

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 9 South West

*****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

South West throughput requirement, July-15: 50 enrolments; 18 in Devon.

Our strategy for NOMS CFO implementation builds on experience of effectively implementing similar contracts such as the London East Work Programme, where a successful 3 month mobilisation period enabled us to manage 2,770 referrals in month one, and an average monthly throughput of 1,500 thereafter whilst consistently being highest performing prime provider in-region. Building on this, our NOMS CFO mobilisation strategy will include:

- Clear leadership: Oversight from Shaw Trust's Director of Justice (██████████) providing continuity from bid production into implementation. Supported by our Programme Management Office, Richard will own the 'live' Project Initiation Document (including implementation plan and risk register, according to which all workstreams will be managed);
- A dedicated, multidisciplinary implementation team to set up infrastructure; delivery; governance; audit; performance; evaluation systems. Workstreams will be managed according to the 'live' implementation plan, which clearly defines accountability, timelines and dependencies;
- 'Pre-implementation' activities immediately following published BAFO results, including preparation for potential TUPE; recruitment to key posts; securing premises; IT infrastructure;
- Deployment of Comms. Plan, including development of marketing materials, to secure internal and external stakeholder engagement with contract themes, priorities and person-centred delivery model.

All local staff (including subcontractors) will be inducted, trained and in-place by July 2015 through a comprehensive on-boarding programme, covering induction, IT, Information Security, H&S, staff site visits, specialist tools training e.g. Outcomes Star™ (subject to Authority approval), CATS training and NOMS specialist briefings. Staff will receive IT kit and comprehensive contract-specific Operations Manual. We aim to recruit our full complement with all employees job-ready by July-2015.

Supply chain, specialist sub-contractor and spot purchase arrangements will be activated ready for go-live. Our volunteer and mentor recruitment and training programme will be initiated.

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 will ensure all staff (including sub-contractors) are subject to Enhanced DBS, relevant Authority security vetting and HMP clearance. Our processes comply with the requirements of PSI 07/2014, PI 03/2014 and the Home Office Disclosures Code of Practice. They include tracking of reference numbers and dates to ensure flagging for timely renewal, and an annual audit cycle to ensure compliance.

Shaw Trust central HR own the process, with paperwork for all staff submitted (via the Operations Manager) and validated prior to approval of an individual to work on contract delivery. Misrepresentation/ failures to disclose material facts (e.g. criminal record) constitute grounds for refusal/ withdrawal of clearance.

Safer Recruitment training is mandatory for all Shaw Trust managers and will be a requirement for subcontractors to ensure comprehensive understanding of their responsibilities for cross-referencing information on DBS certificates against disclosures prior to submission to HR.

To ensure evidence is available to the Authority upon request, we will nominate a single point of contact who will supply information within 5 working days.

As with existing contracts, all updates/ changes to statutory/ NOMS requirements or Shaw Trust processes will be cascaded to staff via line management, specific training and/or subcontractor management protocols.

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 Work Programme, Work Choice and Pathways to Work contracts, we understand that a robust information security lifecycle is paramount to ensuring confident contract delivery and partnership working.

We hold and are fully compliant with ISO:27001 accreditation, and will ensure that sub-contractors are managed and supported to comply with the principles and practices required by this Standard, including regular audits undertaken by qualified internal and external ISO:27001 auditors.

Information security is overseen by our Head of IS, who will work closely with the Authority to understand requirements and supplement our robust existing 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 T&Cs, including but not limited to Schedules E, G and N;
- NOMS Information Assurance Policy.

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

- Strong risk assessment and management processes;
- Maintaining accurate records of individuals handling Authority Data;
- Reporting, managing and recovering from information risk incidents, including immediate reporting to the Authority;
- Maintaining high levels of staff awareness of the importance of IS using our proven IS training module, delivered to all starters and refreshed annually, and supplemented by NOMS-specific training;
- Robust measures to protect personal information, including:
- All staff with access to NOMS data subject to required security clearances;

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

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

[400 words]

Shaw Trust Ltd

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

In the last 4 years, Shaw Trust has transferred in 593 staff nationally from other organisations as a result of our merger with the Careers Development Group (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 value: £[REDACTED], 1 Work Programme prime-contract (£[REDACTED]) and 12 major sub-contracts (£[REDACTED]). We also deliver on behalf of Local Authorities, NHS, Skills Funding Agency and ESF-funded delivery. This diverse portfolio, which includes payment-by-results contracts similar to NOMS, has provided the knowledge and 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 [REDACTED] 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 £[REDACTED] (2012/13) was a [REDACTED]% 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 £[REDACTED] (31-March-2013) of which £[REDACTED] 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 forgo 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 £[REDACTED], which similarly comprise payment-by-results and service fee elements. The NOMS model funds [REDACTED]% upfront core delivery costs, a further [REDACTED]% as payment-by-results, with the remainder covering Discretionary Access and Development Funds. [REDACTED]

Shaw Trust will fund such cash requirements

through its resources/reserves (£[REDACTED]). Subsequent months show positive surpluses, which by contract-end balance out to 0% breakeven (lower than our typical operating margin of [REDACTED]%). 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 Manager 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, and 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 with time to become familiar with the operating environment and multi-agency arrangements integral to good practice.

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

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

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

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

- [REDACTED]
- [REDACTED]
- [REDACTED]

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

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

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

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

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

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

[350 words]

Shaw Trust Ltd

Our modelling is such that the substantial proportion of total contract price is attributed to direct delivery costs, providing the Authority increased value for money. For example, [REDACTED] 'central support staff' 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 delivery at our existing sites, only charging for desk space to accommodate Case Managers.

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

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

Indirect / apportioned costs will be recovered as follows:

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

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

- Premises & Utility charges: The attributable running costs of premises serving multiple contracts will be calculated according to the square footage of space occupied by staff and/or activity undertaken.
- Infrastructure; 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 surpluses into service delivery to enhance the support offered through government-funded contracts (e.g. [REDACTED]

[REDACTED] which has helped us to continuously move more disadvantaged individuals into social inclusion and employment than any other Work Programme Prime in London). We commit to similar investment for NOMS CFO.

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

- Increasing the number of Case Managers such that maximum caseloads do not exceed [REDACTED] participants per CM for the general cohort, or [REDACTED] for additional ECA-focus and hard-to-help subgroups to enable more intensive support.
- Investing in an enhanced person-centred assessment and planning process to complement CATS/ other assessments. 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 facilitated by a competitive management fee ranging from [REDACTED]% (hard-to-help subgroups) to [REDACTED]% (lower than DWP industry standard of [REDACTED]%) and enhanced unit rates for specific groups, maximising 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 - We are covering [REDACTED]% of central support staff/senior management time for implementation and beyond. We have also not accounted for existing Shaw Trust premises to be used for community delivery.

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

12. How will the Contractor ensure that Contractor and (where applicable) Subcontractor staff understand and comply with the CATS System Operating Procedures (SyOps)? Your response should

also include details of mechanisms which you will implement to ensure that the Authority is notified within 5 working days of any Contractor Staff who cease to require CATS accounts.

[300 Words]

Shaw Trust Ltd

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

Awareness raising: Before providing CATS access, all Shaw Trust and subcontractor staff will undergo mandatory SyOps training alongside our existing mandatory Information Security module. This will incorporate all elements of the SyOps, translated into digestible procedures and guidance. Individual understanding will be checked prior to CATS access being granted.

Post-training staff will complete and sign:

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

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

On-going SyOps compliance monitoring: Line managers will measure and monitor compliance during monthly reviews of staff KPIs. Supply chain management will ensure subcontractor staff similarly complies. 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 extranet sites.

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

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

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

[400 words]

Shaw Trust Ltd

Overall, our engagement strategy is to prioritise participants representing the very hardest-to-help in the local offender community with the aim of increasing social inclusion, self-efficacy and resilience. It is therefore likely that the majority will meet general eligibility criteria, plus one or more regional focus criteria plus, potentially, criteria to access specialist hard-to-help sub-group provision.

Shaw Trust/ CRI strategic alliance has extensive experience in ensuring resources reach those most likely to benefit from support. For example, Shaw Trust in partnership with St Loyes Foundation supported 350 people from Devon's most disadvantaged areas into employment through DWP ESF Devon Works.

