

SCHEDULE GB: CONTRACTORS TENDER INCLUDING BUDGET PROFILE AND CLARIFICATIONS, PARTICIPANT THROUGHPUT PROFILE AND FINANCIAL PROFILE

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	Supplier		
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		
Record Label	Type of Insurance	Company	Sums Insured
1	Employers Liability		£
2	Public Liability		£
3	Professional Indemnity		£
4	Products Liability		£
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 7 East of England

*****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

East of England NOMS throughput requirement, July-2015: 66 enrolments

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 management of 2770 referrals in month one, and an average 1500 monthly throughput thereafter, whilst consistently being highest performing prime-provider in London. Using tried-and-tested PRINCE2 project management methodology, our NOMS mobilisation strategy involves:

Clear leadership: Oversight from ST's Justice Director, [REDACTED] who has led bid production and will provide continuity and drive forward key bid principles throughout implementation. Our in-house Programme Management Office (PMO), with ownership of a transparent 'live' Project Initiation Document (PID), will support him. Work streams will be managed according to the PID, including an implementation plan mapping-out interdependencies between work streams 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 Justice Director, redefining activity to address slippage.

A dedicated multidisciplinary implementation team convening at least weekly, accountable for respective work streams, 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 - ST and supply-chain staff (which include existing supply-chain partners already engaged in other ST contracts) will be in-place across 6 custodial and all community premises by July-2015 (within an initial lighter caseload) following a comprehensive on-boarding programme, covering induction, IT, Information Security, H&S, site visits, tools training e.g. Outcomes StarTM, 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 subcontracted) are subject to Enhanced DBS vetting and HMP clearance. Our internal vetting management process mirrors requirements of the relevant Prison-Service-Instruction (PSI 07/2014).

Our HR Service Centre will manage all staff vetting processes; with all paperwork (including subcontractors) returned by managers/subcontractors prior to approval of an individual to work on contract delivery. Misrepresentation/failure-to-disclose material facts e.g. criminal records will constitute grounds for refusal/withdrawal of clearance/authorisation.

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

Shaw Trust complies with the Disclosures Code of Practice regarding correct management of disclosures and documentation and 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 to ensure compliance and that any renewals/changes to circumstances/staffing/responsibilities are managed effectively.

We'll make information available to NOMS upon request within 5-working days via a vetting and compliance SPOC (Single-point-of-contact) within 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 DWP Work Programme and Work Choice contracts, Shaw Trust (ST) understands the paramount importance of robust information security life-cycles 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 (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 in 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);
- 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 (CDC) and following award of Work Programme and Work Choice contracts in London and the South West. We have successfully transferred 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:

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;

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.

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.

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 to meet its mission to help 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 (£ 7 years) and 12 major sub-contracts (value £). 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 experience to develop robust financial controls and sound budgeting and monitoring processes. These contracts also provide complementary services, resources and infrastructure which enhance our offer to NOMS participants. Our capacity is further strengthened through our national network of 50 social enterprises and retail shops offering work placements.

We complement our delivery with a robust supply-chain comprising partners similarly capable of supporting such contracts, e.g. CRI's turnover of £ (2012/13) was a % increase on the previous year. To enable inclusion of smaller specialist organisations we provide additional support, e.g. we are not charging a management-fee for organisations supporting some of our NOMS hard-to-help sub-groups and also providing an enhanced unit-fee.

During our history we have established a strong balance-sheet position, with no borrowing, building total UK free-reserves of £ (31-March-2013) of which £ relate to cash and short-term investments. These reserves help to fund new contracts; specifically for NOMS these will underwrite cash-flow requirements and allow us to meet our commitment to forego our usual required surpluses for any new contract in order to enable enhanced delivery to NOMS participants.

*****Finance and Compliance*****

Please complete the Budget Profile Template and submit as a separate attachment via the adjacent paperclip icon. Complete all budget lines relevant to your delivery model, ensuring that any elements of profit are captured within the 'Operating Margin' line only and do not appear either wholly or proportionately within any other budget line. [Please note that whilst the completed template is not scored as a standalone item, the following 4 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

08. Outline your intended approach to profiling costs, including your rationale for any imbalance between payment by results and core cost elements across the lifetime of contract and how you will ensure that these do not exceed permitted values by the end of the Contract Period.

[350 words]

Shaw Trust Ltd

Shaw Trust's approach to profiling is informed by our DWP-funded prime and subcontracts totalling £ , which comprise payment-by-results and service fee elements. The NOMS model funds % upfront core delivery costs, a further % as payment-by-results; with the remainder covering Discretionary Access and Development Funds. . Shaw Trust will fund such cash requirements through its resources/reserves (£). Subsequent months show positive surpluses, which by contract-end

balance out to █% (lower than our typical operating margin of █%). However, Shaw Trust is committed to investing to provide an enhanced NOMS service delivery model.

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 █% 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 funds similar to DAF, and to date has distributed circa £█m nationally to subcontractors, supported businesses and host employers to cover training costs, support or wage subsidies for 3,591 Work Choice participants. Through this experience we've 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 by:

[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 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. [REDACTED]

[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.

The Management Accountant will calculate hourly rates for each staff member 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. 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 - £[REDACTED] in 2012/13 to foster additional in-work support for Work Choice participants facing a range of disabilities/health conditions.

Nationally, 18,310 people (39.7% of enrolments) have found employment since 2010 through these contracts.

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

Shaw Trust is funding, from reserves and other activities/contracts, circa £[REDACTED]k ([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 remaining costs included in the NOMS budget template.

Similarly we have significantly reduced our 'normal expected' operating margin from [REDACTED]% to [REDACTED]%. We are maximising the amount of NOMS funding allocated for direct delivery to NOMS participants by:

Increasing the number of Case Managers so that maximum caseloads do not exceed 44 participants per Case Manager for the general cohort, [REDACTED] for additional ECA groups 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.

[REDACTED]

An enriched supply-chain through a competitive management-fee ranging from [REDACTED]% (harder-to-help groups) to [REDACTED]% (lower than DWP [REDACTED]% 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] 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 government-approved IT systems and procedures e.g. The Provider Referral and Payments System (DWP).

Awareness raising – Before providing CATS access, all Shaw Trust/Subcontractor staff will undergo mandatory SyOps training to sit alongside our existing mandatory Information Security modules. This will incorporate all elements of SyOps, translated into digestible procedures and guidance, culminating in an assessment measuring/assuring participant understanding.

Post-training staff will complete and sign:

- An Acceptable Use Policy (AUP) that defines acceptable behaviour by business function; types of information protected and why; procedures for reporting security incidents and consequences of non-compliance.
- Forms A1 (NOMS-Data Usage Agreement), A2 (CATS–System Operating Procedures) and B1 (Incident Management Procedure). The signed forms will be retained and will be available to the Authority on request.
- CATS account permissions will not be requested for prospective users unless we have received all relevant documentation including signed permissions, signed declarations and have a record of successful individual completion of training modules.

Ongoing SyOps compliance monitoring:

- Line managers will measure and monitor compliance during monthly reviews of staff KPIs.
- Supply chain management will ensure subcontractors comply and their staff are approved/authorised for CATS.
- Annual SyOps training and resubmissions of signed AUPs will help to minimise security breaches.
- Line managers 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 partner/sub-contractor extranet.

During implementation, operational and HR management will develop, then implement and manage a reporting protocol for line managers and subcontractors to notify a ST Single-Point-of-Contact (SPOC) by email within 2-working days of a staff member ceasing to require a CATS account; The SPOC will subsequently notify the Authority 2-working days following receipt of this notification.

