Appendix B -

Supplier Solution

1.   Mandatory Declarations

	Question Area	Requirement – Select Yes/No	
MD-001	Specification / Service Description	Please can you confirm you have reviewed 'Schedule 2.1 – Services Description' and confirm below that you understand and can deliver on the requirements and outcomes therein?	Yes
	Digital & Technology and Information Assurance	Please can you confirm reviewed and understood Schedule 2.4 (Information Security and Assurance) of the Framework Agreement?	Yes
		Please can you confirm your organisation will be compliant with Service Level 1 (SL1) of Schedule 2.4, prior to service commencement (note; this includes accreditation to Cyber Essentials Basic)?	Yes
		Please can you confirm your organisation will upgrade to Cyber Essentials Plus, and comply with Service Level 2 (SL2) of Schedule 2.4, if the Authority, at it's sole discretion, determines additional Information Assurance is required of the Provider of this contract at any stage during the contract term?	Yes
	Workforce	Please confirm compliance with regards to vetting requirements within PI 2014/07	Yes
		Please confirm compliance with regards to vetting requirements within PI 2014/03	Yes
		Please confirm compliance with regards to vetting requirements within PI 2014/60	Yes
		Please confirm compliance with regards to vetting requirements within PI 2014/23	Yes
	Estates	It is not envisaged that any Provider premises will be need to be utilised in the delivery of this contract, however In the event of the Provider's facilities being attended by People on Probation or Probation Service Personnel, the Provider shall have a duty of care to provide a facility that meets basic H&S standards and is accessible to staff with protected characteristics (in the main, physical impairments)", please can you confirm you will comply with this requirement.	Yes
	Enter any additional comments here		

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2. Technical Criteria Requirements & Supplier Solutions

TC-001 - Service Continuity
Requirements
The Authority requires the Bidder to understand the requirements of and comply with the entirety of the 'Engaging People on Probation' (EPOP) specification throughout the duration of Call-Off Contract period. Please describe what considerations you will make to ensure service continuity in the event of disruption and changing landscapes. (You may wish to use examples and/or case studies of how you have previously handled similar situations, e.g. service continuity during Covid-19 restrictions).
Solution
St Giles Wise (SGW) have over three decades' experience supplying services to UK and Scottish Governments as a contracted primary provider and a key subcontractor. We can confirm that we also already meet the commissioners' flexibility expectations, notably in highly governed ESF-funded programmes. In 2019/20 SGW delivered 74,919 interventions to 20,671 Service Users (SU), of which 82% held a conviction, undisrupted. **Approach** Our service model enables flexibility through built-in resilience by incorporating capacity which can be quickly adapted to changing circumstances: • Our Engagement Maturity Model (EMM) is based on our proven approach, yet it's designed to be adapted for Regional/HQ needs and to manage disruption. For example, EPOP Action Plans are delivered in 3-month sprint cycles, allowing for rapidly changing priorities. Interventions are standalone and the sequence of delivery can be altered in case of disruption. • Staff are based across the UK with no single geographical or resource-based points of failure. **People** Most activities from our EPOP Intervention Catalogue (EIC) will be delivered by POP Consultants with lived experience. We will recruit and train a cadre of c.50 of these across the UK who will work on a sessional basis so we can quickly flex their number to meet demand and address disruption, providing resilience into our model from the outset. **Technology** Our flexible cloud-based technology infrastructure can be accessed anywhere, anytime. This remote-working capability has been the backbone of delivery during Covid-19. **Processes** Our Service Continuity Plan (SCP) and Corporate Resolution Planning (Requirement G3) will comply completely with the provisions of Schedule 8.6 and be submitted within 60-working days of the Effective Date. We currently provide support virtually, individually and as groups, in COVID-19-secure face-to-face settings, all extremely mature after prolonged use. Irrespective of the pandemic, we will plan and deliver in response to changing landscapes by leveraging current continuity planning.

Continuous improvement processes are also built into our approach, including Plan/Do/Review cycles, adapting delivery to meet changing landscape/needs.

