

## 3671-2-Reducing Reoffending-RFP Questionnaire Report

### *Organisation Details*

*Please note the Authority reserves the right to require a successful consortium to form a single legal entity*

*in accordance with regulation 28 of the Public Contracts Regulations 2006.*

*01. Please confirm the full name of the contracting body that will, if successful, hold the contract awarded by the Authority.*

### **Shaw Trust Ltd**

The Shaw Trust Limited

*02. Consortia and Sub-Contracting:*

*Please select one from the options below:*

*a) Your organisation is bidding to provide the services required itself.*

*b) Your organisation is bidding in the role of Prime Contractor and intends to use third parties to provide some services.*

*c) The Potential Provider is a consortium.*

### **Shaw Trust Ltd**

b) Bidding in the role of Prime Contractor

*03. If the Potential Provider is a division or subsidiary, what is its relationship with the Parent Company (ownership, directorship, authority...)?*

### **Shaw Trust Ltd**

Not applicable

*04. Please confirm you have attached a one-page chart illustrating your ownership structure including relations to any parent or other group or holding companies.*

### **Shaw Trust Ltd**

Yes

*05. IMPORTANT: Only answer this question if you are bidding as a consortium. If you are not a consortium please save and continue to the next Questionnaire and complete all remaining Questionnaires.*

*Please provide details of the actual or proposed percentage shareholding of the constituent members within the consortium.*

**Shaw Trust Ltd**

*06. IMPORTANT: Only answer this question if you are bidding as a consortium. If you are not a consortium please save and continue to the next Questionnaire and complete all remaining Questionnaires.*

*If the consortium is not proposing to form a corporate entity, please provide full details of alternative proposed arrangements.*

**Shaw Trust Ltd**

*07. IMPORTANT: Only answer this question if you are bidding as a consortium. If you are not a consortium please save and continue to next Questionnaire and complete all remaining Questionnaires.*

*The Authority recognises that arrangements in relation to consortia may (within limits) be subject to future change.*

*You should therefore respond in the light of the arrangements as currently envisaged.*

*Please confirm that you will notify the Authority of any future proposed change in relation to consortia so that they can make a further assessment by applying the selection criteria to the new information provided.*

**Shaw Trust Ltd**

*You will need to hover your mouse over the column names to display the full details.*

*08. Please provide details of your insurance cover.*

*If you do not have this information enter "none" in the column "Type of Insurance" field.*

**Shaw Trust Ltd**

Organisation Details	<b>Supplier</b>		
08. Please provide details of your insurance cover.  If you do not have this information enter "none" in the column "Type of Insurance" field.	<b>Shaw Trust Ltd</b>		
Record Label	Type of Insurance	Company	Sums Insured
1	Employers Liability		f
2	Public Liability		f
3	Professional Indemnity		f
4	Products Liability		f
5			

Record Label	Expiry Date
1	2015-09-29 00:00:00
2	2015-09-29 00:00:00
3	2015-09-29 00:00:00
4	2015-09-29 00:00:00
5	

Lot 6 London

\*\*\*Organisational Structure\*\*\*

01. Please complete the Implementation Plan Template and submit as an attachment to this question via the adjacent paperclip icon. Use all the fields provided in the template and ensure that you clearly articulate the full range of your proposed activity during the period covered (i.e. up to end of week 52 from contract commencement). [Use ONLY the template provided. The template is locked to prevent you from including additional fields, sections or tables].

Have you completed and uploaded the template as per instructions?

**Shaw Trust Ltd**

Yes

02. Outline your strategy for making best use of the April – June 2015 mobilisation period to ensure that throughput of participants commences in July 2015. [Note if the relevant ECA includes a designated ESF sub-region then participant commencements must specifically occur at this level also]. Your response should focus on logistics and resourcing issues rather than stakeholder management which are covered as part of Question 20.

[300 words]

**Shaw Trust Ltd**

London NOMS throughput requirement for July 2015: 64 enrolments, including 4 from 16-18s.

The Shaw Trust/CRI Alliance strategy for NOMS implementation builds on our experience of implementing similar contracts. Shaw Trust's (ST) successful 3-month mobilisation of Work Programme enabled us to manage 2770 referrals in month one, and an average 1500 monthly throughput thereafter, whilst consistently being highest performing Prime Contractor in London. Using proven PRINCE2 project management methodology, our experience-based NOMS mobilisation strategy involves:

- Clear leadership: Oversight from ST's Service Director, [REDACTED] who has led bid-production and will provide continuity and drive forward key bid principles throughout implementation. He will be supported by our in-house Programme Management Office (PMO), with ownership of a transparent 'live' Project Initiation Document (PID). Workstreams will be managed according to the PID, including an implementation plan mapping-out interdependencies between workstreams, allowing the critical path to be robustly monitored, controlled and managed, thus minimising risk. The PMO will own a risk register, escalating key risks to the Service Director, redefining activity to address slippage.
- A dedicated multidisciplinary implementation team convening weekly, accountable for respective workstreams, comprising in-house subject experts will set-up infrastructure; governance; audit; performance; evaluation systems.
- 'Pre-implementation' activities commencing pre-April 2015, including critical activities which our experience reveals require speedy initiation, e.g. recruit Head of Service; TUPE preparation; secure premises agreements and associated IT infrastructure.
- Deploying our marketing and communications plan to gain staff, stakeholder and participant buy-in to our model.
- Our full staff complement, i.e. 23.7 FTE ST and supply-chain staff will be in-place operating across 7 custodial and 26 (4 permanent and 22 outreach) community sites, by July 2015 (with an initial lighter caseload) following a comprehensive on-boarding programme, covering induction, IT, Information Security, health and safety, site visits, tools training e.g. Outcomes Star™, CATS training and NOMS specialist briefings.

*03. Detail key management and administrative personnel (i.e. non-client facing roles) that will be funded through this contract and describe how they give assurance to the Authority as to your organisation's ability to service the requirements of the contract.*

*[350 words]*

### **Shaw Trust Ltd**

Shaw Trust is experienced in successful delivery to disadvantaged participants, and the disbursement of ESF funding (Work Programme; Progress to Work; Work Choice). Our success to date is built on effective, local management and administration, underpinned by comprehensive, expert central functions. This model enables performance management, supporting local teams to meet contract requirements.

Dedicated NOMS CFO-funded personnel/responsibilities include:

- Head of Service (HoS) – In anticipating being awarded more than one contract, we will appoint a HoS to oversee operations pan-ECA. They will be accountable for Performance, contract compliance, reporting to the local Governance Board and partnership activity; with senior management responsibility for risk of harm. This post will be proportionally costed across ECAs, reporting to Shaw Trust’s Director of Justice.
- Local Operations Manager – Performance and compliance; operations and practice development, effective partnership working with subcontractors; manage issues relating to risk of harm, Stakeholder relationship management, reporting to the local Governance Board (comprising key stakeholders to inform service development) and Shaw Trust HoS.
- Supervisor – Front line management responsibility for risk of harm. Line management for 8-10 Case Managers; practice support and performance management (including evidence validation).
- Local Administrator – Primarily responsible for evidence validation and preparation of claims (supported by our central Quality & Compliance Team and central Management Accountant); ad hoc administrative support to OM/Case Managers as required. Reports to the Operations Manager.

Furthermore, Shaw Trust will provide a full suite of Senior Management and administrative functions during implementation and the contract lifespan to ensure proper servicing of contract requirements, including:

- Director of Justice – providing strategic oversight and high-level stakeholder engagement
- Quality & Compliance (developing delivery processes and procedures during implementation, and evolving these across contract life in partnership with operational management; staff and subcontractor process training; supporting pre-claim evidence validation; internal audit)
- Management Accountant (financial oversight; budgets; claim processing with Administrator; financial reporting and administration)
- IT/ IS Support (implementation; technical support for staff; data integrity; ensuring information security)
- Supply Chain Management/ Commercial Assurance/ Employer Engagement/ Partnership Teams (supporting local Operations Managers to develop and maintain effective stakeholder relationships)
- Marketing/PR/HR/Policy/Participant Care Teams (ensuring wrap-around support from central functions for local teams)

*04. How will the Contractor provide assurance to the Authority that all required security vetting checks have been undertaken on all Contractor Staff (including Subcontractors)? Your response should detail arrangements to make sure that evidence of the same is available to the Authority on request as well as timescales for responding.*

*[200 Words]*

### **Shaw Trust Ltd**

Shaw Trust (ST) will ensure all staff (including subcontractors) are subject to Enhanced DBS vetting and HMP clearance. Our internal vetting management process mirrors the requirements of the relevant Prison Service Instruction (PSI 07/2014).

Our HR Service Centre in Wandsworth will manage all staff vetting processes, with paperwork returned by managers/subcontractors prior to approval of an individual to work on contract delivery. Misrepresentation or failure to disclose material facts, e.g. criminal record, will constitute grounds for refusal of authorisation.

Safer Recruitment training is a requirement of all ST and subcontractor management staff to ensure they are fully aware of responsibilities of cross-referencing information on DBS certificates against disclosures. All updates/changes to our vetting process will be cascaded to staff via management, and training.

Shaw Trust complies with the Disclosures Code of Practice regarding correct management of disclosures and documentation, and therefore tracks reference numbers, prison clearance documents and monitors/audits DBS vetting/Prison Clearances/authorisation of staff to work on the contract annually through ongoing assurance processes. This ensures compliance and that any renewals/changes to circumstances/staffing/responsibilities are managed effectively.

ST will make information available to NOMS upon request within 5-working days via a vetting and compliance nominated contact from the ST management team.

*05. How will the Contractor ensure that both they, and their Subcontractors (where relevant) comply with the Authority's stated Information Security Requirements, including that the IT is appropriately secured?*

*[350 Words]*

### **Shaw Trust Ltd**

As a successful provider of flagship DWP Work Programme and Work Choice contracts, Shaw Trust (ST) understands the paramount importance of a robust information security life-cycle in ensuring confident contract delivery and partnership working. We are certified to and fully comply with the ISO27001 Standard and will ensure that sub-contractors are supported and monitored in complying with ISO27001 principles and practices. We incorporate appropriate checks and balances across all provision, including regular audits undertaken by qualified internal and external ISO27001 auditors.

Information Security (IS) matters are overseen by our Head of IS, who will work closely with the Authority to understand requirements and supplement our existing robust Information Security Management System (ISMS) accordingly.

We will give the Authority full assurance of the Confidentiality, Integrity and Availability of all information assets through compliance with and continuous cross-referral to documentation including:

- MoJ IT Security Policy
- NOMS CFO ESF 2014-20 Terms and Conditions, including but not limited to Schedules E, G and N
- NOMS Information Assurance Policy

We will comply with the Authority's specific IS requirements through:

- Strong risk assessment and management processes:
  - Maintaining accurate records of individuals handling Authority Data;
  - Reporting, managing, recovering from information risk incidents, including immediate reporting to the Authority; Maintaining high levels of staff awareness of the importance of IS, using our well-

tested IS training module, delivered to all starters and refreshed annually, and supplemented by NOMS-specific training.

- Robust measures to protect personal information, including:
  - All staff with access to NOMS data subject to required security clearances;
  - Neither staff nor sub-contractors permitted to access Authority Data unless and until they have undertaken training and signed relevant forms confirming their IS compliance;
  - Clear desk and locked workstation policies;
  - Secure storage of, access to and destruction of paper records;
  - No storage of offender data – use of CATS only, unless the data is wholly anonymous;
  - Transmitting offender data only on FIPS 140-2 encrypted IT equipment;
  - Use of the “second best option” in Schedule E (subject to Authority approval);
  - A blanket ban on removable media, with the exception of encrypted laptops.

*06. In the event that there are such transfers, how will the Contractor ensure compliance with both TUPE regulations and (where applicable) any additional employee pension protection requirements, including where relevant, detail of how transfers to Subcontractors will be supported by the Contractor?*

*[400 words]*

### **Shaw Trust Ltd**

It is our view that this is a new service and TUPE is unlikely to apply. In the event that this is not the case, we will adhere to our statutory obligations under TUPE Regulations 2006.

In the last 4 years, Shaw Trust has transferred in 593 staff nationally from other organisations as a result of our merger with the Careers Development Group (CDG) and following award of Work Programme and Work Choice contracts across the UK. In addition, we have successfully transferred out 87 staff to other organisations.

Working closely with subcontractors, providing support as required to ensure a consistent contract-wide strategy and procedural approach, we operate a 4-stage process:

1) Pre-Transfer analysis of current staffing structure (Shaw Trust / subcontractor/ incumbent provider HR):

- Due diligence exchange and review of staff data for those potentially eligible for transfer, including contractual T&Cs, to establish liabilities.
- Analyse current pension provisions and address any protected pensions that may be covered by Employment Code of Practice (Cabinet Office), ensuring we adhere to our obligations within the Fair Deal Policy.

2) Administrative Preparation:

- Establish and agree liabilities with subcontractors where applicable.
- Inform Finance and HR and Senior Management teams of potential transfers to enable strategic and administrative preparation for incoming data, including personnel files and payroll records.
- Produce TUPE-specific implementation plan, including responsibilities; procedural deadlines; expected transfer dates. Agree and manage in conjunction with NOMS/ subcontractors/ incumbent provider as appropriate.

3) Formal Consultation Process (staff eligible for TUPE):

- Shaw Trust delivers an initial presentation to all eligible staff including an introduction to Shaw Trust, changes to the service, our delivery model, and the TUPE process.
- Individual consultation meetings between the eligible staff member and a Shaw Trust HR Business Partner to ensure clarity and provide a forum for confidential discussion/questions. Details are confirmed in writing after the meeting, and include measures Shaw Trust/Subcontractor may need to impose (e.g. changes to pay dates; holiday periods; working location); a timeline for the TUPE process relating to the individual.
- All transferring employees to be sent a welcome letter including first day instructions (28 days prior to start).
- Consultation is on-going, and individual meetings may be required dependent upon individual circumstances.

4) Post-Transfer:

- TUPE transferred staff follow the same induction process (including security clearance and vetting procedures) as new starters across the contract, according to the Implementation Plan timescales.