During mobilisation and throughout delivery, we will ensure all stakeholders (in custody and the community) are fully aware (via initial presentations, crib sheets, and on-going partnership meetings) of the eligibility criteria for NOMS CFO, and the regional and hard-to-help sub-group foci in the South West. We will work in partnership with the OMU/ NPS/ CRC to regularly review our cohort, enabling us to anticipate and pick up target individuals in custody and the community with the benefit of informed stakeholder input.

Referral processes include an initial categorisation from the referring organisation based on the specific eligibility criteria for the general, regional focus and hard-to-help sub-group cohorts. Pre-enrolment, Case Managers will use this, alongside the BCST, CATS RAG system, OASys data and any other participant-specific information available to ensure potential participants are both technically eligible, and likely to experience maximum benefit from participation in a personalised programme of NOMS CFO provision which accounts for and is designed to address the complex interaction of their physical, motivational and attitudinal barriers.

Shaw Trust's experience of working with vulnerable people for over 30 years tells us that a personal, trusting relationship with the Case Manager built over time and carried through custody and into the community will ensure that on-going and honest assessment of aspirations, anxieties and areas of need be made in partnership with the participant. This approach is designed to empower and motivate individuals to receive maximum benefit from participation.

Throughout participation, and in coordination with OMU/ NPS/ CRC and prison colleagues, our Case Managers will take an informed view regarding whether a participant is benefitting from NOMS CFO provision, to enable them to be referred into mainstream services, or when barriers are such that our intervention is not having an impact and changes in activity are required to achieve aims.

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

[300 words]

Shaw Trust Ltd

Our housing offer recognises the importance of combining effective person-centred planning to develop self-efficacy and independent living skills; housing-related support and advice (HRSA); and sequenced access to sustainable housing.

We will operate flexibly to ensure we do not duplicate activity required of statutory stakeholders and that increasingly limited budgets achieve maximum value-for-money. [REDACTED]

[REDACTED] including employing an expert Housing Support Coordinator to build strategic links and advise Case Managers and participants in complex cases.

CMs will ensure action to address housing needs is prioritised at assessment, maximising lead-in time - particularly for short-sentence/ repeat offenders (more likely to be homeless on release).

[REDACTED]

Our provision network focuses on RSLs with significant experience of working with the most vulnerable, providing added value beyond beds, including:

- HomeGroup: general needs and supported housing; home ownership options; wraparound services. Will deliver the highly successful Home Achievement Programme (HAP) ECA-wide;
- Langley House Trust: supporting/ accommodating individuals at medium/ high risk of reoffending; sex offenders; older offenders; lifers; mental health issues; personality disorders;
- Alliance Homes: social enterprise/ largest provider of housing in North Somerset, with approx. 6,500 homes. EIAP delivery; prolific offenders; at risk of reoffending;
- BCHA/ RECOOP: Short-stay; supporting access to longer-term accommodation; older offenders; single parents; mental health issues; substance misuse; young people.
- Julian House: ECA-wide coverage; housing and social enterprise work opportunities including Bath Bike Workshop; Bath Soup Company; Secret City Tours.

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

Drug and alcohol misuse, mental health issues, and dual diagnosis are regional foci in the South West.

Case Managers will identify participant health needs at the earliest point using information from the referring body/ CATS/ BCST/ other relevant data and through our enhanced person-centred assessment process. Specialist partners (as follows) will deliver specific services, with spot purchase arrangements filling gaps as required:

St Lyes Foundation (Devon transition region focus): Strong existing sub-contractor relationship with Shaw Trust; Track record delivering ESF contracts to participants with long-term health,

disability and social needs, including Autism Spectrum Support in partnership with the Community Care Trust South Devon.

EDP: Currently provide successful SMS services at Channings Wood, Dartmoor and Guys Marsh. We will extend the reach of this provision (including extension to other NOMS CFO prisons in agreement with Governors), which includes: a flexible, strengths led recovery service individually tailored to participant needs and aspirations; individual and group work programmes focusing on recovery, motivation, harm minimisation and awareness; clinical interventions according to clinical need commencing within 24 hours of reception; peer mentoring.

BCHA: Direct delivery of substance misuse services and treatment, and onward specialist referral through their Bournemouth-based assessment team. Specific accommodation offer for DD offenders in Exeter/ Bournemouth. MH supported accommodation in Bournemouth; Poole; Bridport; Exeter.

RECOOP (older offenders): ‘Lobster Pot’ day care centre model (currently HMP Leyhill); purposeful activity provision; age-specific health services.

Genius Within: chartered psychologists, coaches and mentors delivering the Memory programme to enable a legacy of self support and self generated coping strategies.

The Nelson Trust (women): Female case managers specially trained to understand underlying addiction and trauma based MH issues.

Addaction: one-to-one and group sessions, including relapse prevention and motivation; Needle exchange; Information and vaccinations for BBV; Medically assisted recovery, including residential detox if required; Intuitive Recovery – an accredited programme providing skills, knowledge and tools to maintain abstinence in recovery.

Spot purchasing may include:

- Turnaround project (Gloucester; Cheltenham; Coleford), targeted at male perpetrators of domestic abuse with underlying mental health addiction or dual diagnosis issues;
- Access to over 20 Community Mental Health Teams with whom we have existing relationships across the ECA;
- Bristol ADHD clinic and BASS Autism Services (Bristol; Bath; Somerset; Gloucester);
- Veterans Mental Health services and counselling from Dame Hannah’s Trust (Newton Abbott);
- Devon Partnership provision (e.g. psychosis and recovery; Older People’s Mental Health).

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

[350 words]

Shaw Trust Ltd

Our discussions with NOMS CFO prisons in region have identified a lack of strong family provision across the piece, and an appetite (shared by local PCCs) to implement restorative justice (RJ) programmes.

Shaw Trust will provide:

- Personal Sponsor programme: Participants will be encouraged to nominate a Personal Sponsor to provide support throughout the journey towards social inclusion. This is likely to be a trusted and appropriate family or community member underpinning positive relationships with NOMS CFO programme staff, Mentors and stakeholders. The Personal Sponsor will be invited to join support sessions (e.g. whole family interventions; NOMS CFO reviews) with the participant. They will be supported through our 'Personal Sponsor Development Programme', including volunteer training and peer support.

Expanding Visitor Centres: Case Managers will work alongside Choices and through-the-gate to increase currently limited regional provision.

Eastwood Soap: Started in 2014 using Shaw Trust seed-funding, Eastwood Park mums create gifts of soap for their children. We will work with ECA-wide HMP colleagues to explore similar opportunities (e.g. personalised card making projects for children's birthdays/ achievements).

Restorative Justice: Working with the Restorative Justice Council, Victim Support and prison Governors, we will implement a programme of RJ for NOMS CFO participants for whom such interventions are appropriate.

Bookshare: HMP Dartmoor currently runs a small but successful programme using duplicate copies of donated books, one of which is given to a visiting child, and the other to their incarcerated parent. We will expand this programme, and seek to implement it across other sites.

We will facilitate access to projects such as:

Families in Mind: A befriending service for participants with a diagnosis of psychotic illness, enabling self-management to the benefit of family & community.

Working it Out: A counseling and advice service parents separated from their partners.

Storybook Mums and Dads: Helps maintain the vital bond between parent and child by enabling parents to make story CDs/DVDs and educational gifts for their children.

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.

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Our typical journey is designed to be flexible and adapted based on assessment, with stages of the Participant Achievement Guidance (PAG) sequenced to meet individual need.

Including FOUR OVERLAPPING PHASES:

1) CONNECT:

2) STABILISE:

3) CHANGE:

4) SUSTAIN:

- Interviews; Employment: We will facilitate an annual employment fayre at a designated prison in partnership with the DDC (focus on SME and public sector employment, reflecting the region); mock interviews; in-work support to sustain employment.

Mentoring: Based on initial assessment (particularly the One-Page-Profile), participants will be matched to an accredited Mentor and encouraged to positively engage. Our Mentor pool includes: Shannon Trust peer Mentors (extending the reach of existing programmes); Restore Trust/ Devon Peninsula Initiative volunteer Mentors, Footprints and West Community Chaplaincy Recovery Coaches, providing specific support for mental health or addiction).

PERSON-CENTRED REVIEWS: will be sequenced throughout the journey.

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]

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In recognition of the significant barriers faced by these groups, we will provide a 10% uplift to reduce caseloads from 44 to 35, and purchase additional interventions.

