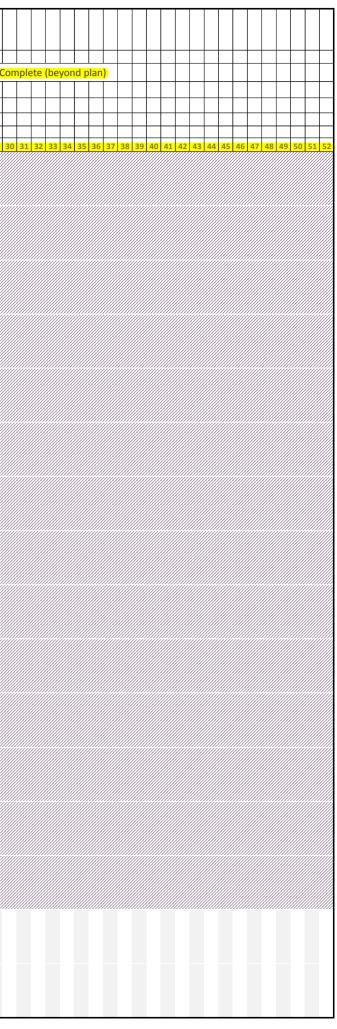
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	NOMS Implement				-			<mark>0%</mark>	Period Hig	<mark>ghlig</mark> l	ht:	1		_ <u>////</u> P	lan	// Actu	ual)	<mark>%</mark>	Comp	lete //	Actu	al (bey	/ond p	lan)	<mark>%</mark>
Key Task	Key Task Description List each Key Task below and estimated percentage of overall plan.	Percentage of overall Plan	Plan PLAN START	PLAN	ACTUAL START				Percent Complete	DEDI															_
	List each key lask below and estimated percentage of overall plan.		Week	Weeks				Tevieweu	Project	1	2 3	4 5	6 7	8	9 10 1	1 12	13 14	15 16	17 1	8 19 2	0 21 2	2 23 2	4 25	26 27	<mark>28</mark> 29
Key Task 01	Project governance - led by Contract Director	<mark>10%</mark>	1	52	0	-1	0%		<mark>0%</mark>																
Key Task 02	Subcontractor contracts and mobilisation - led by Contract Director	<mark>10%</mark>	1	52	0	<mark>-1</mark>	0%		0%																
Key Task 03	Staff mobilisation (including TUPE & recruitment, and staff training) - led by Head of HR	<mark>5%</mark>	1	<mark>52</mark>	0	<mark>-1</mark>	0%		0%																
Key Task 04	Vetting and security clearances - led by Head of HR	<mark>10%</mark>	1	<mark>52</mark>	0	-1	0%		0%																
Key Task 05	Stakeholder agreements - led by Contract Director	<mark>(5%)</mark>	1	52	0	-1	0%		0%																
<mark>Key Task 06</mark>	Premises mobilisation - led by Finance Director	<mark>5%</mark>	1	52	0	<mark>-1</mark>	0%		0%																
Key Task 07	Communications (including stakeholders, marketing and publicity) - led by Head of Marketing	<mark>.5%</mark>	1	<mark>52</mark>	0	-1	0%		0%																
<mark>(Key Task 08</mark>)	Recruitment of participants - led by Contract Director	<mark>10%</mark>	1	52	0	-1	0%		0%																
<mark>(Key Task 09</mark>)	IT and information security - led by Head of IT	<mark>.5%</mark>	1	52	0	-1	0%		0%																
Key Task 10	Operating policies and procedures agreed (including performance, quality, finance & audit) - led by Contract Director	<mark>5%</mark>	1	52	0	-1	0%		0%																
<mark>(Key Task 11</mark>)	Contract and performance management - led by Contract Director	<mark>15%</mark>	1	52	0	-1	0%		0%																
Key Task 12	Finance & Commercial management - led by Finance Director	<mark>.5%</mark>	1	52	0	-1	0%		0%																
Key Task 13	Mentoring - led by Sova Mentoring Team Leader	<mark>5%</mark>	1	52	0	-1	0%		0%																
Key Task 14	Services Mapping - led by Contract Director	<mark>(5%)</mark>	1	52	0	-1	0%		0%																
Key Task 15			•	-	•	•	-		0%																
			•	-	•	-	-		0%																



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Key Task	Key Task Description List each Key Task below and estimated percentage of overall plan.	or overall Plan	START	DURATION			NCOMPLETE		Percent Complete	e PERIOD)S																						
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Activity	Activity Description		Week	Weeks W	/eek Weeks	Complete	Key Task 01	1 2 3 4	1 5 6 7	8 9 10 1	1 12 13 14	15 16 17 18	19 20 21	22 23 24	25 26 27	28 29 30	31 32 33	34 35 36	6 37 38 3	39 40 41	42 43 44	45 46 47	48 49 50	51 52
Activity <mark>1</mark>	Implementation team established (PRE-APRIL)	<mark>0.05</mark>	, <u>1</u>	1			0%	_																•
Activity 2	Agree reporting measures for Implementation Team (inc. SC partners) [PRE- APRIL] [PARALLEL ACTIVITY]	0.05	1	1			<mark>(0%)</mark>																	• •
Activity 3	Create Project Initiation Documentation (PID) [PRE-APRIL] [PARALLEL] ACTIVITY]	0.05	1	1			0%																	• •
<mark>(Activity 4</mark>)	(xion board approval of contract signature, proposed implementation plan(s) and implementation Risk Register (milestone) [PRE-APRIL]	0.025	. 1	1			0%																	•
Activity 5	Contract signature (milestone) [PRE-APRIL]	0.025	1	1			<mark>0%</mark>																	•
Activity 6	Implementation programme team meetings (weekly)	0.15	-	14			0%																	
Activity 7	Implementation programme contractory (vices y a finplementation progress reviews between Ixion and NOMS (monthly or more requiarly as requested)	0.15		34			0%)																	
Activity 8	regularity as requested) Weekly implementation feedback to all key stakeholders (prisons, CRC etc.)						0%																	
Activity 9		0.1		14			0%				,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,													• •
Activity 10	Programme-specific Risk Register created [PRE-APRIL] Develop and sign off Asset Register and contract Exit Plan (required)	0.05		1			0%																	• •
Activity 11	collaboration with NOMS) Monthly risk monitoring and review	0.05	4	4			0%																	_
Activity 12		0.15	1	52			0%																	-
Activity 13	Monthly delivery feedback to all key stakeholders (prisons, CRC etc.)	0.05	15	38			0%				3													
Activity 14	Monthly performance reports to Ixion Board)	0.05	18	35			0%																	
Activity 15	Monthly performance reporting to NOMS	0.05	18	35			0%																	
Activity 16	Quarterly contract reviews with NOMS existing, experienced lxion staff; all PID tried-and-tested on large-scale, complex mobilisations; weekly reviews will identify early signs of setbacks/issues which will be immediately addressed through our dedicated) resource	0.05	27	26 52			0%																	

xion Holdings (Contracts) Limited																																			Γ
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Activity <mark>Planner</mark>						reviewed below	Period Highlight:			1	- 🅢 PI	an 🖉	Actu	al	% C	omplet	e ////	Actual	(beyor	nd plan)	% Con	nplete	(bey	ond pla	an)									
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tivity Activity Description		Week	Weeks	Week	Weeks	Complete	Key Task 01	1 2	3 4	5 6	7 8 9	10 1	1 12 1	3 14 1	15 16	17 18 1	19 20 3	21 22 2	23 24	25 26	27 28	29 30	31 32	33 3	4 35 3	36 37	38 39 4	40 41	42 43	44 45	46 47	48 49	50 51	. 52	+
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Key Task 02	ts and mobilisation - led by Contract Director	Key Task 02	Activity Act	ivity Actual		Percent of Activity	Completed Percentage	PERIODS			++++												
Activity	Activity Description		Week We			Complete	Key Task 02				0 11 12 13 14	3 19 20 2	1 22 23 24	25 26 27 28	3 29 30 31	32 33 34	35 36 3	7 38 39 4	41 42	43 44 45 4	6 47 48		52
Activity 1	Confirm subcontractor implementation teams are in place, including named Staff and key points of contact [PRE-APRIL]	0.05	1	1			0%																• •
Activity 2	Commercial Team conduct ISPA review and hold ISPA consultation briefings with all subcontractors [PRE-APRIL]	0.1	1	1			0%																••
Activity 3	Discuss and draft subcontractor contracts [PRE-APRIL]	0.05	1	1			0%																••
Activity 4	Undertake detailed subcontractor due diligence [PRE-APRIL]	0.15	1	1			0%																• •
Activity 5	Review draft subcontractor contracts post head contract signature [PRE- APRIL]	0.05	1	1			0%																• •
Activity 6	Negotiate final subcontractor contracts [PRE-APRIL]	0.05	<mark>1</mark>	2			0%																•
Activity 7	Sign final subcontractor contracts (milestone)	0.025	1	2			0%		,,,,,,,,														
Activity 8	Confirm TUPE impact for subcontractors	0.05	2)	<mark>4</mark>			0%)																• •
Activity 9	Audit of all proposed subcontractor premises	0.075	2)	<mark>4</mark>			0%																••
Activity 10	Subcontractor staff recruitment (as required)	0.05	1	<mark>6</mark>			0%)																••
Activity 11	Subcontractor staff training (see staff mobilisation key task)	0.05	1	2			0%)		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,														
Activity 12	Subcontractor staff vetting (see vetting and security clearances key task) [PRE- [APRIL]	0.05	1	<mark>6</mark>			0%)					 ,											• •
Activity 13	Staff briefings conducted on performance/quality monitoring and management	0.025	13	<mark>6</mark>			0%)																•
Activity 14	Subcontractor delivery go-live (milestone)	0.025	<mark>.14)</mark>	<u>1</u>			0%)					 								,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		
Activity 15	Ongoing subcontractor performance management (see Contract and Performance management key task)	0.2	14)	39)			0%			.,,,,,,													_ •
Activity 16	commenced September 2014; all subcontractors must develop respective Implementation Plans which will be monitored by our Project Team to ensure they are robust, and mitigate the impact of mobilisation on other business areas; all key day one staff selected from existing staff.	0	1	52			0%																-

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y Task 02		Key Task 02		Activity		Actual	Percent	Completed	PERI	IODS		++			-											++							+	+
	ts and mobilisation - led by Contract Director			Duration		Duration	of Activity	Percentage	T																									+
tivity	Activity Description	1	Week	Weeks	Week	Weeks	Complete	Key Task 02	1	2 3	4 5	6 7 8	9 10	11 12	13 14	15 16	17 18	19 20 2	1 22 2	3 24 25	26 27	28 29	30 31	32 33	3 34 35	5 36 3	7 38 3	9 40 4	1 42 4	3 44 4	5 46 4	48 49	50 5	51 5
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Key Task 03 Staff mobilization (in	cluding TUPE & recruitment, and staff training) - led by Head of HR	Key Task 03			Actual A Start Di		Percent of Activity	Completed Percentage	PERIO												+						
Activity	Activity Description	-					Complete	Key Task 03						12 13									42 43	44 45 46	47 48 4	19 50 51	52
Activity 1								<mark>0%</mark>																			•
	Staff identified for key contract and implementation roles [PRE-APRIL]	0.025	1	1																							
Activity 2	Staff training plan developed collaboratively by Ixion and subcontractors, and	D						<mark>0%</mark>																			
	approved by Ixion and NOMS [PRE-APRIL] [PARALLEL ACTIVITY]	0.05	5 1	1					-																		
Activity 3								0%																			
Activity 3	Construct TUPE Process Plan [PRE-APRIL] [PARALLEL ACTIVITY]							070																			
	CONSCIDENTIONE FIOLESS FIGH [FRE-APRIL] [PARALLEL ACTIVITY]	0.025	y 1	1																							
Activity 4	Phase One - open recruitment for frontline contract roles (ixion and)							0%																			
	subcontractors as required) - advertised on key industry sites, internally and, via recruitment agency relationships [PRE-APRIL]	0.05		1																							
Activity 5								<mark>0%</mark>																			•
	Phase One - frontline job applications close and are sifted [PRE-APRIL]	0.05	1	1																							
Activity 6	Phase One - interviews held and offers made subject to contract sign-off [PRE							<mark>0%</mark>																			•
	APRIL]	0.05	; <mark>1</mark>	1																							
Activity 7								<mark>0%</mark>																			
	Phase One new starter contacts signed	<mark>0.05</mark>	<mark>.</mark>	1					-		,																
Activity 8								0%																			
ACTIVITY 8	Request Employee Liability and due diligence information, further review TUPE lists	_						0 /6																			_
		0.15	5 <u>1</u>	<mark>4</mark>																							
Activity 9								0%																			
	Establish TUPE transfer date with outgoing employer and NOMS	0.025	4	2																							
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Activity 10								<mark>0%</mark>																			
	Commence communications activity to current and transferring staff	0.125	5 1	13										//////.													
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Activity 11	Engage trade union officials, elected representatives and establish employee representatives. Undertake consultation activity.							<mark>0%</mark>																			
	representatives. Undertake consultation activity.	0.05	1	<mark>13</mark>					_/////	///////		///////////////////////////////////////	///////	//////.													+
Activity 12								0%			1/////																
ACTIVITY 12	Development of the second of Cilling and the second of the							0%			11/1/																
	Readvertise contingency to fill any remaining roles as required	0.05	5	2					-										/////	//////							
Activity 13								0%																			
	Liaison with NOMS on SyOps training [PARALLEL ACTIVITY]	0.05		30																							
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Activity 14								<mark>0%</mark>																			
	Staff training rolled out to Ixion, Pact and subcontractor staff	0.1	L <mark>) 7</mark>	5																							
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Activity 15	Plan staff induction process and day/week/month one actions [PARALLEL]							<mark>0%</mark>				1															
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	Staff inductions complete (milestone)	0.025	13	1										111.													

