THE KIRKLEES BETTER OUTCOMES PARTNERSHIP

THE SECOND REPORT OF A LONGITUDINAL EVALUATION OF A LIFE CHANCES FUND IMPACT BOND

TECHNICAL APPENDIX

August 2023

A INTERVIEW PARTICIPANTS

Stakeholder Type	Role	No. of Interviews & Type of Interview[1]
Council	Senior contracting and procurement manager	1
Council	Contract manager for housing related support	2
KBOP	Chair KBOP board	1
KBOP	Investment fund director	1
KBOP	Investment fund manager	3
KBOP	Project director	3
KBOP	Service manager	1
KBOP	Data and operations analyst	1 group | 1 individual
KBOP	Referral assessor	1 group | 1 individual
KBOP	Engagement coordinator	1 group | 1 individual
KBOP	Programme administrator	1 group | 1 individual
Provider A	Data analysis manager	1
Provider A	Head of services	1
Provider A	Director	1
Provider B	Senior service manager	1
Provider B	Service manager	1
Provider C	Regional head of operations	1
Provider C	Data analysis manager	1
Provider D	Service manager	1
Provider D	Senior support worker	1
Provider E	Service manager	1
Provider E	Service manager	1
Provider F	Senior service manager	1
Provider F	Service manager	1
Provider F	Service manager	1
Provider G	CEO	1
Provider G	Service manager	1 paired
Provider G	Service manager	1 paired
Provider H	Director	1
Provider H	Head of services	1
Provider I[2]	Senior operational manager	1
External SIB stakeholder	Council consultant	1
External SIB stakeholder	Legal pro-bono advisor to the investment fund manager	1

---

[1] If the type of interview isn't explicitly mentioned, the interview type is an individual one.
[2] Provider I is the parental organisation of Provider D and Provider E.

Blavatnik School of Government, University of Oxford

B DESCRIPTION OF THE KBOP SERVICE PROVIDERS

Name of Service Provider	Provider Type	Provider Size[3]	Type of Support
Fusion Housing	Registered Charity	Large	Generic housing related support
Horton Housing Association	Registered Society	Major	Generic housing related support
The Pennine Domestic Violence Group	Registered Charity	Medium	Specialist domestic abuse support
Foundation	Registered Charity	Major	Generic housing related support
Making Space	Registered Charity	Major	Generic housing related support
Community Links	Registered Society	Large	Specialist mental health & drug & alcohol support
Home Group Limited	Registered Society	Major	Generic housing related support
Connect Housing Association	Registered Society	Super-major	Generic housing related support

---

[3] The classification of provider size was made on the basis of their annual income using the classifications of the UK Civil Society Almanac 2019 classification of UK voluntary organisations.

C1 METHOD SUPPLEMENT

Data collection (Interviews)

Interviews were either conducted remotely (31) and recorded using an online tool (Microsoft Office teams) or face-to-face (7) using a dictaphone. Most interviews were conducted as panel interviews, with more than one member of the research team present to facilitate note taking and probing to clarify responses by participants. Participants were usually interviewed individually, except for one paired and one group interview. Interviews lasted on average 69 minutes.

The interviews were fully transcribed by the research team members, participants names were replaced with anonymous interview IDs, and for named third party actors, pseudonyms were created. However, given the specific and localised nature of the research, some participants may be identifiable, particularly those working for Kirklees Council and the KBOP social prime. The research is endorsed by the University's Ethics Committee. Prior to participation, research participants received an information sheet outlining the study's purpose and conditions for participation, and consent was sought and provided for every interview. Participants who are directly quoted in this report have had their identities masked with pseudonyms and have seen the quotes and are comfortable with their use.

C2 ANALYSIS SUPPLEMENT (GOVERNANCE)

The KBOP Social Prime

THE KBOP SOCIAL PRIME – INTRODUCING A NEW COORDINATION TEAM TO DELIVER THE SOCIAL IMPACT BOND

The transition to the SIB featured a major change in the governance of the service by setting up a separate contract and partnership management entity, the Kirklees Better Outcomes Partnership (KBOP) social prime. The KBOP social prime is the contract party to the social outcomes contract with Kirklees Council. It also holds the bi-lateral contracts with providers. Through this model much of the contract management role has been transferred from the council to KBOP.

This text box provides a brief overview on the different roles within the social prime. The social prime consists of fund and operational managers and is overseen by an external Chair.

The **Chair** is a technical expert on outcomes-based contracting and SIBs, acts as the KBOP board's Chair and is funded by the KBOP social prime. The Chair oversees the financial and operational activities of the SIB.