*07. Assurance must be provided to the Authority that the proposed contracting entity is financially viable and capable of supporting a contract of this size. Your response must detail the financial capacity and sustainability of the bidding entity or that of the parent company/companies, and make reference (where appropriate) to appropriate financial statements (e.g. audited accounts) or the ability to offer Parent Company Guarantee(s) if required to do so by the Authority. [350 words]*

*[Note: You may upload attachments to evidence statements made in response to this question via the adjacent paperclip icon. Any attachments should be clearly labelled as being related to this question and should be specifically cross-referenced in your response. Please note, any information contained in the same will only be considered in respect to this question.]*

*Please indicate in your response whether you uploaded any attachments as part of your response to this question.*

*[350 words]*

*\*Showstopper question: A minimum score of 70 will be required.\**

**Shaw Trust Ltd**

Shaw Trust (the parent company and bidding entity) is a national charity that has been operating for 30 years, helping disadvantaged people gain skills to live more independently and actively contribute to family and community life. During this time we have experienced substantial growth, currently employing 1,400 staff who, in 2013, assisted 53,000 vulnerable people towards social inclusion and employment across our 230 sites in England, Scotland and Wales. Our annual accounts report incoming resources of £ [REDACTED] (2013), a [REDACTED] increase on the previous year, and have shown year-on-year growth for a considerable time (see attached last 3 years' audited accounts).

We have successfully implemented and now manage and deliver several large DWP contracts including 16 Work Choice prime-contracts (combined contract value £ [REDACTED]), 1 Work Programme prime-contract (£ [REDACTED] 7 years) and 12 major sub-contracts (value £ [REDACTED]). We also deliver on behalf of Local Authorities, NHS, Skills Funding Agency and ESF-funded delivery. This diverse portfolio, which includes payment-by-results contracts similar to NOMS, has provided the knowledge and



Headline added value elements in our profiling, which lead to relatively high core costs not fully covered by the upfront payments, but which we believe are critical to programme success, include:

a) Case Worker costs – these are skewed towards contract start as we are proposing a prepared full staff complement from day-one resulting in reduced initial caseload sizes, but which provides an opportunity to:

- Take time and care at contract commencement for staff to understand the cohort and select the right participants, both in custody and community.
- Be outward-facing and able to link participants into services and community networks – providing staff the time to become familiar with the operating environment and multi-agency arrangements integral to good practice.

b) Discretionary Access Fund expenditure - targeted towards key participant pathway stages to achieve maximum impact in improving employment outcomes. Shaw Trust will cover additional participant costs required to support social inclusion.

c) Subcontractor delivery costs - profiled according to the fixed management fee element and anticipated timing of payment-by-results activity. To provide an enhanced service Shaw Trust is providing up to [REDACTED] % of the average unit price to subcontractors supporting Harder-to-Help groups.

To ensure permitted values are not exceeded, a dedicated Management Accountant will utilise our robust financial and Management Information systems to monitor contractual performance and all financial and performance profiles. Our costs are profiled based on the date at which expenditure is expected to be incurred, and exclude all ineligible costs.

*09. Outline your approach to profiling DAF, including detail of the points of the participant pathway which you envisage it will be accessed at, as well as a general overview of items likely to be purchased, approximate value, relevance to the client group and process for checking eligibility of items (against ESF Regulations) and authorising purchases. [Please note that the response provided should be consistent with any information provided within your submitted Participant Throughput Profile template.]*

*[400 words]*

### **Shaw Trust Ltd**

Since 2010, Shaw Trust has managed a fund similar to DAF, and to date has distributed circa £[REDACTED]m nationally to our subcontractors, supported businesses and host employers to cover training costs, support or wage subsidies for 3,591 Work Choice participants. Through this experience we have developed robust processes for authorisation and eligibility checking to be applied to the NOMS DAF.

Approach to profiling – Our experience demonstrates three specific stages within the participant pathway at which to target DAF payments to achieve maximum impact from such a fund, apportioned as follows:

• [REDACTED]

[REDACTED]

[REDACTED]

However, our approach will be flexible and innovative to meet individual needs; ensuring allocations are focussed at other key stages, as required.

Participant selection – Our basis for selection of participants receiving DAF support includes, as a minimum, ensuring the specific course/activity:

- Cannot be accessed elsewhere via ESF budgets/mainstream-funding (e.g. other paid for short-courses)
- Is clearly linked to a relevant employment sector, providing a real job opportunity within the resettlement area
- Rewards motivation, engagement and completion of social inclusion objectives, and incentivises progression to subsequent pathway stages

Process for eligibility checks including authorisation – Checklists and guidance will prescribe the set criteria (linked to ESF regulations) to be satisfied by Shaw Trust/subcontractors before the DAF should be accessed, including the ‘participant selection’ criteria described above and a full list of eligible items/associated expenditure limits (maximum £999 per item/course), to be agreed with NOMS.

On checking adherence to minimum checklist requirements, Case Managers (CMs) will complete a DAF-proforma to be authorised by their Supervisors and/or Operational Managers before undertaking DAF spend. Once approved, CMs will update CATS with spend/evidence showing how the same links to participant action plans/employment goals, retaining hard copies of evidence to be submitted monthly to NOMS and for ESF purposes. Shaw Trust’s Commercial Assurance Team will regularly audit DAF processes/documentation.

*10. Outline your approach to recovering costs for any staff which are not fully allocated to this contract and/or support functions and infrastructure which will be shared across multiple contracts (e.g. indirect costs), detailing any relevant apportionment methodologies or timesheet processes. Your response should demonstrate how your approach ensures an appropriate balance between direct delivery to participants and management/administrative support for the contract.*

*[350 words]*

**Shaw Trust Ltd**

Our modelling is such that the substantial proportion of total contract price is attributed to direct delivery costs, providing the Authority increased value for money. For example, [REDACTED] 'central support staff/personnel' who will be instrumental during implementation and will provide oversight and quality assurance over the contract's life. [REDACTED]

[REDACTED] These costs will change if we are awarded multiple contracts owing to economies of scale. Furthermore, we provide free-of-charge space for running delivery sessions in our existing sites whilst only charging for desk space to accommodate Case Managers.

In order to capture all costs associated with this contract and provide accurate, robust, and transparent financial monitoring Shaw Trust will implement the following measures to ensure only eligible costs incurred wholly and exclusively in respect of the NOMS contract are recorded:

- Deploy a dedicated, experienced Management Accountant to monitor, check and report contract income and expenditure activity;
- Create a separately identifiable, dedicated cost centre within our finance system to charge costs directly linked to NOMS.

Indirect / apportioned costs will be recovered as follows:

- Staff not fully dedicated to this contract (including staff within support functions) will be required to complete timesheets on a monthly-basis detailing hours worked directly attributable to NOMS. These hours will be checked and approved by appropriate line management.

Hourly rates for each staff member will be calculated using recognised ESF eligibility methodology and applied to hours worked to calculate the attributable cost, which will then be charged to the NOMS contract cost centre by the Management Accountant. The Finance department will retain Timesheets for audit purposes.

- Premises & Utility charges: The attributable running costs of premises serving multiple contracts will be calculated according to the square footage of space occupied by staff and/or activity undertaken.
- Infrastructure and other costs: Any other shared costs will be assessed on an individual basis and the most appropriate eligible apportionment method applied, for example by per person usage for shared telephony charges.

*11. Provide justification for the contract value allocated to both the Operating Margin and Indirect Costs budget lines and explain how the same ensures that participants receive maximum value from the contract. Where relevant, including detail of any infrastructure/staff costs or social reinvestment of elements of the operating margin as well as any leveraging in of investment from other funding streams/contracts which would not appear in the Budget Profile Template to enhance outcomes for participants.*

*[400 words]*

*\*Showstopper question: A minimum score of 70 will be required.\**

**Shaw Trust Ltd**

Charitable ethos – Shaw Trust regularly invests its surpluses into service delivery to enhance the support offered through its government-funded contracts. For example, [REDACTED] which has helped us to continuously move more disadvantaged individuals into sustainable work than any other Work Programme prime-provider in London.

NOMS investment – We similarly commit to invest in NOMS delivery.

Shaw Trust is funding from its reserves and other activities/contracts circa £ [REDACTED] ([REDACTED]%) of the value of indirect costs for ‘central support staff/personnel’ to be incurred for NOMS delivery (including all HR, Finance, Information Security, Quality, Audit, Compliance, Marketing, Subcontractor Support); with the remaining costs included in the NOMS budget template. Similarly we have significantly reduced our ‘normal expected’ operating margin from c [REDACTED]% to 0%. Instead we are maximising the amount of NOMS funding allocated for direct delivery to NOMS participants, by:

- Increasing the number of Case Managers as such that maximum caseloads do not exceed [REDACTED] participants per Case Manager for the general cohort, [REDACTED] for women and 18-24s, and [REDACTED] for harder-to-help groups to enable more intensive support.
- Investing in an enhanced Person-Centred Planning and Assessment Process to complement CATS/other assessments through Outcomes Star™ to measure distance-travelled (including piloting a new ‘Rehabilitation Star’) and developing a One-Page-Profile to enable more informed participant ‘matching’ to mentors/personal sponsors.
- An investment of £ [REDACTED] for London into our family and housing offers to supplement existing services.
- An enriched supply-chain through a competitive management-fee ranging from [REDACTED]% (harder-to-help groups) to [REDACTED]% (lower than [REDACTED]% DWP industry-standard fee) and enhanced unit-rates for specific groups, thus maximising available funding for our partners to enhance delivery to participants.

Flexibility – our £ [REDACTED]m reserves enable us to fund additional enhancements over the contract lifespan to adapt to participant/stakeholder needs.

Hidden infrastructure/staff costs – [REDACTED]

Leveraging additional funding – Participants can benefit from, at no cost to NOMS, added value tools developed for our DWP contracts, e.g. our online learning platforms Customer Zone, Skills for Work and Accenture e-learning academy. We will also enable access to work placements generated through our in-house Employer Services Team and national network of [REDACTED] social enterprises and retail shops.

*12. How will the Contractor ensure that Contractor and (where applicable) Subcontractor staff understand and comply with the CATS System Operating Procedures (SyOps)? Your response should also include details of mechanisms which you will implement to ensure that the Authority is notified within 5 working days of any Contractor Staff who cease to require CATS accounts.*

[300 Words]

## **Shaw Trust Ltd**

Our experience includes compliance with similar government-approved IT systems and procedures (e.g. Provider Referral and Payments system for Shaw Trust's DWP prime contracts).

Awareness raising – Before providing CATS access, all Shaw Trust and subcontractor staff will undergo a mandatory SyOps training module, to sit alongside our existing mandatory Information Security module. This will incorporate all elements of the SyOps, translated into digestible procedures and guidance, which will culminate in a test to measure participant understanding.

Post-training staff will complete and sign:

- an Acceptable Use Policy (AUP), i.e. the SyOps converted into a brief to define: acceptable behaviour per business function, types of information to be protected and why, procedures for reporting security incidents and consequences of non-compliance, as a minimum.
- forms A1 (NOMS-Data Usage Agreement), A2 (CATS–System Operating Procedures) and B1 (Incident Management Procedure). These forms will be retained by our HR department and will be available to the Authority on request.

CATS account permissions for prospective users will not be requested unless the HR department is in possession of the signed forms and has records of successful completion of training modules.

Ongoing SyOps compliance monitoring – Supervisors will measure and monitor compliance during monthly reviews of staff KPIs. Supply chain management will ensure subcontractor staff similarly comply. Annual SyOps training and resubmissions of signed AUPs will help to minimise security breaches. Supervisors will filter-down relevant policy amendments/business functional changes, with major changes leading to ad hoc training. SyOps procedures will be available for all staff accessing CATS on our staff intranet and extranet sites.

During implementation, operational and HR management will develop a process for CATS users' Supervisor to notify HR by email within 2 working days of users ceasing to require a CATS account; HR will subsequently notify the Authority within 2 working days.

*\*\*\*Approach to Delivery\*\*\**

*13. Demonstrate your approach to ensuring that NOMS CFO provision is targeted at those offenders which will receive maximum benefit from the same (rather than those requiring minimal levels of intervention and support) to enable them to access mainstream provision. Your response should make reference to hard-to-reach groups, those identified for additional regional focus and the general cohort.*

[400 words]

## **Shaw Trust Ltd**

Shaw Trust, in alliance with CRI, has extensive experience in ensuring limited resources reach those most likely to benefit from support. For example, on CRI's Surrey DIP, staff must triage at time of arrest to identify individual suitability for referral to rapid-prescription service, a limited provision that must be efficiently targeted.

On NOMS CFO R3, we will ensure appropriate targeting at those who will receive maximum benefit through:

- Clear communication of suitability criteria – During mobilisation and throughout delivery, we will ensure that all stakeholders (in custody and the community) are fully aware of the eligibility criteria for NOMS CFO R3, London’s ECA Level focus (gangs), and London’s hard-to-help sub-groups. This includes joint-planning to profile cohorts in different establishments/communities.
- Requesting initial categorisation from referring organisations – based on the specific eligibility criteria for the general, regional focus and hard-to-help sub-group cohorts. This ensures eligibility criteria is at the forefront of referring bodies rationale for the referral, and supports our Case Managers to focus subsequent checks.
- Initial checks to ensure participants meet ESF General Eligibility Criteria (as at G7.1 in Schedule G) and Target Groups – Entire Cohort (as at G7.3), including unskilled, de-motivated offenders who are not currently able to access mainstream provision. This initial checks will be made using CATS, BCST, OASys, any further referral information, and in discussion with OMUs/NPS/CRCs.
- Our Enhanced Person-Centred Planning and Assessment Process – Following initial checks, a more in-depth and comprehensive assessment process will obtain further detailed information about the participants needs, motivations and goals. For example, a self-completed One Page Profile asking questions about their perceived personal strengths, interests, and communication styles. This may result in reconsideration of eligibility and redirection of the participant onto more suitable provision. For example, participants who come across more willing and motivated to access mainstream provision than initially thought.
- Mapping participant needs against ECA Level Focus (gangs) and hard-to-help sub-groups – based on information obtained through initial checks and the Assessment process. Provision and case management will then be enhanced to account for these needs.
- Ongoing review of suitability – Throughout participation, and in coordination with OMU/ NPS/ CRC and prison colleagues, our Case Managers will take an informed view regarding whether a participant is benefitting adequately from NOMS CFO provision, is ready to be referred into mainstream services, or when barriers are such that our intervention is not having an impact and changes in activity are required to achieve aims.