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

We will ensure appropriate targeting at those who will receive maximum benefit through:

- Clear communication of suitability criteria – during mobilisation and delivery we will ensure that all stakeholders (custody and community) are fully aware of the eligibility criteria for NOMS-CFO-R3 and of the priority participants, ECA Stakeholder/Level Focus and Hard-to Help sub groups. This includes joint-planning to profile cohorts/participants.
- 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 organisations rationale for the referral, and supports our Case Managers to focus subsequent checks.
- Initial checks to ensure participants meet ESF General Eligibility Criteria(G7.1 in Schedule G) and Target Groups – Entire Cohort(G7.3), including unskilled, de-motivated offenders who are not currently able to access mainstream provision. These 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 whether they are part of the General Cohort, ECA Level Focus cohort(i.e.those facing reintegration/Sex Offenders/Ex-Armed Forces) or in one of the hard-to-help sub-groups(i.e.Lifers/Personality Disordered offenders/ex-armed forces/Sex Offenders/female offenders with multiple needs) – 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, Case Managers will take an informed view regarding whether participants are benefitting adequately from NOMS-CFO provision, are 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.

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/CRI's housing offer, developed by our experienced offender-housing consultant, recognises combining effective housing-related support and advice(HRSA) with well-sequenced access to appropriate, sustainable housing.

To achieve this - and as part of our value add - we will employ an expert Housing Support Coordinator(HSC), building strategic links and advising in complex cases.

CM-delivered Participant Support:

- Prioritise housing needs at assessment - maximizing lead-in time, particularly for short-sentence/repeat offenders, who are more likely to be homeless on release;
- Undertake person-centred planning, incorporating Outcome Star™ reviews, and deliver activities under core activity to build housing sustainment skills and improve self-efficacy and social inclusion;
- Full multi-agency appraisal - liaising with Personal Sponsor, CRC/NPS, family support provider, Ormiston Families, to identify whether a return home is appropriate, assess options and arrange required transition and support;
- Referral to accommodation – we have secured commitment from [REDACTED] in East of England, selected for their knowledge of specialist resettlement and social inclusion needs. [REDACTED]

HSC Liaison

- Develop clear protocols with prisons, CRCs/NPS and Integrated Offender Management teams to complement statutory stakeholder activity and deliver maximum value-for-money.
- Clearly defined 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 the CRCs, Regional Housing Boards and Local Strategic and Enterprise Partnerships, e.g. National Federation of Housing Forum, Homeless Link, Norfolk Housing Alliance, Sitra.

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 structured treatment services in Ipswich and Peterborough.

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 to help offenders manage their behaviour and 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 Home Group's 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 East of England – by using an Asset-Based Community Development approach, e.g. DIP, Community Drug and Alcohol Teams, Assertive Outreach Teams, DAATs, MIND, 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.
- CRI Peer Mentors with recovery experience – 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

Shaw Trust/CRI/SOVA and Home Group have extensive experience of working with family/community networks to support participants on our existing programmes - Wize-Up Project (Thurrock); Family Intervention Project (Norfolk) and Women's Family and Criminal Court support.

We propose to ring-fence and invest in added value activities including targeted funding to shape enhanced family support offered to participants.

Support will include:

- Linking with existing Whole Family services – Our caseload model facilitates enhanced time for joint planning with Family Intervention Teams and family resettlement teams. In-community we will ensure warm handovers with statutory provision i.e. - Troubled Families and link with existing ‘wrap around’ voluntary sector support across the ECA - Anglia Care Trust/RFEA/Home Start/Break.
- Delivery from our Specialist Partner Ormiston Families (OF) – OF will offer a menu of family support interventions that add value/address gaps in provision:
 - i. Storybook Dad's
 - ii. In-Cell Parenting Programme
 - iii. Breaking Barriers - holistic support for children and families affected by incarceration
 - iv. Family support+ - programme supporting families of sex offenders dealing with specific issues/stigma
 - v. The Perpetrator Programme – 26-week rolling programme for high-risk perpetrators of partner/spousal violence;
- Shaw Trust and CRI’s ‘Personal Sponsor’ Programme — Participants will be encouraged to nominate a responsible Personal Sponsor (PS), typically a family member/guardian who will be invited to join support sessions/meetings/appointments and provide additional mentoring/advocacy and encouragement.

Our ‘Personal Sponsor Development Programme’ delivered by Shaw Trust and CRI, will include parenting classes, volunteering and employability support.

- Joint-planning within Visitor Centres (VC) – We have agreement to work within the VCs to help facilitate PS/family engagement. We will provide advice and guidance for visitors on a range of issues and support referral routes. We will support a range of additional activities including, whole family induction visits/pre-release clinics/preparing families for the impacts of incarceration/release and encourage family forums to support inclusion.
- Co-location at Community Offices to improve community networks and wider social inclusion – Our community outreach delivery will take place at our 6-Community offices, satellite offices and appropriate co-located delivery venues across the ECA - Health Centres/CRC offices/VCS delivery sites/Faith based venues - facilitating stronger community networks and wider social inclusion.

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 and CRI have designed a ‘typical’ journey based on a principled approach to achieving social inclusion for hard-to-help individuals. It is flexible and can be adapted based on assessment.

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

The typical journey includes FOUR OVERLAPPING PHASES:

1) CONNECT:

[REDACTED]

2) STABILISE:

[REDACTED]

3) CHANGE:

[REDACTED]

[REDACTED]

4) SUSTAIN:

[REDACTED]

• [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

We have held extensive discussions with shortlisted Prisons, the Regional Learning & Skills Lead, Heads of RR, CRCs/NPS to shape and inform our delivery approach. Through these discussions it was evident that there is significant need for enhanced and intensive support in two key areas; including a joined up approach for TtG continuity.

1. An extensive Independent living/life skills programme: Delivered in-custody, TtG and in the community for the male hard-to-help groups. With our supply-chain-partners, we will deliver additional targeted and intensive support/interventions, aligned to accredited independent life/living skills ie;(emotional intelligence training/developing appropriate relationships/preparing meals/weekly budgeting) wrapped around other specialist support.
2. Intensive 1-2-1, accredited, mentoring support: in-custody (where possible/appropriate) and TtG into the community, for all 5 hard-to-help groups; focussing on providing positive targeted support/interventions, re-enforcing positive behaviours, sequenced with existing/current provision and facilitating referrals, access and attendance to/on appropriate services/programmes.

For each hard-to-help group:

Lifers: We will deliver tailored, provision for Lifers preparing for release in all shortlisted establishments. Provision will continue TtG ensuring continuity of support within the community and offered to eligible lifers transferred into the ECA.

Personality Disorders: Our discussions with the prisons(Wayland/Warren Hill) and Rachel Wilson(NOMS PD) highlighted a significant gap in the provision of peer mentoring, life-skills support and provision of a resettlement service TtG linked to the PD-Health Pathway providing a social-inclusion wraparound. We will develop and deliver services in partnership with HMP/NHS staff, co-locating activity ensuring consistency/collaboration and supporting the development/delivery of activity/support TtG matching participants personalities to the pro-social context and developing a safe living environment for the participant/their family/community and safe working for staff.

Ex Armed Forces: There are ex-armed forces offenders in each prison. We will coordinate activity in custody in partnership with each establishment's VICS-Officer and manage TtG/community provision/referrals alongside our specialist partners RFEA/RBLI/SSAFA/Ormiston Families.

Female Offenders(Peterborough): An identified gap suggested by research and our discussions is that many female offenders aren't in custody long enough to access available services. Our specialist Female-subcontractor Home Group will deliver specific personalised support in custody, TtG and in the community to address the specific needs identified in the specification for this group.

Sex Offenders(Littlehey/Bure): Establishments indicated a requirement for intensive 1-2-1 and peer mentoring support; independent living and life-skills; engaging offenders in existing provision and promoting the development of a life-plan. A particular need was identified for Transgender/Transsexual offenders, which will be addressed through specific counselling, mentoring and self-presentation support.

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 gaps that exist between participants and mainstream services.