The investment manager and investment director (**fund managers**) are responsible for ensuring the availability of working capital to deliver the social outcomes contract and deciding – in agreement with the operational management - on the investments for the service (e.g., new provider staff, spending on service pilots). They also serve as technical expert advisors, disseminating their learnings from other SIBs. The investment manager was central in the operational set-up of the KBOP SIB. During implementation, the fund managers engage in the project as KBOP board members.

The operational management of KBOP involves a project director, a service manager, a data and operations analyst, a contracts officer, a referral assessor, an engagement coordinator, a programme administrator, an ETE[4] coordinator and a peer mentor coordinator.

The **project director** is responsible for managing the provider services in line with targets, performance indicators and quality standards to ensure the successful delivery of the outcomes contract. A key task is strategic service development. This involves identifying opportunities for service innovations

---

[4] ETE stands for Employment, Training and Education

and supporting fund managers' investment decisions by providing advice on their potential impact and options for improving outcomes achievement. The project director is also responsible for performance analysis, supporting monthly conversations on service development with the board and the council. The role also involves building and extending the partnership network to create awareness of the KBOP service and broker additional referral routes, ensuring the service is accessible and well-integrated with other public (and charitable) services in the area (e.g., forging connections with probation teams). Finally, the project director operates as a partnership coordinator. This entails setting the prime's governance structure and processes, promoting effective relationships between the SIB providers, facilitating meetings and communicating performance, delivery strategy and plans.

The **service manager** is responsible for the management of the referral process, the quality assurance of the service and building provider capacity in delivering an outcomes-based contract. The service manager liaises with external stakeholders such as referral agencies and other local services. In addition, this manager leads KBOP's co-production work, to involve people with lived experience in the service development.

The **data and operations analyst** analyses the providers' performance and oversees their data collection processes. The analysis and visualisations are used to inform conversations between the KBOP social prime and service providers and is used as key material in KBOP board briefing packs.

The **referral assessor** conducts the referral assessment and allocates service users to KBOP providers. Moreover, the referral assessor liaises with Kirklees referral agencies and the KBOP provider network to ensure a seamless referral process.

The **engagement officer's** primary role is the initial engagement with the referred service participants. In addition, the engagement officer supports the social prime's co-production work.

The **programme administrator** manages the referral inbox and liaises with the referral agencies if further information is required. Alongside this, the administrator provides general support to the KBOP management team.

The **ETE coordinator** supports the providers with employment matching for participants. They work to develop provider capacity in ETE provision.

The **peer mentor coordinator** supports participants into volunteering within KBOP programme as Peer Mentors, using their lived experiences to build relationships with service users who have progressed in their support journey towards independence.

Governance structure

The KBOP board meeting

The KBOP board is made up of the director and investment director of the social investment fund and the KBOP director. The board is chaired by an external consultant resourced by the social investment fund. The KBOP service manager and the KBOP data and operations analyst also attend the board meeting.

Providers attend the monthly board meeting in turns and each attend bi-annually. Pairs of service providers are invited to present in the first part of the board meeting on their organisational challenges and successes. A subsequent discussion facilitates an exchange of perspectives on tackling operational issues between the providers and fund managers.

Stakeholders describe the KBOP board as having three key functions:

1) First, ensuring contractual compliance. This involves scrutinising the operational management and performance of the contract to improve participants' outcomes. The board's Chair refers to efficiency considerations when assessing performance, but also safeguarding the inclusiveness of the service. In describing the board's function, the Chair underscores accountability to the service users:

   "I think it's holding the service to account effectively on behalf of service users to ensure that it maximises the outcomes. Again, that it maximises the quantity and quality of programme outcomes."

   Likewise, the chair mentions the board's obligation towards the investors to generate a financial return from the outcome payments and the alignment of outcomes and financial performance:

   "So, you've got this investment comes in, and the investors in theory are going, 'we want to protect our investment, we want to make sure we get a return. So, we're going to follow that money through to ensure we get the outcomes from it."

2) The second function is to shape the social prime's operational strategy. This encompasses solution-seeking to barriers that inhibit service delivery (e.g. shortage of appropriate accommodation) and identifying opportunities for longer-term service development (e.g. new staff roles; new referral pathways; service pilots [a list of the KBOP service innovations can be found

in Annex G]). This may also involve the exchange of best practice and recommendations from other outcome-based projects.

3) The third function is to support the operational management team. This involves reviewing operational practice to identify the need for further investments or investment re-allocation. The board's Chair explains:

"The key question at a good board meet is to ask each time: 'what are you going to be doing differently next time in order to improve this?' And that's where you'll be taking the decision about shifting resources, about spending more or less on something else."