*14. Detail any accommodation related provision or support you will deliver as part of the Contract or will facilitate access to, which will contribute towards the general cohort becoming more socially-included.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust, in alliance with CRI, will implement an enhanced housing offer, developed by our experienced offender housing consultant. Our offer recognises the importance of combining effective housing-related support and advice, with well-sequenced access to sustainable housing.

To achieve this, and as part of our value add, we will recruit a dedicated expert NOMS CFO Housing Support Coordinator (HSC), building strategic links and advising Case Managers (CMs) and participants in complex cases.

Provision/support delivered by CMs:

- Prioritising housing needs at assessment - maximising lead-in time, particularly for short-sentence and repeat offenders, who are more likely to be homeless on release;
- Undertaking person-centred planning, incorporating Outcomes Star™ reviews, and delivering activities under core activity to build housing sustainment skills and improve social inclusion;
- Full options appraisal - including liaising with Personal Sponsor and family support provider, Safe Ground, to identify whether a return home is appropriate or possible and arrange required transition and support;
- Referral to accommodation – we have secured commitment from [REDACTED]

Provision/support provided by HSC:

- Developing clear protocols with prisons, CRCs/NPS and Integrated Offender Management teams to complement statutory stakeholder activity and deliver maximum value-for-money.
- Clearly defining single point of contact between NOMS CFO, accommodation providers and OMU/CRC/NPS, maintaining the integrity of the offender pathway, and managing risk, particularly relating to suitability, move-on and safeguarding.
- Ongoing strategic work to further develop our housing provider network;
- Responsible for strategic links and protocol development with London CRC, Regional Housing Boards and Local Strategic and Enterprise Partnerships

Innovation:

- [REDACTED]

*15. Detail any health (including mental health and substance misuse) related provision or support you will deliver as part of the Contract, or will facilitate access to, which will contribute towards the general cohort becoming more socially-included.*

*[400 words]*

### **Shaw Trust Ltd**

Our approach to health-related provision has been developed by our expert alliance partner CRI, specialising in substance misuse and mental health provision across the UK, including DIP provision in Islington, Camden, Greenwich, Southwark and Newham, and Drug & Psychosocial Treatment in HMP Belmarsh.

We will identify health needs of each participant at the earliest possible point through: reviewing information shared by the referring body, CATS, BCST and other relevant tools; carrying out our

Enhanced Person-Centred Planning and Assessment process; and facilitating rapid access to CRI's Dual Diagnosis Leads following indications of both mental health and substance misuse needs.

Our overarching approach to addressing these health-related needs is to work closely with existing health and treatment services, including GPs and Dentists, to help offenders manage their wellbeing. This includes:

- Rapid priority-access to CRI's health services – CRI provides high quality clinical and non-clinical treatment interventions for service users presenting with substance misuse (SM) and mental health (MH) issues. Their recovery focused approach emphasises that, while people may not have full control over their symptoms, they can have full control over their lives.
- Accessible and straightforward access to services – The majority of delivery sites will include co-location of Shaw Trust, CRI and subcontractor Case Managers to facilitate easy and smooth referral processes to health services.
- Continuous development and improvement of interventions – CRI detect and develop SM interventions at the earliest opportunity by keeping up with emerging trends, e.g. over the counter medicines, performing enhancing drugs and Novel Psychoactive Substances (NPS) via CRI's National NPS specialist lead.
- Assertive joint-working with Primary Care and MH services – both in custody and community to agree pathways & protocols for people with Dual Diagnosis. We propose hosting monthly joint 'Interface Clinics' attended by Consultant Psychiatrists in both MH & SM services, considerably improving the offer of care and managing risks.
- Maintaining and building referral relationships with provision across London – by using an Asset-Based Community Development approach, e.g. DIP, Community Drug and Alcohol Teams, Assertive Outreach Teams, DAATs, MIND, Lifeline, Alcoholics Anonymous, Narcotics Anonymous.
- Use of 'Me Today' ITEP/BTEI maps – to identify participants' initial Health & Social Care needs. These maps cover a range of needs including substance misuse, health and wellbeing, and housing.
- Peer Mentors with recovery experience – provided by CRI and Emerging Horizons, providing 'through the gate' pick up and befriending services. Mentoring will actively seek to address inequalities by building up social capital and community networks.

*16. Detail any family/community network related provision or support you will deliver as part of the Contract, or will facilitate access to, which will contribute towards the general cohort becoming more socially-included.*

*[350 words]*

### **Shaw Trust Ltd**

Our family and community-related support for participants has been informed by our alliance partner CRI, based on their experience with families, including their Family Intensive Engagement Service (Slough), and award-winning 'Patched' parenting programme (Brighton), with 747 families engaged between April-October 2014.

We have allocated £ [REDACTED] across the contract duration to fund support that strengthens family/community links, including:

- Shaw Trust/CRI's 'Personal Sponsor' programme — Participants will be encouraged to nominate a Personal Sponsor for their journey, to be taken up by an appropriate family member or alternatively

community member. The Personal Sponsor will be invited to join support sessions with the participant. They will be supported by our ‘Personal Sponsor Development Programme’, including voluntary training and group-work, e.g. Mentoring training delivered by CRI/SOVA, parenting classes delivered by CRI (Triple P), and employability support offered by Shaw Trust.

- Linking with existing whole family services – Our low caseload model facilitates more time for; joint-planning/coordination with Family Intervention Teams and Programmes (e.g. PACT operating in HMP Pentonville), warm handovers to Troubled Families provision, and links with voluntary-sector provision across London, such as Phoenix Futures, Action for Prisoners’ Families, and St Giles Trust.
- Commissioning delivery from Safe Ground – delivering two successful family support programmes (potentially on an annual retainer basis): 1) ‘Family Man’ – improving family relationships, including role-play, letter-writing, and working with Personal Sponsors, and 2) ‘Man Up’ – 15 hours of modular support (facilitating easier access for short-sentenced prisoners) to create more positive community networks and tackle gang issues (London ECA Level Focus).
- Joint-planning with/access to provision from Visitor Centre provider Spurgeons – We have agreed with Spurgeons that family interventions can take place in Visitor Centre premises. We have also agreed coordinated and rapid access to Spurgeons’ strong network of family support provision, including Hibiscus and Regenerate.
- Co-location at Community Hubs and Social Enterprises to improve community networks – Our community outreach delivery will take place at 4 Community Hubs and 5 Shaw Trust Social Enterprises (e.g. our horticultural and wood recycling projects). These sites will include co-location of other services such as jobsearch facilities, GPs, money advice, and social functions such as cafés and events.

*17. Outline sequentially the typical journey that a participant from the main cohort (i.e. not from the designated hard-to-help groups or those identified for additional ECA focus) can expect along the stages of the participant pathway.*

*[400 words]*

*\*Showstopper question: A minimum score of 70 will be required.\**

## **Shaw Trust Ltd**

Shaw Trust (ST), in alliance with CRI, has designed the ‘typical’ journey based on a principled approach to achieving social inclusion for hard-to-help individuals. The journey is flexible and can be adapted based on assessment.

The sequential stages of Participant Achievement Guidance (PAG) will be built into the journey.

The journey includes FOUR OVERLAPPING PHASES:

1) CONNECT: [REDACTED]

2) STABILISE: [REDACTED]

[REDACTED]

3) CHANGE: [REDACTED]

[REDACTED]

[REDACTED]

4) SUSTAIN: [REDACTED]

PERSON-CENTRED REVIEWS: will be sequenced throughout the journey at relevant trigger points, including completion of achievements and change of circumstances.

*18. Please detail your approach to delivery for the designated hard-to-help groups, in terms of adding value to very specific existing services or providing delivery to fill identified gaps in provision. Reference should be made to the requirements as set out in the relevant regional ECA Specification, as well as any discussions with stakeholders.*

*[400 words]*

**Shaw Trust Ltd**

All Case Managers working with sub-group participants will have reduced caseloads from [REDACTED] to [REDACTED] to maximise one-to-one engagement and joint-working with other agencies.

Women exploited by the sex industry – delivered end-to-end by London’s Women Consortium, primarily specialist consortium members Women in Prison and Eaves. This adds value through an evidence-based delivery model arising from Eaves’/South Bank University’s 3-year research into 114 women’s experiences in prostitution. Engagement addresses a range of needs, including: roots

into prostitution; experience of exploitation/abuse; drug/alcohol/mental health issues; housing and financial issues, from within prison or women-only centres.

Significant debt problems – with sub-group participants enrolled from across the ECA. Targeted services include: The Money School delivering bespoke money management skills workshops; and GamCare providing outreach/in-reach work from a counsellor to tackle gambling addictions. This adds value to existing services by increasing access to the existing but limited financial support and will provide more in-depth, monitored programme of debt management than is currently available across all prison establishments.

Non-English speakers from the EU – delivered by Shaw Trust and spot-purchased from Barka UK in HMP Wandsworth. Targeted services include: Barka Support Worker accompanying the participant throughout assessment/planning/reviews to provide language support; “Staying in the UK” advice sessions delivered by Barka focused on housing /ESOL; and Barka’s “Reconnections” schemes for assisted return to Central and Eastern Europe. There are currently no specialist services for this cohort in place in Wandsworth and there is significant value added through the addition of this service.

Dual Diagnosis/Mental Health – delivered by CRI in HMP Isis. Targeted services include: Specialist Case Managers trained in dual diagnosis/mental health provision; Dual Diagnosis Care Pathway Plans (reflecting the DoH’s guidance); and input from Recovery Coaches (trained by Emerging Horizons) and CRI Peer Mentors with historical mental health and/or dual diagnosis. This adds value to existing services by increasing the engagement of the hardest to help, providing supported transition into the community and the monitoring of conditions by a single agency (CRI)

Young People 16-18 – delivered by Only Connect in YOIs Cookham Wood and Feltham and in consultation with YOTs, Resettlement Consortia and GLA’s existing Resettlement Champions. Targeted services include: Authority-specified Youth Sub-Group delivery model including enhanced ETE provision; priority-access onto anti-gang/violence programme from Khulisa, life-coaching from SparkInside, mental health from MIND; and mentoring for positive community networks/social opportunities. This will add value by increasing provision in priority areas and addressing factors most closely associated with serious reoffending.

*19. Describe the progression routes from your delivery into existing services and planned future provision. Particular attention should be given to Local Enterprise Partnership (LEP) commissioned activity within the 2014 – 2020 ESF Operational Programme, as well as services to be delivered via CRCs.*

*[350 words]*

### **Shaw Trust Ltd**

All progression routes from our delivery into existing/future services will focus on bridging the current gap that exists between the individual and that mainstream service. Generally this will include:

- Stabilising the individual – by removing immediate barriers that have been preventing their engagement to date, such as drug/alcohol dependency, homelessness, or serious debt.
- Improving motivation and engagement – Case Managers and accredited-Mentors will carry out motivation-building and personal development work to improve engagement and confidence.

- Building specific skillsets needed to access the provision –Short courses and training delivered by Case Managers and/or our network of 85 Training Providers

In order to carefully inform these progression routes and ensure participants are given the best chance of benefiting from existing services, we will work with stakeholders/external agencies to:

- Co-design delivery to facilitate better alignment of progression routes
- Exercise flexibility to accommodate newly-developing delivery through TR contracts and LEP commissioning
- Build strategic relationships to facilitate priority-access and/or rapid-referral routes
- Avoid duplication and ensure delivery is complementary

By way of example, progression routes onto:

- London Enterprise Panel (LEP) provision –Within LEP’s plans for 2014–2020 ESF Programme, we anticipate participants progressing onto, e.g.: Employment support for workless parents; Support for those with common mental health conditions; or Support for NEETs offering individualised training and employment support. We will look to develop a strategic relationship with the LEP so that this progression will be supported and joined-up, with information-sharing on assessments and progress to date.
- CRC provision (run by MTCNovo) – e.g. Housing support. We are seeking agreement for co-location at CRC to maximise accessibility of progression routes into CRC provision. We have also selected some subcontractors that are in the CRC’s supply chain, e.g. London Women’s Consortium, to facilitate smooth, seamless progression routes for the participant that will not feel like daunting exits from the programme.
- Work Programme (Shaw Trust, Maximus, REED, Ingeus, A4e, Seetec) – We will offer enhanced progression routes onto Work Programme provision in London, facilitated in-part through our own contract and alliance with Maximus, including rapid referrals, three-way handover meetings with Job Advisors, and continuity of support from a Shaw Trust Jobseeker Support Volunteer.

*20. Outline your strategy for making best use of the period between April and June 2015 and early stages of delivery thereafter to manage stakeholder expectations and to ensure there is a smooth transition from the current round of delivery.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust (ST), in alliance with CRI, has significant experience of successful contract mobilisation for similarly complex, multi-stakeholder contracts. For example, mobilising 16 Work Choice Prime contracts within five months.

For NOMS CFO R3, we will adapt our established implementation, transition and engagement strategies to manage stakeholder expectations and ensure smooth transition from Round 2 to Round 3 delivery. We have identified over 40 potential stakeholders that this transition may affect across London to be engaged post-contract award, including prisons, NPS, London CRC, IOM units, Safer Neighbourhood Boards, Work Programme providers and more.

We will manage expectations and smooth transition in implementation and early stages through:

- Sharing clear Engagement Plans with each stakeholder setting out: why we are engaging; key differences in R3 delivery; what information we need to share on an ongoing basis; how often we communicate; what referral mechanisms need to be set up; and our criteria for successful joint-working, e.g. measurable through impact on local priority target areas, excellent reputation with the stakeholder, and increased referral opportunities.
- Revising our Regional Stakeholder Map to reflect developments in the landscape between now and April 2015, including upcoming TR provision and LEP-led activity
- Liaising with the London DDC and Deputy Director of NPS to establish appropriate stakeholder representation for a regional implementation board (with a similar function but wider representation than NOMS Regional Implementation Groups), providing a formal route for partnership/operational discussion
- Conducting early Delivery Review Consultations amongst stakeholders on a quarterly basis for the first 12 months, and yearly thereafter.
- Working closely with TR provider MTCNovo to account for the simultaneous implementation of NOMS CFO and TR provision, ensuring disruption is minimised.
- Carrying out comprehensive planning with current NOMS CFO Round 2 providers to establish how we can minimise disruption for those dependent on delivery.