This includes:

- Stabilising the participant – by removing immediate barriers that are preventing their engagement, such as drug/alcohol dependency, homelessness, or 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 both Case Managers and our extensive network of approved regional 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:

- LEPs Employment and Skills commissioned 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 each LEP so that this progression will be supported and joined-up, with information sharing on assessments and progress to date.
- CRC provision (run by Sodexo) – e.g. housing support. We have gained agreement for co-location at CRC premises (in principle) to maximise accessibility of progression routes into CRC provision. We will also work closely with the CRC's local supply chain partners to facilitate smooth, seamless progression routes for the participant that will not feel like daunting exits from the programme.
- Work Programme (run by Ingeus and Seetec) – We will offer enhanced progression routes onto Work Programme provision in East of England, including rapid referrals, three-way handover meetings with Job Advisors, and continuity of support from a Shaw Trust Jobseeker Support Volunteer across both NOMS CFO and Work Programme provision.

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

The Shaw Trust/CRI Alliance has significant experience of successful contract mobilisation for complex, multi-stakeholder contracts, ie mobilising 16 ST Work Choice contracts within 5 months.

For NOMS CFO R3, we will adapt our established implementation, transition and engagement strategies to manage stakeholder expectations and ensure a smooth transition from Round 2 to Round 3.

Potential stakeholders this may affect across East of England include: Prisons/NPS/CRCs/IOM units/PCCs/LEPs/CSPs/Safer Neighbourhood Boards and Work Programme providers.

We will manage expectations and smooth transition by:

- Sharing Engagement Plans setting out: why we are engaging; key differences in Round 3 delivery; what information we need to share on an ongoing basis; how often we communicate; what referral mechanisms need to be set up; our criteria for successful joint-working - measurable through impact on local priority target areas, reputation with the stakeholders 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.
- We will liaise with DDCs 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). This will provide a formal route for partnership discussion of key operational issues, jointly manage key stakeholder relationships, and report into local governance that may include Local Criminal Justice Boards and Community Safety Partnerships.
- Conducting early Delivery Review Consultations amongst stakeholders on a quarterly basis for the first 12 months (then annually).
- Working closely with TR provider Sodexo for the simultaneous implementation of NOMS CFO and TR provision - minimising disruption.

Carrying out comprehensive planning with current NOMS CFO Round 2 provider, Serco and CRCs to establish how we can minimise disruption for offenders and any other stakeholders that are dependent on the 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 – community-based Case Managers will attend pre-release meetings to meet participants, share information, and book a first appointment. Meetings will include Mentors and Personal Sponsors to ensure the full support network is plugged into future plans.
- Shared planning and plugging gaps in existing through-the-gate support – We will liaise with CRCs/NPS to understand their planned support and agree to support any gaps. For example, our Mentor meeting participants at the gate and accompanying them to first appointments.
- Ensuring engagement at the earliest opportunity post-release – We have agreed that we can co-locate at NPS/CRC premises and will hold first appointments with participants directly after their initial NPS/CRC appointment.
- Mirroring provision – Subcontractors and several delivery partners currently deliver both in and out of custody, such as RFEA to support Ex-Armed Forces and Home Group supporting female sex workers/victims of domestic abuse, to ensure continued access and relationships in community.

We will continue to maintain relationships with community-based participants by:

- Providing extensive service access points resulting from full geographical coverage – We will operate from 6 regional Hubs, co-location sites, and urban/rural community settings to facilitate a peripatetic delivery from a flexible workforce.
- Enabling access to several services at once at Community Hubs – We will encourage co-location from local resettlement organisations encompassing: money/debt/benefits advice/health and wellbeing/counselling services/faith based support. Hubs will extend opening hours for flexible appointment times.
- Mentors supporting community engagement – trained and coordinated by CRI and SOVA, accompanying participants to appointments to encourage better attendance and engagement.
- Involving family in support to increase sustainability – supported by our delivery partners Ormiston Families and Home Group to foster positive influences at home and conduct home visits that help participants maintain engagement.

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 a number of approaches to inform what works, helping us make appropriate internal and supply chain changes.

To be people-centred is a core organisational value and NOMS Commissioning Intentions ensure that the participants experience support organisational development and continual improvement of services and outcomes.

We will:

- Meet NOMS CFO minimum requirements - Case Managers will diarise initial participant feedback interviews using NOMS CFO structure/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) enables 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 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 participant feedback.
- Monitor our feedback process through KPIs, e.g. 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 approach to CFO-delivery has been discussed and agreed with John Algar, Regional, Learning & Skills ECA Lead.

In Custody, delivery will take place at the following establishments:

- Hollesley Bay – delivery will be provided at this location, in custody and in community, until it is merged with Warren Hill.
- Females: There is extensive support for females at HMP Peterborough; therefore we anticipate 30% of delivery to take place in custody and 70% in the community.
- Sex Offenders: Hard to Help Sub Project. We will support this cohort in custody and community working closely with HMPs Bure and Littlehey.
- Personality Disorders: Hard to Help Sub Project. In Custody delivery will only be provided at Warren Hill and Wayland to complement/add value to existing PIPE provision/activities and link directly to services in the community.
- Ex-Armed Forces/Lifers/Older Offenders/Long Sentenced – support will be delivered to all these priority cohorts in custody and community.

As a result of a refined targeted cohort, where “gaps” in provision materialise, our Partnership and Operations Teams will work with HMP/CRC/NPS staff and the incumbent CFO provider, to support the sourcing of alternative provision to avoid duplication.

Our approach to managing ongoing expectations with each establishment includes:

- Taking account of local priorities
- Keeping them up-to-date on delivery developments - including advance notification of changes;
- Sharing insight on addressing provision gaps and ensuring consistency.

This will be supported by targeted communications to inform counterparts about arrangements at their site, as well as by comprehensive engagement training for our delivery staff.

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

Our alliance builds upon our existing links with prisons, NPS, CRCs and other stakeholders ensuring an integrated approach to achieving social inclusion through consultation on service targeting, alignment and sequencing.

We recognise that changing NOMS focus from ‘employment’ to ‘social inclusion’ will impact on the expectations of stakeholders, participants and individuals, requiring a change of arrangements for some stakeholders, in particular providing much more focus on supporting participants to manage the multiplicity of issues they face in rehabilitating and re-integrating into society as opposed to focussing on employment barriers. Our approach to managing expectations will be through our Partnership and Operations teams:

- Capturing and managing expectations of senior staff within prison establishments and other bodies. Including identifying where the change in focus has the greatest impact, e.g. Family Intervention Teams/Resettlement Units/etc.
- Implementing Transition Plans with each stakeholder covering:
 - i. The practical effects of the change in focus
 - ii. Any direct impact that has on operations, e.g. KPIs/employment targets/etc
 - iii. How risks arising from the change can be mitigated
 - iv. How current stakeholder referral arrangements with NOMS-CFO provision are impacted/affected
 - v. What gaps in provision remain and how we can work together to fill them.
- Preparation by mapping the differences between our solution and legacy NOMS CFO activity, including engagement with the incumbent provider, Serco (where possible).
- Production of guidelines and marketing material to inform all stakeholders/subcontractors/interested parties about the new/changed aims of NOMS CFO R3, as well as delivery staff training interventions/materials to ensure understanding and provide consistency of messaging.

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

Broadly, we will work to ensure referrals are appropriate through a process of informing, consulting, involving, listening and responding to stakeholders, ensuring our provision is properly understood and only offered to those for whom it is intended.