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· ·	ctivity 20 week and prison clearances within 4-6 weeks; Ixion have PSL relationship with local specialist recruitment agencies who can recruit temporary supp	25	0%	
	ctivity 21		0%	
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ACUN	<i>ity</i> Planner				reviewed below	V Periou Highligh		1		Actual	<i>%</i> C	ompiete 💋	Actuar	Ueyonu		% comp	iere (peyr	Jilu pian	,		+++			
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Key Task 04		Key Task 04	Activity Activ	vity Actual Actual	Percent	Completed	PERIODS	;																
Vetting and security c	learances - led by Head of HR		Start Dura	tion Start Duration		Percentage																		
Activity	Activity Description		Week We	eks Week Weeks	Complete	Key Task 04	1 2	3 4 5 6	7 8 9 1	.0 11 12 13	14 15 16	17 18 19 2	21 22 2	23 24 25	26 27 28	29 30 3	1 32 33 3	4 35 36	37 38	39 40 41	L 42 43 4	4 45 46 47	48 49 50	51 52
Activity <mark>1</mark>	Creation of central staff SyOps, BPSS and vetting register and info to NOMS on process on how to access this info	0.05	1	4		0%																		•
Activity 2	DBS checks submitted and completed for all day one staff	0.15	2	6		0%)																		• •
Activity 3	BPSS clearance for all new and TUPE staff finalised	0.15	4	5		0%																		•
Activity 4	SyOps training for first recruits and internal transfers	0.05	4	10		<mark>0%</mark>																		
Activity 5	SyOps training for TUPE transfers	0.05	14	10		0%)																		•
Activity 6	SyOps training for new recruits and subcontractor staff	0.05	14	26		0%																		•
Activity 7	SyOps training completed for all staff (milestone),	0.05	33	1		0%																		
Activity 8	Home Office vetting applied for all custody staff and managers	0.1	4	q		0%																		
Activity 9	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum, access as appropriate for HMP Birmingham completed (milestone).	0.04	13	1		0%)																		
Activity 10	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMYOI Brinsford completed (milestone)	<mark>(0.04</mark>	13	2		<mark>0%</mark>																		-
Activity 11	Vetting, prison clearance (inc. key holder, H&S, risk training) and Ouantum access as appropriate for HM Drake Hall completed (milestone)	<mark>0.04</mark>	13	1		0%)																		
Activity 12	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMP Featherstone completed (milestone)	<mark>0.04</mark>	13	1		0%)																		
Activity 13	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMP Hewell completed (milestone)	<mark>0.04</mark>	. <mark>13</mark>	1		0%)																		
Activity 14	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMYOI Stoke Heath completed (milestone)	0.05	1 <u>3</u>	1		0%																		
Activity 15	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMYOI Swinferi Hall completed (milestone)	<mark>(0.05</mark>	13	1		0%																		
Activity 16	Vetting, prison clearance (inc. key holder, H&S, risk training) and Quantum access as appropriate for HMYOI Werrington completed (milestone))	0.05	13	1		<mark>0%</mark>																		-