*21. Detail how you will maintain relationships with community-based participants including community starts and releases from custody.*

*[300 words]*

### **Shaw Trust Ltd**

We will maintain relationships with participants released from custody through:

- Robust ‘handover’ protocols to maximise continuity – The Community-based Case Manager will attend a pre-release meeting to meet the participant, share information, and book in a first community-based appointment. Meetings will include Mentors and where appropriate Personal Sponsors (nominated family members) to plug in the full support network.
- Shared planning with existing through-the-gate support – We will liaise with the CRC/NPS to understand their planned support, and agree to fill in any gaps. E.g. Offering Mentors to meet the participant at the gate and accompany them to first appointments.
- Ensuring engagement at the earliest opportunity post-release – We have agreed that we can co-locate at NPS, in discussion with Sara Robinson, Deputy Director NPS London, and are seeking similar arrangements with the CRC, to hold first appointments with participants directly after their initial mandated NPS/CRC appointment.
- Mirroring provision – Our subcontractors deliver both in custody and community to ensure continued access and relationships in community, e.g. Barka’s language support and Women in Prison’s domestic violence support.

We will maintain relationships with community-based participants (including community starts) by:

- Providing extensive service access points with full geographical coverage – We can operate from at least 26 sites across London boroughs, including hot-desking for peripatetic delivery.

- Offering flexible operating hours for appointment times – for evening and weekend appointments. Our network of 4 Community Hub sites have capacity for extended hours to access NOMS CFO provision, health, money advice services and more.
- Providing Mentors and/or family support – to foster sustainable, positive influences in the community/at home that help participants maintain engagement, including accompaniment to appointments and/or home visits (with safeguarding in place).
- Tackling housing issues – A critical barrier to continued engagement is unstable housing. We have access to housing stock arrangements in place with 15 Housing Associations in London.

*22 Describe your approach to gathering participant feedback. The response should detail how you will fulfil participant pathway baseline requirements, any additional processes and ways in which you will use feedback to improve outcomes for participants.*

*[350 words]*

### **Shaw Trust Ltd**

Our comprehensive participant feedback process collates feedback at individual level to address specific issues and informs strategic planning through the analysis of aggregate information, forming one of a number of approaches to inform what works and help us make appropriate internal and supply chain changes.

Our people-centred approach, integral to our values and NOMS Commissioning Intentions, ensures that the participant experience supports organisational development and continual improvement of services and outcomes. We will:

- Meet CFO-NOMS minimum requirements - Case Managers will diarise the initial customer feedback interview, using NOMS CFO structure and questions, to take place as part of the first review after completion and upload of core activity evidence.
- Establish participant baseline requirements through the use of CATS supported by our person-centred principles and tools - our One-Page Profile will ensure that we use an approach tailored to participant communication style so as to accurately identify baseline information and co-produce effective action plans with the participant, whilst the Outcomes Star™ (subject to Authority approval) will enable us to plot and measure progress against needs over time. Alongside measurement of individual progress, we will collate data at aggregate level to inform measurement of the success of specific interventions. This includes continuous monitoring of uplifts for individual cohorts to ensure that these remain effectively targeted.
- Train Case Managers to inform participants of our feedback processes as part of a checklist of introductory information, particularly ensuring that participants are aware of how to make complaints.
- Use a range of methods, including focus groups and surveys to seek both pro-active participant feedback and feedback on proposed changes identified through programme monitoring.
- Collate feedback centrally to enable us to identify areas for improvement and best practice which can be disseminated to other sites. Our Client Care Team, working with our Operations, Product

Development and Policy teams, will support the development and dissemination of innovations and best practice identified through effective MI collection, policy analysis and analysis of client feedback.

- Monitor our feedback process through KPIs, eg ensuring prompt acknowledgement of participant feedback and that participants are kept fully informed of outcomes relating to feedback.

*\*\*\*Alignment\*\*\**

*23. What will be your approach to managing expectations of individual prison establishments or community sites where CFO delivery may be limited (e.g. only targeted at an identified hard-to-help group)?*

*[250 words]*

### **Shaw Trust Ltd**

Our delivery provides a full service to all cohorts at specified establishments/sites, with the exception of:

- HMP Pentonville where delivery will be targeted at NEETs only. We have begun managing expectations in Pentonville through agreement of this approach with London DDC, Michael Harrison, and Lynne Cannon, Head of Learning/Skills (HOLS) at Pentonville. It has been confirmed as in line with establishment priorities.
- Dual Diagnosis and Mental Health Sub-Group delivery taking place in HMP Isis only, and Non-English Speakers from the EU Sub-Group delivery taking place in HMP Wandsworth only. We have begun managing expectations through agreement of this approach with Michael Harrison, DDC, on behalf of all prisons in London. This includes assurance that mental health/substance misuse services will still be accessible through all sites, managed primarily by CRI and their London-wide network of referral partners. In addition, Barka (language support for Non-English Speakers) can be used on a spot-purchase basis in all establishments.

Where CFO delivery is limited to specific sites, following evaluation of services and in discussion with stakeholders, we will explore an extension or 'roll-out' of this provision to other sites that may benefit from similar approaches/provision. This may be funded by reallocated money created by our reduced management fees or, pending approval, the Development Fund.

Our Partnership and Operational Teams will manage expectations around the changed focus from employment towards social inclusion. This includes mapping differences in how newly-focused delivery may affect achievement of current and future organisational or establishment KPI results (e.g. employment, accommodation).

*24. What will be your approach to managing expectations of individual prison establishments or other stakeholders regarding the shift in focus from 'employment' to 'social inclusion' between NOMS CFO's delivery as part of the 2007 – 2014 ESF Operational Programme and the 2015 – 2020 Operational Programme?*

*[250 words]*

### **Shaw Trust Ltd**

We recognise that the changing NOMS focus from ‘employment’ to ‘social inclusion’ may have ramifications on what this integration looks like, requiring a change of arrangements for some stakeholders. Our Partnership and Operations Teams will manage this through:

- Capturing and managing expectations of senior staff within prison establishments and other bodies. This includes identifying which teams the shift in focus could have the biggest impact on, e.g. Family Intervention Teams, Resettlement Units.
- Putting in place Transition Plans with each stakeholder that will cover: 1) practical effects of change in focus; 2) what direct impact that has on the stakeholder’s operations, e.g. on KPIs and targets for employment; 3) how risks arising from this impact can be mitigated; 4) how this changes any current referral arrangements the stakeholder has with NOMS CFO provision; and 5) what the remaining gaps in provision are and how we can work together to fill these.
- Preparation for this engagement through mapping the differences between our solution and that offered through previous rounds, including wherever possible engagement with the incumbent provider, Working Links.
- Production of guidelines and marketing material to educate operational counterparts about the social inclusion aims of NOMS CFO R3, as well as staff training to ensure confidence in understanding of operational boundaries and consistency of messaging.
- Providing enhanced links with Work Programme (WP) to mitigate any adverse effects on employment-related targets. This is enhanced through our own WP Prime contract in East London and our alliance with WP Provider Maximus in West London.

*25. How will you manage referrals to the CFO programme which are not appropriate e.g. for offenders who do not fall into the hard to reach category or are already close to the labour market?*

*[250 words]*

### **Shaw Trust Ltd**

We will manage inappropriate referrals by:

- Providing clear explanation of unsuitability to referring parties – e.g. what criteria they do not meet or how they are no longer suitable due to the new shift in focus from employment to social inclusion. This will include recommendations for more suitable support.
- Supported onward referral – using our knowledge of the regional provision landscape. This may include referrals to OLASS; family support; substance misuse interventions; housing support; or services we are co-located with or hold partnerships with. For example, at HMP Wandsworth we will be located in a ‘voluntary sector hub’ enabling efficient handover/redirection to others such as St Giles Trust or National Careers Service where appropriate.
- Offering accelerated access to Work Programme provision in London – Where offenders are close to the labour market, Case Managers can initiate an accelerated referral process onto Shaw Trust’s Work Programme, delivering from 15 sites across East and West London. Arrangements and

guidance to facilitate this will be distributed to all subcontractors and then shared with referring bodies.

- Communicating positively with the participant – Where an inappropriate referral is identified post-assessment, we will ensure the participant understands the reasons for ineligibility and is positively and proactively referred to more appropriate provision.
- Proactive communication with stakeholders – From the outset, we will work to ensure referrals are appropriate through a process of informing and consulting with stakeholders on the aims and criteria of the programme. This includes clear messages for staff to ensure awareness of contract objectives amongst stakeholders.

*26. Describe your intended approach to liaising with both CRCs and NPS to secure referrals, avoid duplication and ensure that due consideration is given to participant's level of risk.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust recognises that criminal justice and rehabilitation services are undergoing vast change. Our alliance partner CRI forms part of the TR provider covering 3 regions, which gives us insight into changing operations and expectations.

We have met with Sara Robinson, Deputy Director of London NPS, and intend to meet with an equivalent representative from the CRC, to determine working relationships going forward, co-location arrangements, and risk management issues.

During implementation, we will seek to establish robust Service Level Agreements (SLAs) with both NPS and CRC (to evolve over contract duration) establishing:

- Agreed 'Risk Awareness and Escalation Guidelines' for Case Managers for understanding levels of risk, critical information-sharing, clear routes for escalation, and triggers for emergency procedures
- Protocols for sharing Assessment, Sentence Plan and Review information – ensuring they are appropriate in context of safeguarding arrangements and sentence requirements
- Co-location arrangements, particularly for offenders on IOM programmes
- Regular Communication Plans including quarterly senior management meetings
- Shared understanding of NOMS CFO R3 eligibility and suitability criteria
- Clear referral routes onto NOMS CFO R3
- Clear progression routes back into mainstream provision run by NPS/CRC
- Complementary Through-the-Gate arrangements for seamless resettlement, e.g. our Mentors adding capacity to any existing mentoring networks, co-location of first appointments
- Shared data analysis and trends to inform service improvements and future planning
- Representation on the local Governance Steering Board
- Support with cohort profiling/planning across custodial and community services
- An understanding of respective supply chains to reduce duplication

We will then develop guidance for all NOMS CFO delivery staff that sets out key points from these SLAs, as well as clear explanation of NPS/CRC priorities. This ensures that staff understand roles/responsibilities/expectations in working with Responsible Officers/Offender Managers.

Through our strategic and operational relationships with the NPS/CRC we will ensure that we share consistent messages with offenders, staff and stakeholders.

*27. Outline your strategy for engaging with all LEPs relevant to the ECA. Your response should detail how you will raise awareness of your own provision, avoid duplication and ensure that participants are referred to appropriate LEP funded activity.*

*[400 words]*

### **Shaw Trust Ltd**

Our Partnership Manager for London has met with a representative from the London Local Enterprise Panel (LEP) to discuss Shaw Trust's plans as a potential NOMS CFO bidder and inform our ongoing engagement strategy. We have also fed into the LEP Task and Finish Group with a particular focus on offender skills and employment. This has helped raise awareness of provision and ensure better join-up of services within LEP commissioning. In addition, Shaw Trust's central Policy and Research Team carry out regular work into the policies and commissioning of the London Local Enterprise Panel (LEP).

Within this context, our informed strategy for continuing engagement with LEPs includes:

- Raising awareness – Ensuring the LEP has available concise and accurate information on: the overall programme objective of social inclusion; our detailed provision and services and how they contribute to social inclusion; target participants; our track record of working with these groups; target outcomes; the value of CFO intervention; and key changes within delivery. This will take the form of briefing sessions, crib sheets and regular information-sharing meetings.
- Ensuring participants are referred to appropriate LEP-led activity – During implementation, our Partnership team will work with the LEP services to design referral processes into appropriate LEP-led activity, ensuring clarity of both eligibility and scope of provision for Case Managers. We have reviewed the LEP's plans for the ESIF for London 2014-20 programme and have identified the following planned activity as particularly appropriate to NOMS CFO participants: Employment support for workless parents; Support for progression in work for parents in poverty; Support for ESA Work Programme Leavers; Support for those with common mental health conditions; and Support for NEETs offering individualised training and employment support.
- Avoiding duplication – We will ensure that where the next appropriate step for a participant is already provided by LEP programmes, and where there is sufficient capacity within that provision, the participant can exit NOMS CFO delivery in the form of a referral onto that LEP provision. To further avoid duplication, we will seek LEP representation on our Governance Steering Group, and attend LEP working groups to ensure information-sharing and mutual awareness of key policies, strategies and proposed developments in delivery. This includes the identification of gaps that can be filled by NOMS CFO or the Development Fund.

Our interfaces with each LEP will mirror their structure and provide decision-making capacity at the right level to avoid unnecessary delays and bureaucratic sign-off procedures.

*\*\*\*Contract and Performance Management\*\*\**

28. Please clearly complete the Supply Chain Matrix Template and submit as a separate attachment via the adjacent paperclip icon. Please ensure that you include details of all Subcontractors or spot purchase arrangements; areas of responsibility including target groups, geography/sites to be covered, indicative proportions of total contract value; and confirmation of whether their contribution is confirmed at this stage.

Have you completed and uploaded the template as per instructions?

**Shaw Trust Ltd**

Yes

29. Provide detail of the supply chain or internal resource that you will have in place to provide coverage for all required throughput including both the general cohort and any ring-fenced elements (e.g. ESF transition areas, hard-to-help groups) as relevant to ECA.

[400 words]

**Shaw Trust Ltd**

Shaw Trust (ST) achieved a ‘good’ grading against the DWP Merlin Standard for supply chain management, which highlighted strengths including our supply chain design reflecting commissioning needs and local landscape. ST has developed our supply chain and internal resource plan in London to ensure:

- Person-centred support to meet participant needs
- Capacity to accommodate anticipated monthly volumes
- Staffing/premises scalable to indicative volume throughput
- Meaningful volume allocations in line Schedule P Market Stewardship Principles
- Maintenance of specified participant volumes.