We will manage inappropriate referrals by:

- Aspiring to an IOM model: working in partnership with key stakeholders (e.g. Offender Management Units/A4e - OLASS provider) to ensure our activities contribute to, and are informed by, core custodial offender management activities including sentence and resettlement planning;
- Clarification for referring parties: Ensuring the suite of support available to offenders across the region is clear, and to enable informed sequencing. Inappropriate referrals will be analysed in partnership with the referring party;
- Proactive communication with stakeholders: All programme staff (including sub-contractors) will be empowered with clear messages to ensure awareness of contract objectives (including the change in focus to social inclusion) amongst stakeholders.
- Supported onward referral: Using our knowledge of the regional provision landscape, and in coordination with other stakeholders as required. This may include referrals to OLASS provision; family interventions; substance misuse interventions; Work Programme; housing support; other mainstream services across the regional network;
- Outcome Star™ will support Case Managers review of information contained in existing assessments that may be out-of-date or incomplete, enabling the identification of inappropriate referrals prior to engagement 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.

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/CRI/SOVA and Home Group all bring a track record of criminal justice expertise to ensure compliance and risk contingencies are in place.

Our Partnership Managers are currently establishing relationships with relevant Senior Management Teams in NPS/CRCs in the East of England ECA to enable:

- Clear communication of the priority NOMS-CFO priority cohorts (including harder-to-help groups) and our provision/services available to inform referrals.
- Shared understanding of eligibility for the NOMS/ESF programme with supporting protocols for referrals

- Assessment and shared planning of information to ensure activity does not interfere/conflict with sentence requirements
- Agreed approach to through-the-gate work, seamlessly supporting resettlement as agreed at the resettlement prison
- Potential co-location, particularly for offenders on IOM programmes
- Support with cohort planning across custodial/community services
- Protocols for managing risk, with clear routes for notifying NPS/CRC of suspected changes in risk status;
- Strategic work to establish agreements related to shared staff training and staff collaboration
- An understanding of respective supply chains to reduce duplication
- Quarterly meetings to ensure we maximise what each prison/community service has to offer
- Governance steering group model
- Share collected data on offenders' needs to support future activities and service developments.
- Use of MI.

We will produce an operating manual for NOMS CFO delivery staff regarding NPS/CRC priorities, ensuring that staff understand roles in working with individual offender managers and have clarity about reporting routes and responsibilities for risk issues and notification of change in risk status.

Through our strategic and operational relationships with the NPS/CRCs we will ensure that we share consistent messages with offenders, work closely with the Offender Management Unit when in prisons and feature appropriately within the offender management team supporting individuals.

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

In the East of England, Shaw Trust has engaged with all LEPs to understand the highlighted regional priorities, which inform the planned commissioned services for ESF 2014-2020. Our Policy and Research team, together with our Partnership Manager, will continue to engage with the five LEPs: South East (Essex); New Anglia (NA); Greater Cambridge/Greater Peterborough (GCGP); Hertfordshire and South East Midlands (Bedfordshire).

Discussions encompass our plans as a potential NOMS provider; identify how the NOMS CFO programme supports LEPs' planned commissioning activities and how suitable progression routes for participants could be facilitated. Our partnership and operational management teams will agree an ongoing engagement strategy, and through sharing planned activities, will capture areas that could add value to our delivery and potentially utilise the Development Fund to enhance LEP priorities.

Our informed strategy for continuing engagement with LEPs includes:

- Raising awareness – Our Marketing and Communications department ensure the LEP has available concise and accurate information on: the overall programme objective of social inclusion; our detailed provision/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.

- Referrals to appropriate LEP-led activity – During implementation, our Partnership team will work with LEP services to design referral processes into LEP-led activity, ensuring clarity of eligibility and scope of provision for Case Managers. Research into each LEP has highlighted that improving the transport/travel infrastructures, building new homes and improving skills (up-skilling) are common themes and areas of focus. Shaw Trust will prioritise the vocational training offered to participants in order to support the LEPs growth plans with a workforce who has the skills that are needed in the local labour market.
- Avoiding duplication – We will ensure that where there is sufficient capacity on existing LEP programmes for a participant's next step/progression, they can exit NOMS CFO delivery through a referral onto that LEP provision for example onto the GCGP Skills Service, the SE/NA Training and Apprenticeships in Construction (TrAC) Agency etc. To further avoid duplication, we will seek LEP representation on our Governance Steering Group and attend LEP working groups to ensure information sharing.
- Through our LEP engagement strategy we will be in a position to jointly identify any gaps that could be supported through the use of the NOMS CFO Development Fund.

*****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

In collaboration with end-to-end subcontractors and spot-purchase organisations, our Finance Team have developed a considered resource plan to ensure:

- Appropriate support to meet individual participant needs and achieve target outcomes;
- Capacity to accommodate anticipated monthly participant volumes;
- Flexible staffing resource and premises, scalable to meet indicative volume throughput;
- Meaningful volume allocations in line Schedule-P Market Stewardship Principles;
- Maintenance of participant volumes within permitted levels throughout the contract term.

Our general cohort resource plan involves:

- Shaw Trust (ST) and CRI, our Alliance partner, directly delivering an indicative 38.5% of the total contract value each. Our internal resources for this will comprise 10 Full Time Equivalent (FTE)

Case Managers (CMs) delivering end-to-end case management of male offenders, mentoring and peer mentoring. A Maximum Caseload Ratio (MCR) of CMs to participant of 1:44 will be applied.

- Subcontracted delivery through Home Group (HG) equating to an indicative 11% of the total contract value. HG's resource plan comprises 4 FTE CMs delivering end-to-end case management of female offenders in HMP Peterborough and across the ECA community. MCR of 1:33 in community and 1:42 in custody will be applied.

Our ring fenced elements resource plan for the hard-to-help groups and participants identified for additional focus, mirrors the General Cohort resource allocation, providing additional resource for enhanced case-management activity and more specific spot-purchase interventions as necessary.

The enhanced end-to-end case-management will have an indicative ring-fenced CM resource for ST/CRI of 1.7 FTE CMs with an additional 0.6 FTE CMs for Home Group. The enhanced MCR for ST/CRI will be 1:31 and Home Group will ensure suitably intensive support with an MCR of 1:33.

All support for NEETs will be managed by ST/CRI and we have ring-fenced an indicative resource of 2.6 FTE CMs. The MCR for NEETs will be 1:35.

We have allocated funds to commission/spot-purchase additional services to support the hard-to-help participants and NEETs. It includes support supplemented by a range of spot purchase interventions from ie:

- Lifers: Home Group's Independent Living & Life-skills / Beyond Youth CIC / CRI Mentoring
- Personality Disorders: Langley Housing Trust / Anglia Care Trust
- Ex-Armed Forces: RFEA/RBLI/Joint Forces Training/SSAFA/Ormiston Families
- Vulnerable Women: Women's Centres (Stepping Stones, Luton)/Dawn Project, Cambridge
- Sex Offenders: Langley Housing Trust / Circles / Learning Works (East Anglia) Life-skills / CRI Mentoring
- NEETs: Genius Within / SOVA

Delivery will be further enhanced by individualised support from peer mentors provided by CRI/HG and Volunteers provided by SOVA/Shaw Trust.

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 ICO9001 Quality Management Framework. Rigorous systems support deployment of a competent, engaged workforce, effective participant 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 East of England 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 requiring 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 – Including: 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 – including: 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 (CAT), with infrequencies/inaccuracies flagged to Line Managers; 2) Spot-checks of quality made by Line Managers; 3) Approval by Line Managers 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 Line Managers.

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. ST’s CAT and Supply Chain Management Team will manage this.

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 (ST) has subcontracted with 700 providers across the UK, and has robust processes in place ensuring fair and timely payment terms, the principles of which we will replicate for CFO. As a DWP Prime provider, we operate according to the Merlin Standard, recognising and promoting sustainable excellence within our supply chains.

We achieved a ‘good’ grading against the Standard in our 2014 audit, which highlighted strengths including supply chain design reflecting commissioning needs and local priorities; proactive communication; supportive auditing (particularly for smaller 3rd sector organisations).