Long Sentence, facing reintegration:

Existing: Very little. RECOOP independent living skills (ILS) delivery to over 50's in Dartmoor (future funding at risk).

Our Offer: Focus on Dartmoor (25% of population over 50) and resettlement prisons. Increased ILS provision via RECOOP/ accommodation support providers. Strategic relationship with Dame Hannah's Trust to enable CMs to support ex-forces personnel facing reintegration.

Dual Diagnosis:

Existing: NOMS CFO prisons tell us that identification and service impact is challenging due to lack of understanding and fragmented multi-agency working.

Our Offer: This is both a hard-to-help sub-group and an ECA focus for the South West. Our CMs will be trained to understand DD, and the chaotic behaviours likely to manifest. Specialist CM at Guys Marsh to support wider team. Focus on strengthening multi-agency working to facilitate earlier diagnosis. Specific, sequenced services delivered by specialist health providers (e.g. St Loyes Foundation; EDP).

Females exploited by the sex industry (Eastwood Park):

Existing: Nelson Trust provides in-reach services and a community outreach worker working alongside other agencies (the Gear Project; Homeless Healthcare Team; Police; NPS) to ensure a coordinated and comprehensive service offer to this group. Scope is limited due to funding constraints.

Our Offer: Extend existing services, enabling an additional 100 women to benefit. Additional community-based CM in Dorset. Shaw Trust will not take a management fee from Nelson Trust to ensure all monies go direct to front line services HMP Eastwood Park.

With dependent families (esp. 18-24 year olds):

Existing: RECOOP family days, card making and bookmark making workshops at HMP Portland; Genius Within specialist CBT provision to offenders with LLD enabling communication and relationship building with dependent families; Storybook Mums/ Dads.

Our Offer: Focus on participants in or leaving Eastwood Park/ Portland/ Dartmoor with in-reach services at other establishments as required. Extend RECOOP, Genius Within and Storybook Mums/ Dads provision; Strengthening Families Strengthening Communities Parenting Programme and 1:1 support from SPAN UK; Mothers for Mothers post-natal depression support at Eastwood Park/ in community.

Through the care system:

Existing: Data is not gathered explicitly, so existing services are unclear.

Our Offer: Focus on Portland, but relevant to all institutions. Independent living skills (esp. budgeting; accommodation; domestics; building positive relationships, understanding detachment issues); support for building community social networks; specialist accommodation advice.

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

There are a number of changes currently occurring in offender services, most notably due to TR and, less directly, the transferring of central commissioning to LEPs. This will necessarily require us to be flexible in our approach to service delivery, developing our provision to ensure we complement other relevant services, and leveraging collaborative effort to help develop and deliver sequenced, joined-up, progressive pathways, avoid duplication and ensure that every contact matters. Not only will this approach directly contribute towards NOMS commissioning objective 2 of strengthening the integration of service delivery across the piece, but our experience of working with the most vulnerable people tells us this is the most effective way to achieve social inclusion for complex individuals.

Our Partnership team will engage with:

- all 5 LEPs in scope in the South West (specifically regarding SFA LRF, ESIF, and ERDF skills and employability focussed programmes);
- the TR provider (Working Links);
- Work Programme providers (Working Links/ Prospects);
- Prison Governors;
- other relevant providers (e.g. DWP/ SFA provision).

The aim will be to ensure a mutual understanding of all provision in scope, associated targets, and the likelihood of change over time. We will work collaboratively with providers to agree the 'mechanics' of warm handover and information sharing between programmes. This will enable a

sequenced, joined-up regional offer, ensuring continuity of support to assist in a long term and on-going rehabilitation pathway.

Where possible, we will work with the LEP, CRC and other key stakeholders to embed progression routes for NOMS CFO participants in the design of planned future services.

Similar principles will be embedded in our approach to managing individual participant journeys. We have agreed with Prison Governors at Channings Wood, Dartmoor, Guys Marsh and Eastwood Park (Leyhill and Portland to follow) that our staff will participate in sequencing, aiming to maximise impact and avoid duplication resulting in frustrated, demotivated participants. For example, where a participant is subject to a process of assessment through alternate provision, we will work with the provider to share data and intelligence (with due regard to data protection).

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 strategic alliance has significant experience of successful contract mobilisation for similarly complex, multi-stakeholder contracts.

We will deploy strategies that have proven to be successful, knowledge of the custody/probation landscape and key South West players to ensure appropriate stakeholder engagement and expectation management.

Simultaneous to NOMS-ESF implementation will be TR mobilisation. It will be important for us to work closely with Working Links colleagues to ensure a pragmatic, joined-up approach and smooth transition from current delivery.

During implementation and the first 3 months of delivery, our Partnership and Operations teams will:

- revise our regional stakeholder map to reflect developments in the landscape between now and April 2015, including anticipated clarity regarding TR provision/CRC-status/LEP priorities;
- prioritise stakeholders for engagement, and arrange meetings between the most appropriate organisational representatives to develop a mutual understanding of service offers, agree referral mechanisms, and plan for briefings and introductions for delivery staff prior to delivery commencing;
- liaise with the DDC and Deputy Director of NPS to establish appropriate stakeholder representation for a regional implementation board (with a similar function but wider representation than NOMS Regional Implementation Groups), providing a formal route for partnership/operational discussion (likely to include Governors and representatives from the NPS; OLASS provider, Weston College; TR provider, Working Links; LEPs);
- document and communicate internally/across our delivery-network regarding stakeholder concerns and aspirations, and how we might help to address these;

- set up management and review meetings (expected quarterly) with Governors/HoLSs/DDC/NPS/CRC/TR colleagues, and other stakeholders as appropriate;
- work with Marketing to produce briefing material and participant marketing to support stakeholders;
- develop a 'live' stakeholder influence/engagement/dependency-matrix to inform ongoing partnership work/staff liaison;
- analyse how Shaw Trust match-funding could be invested to address weak spots in regional service provision/support innovation, using stakeholder intelligence/strategies (in particular, LEPs/CCGs/LAs).

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

[300 words]

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Releases from Custody:

- Integrated Case Management: Our model is designed so the same Case Manager works with a participant in custody and into the community, ensuring continuity of person-centred support/ risk management. Our participant journey ensures that every contact matters, and provision is properly sequenced and targeted for each individual. This ensures they see impact and positive effects from working with us in custody, and identify their CM as a supportive, effective partner post-release.
- Planning in partnership: SW CFO Prisons are keen to build on best practice sentence/ resettlement planning and sequencing to the benefit of all offenders. This includes a commitment to working closely with all prison and community-based stakeholders to ensure the impact of interventions is not lost post-release. This provides us with a strong platform from which to engage with the CRC and NPS, as well as specialist providers (accommodation; health; DWP provision) as agreed with OMU/ CRC/ NPS colleagues to ensure a robust, continuous service and to avoid duplication of effort.

Community Starts:

- Geographical targeting: This ECA is large with diverse urban and rural populations. Accounting for this, we will target localities (identified thorough stakeholder intelligence) with the most need, concentrating our services and enabling higher impact within communities. These will be: Bristol, Exeter, Swindon, Gloucester, Trowbridge and Bridgewater. CMs will be co-located at existing Shaw Trust and partner sites initially. We aim to co-locate with Offender Managers/. NPS LDUs to ensure seamless support.
- Wraparound support: Our focus is on creating a web of supportive relationships around each participant so they are empowered to succeed. This will include the CM, Personal Sponsor, Mentor, CRC/ NPS colleagues and staff from partner agencies with whom we will work to ensure joined up delivery and consistent messages to participants, ensuring that every contact matters.

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

Integral to Shaw Trust's values is our people-centred approach, leading to a strong focus on the participant experience as a driver for programme and organisational continuous improvement.

Person-centred feedback: Participant involvement is integral to our delivery model, beginning at initial assessment where our One-Page Profile will inform the Case Manager's communication style and approach to identifying personal barriers – increasing the likelihood of positive engagement. Outcomes Star™ enables measurement of progress over time, and provides a platform for on-going discussion between participant and CM around successes (increasing positivity and motivation) and more challenging areas that may require a change in approach to achieve goals. This integration of feedback at the core of our model enables personalisation of the participant journey, and increases the likelihood of positive outcomes.

Programme-centred feedback: Whole-programme development - from identifying best practice case management to ensuring impact/ added value from specific interventions - requires accumulation of more formal feedback data to enable aggregate statistical analysis.