Our resources include a total 23.5 FTE Case Managers (CMs) comprising:

1) ST and our alliance partner CRI, case-managing indicative volumes of 46.7% and 33.1% respectively, including:

- General cohort caseloads of 1:44
- 19.6 FTE CMs
- In custody: 4.7 FTE ST CMs at HMP Wandsworth; and 6 FTE CRI CMs at HMP Brixton and HMP Isis (25+-year-old participants only).
- In community: 5.3 ST FTE CMs; and 3.6 CRI FTE CMs, co-located at 4 permanent bases across London and 9 satellites, facilitating a true ‘one team’ approach.
- ST/CRI have secured access to all National Probation Service (NPS) sites for co-location, and seek to work in CRC sites.

2) Specialist young people subcontractor, Only Connect (OC) case-managing 16-24 year olds (NEETs), case-managing indicative volumes of 10.2%, including:

- Reduced caseloads of 1:31 (16-17s) and 1:35 (18-24s) enabling enhanced case management.
- End-to-end case management with total of 2.1 FTE CMs across YOIs Cookham Wood and Feltham, and all NEETs in HMP Pentonville and Isis.
- Community delivery from 2 Members Clubs, with outreach in NPS/CRC/ST/CRI premises

3) Specialist women subcontractor, London Women's Consortium (LWC) case-managing women, case-managing indicative volumes of 10%, including:

- Reduced caseloads of 1:35, enabling enhanced case management.
- End-to-end case management with total of 1.8 FTE CMs delivering to in HMP Holloway and community.
- Community delivery from 6 permanent bases, with outreach in NPS/CRC/ST/CRI premises

4) Bespoke resource models for each hardest-to-help sub-group, including:

- Women exploited by the sex industry – case-managed in full by LWC, shared between consortium members Women in Prison and specialist sex-worker support agency Eaves.
- Offenders facing debt – case-managed by the relevant site provider dependent on cohort and location, with spot-purchase of debt support from The Money School and GamCare.
- Non-English speakers – case-managed by Shaw Trust and enrolled from HMP Wandsworth, with spot-purchase from specialist Central and Eastern European charity, BarkaUK
- Dual-diagnosis/mental health – case-managed by CRI and enrolled from HMP Isis
- Aged 16-18 – case-managed by OC and enrolled from YOIs Cookham Wood and Feltham.

*30. Detail your approach to performance managing both Sub-contractors and internal staff. Your response should specify the process for allocating targets, frequency of contract/internal review meetings, attendees and sign-off process for any changes to allocations, as well as extraordinary measures applied for poor performance.*

*[400 words]*

### **Shaw Trust Ltd**

As a prime provider of flagship government contracts, including most recently Work Choice and Work Programme, Shaw Trust has a well-developed, experience-based system for managing performance, operating within our accredited ISO9001 Quality Management Framework. Rigorous systems support deployment of a competent, engaged workforce, effective customer and staff feedback processes, robust sub-contractor management and clear decision-making.

Staff and sub-contractors will receive training to support their understanding of NOMS-CFO aims, target allocation, delivery, minimum standards and performance measures. Realistic, SMART targets and KPIs will be allocated to internal delivery staff and sub-contractor organisations via individual delivery plans and in accordance with NOMS-CFO contractual requirements.

Management information and performance reports, generated through our CATS-linked IT system, will be produced daily for performance monitoring and to help identify performance trends. Our MI dashboards will support our Director of Justice (DoJ) and Head of Service (HoS) in working closely with internal managers, Contract Compliance and Quality teams, and Regional Supply Chain Managers (RSCMs) to promote continuous improvement and address under-performance. Senior representatives from these teams will hold monthly round-table meetings with the DoJ and HoS or more frequently if required.

Case Managers will be formally supervised monthly, with an annual performance review. Should under-performance be identified, we will implement our comprehensive performance improvement and support procedure, resulting, if necessary, in redeployment to a more suitable position or, in extreme circumstances, in dismissal.

Sub-contractor delivery in the London ECA will be overseen by Shaw Trust's RSCM using a clear framework shared with providers. The RSCM will agree a performance management protocol with individual providers, dependent on volumes and the nature of activities, but with a minimum of one monthly performance review interaction to ensure that providers are appropriately supported and encouraged to share ideas and, where necessary, concerns. Providers will raise concerns via their RSCM as these arise, operating within a framework of mutual support aimed at addressing concerns before they become performance issues. However, on occasions where under-performance is identified, we will work with providers to develop structured Performance Improvement Plans (PIPs) with clear timelines and actions, reviewed against mutually agreed timescales. If, despite support being provided and acknowledged on both sides, improvement is not made, arrangements will be terminated and we will identify suitable alternative organisations for delivery from our pre-approved supplier framework. Meanwhile, if necessary, we will transfer NOMS volumes to alternative existing delivery centres, following sign-off by the DoJ.

*31. Detail your approach to ensuring participants' CATS records are updated both regularly and accurately. Your response should detail and provide justification for whether you intend to adopt an administrative hub approach or whether individual Case Managers will be responsible for entering information.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust (ST) has extensive experience in meeting ESF audit requirements on contracts that require regular and accurate updates of case management systems. Examples include; 16 Work Choice contracts across the UK; SFA NEET support contracts (e.g. ESF NEET 2011-2013 in Halton); and Pathways to Work.

All Case Managers will hold responsibility for entering information onto CATS. This avoids the risk of losing detail during handover to Administrative functions. Case Managers will be supported to do this regularly and accurately through:

- Our low caseload, high quality case management model – This includes: 1) Additional hours built into our case management model for updating CATS regularly; and 2) Longer, higher quality face-to-face time with participants using a person-centred approach, increasing accuracy of information.
- Comprehensive training – to include: 1) Authority-run training; 2) Complementary/refresher sessions delivered by ST, in line with NOMS requirements, on minimum levels of frequency and accuracy; 3) 'Self-Help Toolkits' provided to staff including trigger points for updating CATS, and example entries of accurate data.
- Monitoring of entries – to include: 1) Daily sampling by ST's Commercial Assurance Team, with infrequencies/inaccuracies flagged to Supervisors; 2) Spot checks of quality made by Supervisors; 3) Approval by Supervisors of all Achievement claims made; and 4) Performance Improvement Plans including refresher training, peer-shadowing, and increased quality checks.
- Checks made by our dedicated Administrators – responsible for data integrity checks prior to submitting payment claims. This includes checking the accuracy of entries for all required evidence. Ongoing errors will be flagged to Supervisors.

- MI and exceptions reporting

- Observations of participant assessments and reviews

Subcontractor staff will be subject to the same minimum levels of frequency and accuracy of entries, training, quality checks, and performance improvement-planning as above. This will be managed by ST's Commercial Assurance Team and Supply Chain Management Team.

*32. Detail the extent to which you will 'flow down' payment terms to Subcontractors. Where relevant to your model, your response should cover (i) payments to Subcontractors for end-to-end provision for core clients, (ii) end-to-end for those requiring higher levels of support (e.g. hard-to-help groups) and (iii) those delivering interventions specific to participant pathway stages (e.g. training provider delivering a specific course) including (iv) any call-off contract arrangements. Please explicitly state if any of the scenarios are not relevant to your model.*

[400 words]

### **Shaw Trust Ltd**

Shaw Trust has subcontracted with over 700 organisations across the UK, using our robust processes to ensure fair and timely payment terms. As a DWP Prime provider, we operate according to the Merlin Standard, measuring excellence in supply chain management, against which we received a 'Good' rating in 2014. Our recognised strengths included proactive communication, and supportive auditing (particularly for smaller voluntary-sector organisations).

(i) End-to-end provision – core clients: Subcontractors including CRI. Payment terms include:

- Retaining a [redacted] % management fee to cover contract management costs
- Flowing down [redacted] % of the fixed service fee on a monthly basis in line with receipt from the Commissioner
- Flowing down [redacted] % of the outcome-based payments for achievements in line with receipt from the Commissioner. All subcontractor claims for achievements will be audited and validated by ST before submission to the Commissioner.

(ii) End-to-end provision – high level support: Only Connect (case-managing all 16-24 year olds) and London's Women Consortium (LWC) (case-managing all women). Payment terms include:

- No management fee to facilitate increased funding and lower caseload sizes for these cohorts ([redacted] for 16-17s sub-group, [redacted] for 18-24s and women, compared with general cohort [redacted]).
- Flowing down the full fixed service fee on a monthly basis to both OC and LWC. In addition, we will provide an uplift for Only Connect of [redacted] % for 16-17s and [redacted] % for 18-24s, to cover enhanced support through anti-gang interventions (London ECA level focus and 16-18 sub-group)

- [redacted]

(iii) Specific interventions on Pathway stages: [redacted]

[redacted]

(iv) Specific interventions – Call-off contracts

We will maintain an Approved Supplier Directory comprising call-off partners to deliver a range of services such as: skills provision, housing support, and work placements. Remuneration for services will be on a spot-purchase basis. Spot-purchasing agreements will be regularly monitored by our supply chain team.

As part of our commitment to provide additional capacity-building support to smaller organisations, we will explore more flexible payment terms, e.g. increasing service fee paid up-front, or shortening the payment window.

*33. Detail how you will align the management of your supply chain with the principles outlined in Schedule P Market Stewardship Principles, including where applicable, the steps you will take to ensure that any Subcontractors receive a meaningful volume of business and the process for regularly reviewing spot purchasing arrangements to determine if a more stable contractual relationship should be offered.*

*[350 words]*

### **Shaw Trust Ltd**

Shaw Trust will align supply chain management to Schedule P principles through:

- Experienced oversight - a dedicated Supply Chain Director, supported by Regional Supply Chain Managers (RSCMs) applies best practice subcontracting methodologies aligned to the standards and requirements of our commissioners. This team manages over 60 supply chain partners across current services and oversaw our successful re-accreditation against DWP's Merlin Standard in 2013, achieving a Good Rating (72%);
- Review of existing approaches - the team has mapped our existing supply chain policies and procedures against the NOMS Market Stewardship Principles (MSPs), to support onward compliance. Our current procedures already address core MSPs including: appropriate risk management; alignment of ethos; visibility; reward and recognition, and; application of Compact principles. We are therefore confident that we are in a position of strong alignment and assurance. Where minor variances exist, our policies and procedures have been updated to reflect these;
- Careful selection - our NOMS Partnership Managers have worked with our RSCMs to negotiate and agree meaningful volumes of business with each proposed subcontractor. This involved a thorough process of selection and determination of subcontractor financial and delivery capability, including areas of delivery expertise, infrastructure capacity, and ability to withstand fluctuation risks. Preferred subcontractors have either been assured of a specific minimum and maximum volume throughput, or been guaranteed referral of all eligible service users who meet specific criteria (eg by hard-to-help cohort and location, together with appropriate financial uplifts for particular groups, eg women, 16-18s), relevant to their delivery specialisms. All such agreements are fully documented;
- Effective monitoring – spot-purchase agreements, where applied, will be regularly monitored by our supply chain team, assessing referrals made to, spend with, and outcomes achieved by each spot-purchase supplier each month, aligned to our internal forecasts. Where such referrals are at a consistent and scalable level above forecast, a more detailed assessment and review will determine whether the subcontract be upgraded and a volume guarantee offered. Such offers will be contingent

on the relative performance of other subcontractors in terms of whether a shift in permanent volume share is appropriate and represents better overall performance and value.

*34. Detail how you will/would ensure that any Subcontracting or Spot Purchase arrangements are substantially in the same form as Schedule Q Industry Standard Partnering Agreement, or provide justification for any variation.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust will adopt the ISPA as a sub-contractual template for NOMS ESF. Our externally retained legal advisors have reviewed the ISPA, and have developed agreements which are substantially in the same form as this as a starting point for negotiation with primary subcontractors, where this includes a volume assurance. Where any proposed wording varies from the IPISA, this has been highlighted to proposed subcontractors for comment and negotiation. We have equally been receptive to requests from proposed subcontractors to vary standard IPISA wording, where they perceive alternate wording better reflects their interests. We have made recommendations to all subcontractors to ensure that they take appropriate advice on draft agreements, and have highlighted key clauses (e.g. payment, termination, disputes and liability) for their considered attention.

Any variation to the ISPA will only occur on an exceptional basis, and only where any variant agreement complies with the NOMS Market Steward Principles (MSPs). This may include instances where both Shaw Trust and the proposed subcontractor have willingly entered into a bespoke agreement, where both parties perceive this better suits the specific nature of the collaboration. It may equally include instances of low-value, ad-hoc spot purchases, where the ISPA may place undue legal burdens on the subcontractor (e.g. where legal costs and complexity are disproportionate to contract value, especially for smaller or VCSE suppliers). Similarly, this may include instances where certain IPISA clauses are not relevant to the scale and nature of the arrangement (e.g. data protection or IP obligations). Any variant agreement will be worded to be appropriately comprehensive, whilst equally ensuring that terms are stated as simply as possible and in Plain English. We will ensure full disclosure to NOMS in terms of instances where variant agreements are in place, to support their monitoring of our activity against the MSPs.

*35. Detail management checks that will be undertaken on any documentation or CATS entries prior to submission of claims for Achievements.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust's three stage management checks process ensures all evidence is scrutinised, claims are accurate, and a clear separation of duties between Case Managers and Supervisors.

#### 1) Approval

100% checks of all claims are performed by Supervisors to signoff each claim. This includes confirmation of sufficient quality evidence and ensuring all documents and CATS entries are:

- Complete: all data fields are completed to set quality standards;
- Correct: information on CATS accurately reflects supporting documentation;

- Verifiable: a transparent audit trail exists to demonstrate that actions undertaken are commensurate with outcomes claimed.

These checks inform on-going management review to ensure Case Managers remain focused on delivering beneficial outcomes to participants, and provide opportunities to identify best practice and poor practice.

## 2) Verification

An integrity check performed by the local Claims Administrator utilising our Compliance Toolkit (tiered checking framework) to ensure documentation and CATS entry quality standards are met.

## 3) Scrutiny

An independent check performed by the Quality and Compliance Team to confirm the validity of claims received prior to submission to the Finance Team for processing.

**Control:** Our Operational Manuals and Delivery Assurance Framework describe specific obligations; set standards for completion; outline a process for managing errors and irregularities; provide checklists to ensure that management checking is undertaken.