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	earances - led by Head of HR	Percentage of Key Task 04	Activity Start	-	Actual Start	Actual Duration	Percent of Activity	Completed Percentage
ctivity 17	Activity Description RISK MITIGATIONS/CONTINGENCIES: Pact has systems in place to process DBS checks online within 1 week and prison clearances within 4-6 weeks; all Current case management staff are pre-vetted.		Week	Weeks	Week	Weeks	Complete	Key Task 04
tivity 18								0%)
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Activ	<mark>/ity Planner</mark>					Insert Date reviewed belov	Period Highlight:	:	1		Plan	Actual	%	Complet	e 🕖 Ac	ctual (bey	rond pla	n) 9	% Comple	ete (beyo		ו)								-
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Key Task 05	nts - led by Contract <mark>Director</mark>	Key Task 05	Activity A	Activity Ac	tual Actual	Percent of Activity	Completed Percentage	PERIODS																						+
Activity	Activity Description				eek Weeks		Key Task 05	1 2 3	3 4 5	6 7 8	9 10 1	11 12 13	14 15 10	6 17 18 1	19 20 21	1 22 23 2	4 25 26	27 28 2	29 30 31	32 33 3	34 35 36	37 38	39 40 4	41 42 4	3 44 45	46 47 4	8 49 50	1 52		t
Activity 1	Agreements in principle discussed with key stakeholders e.g. HMPs, CRQ	0.15	1	1			<mark>0%</mark>)																					•	•	
Activity 2	Monthly CRC (TR) meetings: January - post premises review; February - following programmes review (PRE-APRIL)	0.1	<u>1</u>	1			0%																					•	•	
Activity 3	Remaining stakeholder engagement and planning meetings completed () inc. development of SLAs, colocation arrangements and local delivery issues e.g. Eligibility criteria and optimising marketing)	0.2	1	4			0%										,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,											•	•	
Activity 4	Quarterly CRC (TR) partnership meetings: April - finalise SLA and data; sharing	0.05	1	<mark>52</mark>			0%																							
Activity 5	SLAs and/or colocation agreements developed/	0.075	3	4			0%																					•	•	
Activity 6	SLAs and/or colocation agreements signed (milestone)	0.025	5	5			0%																					-	•	
Activity 7	Day one eligibility criteria developed)	0.05	3	4			0%				<i></i>																	•	•	
Activity 8	Day one eligibility criteria finalised (milestone)	0.025	5	5			<mark>0%</mark>																					-	•	
Activity 9	Referral processes (into and from NOMS CFO) co-developed	0.1	5	8			0%																					•		
Activity 10	Referral processes confirmed (milestone)	0.025	8	8			<mark>0%</mark>											,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,										-	•	
Activity 11	Meetings with LEP leads - quarterly	0.05	9	44			0%)																					//// <mark>_</mark>	•	
Activity 12	Mapping of and attendance at regional steering groups	<mark>0.1</mark>	14	39			<mark>0%</mark>)																							
Activity 13	Meetings held with neighbouring Prime contractors regarding transfers in/out to agree warm handovers (inc. female estate)	0.05	14	4			0%)		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,	-	•	
Activity 14	(Development Manager) will ensure focus on this key task; key stakeholder meetings commenced and in-principle agreements already; secured; ixion will create a robust SLA which can be quickly tailored for each stakeholder	<u>0</u>	1	<mark>52</mark>			<mark>0%</mark>)																						•	
Activity 15							0%																					•	•	
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Activ	vity Planner				Insert Date reviewed below	Period Highligh	it:	1			Actua		6 Complete		ial (beyo	nd plan)	% 0	Complete	(beyon	nd plan)									
Key Task 05 Stakeholder agreeme	nts - led by Contract Director	Percentage of Key Task 05	Planning Activity Activity Start Duratio	Activity y Actual Actual n Start Duration	Percent	Completed	PERIOI																						
Activity	Activity Description		Week Weeks			Key Task 05	1 2	3 4 5	5 6 7	8 9 10	11 12 13	14 15 1	6 17 18 1	19 20 21 2	22 23 24	25 26 27	28 29	30 31 32	33 34	35 36	37 38 3	39 40 4	1 42 43	44 45	46 47 48	49 50 !	51 52		
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Key Task 06		Key Task 06	Activity /	Actual	Actual	Percent	Completed	PERIODS															
Premises mobilisation Activity	- led by Finance Director Activity Description		Start D Week	weeks Week	Duration Weeks	Complete	Percentage Key Task 06	123		789	10 11 12 13	14 15 16 17	18 19 20	21 22 23	24 25 26 27	28 29 30 3	31 32 33 3	4 35 36 37	7 38 39 40	41 42 4	3 44 45 46	47 48 49 5	50 51 52
Activity 1	Confirm all delivery sites for go live [PRE-APRIL]	0.2	1	1			<mark>0%</mark>																•
Activity 2	Sign off and confirm delivery sites						0%																•
Activity 3		0.05	<u> </u>	<u></u>			0%	<u></u>															
Activity 4	Colocation agreements signed (milestone)	0.1	<mark></mark>	5			0%																
Activity 5	Heath and safety and information security assessments	0.1	6	6			0%																
Activity 6	Lease for contract management staff base negotiated	<mark>(0.075)</mark>	<mark>6</mark>	2			0%	-															_
	Lease for contract management staff base signed (milestone)	<mark>0.025</mark>)	8	1																			
Activity 7	Furnishing (as required), including installation of IT)	(<mark>0.05)</mark>	9	4			0%				//////. /////.												
Activity 8	Programme advertising as per EU requirements installed	0.1	12	2			0%																_
Activity 9	Confirm staff to be based at each location to stakeholders	0.1	12	2			0%																-
Activity 10	Final site inspections completed (milestone)	0.2	13	1			<mark>0%</mark>																-
Activity 11	allocated NOMS CEO space/infrastructures and are already secure to DWP/SFA standards; each subcontractor has existing infrastructure including local delivery sites with the basic ICT/telephony in place; colocation agreements are in place across supply chain offering contingency space across) s <u>o</u>	<mark>1</mark>	52			0%																
Activity 12							0%)																•
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y Task 06		Key Task 06	Activity	Activity	Actual	Actual	Percent	Completed	PERIODS	;																					+
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tivity	Activity Description		Week	Weeks	Week	Weeks	Complete	Key Task 06	1 2 3	3 4	6 7	8 9 1	10 11 12	2 13 14	15 16	17 18 19	9 20 21	22 23 2	4 25 26	27 28	29 30	31 32	33 34 3	5 36 3	7 38 3	9 40 43	1 42 43	44 45 46	47 48 4	9 50 5	51 57
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Key Task 07		Key Task 07	Activity Activ		Actual	Percent	Completed	PERIO																			+++	++
	uding stakeholders, marketing and publicity) - led by Head of Marketing	Rey Tusk of	Start Dura	ion Start	Duration	of Activity	Percentage																					
Activity	Activity Description		Week Wee	ks Week	Weeks	Complete	Key Task 07	1 2	3 4 5	6 7 8	9 10	11 12 13	14 15 16	17 18 19	20 21	22 23 24	25 26 2	7 28 29	9 30 31	32 33 34	35 36	37 38 3	39 40 4	11 42 43	3 44 45	46 47 4	3 49 50	51 52
Activity 1	Executive summary of solution/ bid approved by NOMS and distributed to						<mark>0%</mark>																					
	key stakeholders [PRE-APRIL] [PARALLEL ACTIVITY]	0.1	1	1																								
Activity 2							<mark>0%</mark>																					
	Communications and marketing plan, covering internal (staff) and external stakeholder engagement reviewed and finalised [PRE-APRIL]	0.15	-	-																								
	Stakeholder engagement reviewed and delivered - inc. bid submission summary	0.13		-						///////////////////////////////////////	///////	///////////////////////////////////////			///////			//////		///////////////////////////////////////	///////					///////	///////	///////////////////////////////////////
Activity 3	and next steps; post award call and introduction of implementation plan;						0%																				//////	//////
Activity 5	implementation update pre go-live then ongoing annual performance and	_		_			0,0]/////	
	strategic updates	0.1	2	51	+		-	- //					(1111111)	01111111	(11/1///		(11111111		(1/1////		///////	(//////	(1/1////	(11111)	()/////////////////////////////////////		///////	:////h
Activity 4							<mark>0%</mark>		////////																			
	Marketing collateral designed	0.1	2	4	_				//////////////////////////////////////																			_
Activity 5	Meet with NOMS Marketing & Comms lead to agree strategy alignment and						<mark>0%</mark>																					
	secure sign-off on marketing & comms collateral [PARALLEL ACTIVITY]	0.025	6	2																								
										11)																		
Activity 6							0%																					
	Develop partner presentation and CRC-specific pre-release programme materials			-			_																					
	inaterials,	0.05		1				-																				-
Activity 7							0%																					
Activity 7	Participant Information Resources (subcontractor agnostic) designed and						070																					
	signed-off by Ixion and NOMS	0.125	7	<mark>6</mark>																								
Activity 8							<mark>0%</mark>					1.																
	Share marketing materials with subcontractors and key stakeholders	<mark>0.05</mark>	8	4								//																
Activity 9	Information and guidance on NOMS CFO and appropriate referrals developed						<mark>0%</mark>																					
	and disseminated to stakeholders (including latest eligibility criteria)	0.1	8	10																								
	Communications Plan in place for out-of-scope prisons - including booked										1/////	11.																_
Activity 10	visits to explain NOMS CFO and discuss ways of working with/tracking						0%					1.																
	participants who transfer in/out of their establishment during time on programme [PARALLEL ACTIVITY]	0.05		-							/////	1,																
		0.05	9	9								innnn																////// <u></u>
Activity 11							0%																				'//////	//////////////////////////////////////
	Weekly stakeholder implementation updates provided, moving to monthly performance updates from Go Live and annual case study publications	0.15																									//////	/////
	performance opdates from Go Live and annual case study publications	0.15	1	52	1			-			//////////////////////////////////////							'////// //////									'/////////////////////////////////////	'/////
Activity 12	RISK MITIGATIONS/CONTINGENCIES: Marketing Team in place and						00/																				Y//////	//////. <mark></mark>
Activity 12	experienced at ESF marketing guidelines through current contracts;						<mark>0%</mark>																				//////	//////////////////////////////////////
	stakeholder feedback has been taken on board in all collateral design planning	0	1	<mark>52</mark>				_//////	///////////////////////////////////////	///////////////////////////////////////	///////////////////////////////////////	///////////////////////////////////////	///////////////////////////////////////	///////////////////////////////////////	(111111	///////////////////////////////////////	///////////////////////////////////////	///////	///////	///////////////////////////////////////	(111111	///////	//////	(111111	///////////////////////////////////////	///////	///////	'///// <u></u>
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Key Task 07	Key Task 07	Activity	Activity	Actual Actual	Percent	Completed	PERIODS	S																			
Communications (including stakeholders, marketing and publicity) - led by Head of Marketing				Start Duration		Percentage						+ $+$ $+$															
Activity Activity Description		Week	Weeks	Week Weeks	Complete	Key Task 07	1 2	3 4 5	6 7	8 9	LO 11 12	2 13 14	15 16 17	18 19 2	0 21 22	23 24	25 26 27	7 28 2	30 31	1 32 3	33 34 3	15 36 3	7 38 39	40 41	42 43 44	45 46	47
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		Percentage of			Activity		nitoring						
Key Task 08		Key Task 08		Activity	Actual Actual	Percent	Completed		5				
Recruitment of partic	ipants - led by Contract Director	4	Start C		Start Duration Week Weeks							14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44	
Activity 1	Activity Description Information and guidance regarding NOMS CFO and appropriate referrals developed and disseminated to stakeholders (including latest eligibility) criteria) [PARALLEL ACTIVITY]	0.1	Week	10	Week. Weeks	Complete	(Key Task 08)		3 4 5			14) 25) 26) 27) 25) 29) 41) 42) 43) 44) 45) 46) 47) 45) 46) 45) 44) 45) 46)	<u>45 46 47 48 49 50 51 52</u>
Activity 2	Marketing distributed in prison and community locations (milestone)	0.025	8	45			0%)						
Activity 3	Eligibility criteria, data sharing and referral mechanisms agreed and documented in SLAs with all stakeholders	0.125	8	5			0%						
Activity 4	Meeting with incumbent prime to present our proposed programme and ensure staff are able to explain changes to participants	0.025	8	2			0%						
Activity 5	Presentations delivered to all partners co-locating in delivery sites (milestone)) (0.25	8	5			0%)						
Activity 6	CRC-specific co-design on programme presentation on their pre-release programme - ready for dissemination across sites	0.05	8	<mark>-4</mark> -			0%						
Activity 7	Month one participant appointments booked	0.05	12	5			0%						
Activity 8	Staff in place to receive and allocate referrals from day one (milestone)	0.05	<mark>. 14</mark>	14			0%						
Activity 9	On-going recruitment of participants and adaptation of recruitment methods and eligibility criteria to optimise numbers of most suitable referrals held during bidding phase and referral routes/data sharing protocols	0.325	14	<mark>39</mark>			0%			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			
Activity 10	established; our recruitment strategy draws on past experience of referral fluctuations in similar contracts; we will anticipate any uptake issues through referral analysis and manage this data through referral reports to the Contract) (0	1	52			0%						
Activity 11							0%						
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Key Task 09		Key Task 09	Activity	Activity	Actual A	Actual Percent	Completed	PERIODS																			
IT and information se	curity - led by Head of IT	4	Start	Duration	Start Du	uration of Activity	Percentage Key Task 09	1234														\vdash					
Activity	Activity Description		Week	Weeks	Week	Veeks Complete	Key Task 09		5 6 2	8 9 10	11 12 13	14 15 1	6 1/ 18 1	9 20 21	22 23 24	4 25 26	27 28	29 30 3	1 32 33	34 35 3t	5 37 38	39 40 4	1 42 43	44 45 4	6 47 48	49 50 51	52
Activity 1							0%																				
	Draft contract-specific Information Security Management System [PRE	- 0.15	1	1																							
		0.15	-						8																		
Activity 2							0%																				
	Business Continuity Plan created and signed-off [PARALLEL ACTIVITY]	0.075	1	4																							
Activity 3							0%																				
	Inventory and assessment of legacy IT	0.05	1	6																							
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Activity 4							0%																				
	Procurement of additional/new hardware as required	0.05	5	6																							
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Activity 5	Tells for a fiblic in bound Television in interest with the UD territion						0%																				
	Tailoring of Ixion in-house IT systems e.g. intranet, online HR training [PARALLEL ACTIVITY]	0.1	5	6																							
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Activity 6							0%																				
	Creation of Ixion central database to track SyOps training, InfoSec procedures, CATS applications, register of IT kit [PARALLEL ACTIVITY]	0.1	1	7.																							
		0.1	_	4					,	- ///																	
Activity 7							0%																				
	Installation of new hardware	0.1	10	1																							
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Activity 8							0%																				
	Installation of encryption	0.1	10	3																							
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Activity 9							<mark>0%</mark>			1																	
	Systems architecture review - hardware and software testing complete)	0.05	11	1																							
Activity 10							<mark>0%</mark>																				
	CJSM email set ups	0.05	12	2							/////																
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Activity 11	All in-house/subcontractor staff successfully complete ISMS and SyOps						0%												//////								
	training prior to commencing delivery	0.15	4	30						////////									//////								
											11																
Activity 12							0%				1																
	Schedule shared of info-sec reviews via onsite inspections	0.025	13	1																							
	based laptops (when appropriate for outreach delivery) with 3G wireless																					///////					
Activity 13	Internet connections. These can all be installed at short notice with permanent solutions being applied later in the event of failure or high levels)						<mark>0%</mark>															//////					///= -
	initial of demand.	0	1	<mark>52</mark>						///////////////////////////////////////	///////////////////////////////////////	////////	////////	///////////////////////////////////////		///////	//////	//////	///////////////////////////////////////	////////		///////	///////////////////////////////////////		////////		<u>////</u>
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tivity	Activity Description		Week	Weeks	Week	Weeks	Complete	Key Task 09	2 3	4 5	6 7 8	8 9 1	0 11 12	13 14	15 16	17 18 :	19 20 2	1 22 2	3 24 2	5 26 27	7 28 2	29 30 3	31 32	33 34	35 3	6 37 3	38 39	40 41	42 43	44 45 4	5 47 48	49 5	J 51	52
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Activity 1	Operating policies and procedures drafted [PRE-APRIL] [PARALLEL] ACTIVITY]	0.15	1	1				0%)																							•
Activity 2	Proposed operating policies and procedures discussed with stakeholders (as) appropriate)	0.05	3	4				0%)																							•
Activity 3	Operating policies and procedures updated in light of stakeholder feedback	0.00		6				0%																							- (
Activity 4	Operating policies and procedures approved by Ixion Board and NOMS [PARALLEL ACTIVITY]	0.05		7				0%																							-
Activity 5	Training plan and materials updated in light of final operating policies and procedures	0.075	7	8				0%)																							-
Activity 6	Core staff handbook/operations manual finalised (internal and for subcontractors) [PARALLEL ACTIVITY]	0.2	. <mark>7</mark>	8				0%)																							-
Activity 7	ECA specific staff handbook/operations manual sections finalised (internal) and for subcontractors)	0.2	. 7	8				0%)																							-
Activity 8	Staff fully trained in operating policies and procedures as relevant to their role, and have access to staff handbook (milestone).	0.15	12	12				0%)																							•
Activity 9	Staff briefings conducted on performance/quality monitoring and management	<mark>(0.05</mark>	13	<mark>1</mark>				0%)																							-
Activity 10	Creation of single points of contacts for transfers [PARALLEL ACTIVITY]	0.025	13	1				0%)																							- (
Activity 11	RISK MITIGATIONS/CONTINGENCIES: Ixion has a full suit of high-quality, policies compliant with commissioners including DWP, SFA and NOMS; we will mandate adherence to these at all times; due diligence has been carried, out on all subcontractors' policies during phase one	o	1	<mark>52</mark>)				<mark>0%)</mark>																							
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Activity 1	Open recruitment for key contract management roles (as required) [PRE- [APRIL]	0.05	1	1				0%																							
Activity 2	Targets and performance management regime discussed and agreed with ally subcontractors [PRE-APRIL]	0.05	1	1				0%																							
Activity 3	Targets and performance management regime agreed and included in subcontractor contracts	0.025	2	1				0%																							
Activity 4	Ixion key contract roles in post (PCSM, QADIM, Development Manager)	0.025	8	1				0%																							
Activity 5	Ixion Quality Improvement Policy & Assurance Framework embedded across Ixion and subcontractors (inc. PIP/QIPs) [PARALLEL ACTIVITY]	0.075	8	<mark>4</mark>				0%																							
Activity 6	Daily, weekly, and monthly CATS reports set up [PARALLEL ACTIVITY]	0.1	9	1				0%																							
Activity 7	QADIM training with NOWS [PARALLEL ACTIVITY]	<mark>0.05</mark>	9	2				0%)							,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,																
Activity 8	QADIM has agreed schedule of location reviews, including with stakeholders	0.025	<u>14</u>	<mark>39</mark>				0%																							
Activity 9	Weekly performance review calls scheduled, held and documented with all project leads [PARALLEL ACTIVITY]	0.15	<mark>.14</mark>	<mark>39</mark>				0%																							
Activity 10	Monthly reviews – subcontractor project leads and PSCM/QADIM [PARALLEL [ACTIVITY]	0.1	<mark>.14</mark>	<mark>39</mark>				0%																							
Activity 11	Monthly performance meetings - Ixion and NOMS (PARALLEL ACTIVITY)	0.1	14	<mark>39</mark>				0%																							
Activity 12	Quarterly reviews—Ixion CD, Finance and Commercial Manager, and project leads [PARALLEL ACTIVITY]	0.1	14	<mark>39</mark>				0%																							
Activity 13	Annual reviews - subcontractor project lead, senior accountable figure and PSCM - as per terms of ISPA [PARALLEL ACTIVITY]	0.1	<mark>51</mark>	<mark>1</mark>				0%							,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				
Activity 14	Complaints/feedback process implementation, including quarterly process review (PARALLELACTIVITY)	0.05	<mark>.14</mark>	<mark>39</mark>				0%		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,																			
Activity 15	identified from existing staff pool; subcontractor due diligence has already commenced ensuring inclusion of only most robust, highly-performing subcontractors; weekly reviews will identify early indicators of issues/underperformance ensuring immediate support and remedial action	<mark>0</mark>	<u> </u>	<mark>52</mark>				<mark>0%</mark>																							
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ontract and performance management - led by Contract Director		Start	Duration	Start	Duration Weeks	of Activity	Percentage Key Task 11	1 2 3		0 40				10 10	20 24			27 20	20 20	24 22	22 24	25 26 2	2 20 20							+
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Key Task 12 Finance & Commercial	management - led by Finance Director	Key Task 12	Start	Duration	Actual Actual Start Duration		Percentage	PERIOD	<mark>)S</mark>							21 22 23														
Activity	Activity Description Develop financial model in light of final contract (PRE-ARIL)		Week	Weeks	Week Weeks	(Complete)	Key Task 12)	12	3 4 5	5 6 7	<u>8 9 10</u>	11 12 1	13 14 15	5 16 17 1	8 19 20	21 22 23	24 25	26 27 28	3 29 30	31 32 3	3 34 35	36 37 3	8 39 4	0 41 42	43 44 4	15 46 41	7 48 49 5	0 51 52	••	
Activity 2	Finalise financial model	0.05	1	2			0%																						••	
Activity 3	Finalise subcontractor commercials	0.1	2	2			0%																						••	
Activity 4	Confirm budgets with subcontractors	0.05	2	2			0%																						••	
Activity 5	Map finance processes inc. cost codes, accounts payable, revenue accounting and collection [PARALLEL ACTIVITY]	0.1	4	2			0%																						•	
Activity 6	Establish subcontractors on finance system [PRE-APRIL]	0.1	1	1			0%		,,																				••	
Activity 7	DAF process introduced [PARALLEL ACTIVITY]	0.1	5	2			0%																						•	
Activity 8	DF process introduced [PARALLEL ACTIVITY]	<mark>0.1</mark>	7	2			0%																						••	
Activity 9	ixion monthly reporting requirements (including returns dates) defined, and set up [PARALLEL ACTIVITY]	0.1	5	2			0%																							
Activity 10	Subcontractor monthly reporting requirements (including returns dates)) defined, distributed and explained	0.05	5	2			0%																							
Activity 11	Annual izion and subcontractor finance audits scheduled [PARALLEL] ACTIVITY]	0.025	6	1			0%				,,,,,,,																		••	
Activity 12	Evidence requirements guide produced and disseminated [PARALLEL] ACTIVITY]	0.1	7	3			0%																						•	
Activity 13	All financial processes in place [PARALLEL ACTIVITY]	0.025	8	1			0%		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,							,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		••	
Activity 14	in full consultation with subcontractors and have undergone initial due diligence by Finance Team so we foresee no issues; subcontractors will be trained on processes, evidence guide and reporting requirements prior to go live	0	1	52			0%																							
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NRT GRAZE (Constraint) (Constra	Weeks Complete Key Task 13	
Activity 1 Agree and profile forecast mentoring requirements [PRE-APRIL] [PARALLEL 4 0.1 1 1	0%	
Activity 2 Open recruitment commences for mentors 0.3 3 4	0%	
Activity 3 Phase One Mentor training and vetting 0.3 7 4	0%	
Activity 4	0%	
Phase One Mentors ready to go-live (milestone) [PARALLEL ACTIVITY] 0.02 \$ 13 \$ 1 Activity 5 Phase Two Mentor recruitment commences - Including specialist mentors for	0%	
Activity 6	0%	
Creation and distribution of annual training refresh programme 0.05 14 3 Activity 7	0%	
On-going training monitoring, refresh and roll out 6.2 34 39 Activity 8	0%	
Phase Two Mentor training and vetting 0.2 27 4 Activity 9	0%	
Phase Two Mentors ready to go-live (milestone) (PARALLEL ACTIVITY) 0.02\$ 21 21 Activity 10 RISK MITIGATIONS/CONTINGENCIES: Sova and bion have existing pools of pre-vetted volunteer mentors who we will target for day one resource; Sova Image: Control of the source in the source	0%	
has established recruitment and on-boarding processes in place 0 1 52	0%	
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entoring - led by Sova Mentoring Team Leader	Key lask 15	Start Durat	ion Start Dur	ation of Activit		PERIODS	3											-							\vdash							+	+
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rvices Mapping - le	d by Contract Director Activity Description		Start Week	Duration		n of Activity	Percentage	1 2	3 4	5 6	7 8 9	10 11 1	2 13 14	15 16 17 1	19 20	21 22 23	24 25 2	26 27 28	29 30 31	32 33 3	34 35 36	37 38	39 40 4	1 42 43	44 45	46 47 4	8 49 50	51 52		
ctivity 1	Service design workshop with all subcontractors to develop detailed elements of the model (PRE-APRIL)	0.15	1	1			<mark>0%</mark>)																					•	•	
tivity 2	Participant progression route mapping - with subcontractors [PRE-APRIL]	0.15	1	1			0%																					•	•	
tivity 3	Operational risk and impact assessments completed (PRE-APRIL)	0.1	1	1			0%)																					•	•	
ctivity 4	Participant pathways and minimal service levels mapped and signed-off [PRE-APRIL]	0.1	1	1			0%)																					•	•	
ctivity 5	Creation of Local Service Directory	0.2	5	4			0%)																						•	
ctivity 6	Personal & Sensitive Data flow map (PARALLEL ACTIVITY)	<mark>0.1</mark>	6	2			0%)																						•	
ctivity 7	Participant Information Resources (subcontractor agnostic) designed and signed-off by ixion and NOMS	<u>0.2</u>	7	6			0%)																						•	
ctivity 8	RISK MITIGATIONS/CONTINGENCIES: Service mapping based on lxion's incumbent experience of NOMS CFO and led by Contract Director with management experience of the Programme; initial stages of progression route mapping/service design with subcontractors have been completed	0	1	52			<mark>0%</mark>)																						•	
ctivity 9							0%)																					•	•	
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赫 National Offender Management Service

NOMS ESF Co-Financing Project Round 3 - Budget Profile Template 2015-2020 (v0.2) 3671-2-Reducing Reoffending-SE-RFP



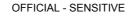
SCHEDULE GB: CONTRACTORS TENDER – SUPPLY CHAIN MATRIX (PRIME +SUBCONTRACTORS)



















SCHEDULE GB: CONTRACTORS TENDER - SUPPLY CHAIN MATRIX (SPOT PURCHASE ARRANGEMENTS)