It is important to consider members' influence on the board's decision-making. The financial decision-making power sits with the board's chair and investment fund managers. However, statements from the KBOP project director and the director of the investment fund indicate that the project director has considerable authority in determining changes to the operational model and unlocking required funding. The KBOP project director acts as broker between the board and operational staff. The requests made by service providers and suggestions for potential operational changes are mediated through the project director. The director of the investment fund explains:

"In a way, you try to use the rate card as a sort of method of prioritising your delivery pilots (i.e., those ideas which might improve the most valuable outcomes should be prioritised). But it's an imperfect science. It basically comes down to what [KBOP project director] and the team feel is going to make the biggest difference. You know, what they are telling us is the most important thing to change."

However, alongside qualitative considerations which might tailor service design in response to providers' suggestions, decision-making is also underpinned by value-for-money and more specifically efficiency[5] and cost-effectiveness[6] considerations, as the investment fund manager explained:

"What does it cost and what do we think is going to deliver on outcomes? And if we think it's going to deliver more outcomes then great, we can do it."

---

[5] The National Audit Office defines efficiency as 'the relationship between the output from goods or services and the resources to produce them'.
[6] The National Audit Office defines cost-effectiveness as the 'optimal use of resources to achieve the intended outcomes'.

Similarly, a service director[7] with a provider pointed to value-for-money considerations being critical in the decision-making on service developments, reflecting on a decision made by the KBOP board to allow the provider to continue an intervention, but on a significantly diminished scale:

"If KBOP contract managers don't think that it's been value for money, then they will pull it."

The Social Prime-Council meeting [8]

Unlike the KBOP board meeting, the meeting between the KBOP social prime and the council serves as a contractual compliance meeting for the council. It is chaired by the KBOP project director. Members include the council stakeholders, i.e., the senior council contracting and procurement manager and the council contract manager, and social prime stakeholders, i.e., the investment fund manager, the KBOP service manager, the KBOP data and operations analyst. A representative from central government's LCF fund administrator has an observer role. The providers attend in turn on a bi-annual basis for the open part of the meeting; their presentation covers the same content as in the board meeting. The meeting takes place monthly.

Stakeholder interviews and Terms of Reference documents indicate that the Social Prime-Council meeting has three functions:

1) To ensure contract compliance to the council. Hence, there is a focus on reporting performance (provider performance & outcome achievements), staffing and capacity (referrals & new starts). The scope of the performance reporting is the same as that provided to the KBOP board. However, KBOP management doesn't fully share the commercial information from the KBOP board meeting.
2) To develop KBOP's operational strategy. KBOP's operational management team uses the meeting to inform the council about structural barriers such as a lack of accommodation or recruitment opportunities, to engage the council in the solution-seeking process and secure its buy-in to mitigation actions.

---

[7] Provider H

[8] The KBOP governance arrangements are fluid. Therefore, it is important to acknowledge that the meetings of the KBOP board and the Council-Social Prime meeting were merged into one KBOP Programme Board before report publication but after the primary data collection stage. A separate meeting, labelled as KBOP Finance and Governance, was held between the KBOP board chair, representatives of the KBOP social prime and the investment fund management company.

3) To create shared ownership between the council, the providers and the KBOP management team. More specifically, the meeting is intended to provide a platform for council-service provider interaction. Since large portions of the contract management function moved from the council to the social prime, the council was concerned that it didn't have sufficient oversight of the operational issues and that the council team was losing the quality relationships it had with providers. Interview findings from council staff and service providers suggest that the meeting doesn't provide a meaningful engagement platform for the two stakeholder groups. Both stakeholders describe a lack of dialogue. Council staff have also expressed concern as to whether the provider presentations sincerely outline the extent of operational issues:

"And a lot of what they [service providers attending the Council-KBOP meeting] come with is other good news stories…. I do care about what's working well, but I care as much about what's not working well… And that's where I felt that we've lost some of that link. I think it's got a bit better, but I still think we've lost some of that."[9]

Finally, council staff reflected that the low frequency of interaction with service providers might also hinder the relationship between the council and the delivery teams.

There are important differences between the KBOP board meeting and the social prime-council contract review meeting. The KBOP board meeting has a commercial governance focus while the social prime-council contract review meeting is meant to serve as an 'escalation route' for troubleshooting and as a relationship facilitation platform.

While Kirklees Council is the outcomes payer for the service, the formal decision-making power on issues related to the SIB's service provision (e.g., new staff roles or intervention pilots), is transferred to the KBOP social prime as the intervention funder. However, given the council's knowledge of the service, the KBOP board actively seeks the council's advice before making a final decision.