**Audit and Review:** Shaw Trust's Governance, Risk and Compliance Group will independently audit compliance with contractual and quality standards. They will provide ongoing training and support to drive continuous improvement and to ensure that key guidance updates are actioned and communicated on a regular basis.

**Ongoing Monitoring:** Our Compliance and Quality Team will monitor and drive improvement through:

- MI and exceptions reporting;
- Observations of participant interventions;
- Evaluation of participant feedback.

In addition, our Commercial Assurance Team will undertake daily documentation and CATS sampling, with infrequencies/inaccuracies flagged to Supervisors.

*36. Describe how you intend to develop and foster innovation within your internal delivery structure or supply chain, and how any ideas for improving delivery will be shared with the Authority for subsequent inclusion within the Contract.*

*[300 words]*

## **Shaw Trust Ltd**

Shaw Trust has selected delivery partners in London that have the ambition to innovate and develop services for the better. Our Partnership and Operations Teams will continuously foster this innovation and facilitate best practice to ensure the best possible outcomes for participants, through:

- Establishing quarterly Best Practice Forums to enable sharing of research and good practice between delivery partners, our supply-chain, and stakeholders, e.g. London CRC, London Resettlement Consortia, and London Enterprise Panel.

- Piloting service innovations and new designs in collaboration with key partners, funded by reinvestment, reallocation of existing funds, and/or the Development Fund (subject to Authority approval).
- Extending successful approaches with defined cohorts or sub-groups to reach greater populations. For example, we have subcontracted delivery of 16-24s (NEETs) to young people specialist Only Connect who will run highly engaging and innovative services in YOIs Cookham Wood and Feltham and HMP Pentonville. We will explore extending direct delivery by Only Connect in other establishments/sites for NEETs as appropriate.
- Involving offenders in co-design of services through Participant Forums, rotating around our sites on a quarterly basis
- Annual self-evaluation across internal delivery and the supply-chain, encouraging all staff to search for innovation in their own delivery
- Keeping up-to-date with innovative industry tools and licensing where this would benefit staff and participants. For example, subject to Authority Approval, we propose using Outcomes Star™ as an innovative distance-travelled tool that gives offenders visual maps to set ambitious goals, track progress, and address strengths and weaknesses.
- Shaw Trust's central Policy and Research team conducting evaluation of our services, including participant feedback, to identify innovation and best practice.

This will be shared through:

- Regular contract management meetings
- Circulation of research and evaluation reports
- Comprehensive business case proposals for service pilots and/or proposed expansion of delivery
- Inviting the Authority to attend Best Practice Forums.

*37. Outline how your Contract and Performance Management activity in respect of your supply chain or internal delivery will provide demonstrable and continuing value for money to the Authority throughout the period of the Contract.*

*[300 words]*

### **Shaw Trust Ltd**

Shaw Trust's contract and performance management structure has been successfully applied to large-scale payment-by-result contracts including ESF programmes and most recently, Work Programme. It ensures co-ordinated, systematic and responsive activities across internal and subcontracted delivery, supporting enhanced value for money.

Such activities, and how these provide value for money, include:

- Practical knowledge-based support from our Quality and Compliance Team - supported by our Delivery Assurance Framework (DAF), to ensure consistent delivery and compliance against contract from the outset. Following the implementation of our DAF from 2013-2014, we have successfully increased our Work Choice performance in London by ■■■% and our UK supply chain delivery by ■■■%.
- Clear individual and team targets - mapped to contractual KPIs and targets (including cost per participant to achieve outcome) to capture management information at each organisational tier, highlighting areas of quality practice, and those requiring development.

- Targeted investment - where scope for improvement is identified, to meet participant needs and contribute to positive performance results. Continuing value for money will be driven by cost savings whilst maintaining outcomes.
- Good practice disseminated between Case Managers - through detailed operating manuals/guidance notes, ensuring implementation of proven approaches across general and sub-group delivery.
- Prompt, clear SMART targets - addressing potential trends towards underperformance. Supporting actions include workplace mentoring or training, with increased monitoring to ensure compliance.
- Formal subcontractor performance improvement process - involving targeted peer and management support, regular and frequent performance monitoring, and formal performance reviews. The process is escalated if underperformance persists (e.g. volume reallocation).
- Continuous cycle of identifying, reporting and implementing improvements - supplemented through independent delivery evaluation. This will include external inspection/audit findings, and input from LDU Directors and subcontractor Quality Managers. Resultant Action Plans, with clear action ownership and deliverables, will measure compliance and progress

**\*\*\*Regional Cohort\*\*\***

*Please complete the Participant Throughput Profile Template and submit as a separate attachment via the adjacent paperclip icon. Please ensure that you clearly detail volumes at each stage of the pay mechanism, that they do not exceed the permitted volumes by contract end and that the figures as presented correspond with the profiled DAF costs submitted within your Budget Profile Template. [Please note that whilst the completed template is not scored as a standalone item, the following 3 questions will be scored by making reference to both the individual responses and the relevant sections of the completed template. Additionally, the completed template will form part of the Contract]*

*Have you completed and uploaded the template as per instructions?*

**Shaw Trust Ltd**

Yes

*38. Specify delivery sites and associated staffing levels you intend to implement and how the same gives assurance of your ability to meet all targets and deliver a quality service to the general cohort.*

*[400 words]*

*\*Showstopper question: A minimum score of 70 will be required.\**

**Shaw Trust Ltd**

Of the 23.5 FTE Case Managers (CMs), we will make available 22.2 FTE to manage the general cohort. However, CMs will have mixed caseloads, with some staff trained to work with harder groups. Staffing numbers cited below are number of FTE available/trained to manage general cohort volumes, but the general cohort may not make up their full-time caseload dependent on skillset/demand/location.

## IN CUSTODY:

### HMPs and FTE CMs:

- Brixton=3.5
- Holloway=1.8
- Isis=2.6
- Pentonville=0.7
- Wandsworth=4.7

### Assurance of ability/quality:

- Staffing levels are proportionate to our estimated flows in each prison, based on Authority data and discussions with DDC Michael Harrison.
- Critically the above resource can operate flexibly across the prison estate to ensure our resource model stays adaptable to changing/evolving demand, including in-reach delivery where needed.

## COMMUNITY:

Shaw Trust (ST) has mapped community delivery in London into four quadrants, each with a permanent 'Hub' base, and corresponding 'Satellite' sites for peripatetic delivery:

NORTH EAST – Staff: 3.1 FTE – Sites: 7

Hub: ST Hackney Hub, Ramsgate Street

Satellites: • ST Stratford, Cam Road • ST Barking and Dagenham, Linton Road • ST Aldgate East, Scarborough Street • London Women's Consortium (LWC), Essex Road • Only Connect (OC) York House, Pentonville Road • OC-Central, Cubitt Street • NPS sites (confirmed for co-location by NPS) • CRC sites (pending agreement)

NORTH WEST – Staff: 2.1 FTE – Sites: 6

Hub: ST Wembley Hub, Empire Way

Satellites: • CRI DIP Islington, Goswell Road • ST Hounslow, Staines Road • LWC, Camden • LWC, Islington • OC-West White City • NPS sites • CRC sites

SOUTH EAST – Staff: 2.1 FTE – Sites: 5

Hub: ST Lewisham Hub, Lewisham High Street

Satellites: • ST Greenwich, Greenwich High Road • ST Bromley, Bromley South • CRI Woolwich, Polytechnic Street • LWC, Lambeth • NPS sites • CRC sites

SOUTH WEST – Staff: 1.6 FTE – Sites: 7

Hub: ST Wandsworth Hub, Wandsworth High Street

Satellites: • ST Wimbledon, Arthur Road • ST Croydon, Lansdowne Road • ST Brixton, Brixton High St • ST Hounslow; Staines Rd • LWC, Victoria • LWC, Kennington • LWC, Brixton • NPS sites • CRC sites

### Assurance:

- Comprehensive coverage of London across 4 permanent bases and at least 22 satellite sites from Day 1, increasing accessibility and engagement.
- Satellite sites will be used by CMs to meet offenders more locally, provide additional local facilities (e.g. IT and job search resources), and provide space for stakeholders. e.g. JCP, probation, housing.

- Mobile/flexible workforce working across quadrants, in order to meet demand or providing continuity for participants who relocate
- Location at NPS/CRC sites ensures seamless points of access for participants who also have NPS appointments.

*39. Specify delivery sites and associated staffing levels you intend to implement and how the same gives assurance of your ability to meet all targets and deliver a quality service those groups identified within the ECA for additional focus.*

*[400 words]*

### **Shaw Trust Ltd**

The additional focus for London is offenders involved in gang activity.

The selected Case Managers (CMs) allocated below will be specially-trained or have expert experience in working with this group, and therefore will be most appropriate and capable to deliver high quality service that meets the needs of these participants and the targets of the ECA additional focus. Please note, these CMs will have mixed caseloads and may also work with the general cohort/hard-to-help.

We have established the following plans based on:

1) Estimated 70% of this group comprising 16-24 year-old male offenders (NEETs) – case managed by Only Connect (OC), specialising in engaging anti-social NEETs.

Staffing/sites include:

- 2.1 FTE specially-trained CMs, supported by our partner Khulisa’s specialist anti-violence workers delivering their ‘Silence the Violence’ pro-social behavioural course
- In-reach at HMP Pentonville; HMP Isis; YOI Cookham Wood; and YOI Feltham
- Community delivery at OC’s 2 Members Clubs: OC-West, White City; OC-Central, Kings Cross.

Ability to meet targets/deliver quality assured by:

- Using CMs from OC, who are recruited for their track record and skill in working with anti-social young people with negative community networks, including gangs.
- Focusing primarily on young people, due to high instance of gang-related activity in this cohort, as well as the benefit of tackling these behavioural issues at a younger age for a more sustainable, higher quality impact.
- Supplementary provision from anti-violence specialist Khulisa, who run courses designed specifically to engage violent/gang-affiliated participants
- Delivery from OC’s Members Clubs, which will offer a highly stimulating and engaging environment, including theatre space, art facilities, sports facilities and cafes.

2) Estimated 30% focused on male offenders aged over-25s and women – case managed by ST, CRI, and London Women’s Consortium (LWC).

Staffing/sites include:

- 8 FTE specially-trained CMs, including: 1 CM at each prison: HMP Brixton; HMP Isis; HMP Wandsworth; and HMP Holloway; and 1 CM based at each of our 4 Hub offices (Shaw Trust

premises in Hackney, Wembley, Lewisham and Greenwich), with 22 Satellite sites available for outreach.

- Support from Khulisa's specialist anti-violence workers

Ability to meet all targets/deliver quality assured by:

- The specialist training and/or expertise of our select Case Managers, with one present in each delivery site for case allocation and sharing of expertise
- LWC's expertise in working in particular with women affected by gangs, including associated substance misuse and mental health issues, and the impact on children/families
- Comprehensive coverage of London from at least 26 sites.

*40. Specify delivery sites and associated staffing levels you intend to implement and how the same gives assurance of your ability to meet all targets and deliver a quality service to the 5 designated hard-to-help groups within the ECA.*

*[400 words]*

### **Shaw Trust Ltd**

Overall assurance of our ability to meet all targets/deliver quality to hard-to-help groups is provided through:

- Ensuring substantial staffing levels to deliver best quality provision to 50-100 participants per group (increased to 500 for 16-18s)
- Our added-value case management model reducing caseloads to [REDACTED] funded by reduced management fees
- Providing [REDACTED]% uplift on unit price for each sub-group for enhanced interventions
- Strategically selected sites for delivery, including locations with highest need or potential impact
- Case Managers (CMs) supplemented by specialist resource from expert providers, accessed either through spot purchase agreements or service-fee arrangements.

Please note staff cited below include numbers that will be specially-trained and available to work with the respective sub-group. However, staff members will have mixed caseloads and may also work with the general cohort.

**WOMEN EXPLOITED BY THE SEX INDUSTRY** (staff provided by London's Women Consortium (LWC)):

- 1 CM in HMP Holloway
- 0.8 CM in 4 community sites, including: Islington, Lambeth, Kennington and Brixton, as well as CRC women's centres.
- Additional assurance of our ability to meet targets/deliver quality includes use of women-only premises, strategically located in areas that are away from risk.

**SIGNIFICANT DEBT PROBLEMS** (Shaw Trust, CRI, Only Connect and LWC):

- 1 CM based at each prison (Brixton, Isis, Holloway, Pentonville, Wandsworth)
- 4 CMs in the Community, each based at one of our 4 central Hub offices (Hackney, Lewisham, Greenwich, Wembley).
- Additional assurance includes our investment in specialist training of staff by The Money School, and our pan-ECA coverage of delivery, acknowledging that debt and gambling issues are far-reaching.

**NON-ENGLISH SPEAKERS FROM THE EU** (Shaw Trust):

- 2 CMs in HMP Wandsworth, supported by specialist workers from language support and migrant advice organisation BarkaUK.
- Additional assurance of our ability includes our partnership with Barka UK, and our delivery in HMP Wandsworth, selected in agreement with the prison, who are keen for sub-group concentration in this establishment.

#### DUAL DIAGNOSIS/MENTAL HEALTH (CRI):

- 2.6 CMs based in HMP Isis
- Additional assurance includes our selection of expert alliance partner CRI who will provide specialist Dual Diagnosis leads to support this sub-group.

#### YOUNG PEOPLE 16-18 (Only Connect):

- 1.8 Youth Support Workers providing in-reach into YOIs Cookham Wood and Feltham with community delivery located at White City and Kings Cross.
- Additional assurance includes Only Connect's Members Clubs as two accessible delivery sites offering a permanent base and positive community that is attractive to young people. Clubs combine social events/sports/arts and support infrastructure.

*41. Describe your processes for ensuring that you maximise claims for achievements for participants that transfer out of the ECA, taking into account the constraints of the 7 day permissible 'transfer window'.*

*[250 words]*

#### **Shaw Trust Ltd**

Shaw Trust has extensive experience of the submission of timely claims for individuals whose funding follows them across geographical boundaries through DWP employability contracts, including ESF and DWP Work Programme/ Work Choice. Key to assuring successful transfers are robust administrative and quality systems involving appropriate partners. For instance, Information Sharing Protocols with stakeholders to attain claim related evidence e.g. short course completion certificates from qualification awarding bodies.