Facilities
Our general model is building/location agnostic, which brings enormous resilience.

Our Enhanced Through the Gate (Durham & Tees Valley CRC) Covid-19 response
This contract was rated 'Outstanding' by the HMIP Inspection Report (April 2020). In delivering the CRC contract, we delivered the MoJ's Exceptional Delivery Model during Covid-19 and continued to deliver community and prison-based support.

We will adopt the same methodology under future restrictions, including:
- Adapting staff ratios and rotas to enable social distancing.
- Tailoring the support is consideration of Engagement Maturity.
- Increased use of phone/email/virtual contact.
- Issuing workbooks, equipment, and online learning content to enable SUs to self-study during restrictions. During Summer 2020, we provided mobile phones to all SUs leaving custody, enabling them to continue receiving our service throughout lockdown.

Other examples:
- We simultaneously mobilised 16 MOJ Personal Wellbeing / Women's Services contracts for June 2021 meeting all key milestones.
- Mobilised (within 4-weeks) the DWP's flagship Job Entry Targeted Support scheme (as Capita's largest subcontractor), with its high volume (10,000 SUs), constantly evolving customer needs, and challenging KPIs for SU contact.

TC-002 - Service Delivery and Driving a Cultural Change (National Objectives)

Requirements

The Authority is seeking to develop an effective and well embedded model of EPOP which secures visible and impactful opportunities for People on Probation to contribute to and influence the design, delivery and review of probation services. We want to do this by securing expert EPOP support and advice, from people with lived experience of probation services, to work alongside Probation Service Personnel, HMPPS Senior Leadership and People on Probation, to strengthen current EPOP capacity and capability.

This envisages implementing a significant cultural change across Probation Services and recognises that the role of Senior Leadership will be a significant part of instilling this vision, what methods will you use to ensure Senior Leadership visibility and input? Your response should include detail on the following areas as a minimum:

A) How would you drive change at a Senior Leadership level, ensuring that relevant Probation Service Personnel account for the views of People of Probation in their decision-making?

B) How do you envisage meeting the outcomes and expectations set out in the indicative three-year breakdown in Annex 2? This should describe how you would track and monitor progress against these outcomes, and how you would report and escalate issues.

C) Describe how you would strengthen national and strategic engagement opportunities and routes of influence, for people on probation, including where relevant, the link between engagement in Probation Service regions and engagement in HMPPS strategic work in a way that increases HMPPS Senior Leadership visibility to People on Probation? (Discussion should include, but is not limited to, the creation of a National Forum for People on Probation).

Solution

Introduction

St Giles Wise (SGW) is a values-led, 3rd sector SME partnership of two established charities working for justice. We have been working with the Ministry of Justice, Home Office, Police, Local Authorities, NHS, and Scottish Government for more than 30-years, supporting over 30,000 unique service users every year, providing advice and support from those with lived experience.

Over half our frontline staff, and many managers have lived experience and our organisations are founded on it.

Our culture is highly inclusive, recognising the value which our staff, volunteers and service users provide. We deliver nearly 30 justice-related contracts and have first-hand experience of the great work of probation staff.

We deliver a mature and externally evaluated peer-support service, which has supported over 3,000-people on probation towards employment over the last 20 years, many of whom we now employ. This highly motivated and passionate team want to help others.

Our Key-Subcontractor, InHealth Associates, are experts in service-user-led culture change. With them, we will adapt our Engagement Maturity Model to incorporate lessons learnt from NHS projects, which put patients at the heart of cultural engagement.

We will bring this experience and diversity to drive EPOP for HMPPS.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

. **[REDACTED]**

[REDACTED]

[REDACTED]

TC-003 - Service Delivery and Driving a Cultural Change (Regional Objectives)
Requirements

This Contract envisages implementing a significant cultural change across Probation Service Regions and recognises that delivering this across multiple regions may present challenges.
 	