---

[9] Senior council contracting and procurement manager

Individual provider – KBOP management meetings

The individual bilateral meetings between the KBOP management team and the providers have a strong compliance objective and focus on KPI monitoring and quality auditing to improve outcomes for participants. These monitoring meetings are conducted monthly between the KBOP service manager, the KBOP data and operations analyst and a provider service manager. The quarterly performance review meetings involve more senior management, i.e., the KBOP project director and a senior provider service manager.

In addition to the meetings, providers had to submit monthly, quarterly and annual programme updates to the board. Key performance figures that are set out in the monthly report include the number of new starts, referral numbers and outcome achievements (see Appendix E). Importantly, providers also report on service innovations and collaborative projects. Analysis of the performance reporting and interview data indicate that alongside the performance focus, KBOP management is attentive to the further objectives of the SIB delivery model, namely greater frontline innovation and cross-provider collaboration. According to the KBOP project director, the monthly meetings feature a greater relational approach in the review practice than the quarterly strategic review meetings.

Collective provider – KBOP management meetings

There are two forms of management meeting which bring together the entire provider group working within the KBOP partnership. One set of meetings is focused on compliance and performance monitoring; the other set of meetings is focused on provider empowerment and fostering cross-provider collaboration.

In the compliance strand, the providers' most senior leads meet with the KBOP project director and the KBOP data and operations analyst on a quarterly basis to review the performance across the whole KBOP partnership.

In the 'empowerment and collaboration' strand, the social prime hosts two meetings. One meeting serves as a platform to facilitate provider collaboration and sharing of best practice, alongside the joint development of ideas for service improvements. The meeting takes place monthly. Contrasting with the compliance-focused meetings, the collaboration meeting aims to involve a greater number of stakeholders from each of the providers, namely service managers and team leaders. It is important to note though, that despite its different meeting nature, the overall contract performance is shared in this meeting as well. This underscores the steady familiarisation and cultural shift to 'performance awareness' that the social prime is seeking to establish across the delivery partners. Exposure to the group's overall performance is expected to enhance providers' commitment to

achieve KBOP's collective outcomes targets. The KBOP management team representatives are the project director, the service manager and the data and operational analyst.

The other monthly meeting is specifically dedicated to fostering the implementation of a personalised approach - the 'strengths-based' approach - in service provision. In contrast to all other management meetings, this forum engages a variety of provider stakeholders ranging from frontline staff to service directors. These stakeholders lead and promote a strengths-based way of working within their individual organisation. The whole KBOP operational management team is part of the meeting.

The co-production forum
To allow service users to influence changes in the service design, the social prime established a co-production forum. The group consists of people with lived experience from local services across Kirklees and is led by the KBOP service manager and the KBOP engagement coordinator. Participation is voluntary. To ensure a safe discussion environment, frontline and managerial staff from services are excluded from the forum. The group meets monthly. Recent examples of the work of the co-production forum include developing approaches to prevent drop out from prospective service users and involving people with lived experience in the recruitment process.

D KBOP RATE CARD

Outcome	Definition	Evidence
Initial Wellbeing assessment	Support Plan and Initial Wellbeing Assessment (Homelessness Star) completed and agreed with the Participant at the beginning of the period of support. For PDAP cases: Safety Plan and Initial Wellbeing Assessment (Power Form) completed and agreed with the Participant at the beginning of the period of support.	A completed initial Support Plan and Homelessness Star uploaded to the Referral System. For PDAP cases: A completed initial Safety Plan and Power Form uploaded to the Referral System.
2nd Wellbeing assessment (at 3 months +)	Wellbeing assessment can take place at any time from 3 months after the initial wellbeing assessment. This should include an assessment as to whether the Participant has achieved their ambitions and ready to be moved on from the Service. For PDAP cases: Safety Plan and Wellbeing Assessment (Power Form) completed and agreed with the Participant at the end of the period of support.	A completed Support Plan and Homelessness Star uploaded to the Referral System. For PDAP cases: A completed initial Safety Plan and Power Form uploaded to the Referral System.
3rd Wellbeing assessment (at 6 months +)	Wellbeing assessment can take place at any time from 6 months after the initial wellbeing assessment. This should include an assessment as to whether the Participant has achieved their ambitions and ready to be moved on from the Service.	A completed Support Plan and Homelessness Star uploaded to the Referral System.
Wellbeing improvement – 1st to 2nd	Improvement will be self-assessed using the Initial Wellbeing Assessment and the 2nd Wellbeing Assessment. A Participant's score in Wellbeing Assessment must have improved by a minimum of 2 point from initial score captured at beginning of the period of support.	Completed assessment and results from the start of Service and latest assessment.
Wellbeing improvement – 1st to 3rd	Improvement will be self-assessed using the Initial Wellbeing Assessment and the 3rd Wellbeing Assessment. A Participant's score in Wellbeing Assessment must have improved by a minimum of 2 point from initial score captured at beginning of the period of support.	