We have reviewed our subcontracting processes against the Government Compact with civil society organisations to ensure the robustness, fairness and transparency of our processes and that our ‘flow down’ payment terms to subcontractors mirror those between the Commissioner and ST.

Our delivery model includes two end-to-end subcontractors, CRI (Our Alliance partner) and Home Group (supporting all female participants); the range of other specialist providers within our supply

chain will be contracted on a spot-purchase/call-off basis for specific services and/or interventions specific to participant pathway stages (e.g. mentoring/course delivery/etc.).

For NOMS CFO specifically, across all subcontractors (including end-to-end, spot purchased provision and call off contracts), we will ensure:

- We pay an agreed fixed service fee monthly, to support cash flow and quality of service delivery;
- Subcontractors raise a Purchase Order monthly, triggering invoice submission, following rolling ST evidence validation (mirroring NOMS compliance processes). Where evidence doesn't pass validation, our Management teams will work with the subcontractor to resolve issues and maximise claims, including supporting additional evidence gathering, training/clarification as required to mitigate future issues. Invoices will be paid within 30 days.
- Within our commitment to provide additional capacity-building support to smaller specialist organisations, we will explore more flexible payment terms, for example increasing the proportion of fees paid up-front and shortening the payment window from [REDACTED] days to [REDACTED] days.
- Subcontractor claims will be reconciled against ST claims to NOMS, with any alterations to payments made against the following month's claim in the unlikely event of discrepancies.
- For the ESF priority participant groups (Women and NEETs) and participants from the 5-hard-to-help groups we are offering an enhanced unit price ([REDACTED]%) and an enhanced payment (£[REDACTED]/participant) respectively facilitated by a reduction in ST's management fee. These enhanced payments will ensure the highest possible quality service is achieved and allow for additional spot-purchasing and the commissioning of more intensive/specialist support/interventions by the ST/CRI/Home Group frontline delivery staff.

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 retains a dedicated Supply Chain Director, supported by Regional Supply Chain Managers, responsible for applying best practice subcontracting methodologies, aligned to the standards and requirements of the commissioners who we are contracted to. This team oversaw our successful re-accreditation against DWP's Merlin Standard in 2013, achieving a Good Rating (72%), and currently manage over 60 supply chain partners across our current services.

The team has mapped and aligned our existing supply chain policies and procedures against the NOMS Market Steward Principles (MSPs), to support onward compliance. In this respect, 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 already in a position of strong existing alignment and assurance. Where minor variances exist, our policies and procedures have been updated to reflect these accordingly.

Our NOMS Partnership Managers have worked with our supply chain team to negotiate and agree meaningful volumes of business with each proposed subcontractor. This involved a thorough process of allocation and due diligence to determine each proposed subcontractor's financial

capability, areas of delivery expertise, infrastructure capacity, and ability to withstand fluctuation risks. Through this, preferred subcontractors have either been assured of a specific minimum and maximum volume throughput, or a guarantee of being referred all eligible participants who meet specific criteria (e.g. by hard-to-help cohort and location), relevant to their delivery specialisms. All such agreements are fully documented.

Our supply chain team, will regularly monitor spot purchasing agreements, where applied. This will assess the 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, this will trigger a more detailed assessment and review to determine whether the subcontract should 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 IPSA, this has been highlighted to proposed subcontractors for comment and negotiation. We have equally been receptive to requests from proposed subcontractors to vary standard IPSA 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 it 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 IPSA 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

Our three stage management checks process ensures all evidence is scrutinised, claims are accurate, and a clear separation of duties between Case Managers and line management.

1. Approval

100% checks of all claims are performed by line management 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 Line Managers.

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 (ST) has selected delivery partners with an ambition to innovate and develop services. We will encourage innovation throughout our delivery/activity/supply-chain developing and disseminating best practice to ensure the best possible outcomes.

Our Partnership and Operations Teams will:

- Establish quarterly Best Practice Forums to share research and good practice between delivery partners, our supply-chain, and stakeholders - CRC/NPS, key regional referral/resettlement organisations and LEPs.
- Pilot service innovations and new designs in collaboration with key partners, funded by ST reinvestment, reallocation of existing funds, and/or the Development Fund.
- Extend successful approaches with defined cohorts/sub-groups to reach greater populations. We have subcontracted delivery of Female participant case management to Home Group who currently delivers highly engaging and innovative services to female offenders such as the Norfolk women's Conditional Caution where women are diverted from the court system through the Police/CPS to the 4women resource centre.
- SOVA will support the Coach/Mentor role requirement to support Young People in Essex.
- Involve offenders in co-design of services through Participant Forums, rotating around sites on a quarterly basis;
- Facilitate an annual self-evaluation cycle across internal delivery and the supply-chain, encouraging staff to search for innovation in their own delivery;
- Keep up-to-date with innovative industry tools where this would benefit staff and participants. We propose using Outcome Star™(subject to Authority Approval) as an innovative distance-travelled tool giving offenders visual maps to set ambitious goals, track progress, and address strengths and weaknesses.
- ST's central Policy and Research team will conduct ongoing 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 pilot activity and/or proposed expansion of delivery - invite 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-Results contracts including ESF programmes and Work Programme. It ensures co-ordinated, systematic and responsive activities across internal and subcontracted delivery - enhancing 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 the East of England 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. Cost savings whilst maintaining outcomes will drive continuing value for money.

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

We will train and make available 24 Full Time Equivalent(FTE) Case Managers(CM) who will have a Maximum Caseload Ratio of 1:44 whilst managing the general cohort. Staffing numbers cited below are number of FTE CMs involved in managing general cohort volumes, but they may also support harder-to-help groups within their full-time caseload dependent on skillset/demand/location.

IN-CUSTODY DELIVERY SITES

BURE: 2.6 FTE CMs;

WAYLAND: 4.3 FTE CMs;

PETERBOROUGH(F): 1 FTE CM; (delivery by our subcontractor Home Group)

LITTLEHEY: 4.6 FTE CMs;

WARREN HILL: 0.8 FTE CMs;

HOLLESLEY BAY: 1.9 FTE CMs. (Merging into Warren Hill in late-2015, CM resource will merge accordingly)

ASSURANCE OF QUALITY/ABILITY:

- Staffing levels are proportionate to estimated prison participant flows, using available data and discussions with John Algar (Regional Learning & Skills Lead, HMP)
- Resource will operate flexibly to ensure our model stays adaptable to changing/evolving demand.
- In-custody, service areas will be conducive, through dedicated delivery areas, supporting accessible, discrete and unthreatening activities.

COMMUNITY DELIVERY comprises 6 CENTRAL OFFICES (CO), one per-County, providing a centralised staff base, supplemented by appropriate localised 'Satellite' sites for peripatetic delivery, including partner and stakeholder premises, creating a network of hot-desk locations.

CAMBRIDGESHIRE: 1 FTE CM

CO: Shaw Trust (ST) Cambridge

Satellites: Peterborough/Spalding/Stamford/Huntingdon/Wisbech; NPS/CRC sites

NORFOLK: 1 FTE CM

CO: ST Norwich

Satellites: Cromer/Great Yarmouth/Kings Lynn/Thetford; NPS/CRC sites

SUFFOLK: 1 FTE CM

CO: ST Ipswich

Satellites: Lowestoft/Bury St.Edmunds; NPS/CRC sites

ESSEX: 1 FTE CM

CO: ST Chelmsford

Satellites: ST/CRI Basildon/Colchester/Harlow/Southend/Thurrock; SOVA Witham; NPS/CRC sites

HERTFORDSHIRE: 1 FTE CM

CO: ST St Albans

Satellites: ST/CRI Stevenage/WalthamCross/Hertford/Cheshunt/Watford/Borehamwood/Hemel Hempstead/Hatfield/Broxbourne/Letchworth/Royston; NPS/CRC sites

BEDFORDSHIRE: 1 FTE CM

CO: ST Luton

Satellites: Bedford; Luton; NPS/CRC sites

FEMALE PARTICIPANTS: 3 FTE CMs (Home Group)

CO: HG 4Womens Centre, Norwich

Satellites: HG - Peterborough/Cambridge/Suffolk; CWRC(Cambridge)/Stepping Stones(Luton)/Hertfordshire Women's Centre-Stevenage; NPS/CRC sites

ASSURANCE OF QUALITY/ABILITY:

Our 'CO and Satellite' strategy ensures comprehensive ECA coverage across at least 42 sites from Day 1, with our site network changing throughout the contract to meet demand, increasing accessibility and engagement.