The Specification requires the Provider to work with regional SPOCs to develop comprehensive 'EPOP Action Plans' with SMART objectives and milestones to strengthen and develop EPOP capacity and create a range of meaningful EPOP opportunities, responses to this question should reference the process you will follow to develop these Action Plans.
 	
The Authority requires the Provider to understand and work in accordance with the behavioural influences; Capability, Motivation and Opportunity. (Further detail can be found throughout the Schedule 2.1 Services Description, in particular ANNEX 2: HIGH-LEVEL BREAKDOWN BY YEAR)
 	
Responses to points A-D below should explicitly refer to these influences;
 	
    A) Describe your approach to behaviour change, including sharing knowledge and experience, providing training individuals and developing skills to understand and adopt an engaging and inclusive ways of working, in a service delivery setting. How would this approach account for individuals with different learning styles, diverse needs and characteristics?
 	
    B) How will you strengthen the culture of engagement of people on probation across 12 different regions? Where relevant, please refer to the Behaviour Change Model included in the specification (capability, opportunity, motivation).
 	
    C) What bespoke activities do you envisage delivering to probation regions and how will these activities ensure that Probation Service Personnel actively consider any challenges which are specific to that region, including; geographical challenges and engagement with People on Probation with protected characteristics.
 	
    D) How will you assess whether Probation Service Personnel have successfully changed their behaviour i.e. developed their levels of confidence and capability, and are working in more engaging and inclusive ways? How will you capture evidence and track progress in relation to this?

Solution

Introduction

Based on our experience, culture and organisational capability, we have a unique and well-matched solution to improve HMPSS' POP engagement:

- SGW deliver 16-Personal Wellbeing and Women's Services to MOJ/HMPPS working with Probation Service (PS) and People on Probation (POP), so we understand the core purpose of PS colleagues, their challenges and our potential contribution to deliver enhanced engagement.

- We currently operate NPS/PCC funded services in 10-NPS regions, and have strong partnerships in all 12-regions.

- Our partner, InHealth Associates, brings extensive experience of cultural change, involving user engagement in large and complex organisations in the public sector. We also have extensive experience of developing organisational cultures which value and consult with lived-experience people.

- We collaborated with HMPPS and others to develop the current EPOP Toolkit in myLearning.

- Our model will embed lived-experience peers at the heart of EPOP activities. We have a track record of this, supporting 400-Peer Advisors into 85-host organisations annually.

- We have embedded lived-experience staff in statutory services, such as Community Safety Teams, Hospitals and Custody Suites as part of VRU projects, and have worked in Approved Premises.

- Co-design is in our DNA. We designed the largest justice mentoring programme in Scotland collaboratively with the Scottish Prison Service and the Scottish Government.

- Our Engagement Maturity Model (EMM) provides a framework for EPOP. It builds on HMPPS' "Standards of Excellence for SU involvement" and links to the EPOP National Plan.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

25

TC-004 - Workforce
Requirements
The Authority requires the Provider to have robust plans to ensure we recruit, retain, develop, engage and motivate a high performing workforce. A) Describe your approach to workforce monitoring and planning to ensure that qualified Supplier Personnel will be in post to meet delivery requirements for this competition at contract commencement without impact upon continuity or quality of service. B) Describe how you will ensure that you recruit, retain and develop a high performing workforce throughout the life of the Call-off Contract, including personnel with lived experience of probation services either on licence or a community sentence, wherever possible. C) Describe your approach for engagement and communicating your plans with your employees and, where appropriate, Trade Unions. D) Describe your approach to being an inclusive employer, including where relevant, encouraging people from different cultures and backgrounds to apply for and secure employment with you, anticipating and meeting the different support and development needs of employees, and ensuring you actively encourage Equality and Diversity in the workplace.
Solution

A) Workforce Monitoring and Planning

Our three-phase resourcing plan starts before award:

1) Implementation Planning:

- Existing action plan review.

- Local and UserVoice engagement.

- Ongoing support.

Transition Team will be led by SGW senior leader **[REDACTED]**. With 20+ years' experience managing peer support programmes, she will be supported by specialist City & Guilds Assured trainers, with our Quality Team providing reporting and monitoring.