Outcome	Definition	Evidence
Achieve Financial resilience	Enabling individual to achieve financial independence. This could be claimed for any one or more of the following; i) Supporting the Participant to maximise their income (including benefit entitlement) ii) Completion of a budget planning exercise (e.g. in household budgeting, relevant financial management learning toolkits, managing the benefit system), either through the relevant Subcontractor or a separate course. iii) The Participant has rent arrears from their current or previous property, or other outstanding debt. This can claimed by: (i) evidencing that a sustainable repayment plan is in place and is active (2 months' worth of payments made); and/or (ii) evidencing that the outstanding debt has been reduced to a level required for consideration for housing (this is set at £341.75 equal to 5 weeks average rent in line with the Authority's policy). iv) Supporting Access for "Right to Remain" legal classification – enabling recourse to public funds. v) For PDAP cases: Opening Bank account to support independence if previous account shared with perpetrator.	This can be evidenced through the support plan or events/case notes along with one of the following: ● an awards letter where the outcome is linked to accessing entitlements; or ● a completed budget plan/completed workbook for a budget planning exercise/course. ● a signed letter from the debtor confirming a payment plan is in place or completed; ● a statement showing payments being received ● Indefinite Leave to Remain (ILR) Legal documents, Written confirmation from Immigration services, ILR Certification ● For PDAP cases: Bank Statement, letter confirming new account ● For PDAP cases: Permission to Remain (PR) Certification
Reduction in risk of Domestic Abuse	This will be self-assessed using the DASH risk assessment framework. A Client's score in DASH risk assessment must have reduced by a minimum of 3 points from initial score captured at referral stage.	This can be evidenced through DASH forms (Initial document and secondary document) showing reduction in risk rating.
Accessing Rights to Legal Protection	Empowering participant enabling access to rights and legal protection via legislation: ● Non-Molestation Order ● Occupation order ● Child arrangement order ● Prohibited steps ● Reporting abuse to the police & statutory bodies	Evidence of enabling individual to access rights and legal protection via legislation: ● Court Order signed / stamped by Clerk ● Court application and supporting evidence ● Police report ● Letter from Social Services confirming arrangement requirements ● Self-certificate form, and all applications documented ● Solicitor Letter
Empowering and Promoting Independence	Enabling and empowering an individual to achieve independence through completion of any one of the following courses: ● Healthy relationship courses ● Understanding Domestic Abuse ● Completion of parenting rights course ● Completion of Freedom Programme	Any of the following; ● Certificate of completion of identified course ● Self-certificate form reflecting healthy relationship intervention completion and all applications documented ● Tech safety

Outcome	Definition	Evidence
Completion of or compliance with a Statutory Order	Minimum of 3 months support enabling individual to comply with or complete statutory order requirements.	Any of the following: ● Record confirming completion of or compliance with statutory order by NPS / CRC Case Manager ● Record of completion of or compliance with Unpaid Work, Rehabilitation Activity Requirement or NPS Programme. ● Reduction in offending score on outcomes star reading identifying positive impact of support.
Prevention or relief / entry into suitable accommodation	This could be because: (i) the Participant is subject to the threat of eviction; (ii) they are already homeless; or (ii) their current property is unsuitable for their support needs, or (iii) their safety or security is compromised in their current situation	Any one of the following: ● written confirmation from the landlord of intention not to evict; ● documentation showing the landlord has withdrawn from legal proceedings; ● a court decides not to issue a possession order; ● a declaration from the Service saying they have received verbal assurance that the Participant will not be evicted ● a letter/email from friends/family saying they no longer intend to evict; or their placement in this accommodation is secure ● a signed copy of the new tenancy agreement; ● a signed written agreement between the Participant and landlord if in lodgings ● confirmation of temporary placement in refuge or supported housing. ● identification of planning and adaptations required to support sustainment of current home or a planned move ● where a property has been improved to address the need, evidence of the work must be provided, this can include a photo or invoice for the work performed ● For PDAP cases: application, installation and completion of target hardening interventions with evidence of support provided
3 months sustainment of accommodation 6 months sustainment of accommodation 12 months sustainment of accommodation	Outcomes for successful sustainment of accommodation over time claimed at specific intervals following referral or entry into suitable accommodation (3,6,12 months). This can be claimed for all Participants, regardless of whether they had an immediate housing need on referral. The Participant can move between appropriate accommodation over the course of the period if	One of the following: ● Self-certification form ● Landlord letter/email ● Family/Friend letter/email Where possible, tenancy agreement to be uploaded as a supporting document *Self-certification format may be variable