All community sites have been selected for ease of accessibility by public transport, proximity to key communities where offenders are released, and possibility for co-location with other relevant services especially IOM's.

Satellite sites will allow CMs to meet offenders locally, provide additional local facilities (e.g. IT, job-search resources), and provide meeting places/training rooms for stakeholders, e.g. JCP/faith organisations/housing/etc.

Staffing will be flexible enough across sites to meet demand or provide continuity for participants who relocate.

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

From the total 24 FTE Case Manager (CM) resource in the ECA, 7 FTE will be responsible for supporting participants from groups identified for additional focus (AFG), with lower caseloads to ensure they are able to provide a more intensive programme of support. We will have at least one dedicated trained specialist CM to support each AFG across the ECA who will support and/or train the other CMs as required.

In-custody, we will deliver services from all 6 prisons and will have CM resource in each prison, trained specifically to support AFG participants.

Community delivery will follow the same process as the general cohort, from the outlined Central Offices(CO) and satellite offices across the ECA. We have also engaged with a range of additional organisations to co-locate specific services that will better support the particular needs of different groups.

The COs in Norwich, Cambridge, Ipswich, St Albans, Chelmsford and Luton will support 6 FTE CMs working across the respective counties and the CMs specifically trained to support the AFGs will cascade training and support to other CMs to ensure appropriate levels of support for participants.

Staffing levels will be responsive to participant volumes ensuring AFG caseloads do not exceed 35 participants per CM achieved through careful/flexible management of staff and resources.

For each group we have identified the following minimum staffing to ensure appropriate coverage to support delivery both in-custody and community:

Offenders facing reintegration following long sentences(10+ years)

Staffing/sites include:

2 specially-trained CMs supporting all of the CMs at each relevant prison; and 1 Specially-trained community CM working peripatetically supporting the wider community-CM team and based out of the counties COs.

Additional community spot purchase support from Specialist supply chain partners including providers of Independent Living and Life Skills – Home Group/Realise FuturesCIC.

Sex Offenders

Staffing/sites include:

At least 1 specially-trained CMs at each relevant prison: Bure and Littlehey; and 1 community CM working peripatetically based out of the COs in Cambridge and Norwich wider community-CM team.

Additional community spot purchase support from Specialist supply chain partners including Langley Housing Trust/Circles/Home Group's Independent Living/Life-Skills

Ex Armed Forces

Staffing/sites include:

A specially-trained CM in each prison supporting the CM team working at that prison as needed; and 1 specially-trained community CM working peripatetically supporting the wider community-CM team and based from any of the six COs.

Additional community spot purchase support from Specialist supply chain partners including RFEA/RBLI/Joint Forces Training/Ormiston Families.

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

Case Managers (CM) supporting participants within the hard-to-help subgroups (H2HSG) will have significantly lower caseloads (maximum 31) to ensure they are able to provide a more intensive, targeted and holistic programme of support, activity and intervention.

Delivery in custody will take place where CMs identify participant need in Bure, Littlehey, Peterborough(F) (Home Group-HG), Warren Hill, Wayland and Hollesley Bay.

Community delivery for male participants will be supported from the Shaw Trust/CRI (ST/CRI) Central Offices (COs) in Norwich, Cambridge, Ipswich, St Albans, Chelmsford and Luton, and satellites across the ECA. For female participants: from HGs COs in Peterborough/Norwich/Cambridge/Suffolk and Women's Centres across the ECA e.g. CWRC (Cambridge), Stepping Stones (Luton), Hertfordshire WC-Stevenage/etc.

From the total CM resource in the ECA (24 FTE CMs), 2.9FTE will be ring-fenced for supporting participants within a H2HSG so CMs supporting hard-to-help participants will have their caseload managed/reduced to account for the different maximum caseloads and allow time for more focussed/intensive support.

Using an enhanced funding uplift from our financial offer, enables ST/CRI and HG to spot purchase additional specialist interventions/intensive support for the H2HSGs.

Lifers, Ex-Armed Forces, Personality Disorders and Sex Offenders:

Across the ST/CRI CM team we will ensure that we have at least 1CM in custody and 1CM in the community who has been specifically trained to support each H2HSG and these CMs will support and/or train the other CMs in the wider team where they support H2HSG participants.

The additional CM resources in custody will be managed across the prisons according to the distribution of H2HSG participants. For Lifers and Ex-Armed Forces across all prisons in the ECA; for those suffering from personality disorders in Wayland and Warren Hill; and for sex offenders in Bure and Littlehey.

CM resources will also be targeted across our custody and community provision at specific interventions (e.g. life-skills training/intensive-mentoring support/etc.). If a specific need is identified, such as in Bure/Littlehey for Transgender/Transsexual offenders, CM-resource will be allocated to allow for that delivery to take place.

Women Offenders (gang activity, domestic abuse, significant alcohol/drug misuse & women with limited family ties/support networks):

Home Group, our specialist subcontractor, will have up to 0.75FTE of additional case management resource dedicated to supporting this H2HSG. This will be utilised to target support at specific

interventions dependent on need and then split between custody/community accordingly to ensure support/intervention is targeted appropriately and where activity can make the most impact for participants.

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 is 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:

- 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.
- A dedicated Claims 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.
- As part of their contractual compliance and quality assurance remit, our Quality and Compliance Team (independent of operations) will undertake verification checks to ensure consistency.

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

Through our own and our subcontractors' delivery of varied social inclusion contracts, we are adept at providing cohesive support for hard-to-help participants.

As a large third sector provider, Shaw Trust's charitable mission is to improve the employability and life chances of disadvantaged individuals. We only engage with subcontractors who demonstrate comparable aims and objectives. We will directly invest into services to improve outcomes for participants and the wider community. Under NOMS, we will maximise all eligible claims for participants leaving our provision partway, 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.

We recognise that for participants to progress towards their long term desired outcomes, activities, which may not attract direct payment, may need to be undertaken. This is consistent with our commitment to deliver three core activities for each participant, regardless of associated payments.

For transferred participants, this may include undertaking refresher activities/stages which have already been claimed by previous providers, where assessed by the Case Manager as being integral to achieving current goals. This will build upon assessment data gathered by previous providers to ensure a comprehensive picture of "distance travelled" prior to transition, preventing unnecessary duplicative interventions.

A holistic and individualised approach, which uncovers and addresses all individual barriers, is integral to positive outcome achievement. For instance, a participant presenting with mental health, confidence, accommodation and work experience related barriers, would be supported to access at least three relevant core activities within the 'gateway' stages (which do not directly attract payment) such as those within our 'self', 'home' and 'job' activity areas, as well as multiple activities within the 'payment' stages as required e.g. work taster at a social enterprise and accredited mentoring.

As defined in our Delivery Assurance Framework and Service Level Agreements (in line with the ISPA), we will require all subcontractors to comply with our core case management model, including applying relevant activities (including those which do not attract a new payment) to support outcome achievement. 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

Using our person-centred practice approach, Case Managers (CMs) will co-produce assessments and reviews with participants to accurately identify needs and monitor risk and vulnerabilities.