2) Recruitment: using insight from comparable contracts, we propose the following staffing requirement:

- 1 x FTE Project Lead

- 2 x FTE Peer Co-ordinator/Trainers (PC/T's)

- 6 x FTE Regional EPOP Leads (REL's)

- 0.6 x FTE National Forum Lead (NFL)

- 0.6 x FTE Communications Lead

- c.50 x Sessional POP Consultants

These roles will start from within SGW, selecting existing staff able to provide advice and support at senior level and trained to apply and improve our Engagement Maturity Model, including:

- Contract Manager: **[REDACTED]**, a manager with 15+ years' experience working within criminal justice. Currently managing a peer-led employability programme, he is active in EPOP, attending the MOJ forums Lived Experience Engagement Network and Peer Engagement Work Advisory Group.

- Peer Co-ordinator/Trainer: **[REDACTED]**, a Peer Advisor trainer who developed training to successfully enable culture change within SGW, a Clore Leadership graduate and member of LEx (Lived Experience Leaders Movement).

3) Remaining posts: recruitment will follow our established recruitment procedures. These heavily involve our staff with lived experience and will commence ahead of award. Contingency planning will identify further internal secondments where posts are at risk delay.

POP consultants will be recruited within each NPS region. We'll target those with appropriate lived experience including current POPs, promoting roles

within the SGW Peer Network and existing local EPOP structures. Candidates will be motivated to undertake the required professional training and prepared to commit 3-days bi-monthly to EPOP activities, being paid per session.

[REDACTED] will provide specialist consultancy support. He is a leading thinker within the public sector for user and public engagement. He has 35 years' experience in this field, was the first Patient Director in the NHS, co-founder of Centre for Patient Leadership and author of "The Patient Revolution".

The recruitment plan will be reviewed weekly for milestone completion.

B) Recruitment and Development

Recruit

All these roles already have Job Descriptions and Competencies. Our Safer Recruitment policy has been co-produced with NSPCC, enabling us to recruit staff with lived experience safely and with confidence. Candidates must demonstrate how their background adds benefit to the role, including constructive engagement with Probation Staff and with a background of supporting EPOP objectives.

Staff will receive a 4-week induction with training including our ethos, Diversity & Unconscious Bias, Safeguarding, ICT security, EPOP Service Aims & Requirements, and specialist modules on EMM and EIC. POP Consultants will undertake a bespoke induction and receive a City & Guilds Assured Certificate in Peer Evaluation providing a professional foundation to deliver EPOP activities.

Our national reach enables us to access candidates for the POP Consultant roles, maintaining optimum (and additional) numbers to support EPOP activities in every region.

Retain

We have low attrition of <3% p.a. and consistently highly rated in the Sunday Time's 'Best 100 Companies'. Our retention activities include:

- ✓ Colleague-nominated awards
- ✓ Themed working groups
- ✓ Confidential employee helpline/website
- ✓ Clinical supervision
- ✓ Away days
- ✓ Mentoring and coaching programmes
- ✓ Annual staff conference
- ✓ Competitive remuneration

Develop

All our staff have a Personal Growth and Development Plan (PGDP), reviewed in 1:1s and annual appraisals, setting meaningful goals and training needs,

feeding into the Project Training Plan (PTP). These are reviewed quarterly, responding to changes in service. Our "Skills Centre" co-ordinate responses to the PTP, ensuring appropriate training is delivered ahead of time.

POP Consultants receive support from the PC/Ts ensuring they are confident and prepared for EPOP activities. They have a PGDP which identifies ongoing development needs and supports further career progression and employment.

Performance Management

Our staff are subject to our Performance Management Framework including annual appraisals, setting out individual performance objectives and reviewed 6-weekly. Where performance wavers, a recovery plan is agreed that could lead to disciplinary action, if necessary.