Outcome	Definition	Evidence
18 months sustainment of accommodation	each is a planned move and not an eviction or abandonment. Accommodation sustainment outcomes cannot be claimed for participants who are residing temporarily in refuge or supported accommodation	*Claims eligible by exception for individuals who may be deemed complex, high risk or have a history of none engagement and will benefit from continuation of dual support. Evidence of this cohort via Risk Management / Safety Plan.
Entry into education and training	This outcome can be claimed on the successful engagement in education or learning activity. For accredited education courses, the individual must complete at least the first two sessions of the educational course. For unaccredited courses, the individual must complete the appropriate toolkits/workbook. This outcome can only be claimed once per Participant. Outcomes can be claimed for unaccredited courses related to: (i) healthier living/substance misuse/wellbeing; (ii) maintaining tenancies; or (iii) IT skills and Employability and any other course the individual completes to promote independence and improve wellbeing. The courses can be attended face to face, through digital platforms or through agreed protected learning activity time this can include courses internally run by the relevant Subcontractor.	Any one of the following: ● Self-certification form confirming enrolment and attendance in first two sessions ● A Letter/ email from trainer confirming enrolment and attendance in first two sessions For unaccredited courses the following: Completed toolkit or workbook (unaccredited courses) *Self-certification format may be variable
Part completion of Ofqual approved qualification	A Participant completes course or units of a course which count towards a full Ofqual qualification, Level 1 or above. The course or units must be worth at least 3 credits in total. This outcome can be claimed up to a maximum of two times as long as the second qualification is of a higher level or in a different subject.	Claim form to include Ofqual number and any one of the following; ● A letter from the trainer confirming course completion; or ● A certificate evidencing completion of the course.
Completion of full Ofqual approved qualification	A Participant achieves an Ofqual approved qualification, Level 1 or above. The course must be fully complete and worth at least 9 credits in total. This outcome can be claimed up to a maximum of two times as long as the second qualification is of a higher level or in a different subject. The full and part qualification outcome can be claimed for the same course. (i.e. the Part claimed when 3 credits are achieved, and the Full when the course is completed).	Claim form to include Ofqual number and any one of the following; ● A letter from the trainer confirming course completion; or ● A certificate evidencing completion of the course.
Entry into employment	To claim this outcome the Participant must have been made, and have accepted, an offer of employment. They must also have attended at least the first day of employment. Self-Employment: starts trading. Apprenticeship: Where a Participant is enrolled on an apprenticeship the Contractor can claim both the employment and the education outcomes if they each meet the relevant outcome requirements. The outcome for entry into employment can only be claimed once and only when entry into employment took place after the service commenced.	Any one of the following: ● Self-certification form ● An employment contract; ● Payslips; ● An employer letter; ● Invoices and remittances; or ● A completed business plan (for self-employment only).

Outcome	Definition	Evidence
6.5 weeks equivalent employment F/T 13 weeks equivalent employment F/T 26 weeks equivalent employment F/T	Employment: There must be a contract in place. Employment does not have to be in the same place of work but each Participant **must achieve** the relevant **accumulated gross earnings detailed in the Earnings Table.** Self-Employment: Triggered when a Participant has invoiced revenue as detailed in the relevant section of the Earnings Table, or achieves a cumulative period of not less than 8 hours of self-employment per week in a period of 13 weeks. Apprenticeship: Where a Participant is enrolled on an apprenticeship the Contractor can claim both the employment and the education outcomes if they each meet the relevant outcome requirements. The outcome for each duration of ongoing employment can only be claimed once. Unless otherwise agreed between the Contractor and the Authority, this outcome cannot be claimed for Participants who were in stable employment (consistently in work or with no more than two weeks gap in between roles) for 6 months or more at the point of referral to the Service. Only variation to this is if point of crisis identified risking or impacting sustainment of employment.	Any one of the following: ● Self-certification form ● An employment contract; ● Payslips; ● An employer letter; ● Invoices and remittances; or ● Evidence of trading for self-employment (for self-employment only).
Entry into Volunteering/Work Experience	A Participant enters volunteering or work experience placement(s). Outcomes are claimed at acceptance point and attendance of at least the first day of placement. This outcome can be claimed up to two times (once for volunteering and once for work experience) and only when entry into volunteering/work experience took place after the service commenced.	Any one of the following: ● Self-certification form; ● A letter from the organisation the Participant has volunteered with. *Self-certification format may be variable
6 weeks volunteering/Work Experience	A Participant carries out volunteering or work experience placement(s) for 6 weeks, averaging at least 6 hours per week. This can be a total average over longer period if placement is less than 6 hours per week. This outcome can be claimed up to two times (once for volunteering and once for work experience) and only when entry into volunteering/work experience took place after the service commenced.	
Accessing Services	This can be claimed for either; i) Participants with a mental health support need who are not currently receiving an appropriate service or have access to/complying with a treatment programme. It can be claimed on the acceptance of the referral by the 3rd party mental health service or attendance at a GP appointment with a treatment programme. This can include both statutory and non-statutory mental health services. ii) Participants who are not currently receiving an appropriate service in relation to Substance misuse. It can be claimed on the acceptance of the referral by the 3rd	Any one of the following; ● Self-certification form ● a signed letter (or email) from the 3rd party service saying the referral has been accepted. ● Signed letter from GP or prescription reflecting access to correct medication. Context regarding reason for change an show why this is positive to be included on self cert. *Self-certification format may be variable