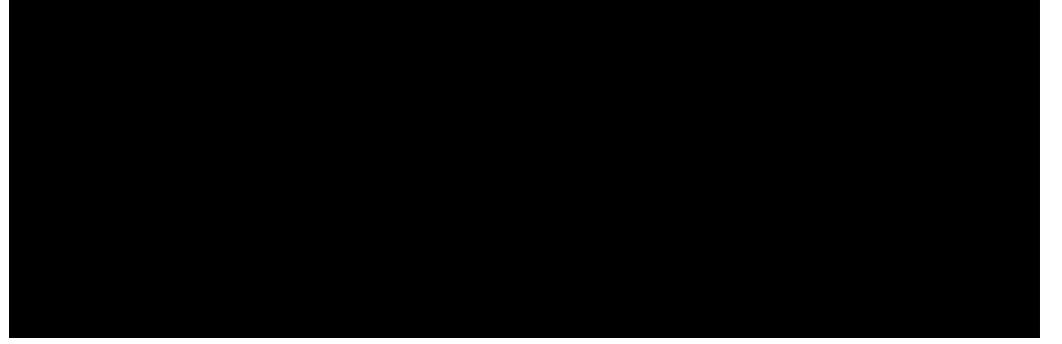






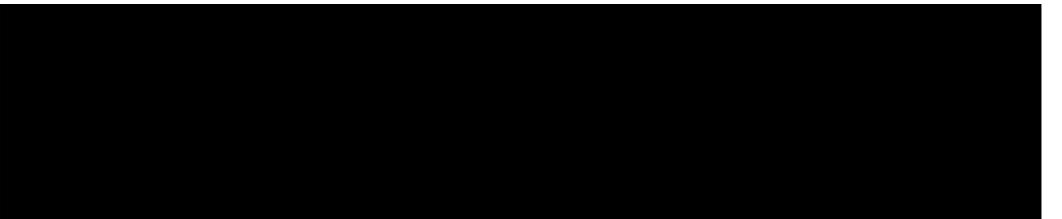










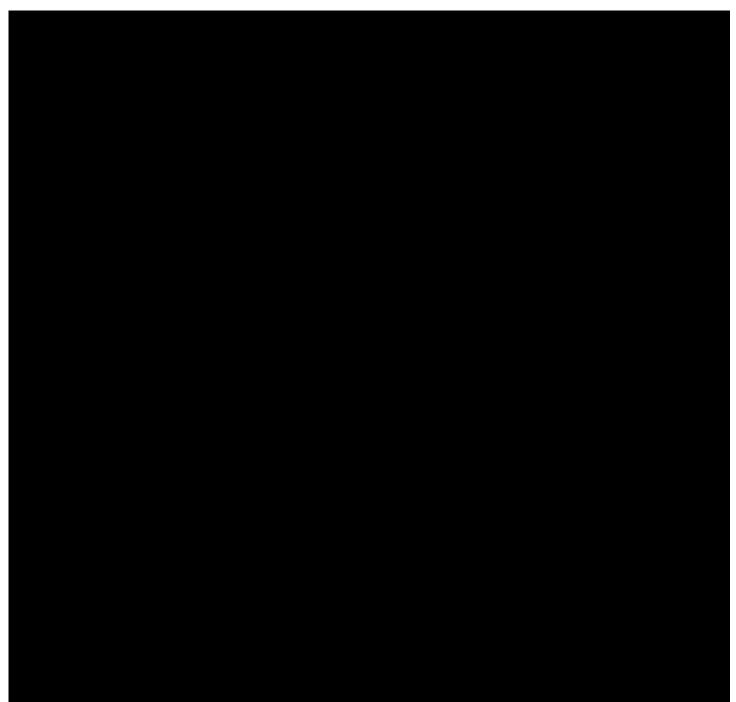


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National Offender Management Service	NOMS ESF Co-Financing Project Round 3 - Payment Stages Mechanism 2015-2020 3671-2-Reducing Reoffending-SE-RFP	European Union Exception
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SCHEDULE H: PRICING AND PAYMENT

SPECIAL CONDITIONS: PRICING AND PAYMENT

H1. Payment of Subcontractors

The Contractor shall ensure that each Subcontract contains a provision which requires payment to be made of all sums due by the Contractor to the Subcontractor under the Subcontract within a specified period not exceeding 30 days from the receipt of a valid invoice.

H2. Discretionary Access Fund

- H2.1. On or around the Commencement Date the Authority shall allocate 3% of the Contract Funding to the DAF.
- H2.2. The Contractor shall use the DAF for spot purchasing of items of ESF Eligible Expenditure to support Participants into work and to help individuals overcome specific barriers to work (such as travel and small items of expenditure) subject to and in accordance with the DAF Guidance.
- H2.3. The Contractor shall comply with the ESF Regulations when procuring items using the DAF and shall be responsible for keeping up to date with the latest ESF Regulations. At the Commencement Date non exhaustive information relating to the ESF Regulations can be found at http://www.dwp.gov.uk/esf/.
- H2.4. The Contractor shall be entitled to submit invoices to the Authority for DAF Payments monthly in arrears in accordance with paragraph H2.8, provided that the aggregate DAF Payments claimed from the Authority under the Contract shall not exceed the DAF Amount.
- H2.5. Each DAF Payment must be linked to a Participant on CATS and be used only to reimburse ESF Eligible Expenditure.
- H2.6. Following the end of each month the Contractor shall submit for the DAF Payments being claimed in respect of that month the DAF Payment Evidence along with CATS Report 5.20 (as a cover sheet) to the NOMS CFO Finance Team. All DAF Payment Evidence must be captured in CATS Report 5.20 and the relevant DAF outcome must already be recorded on CATS by the Contractor.
- H2.7. The information provided by the Contractor under paragraph H2.7 shall be subject to ESF and NOMS purchasing compliance and full Authority checks. Following such compliance checks the Authority shall notify the Contractor either that:
 - H2.7.1. it approves the DAF Payment amount being claimed; or
 - H2.7.2. it requires further information and/or that it considers that a different DAF Payment amount should be claimed, in which case the Contractor shall provide any information requested and the Parties shall endeavour to agree the DAF Payment amount to be claimed.
- H2.8. Following approval by the Authority or agreement by the Parties of the relevant DAF Payment amount under paragraph H2.7, the Contractor shall be entitled to submit an invoice for the DAF Payment which complies with the

requirements set out in paragraph H8. The invoicing and payment terms are set out in paragraph H8.

- H2.9. The maximum amount payable as part of any DAF Payment for any single item of ESF Eligible Expenditure (e.g. a single course, childcare arrangement or item of equipment) is £999.99 (exclusive of VAT). DAF Payments may include payments for multiple items of ESF Eligible Expenditure.
- H2.10. All DAF entries added to CATS by the Contractor shall be removed from CATS by the Authority as part of its data cleansing activity, where the NOMS CFO Finance Team has not received the information described in paragraph H2.6 within 3 months from the date on which the relevant DAF entry was added to CATS by the Contractor.

H3. Service Charge Payments, Stage Payments and Development Fund Payments

- H3.1. The Contract Funding shall be allocated as follows:
 - H3.1.1. 3% shall be allocated to the DAF in accordance with paragraph H2.1;
 - H3.1.2. 8.7% shall be allocated to the Development Fund in accordance with Schedule G (Specification);
 - H3.1.3. 44.15% shall be payable by the Authority as Service Charge Payments; and
 - H3.1.4. 44.15% shall be payable by the Authority as Stage Payments,

subject to and in accordance with the terms of the Contract.

Service Charge Payments

- H3.2. The Service Charge Payments shall be payable by the Authority monthly in advance. The forecast monthly Service Charge Payments are set out in the Financial Profile.
- H3.3. Each monthly Service Charge Payment shall be an amount equivalent to the relevant forecast monthly Service Charge Payment set out in the Financial Profile (as amended in accordance with paragraphs H5.4 and/or H5.5), provided that the aggregate Service Charge Payments paid by the Authority under the Contract shall not exceed the Service Charge Amount. The Contractor shall not be entitled to any additional payment or any relief from its obligations under the Contract if the Contractor's Operating Costs exceed the Service Charge Amount.
- H3.4. The Contractor shall be entitled to submit invoices to the Authority for Service Charge Payments monthly in advance. The Contractor shall ensure that each invoice complies with the requirements set out in paragraph H8. The invoicing and payment terms are set out in paragraph H8.

Stage Payments

H3.5. The achievement criteria for each Payment Stage are as follows:

- H3.5.1. completion of the relevant actions set out in Appendix K of Schedule G Specification; and
- H3.5.2. submission of the relevant evidence described in the Participant Achievement Guidance set out in Appendix 1 and the Activity Evidence Examples set out in Appendix 2 or as otherwise notified by the Authority,

in each case in accordance with the Contract.

H3.6. The forecast monthly Stage Payments are set out in the Financial Profile. Notwithstanding the Financial Profile, the Contractor shall be entitled to submit an invoice to the Authority for a Stage Payment in accordance with paragraph H8 only when it has Achieved the Payment Stage associated with that Stage Payment and the Contractor has been notified on CATS that its submission for payment has been "APPROVED".

Development Fund Payments

- H3.7. Where the Authority has agreed that the Contractor can claim ESF Eligible Expenditure against the Development Fund in accordance with Schedule G (Specification) and the Parties have agreed the associated commercial terms (including financial profile) in writing, the Contractor shall be entitled to submit an invoice to the Authority for each relevant Development Fund Payment monthly in arrears accordance with paragraph H8 and those commercial terms.
- H3.8. The Contractor acknowledges the Authority's expectation that 50% of the Development Fund will be claimed by the Contractor in accordance with the Contract by December 2017. If this is not achieved the Authority reserves the right to return any underspend against the 50% amount to the Authority's central CFO for reallocation outside of the Contract.

H4. ESF Eligible Expenditure

- H4.1. The Contractor acknowledges that it is a requirement of the relevant ESF Regulations that the Authority may provide funding under the Contract only in respect of ESF Eligible Expenditure.
- H4.2. The Authority may at any time during the term of the Contract or otherwise reclaim monies from the Contractor:
 - H4.2.1. where the Contractor is no longer eligible to receive ESF funding;
 - H4.2.2. where information provided by the Contractor in accordance with this Schedule H and/or CATS is found to be materially incorrect (notwithstanding the fact that the Authority has made the relevant payment);
 - H4.2.3. which have been:
 - (a) used for any purpose other than for ESF Eligible Expenditure; or
 - (b) paid by the Authority in error,

whether identified under any audit carried out under the Contract or otherwise.

H4.3. The Contractor shall be responsible for obtaining best value for money in relation to all expenditure incurred by it which qualifies as ESF Eligible Expenditure and which is funded by the Authority under the Contract.

H5. Budget Profile, Financial Profile and Finance Budget Return

- H5.1. The Financial Profile is set out in Schedule GB Contractors Tender including Budget Profile and clarifications, Participant Throughput Profile and Financial Profile and provides the forecast Service Charge Payments and Stage Payments.
- H5.2. The Contractor shall provide the NOMS CFO Finance Team with a completed Finance Budget Return, in the form set out in Appendix 3 or as notified otherwise by the Authority from time to time, within 30 days following the end of each month which compares and reconciles in respect of that month:
 - H5.2.1. the cumulative actual ESF Eligible Expenditure incurred by the Contractor under the Contract;
 - H5.2.2. the Contractor's cumulative forecast ESF Eligible Expenditure set out in the Budget Profile; and
 - H5.2.3. the Contractor's cumulative planned and actual staff in post.
- H5.3. If the Contractor identifies any discrepancy in relation to the information referenced at paragraphs H5.2.1 to H5.2.3 in a Finance Budget Return, the Contractor shall, in the Finance Budget Return, provide the reasons for such discrepancy along with any relevant mitigating factors and proposals to utilise any underspend against the relevant forecast.
- H5.4. Subject to paragraph H5.5, the Parties shall meet to review each completed Finance Budget Return and, if the Authority considers necessary, the Parties shall agree changes to the Budget Forecast and/or the Financial Profile in accordance with Schedule O Change Protocol.
- H5.5. The Authority may reduce specific payment amounts and/or the overall funding allocated in the Financial Profile where, in the Authority's view, there is consistent underspend and/or under-performance by the Contractor. In such circumstances the Authority may at its discretion retain any such amount for application to future payments made under the Contract or return the amount to the Authority's central CFO for reallocation outside of the Contract.
- H5.6. Where notified by the Authority, the Contractor shall comply with its obligations set out in Schedule R (Performance Management) in relation to a Performance Improvement Plan and/or Action Plan to address shortfalls in payments claimed by the Contractor under the Contract against the Budget Profile and/or the Financial Profile.

H6. Movement of Participants between regions

- H6.1. It is recognised that Participants may move between different regions within England and accordingly may pass through the stages of the Participant Pathway under the Contract and equivalent contracts in other regions.
- H6.2. The Contractor shall comply with Schedule G (Specification) in relation to the transfer of Participants and their associated case management records.
- H6.3. Where a Participant moves from the ESF Contract Area to a Contingency ESF Contract Area and some but not all of the relevant criteria for a Payment Stage set out in paragraph H3.5 have been Achieved by the Contractor in relation to the ESF Contract Area, the Contractor acknowledges and agrees that:
 - H6.3.1. the Contractor is not permitted to claim a Stage Payment for that Payment Stage, on the basis that it has not Achieved all of the relevant criteria for that Payment Stage;
 - H6.3.2. the contractor in the Contingency ESF Contract Area (the "**Receiving Contractor**") is not permitted to complete the Payment Stage started by the Contractor and claim an associated Stage Payment; and
 - H6.3.3. the Receiving Contractor is permitted to undertake all of the work required to Achieve a new Payment Stage and claim an associated Stage Payment under its contract in respect of the transferring Participant, notwithstanding the fact that the transferring Participant has moved though the Participant Pathway under the Contract.
- H6.4. Where a Participant moves from a Contingency ESF Contract Area to the ESF Contract Area and some but not all of the relevant criteria for a Payment Stage have been achieved by the contractor in the Contingency ESF Contract Area (the "Sending Contractor"), the Contractor acknowledges and agrees that:
 - H6.4.1. the Contractor is not permitted to complete the Payment Stage started by the Sending Contractor and claim an associated Stage Payment under the Contract; and
 - H6.4.2. the Contractor is permitted to undertake all of the work required to Achieve a new Payment Stage and claim an associated Stage Payment under the Contract in respect of the transferring Participant, notwithstanding the fact that the transferring Participant has moved though the Participant Pathway under a different contract.
- H6.5. Where a Participant moves from the ESF Contract Area to a Contingency ESF Contract Area and all of the relevant criteria for a Payment Stage set out in paragraph H3.5 have been Achieved by the Contractor, but the Contractor has not selected the "SUBMIT" option on CATS in relation to that Payment Stage, the Contractor will have 7 days from the date on which the Participant moves to the Contingency ESF Contract Area within which to select the "SUBMIT" option on CATS in relation to that Payment Stage. If the 7 day period elapses and the "SUBMIT" option has not been selected, the Contractor will not be permitted to select the "SUBMIT" option and the Payment Stage cannot be "APPROVED" on CATS for the Stage Payment to be claimed by the Contractor.