C) Communication

While our staff do not have a recognised Trade Union, our culture is underpinned by regular staff and volunteer communications, which include:

- Regular informal communications at all levels
- Regular scheduled team meetings at all levels
- Weekly newsletters
- Contract-specific updates from Project Leads, including EPOP
- Quarterly Colleague Update: CEO conducts team meetings ("Start/Stop/Continue") to facilitate improvement

POP Consultants have an Expert Panel which represents all staff with lived experience within SGW and is part of our governance with input into operational and strategic decision-making.

D) Inclusivity

We are an inclusive employer, and our services are most successful when we are embedded into the communities we support. We embed staff into social housing estates, prisons, probation offices, hospitals, police custody suites, schools and colleges. To be successful, we recruit staff who are comfortable and accepted by those who live and work in these communities.

We offer those with lived experience in these communities to engage with our Peer Advisor programme. This gives an accredited Level 3 qualification and an opportunity to gain invaluable work experience, which combine to enhance Peer Advisor's employability (A C&G Foundation report in 2018 found Peer Advisors were 3-times more likely to gain employment). We train up to 300 Peer Advisors annually, providing a large, professionally trained pool of potential staff from which to recruit, with whom we have an informed relationship.

We have a highly diverse staff make-up which reflects the wider communities in which we work and the composition of POP. This facilitates improved engagement.

We're a "supported-enterprise" and 30% of the workforce is disabled or disadvantaged. For information, we employ:

- 27% Minority Ethnic

- 17% Self-identified disabled

- 61% female staff

Staff attend regular Diversity & Unconscious Bias training and we have associated Staff Champions across all of our delivery centres. Our Black Lives Action Group provide advice and support to minority ethnic staff. TransAware present to us on gender issues and provide weekly support surgeries.

TC-005 - Implementation
Requirements

Providers are required to provide detail on how they will implement this contract, providing detail on all of the following areas at a National (HQ) and Regional basis as a minimum:
 	
   A) Explain how you will plan to ensure that the implementation of the Call-Off Contract will be successfully achieved without interruption to services, data or payments to staff and support services. This should outline your approach to ensuring that all critical implementation milestones, as per Call-Off Schedule 6.1 (Implementation) are completed by the dates specified.
 	
   B) Outline the approach you will take to working with the Customer and outgoing supplier to make the implementation successful and the required roles and responsibilities of both Parties, including TUPE requirements.
 	
   C) Please provide an <u>Implementation Plan</u> (in any format) to detail planned timescales and responsibilities to meet the Implementation milestones as per Call-Off Schedule 6.1 (Implementation).
 	
   D) <u>Please complete the template below</u> outlining the most critical identified Risks, Assumptions, Issues and Dependencies (RAID log) The completed template should identify the key challenges you expect to encounter whilst implementing the Services and how you will manage these to minimise the impact, including any critical activities post Call-Off Service Commencement.

Solution

A) Successful Implementation of the Call-Off Contract without Interruption

Team Mobilisation and Planning

SGW's project management techniques operate fully in accordance with MSP/PRINCE2 standards. Successful implementation will be achieved through our Implementation Team (IT), led by Implementation Manager (IM) **[REDACTED]** who sits on MOJ's Lived Experience Engagement Network & Peer Engagement Worker Advisory Group panels. **[REDACTED]**, SGW Director, will be Executive Sponsor.

The IT will include functional leads (HR/IT/Training/Communications/Finance), the Customer, PS regional/HQ staff, HMPSS' Staff, Probation Lived Experience Implementation Lead and incumbent supplier. They will work collaboratively to create a clear, agreed, owned, resourced and timebound Implementation and Transition Plan (ITP), including:

- Discussion and validation of Theory of Change outcomes.

- Revision of SGW's Engagement Maturity Model (EMM) and EPOP Intervention Catalogue (EIC) to address all outcomes.

- Development of outcome checklist to support Action Plans.

[REDACTED] will lead the team to agree effort required, building necessary resource levels to achieve each milestone. There will be a single national mobilisation plan, with individual plans for HQ and each Regional.