We will undertake:

- Effective screening: CMs will use CATS to screen daily for individuals whose needs meet ESF and priority group eligibility;
- Person – centred approach: Assessment of need and progress measurement through Outcome Star™ will support the co-production of a comprehensive action plan which details proposed pathway activity. Our One-Page Profile, which is portable across partners and provisions, will further support effective matching with services which meet need;
- Comprehensive assessment: CMs will use the CATS assessment dashboard to review centrally held participant information, including the Basic Custody Screening Tool, other assessments and resettlement plans, as well as liaising with the OMU, CRC, NPS and other stakeholders. This will give CMs pre-existing knowledge of participant needs and current interventions which they can explore further during CATS assessment. Any conflict between CATS and Outcome Star

assessment will be reconciled through risk and needs discussions with key partners, and will be updated on CATS;

- Regular reviews: 1-2-1 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, as well as 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, as perceived across all agencies;
- Staff training: All delivery staff will 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 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]

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Our staffing presence has been informed through discussions held by our dedicated East of England Partnership Manager with stakeholders within the custodial estate across the ECA. Through these discussions, accessibility and ease of co-location was clearly evident and will enable Shaw Trust/CRI and Home Group's Case Managers(CMs) to integrate seamlessly with existing offender management teams.

Discussions have been held with:

- DDC Office: [REDACTED] Regional Learning and Skills Lead – provided assurance for an integrated delivery approach at each establishment across the ECA. Access to shared facilities - desks/telephones, OaSYS (read only), Quantum System would be supported.
- Warren Hill and Hollesley Bay: [REDACTED] Head of Reducing Re-Offending (HoRR) – Co-location agreed within the Reducing Reoffending Hub, integrated with Heads of OM. Kitchen facilities available to support Independent Living/Life Skills in relation to food preparation/cookery lessons.
- Littlehey: [REDACTED], (HoRR) – Co-location agreed with the Reducing Reoffending and Offender Management staff with an open door process. Training Rooms/Group Room/1:1 rooms available. New Education department also accessible. Access to facilities to support Independent Living and Life Skills in relation to food preparation/cookery lessons.
- Bure: [REDACTED] (HoRR) – Co-location agreed. Large room facilitating all OMU activities including NCS, Money Advice and JCP. Training Room facilities, room within the Wellbeing Clinic, Café communal area.
- Wayland: – [REDACTED] (HoRR) - Approach made and awaiting dialogue.

- Peterborough(F): - [REDACTED] (Head of Learning and Skills) - Co-location agreed within the Resettlement Team. Training rooms and catering/hospitality facilities available. Workshop facility to introduce delivery of vocational training in construction and hair and beauty.

Discussions to date have been appropriately formative and have not progressed to a position of determining specific on-site staffing numbers. Upon confirmation of preferred bidder status we expect to have all such arrangements formalised within 4 to 6 weeks of contract start with each establishment, including, where applicable, CRC and NPS settings. This process will be led by our dedicated Implementation Team and will confirm final numbers of CMs allocated to each establishment including all arrangements regarding security clearances, keys, desk space, telephony etc including how incurred costs may be reasonably apportioned and reimbursed.

We will apply rigorous vetting within our recruitment process to accelerate the process of staff being formally approved to access custodial establishments. We are developing detailed training/guidance for staff, setting out expected conduct, behaviours, and protocols when working within a custodial environment, which all staff will complete prior to contract commencing.

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]

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Following discussions with [REDACTED] Regional Learning and Skills Lead, NOMS Commissioners, Heads of Reducing Reoffending at Prison establishments and Sodexo's Head of Learning and Skills at Peterborough(F), our Senior Management Team made the strategic decision to undertake service delivery at all six prisons in scope. Full assurance has been given for co-location and access to shared facilities.

Our selection includes the 'optional' prison HMP Hollesley Bay. Through discussions with [REDACTED] Head of RR at Warren Hill, we understand that Hollesley Bay will merge with Warren Hill around October 2015; therefore our rationale is to support participants up to and post the estate change.

Our end-to-end case management model will include:

- Bure: Full-time service delivery. Sex Offenders only - targeted support to the general cohort and further intensive support to all those who fall into the ECA Level Focus and Hard-to-Help sub projects.
- Warren Hill: Full-time service delivery - Targeted support to the general cohort and further intensive support to those within the Hard-to-Help sub projects.
- Hollesley Bay: Full-time service delivery until prison merges with Warren Hill - targeted support to the general cohort- 55+, Veterans, those who have disabilities and/or health conditions (including mental health), BAME groups and NEETs.
- Littlehey: Full-time service delivery - Sex Offenders only - targeted support to the general cohort and further intensive support to all those who fall into the ECA Level Focus and Hard-to-Help sub projects.

- Wayland: Full-time service delivery - Targeted resettlement support to the general cohort and further intensive support to all those who fall into the ECA Level Focus and Hard-to-Help sub projects.
- Peterborough (F): Full-time service delivery. Women/(ESF Priority) – targeted support to the general cohort and further intensive support to females who are victims of domestic violence/those involved in the sex industry, and the Hard-to-Help sub project.

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

We will apply a flexible, responsive approach to maintaining an appropriate presence in community delivery sites, over and above our own permanent and supply chain sites.

This will include a mix of outreach and co-location options, including hot-desking, hire of delivery rooms, use of public venues (e.g. libraries/faith based venues following appropriate risk assessment). Paramount to this will be a focus on securing venues accessible to individual participants, including rural locations.

This may involve a semi-permanent/full-time presence at some community sites, whereas others may be more ad-hoc based.

Our dedicated East of England Partnership Manager has commenced discussions with community stakeholders to secure access to such sites - including discussions with BeNCH CRC who have agreed in principle to allow a presence across their locations to support an integrated approach to offender management.

The same approach has been made to Essex CRC and YOS; Norfolk & Suffolk CRC; NPS, and delivery partners: CRI/SOVA/Home Group/Stonham and Langley Housing Trust re co-location.

More formal agreements will be firmed up during the preferred bidder stage, within 4 to 6 weeks of contract start. This will include clear agreement of the days/times when sites are available, access to on-site resources, and any reimbursement required.

We will provide each community site with a direct contact point at Shaw Trust for ease of communication.

A priority has been to identify community sites, which are highly conducive to the co-location of NOMS ESF services with other key services being accessed by the same cohorts of service users locally, with common social inclusion objectives. For example, we are liaising with Women's Centres i.e., Cambridge Women's Resource Centre and Stepping Stones in Luton with a view to co-locating activity at these centres, where participants can access crèche facilities, access specialist support services ie health advice and inclusive activities, in parallel with NOMS ESF support at the same site.

We will ensure that staff at all external community sites are aware of the nature of the provision and participants accessing their sites. This will include clearly defining appropriate protocols for safeguarding, vetting of visiting staff, defining restricted access to any off-limit areas, and other general measures which support the wellbeing of all on-site staff and participants, including those outside of the NOMS ESF service.

We will continuously review and extend the range of community sites available to us, to maximise participant convenience and coverage across the full ECA.

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 which outstrip profiles - in 2011 referral numbers significantly outstripped profiles on our London Work Programme contract.

In order to address this, all NOMS CFO Case Managers (CMs) will receive comprehensive training on how to prioritise participants.