H6.6. Where a Participant moves from a Contingency ESF Contract Area to the ESF Contract Area and all of the relevant criteria for a Payment Stage have been achieved by the Sending Contractor but the Sending Contractor has not selected the "SUBMIT" option on CATS in relation to that Payment Stage, the Contractor acknowledges that the Sending Contractor will have 7 days from the date on which the Participant moves to the ESF Contract Area within which to select the "SUBMIT" option on CATS in relation to the relevant Payment Stage. If the 7 day period elapses and the "SUBMIT" option has not been selected, the Sending Contractor will not be permitted to select the "SUBMIT" option and the Payment Stage cannot be "APPROVED" on CATS for the Stage Payment to be claimed by the Sending Contractor.

H7. Termination or expiry of the Contract

- H7.1. Unless agreed otherwise by the Authority in writing, should any part of the Contract Price remain unspent upon the termination or expiry of the Contract, the Contractor shall ensure that any such monies which are not properly due under the terms of the Contract to the Contractor are returned to the Authority within 30 days of the termination or expiry of the Contract.
- H7.2. Any costs, expenses or liabilities in connection with ESF Eligible Expenditure remaining at termination or expiry of the Contract and not paid out or settled by the Contract Price in accordance with the terms of the Contract shall be managed and paid for by the Contractor. No additional funding shall be available from the Authority for this purpose.
- H7.3. Clause 39 (Consequences of Expiry or Termination) contains further provisions relating to the termination or expiry of the Contract.

H8. Invoicing and payment terms

- H8.1. Each invoice submitted for payment by the Contractor under the Contract shall be in a form approved by the Authority.
- H8.2. The Contractor shall submit all invoices to the Authority to the addresses provided in Schedule J Monitoring and Management Information.
- H8.3. The Authority shall regard an invoice as valid only if it complies with the provisions of this paragraph H8. If the Authority disputes any invoice or requires any further information it shall notify the Contractor and the Parties shall endeavour to resolve the matter as soon as practicable.
- H8.4. Subject to the relevant provisions of this Schedule H, the Authority shall make payment to the Contractor within 30 days following receipt of a valid and undisputed invoice.
- H8.5. Unless the Parties agree otherwise in writing, all Contractor invoices shall be paid in sterling by electronic transfer of funds to the bank account that the Contractor has specified in its invoice.

H9. Identity checking and security clearance

H9.1. Unless agreed otherwise by the Authority in writing, the Contractor shall be responsible for all of the costs associated with the performance of its obligations set out in paragraph 12 of Schedule J Monitoring and Management

Information in relation to identity checking and security clearances (including costs levied by third parties). The Contractor shall be entitled to recover such costs as Service Charge Payments to the extent such costs are Operating Costs.





SCHEDULE H APPENDIX 1 – PARTICIPANT ACHIEVEMENT GUIDANCE

CFO Participant Achievement Guidance: 1. Core Activity 2. Supportive Measures 3. Short Courses 4. Vocational/Educational/Training 5. Interviews 6. Secured Employment 7. Sustained Employment

Version 1.8

Participant Achievements Pathway

The achievements in the pathway must be followed in the sequence below in order to trigger appropriate payments.

- i. Core Activity:
 - <u>2</u> activities must be completed and entered onto CATS in order to proceed to the Supportive Measures Stage
 - There is no payment attached to this stage
 - Should take place for all participant throughout their time on the programme
- ii. Supportive Measures:
 - <u>1</u> Supportive Measure must be completed and entered onto CATS in order to proceed to the Short Courses and Vocational/Educational/Training stages
 - Payment is attached to this stage
- iii. Short Courses and Vocational/ Educational/ Training:
 - Participants must complete <u>either 1</u> Short Course <u>or 1</u> Vocational/ Educational/ Training achievement with the details entered onto CATS in order to proceed to the Interviews stage
 - Payment is attached to this stage
- iv. Interviews:
 - <u>1</u> interview must be completed and entered onto CATS in order to proceed to the Secured Employment stage
 - The information entered for the Interview stage must relate to a subsequently entered Secured Employment achievement
 - There is no payment attached to this stage
- v. Secured Employment:
 - <u>1</u> Secured Employment achievement must be completed and entered onto CATS in order to proceed to the Sustained Employment stage
 - Payment is attached to this stage
- vi. Sustained Employment:
 - Sustained Employment achievements must be completed and entered onto CATS
 - There is no payment attached to this stage

1. Core Activity

The following activities are classed as Core Activity. There is no payment attached to these activities and the specific activity taken must relate to needs identified in the assessment and the action plan.

- Disclosure
- Money Management
- Obtaining ID
- Accommodation support
- Employability to include CV, job search^{*}, interview skills and applications
- Motivation Training
- Personal Development to include Timekeeping, personal presentation, communication skills, self-esteem and confidence building
- In work support
- Self Employment to include start up advice and training
- Securing a bank account
- Referral to mainstream activity This will include referring on to other CFO/ESIF partners, the SFA, DWP or Work programme, but not OLASS provision.
- Industry Specific Cards and certificates such as Health and Safety, Construction Site Certification Scheme (CSCS), Food hygiene, Basic First Aid, Personal Track Safety (PTS), London Underground Combined Access System (LUCAS), Asbestos Awareness, Manual Handling, Electrotechnical Certification Scheme (ECS), Construction Industry Scaffolders Record Scheme (CISRS), Client Contractor National Safety Group (CCNSG)

If the participant has attended a course, the claim for the achievement should only be made on CATS once the participant has completed the course. Please note that it is not a requirement that the participant passes the course, but it must have been completed.

Additional core activities and sub-group specific activities may be added by NOMS CFO after consultation with the Provider.

Core activities will be recorded on CATS with supporting information in the action plan and notes sections.

* Job search activity must be undertaken by at least 50% of the participants.

Youth Specific Core Activities (for Youth Resettlement Support Worker only)

The following activities are classed as Core Activity. There is no payment attached to these activities and the specific activity taken must relate to needs identified in the assessment and the action plan.

For the gateway to be considered complete the Provider will need to conduct:

- Disclosure
- Money Management
- Obtaining ID
- Personal Development to include Timekeeping, personal presentation, communication skills, self-esteem and confidence building
- Securing a bank account
- Support and advice to access appropriate benefits
- Industry specific cards and certificates such as the Health and Safety, Construction Site Certification Scheme(CSCS)

Additional core activities and sub-group specific activities may be added by NOMS CFO in negotiation with the Provider.

Core activities will be recorded on CATS with supporting information in the action plan and notes sections. Only activities shown within CATS and the Core Activity guidance may be claimed by the Provider. During the lifespan of the programme, NOMS CFO may see fit to amend, add or delete items on this list. This will be done via consultation with the Provider and guidance published as appropriate.

2. Supportive Measures

Specialist Support Referrals and Attendance

Intensive support will be provided through organisations in specialist areas such as substance misuse, mental health issues, disabilities or other areas where specialist support is required to help the participant progress.

It is recognised that the Case Manager will not have all the skills themselves to manage the complex needs of many offenders. In order for a participant to manage the barriers they face, referrals to specialist organisations for more intense support will be required.

Evidence will include copies of referral documentation, name of organisation, date, contact name and reason for referral plus confirmation of appointment attendance with the specialist organisation either by letter or email; letter must be on organisation headed paper. This will not be a Provider's 'in house' provision and can be claimed more than once depending on evidenced need of participant (although payment will only be made for the first activity with accepted evidence).

Work Placement/Tasters/Voluntary work taster

The Provider is to broker a short-term work placement, work trial, work experience or voluntary placement.

Work tasters can provide short real life work experiences to enable participants regain a positive attitude to work and update skills. Placements/tasters must be risk assessed and with recognised employers/charities.

Evidence will include written confirmation either by letter or email, from the employer or organisation, that the participant has attended placement and must include the company logo. Details will include participant name, dates attended and job role of participant.

Mentoring

The Provider is to broker one to one support throughout the period of the programme delivered through a recognised mentoring organisation/scheme with appropriately trained mentors.

Mentors can add significant value to the journey of an offender, giving independent advice and support to help the offender navigate life and the system. This may include a meet at the gate service (or shortly after release from prison) to accompany participants to relevant appointments such as JCP and housing. Evidence will include a copy of the mentoring scheme on organisation headed paper and confirmation from mentor/mentoring organisation that the first appointment has taken place.

Additional supportive measures and sub-group specific activities may be added by NOMS CFO after consultation with the Provider.

Supportive measures will be recorded on CATS with supporting information in the action plan and notes sections.

In order to receive payment for supportive measures, at least 2 core activities must be completed.

Youth Specific Support Measures (for Youth Resettlement Support Worker only)

<u>Work placement</u> – as above. For London and the North West this should be through links with the YJB Youth Employer Forum, where appropriate.

<u>Mentoring</u> – as above.

<u>Positive Activities</u> - enrichment activities such as sports, arts and community-based activities. Evidence will include a letter from the activity provider on organisation headed paper and confirmation that the young person has attended the first session.

<u>Family mediation</u> - the Provider is to broker support throughout the period of the programme delivered through a recognised family mediation service with appropriately trained mediators. Evidence will include a letter from the mediation provider on organisation headed paper and confirmation that the first appointment has taken place.

<u>Counselling services</u> - The Provider is to broker one to one support throughout the period of the programme delivered through a recognised Counselling service with appropriately qualified counsellors. Evidence will include a letter from the counselling provider on organisation headed paper and confirmation that the first appointment has taken place.

Supportive measures will be recorded on CATS with supporting information in the action plan and notes sections.

In order to receive payment for supportive measures, at least 2 core activities must be completed.

3. Short Courses

All short courses in this section must be relevant to the participant journey and deemed to be necessary to help the participant progress into employment. All short courses must be approved by NOMS prior to delivery.

Courses in custody must not be claimed where provision is already available within the custody unit and must be sourced or delivered by the NOMS CFO provider.

The training courses are normally of short duration, more than 10 Guided Learning Hours (GLH) but less than 30 hour GLH.

Claims for the achievement and subsequent payment will only be made once the participant has completed the short course. Please note that it is not a requirement that the participant passes the course, but it must have been completed.

Training courses to include (list not exhaustive):

- First Aid at Work
- Lantra Highways Course
- Recycling Operations
- Introduction to Construction
- Health and Beauty
- PAT Testing
- Electrical Installation

The evidence required for this section will be one of the following:

- A) Certificate
- B) Letter from training delivery provider showing the course has been completed.

All evidence must clearly show participant name, dates of course, awarding body and be signed and dated by training delivery provider and letters must be on letter headed paper.

Additional short courses may be added by NOMS CFO after consultation with the provider.

Short courses will be recorded on CATS with supporting information in the action plan and notes sections.

Youth Specific Short Courses (for Youth Resettlement Support Worker only)

The Provider is to offer assistance by enrolling the participant in a variety of short training courses (duration being more than 7 GLH but less than 30 GLH). Short courses in this section must be relevant to the participant journey and deemed to be necessary to help the participant progress into employment, training or education after release. All short courses must be approved by NOMS prior to delivery. Courses in custody must not be claimed where provision is already available within the custody unit and must be sourced or delivered by the NOMS CFO provider.

Example training courses to include (list not exhaustive):

- Literacy and/or numeracy skills course
- Employability skills courses including CV writing and interview skills
- Motivation Training
- First Aid at Work
- Introduction to Construction
- Health and Beauty

Additional short courses may be added by NOMS CFO in negotiation with the Provider.

The evidence required for this section will be one of the following:

- Certificate
- Letter from training delivery provider showing the course has been completed.

All evidence must clearly show participant name, dates of course, awarding body and be signed and dated by training delivery provider and letters must be on letter headed paper.

Short courses must be recorded on CATS with supporting information in the action plan and notes sections.

Subsequent activities should be recorded on CATS but will not result in any payment. Payment will only be made if a payment has been made for Supportive Measures.

4. Vocational/Educational/Training

Vocational/Educational/Training includes the longer, more intense elements of education/training and includes licenses to operate machinery and educational courses that are of a more substantial duration, i.e. more than 30 hours as well as personal and social development courses. It also includes Voluntary Employment that is a minimum of 30 hours total.

Courses in custody must not be claimed where provision is already available within the custody unit and must be sourced or delivered by the NOMS CFO provider.

Claims for the achievement and subsequent payment will only be made once the participant has completed the course. Please note that it is not a requirement that the participant passes the course, but it must have been completed.

Training courses

These can include one or more of the following (list not exhaustive):

- Plant Machinery e.g. excavators, personnel lifting machines
- Fork Lift Truck (combined courses) (FLT)
- Scaffolding and Access Towers

The evidence required must be the certificate from the awarding body.

Educational Courses

These include personal and social development courses such as (list not exhaustive):

- Chrysalis
- Gangs programme
- Black Self Development course

Courses must be accredited by an external body e.g. City and Guilds, NOCN, OCR etc. and agreed by NOMS prior to delivery.

The evidence required will be one of the following:

- A) Certificate
- B) Letter from Training provider on letter headed paper
- C) Provider education/training stencil

All of the above must contain the following details:

- Participant Full Name
- Course Title
- Awarding Body
- Course Start and End Date
- Guided Learning Hours
- Signed by training provider

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Vocational courses – NON OLASS

This will include painting and decorating, construction skills, plastering (list not exhaustive) and must be linked to career aspirations.

The evidence required for this section will be one of the following:

- A) Certificate
- B) Letter from Training provider on letter headed paper
- C) Provider education/training stencil

All of the above must contain the following details:

- Participant Full Name
- Course Title
- Awarding Body

Voluntary Employment

Voluntary Employment must be with a charitable/community organisation and be of 30 cumulative hours duration as a minimum.

The evidence required will be one of the following:

- A) Letter from employer on letter headed paper
- B) Provider Voluntary Employment stencil

All of the above must contain the following details:

- Participant Full Name
- Job Title
- Confirmation participant has completed at least 30 hours.
- Signed, dated by the employer.

Please note – if using the Provider stencil then it must be stamped with employer stamp or be accompanied by a compliments slip or letter head signed by the same person who signed the stencil.

Under ESF regulations all courses must be completed by the end of the contract period.

Additional Vocational/Educational/Training may be added by NOMS CFO after consultation with the provider.

Vocational/Educational/Training will be recorded on CATS with supporting information in the action plan and notes sections.