The project plan and RAID log are made available to all stakeholders for visibility of live progress. If a milestone is at risk, **[REDACTED]** will escalate this and our mitigation plan to the Customer immediately. Contingency has been built into all milestones (e.g., use of Transition Team; commencing recruitment now), withplans drawn up for risk points as required. Dependences will be clearly identified and then tracked through the RAID log.

Achieving Implementation Milestones

We have appointed an experienced Transition Team (TT) to mitigate the short implementation period:

- **[REDACTED]**: Manage TT; monitor and manage the ITP, providing monthly (minimum) status reports to Service Management Board.
- **[REDACTED]**: Developed EMM Theory of Change model.
- **[REDACTED]**: Peer Coordinator & Equity and Inclusion Lead. Previously 'Through-the-Gate' mentor, with lived experience.
- **[REDACTED]**: SGW Quality & Assurance Lead. Trainer/assessor with a Prison Officer background.
- **[REDACTED]**: Previous 'Through-the-Gate' mentor who ran previous SUI activities.
- **[REDACTED]**: Fully vetted, with City & Guilds Peer Evaluation qualifications.

This approach will achieve the key milestones:

IM1–Workforce

- Recruitment will continue at our risk immediately after tender submission – allowing time to recruit, train and vet before commencement.
- Transition Team already vetted to required level.
- Throughout contract we will remain vetting-compliant.

IM2–Workforce

- TT will deliver Transition Activities until new vetted recruits start.
- Induction training plan in place and will be delivered over Teams to mitigate Covid/travel.
- All training recorded for audit.
- EMM & EIC available for further development.

IM3–ICT1

- Devices ordered immediately on contract award.
- Stock of devices available as backup.

IM4–ICT2

- SGW familiar with Customer's Digital and Technology function through our 16-Personal Wellbeing/Women's contracts.
- We will provide staff details for proposed users.
- TT will be the first setup, as they are in post.
- Agree data sharing/NDAs.

IM5–ICT3

- SGW are Cyber Essentials Plus and ISO27001 certified.

IM6–EPOP-1 and IM7–EPOP-2

- TT will contact SPOCs, Customer National Roles, and others on receipt of contact details.
- Meetings held in person, preferably.
- Formal agendas will be prepared in advance (key contacts/current EPOP activity/review ITP and RAID).
- Summary report will be provided of meetings.

IM11–AP1 and IM12–AP2

- TT members will carry out activity until new staff are in post, ensuring we meet the milestones.
- SPOCs, Lived Experience Insights Roles, and Probation Lived Experience Implementation Lead will be involved.
- Follow steps 1-3 in our 5-stage EMM Implementation Plan (TC-002/3).
  - **1: Awareness:** Briefings for HQ and regional leaders.
  - **2: Initial Assessment:** carried out by local leaders with support of our Regional Leads.

- o **3: First Action Plan:** Baseline action planning will take place concurrently across regions with reference to the EIC for first phase 3-month action sprint. To be completed within 90-days.

B) Working with the Customer and Outgoing Supplier

Our approach is founded on visibility and openness. Live reports are made available (MS Project/Google Smartsheets) to share progress, issues, and risk mitigation.

The IT will include the Customer, SGW project team and PS staff, with the aim of developing a fully collaborative project, and with the outgoing supplier during mobilisation.

Key documents are:

- ITP plan (phased out once EMM sprint-cycle live)
- RAID & RACI
- Regional EMM assessments
- Summary EMM status report for regions showing risks/issues
- Regional Action & Approved Premises Plans

Kick-off meeting to be convened before December 2021 covering introductions, agenda agreement, expectations definition, and ways of working.

We will:

- Build on established PS communication channels in regions where we have a strong footprint (e.g., we deliver 16-Personal Wellbeing/Women's Services through the Dynamic Framework and have NPS/PCC-commissioned services in 10 NPS regions).
- Leverage existing networks to establish senior leadership relationships in other Regions/HQ. Maria leveraging her MOJ Lived Experience Engagement Network.

