim tracking e.g. who submitted claim, submission date ensuring a clear and robust audit trail; Evidence to Prove Participant Eligibility: PersM will obtain eligibility evidence from participants at initial meeting e.g. an energy bill or driving licence. Evidence copies will be stored in participants' files and scanned into CRM by PersM facilitated by using tablets in outreach locations. PersM to sign ESF1420 form confirming sight of eligibility evidence and complete internal eligibility checklist. **Managing our Supply Chain:** All delivery partners will be required to comply with the above processes as part of their subcontract. Our VT and CT will monitor supply chain performance, along with the rest of the service, by conducting system based reviews, physical audits within their premises and contract compliance checks e.g. 10% sample checks of participant files. Where partners are failing to satisfy compliance requirements, this will be managed by our PartM.