Youth Specific Vocational/Educational/Training (for Youth Resettlement Support Worker only)

Vocational/Educational/Training includes longer, more intense elements of education/training or employment with guided learning hours (more than 30 hours).

The courses must be in line with national education policy for 16-18 year olds.

The Provider must record on CATS any Education, Training or Employment gained as a direct result of the Contractor's intervention. Evidence of Education, Training or Employment must be submitted to the Authority for quality assurance approval.

For the youth sub-group securing ETE must be one of the following:

- Full time education as may be found in a school, FE institution or HE institution
- Work based learning Apprenticeships or Traineeship

The evidence required will be a letter from educational establishment or employer on letter headed paper

All of the above must contain the following details:

- Participant Full Name
- Job Title
- Confirmation participant has completed at least 30 hours.
- Signed, dated by the employer.

5. Interviews

All paid employment can only be claimed following an attended interview. The interview must be recorded on CATS, and evidence sent to NOMS.

Acceptable evidence for interviews can be either, a letter from employer inviting participant to attend an interview (letter must be on letter headed paper) or an e-mail from employer inviting participant to attend an interview (e-mail must be from company domain).

If an interview was carried out by telephone and no invite email/letter has been received then an interview template will be completed (see Help section of CATS). The interview template must include:

- Participant Name
- Company Name
- Date of Interview
- Post applied for

Please note: the organisation name recorded on CATS must match the organisation name on any subsequent secured employment achievement claim.

If employment was gained via a job broker or agency then the information will be recorded on the employment claim.

6. Secured Employment

ESF Employment Definition:

Commenced full or part time employment, following an interview, whether temporary or permanent.

All interviews must be recorded on CATS and evidence of interview sent to NOMS.

In order to supply an audit trail to support all employment claims, Case Managers will ensure that they record the action plan and notes on CATS for all activity undertaken to obtain the employment achievement.

Employment can only be recorded where sufficient work has been undertaken by the Provider to justify the employment achievement. This is especially important when more than one agency may have been involved in working with a participant to avoid duplication and double counting.

There is a recognition that there is a significant number of employment agency job opportunities and Zero hour contracts available, however to claim these as an employment achievement, evidence of the participant working a minimum 30 hours must be provided. Without demonstrating that at least 30 cumulative hours of employment has taken place, the achievement should not be claimed.

Where employment is gained through an employment agency the employment achievement must be recorded with both agency name and employer name and address. The evidence supplied must be from the employer showing the assignment details and that the participant has commenced the employment.

a) Part Time

ESF Definition of Part Time Employment:

Up to 30 hours per week (this can include zero hour contracts or casual work)

b) Full Time

ESF Definition of Part Time Employment:

Working 30 hours or more each week (evidence must clearly show working hours)

Primary Evidence for Employment

All ESF achievements will be accompanied with objective evidence with action plans and notes to support the achievement being claimed and must show employment has commenced:

A) A letter on headed paper from employer stating:

- Participant's Full Name
- Job title
- Employment has started
- Start Date
- Hours of Work

B) Wage slips with following detail

- Participant name
- Company name
- Hours of work
- Date of payment

C) Timesheets with the following detail

- Company Details
- Participant Details
- Hours of Work
- Approval by employing company

D) Provider employment stencil (stamped by company or signed compliments slip or letter head attached, which must be signed by the same person who signed the stencil)

- Participant's Full Name
- Job title
- Employment has started
- Start Date
- Hours of Work

Self Employment

If a participant is self employed they will be required to register for self assessment with HMRC. Once registered a document will be received showing registration and the Unique Tax Reference (UTR).

Acceptable evidence would be:

- letter from bank of small loan
- *letter from HMRC showing registration for business taxes*
- letter from HMRC showing approved registration for self assessment and details of business start up e.g. business invoice
- letter from bank showing set up of business account

Sub Contracting

Some employers will employ staff on a self employed or sub contracting basis. Where this happens self employment may be claimed where tax and national insurance contributions

are the responsibility of the worker. In cases where the company takes responsibility for the tax and national insurance contributions then the claim will be Full/Part Time employment, whichever applies.

Do **<u>not</u>** supply bank statements as evidence.

Youth Specific Secured Employment (for Youth Resettlement Support Worker only)

Secured employment must be in line with national education policy for 16-18 year olds, including:

• Entry into paid employment; in a role which includes accredited training equivalent to a minimum of 280 guided learning hours in each year

Evidence required as above for full time employment. It must include confirmation from the employer that it meets DfE national education policy, by providing a minimum of 280 guided learning hours a year.

7. Sustained Employment

Sustained employment should be evidenced as the participant spending at least half (i.e. most) of their time in employment following the initial employment achievement as well as being in employment at the 13 week or 6 month point. The place of employment does not have to be the same. The employment can be part or full time or self employment (or a combination) but the employment in the period must adhere to definitions of Secured Employment in Section 6.

13 Weeks

Minimum of 6.5 weeks in employment and in employment 13 weeks after the initial employment achievement.

6 Months

Minimum of 3 months in employment and in employment 6 months after the initial employment achievement.





Schedule H Appendix 2 - Participant Achievements Guidance Evidence

NOMS CFO

Participant Achievements Guidance Evidence

This document contains examples of evidence that is acceptable for activities and achievements recorded on CATS and is to be used in conjunction with Participant Achievements Guidance document.

Version 1.2

Example 1 NOMS CFO template for education or training courses.

Education/Training Achievement

NOMS CFO is a European Social Fund Project that helps individuals. The individual below has commenced Education/Training with your organisation. Please confirm this by completing the relevant sections below in block capitals.

National Offender
Management Service



Education/Training Achievement

(NOMS-CFO) is a European Social Fund Project that helps individuals. The individual below has commenced Education/Training with your organisation. Please confirm this by completing the relevant sections below in block capitals.

Participant Case Number:		
Participants Full Name:		
Course Title:		
Level Of Course:		
Duration Of Course:	Number of Weeks:	Guided Learning Hours:
Course Modules:		
Date Course/Training Started:		
Date Course/Training Finished:		
Training Provider Name:		
Training Provider Address:		
Completed By:		
Signature		
Position Held:		
Training Provider Stamp: (Signed Compliment Slip/letter Head/ Business Card)		

Thank You for Your Assistance

Provider Logo

All sections must be completed and the document stamped with company stamp. If a stamp is not available then a compliments slip or letter head, signed and dated by the person who signed the stencil must be included.



Example 2 Certificate for education or training courses.

Ofqual	OCR RECOGNISING ACHIEVEMENT
Elywodiaeth Cynwliad Cymru Weith Assembly Governmont	THIS IS TO CERTIFY THAT Participant Name
GOO Rewarding Learning	HAS BEEN AWARDED
	28 November 2011 Centre Number: 33117 Certificate Number C0678583/050891 QCA Accreditation Number 100/1323/4 Malina
A369 1011	T CHIEF EXECUTIVE, OCR Look for the OCR watermark, which proves this is a genuine OCR cortificate. Oxford Cambridge and RSA Examinations

Example 3 Certificate for education or training courses.

All certificates must contain participant full name, course name and must be certified by the awarding body eg. OCR, RTITB.

Example 4 Training Course - Provider Letter



Example 5 NOMS Interview Template

ESF definition for employment requires the claim is only to be made following a successful interview. Interviews must be claimed on the achievement section of CATS and evidence must be provided and uploaded onto CATS. Employment achievements will only be accepted once the interview is claimed and acceptable evidence has been received.

National Offender Management Service



	Interview	
Please Compl	ete in BLOCK CAPITAL	S using black ink only:
Participant Case Number:		
Participants Full Name:		
Participants NI Number:		
Company Name:		
Company Address:		
Agency Interview:	Yes	No
Interview Date:		
Type Of Interview:	Telephone	Face to Face
Type Of Contract Gained:	Full Time	Part Time
	0 Hour	Voluntary
	Not Successfu	l .
Start Date		
Completed By:		
Signature		
Position Held:		
Date Interview Statement		

Thank You for Your Assistance

Provider Logo

Example 6 Letter for Voluntary Employment

	DORSET I	RECLAI	Μ
ETE Operations C Dorset Probation T Poole Probation C 63, Commercial R Poole. BH14 0JD.	frust, entre,		Bournemailte
		7 th September 2012	
Dear Sir			1.1
Re: t Placement Depot: Start Date: Wedne	Christchurch sday 15 th August 2012		Christchurch
	letter as confirmation that I ary work at our depot in Portfield	has completed over d Road, Christchurch.	
roles at our works	s reliable and has been happy tops. He has become a well like ther information about Roger's	ed member of the team.	BORSET
Project Manager			NZALIS OF PASS
Also at: 3 Didcot Road, Nuffield	Bournemouth, Dorset BH1 450 d Ind. Est., Poole, BH17 0GD	Tel: 01202 679 080 Fax: 0	1202 677 630
Unit 5, Poundbury We Registered Charity No. 1076996	st Ind. Est., Dorchester, DT1 2PG - Registered in England No. 3	Tel: 01305 267 711 Fax: 0 780618 - www.dorsets	

Voluntary employment evidence must show the registered charity number and must show 30 hours has been completed. Letters must be on letter headed paper, contain participant full name, employment details and be signed and dated.

Example 7 NOMS Employment Template





Employment Achievement

(NOMS-CFO) is a European Social Fund Project that helps individuals. The individual below has commenced Employment with your company. Please confirm this by completing the relevant sections below in block capitals.

Please Complete in BLOCK CAPITALS using black ink only:

Participant Case Number:				
Participants Full Name:				
Participants NI Number:				
Company Name:				
Company Address:				
Agency	Yes	No		
Agency Name				
Date Job Started:				
Type Of Contract:	🗌 Full Tim	e	Part Time	Voluntary
	Self		Agency	
Completed by:				
Signature				
Position Held:				
Date Employment Statement Completed				
Company Stamp: (Signed Compliment Slip/letter Head/				

Thank You for Your Assistance

Provider Logo

All sections must be completed and the document stamped with company stamp. If a stamp is not available then a compliments slip or letter head, signed and dated by the person who signed the stencil must be included.

Example 8 Wage Slips

6713	Participant	Full Nan	ne		18/04/2012	NINO	
Poymenti	and the second	1.21	100	Attout	Deductions		Amount
Standard	40	00	6.0800	243.20	PAYE Tax National Insur	ance	0.00 12.54
2. X					-		
						ά.	
Holidays:	Taken: 0.00		Rem	aining: 0.00		Totali Vectri To d	
Par	rticipant Name dress	≥ and	Tot Gro Ear	aining: 0.00 Reformed al Gross Pay res for Tax mings for Ni yment Period	243.20 243.20 243.00 Weekty	Total Gross Pay TD Gross for Tax TD Tax paid TD Earnings For Ni TD National Insurance TD	243.2 243.2 0.0 243.0 12.5

Wage slips must contain the participant's full name, company name and working hours.

Example 9 Letter of Employment

 \sim

Restart Trust

19.01,2015

To Wiken It May Concern,

Econfirm that L. Participant — Ecommenced employment as an Environmental Technician at Elix r Group on Monday 19th January 2015. The hours are full time at 35 hours per week on a 13 week contract.

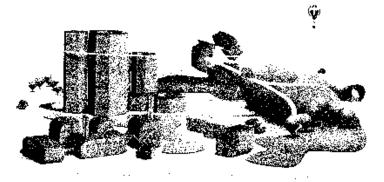
Name job role is in our PVCu recycling department and the general duties are to include hand processing the product, cleaning and removing contaminates from the product, working to daily targets and adhering to Health & Safety standards,

If you require any further information please no not hesitate to contact myself at the Elixir Business Service Centre on 0151 329 2977.

Yours Faithfully

INCHAL

Office Manager



Schedule H Appendix 3 - Form of Finance Budget Return

National Offender Management Service	APPENDIX 3 - FORM OF FINANCE BUDGET RETURN	* * * * * * European Union European Social Fund
Provider: Period: Area: Compiled by:		
Total Budget - 3% DAF TOTAL BUDGET Percentage of Budget Incurred	£0.00 £0.00 #DIV/0!	

This section to be completed in line with the Monthly Budget Breakdown NB: Remove DAF Costs & Development Fund

	Cumulative Forecast Jun 15 - enter period	Forecast enter reporting period	Total Forecast Spend
Staffing			-
Sub Contractor Costs			-
Running Costs			-
Indirect Costs			-
Profit			
TOTAL	-	-	-

This section to be completed based on actual expenditure from provider ledger

	Cumulative Actual Jun 15 - enter period	Actual enter reporting period	Total Actual Spend	Variance between forecast & Actual
Staffing			-	0
Sub Contractor Costs			-	0
Running Costs			-	0
Indirect Costs			-	0
Profit			-	0
TOTAL	-	-	-	0

Staff in Post FTE and PTE	Cumulative Planned	Actual to date	Difference
Please list staff in post in line withBudget Breakdown eg:	45.6	34	11.6
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0
			0





To be completed in conjunction with the Finance Spreadsheet

Total Variance between forecast	& Actual	f	£0.00	
Reasons for variance:				

Remedial Action to be taken:

Below To be completed by Authority

Reviewed by:

Any Action taken:

SCHEDULE I: COMMERCIALLY SENSITIVE INFORMATION SPECIAL CONDITIONS: COMMERCIALLY SENSITIVE INFORMATION

Not applicable

SCHEDULE J: MONITORING SPECIAL CONDITIONS: MONITORING AND MANAGEMENT INFORMATION

J1. Introduction

- J1.1. A key objective for the Authority is that operational staff should not be distracted from their operational duties and especially not by procurement matters. The Authority has put in place a procurement organisation and systems infrastructure specifically to achieve this. The Contractor shall support the Authority in achieving this objective by maintaining strict adherence to the Administrative Instructions set out herein.
- J1.2. All requisitions have to be approved online by a budget holder/approver (who can also be a requisitioner) before the Goods and Services can be obtained. Contractors send their invoices to the Shared Service Centre for payment and are paid provided they have complied with the provisions of the Contract and the requisitioner has confirmed receipt online.
- J1.3. The Acquisition Model is also supported by the Ministry of Justice Commercial and Contract Management Directorate (CCM) which comprises a number of Category Management Teams. Some of the CCM functions are delivered from the Authority's headquarters in London additionally, there are 3 other offices based in Wakefield, Leicester and Newport.
- J1.4. Each Category Management Team has a remit to procure and manage contracts in support of requirements that may arise within a category for which they are responsible. Localised issues arising at any Site associated with the performance of this Contract or any related Orders may be resolved between the Authority's Contract Manager, Performance Manager and the Contractor. The Authority's Representative will from time-to-time notify the Contractor of up-to-date Contract Managers and Performance Managers' contact details.