As per the IT we are not aware of any TUPE obligations, however, we have a mature and experienced TUPE management process if needed.

Summary Expectations, Roles & Responsibilities

A full RACI will be agreed in mobilisation.

Customer	SGW
Provide SGW with clear reporting structures and contact information	To have contingency plans ready to ensure effective service delivery at

(HQ/Regional).	Commencement which include seconding resource from other regions. Where a contingency plan is necessary, the IM will inform the Customer.
Engage collaboratively with the IT and ensure Regional staff do the same.	Form TT to deliver Mobilisation activities until new recruits in place.
Support mapping of contract outcomes and the development of the EMM and EIC with feedback and validation.	Assist Customer to avoid delays with proactive suggestions and support.
Help address issues and blockages in a supportive way.	Provide plans to mitigate delays to achieve milestones.
Help establish local ways of working with PS leads where these are not already in place.	Meet Customer's Mobilisation Manager weekly during implementation.
Provide timely information and ensure HQ, AP and regional staff are available to keep ITP timeline intact.	Consult staff and agree TUPE arrangements.
We expect the Incumbent Supplier UserVoice and/or Customer to provide timely and accurate information regarding TUPE and transferring staff to assist in planning	

IM-001 Implementation Plan
Please enter or embed your implementation plan here:

Our draft ITP has been written in MS Project and is attached as an A3 PDF. We assume the time from contract award to commencement will be maintained but note that the plan may have to be adjusted if not. MS Project file available if required.

EPOP_TC-005_Gantt
Chart_SGW v1.2.pdf

Please complete the table below, you may add extra lines to the table if needed, you are also not expected to use every line

<u>Risks</u>	<u>Rating</u>
Risk: Potential disruption to mobilisation and delivery caused by Covid-19. **Action:** Covid-19 risk assessment applied to all activity, in line with Government guidance, incl. social distancing, PPE, homeworking, and virtual delivery risk mitigations.	Medium
Risk: Slippage against any agreed Implementation Plan milestones and timelines. **Action**: Regular implementation plan progress reviews, with contingency action and resource prioritised on any slippage areas to bring progress rapidly back on plan. Open book reporting with the Customer on any material slippages to ensure full visibility and collaboration in ensuring mobilisation solutions.	Medium
Risk: Regional Probation Staff have heavy workloads which may prevent proactive involvement. **Action**: Structure interventions and activities in bitesize approaches and append our interventions to existing activities where possible.	Medium
Risk: Recognising that EPOP is predominantly a top-down initiative, engagement at a Regional level may be varied. **Action**: Identify and publicise quick wins. Work with SPOCs, Staff and Service User Engagement Lead, and other National/Regional roles to drive culture change.	Medium
Risk: Unplanned expenditure outside of programme budget / financial assumptions. **Action:** Robust spending controls and approvals process to validate all spend, formal monthly financial reporting, modest risk premium built in to cover unforeseen costs.	Medium
Risk: New recruits are not in post in time for Commencement Date. **Action:** We have already formed a Transition Team who will deliver the Transition Activities until new recruits are in place.	Low
Risks: Staff have not received mandatory ICT training (data protection, Cyber Security etc.). **Action**: Involving experienced ICT team in all aspects of mobilisation; adaption of existing CRM platform; and use of standard	Low

embedded training for system access.	
Risk: Probation Staff do not have sufficient time to support or engage with EPOP activities. **Action:** Proactive communication with Regional staff and HQ. Providing flexible opportunities for engagement (e.g. pre-recorded info, remote meetings, speaking slots at existing team meetings).	Low
Risk: We can attract, recruit, retain c. 50 x Peer Consultants. **Action:** Start recruitment immediately on tender submission at our risk. Draw on our established Peer Advisor Network and national alumni network.	Low
Risk: Large regional differences, cultural and geographical challenges, differing cultures internally and externally. **Action**: Mitigate through adaptable Engagement Maturity Model (EMM) and interventions toolkit which can be adjusted for local needs and maturity level.	Low