Outcome	Definition	Evidence
	party substance misuse service and attendance at an initial appointment. This can include both statutory and non-statutory substance misuse services as per identified needs of participant. This outcome can be claimed up to two times (once for mental health and once for substance misuse).	
Mental Health sustained engagement with services	Supporting individual to engage with mental health treatment. This may include any Clinical Commissioning Group or Authority funded service as well as engagement with a treatment programme through their GP. Engagement must include attendance at appointments for a period of 3 months or until discharged from the Service (whichever is the sooner)/compliance with treatment programme prescribed by their GP. This includes cases where the individual was already engaging with a treatment programme prior be being referred to the Service.	Any one of the following: ● Self-certification form; ● A discharge letter (if less than 3 months sustainment); or ● A letter from the 3rd party service provider confirming attendance at appointments over 3-month period. ● Signed letter from GP or prescription reflecting access to correct medication. Context regarding reason for change and why this is positive to be included on self cert. *Self-certification format may be variable
Drugs/ Alcohol sustained engagement with services	Supporting individual to engage with Drug and Alcohol support programme. This may include any Clinical Commissioning Group or Authority funded service. Engagement must include attendance at appointments for a period of 3 months or until discharged from the Service (whichever is the sooner). This includes cases where the individual was already engaging with a treatment programme prior to being referred to the Service.	Any one of the following: ● Self-certification form; ● A discharge letter (if less than 3 months sustainment); or ● A letter from the 3rd party service provider confirming attendance at appointments over 3-month period. ● Signed letter from GP or prescription reflecting access to correct medication. Context regarding reason for change and why this is positive to be included on self cert. *Self-certification format may be variable

Source: Kirklees Council

E EXAMPLE OF A PROVIDER MONTHLY PERFORMANCE REPORT

Delivery Partner:	*Month:*	*Year*

1 - Flexibility in Service Design:

Project Achievements this month: Please include use of Personalisation fund, examples of best practice and case studies.

Project Challenges this month: Please include narrative regarding any barriers or challenges experienced preventing achievement of outcomes or systemic issues. How have you mitigated these?

Asset Based Implementation: How have you adapted delivery to ensure you are working in an asset-based way? Have you encountered any successes or learning?

Innovation: What have you done to facilitate the achievement of outcomes for participants or enable new ideas, techniques pilots?

2 – Performance Management and Accountability

Please copy and paste performance table from KPI tracker. Identify key areas of positive and negative performance against KPIs and report against them.

KPI	Monthly Target	Target to date	Actuals to date	Evidence outstanding	Variance	% of target achieved
Total referrals	-	-	-	-	-	-
New Starts on Full Service	-	-	-	-	-	-
Initial Wellbeing assessment	-	-	-	-	-	-
2nd Wellbeing assessment	-	-	-	-	-	-
3rd Wellbeing assessment	-	-	-	-	-	-

Achieve Financial resilience	-	-	-	-	-	-
Completion of or compliance with a Statutory Order	-	-	-	-	-	-
Prevention or relief / entry into suitable accommodation	-	-	-	-	-	-
3 months sustainment of accommodation	-	-	-	-	-	-
6 months sustainment of accommodation	-	-	-	-	-	-
12 months sustainment of accommodation	-	-	-	-	-	-
18 months sustainment of accommodation	-	-	-	-	-	-
Entry into education and training	-	-	-	-	-	-
Part completion of Ofqual approved qualification	-	-	-	-	-	-
Completion of full Ofqual approved qualification	-	-	-	-	-	-
Entry into employment	-	-	-	-	-	-
6.5 weeks equivalent employment F/T	-	-	-	-	-	-
13 weeks equivalent employment F/T	-	-	-	-	-	-
26 weeks equivalent employment F/T	-	-	-	-	-	-
Entry into Volunteering/Work Experience	-	-	-	-	-	-
6 weeks volunteering/Work Experience	-	-	-	-	-	-
Accessing Services	-	-	-	-	-	-
Mental Health sustained engagement with services	-	-	-	-	-	-
Drugs/ Alcohol sustained engagement with services	-	-	-	-	-	-
Added Value outcomes	-	-	-	-	-	-
Total outcomes	-	-	-	-	-	-