J2. Ordering

J2.1. The Contractor shall not accept oral Orders from the Authority, nor accept any changes, amendments or variations to the Contract other than in writing. In the event of a failure of the Authority's iProcurement System, the Authority shall implement the relevant Disaster Recovery Procedure and notify the Contractor accordingly.

- J2.2. The Contractor shall ensure that Orders are properly stored, are not accessible to unauthorised persons, are not altered, lost or destroyed and are capable of being retrieved only by properly authorised persons.
- J2.3. The Authority shall not be liable for the consequences of a corrupted, or incorrect transmission, or any failure to re-transmit an Order, if the error is or should in all the circumstances be reasonably obvious to the Contractor. In such event the Contractor shall immediately notify the Authority's Representative thereof.
- J2.4. In the event of persistent systems failure preventing the transmittal or receipt of Orders, as determined by the Authority's Representative, the Disaster Recovery Plan shall be implemented. Unless otherwise stated in the Disaster Recovery Plan, the Contractor shall accept Orders and payment through Barclaycard VISA.
- J2.5. A generic Order in the format of a Standard Schedule Purchasing Order (SSPO) will be submitted by the Authority for Orders associated with the Services provided by the Contractor.
- J2.6. This Order shall be made via "electronic transmission" (i.e. electronic mail or auto-fax where Orders are sent to print on a facsimile machine) in .PDF file format (Adobe Acrobat). A sample order is provided as Appendix A, but will be subject to change from time to time.

J3. Receipting

- J3.1. Following fulfilment of an Order in accordance with the Contract, Authority staff are required to complete an online record of confirmation.
- J3.2. The information to enable the Authority to complete the online record of confirmation shall be obtained via the agreed profiles in the Contract and, in reference to outcome payments, via the recorded information on CATS.

J4. Invoices

J4.1. Except where otherwise instructed by the Authority's Representative, all invoices payable under the Contract shall be sent for the attention of the Invoice Payable Team (Shared Service Centre) at the following address:

Accounts Payable, NOMS, Shared Services PO Box 8080 Newport, Gwent NP20 9BB.

A copy invoice, together with the agreed supporting documentation, should simultaneously be sent to the following address:

NOMS CFO - FINANCE First Floor Unit 1100 Daresbury Park Warrington WA4 4HS

- J4.2. Separate invoices must be submitted for each Order placed by the Authority. The Order number and service record must be clearly marked on the invoice.
- J4.3. From time to time the Authority's Representative may require the Contractor to provide copies of invoices, a summary of invoices previously submitted for payment and or details of any payments received and/or outstanding. The Contractor shall promptly comply with any such request at no additional charge to the Authority.

J5. Authorities representative

- J5.1. The Authority's Representative is as stated within the Contract Letter.
- J5.2. The Authority's Representative may, by providing notice in writing to the Contractor, appoint other members of staff to undertake their responsibilities

in respect of this Contract. The Contractor should then liaise with appointed person(s) in respect of the undertakings that involve the Authority's Representative.

J6. Reports

General instructions

- J6.1. The Contractor shall produce reports as directed by the Authority and in compliance with Schedules J & N of the Contract. The Contractor shall submit an original hard copy and an electronic copy of each report to the Authority's Representative.
- J6.2. The Contractor shall provide a monthly report including an overview of events during the reporting period and the following as a minimum. (The Monthly Provider Report is detailed in Appendix E).
 - Number/value and percentage (%) of invoices on hold during reporting period;
 - Any issues relating to system performance;
 - Any area of concern or any weakness in the performance of the Contract together with any corresponding actions being taken;
 - Any Trade Union concerns;
 - Any unexpected problems and emergencies resolved by the Contractor on his own initiative;
 - Details of proposed new Sub-contractors/Contractors.
 - Details of proposed new Equipment for delivery of the Services;
 - Any problems arising that would cause the Authority concern in meeting its obligations under the Race Relations Amendment Act;
 - Details of any proposed Key Staff changes;

- Health and Safety, compliance with Fire Regulations, report on health and safety and fire equipment inspections, details of any hazards and injuries and claims for compensation, new legislation and new materials to be used that are governed by the Control of Substances Hazardous to Health (COSHH) regulations;
- Failure of services provided by others;
- Security breaches: nature, losses or potential losses, persons involved, actions taken, involvement in civil authorities and the progress or result and Contractor's proposals for corrective action. Bomb, arson and similar threats;
- Performance of the customer help/service desk;
- Proposed changes to working practices leading to greater efficiencies, improved performance and enhanced value for money (VFM);
- Details of vacancies open;
- Service improvements the Contractor is able to offer including systems expansion or enhancement;
- The number and nature of complaints received and any corrective action taken by the Contractor;
- Participation survey/satisfaction feedback.
- Targets and outputs achieved will be in accordance with Schedule GB Contractors Tender including Budget Profile and clarifications, Participant Throughput Profile and Financial Profile
- Monthly reports Contractors will provide a quarterly expenditure template profile as detailed in Schedule H Pricing and Payment.
- J6.3. Reporting requirements will be reviewed upon Contract award and finalised during the mobilisation period.

J7. Key Performance Indicators (KPIs)

J7.1. A set of effective Key Performance Indicators and targets for achievement will be agreed post Contract award.

A sample of the types and themes are listed below:

- 1. Complaints (Monthly/Quarterly)
- 2. Feedback (Participants Surveys)
- 3. Appointments (Actuals/Missed)
- 4. Effectiveness of Peer Mentors Bespoke measuring mechanism
- 5. No of Prisoners picked up through the gate

J8. Meetings

- J8.1. The Contractor's Representative shall attend meetings as directed by the Authority including but not limited to:
 - J8.1.1. A monthly meeting where the purpose is to monitor and evaluate performance and to problem solve and/or escalate Contractor concerns; the meeting agenda, minutes' template and Provider report are detailed in appendices B, C, D and E.
 - J8.1.2. In addition, the quarterly occurrence of the above meeting may include representatives from Finance, Data Integrity and Authority Senior Managers.
 - J8.1.3. Following contract award, NOMS will set up a Provider Forum, which will meet regularly to discuss implementation issues, share good practice and provide detail of policy or NOMS internal developments. The initial Forum will be shortly after contract award and topics are likely to include transfer protocols and CATS training requirements, subsequently meetings will be held quarterly. The location will be rotated around the regions usually within the Providers or NOMS premises.
- J8.2. All meetings will be chaired and recorded by the Authority's Representative.
- J8.3. All meetings, unless otherwise agreed between the parties, will be held on the Contractor's Premises. The Contractor shall ensure that the Contractor's Representative attends each meeting, except where it has been agreed with the Authority that a deputy may attend on their behalf (such consent not to be unreasonably withheld). The Contractor's attendance at all meetings shall be at the Contractor's own expense.

- J8.4. The main purpose of the review meetings is to: discuss the content of the Contractor's reports (paragraph 6 refers); agree any payment adjustments; identify opportunities for achieving service improvements, and review any issues likely to affect the performance of the Contract.
- J8.5. Where practicable, the Authority is willing to consider and hold routine meetings using electronic conferencing facilities to reduce miles travelled.

J9. Management and control of documentation

- J9.1. Contractor's records
 - J9.1.1. The Contractor shall keep secure and maintain, until twelve (12) years after the final payment of all sums due under the Contract, or such longer period as may be agreed between the parties, full and accurate records of the Contract, all expenditure reimbursed by the Authority and all payments made by the Authority sufficient to permit a detailed audit trail, unless a shorter period of document retention is permissible in accordance with paragraph 9.5
 - J9.1.2. The Contractor shall at all times:
 - J9.1.2.1. Maintain a full record of the particulars of the costs of performing the Contract, including those relating to subcontracted Services. Such records shall further include details of any commitments made by the Contractor for future expenditure and details of any funds held by the Contractor; and
 - J9.1.2.2. When requested by the Authority, furnish a summary of the aforementioned costs in such form and detail as the Authority may reasonably require.
 - J9.1.3. For the duration of the Contract the Contractor shall furnish to the Authority:
 - J9.1.3.1. As soon as they become available (and in any event within six (6) calendar months of the end of each of its financial periods) copies of its audited financial statements for that period which shall contain an income statement and a balance sheet and a cash flow

statement and be audited and certified without qualification by a firm of independent accountants;

- J9.1.3.2. As soon as they become available (and in any event within three (3) calendar months of the end of each of its financial half-years and within three (3) calendar months of each review date) copies of its un-audited financial statements for that half-year or year (as the case may be) which shall contain an income statement, a balance sheet and a cash flow statement;
- J9.1.3.3. shall prepare their financial statements on a basis consistently applied in accordance with generally accepted accounting principles in England and Wales and those financial statements shall give a true and fair view of results of its operations for the period in question and the state of its affairs as at the date to which the financial statements are made up and shall disclose or reserve against all liabilities (actual or contingent) of the Contractor; and
- J9.1.3.4. Shall submit to the Authority, within three (3) calendar months of the end of each contract year, a financial statement for that period, including only the income and expenditure relating to this Contract.
- J9.1.4. The Contractor shall keep books of account in accordance with best accountancy practise with respect to the Contract showing in detail:
 - J9.1.4.1. expenditure on wages and salaries;
 - J9.1.4.2. administrative overheads;
 - J9.1.4.3. expenditure on consumable items;
 - J9.1.4.4. payments made to Sub-Contractors / Contractors;
 - J9.1.4.5. capital and revenue expenditure;
 - J9.1.4.6. other expenditure incurred by the Contractor in the dayto-day performance of the Contract;
 - J9.1.4.7. record of all goods or services obtained at no charge from the Authority or any other government agency; and
 - J9.1.4.8. the Contractor shall have items available above for inspection by the Authority upon reasonable notice, and

shall present a report of the same to the Authority as and when requested.

- J9.1.5. The Contractor shall procure that the following are maintained:
 - J9.1.5.1. an accurate record of the Authority's Property at the Authority's Premises;
 - J9.1.5.2. an accurate record of the Contractor's Equipment at the Authority's Premises;
 - J9.1.5.3. a full record of all incidents relating to health, safety and security which occur during the Contract Period;
 - J9.1.5.4. and the Contractor shall have the items required by paragraph 9.1.5 available for inspection by the Authority as and when requested. The Contractor shall maintain such other records and make the same available to the Authority as the Authority may reasonably require.
- J9.2. The documentation
 - J9.2.1. During the term of this Contract, certain documentation shall be produced by or for the Contractor. For the purpose of these Administrative Instructions, documentation shall be defined as any item or document which relates to the performance of the Contract ("the Documentation") and shall, without limitation, include such other documents which relate to the performance of the Contract, including, whether as hard copy or electronic data.
- J9.3. Security and confidentiality of documentation
 - J9.3.1. From the Commencement Date the Contractor shall be responsible for the security and confidentiality of all Documentation. The Contractor shall control and monitor the issue, use and return of the Documentation issued by the Contractor to his Sub-contractors, Contractors and third parties and the security and safe storage of such Documentation.
 - J9.3.2. The Contractor shall procure that the Documentation is managed and controlled by his Sub-contractors and Contractors in the manner set out in this Schedule.
 - J9.3.3. The Contractor shall use best endeavours to ensure that, after the Commencement Date, Documentation shall only be issued

for review outside the Authority where it is absolutely necessary.

- J9.3.4. The Contractor shall at all times comply with the National Offender Management Service Security Manual, The Home Office IT Security Manual, the British Standard of Information Security Management BS 7799-2:1999 (as amended or replaced from time to time), such other instructions relating to Document Security (including the Authority's Construction Unit "Technical Instructions") and any other relevant NOMS guidance and policies as may be issued by the Authority (including any revisions or amendments thereto).
- J9.3.5. Documentation issued to the Contractor remain at all times the property of the Authority and on termination or expiry of the Contract shall either be returned to the Authority in accordance with the Contract, or be certified by the Contractor as having been destroyed in a secure manner or shall be retained by the Contractor pursuant to Conditions of the Administrative Instructions.
- J9.3.6. The Authority operates a procedure to control and monitor the issue, use and return of Documentation issued to others. The Contractor will notify the Authority in writing of their nominated Document Security Officer, who will be the focal point for inquiries on all matters related to this subject.
- J9.3.7. These security requirements have been incorporated in order to prevent information detrimental to the security of the Authority coming into the possession of unauthorised persons and at the same time establish an audit trail of Documentation movement.
- J9.3.8. The Contractor shall be responsible at all times for the security of all Documentation in the keeping of the Contractor whether issued by the Authority or copied or produced by the Contractor or its agents.
- J9.3.9. The Contractor shall notify all Contractors' Staff handling Documentation of the requirements imposed by the Authority and of the procedures for maintaining security. The Contractor shall notify all others (including (without limitation) Sub-

contractors) having an interest in the Contract of the particular requirements imposed regarding Documentation security.

- J9.3.10. The Contractor shall include in all contracts with Subcontractors similar but no less strict conditions of Documentation security and shall be responsible for their compliance.
- J9.3.11. The Contractor shall be responsible for ensuring that Documentation issued to others is returned.
- J9.3.12. The Contractor shall arrange for the secure destruction and recording of any Documentation that is no longer required, have been superseded or are additional to the Contractor's requirements.
- J9.3.13. The Contractor shall provide secure computer systems. Lockable cabinets and cupboards will be used for storing Documentation and these shall be kept locked at all times when not in use and secured at all times when offices are unoccupied.
- J9.3.14. The Contractor shall report immediately to the Authority's Representative by the most expedient method the loss of any Documentation stating details of the loss and what the Contractor is doing to secure its recovery. A record of the loss, action taken by the Contractor and outcome will be made in the Contractor's monthly report (paragraph 6 refers).

J9.4. Arrangements upon termination or expiry of this contract

J9.4.1. The Contractor shall safeguard and secure Documentation throughout the Contract or until the Contract is terminated. Upon expiry or termination of the Contract, the Contractor shall agree with the Authority in writing what Documentation shall be returned or destroyed or retained by the Contractor. Any Documentation that the Contractor is required to retain shall be securely stored in accordance with this Administrative instruction and Clause 41 of the Contract.