In all cases, the NOMS CFO Participant Feedback survey will be scheduled to take place after completion of three core activities. As default, this will be administered by the CM, however, with NOMS/ DDC/ Governors we would like to explore the use of prison call centres (currently Dartmoor/ Channings Wood/ Eastwood Park) to administer surveys, contributing to work experience, the 'Every Contract Matters' agenda, and empowering participants to take an active role in the service improvement.

In addition, and where appropriate to the operating environment, we will facilitate focus groups and administer 'spot surveys' to drill down into specific service areas.

Participant feedback is part of a suite of information (including feedback from staff/ subcontractors/ prison colleagues/ wider stakeholders/ performance data) analysed by our central Participant Care Team (CCT) to inform service improvement, best practice dissemination (cross-contract if appropriate) and organisational change. The CCT works in partnership with colleagues from operations, policy, and product development teams, subcontractor equivalents, and key stakeholders (NOMS/ Governors/ NPS) to turn recommendations into tangible, value-led actions. For NOMS CFO, this may include identification of areas that would benefit from additional investment via Shaw Trust/ the Development Fund.

****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

Prisons: We will provide a service as outlined in the specification at every prison site, including Guys Marsh (optional).

Our Partnership Manager for the region has existing relationships with, and has met representatives of each establishment in scope, beginning the process of clarifying and managing expectations according to the NOMS CFO delivery requirements, which they are aware of and support.

Guys Marsh is most likely to feel the effects of limited delivery, as it is only eligible for sub-group projects. Initial discussions indicate the prison is positive about the changes to NOMS CFO for this round and understands its limitations. An issue with the current round that we will seek to address in partnership has been a lack of understanding concerning the impacts and legacy of current NOMS CFO provision, making it difficult for the prison to identify the impact of Round 3 changes.

Having begun discussions regarding the scope and volumes available to each prison early in the process, our Partnership and Operational Teams will continue to work closely with senior prison staff to ensure they have sufficient time to source alternative provision where NOMS CFO will be limited.

Community Sites: Our Partnership team has begun a regional mapping exercise to understand where NOMS CFO is currently delivered in the community, and the specific services offered. Where there will be changes to this service, we will work with site staff and the incumbent CFO provider to ensure an awareness of changes in NOMS CFO priorities.

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

The Shaw Trust/CRI strategic alliance builds upon strong existing links with prisons/ NPS/ CRCs and other local stakeholders in the South West to ensure an integrated multi-agency approach to achieving social inclusion through consultation regarding service targeting, risk management and sequencing.

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

- Understanding and managing expectations of senior staff within prison establishments and key agencies. This includes identifying which teams the shift in focus will impact on, e.g. Family Intervention Teams; Resettlement Units.
- Transition Plans where impact will be significant, covering 1) practical effects of change in focus; 2) what direct impact that has on the stakeholder's operations, e.g. on KPIs and targets for employment; 3) how risks arising from this impact can be mitigated; 4) how this may affect referral

arrangements to NOMS CFO provision; and 5) what the remaining gaps in provision are and how we can work together to fill these.

- Preparation for this engagement by mapping the differences between our solution and that offered through legacy NOMS CFO programmes, including wherever possible engagement with the incumbent provider, Tribal.

- Production of guidelines and marketing material to educate operational counterparts about the social inclusion aims of NOMS CFO R3, as well as staff training to ensure confidence in understanding of operational boundaries and consistency of messaging.

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. OMUs/ Weston College (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;

- Outcomes StarTM will support CM 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

We specialise in supporting the most vulnerable towards social inclusion/ employment, evidenced by successful Work Programme and Work Choice contracts nationally, and the network of social enterprises and multi-agency partnerships we have built to underpin contract delivery.

Using proven strategies from other contracts, and building on long established relationships with the current South West CRCs and Working Links Senior Management, we will:

- engage existing relationships, and establish new ones with relevant Senior Management and Operational teams from the NPS/ new Working Links CRC;
- establish transparent cross-referral protocols based on assessment of need against programme-specific eligibility criteria (including regional focus and hard-to-help sub-group specifics);
- ensure training and clarity for our operational staff (including sub-contractors) of the risk environment in which we operate and inter-agency escalation protocols, facilitated by Prison/ NPS colleagues;
- establish practical inter-agency risk management and escalation protocols to safeguard participants;
- enable staff across agencies to build personal, supportive peer relationships, encouraging a proactive multi-agency working culture promoting information sharing and best practice to the benefit of all offenders in the region;
- where possible, co-locate staff to enable effective, immediate communication and problem solving, and supporting the desire of the NOMS CFO prisons to reduce reoffending by working towards IOM;
- ensure we are an active stakeholder in sentence, risk management and resettlement planning for our participants, operating according to the philosophy that a multi-agency approach is to the benefit of participants, and promoting the Every Contact Matters agenda;
- supply chain transparency, avoiding duplication;
- sharing of non-sensitive trend data regarding participant needs and effective interventions to inform service development and build legacy;
- develop an induction module for all programme staff in partnership with the NPS/ CRC to ensure contract-wide understanding of their strategic and service priorities; operating procedures; key personnel.

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 anticipation of NOMS CFO delivery, our Partnership team has developed active working links with all 5 South West LEPs in scope. These will be strengthened throughout implementation and the life of the contract to ensure effective collaboration and cross-referral.

Interfaces with LEPs are designed to provide decision-making capacity at the right level to avoid unnecessary delays in action as a result of bureaucratic sign-off procedures. This approach enables transparency, timely responsiveness and accountability in our partnership work.

Supply Chain added value: Underpinning our supply chain development has been an assessment of local links, as well as service excellence. Our Devon delivery partner (St Loyes Foundation, with whom we have an established and mutually supportive relationship) will inform and influence the Heart of the South West LEP on behalf of the NOMS CFO programme through its CEO, who chairs the LEP, and Director of Development who Chairs the ESB. Our Head of Partnerships sits on the SW OLASS Partnership Group.

Raising awareness of CFO provision: LEPs will be furnished with concise, accurate information (via briefing sessions, crib sheets and regular information sharing meetings) detailing our approach to delivery; target participants (including regional focus and hard-to-help groups); our track record of working with these groups; target outcomes; the value of CFO intervention and key changes from current CFO provision (esp. the move away from employment towards social inclusion).

Avoiding duplication: Our offer is designed to complement existing provision (e.g. 'Gloucester Works'; 'Yes to Jobs'). We will seek LEP representation on our Governance Steering Group and attend LEP working groups to ensure mutual awareness of key policies, strategies and developments, enable alignment and sequencing of service delivery, and inform future service planning.

Referring participants to LEP funded activity: During implementation we will work with each LEP and their local service providers to design referral processes, ensuring clarity of eligibility and scope of provision for Case Managers. Where possible, referral processes will be the same or similar to avoid confusion and increase efficiency – however we recognise that each LEP is structured and operates slightly differently, and we will be responsive to this.

Our internal management processes will enable us to gather data on referrals to LEP funded (and all other) provision and analyse its impact on NOMS CFO participants. This will inform Case Manager CPD, and communication with the LEP and relevant stakeholders to inform future service design.

*****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 subcontractors we have developed a comprehensive resource plan delivering meaningful support to meet individual needs; achieve targets; provide meaningful volume allocations to delivery partners.

Our South West supply chain consists of the following organisations, providing specialist Case Managers located according to the needs of the local offender population, and additional specialist support (e.g. accommodation; dual diagnosis interventions; education programmes) into which all CMs will refer to meet specific needs:

- St Lloyes Foundation: Specializing in physical and mental health; sensory/ other disabilities; autism-spectrum; long-term health conditions; long sentence; veteran support.
- Genius Within: Part of our Mentoring solution; dual diagnosis; through care; dependent families; young offenders; learning difficulties/ disabilities (incl. autism-spectrum);
- Recoop: Long sentence; veteran support; older offenders.
- BCHA: Part of our housing solution; specialist DD accommodation across the ECA; dependent families; through care.
- Restore Trust: High-risk participants; BAME; dependent families.
- Nelson Trust: Our specialist provider for women.

Supply chain coverage will be supplemented by ECA-wide spot purchasing as required (detailed within the attached Supply Chain Matrix).