Shaw Trust's proven process involves:

- 1) Thorough training for Case Managers on best practice principles to ensure effective recording of claim related information on CATS. This will include logging data relating to their caseload in a timely fashion and, as a minimum, on a daily basis; and accuracy checks (including permissible evidence) through use of our Compliance Toolkit (tiered checking framework). This will assure Case Managers understanding of the reciprocal cross-regional transfer protocol whereby participants who leave our provision and are transferred to an alternative ECA must have their CATS record updated within 7 days.
- 2) Our dedicated Administrator will conduct quality and data integrity checks of associated CATS records within 48 hours of notification of transfer, to ensure all appropriate fields are complete and all required evidence is submitted for approval. Where required, the Claims Administrator will collaborate with the Case Manager to collate and upload any missing information within the 7 day window.

3) As part of their contractual compliance and quality assurance remit, our Quality and Compliance Team (independent of operations) will undertake verification checks to ensure consistently.

*42. Describe your approach to ensuring that necessary activity still takes place for participants where there is no opportunity for further payment by results payments, (e.g. where this has already been accessed by a previous provider or where additional barriers for a participant have been identified). Your response should include arrangements to ensure activity takes place at both Contractor and Subcontractor level as applicable to your delivery model.*

*[400 words]*

### **Shaw Trust Ltd**

Shaw Trust, in alliance with CRI, will set high minimum standards of service delivery that can be maintained by service fee and profit reinvestment, and are not dependent on further outcome-based payments. These minimum standards will ensure all necessary delivery continues to take place.

This is in line with our approach to delivery on other payment-by-results contracts. For example, on Shaw Trust's Work Programme contracts, our Job Advisors always maintain continuity of quality service for individuals, regardless of our prospects in achieving further paid-by-results job outcomes and sustainment outcomes for those that are particularly hard-to-help.

Continued delivery to participants can be assured by:

- Our charitable mission – As large third sector providers, Shaw Trust and CRI's charitable mission is to improve the life chances of disadvantaged individuals. We only engage with subcontractors who demonstrate comparable aims and objectives
- Clear minimum standards of continued delivery for all participants – to include: a minimum of three core activities for all participants; progression onto new stages within the model (e.g. short courses, training, voluntary work placements) wherever a participant is capable of doing so; access to a Mentor and Personal Sponsor; and 'refresher support' for transferred-in participants, even where this support has already been claimed by previous providers.
- Setting internal KPIs relating to minimum service delivery against which staff will be measured against, including for subcontractor staff
- Recording all evidence for non-progression, including reasons for non-progression, onto CATS to ensure it is not related to lack of funding. Where financial resources are flagged as an issue, operational and financial planning will take place to compensate for this resource and ensure it does not affect delivery.
- Investment for activity that does not achieve outcome-based payments. We will maximise all eligible claims for participants leaving our provision, as well as taking reduced management fees with subcontractors, thus allowing us to fund activities for 'transferred-in' individuals without requiring additional funding. This will ensure that, over the contract lifespan, any losses/gains generated through ECA-transfer are balanced.
- Requiring all staff and subcontractors to comply with the above minimum standard approach regardless of outcome-based payments. This will be supported by our compliance toolkit, which

includes essential tools (e.g. file/system checklist, caseload reviews, observational tools, and information security checklists) to help managers to assess and improve compliance and quality. Quality assurance monitoring systems will capture performance against KPIs Indicators, including quarterly supplier reviews and sample case reviews by Shaw Trust Quality Managers.

*43. Describe your approach to ensuring continuity of service and appropriate levels of support are offered to participants whom have gaps in the period with which they directly engaged with the Contractor (i.e. by virtue of spending part of the custodial portion of their sentence within prison establishments not identified as in scope for CFO provision).*

*[300 words]*

### **Shaw Trust Ltd**

Continuity is central to Shaw Trust operations. We will achieve it through:

- Mutually supportive working relationships with OMUs/ CRC/ NPS ensuring we are abreast of/ involved in sentence planning;
- Effective use of CATS to comprehensively record planned and in-progress interventions per participant, ensuring up-to-date records;
- End-to-End Case Management ensuring participants cannot ‘fall through the cracks’.

Together, these mechanisms enable us to:

- Track/ plan for a participant’s movements across the region;
- Ascertain the most appropriate course of action based on the specific scenario in which transfer takes place;
- At the point of return, pick up interventions that were not supported at the receiving establishment.

In the event of transfer we will align with the OMU in both sending and receiving establishments. This, and the likely timescale of transfer, will inform the actions we take to enable continuity.

Broadly, if the transfer is short term, we will re-engage and continue delivery immediately upon their return. If longer term, we will ascertain whether there is provision at the receiving establishment that can be used to underpin NOM CFO intervention(s) in progress. We will ensure that staff at the receiving establishment are aware of the participant’s involvement with - and progress resulting from - NOMS CFO, and seek their support in reinforcing key messages during the life of the transfer.

The capacity/ motivation of a participant to engage with the non-CFO prison’s provision will trigger a reassessment of the viability of mainstream services upon their return, to ensure we are adding value.

Where the geography of the relocation/ the operational mechanisms of the new establishment allow, we aim to ensure the volunteer mentor and/or Personal Sponsor continue their support, supplementing the work of prison staff to consolidate the positive messages established during NOMS CFO programme participation.

44. *How will you ensure that activity that takes place at each stage of the participant pathway is driven by the individual needs of the participants and that the same is clearly demonstrated within the CATS record.*

*[350 words]*

### **Shaw Trust Ltd**

Accuracy of needs identification, associated risks and vulnerabilities and appropriate action-planning will be promoted through meaningful assessment and review, supported by our person-centred practice approach.

- **Effective screening:** Case Managers (CMs) will use CATS to screen daily for ESF and priority group-eligible individuals;
- **Comprehensive assessment:** CMs will use the CATS assessment dashboard to review centrally-held participant information, including the Basic Custody Screening Tool, OASys and other assessments and resettlement plans, alongside liaising with OMU/CRC/NPS and other stakeholders. This pre-existing knowledge of participant needs and current interventions will be further explored during CATS assessment
- **Person-centred approach:** Needs assessment and distance-travelled measurement through our added value investment in Outcomes Star™ will support co-production of a comprehensive action plan which details proposed pathway activity. Any conflict between CATS and Outcomes Star™ assessment will be reconciled through risk and needs discussions with key partners, and updated on CATS. Our One-Page Profile, which is portable across partners and provisions, will further increase the effectiveness of matching with services, eg supporting the matching of mentors and participants who share common interests or helping brief a specialist provider on a participant's preferred learning style;
- **Regular reviews:** 1-2-1 participant reviews will take place at least once-monthly, and more regularly for those requiring it, and always at key transition points such as release from custody, changes in risk or changes to an individual's situation. CMs will work closely with OMU/CRC/NPS colleagues, sub-contractors and other providers and stakeholders, to maintain an overview of individual progress and ensure that activity remains relevant to needs and continues to plug gaps, perceived across agencies;
- **Staff training:** All delivery staff receive CATS compliance training, alongside other programme and quality-of-service workshops, to understand the priorities of NOMS-CFO, participant pathway stages, needs identification and services available to meet different needs;
- **Prompt CATS updates:** CMs will update CATS in real-time where this is possible and within one working day should real-time update not be possible. Data-inputting accuracy, timeliness and thoroughness will be monitored through regular sampling of entries by our Quality Team (with permission from the Authority), including checking for accurate transcription of notes onto the CATS system.

**\*\*\*Regional Delivery Focus\*\*\***

45. *Detail your anticipated staff presence within each relevant custodial establishment in the ECA. Your response should provide details of discussions with stakeholders within the custodial estate,*

*progress with logistical requirements (i.e. security clearance, access to keys, desk space, telephony, ICT) and any formal arrangements/agreements entered into. Where issues are not yet resolved, provide detail of your strategy to resolve the same including timescales for doing so.*

[400 words]

## **Shaw Trust Ltd**

Our staffing across 7 custodial estates in London includes a mobile/flexible workforce, fully enabled to provide in-reach into other establishments to cover any fluctuations in demand.

Shaw Trust (ST) had direct discussions with [REDACTED] London DDC, who has given initial approval of our supply chain and site strategy inside prisons.

All discussions with stakeholders to date (including those below) will require formalisation post-contract award, including logistics around security clearance (in line with PI and PSI instructions).

We have received information from the following establishments:

1)HMP Wandsworth – 4.7 FTE Case Managers (CMs) from Shaw Trust – Discussions held with senior staff, including Head of Resettlement

- Permanent desk space/equipment/networks/clearance available. CMs will be co-located together with CRC staff and other voluntary-sector providers forming a ‘services hub’.
- Potential plans to jointly-develop existing training and manufacturing activities for increased accessibility to participants.
- Confirmation that our focus on foreign nationals is critical.

2)HMP Holloway – 1.8 FTE CMs from London’s Women Consortium (LWC) – Contact with Jackie Harvey, Head of Learning and Skills (HOLS)

- Good-working relationship with our selected subcontractor, LWC, who already operate in Holloway with allocated desks/equipment/clearance.

3)HMP Pentonville – 0.7 FTE CMs from Only Connect (OC) – Contact with [REDACTED] from Wormwood Scrubs on behalf of Pentonville

- Existing relationship between prison and our subcontractor OC, including working arrangements for desk space/equipment/networks/clearance to be built on with NOMS CFO provision
- Confirmation that focus on NEETs will be well-targeted provision, including focus on substance misuse and mental health

4)YOI Cookham Wood – 0.1 FTE CMs from OC – Discussions held with [REDACTED] Deputy Governor

- Desk space/equipment/networks/clearance available for in-reach activity. Facilities are limited, but the YOI has encouraged OC to work collaboratively with prison staff to co-locate..

5)YOI Feltham – 1.4 FTE CMs from OC – Discussions held with [REDACTED] MTT Lead

- Desk space/equipment/networks/clearance available for in-reach NOMS CFO activity, though finalisation required post-award.

We have been unable to secure initial discussions with the following establishments:

6)HMP Brixton – 3.5 FTE CMs from CRI

## 7)HMP Isis – 2.6 FTE CMs from CRI

Our strategy for doing so post-contract award includes: completion of negotiations within first 4 weeks of mobilisation; mapping specific requirements against available facilities; and planning for contingencies such as co-location and in-reach.

ST and our end-to-end subcontractors will maintain strong relationships with each prison through: seeking co-location with prison staff for a ‘one team’ approach; initiating senior management meetings to review facilities; and distributing clear messaging of contract aims/objectives.

*46. Outline your rationale for your selection of prisons. Your response should clearly state where in-reach/peripatetic service delivery models are proposed for any sites.*

*[300 words]*

### **Shaw Trust Ltd**

We will work with all prisons, both required and optional, according to the guidance supplied at GA4.1 of the London Regional Annex.

Selection of optional prison:

Our selection includes the ‘optional’ prison HMP Pentonville. Our rationale for this inclusion is to increase support for NEETs in this establishment (aged 21-24), identified as a gap in current delivery. This cohort will be case-managed by our specialist subcontractor for young people, Only Connect, who will work closely with the prison and North East London Resettlement Consortia (NELC).

In-reach and peripatetic delivery sites:

On advice from [REDACTED] from London’s Regional DDC office, we anticipate having a permanent base in HMP Brixton, Holloway, Isis and Wandsworth, providing us with the opportunity to build awareness and establishment expertise.

Sites where in-reach activity will take place include:

- HMP Pentonville – We are only working with 21-24s cohort in HMP Pentonville, and therefore estimate roughly 70-90 enrolments across the life of the contract. This can be comfortably managed through in-reach work from our expert subcontractor Only Connect, who will employ Case Managers that work with this cohort in HMP Isis as well.
- HMP ISIS delivery for 18-24s– Only Connect Case Managers delivering to this age group will do so through in-reach. (Note, CRI Case Managers will be permanently based in HMP Isis to deliver to 25+ and Dual Diagnosis/Mental Health Sub-Group)
- YOI Cookham Wood – in line with delivery requirements specified by the Authority/establishment
- YOI Feltham – as above.

- All of our spot-purchase agreements with specialist organisations are based on in-reach delivery models, e.g. our family support provider Safe Ground who will deliver a ‘Family Man’ course in sites, and Barka UK delivering language support.

Our delivery model is flexible and responsive to liaison with stakeholders, and the introduction of new services over-time dependent on evolving needs and demands.

*47. How will you ensure that you maintain an appropriate presence within community delivery sites? Your response should provide details of discussions with community stakeholders, progress with logistical requirements (i.e. security clearance, desk space, telephony, ICT) and any formal arrangements/agreements entered into. Where issues are not yet resolved, provide detail of your strategy to resolve the same including timescales for doing so.*

*[400 words]*

### **Shaw Trust Ltd**

Shaw Trust (ST), in alliance with CRI, will maintain an appropriate presence within community delivery sites through:

- Recruiting a community-based workforce scalable to meet participant volumes across the contract duration – Core case management providers of our model (ST, CRI, Only Connect, and London’s Women Consortium (LWC)) will recruit in total an estimated 10.5 Case Managers to maintain an appropriate presence across all community sites (with some Case Managers working across community and custodial sites, e.g. Only Connect staff).
- Flexible-working between Hub and Satellite offices – ST and CRI have mapped the London ECA into four quadrants to ensure we establish appropriate and accessible community presence. Each quadrant has a central ‘Hub’ office where Case Managers with community caseloads will be permanently-based. Corresponding to each of the four Hubs are a designated growing number of ‘Satellite’ sites for peripatetic delivery, with at least 22 Satellites secured across the ECA comprising existing Shaw Trust and CRI offices. In addition, we estimate a further 32 (1 per London borough) Satellite sites from London National Probation Service (NPS) based on current agreements (please see below). This extensive network of sites enables full and appropriate presence of staff, with strong transport links across London to facilitate easy transfer between sites as needed.
- Established arrangements for full security clearance, appropriate desk space, ICT and telephony in our 4 Hubs, and at least 22 Satellites across London – We will work with the Authority during mobilisation to ensure that premises/ICT meets all required standards for CATS and data security.
- Agreed co-location arrangements at London National Probation Service (NPS) premises – secured in discussion with Sara Robinson, Divisional Deputy Director. This included agreement in-principle that ST and our subcontractor staff will be granted security clearance, and can have access to hot desks with necessary ICT and telephony. Post-contract award, we will begin detailed mapping processes of which offices can accommodate staff, and any further requirements.
- Strategy for securing similar co-location agreement with London CRC as with London NPS – Prior to bid submission, we have been unable to secure meeting with MTCNovo or London CRC. However, post-contract award we will initiate contact once again with an aim to agree co-location

arrangements in place during the first two-weeks of mobilisation. Our strategy includes ST's Director for Justice, [REDACTED] proposing clear plans for timescales, the benefits of co-location for both parties, and criteria for successful co-location working.