Guidance will be drafted in discussion and negotiation with prison estate, CRCs and NPS, to identify their priorities. Subject to this, we would look to prioritise the following participants:

- Only NOMS CFO eligible participants who cannot benefit from alternative provision– CMs will draw on their training to make professional judgements as to whether or not a potential participant can benefit from meaningful support elsewhere. This includes within our own delivery network - CRI's substance misuse and mentoring programmes.
- Those within the pan ECA focus – We will prioritise provision for Ex-Armed Forces participants as they fall within all target groups for the East of England. We will collaborate with specialist veteran organisations - RBLI, RFEA and SSAFA to identify what provision is available that could support participants to help progression outside of NOMS ESF provision.
- Those within the ECA level focus target group, cross-referenced against the entire cohort target group – We will prioritise enrolment of participants who have served long sentences and sex offenders to provide intensive support in preparing for reintegration into the community. Potential participants who are also from minority ethnic communities, have disabilities or health conditions, are over the age of 55, female or NEET (approx. 78 sex offenders are aged under 24, held at Littlehey and Bure), will be prioritised further.
- Those identified as the very Hardest-to-Help – We have explored contingency arrangements with subcontractors to continue to prioritise our Hard-to-Help Sub Groups to ensure they are not left without support. For example Home Group (HG) will continually develop relationships with local specialist organisations and Women's Centres to ensure that additional female referrals are supported. CRI will support HG by providing an increase in referrals for women who have significant substance misuse issues.
- 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 70+ years combined experience in increasing social inclusion for the most disadvantaged individuals, often through ESF-funded programmes, the Shaw Trust/CRI alliance is highly proficient in maximising the potential of ESF funding.

We will offer effective ESF-funded services through:

- Liaison with NOMS and other stakeholders, e.g. Work Programme, Skills providers, CRCs to ensure the scope and eligibility of ESF services remain differentiated from mainstream. Where potential overlap is identified, we will work cooperatively and collaboratively, in-particular where an existing mainstream service may be withdrawn because of our delivery, to identify/discuss any concerns/overlap and adapt our service delivery as appropriate/necessary to ensure mainstream services are not replaced.
- Operational rigour, including experienced Quality and Finance functions with appropriate processes for outcome and claim scrutiny and a robust Supply Chain Management function 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 using internal MI to advise on any impacts on participants;

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

Support for female participants will address multiple/complex needs and be delivered by female delivery staff in both custody and community-based female-only environments. The range of services, in addition to our main service offer, will include:

- Accommodation: Advice and support services to assist females in gaining suitable, safe and secure accommodation;

- Education, Training and Employment: Services will focus on increasing qualifications, employability, social/problem solving skills (debt/relationships/etc.) and supporting independence;
- Health: a Mental Health screening tool within our assessment/delivery process as female offenders often experience higher rates of mental health disorders (70%). This ensures participants are referred to specialised Mental Health services where needs are identified and addressed;
- Drug and Alcohol: Recognising that women are usually main carers of children and child protection is paramount, we will provide temporary childcare support services for female participants with children who have drug/alcohol problems to allow them access to residential rehabilitation/recovery programmes;
- Children and Families: We will provide additional childcare services (e.g. crèche facilities) at delivery sites – i.e., women's centres.
- Domestic and/or Sexual Violence and/or Abuse: specific services available to female offenders include: drop-in facility within community delivery sites (e.g. Women's Centres), survivors' support groups, counselling services, specialist court advocacy, floating support (specific outreach services designed to support women in their own homes), programmes providing structured group work for perpetrators of domestic violence to support them to address the attitudes/beliefs which underpin abusive behaviour, challenge, stop and prevent further violence and hold them to account. Programmes will be supported by a women's safety service, Sanctuary Scheme, which supports households at risk of violence to remain safely in their own homes. All of our services meet the National Service Standards for Domestic and Sexual Abuse/Violence (NSSDSA/V).
- Sex Workers: Services will include outreach work to maintain on-going contact, advocacy/support to address specific problems such as violence/abuse, financial abuse and/or exploitation and to support participants to establish a route out of prostitution. Street walking and outreach support will be provided in partnership with the CRC, NPS, Police and Health services and we will actively support and promote the Ugly Mugs scheme providing counselling and other support as needed.

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

In-custody, approximately 7% of the population are under 24, with 46% being held in Wayland and at least 70% have less than three years to serve. We will deliver services in-custody and community, providing a seamless through-the-gate-service.

Shaw Trust/CRI (SOVA) will deliver case management to all male NEETS and Home Group (HG) will provide case management for all Female NEETs. Collectively we have a strong track record of successfully working with disengaged and marginalised NEETs, preparing them to positively participate through inspiring themes of engagement which address behaviour/confidence/motivation/encouragement/workplace preparation and facing challenging situations.

Our Case Managers (CM) will deliver an integrated package of tailored support, including housing/health/substance misuse/ETE/relationships and money management to help address reoffending behaviours. We will increase support in Wayland to reflect the higher participant levels.

In-custody, we will actively encourage engagement with NCS/OLASS provision to provide a platform of structured training. In-community, we will help navigate and select appropriate referral routes to maintain support/identify appropriate training/traineeships and apprenticeship progression channels.

Our delivery partner, Genius Within, will second one of their accredited CMs to provide specialist support, initially to 180 NEETs, with learning difficulties i.e., Dyspraxia/Dyslexia/Asperger's/ADHD/mild-to-moderate mental health needs, which affect thinking and behaviour. Course delivery in-custody with continued 1:1 support in-community will target underlying cognitive memory and processing difficulties that create literacy and time management barriers/following instructions/learning new processes/communication etc. These issues affect how youth interact with authority and impact on ETE and social inclusion.

Essex - Support for young offenders serving lengthy community sentences. We have spoken with [REDACTED] ETE Manager, Essex YOS and [REDACTED] JCP Essex District Office to discuss the requirement for this suggested area of CFO activity. SOVA currently delivers "The Bridge" programme in Essex, (an alternative to custody project) and are well positioned to support this requirement. SOVA's Mentor will successfully engage with 25-30 young people annually to provide a case-managed package of support over 12-18 months duration per individual.

To ensure enhanced support is offered to the NEET cohort, ST propose paying 110% of the average unit delivery price to delivery partners to support intensive interventions and lower caseloads.

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

Within the 6-shortlisted prisons, approximately 27% of the population are from a Black and Minority Ethnic (BaME) background. The most prevalent BaME groups are Black African/Black Caribbean (44%) mainly held at Littlehey and Hollesley Bay. Littlehey and Weyland hold Eastern Europeans(7%) and Gypsy Travellers(4%).

BaME offenders have a number of characteristics, including language barriers/ESOL requirements, cultural and religious needs, and greater perceptions of insecurity and prejudice.

To reflect the demographic mix of BaME offenders in custody, where possible, we will develop a bank of Mentors/Peer Mentors in both Littlehey and Wayland who speak prevalent minority languages i.e. Slavic's: Polish/Czech/Ukrainian in order to support other NOMS ESF participants alongside the Case Manager(CM). In-community we will mirror this approach utilising Personal Sponsors and Volunteer Mentors from various ethnic backgrounds ie Urdu and Hindu.

This approach will be supplemented with spot-purchased translation services where necessary to accommodate individual needs ie from Herts Interpreting and Translation Service; will take account of gender sensitivities in matching CMs to BaME participants, and activity will be sequenced/structured to accommodate religious observances, such as daily prayer times.

We will collaborate with existing schemes already supporting BaME offenders to enhance and add value to their services, without duplication. Examples of organisations who we will seek to collaborate with, and make offender referrals to include:

- The Minority Ethnic Network Eastern Region(MENTER),who work with over 420 voluntary BaME organisations and communities;
- The Bangladeshi Support Centre in Suffolk, who provide a wide range of support including ESOL, activities for women and elderly support;
- Norwich and Norfolk Racial Equality Council, whose projects include offering services that address general wellbeing needs to empower people who suffer domestic violence, which can impact on their social and mental health and promote social inclusion.
- Once Voice 4 Travellers who work across the ECA supporting families from the Gypsy & Traveller community to engage and participate with the wider community, promote good relationships and help them to make informed choices.

We will similarly create referral networks to ESOL courses run by FE colleges, training providers i.e. The Learning Partnership (Bedfordshire & Luton) and Adult Community Learning Centres.

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	Supplier
<i>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.</i>	Shaw Trust Ltd
Record Label	Completed By
I agree with the Declaration	Yes
Name	
Date	2015 – 01 – 08