Case Manager resourcing is as follows. At prison establishments, co-location with OMUs is our intention:

For Devon (transition region), 6 CMs comprising:

- General Cohort: 2.0 FTE Shaw Trust; 1.0 FTE St Lloyes Foundation, co-located at HMPs Dartmoor; Channings Wood; community support across Devon.
- ECA-focus/ hard-to-help subgroups: 1.0 FTE Genius Within, co-located at HMP Channings Wood; in-reach to HMP Dartmoor; community support across Devon. 1.0 FTE Recoop, co-located at HMP Dartmoor; in-reach to Channings Wood; community support across Devon. 1.0 FTE Nelson Trust,

co-located at St Loyes Foundation Exeter (acknowledging HMP Eastwood Park disproportionately large discharge footprint).

For the rest of the ECA, 11 CMs comprising:

- General Cohort: 2.0 FTE Shaw Trust, co-located at Leyhill; Portland; community support across Gloucester and Dorset respectively. 1.0 FTE Shaw Trust, community-based at Trowbridge, covering resettlement and community starts across Wiltshire (and Gloucester).

- ECA-focus/ hard-to-help subgroups: 1.0 FTE Restore Trust; 1.0 FTE Recoop, co-located at Leyhill, community support across Avon & Somerset and Gloucester. 1.0 FTE BCHA, co-located at Guys Marsh; community support across Dorset and Wiltshire. 1.0 FTE Genius Within; 1.0 FTE Restore Trust co-located at Portland; community support across Dorset. 2.0 FTE Nelson Trust co-located at Eastwood Park; community support to Bristol, Gloucester and Swindon (Nelson Trust will provide outreach across the ECA where CMs do not have coverage). 1.0 FTE Restore Trust, community-based (Bristol).

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

[400 words]

Shaw Trust Ltd

As a prime provider of flagship government contracts, including most recently Work Choice and Work Programme, Shaw Trust has a well-developed, experience-based system for managing performance, operating within our accredited ISO9001 Quality Management Framework. This includes 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 the South West 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 barriers to performance. 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 has extensive experience of meeting ESF audit requirements on contracts requiring regular and accurate updates of records. Examples include: 16 Work Choice contracts across the UK; SFA 14-16 NEET Prevention, ESF NEET 2011-2013, Halton; Pathways to Work.

For NOMS CFO, Case Managers will be responsible for entering information onto CATS, avoiding the risk of losing detail/ integrity as a result of handover to administrative functions. Case Managers - whether employed directly or sub-contractor staff - will be supported to do this regularly and accurately:

- Our low caseload: high quality case management model enables additional hours built into the model for regular CATS administration; longer, higher quality face-to-face time with participants using a person-centred approach, increasing the accuracy of information obtained;
- Comprehensive training including Authority-run training; complementary/ refresher sessions delivered by Shaw Trust to set targets and clarify contractual requirements for frequency and accuracy; an Operational Manual for all staff including detail of trigger points for updating CATS, and example entries of accurate, best practice data records.
- Monitoring of entries including daily sampling by our Commercial Assurance Team, with infrequencies/ inaccuracies flagged to line managers; MI and exceptions reporting; line manager spot-checks; Personal Performance Improvement Plans including remedial activity such as refresher training, peer-shadowing, and increased quality checks where entries do not meet required standards.
- Administrative checks for data integrity prior to submitting payment claims. This includes checking the accuracy of entries for all required evidence. On-going errors will be flagged to line managers.

Sub-contracted delivery staff will be subject to the same protocols and benefit from the same support as Shaw Trust employees via our Supply Chain Management and Commercial Assurance teams.

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

[400 words]

Shaw Trust Ltd

Shaw Trust has subcontracted with 700 providers across the UK, and has robust processes ensuring fair and timely payment, 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 a number of particular strengths including supply chain design to reflect commissioning needs and local landscape; proactive communication; supportive auditing (particularly for smaller 3rd sector organisations requiring additional support).

- We pay the agreed fixed service fee to partners monthly, to support cash flow and quality of service delivery;

- A Purchase Order is raised to trigger invoice submission from subcontractors monthly following rolling Shaw Trust validation of evidence (mirroring NOMS compliance processes). Where evidence does not pass validation our Quality & Compliance Team and Operations Manager will work with the subcontractor to resolve issues to enable the maximisation of claims (including additional evidence gathering to support the specific claim, and training or clarification as required to mitigate against similar issues in the future). Invoices are paid within 30 days of receipt as standard. Subcontractor claims are reconciled against Shaw Trust claims to NOMS, and alterations to payments made against the following month's claim in the unlikely event of discrepancies.

Additional provision as follows for payments to those working with hard-to-help/ ECA focus groups:

- We are offering an enhanced unit price to partners delivering these aspects of the contract to 110% of the standard outcome fee (facilitated by a reduction in Shaw Trust's management fee), to ensure the highest possible quality service is achieved. For the South West this is Nelson Trust (women); BCHA, St Lloyes Foundation and Restore Trust (NEET).

Part of our Merlin commitment to providing additional capacity building support to smaller, less cash-rich subcontractors includes flexible payment terms, such as increased up-front service fee; shortening payment terms to 20 days; guaranteeing minimum volumes for spot-purchased provision.

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 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; 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 team 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 service users who meet specific criteria (e.g. by hard-to-help cohort and location), relevant to their delivery specialisms. All such agreements are fully documented.

Where spot purchasing agreements apply, they will be regularly monitored by our Supply Chain team. 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 is 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 this better suits the specific nature of the collaboration. It may equally include instances of low-value, ad-hoc spot purchases, where the ISPA may place undue legal burdens on the subcontractor (e.g. where legal costs and complexity are disproportionate to contract value, especially for smaller or VCSE suppliers). Similarly, this may include instances where certain 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 sign-off 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 CMs 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 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 Quality & Compliance 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

We are fortunate in the South West that there is an appetite for innovation and effecting sustainable change to address weaknesses in existing offender services amongst the prison establishments in scope, including implementation of RJ and IOM, and a recognition of how Shaw Trust expertise and NOMS CFO Round 3 priorities can support this.

We have selected delivery partners with the ambition and collective vision to innovate and improve outcomes for socially excluded offenders, and to work together across the programme and in partnership with prison/NPS/CRC/Authority colleagues to foster innovation. To enable this our Partnership and Operational Teams will:

- Deliver quarterly NOMS CFO forums: to enable sharing of best practice, underpinning research and positive case studies to inform service improvement, build a culture of peer support and encourage and refresh operational staff across our supply chain;

- Participate in multi-agency forums, aiming to support IOM (IMPACT Bristol; Turnaround Devon) and Every Contact Matters agendas, and facilitate cross-pollination of ideas, risk management and service innovation;
- Use Shaw Trust reinvestment and/or Development Funding (subject to Authority approval) to expand successful projects or pilot service innovation in collaboration with key stakeholders (e.g. additional social enterprises; purposeful activity projects);
- Involving offenders in co-design of services through Participant Forums, rotating around our sites on a quarterly basis;
- Annual self-evaluation across the contract, encouraging staff to strive for innovation in their own delivery;
- Keeping up-to-date with innovative industry tools and licensing where this would benefit staff and participants. For example, we propose using Outcomes Star™ as an innovative distance-travelled tool that gives offenders visual maps to set ambitious goals, track progress, and address strengths and weaknesses;
- Shaw Trust's central Policy and Research team conducting evaluation of our services, including participant feedback, to identify innovation and best practice, informing programme development.

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

[300 words]

Shaw Trust Ltd

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

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

- Practical knowledge-based support from our Quality and Compliance Team: Supported by our Delivery Assurance Framework (DAF), to ensure consistent delivery and compliance against contract from the outset. Following the implementation of our DAF from 2013-2014, we have successfully increased our Work Choice performance in the South West by █% and our UK supply chain delivery by █%.
- Clear individual and team targets: Mapped to contractual KPIs and targets (including cost per participant to achieve outcome) to capture management information at each organisational tier, highlighting areas of quality practice, and those requiring development.
- Targeted investment: Where scope for improvement is identified, to meet participant needs and contribute to positive performance results. Continuing value for money will be driven by cost savings whilst maintaining outcomes.
- Good practice disseminated between Case Managers: Through detailed operating manuals/guidance notes, ensuring implementation of proven approaches across general and sub-group delivery.