*48. Explain how you will prioritise potential participants where referral numbers outstrip profiles, making reference to the general cohort, those groups identified for additional ECA level focus and the 5 designated hard-to-reach groups.*

*[400 words]*

### **Shaw Trust Ltd**

Shaw Trust has extensive experience of successfully managing referrals outstripping profiles, most recently in 2011, where referral numbers significantly outstripped profiles on our London Work Programme contract in Years 1-2 of delivery.

All NOMS CFO Case Managers will receive comprehensive training on prioritising participants where the numbers of eligible referrals outstrip profiles. Guidance will be drafted in discussion and negotiation with prison estate, subcontractors, CRCs and NPS, to identify their preferences for prioritisation.

Subject to agreement with these stakeholders, we would look to prioritise the following participants:

- In every case only NOMS CFO eligible participants who cannot benefit from alternative provision– Case Managers will draw on their training to make a professional judgement as to whether or not a potential participant can benefit from meaningful support elsewhere. This includes from within our own delivery network, such as CRI's substance misuse and mentoring programmes. If so, supported handover will take place.
- Young people 16-18 under YOT supervision – We will continue to prioritise provision for participants aged 16-18 as they fall within two target groups for London, including as a Hard-to-Help Sub-Group and as part of the Entire Cohort group, as well as being a stakeholder priority. We will collaborate with our expert subcontractor for young people, Only Connect, to upscale delivery as necessary.
- Those identified as the very hardest-to-help – We have explored contingency arrangements with our subcontractors to continue to prioritise our Hard-to-Help Sub-Groups to ensure they are not left without any support. For example, where there are increased referrals of Non-English speakers from within the EU, there is scope for additional referrals to Barka UK for continued support.
- Those within the London ECA-level focus target group, cross-referenced against the entire cohort target group – We will prioritise enrollment of offenders involved in gang activity for access to appropriate support, e.g. attendance of Khulisa's Silence the Violence programme. Within this target group, participants who are also women, from minority ethnic communities, have disabilities or health conditions, are over the age of 55, or are ex-service personnel, will be prioritised further.

Our initial plans, with agreement from the Authority, will be to absorb uplifts in referrals of up to 10% taken from the priority groups listed above. Where uplifts in referrals cannot be absorbed, we will consult with the Authority to explore increases in financial allocations. Where this is not possible, we will consider funding this increase through our charitable funds.

49. How will you ensure that CFO delivery does not become a replacement for mainstream services?

[250 words]

### **Shaw Trust Ltd**

As third sector organisations with over 70 years combined experience in increasing the social inclusion of the most disadvantaged individuals, often through ESF-funded programmes, Shaw Trust in alliance with CRI is highly proficient in maximising the potential of ESF funding. We will offer effective ESF-funded services through:

- Liaison with NOMS and other stakeholders, such as Work Programme providers and CRCs, to ensure that the scope and eligibility of ESF services remain well-differentiated from mainstream. Where potential overlap is identified, we will work cooperatively with stakeholders to modify revised delivery processes
- Operational rigour, including experienced Quality and Finance functions with appropriate processes for outcome and claim scrutiny and a robust Supply Chain Management function operating consistently across the supply chain to ensure that services avoid “mission drift”
- Staff training, ensuring that staff are confident in their understanding of the purposes of NOMS-CFO and exercise professional judgement in identifying eligible participants, with appropriate referral to mainstream services if necessary
- A delivery structure which supports strong cross-agency relationships through co-location to increase staff awareness and understanding of other services
- Analysis of management information (MI) to support gap analysis and forward planning for cohort profile changes over contract life
- Monitoring the policy horizon via our experienced Policy Team who will use internal MI to advise on potential policy impacts on our cohort

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50. Give an overview of the range of services that will be available to female participants with a particular focus on those which are specific to this group rather than part of the general offer to all participants.

[350 words]

### **Shaw Trust Ltd**

Shaw Trust’s approach to female participants has been in-part informed by NOMS Commissioning Intentions (2014) and the New Economic Foundation’s report “Women’s Community Services: A Wise Commission” (2012).

We are subcontracting end-to-end delivery for female participants to London's Women Consortium (LWC), comprising local expert organisations Women in Prison (WIP) (lead), Clean Break, Working Chance, Start Up and Eaves. WIP currently delivers subcontracted provision on NOMS CFO R2, and LWC is also part of the supply chain for the TR provider in London MTCNovo. This pan-London approach will reduce different points of contact for participants, ensuring continuity of brand, sites and services.

LWC will deliver case management and psychological interventions as part of an integrated service across the consortium. Using their unique and successful Relational Model, LWC CMs will provide end-to-end support, initially engaging and developing relationships of trust with women, supporting them to recognise and address their relational patterns, at first with themselves, and then with their wider circle of support (e.g. family, probation officers). This is supported by Shaw Trust flowing down a financial uplift on unit cost to reduce caseloads [REDACTED] in order to facilitate greater face-to-face time, and higher quality relationships

LWC's services specific to female participants will include:

- Through-the-gate support provided by WIP and Eaves – particularly for women affected by the sex industry, including provision of travel costs, mobile phone and safe accommodation. This includes further referrals into Eaves' services, e.g. Poppy Project for survivors of trafficking, London Exiting Advocacy for those wishing to exit prostitution.
- Case-management support – including support and referrals into appropriate existing services to address issues relating to domestic violence, trauma, emotional well-being, mental health, debt advice, money management and substance misuse issues.
- Parenting and Carers support – including access to dedicated Parenting Workers and referrals into Troubled Families support.
- Women-only employability and skills support – including: short accredited theatre courses delivered by Clean Break offering an development of pro-social and employability; facilitated work placements/tasters through Working Chance's employer network; and self-employment support provided by Start Up (with 231 participants becoming self-employed across the last 5 years).

*51. Give an overview of the range of services that will be available to NEET participants with a particular focus on those which are specific to this group rather than part of the general offer to all participants.*

*[350 words]*

### **Shaw Trust Ltd**

Our NEET delivery has been informed by our in-house expert [REDACTED] and our in-house experience of working with NEETS on our Stepping Forward programme (NEET SFA ESF 2011-2013). For example, we recognise 18-24s face the challenge of moving from a supportive youth system over a 'cliff edge' into less support, and 16-18s face demotivation, weak peer support and low skills.

We are committed to facilitating a step-change in delivery for this cohort. We have subcontracted delivery of the 16-24 group to high-calibre, London-based experts Only Connect (OC), a creative crime agency using proven and innovative delivery to engage with young people.

OC will deliver to the full 16-18s cohort in YOIs Cookham Wood and Feltham and in the community, as well as the full 18-24 cohort, to be enrolled from HMP Pentonville, HMP Isis and across the community, ensuring continuity for those transferring between estates (e.g. 18 year-olds).

OC will deliver an enhanced case management model and interventions for this group, including:

- Higher face-to-face time with Case Managers– facilitated through extra funding flowed down to create reduced caseloads (35 compared to 44 for the general cohort), creating stronger relationships.
- Anti-gang programmes and interventions – This includes: 1) Khulisa’s evidence-based ‘Silence the Violence’ programme, 2) Mental Health services provided by MIND and CRI, 3) Life Coaching provided by OC’s partner SparkInside, and 4) Emergency relocation provided by Safer London Foundation.
- Spot-purchase of learning disability/communication support – to address high levels of dyslexia, ADHD and poor communication skills amongst NEET offenders
- OC’s ‘Entourage’ Mentoring – with participants (‘stars’) matched with five different Mentors, each providing different skillsets and connections
- Creative employability/training support – including supported access to apprenticeships and employment initiatives, e.g. ‘OC Kitchen’, training young people in kitchens in OC community centres, including mentoring from professional chefs.
- Access to OC Members’ Clubs in Kings Cross and White City – offering a permanent base, positive community and brand that is attractive to young people. Clubs combine social events, support infrastructure and creative opportunities.

Delivery will be coordinated in collaboration with YOTs, London’s 2 Resettlement Consortia and GLA’s existing Resettlement Champions meeting.

*52. Give an overview of the range of services that will be available to participants from a minority ethnic background with a particular focus on those which are specific to this demographic rather than part of the general offer to all participants. Your response should include detail of support for participants for whom English is not their first language.*

*[350 words]*

### **Shaw Trust Ltd**

Shaw Trust and our alliance partner CRI have strong local knowledge/experience of delivering to minority ethnic backgrounds (BaME) across London, e.g. Black populations concentrated in Southwark and Lewisham, Polish and Somali communities in Ealing, Bengali and Pakistani communities in Newham. This expertise is drawn from our delivery sites in 24 of 32 London boroughs.

Services include:

- Case Managers highly-trained in working with BaME groups – Our Case Managers will be highly trained in understanding cultural sensitivities and prevention of direct/indirect discrimination. All Supervisors, supported by Shaw Trust’s central HR office, will monitor equality of provision for this cohort. This approach will take account of gender sensitivities in matching Case Managers, and structuring activity to accommodate religious observances, such as prayer. Our Case Managers will reflect the demographic mix of BaME participants in London (■% of Shaw Trust staff are from minority ethnic backgrounds), including those who speak minority languages such as Polish and Urdu.
- Services provided by Barka UK – Shaw Trust have entered into a subcontract agreement with Barka UK to deliver support including language support for participants for whom English is not their first language, and resettlement services. The highest use of Barka’s services is expected in HMP Wandsworth (with over 50% comprising foreign nationals) and HMP Pentonville (with 34% comprising foreign nationals).
- Referrals and collaboration with existing BAME services – to enhance and add value to their services without duplication. Organisations include: CRI’s subcontractor EACH providing Asian family therapy in Ealing, The Tarbiyah Programme, Hibiscus, African Cultural Association, Brent Somali Community Roots, and Osmani Trust. This also includes faith-based services such as Holy Trinity Brompton and Feltham Community Chaplaincy Trust.
- Allocation of Mentor from BAME community – Participants will have the choice to be matched to Mentors from the same ethnic backgrounds. We will also collaborate with Mosaic, providing mentors for young Muslim men.
- Enhanced delivery for Non-English Speakers from the EU Sub-Group at HMP Wandsworth – delivered by our subcontractor Barka, including accompanying the participant during assessment, action-planning and reviews to offer language support, and resettlement advice and support to include staying in the UK and reconnecting with European communities.

*Tender Submission*

*Please confirm the Lots where you are entering a Final ITT submission by selecting Yes/No/Not Applicable. You may only enter submissions against Lots where you have been shortlisted - submissions for other Lots will be discounted by the Authority.*

*Lot 1 North West*

**Shaw Trust Ltd**

No

*Lot 2 South East*

**Shaw Trust Ltd**

No

*Lot 3 Yorkshire*

**Shaw Trust Ltd**

No

*Lot 4 West Midlands*

**Shaw Trust Ltd**

Yes

*Lot 5 East Midlands*

**Shaw Trust Ltd**

No

*Lot 6 London*

**Shaw Trust Ltd**

Yes

*Lot 7 East of England*

**Shaw Trust Ltd**

Yes

*Lot 8 North East*

**Shaw Trust Ltd**

Yes

*Lot 9 South West*

**Shaw Trust Ltd**

Yes

*Declaration*

**\*\*\*Declaration\*\*\***

*As a supplier / organisation looking to bid for public sector contracts you should be aware that as part of the government's transparency agenda tender documentation issued by government departments for contracts over £10,000 will be published on a single website, and made available to the public. You should also be aware that if your bid is successful, the resulting contract between you and the department will be published. In some circumstances, limited redactions will be made to tender documentation and/or contracts before they are published in order to comply with existing law, to protect commercial interests, and for the protection of national security.*

*Please confirm your acceptance of this statement.*

**Shaw Trust Ltd**

Yes

*Please confirm that you have read, and would be willing to contract, on the terms set out in the attached Security Policy.*

**Shaw Trust Ltd**

Yes

*Please confirm that your unqualified acceptance of the Terms and Conditions of Contract as set out in the attached documentation.*

**Shaw Trust Ltd**

Yes

*Please confirm that you have read and accept the Form of Tender, and that you have sent a signed copy to the Authority as an attachment to an RFX message by the specified deadline.*

**Shaw Trust Ltd**

Yes

*Please confirm that you have read and that you accept your legal requirements under the Certificate of Bona Fide Tendering , and that you have sent a signed copy to the Authority as an attachment to an RFX message by the specified deadline.*

**Shaw Trust Ltd**

Yes

*Please confirm that you will provide a Parent Company Guarantee(s) from your ultimate parent company if required to do so by the Authority.*

**Shaw Trust Ltd**

Yes

*I declare that to the best of my knowledge the answers submitted in this RFI are correct. I understand that the information will be used in the process to assess my organisation's suitability to be invited to tender for the Authority's requirement and I am signing on behalf of my organisation. I understand that the Contracting Authority may reject this RFI if there is a failure to answer all relevant questions fully or if I provide false/misleading information.*

**Shaw Trust Ltd**

Declaration	Suppliers
I declare that to the best of my knowledge the answers submitted in this RFI are correct. I understand that the information will be used in the process to assess my organisation's suitability to be invited to tender for the Authority's requirement and I am signing on behalf of my organisation. I understand that the Contracting Authority may reject this RFI if there is a failure to answer all relevant questions fully or if I provide false/misleading information.	<b>Shaw Trust</b>
Record Label	Completed By:
I agree with the declaration.	Yes
Name	
Date	2015-01-08 20:21:00