Assumptions	**Rating**
Assumption: No slippage in Customer's published timeframe from award of contract to service commencement. High because implementation timeline is tight. **Action:** Investment and capability readiness (e.g. deploying additional set-up staff) to accelerate implementation strategy into a shorter timeframe. Contingency built into all milestones. Transition Team already identified and in place.	High
Assumption: Vetting/re-vetting in line with BPSS standards takes less than 2 months. **Action**: Start as soon as possible. Transition Team will support delivery until new recruits in post.	Medium
Assumption: Actual mobilisation costs are in line with financial model assumptions. **Action:** Securing supplier quotes fixed throughout the mobilisation window. Continuous review of variable costs/inflation with budget adjustments to compensate if needed.	Medium
Assumption: No TUPE applies and all roles can be recruited fresh. No undue delays from incumbent UserVoice staff. **Action**: Re-confirm accuracy of data with Customer. Active liaison and involvement with relevant Unions (if necessary).	Medium

Assumption: Service User risk information is accurate / complete. **Action:** Continuous review with Customer and Service Users to minimise exposure to unforeseen high-risk situations, with staff training on how to manage such situations.	Medium
Assumption: Customer Approved System is available prior to the Commencement Date, and securely available over the Internet. **Action**: Continuous readiness liaison with Customer's Digital & Technology Team (e.g. facilitating access to OASys and nDelius). Developing alternative systems, including back-stop manual data sharing systems, to cope with any availability gap.	Medium
Assumption: Regional Senior Management Teams have fully bought into the aims of the EPOP contract. Without buy-in, model will support. **Action**: Project Lead to engage at senior level with SMT. Raise concerns with Customer during mobilisation.	Low

Issues	**Rating**
No Issues which have a current impact have been identified (issues with a potential future impact we have categorised as Risks).	N/A

Dependencies	**Rating**
Dependency: Dependency on HQ/Regional staff to engage with our team in sufficient time to meet implementation milestones, knowing that Christmas Break potentially affects two weeks of already tight mobilisation period. **Action:** Set meetings up immediately following Commencement Date and arrange dates before Christmas Break.	Medium
Dependency: Dependency on motivation of Probation Staff to engage with our team, especially in achievement of IM11 – AP1 and IM12 – AP2 (Assess and develop EPOP Action Plans). **Action:** Development of pro-active and positive relationships with staff. Demonstration we understand their challenges (as a delivery organisation of existing contracts).	Medium

Dependency: Dependency on HMPPS to have Mobilisation Manager, National Contract Manager, and the National Lived Experience Implementation Lead in post, suitably qualified and ready to engage with us at contract signature. **Action:** Engage proactively with HMPPS during standstill period to asses situation and update mobilisation plan accordingly.	Low
Dependency: Dependency on each region to have their SPOCs (12 in total) in post when needed to support implementation including any Proof-Of-Concept areas, aligned to the implementation plan. **Action:** Engage proactively on contract award and seek alternative key project sponsors as required.	Low
Dependency: Dependency on People on Probation to engage with EPOP activities. **Action:** As a lived experience organisation, SGW is equipped to motivate POP to engage. Our involvement of paid Peer Consultants demonstrates an authentic approach which shows POP that investment in people with lived experience is being made.	Low
Dependency: Dependency of HQ/Regional Communications teams to promote and publicise the EPOP activities – inspiring others and sharing good practise. **Action**: Agree calendar of communication in advance and provide information in timely manner.	Low
Further Comments	
The RAID log will be a "live" document throughout Mobilisation and will form the basis for strategic and operational decision-making. It is currently a snapshot of headline risks, assumptions, issues and dependencies and will be formalised on contract award, updated throughout the implementation and transition period and reviewed at weekly implementation meetings, where it will be a standing agenda item. The Log will be used to assess risk of interruption to services during implementation and the transition period. To date we have not identified any critical Risks and so have populated with Medium & Low for completeness. We will propose a more comprehensive RAID in mobilisation to include likelihood and weighted scoring.	