- Prompt, clear SMART targets: Addressing potential trends towards underperformance. Supporting actions include workplace mentoring or training, with increased monitoring to ensure compliance.
- Formal subcontractor performance improvement process: involving targeted peer and management support, regular and frequent performance monitoring, and formal performance reviews. The process is escalated if underperformance persists (e.g. volume reallocation).
- Continuous cycle of identifying, reporting and implementing improvements: Supplemented through independent delivery evaluation. This will include external inspection/audit findings, and input from LDU Directors and subcontractor Quality Managers. Resultant Action Plans, with clear action ownership and deliverables, will measure compliance and progress.

*****Regional Cohort*****

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

Have you completed and uploaded the template as per instructions?

Shaw Trust Ltd

Yes

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

[400 words]

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

Shaw Trust Ltd

Our South West model provides end-to-end case management, with the same Case Manager working with a participant throughout their journey towards social inclusion where possible, or warm-handover across the CM team.

Staff coverage for the general cohort:

Devon (transition area):

- 3.0 FTE CMs covering HMPs Channings Wood and Dartmoor, and 5 community sites across the region (Beaufort House, Exeter; Bradley Lane, Newton Abbott; Totnes Rd, Paignton; Lincombe Drive, Torquay; Drew Street, Torbay) and outreach to Ilfracombe, Bideford, Tiverton, Dawlish and Teignmouth.

Rest of ECA:

- 1.0 FTE CMs based at HMP Leyhill and covering community starts/ resettlements in Gloucestershire and Avon & Somerset. 12 community sites at: Fishponds, Horfield; Southmead; Kingswood; Yate; Mendip House, Taunton; Station Rd, Cleavedon; Wadham St, Weston-super-Mare; Epsom Square, Trowbridge; Southbroom, Devises; Priory Rd, Malvern; Sandford St, Swindon; Victoria Rd, Swindon and community outreach to Bristol, Bridgewater, Glastonbury, Yeovil, Cheltenham, Stroud, Dursley, and Tewkesbury.

- 1.0 FTE CM based at HMP Portland and covering community starts/ resettlements to Dorset. Community sites at Lansdowne Rd and Christchurch Rd, Bournemouth, and outreach to Poole, Dorchester, Weymouth and Portland.

- 1.0 FTE CM based in the community at Trowbridge, covering community starts/ resettlements to Wiltshire and Gloucester.

ASSURANCE OF QUALITY/ABILITY:

All CMs operate on a mobile basis within their allocated geographical area, enabling them to support a participant from any prison, hub or satellite site to meet individual needs. Of our total ECA-wide CM team of 17, 6 will focus on the general cohort, although caseloads may include participants from ECA-focus groups to ensure we meet the needs of those with greatest needs.

In acknowledgement of the challenging nature of NOMS ESF participants, and building on previous experience of successfully moving similar cohorts towards social inclusion and employment (Progress to Work; Work Choice), we are committed to maintaining small caseloads (maximum 1:44) for the general cohort to enable the intensive support necessary to achieve programme aims.

Community sites have been selected for their accessibility by public transport, proximity to key communities into which many offenders are first released, and possibility for co-location with other relevant services. In dialogue with the Authority and local stakeholders (esp. prisons/ CRC/ NPS), we will agree which sites become main hubs and which are used as satellites based on the most likely concentrations of community participants.

Front line staff working with all cohorts are supported by ECA-wide management and administration staff.

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

ASSURANCE OF QUALITY/ABILITY - ECA focus groups for the South West are: Lifers facing reintegration; offenders with mental health, substance misuse and (particularly) dual diagnosis issues. In addition, women and BAME participants are ESF priorities that must be accounted for. These groups are also accounted for in hard-to-help subgroups.

Where possible, we will prioritise participants who meet one or more of the ECA-level foci within general cohort throughputs, ensuring we deliver to those most in need and most likely to benefit from the intensive intervention our service is designed to provide.

To this end, our case management model across the ECA uses an IOM-style approach, allowing CMs to use one another for specialist input and peer support in providing services. Supervisors and the Operations Manager will facilitate internal joint working to this end.

All subcontractors providing case management have been selected according to their specialist knowledge and background, to provide the best fit for local participants (e.g. St Loyes Foundation will provide a CM co-located at Dartmoor, enabling us to leverage their expertise in working with veterans and long-term offenders prevalent in the Dartmoor population).

Our added-value case management model for ECA focus groups reduces caseloads to 1:35, funded by reduced management fees.

To underpin and consolidate delivery for ECA focus groups, we have an additional 5 CMs across the ECA:

- 1.0 FTE Restore Trust CM specialising in BAME, dual diagnosis, dependent families and through care, co-located at HMP YOI Portland and HMP Leyhill OMUs.
- 1.0 FTE Nelson Trust female CM, specialising in supporting women towards social inclusion co-located at HMP Eastwood Park OMU.
- 1.0 FTE Nelson Trust female CM co-located with St Loyes Foundation, Exeter, acknowledging the disproportionately large discharge footprint of Eastwood Park.
- 1.0 FTE Recoop CM, specialising long-term offenders facing reintegration/ lifers based at HMP Dartmoor OMU.
- 1.0 FTE Restore Trust CM, specialising in supporting BAME participants, and based at their centre in Bristol to focus services around high BAME concentration areas of Eastville, Easton, St Pauls and St George. Restore Trust will provide additional peripatetic support across the ECA where practical, and peer support to our CM network, building knowledge and capability across the team to properly support this group;
ECA-focus CMs will provide additional community/ prison coverage local to their main base to enable end-to-end case management for participants where possible, and warm handover between CMs if required at resettlement.

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 for hard-to-help groups layer into our ECA-wide network of CMs, using an IOM-style approach to allow CMs to use one another for specialist input and peer support in providing

services. Supervisors and the Operations Manager will facilitate internal joint working to this end. Specialist CMs, specially-trained or having expert experience in supporting our hard-to-help subgroups, will be based at the location with the highest concentration of participants matching their specialisms, and providing peer support and peripatetic input (where possible) to enable capacity and knowledge building across our NOMS CFO delivery team.

Specific additional staff for these groups will include 6 FTEs as follows:

- 1.0 FTE BCHA CM specialising in dual diagnosis and dependent families. Co-located at HMP Guys Marsh OMU and serving resettlements and community starts in Dorset and Wiltshire.
- 1.0 FTE Genius Within CM specialising in through care; dependent families, LDD based at HMP YOI Portland, and serving resettlements and community starts in Dorset.
- 1.0 FTE Recoop CM specialising in dual diagnosis; long-term offenders facing reintegration based at HMP Leyhill OMU and serving resettlements and community starts in Gloucester.
- 1.0 FTE Genius Within CM specialising in dual diagnosis, through care; dependent families based at HMP Channings Wood OMU and serving resettlements and community starts in Devon.
- 1.0 FTE Restore Trust CM specialising in BAME; dual diagnosis; through care; dependent families, based at HMP YOI Portland and serving resettlements and community starts in Dorset.
- 1.0 FTE Nelson Trust female CM specialising in women exploited by the sex industry, based at HMP Eastwood Park OMU, and providing high levels of though the gate and community support in partnership with and extending the reach of Nelson Trust's existing Sex Working Women Outreach programme.

Assurance of quality / ability:

- Substantial staffing levels to deliver best quality provision to 50-100 participants per group;
- Added-value case management model reducing caseloads to 1:31, funded by reduced management fees;
- 10% financial uplift for each sub-group to ensure high quality interventions;
- Strategically selected delivery sites, including locations demonstrating the highest need or potential impact;
- CMs supplemented by specialist resource from expert providers, accessed either through spot purchase agreements or service-fee arrangements, such as Eden House

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

[250 words]

Shaw Trust Ltd

Shaw Trust has extensive experience of the submission of timely claims for individuals whose funding follows them across geographical boundaries through DWP employability contracts, including ESF and DWP Work Programme/ Work Choice. Key to assuring successful transfers are

robust administrative and quality systems involving appropriate partners. For instance, Information Sharing Protocols with stakeholders to attain claim related evidence e.g. short course completion certificates from qualification awarding bodies.

Shaw Trust's proven process involves:

- 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 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 & Compliance Team (independent of operations) will undertake verification checks to ensure consistently.