J9.5. Retention of records

J9.5.1. The following table details the minimum period for which the Contractor shall retain Documentation. The retention periods

are on a rolling basis. All Documentation held by the Contractor upon expiry or earlier termination of the Contract must be retained for a period of twelve (12) years after the end of the Contract regardless of the period specified below:-

Document Type	Retention Period
Financial records	12 years beyond project end date
Incident records	12 years beyond project end date
Complaint records	12 years beyond project end date
Record of visitors	12 years
Personnel records	12 years beyond project end date
Staffing details	12 years beyond project end date
Administrative records	12 years beyond project end date

- J9.5.2. The Contractor shall determine if there are any legislative or other requirements, which would necessitate the retention of certain Documentation for longer periods than those specified above.
- J9.5.3. The retention periods apply to the primary source documents and any electronic or other types of records produced.
- J9.5.4. All Documentation including those which provide full and accurate records of the Services, all expenditure reimbursed by the Authority and all payments made by the Authority, must be retained securely for a period of twelve (12) years after the final payment of all sums due under the Contract, regardless of the period specified above.
- J9.5.5. To those records as they may reasonably require in order to review the Contractor's compliance with the Contract or for the extraction of information. Clause 41 of the Contract refers.
- J9.6. Alternative methods of documentation storage
 - J9.6.1. The provision of the Services will generate a large volume of Documentation. The Contractor may propose alternative means of storage such as microfiche or electronic format for Approval. Any such proposals must comply with Relevant Legislation such as: Public Records Acts 1958 and 1967, the Taxes Management Act 1970, the Value Added Tax Act 1994,

the Companies Act 1985, EU Regulations and the Statute of Limitations.

- J9.6.2. The National Audit Office requires sight of certain original documents when conducting its audits. These include documents such as contracts, agreements, guarantees and titles to property, which may also be required as evidence to the courts. The Contractor shall ensure that such if alternative methods of document storage are proposed there must be stated methods of minimising the potential risks that may arise. Examples of potential risks are:
 - J9.6.2.1. The creation of unauthorised records;
 - J9.6.2.2. The creation of duplicated records;
 - J9.6.2.3. Corrupt, incomplete or illegible copies;
 - J9.6.2.4. Misleading copies e.g. alterations to the original not shown, subject to unauthorised alteration (accidental or deliberate), not the current version, not indexed to related documents;
 - J9.6.2.5. Unavailable for use due to system failure;
 - J9.6.2.6. Lost within the system; and
 - J9.6.2.7. Lost outside the system or destroyed.
- J9.6.3. Any such proposed system shall offer no opportunity for records/documents to be amended without an audit trail. The Contractor shall state to the Authority how it shall minimise these risks.
- J9.6.4. Effective document management systems normally provide the following facilities:
 - J9.6.4.1. data capture the means of transferring the originals to the alternative means of storage and after data capture a quality assurance process to ensure that the document has been captured accurately and can be reproduced;
 - J9.6.4.2. Indexing identifies and classifies documents for retrieval and a quality assurance process to ensure that a document has been properly indexed;
 - J9.6.4.3. Storage media which provide sufficient capacity and security;

- J9.6.4.4. Manipulation enables the stored documents to be combined or manipulated to create new documents;
- J9.6.4.5. Networks enable the stored documents to be shared and exchanged;
- J9.6.4.6. Workflow systems and/or software which enables only particular personnel to view, authorise, edit, annotate, print etc. the stored records;
- J9.6.4.7. Retrieval, display and print. The Contractor shall advise the Authority what facilities would be included in this.

J10. Complaints procedure

- J10.1. Any problem arising in relation to the Services shall be notified in the first instance to the relevant Contract Manager and Performance Manager who shall record the following details:
 - J10.1.1. Nature of Complaint
 - J10.1.2. Classification of complaint.

J11. ESF Helpline

- J11.1. A dedicated ESF helpline is available for the Contractor to use should they require any help; details are as follows:
 - Phone Number: 01925 423 423
 - Email: CFO-Helpdesk@noms.gsi.gov.uk

J12. Identity Checking and Security Clearance

- J12.1. Identity checking is important in ensuring people applying for posts in the NOMS HQ & the Prison Service are confirmed as being who they say they are. Security Vetting procedures check they do not pose a threat to security and will not discredit the Service.
- J12.2. All Contractor's staff who will be working within the Prison establishments and the National Probation Service offices are required to undergo the identity checking and vetting process.
- J12.3. Names of such staff are to be submitted to the Contract Manager for their respective region who will issue the Contractor with the appropriate form to be completed fully by the employee and, on completion, forward the document to the Security vetting department. Aside from carrying out checks prior to commencing employment, the Contractor must ensure that security vetting checks are renewed regularly, with no more than 5 years between checks for any individual.

J12.4. Non Employed

J12.4.1. Non employed workers include anyone working for the Prison Service who does not have a direct contract of employment. This includes:

• contractors

- consultants
- fee paid
- sessional*
- agency
- locums
- secondees
- voluntary workers
- J12.5. The Baseline Personnel Security Standard (BPSS) is the minimum requirement for non-employed workers. This vetting check needs should be performed every 5 years. The Contractor must ensure it has mechanisms in place to ensure that any changes in circumstances that could affect the security clearance of Contractor Staff or the integrity of the NOMS CFO programme are handled accordingly.
- J12.6. Determining Security Clearance Levels
 - J12.6.1. Conditional appointments may not be offered pending the completion of checks.
 - J12.6.2. The Baseline Personnel Security Standard (BPSS) check consists of several pre-employment checks designed to:
 - J12.6.2.1. Ensure that all new, directly recruited staff are entitled to work in the UK, and where appropriate, meet Nationality rules for government service.
 - J12.6.2.2. Guard against the employment of anyone posing as a prospective employee for commercial or personal gain.
 - J12.6.2.3. Appendix F details the documents which should be used to assist with the identity of potential staff delivering the contract requirements.

J13. Authority's Monitoring Requirements

J13.1. The Authority will develop a structure of performance monitoring and audit processes of individual projects. This process has both an audit and support function; it is designed to reduce risks to both the Authority and the Contractor, and ensures that quality improvement across a range of criteria is built into the contract monitoring process. Areas of concern can be identified and addressed at an early stage while, equally, examples of good practice can be shared more widely with other Provider agencies.

- J13.2. The Authority will undertake scheduled visits to Contractors and subcontractors. These visits will verify that the services agreed in the Contract have been delivered and correspond to expenditure claimed by the Contractor in their interim claims. The Authority's Representative will consult with the Contractor on the selection of planned visits. The Authority's Representative will record the outcome of each visit; they will also agree any notes and action points with the Contractor and or sub- contractor as a result of the visit.
- J13.3. In order to ensure that the Contractor is delivering in terms of numbers, client groups and outcomes, the Authority's contract management process also incorporates monthly analysis of management information provided through CATS, performance management, quality assessment, the Contractor's reports as defined in the Administrative Instructions and customer/participant satisfaction feedback. Monthly Regional Contract Meetings and the Monthly Performance Meeting will use this data to make decisions regarding effectiveness and compliance with the Contract.
- J13.4. Performance Management meetings between the Authority's Representative and the Contractor will be held regularly, as specified in Section (vii) Administrative Instructions. The data monitored will be subject to the regional requirements agreed with the Contractor, with the methods and frequency detailed in the Administrative Instructions.
- J13.5. Contracts are monitored against:
 - J13.5.1. The agreed objectives as defined in the Contract;
 - J13.5.2. Consistent, comprehensive participant and management information data via CATS, as required by ESF Managing Authority, the Authority and its partner agencies;
 - J13.5.3. The timely and accurate return of records and reports to the Authority;
 - J13.5.4. Delivery of agreed outcomes, outputs and milestones (as documented in Schedule G, Specification);
 - J13.5.5. Quality criteria;
 - J13.5.6. The evidence of delivery;
 - J13.5.7. Participant eligibility (as documented in Schedule G, Specification).

- J13.6. The Authority's view is that it is important to evaluate interventions and programmes; research feeds into continuous development of provision. The Authority will, therefore, be letting a national evaluation contract to inform this process. The Contractor will be required to co-operate with any appointed evaluators.
- J14. Management Information to be supplied to the Authority and the Cabinet Office
- J14.1. The following Management Information must be supplied by the Contractor to the Authority and to the Cabinet Office upon request:

Line Item Amount	Product / Service Level 2
Invoice Line Description	Product / Service Level 3
Invoice Line Number	Product / Service Level 4
Currency Code	Product / Service Level 5
Order Date	UNSPSC Code
VAT Inclusion Flag	Taxonomy Code
VAT Rate	Taxonomy Name
List Price	Geographical
Number of Items	Project Code
Unit of Purchase	Project description
Unit of Purchase Quantity	Project Start Date
Price per Unit	Project Delivery Date (Estimate and Actual)
Supplier Product / Service Code	Total project cost
Product description	Project Stage
Product / Service Level 1(Product or Service Name)	

Appendix A - Sample order

To: Deliver To (Unio sr Otherwise staled below): Phone : Requestor:	HM PRISON SERVICE	PURCHASE ORDER		Ceneral Terms and		
De Twery Reselledons:	To: Buyer: Phone:			-		
	Supplier General Inseruncions: Involve To:					
Une Description Des Doe Doe Ory UOM Unit Price Une Assource	De Swiry Resultations:					
	Like Devtription	Due Dove	0ø/	UON	Unix Price	Eno Astoste

Appendix B – Meeting Agenda

MEETING AGENDA

Article I.	LOCATION	
Article II.	DATE	
Article III.	TIME	
Article IV.		

NAME	ORGANISATION / ROLE

Artic	Article VII. AGENDA ITEMS
1	Apologies
2	Agree minutes from previous meeting:
3	CATS Performance Update / Threats to target
4	Action Plan Update if Required

Artic	Article VII. AGENDA ITEMS
5	Data Integrity
6	Sub Groups
7	Staffing (including Training)
8	Finance / Contracts
9	Diversity / Cross Cutting Themes / Sustainability
10	Publicity / Good Practice
11	Audit Monitoring Feedback
12	Complaints
13	Recent NOMS CFO Bulletins
14	АОВ

Appendix C – Monthly Review Meeting

National Offender Management Service

Monthly Provider Meeting Minutes

Purpose:

To monitor and evaluate the performance of project, and implement corrective action to ensure compliance where necessary.

Conduct of meeting:

1. If a designated member is not available, a briefed deputy will attend.

2. Notes will have an action column. Members named for task will update the meeting on the progress of the work allocated.

Copies of the notes will be distributed to all members prior to the next meeting.

ESF Region:
Date:
Venue:
Present:
Apologies:
Agree minutes from previous meeting:
Standing Agenda Items:
COMMENTS:
CATS Performance



European Union European Social Fund Investing in jobs and skills

Issues arising
Threats to targets
Action Plan Update if Required
Data Integrity
Sub Groups
Staffing (including Training)
Finance / Contracts
Diversity / Cross Cutting Themes / Sustainability
Publicity / Good Practice
Audit Monitoring Feedback

Complaints	
Recent NOMS CFO Bulletins	
Any Other Business	
Date of Next Meeting	
Copy of Minutes to be sent to:	
Minutes agreed by:	Minutes agreed by:
Print Name:	Print Name:
Role:	Role:
Date:	Date:

Appendix D – Meeting Action Points

MEETING ACTION POINTS

OWNER	DEADLINE	ACTION	STATUS

Appendix E – Monthly Provider Report



Staffing (including Training):

Finance / Contracts:

Diversity / Cross Cutting Themes / Sustainability:

Publicity / Good Practice:

Audit Monitoring Feedback:

Complaints:

Recent NOMS CFO Bulletins:

Report prepared by:

Role:

Date:

Appendix F – Document requirements for Security Clearance

Confirming identity, address and date of birth

This guidance is provided to help ensure the right documents are produced to confirm Identity, Address and Date of Birth. Your identity needs to be confirmed. You need to provide original documentation (no photocopies) in person to the Vetting Contact Point who gave you the form.

Please note all documents must be in your current name (marriage certificate excepted).

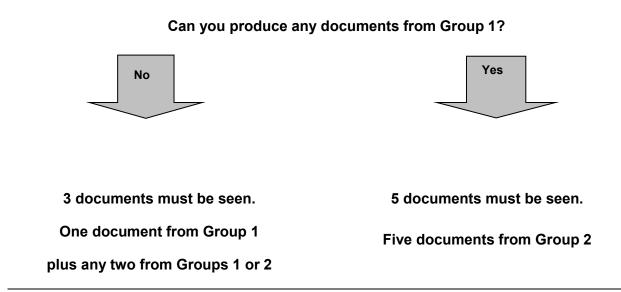
Two documents must show your current address (one must be within the last three months)

One document must show your date of birth

One document must have your photograph

Confirming Identity

Which documents do you need to provide?



List of Valid Identity Documents		
Group 1	Group 2	
Current Passport - any nationality	Marriage/Civil Partnership Certificate	
UK Birth Certificate issued within 12 months of date of birth – full or short form acceptable including those issued by UK authorities overseas, such as Embassies, High Commissions and HM Forces	Vehicle Registration Document (Document V5 old style and V5C new style only)	
UK issued Driving Licence (including provisional with photograph) England/Wales/Scotland/Northern Ireland/Isle of Man; either photocard or paper. A photocard is only valid if the individual presents it with the counterpart licence	Exam Certificate e.g. GCSE, NVQ, O levels, Degree	
EU National Identity Card – EU countries only	Birth Certificate	
HM Forces ID Card (UK)	National Insurance Card (UK)	
UK Firearms Licence	NHS Card (UK)	
Adoption Certificate (UK)	Certificate of British Nationality (UK)	
	Connexions Card (UK)	
End of Group 1		
	One of the following documents from the United Kingdom Borders Agency (UKBA) (formerly the Immigration and Nationality Directorate (IND)) (UK) – Do not use more than one of the following documents.	
	Convention Travel Document (CTD)	
	Stateless Person's Document (SPD)	
	Certificate of Identity (CID)	
	Application Registration Card (ARC)	
	Mail Order Catalogue Statement*	
	Bank/Building Society Statement*	

	Addressed Payslip*
	Credit Card Statement*
* These documents must be less than 3 months old	Benefit Statement* e.g. Child Allowance, Pension
	Store Card Statement*
	Letter from a Head Teacher*
These documents must not be printed off the internet	Utility Bill* electricity, gas, water, telephone – including mobile phone contract/bill
	A document from Central/Local Government/Government Agency/Local Authority giving entitlement (UK)* (e.g. Department for Work and Pensions, the Employment Service, Customs & Revenue, Job Centre, Job Centre Plus and Social Security
Continued overleaf	

Financial Statement** e.g. pension,
endowment, ISA

Court Claim Form (UK)** documentation issued by Court Services

** These documents must be less than 12 TV Licence** months old Mortgage Statement**

These documents must not be printed off Insurance Certificate** the internet

Council Tax Statement (UK)**

Work Permit/Visa (UK)**

CRB Disclosure Certificate**

Appendix G Publicity regulations for NOMS/ESF Funded projects

These Publicity Regulations may be updated from time to time and it is the responsibility of the Contractor to comply at all times with the current Regulations that are applicable to the European Social Fund.