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

[400 words]

Shaw Trust Ltd

In line with Shaw Trust's charitable objective to improve the life chances of disadvantaged individuals, our approach to delivery is to prioritise continuity and quality of service for individuals regardless of our prospect of further payment. This attitude and commitment to participants has enabled us to become a top performing Prime for London East Work Programme, and our Work Choice contracts in the South West.

For NOMS CFO we will set minimum service standards (encompassing subcontracted delivery) to ensure participants receive the levels of support and intervention they personally require to move them towards social inclusion. To enable this, and to ensure delivery is not driven by outcome-based payments, Shaw Trust will take a reduced management fee, enabling unit rate uplifts to specialist subcontractors, and small Case Manager caseloads across the piece (between 35 and 44, depending on the profile of individual participants and their distance from accessing mainstream services/ achieving social inclusion).

Specific measures to ensure activity continues even when payments will not be triggered include:

- Selection of subcontractors who share our values and commitment to participant progress;

- Clear minimum standards of delivery, including: no fewer than three core activities; progression through the participant journey based on capability rather than payment triggers (e.g. short courses; training; voluntary work placements); access to a Mentor and Personal Sponsor; 'refresher support' for transferred-in participants (even where this support has already been claimed);
- Related internal KPIs, against which staff (including subcontractors) will be measured;
- Recording (using CATS) and analysing data re. non-progression (including reasons/ barriers) to ensure it is not related to funding. Where financial resource is flagged as an issue, operational and financial reassessment will take place to ensure it does not affect delivery.
- 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; 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 risk management and 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/ 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

Accurate needs identification and action planning, accounting for risks and vulnerabilities, will be promoted through meaningful assessment and review, supported by our person-centred practice approach.

- Effective screening: Case Managers will use CATS to screen daily for ESF and priority group-eligible individuals;

- Comprehensive assessment: CMs will use the CATS assessment dashboard to review centrally-held participant information, including the BCST, OASys and other assessments and resettlement plans, alongside liaising with OMU/ CRC/ NPS and other stakeholders. This pre-existing knowledge of participant needs and current interventions will be further explored during CATS assessment;

- Person-centred approach: Needs assessment and distance-travelled measurement through our added value investment in Outcomes Star™ will support co-production of a comprehensive action plan detailing proposed pathway activity. Any conflict between CATS and Outcomes Star™ assessment will be reconciled through discussions with key partners, and updated on CATS. Our One-Page Profile, which is portable across partners and provisions, will further increase the effectiveness of matching with services, e.g. supporting the matching of mentors and participants who share common interests or helping brief a specialist provider on a participant's preferred learning style;

- Regular reviews: 1-2-1 participant reviews will take place at least once-monthly, and more regularly for those requiring it, and always at key transition points such as release from custody, changes in risk or changes to an individual's situation. CMs will work closely with OMU/CRC/NPS colleagues, sub-contractors and other providers and stakeholders, to maintain an overview of

individual progress and ensure that activity remains relevant to needs and continues to plug gaps, perceived across agencies;

- Staff training: All delivery staff receive CATS compliance training, alongside other programme and quality-of-service workshops, to understand the priorities of NOMS-CFO, participant pathway stages, needs identification and services available to meet different needs;

- Prompt CATS updates: CMs will update CATS in real-time where this is possible and within one working day should real-time update not be possible. Data-inputting accuracy, timeliness and thoroughness will be monitored through regular sampling of entries by our Quality Team (with permission from the Authority), including checking for accurate transcription of notes onto the CATS system.

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

45. Detail your anticipated staff presence within each relevant custodial establishment in the ECA. Your response should provide details of discussions with stakeholders within the custodial estate, progress with logistical requirements (i.e. security clearance, access to keys, desk space, telephony, ICT) and any formal arrangements/agreements entered into. Where issues are not yet resolved, provide detail of your strategy to resolve the same including timescales for doing so.

[400 words]

Shaw Trust Ltd

We intend to provide a co-located Case Manager presence at all establishments, within, or suitably annexed to, the Offender Management Unit to provide a seamless point of referral, and optimal access to custodial participants. Indicative peak CM numbers are: Dartmoor (3); Channings Wood (2); Leyhill (3); Portland (3); Eastwood Park (2); Guys Marsh (1).

CM presence will be complemented by in-reach from other supply chain staff (operating peripatetically across prisons and community) delivering specialist interventions/ training activities. This ensures that desk-space/ facilities within establishments are prioritised for staff with custodial caseloads who can routinely liaise with prison staff and participants.

We have contacted most establishments (Leyhill and Portland to follow) to begin consultation on operational and logistical issues, and will further cement arrangements immediately after notification of contract award (subject to OJEU if applicable). Key consultation points have established the following:

- A consistent desire from establishments that OMU co-location arrangements can be accommodated;

- A broad access and security process as: 1) Vetting and security clearance; 2) Staff induction and security briefing; 3) Issuing of keys. Most of our subcontractors work within the prison estate already, complying with local prison security procedures, and are vetted key holders;

These discussions will be accelerated by our Implementation Team to ensure complete mobilisation at day 1 of delivery, and will include: staffing allocation, security clearances, keys, desk space and equipment. We expect to formalise arrangements within 4-6 weeks of contract award. Where the establishment does not provide a formal agreement template, our legal advisers will draft them based

on similar legacy agreements. We will apply rigorous staff vetting e.g. DBS checks to accelerate formal staff approval/access processes, and develop guidance on conduct, behaviours, and protocols in partnership with Prison Governors and key staff prior to staff working within an establishment.

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

[300 words]

Shaw Trust Ltd

Following consultation with representatives from prisons in scope (Leyhill and Portland to follow), we will work at all sites according to the guidance supplied at GA4.1 of the NOMS CFO final ITT document.

Our end-to-end model across the region allows us to provide the same Case Manager for participants custody, through-the-gate and into the community (or vice versa). From day 1 of delivery CMs will be based within each prison, increasing in number across the life of the contract according to profiled activity (with the exception of Guys Marsh, which will have one CM throughout).

Our model enables service delivery at Guys Marsh (optional sub-group only provision). We welcome the opportunity to focus activity here on participants with LDD and dual diagnosis needs, reflecting Shaw Trust's charitable objectives. [REDACTED] (HMP Guys Marsh) welcomes the added value NOMS CFOP will bring to current DD initiatives, and the strength of our end-to-end case management model in enabling safe accommodation and support for DD offenders upon release.

In view of the challenging nature of increasing social inclusion for NOMS CFO eligible participants, who represent the hardest-to-help offenders in the region, our Case Managers will have small caseloads (no more than 44, and flexed based on the complexity of the needs of individuals with whom they are working, down to 1:35 for CMs focusing on hard-to-help subgroups). This will ensure we are able to provide a high quality, individualised service to every participant. Because our Case Managers will be assigned geographically, rather than to specific in-custody and in-community delivery sites, we can ensure participants enjoy continuity of service throughout their individual journey through custody and into the community. This will set NOMS CFO provision apart from mainstream services, and eliminate the weak point at post-custodial transition that often results in reoffending behaviour.

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

Commercial sensitivity means we have had limited discussions with current CRCs and the TR provider (Working Links) because they too are bidding for NOMS CFO in this ECA. Our strategy

therefore, has been to secure the existing infrastructure of ST, our strategic alliance partner CRI and our supply chain for community starts in the first instance.

Appreciating that Working Links will be focusing on TR implementation, our strategy is to meet with their senior management team upon contract award, to ensure our intended approach compliments TR provision and seek co-location agreements where possible.

We hope to have a presence at all NPS LDUs, co-locating with Offender Supervisors in order to be close to where needs are assessed and referrals are made, integrating our Case Managers and the NOMS CFO services into existing offender management structures. We will continue to formalise these discussions and intend to have each agreement in place by contract start.

We will take a flexible, responsive approach to maintaining an appropriate presence at community delivery sites, over and above our own permanent and supply chain sites (detailed in Q38). This will include a mix of outreach and co-location options, including hot-desking, hire or loan of rooms, and use of public venues (e.g. libraries). Paramount to this will be a focus on securing venues suitable and accessible to individual participants. In some instances this may involve a semi-permanent/ full-time presence at some community sites, whereas others may be based on more occasional, informal and ad-hoc access.

A priority has been to identify community sites which are highly conducive to the co-location of NOMS CFO services with other key services being accessed by the same cohorts of participants locally, with common social inclusion objectives.

We will ensure that staff at 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-limits areas, and other general measures which support the wellbeing of all on-site staff and participants, including those outside of the NOMS CFO service.

We will continuously review and extend the range of community sites, maximising participant convenience and full ECA coverage.

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 demand, most recently in 2011, where referral numbers significantly outstripped profiles on our London Work Programme contract.

All NOMS CFO Case Managers will receive comprehensive training to enable them to prioritise participants where the numbers of eligible referrals outstrip profiles according to clearly defined criteria. Guidance will be drafted in discussion and negotiation with NOMS/ prisons/ CRC/ NPS/ subcontractors to identify and incorporate their strategic preferences (including priorities from annual needs assessments) and knowledge of offender population vulnerabilities and related weaknesses in local provision.

Subject to this agreement, we would likely prioritise the following participants:

- women (esp. affected by the sex industry);
- young people (esp. with dependent families);
- lifers/ long sentence facing reintegration;
- dual diagnosis;
- BAME participants.

These cohorts meet more than one ECA level focus and/or hard-to-reach sub-group criteria, and will therefore be prioritised where demand outstrips profiles as representing the very hardest-to-help from the eligible population.

As part of this approach CMs will draw on their training to make a professional judgement as to whether potential participants can benefit from meaningful support through existing mainstream provision, or whether enhanced support through NOMS-CFO is required to achieve outcomes.

We have explored contingency arrangements with our sub-contractors to continue to prioritise hard-to-help sub-groups, furthest away from mainstream services, to ensure they are not left without any support.

Our initial plans (subject to agreement with NOMS) are to absorb additional referrals of up to 10% from ECA priority and hard-to-help groups. Where this is not possible, we will consult with the Authority to explore additional funding options to support increased demand, including the potential use of Shaw Trust charitable funds.

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

[250 words]

Shaw Trust Ltd

As third sector organisations with over 70 years combined experience in increasing social inclusion, Shaw Trust and our supply chain is highly proficient in maximising the potential of ESF funding as discreet from mainstream. To ensure NOMS CFO does not become a replacement for mainstream services we will:

- work proactively with NOMS and key stakeholders (CRC/ Work Programme) to ensure the scope and eligibility of the NOMS CFO programme remain well differentiated from mainstream. Where potential duplication is identified, we will work in cooperation with stakeholders to modify services;
- ensure operational rigour, deploying experienced Quality and Finance functions with appropriate processes for outcome and claim scrutiny and a robust Supply Chain Management function operating consistently across the supply chain to avoid “mission drift”;

- provide staff training, ensuring that staff are confident in the purposes of NOMS CFO, and exercise professional judgement in identifying eligible participants, with appropriate referral to mainstream services if necessary;
- deploy a delivery structure that supports strong cross-agency relationships through co-location to increase staff awareness and understanding of other services;
- analyse management information (MI) to support gap analysis and forward planning for cohort profile changes over contract life;
- monitor the policy horizon via our experienced Policy Team who will use internal MI to advise on potential policy impacts on our cohort;

- [REDACTED]

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

Our solution for women in the South West will be delivered by the Nelson Trust, with ISIS Women's Centres in Gloucester (2013 Howard League for Penal Reform award for the best community service for women) and Swindon and a co-location agreement with Eden House, Bristol and St Loyes Foundation, Exeter.

The Nelson Trust currently provides a small, but successful prison in-reach service at HMP Eastwood Park. We propose that NOMS CFO increases the reach and capacity of this service. We will ensure the same specialist, female CM through custody and into the community for every participant, mitigating increased risk of harm or reoffending in the first 6 weeks post-release. Our 10% uplift will ensure small caseloads and therefore higher intensity support.

For vulnerable women the CM will ensure pick-up from inside Eastwood Park, removing the possibility of negative influencers such as violent partners, pimps or drug dealers becoming the first community contact. Participants will be taken to the ISIS Centre nearest home where they can shower and will receive a mobile phone (with password and credit) programmed with key telephone numbers (e.g. their CM; ISIS; housing association; benefits office), a supply of clean clothes and toiletries, emergency food; food bank vouchers as required to support their first days post-release.

Longer term, participants will have access to the full range of on-site services at ISIS including services from in-reach agencies (e.g. legal rights; housing needs; drug and alcohol problems including prescribing services), offered as drop-ins or appointments and GP services, dentists, family therapists, adult education services and free of charge counselling.

The CM will accompany participants to appointments, assessments and interviews, including court hearings and meetings with Social Services.

Where participants have difficulty travelling to ISIS, DAF may be used to help with fares or transport, or the CM will meet them somewhere more suitable at closer to home, enabling coverage across a larger proportion of the region. We have an existing strategic relationship with Women's Aid Federation England (WAFE) enabling access to an additional 11 services across the ECA including Broken Rainbow LGBT and refuge centres.

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

Shaw Trust has almost 20 years' experience of successfully delivering NEET services, most recently the SFA Stepping Forward programme in Merseyside which achieved above target progressions to further learning and employment, including for young offenders.

Our solution for NEET participants, developed in consultation with [REDACTED] (former CEO of the Youth Justice Board) accounts for the particularly complex needs of young offenders and the focus of the Transforming Youth Custody agenda.

Our offer focuses in-custody provision at HMP YOI Portland (encompassing the hard-to-help 'dependent families' sub-group), Channings Wood, Dartmoor and Eastwood Park, and provides peripatetic community support across the region.

18-24 year olds will receive enhanced case management via a 10% uplift, resulting in lower caseloads (35 participants per CM). Referrals will be assigned to the CM with the closest specialism match to the individual's most significant area of vulnerability, enabling higher impact. This enables an IOM-style approach, adding value to our case management by building a team of specialists. Our aspiration is to co-locate this team within the Prison OMU, to add further value.

Specific services will be delivered through additional spot purchases from organisations such as:

- 1625IP: currently successfully delivering NOMS CFO at HMP YOI Portland. 1625IP deliver an integrated, holistic package of support that addresses a range of needs including housing, health, EET, money, confidence, resilience, relationships, choices, behaviour and offending. They offer a prison-gate pick-up service, and 56 single occupancy units of high support emergency accommodation (Bristol Foyer and St Georges House) and in excess of 200 units of shared and self-contained supported housing.

- Genius Within: Learning difficulties are a significant barrier for NEETs, where these are identified, the GW Memory Course will enable participants to develop communication skills and strategies to better engage with mainstream provision.

CMs assigned to NEETS will be supported by ILM Level 5 accredited Mentors from Genius Within, whose specialism and approach targets the underlying cognitive causes of neuro-differences.

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

The BAME population in the South West is relatively small, and the group represents just over 10% of the total population of prisons in scope. In the community, BAME communities are mainly concentrated in the Bristol area. Our solution mirrors this, focussing services around Eastville, Easton, St Pauls and St George in particular, with an ad-hoc peripatetic offer from Restore Trust in prisons, as required to meet individual need.

Our model focuses on services from specialist partners such as:

- Restore Trust: specialising in case management support for BAME offenders, with strong existing relationships with Shaw Trust.
- Rethink Mental Illness BAME Service: providing 1:1 support to access community facilities and BAME-focussed voluntary sector provision across Bristol, including interpreters.
- BAWSO; Bristol Women's Voice; Integrate Bristol: providing specialist support for BAME young people who have arrived in the region from other countries and cultures. Using these relationships we will facilitate access to specialist provision as required, including refuge, advice and interpretation services and specific support for BAME women at risk/ victims of female genital mutilation.
- Nilaara: a community based organisation in Easton, Bristol providing culturally appropriate services to adults with complex needs, such as dual diagnosis.
- Bristol Together Social Enterprise: offering direct employment opportunities for BAME ex-offenders.

Specific support these partners may provide (dependent upon identified participant needs) address issues prevalent in BAME communities, such as:

- 'Living with Dual Diagnosis', a CBT based programme to empower individuals to improve their mental wellbeing;
- 'Living Life Without Cannabis', a six week course to help participants understand more about the impact of cannabis on physical, emotional and psychological wellbeing in order to make positive changes;
- 'Men Managing Depression', a CBT based course specifically designed to explore areas of resilience and strengths and provides strategies and tools for coping;
- Specialist counselling service for over 55 BAME participants;
- 'Manhood and Meaning', a talking therapy provision to empower community integration.

This demographic is important to ensure contractual diversity, and adherence to the 2011 Equality and Human Rights Act.

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