Positive Performance Commentary: Which outcomes have been identified with a positive trend this month? Why do you think that has happened?
Please also include any **Added Value outcomes** achieved this month.
Negative Performance Commentary: Which outcomes have been identified with a negative trend this month? Why do you think this has happened? Please include what you have implemented as mitigation within this area.

3 – Collaboration

How can KBOP support you to achieve your KPIs?
How can the KBOP Strategic Steering Group support you with challenges experienced this month?
What have you done to include participants, staff, or stakeholders in your service?

4 – Contractual Verification

Please report against operational requirements of the contract:

| Role	Staffing required Budgeted FTE	Sickness	Vacant Roles	Actual Staff in post

Quality Audit: How have you audited operational quality and compliance this month? Any findings to discuss?
Case Study:
Reportable Incidents: Please document any complaints, death in service or other notifiable incidents

Source: Provider

F DESCRIPTION OF THE OUTCOMES CLAIM PROCESS
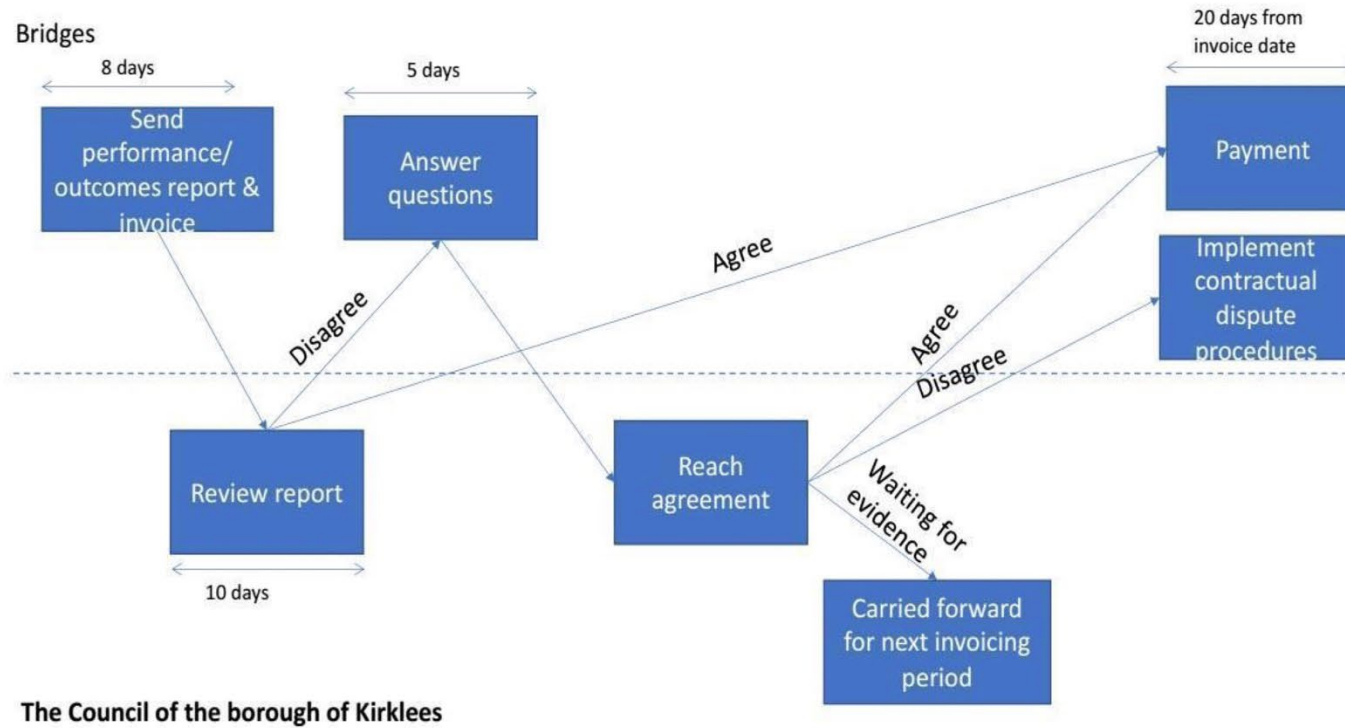
Source: KBOP Social Prime

G SERVICE INNOVATIONS

Name of Service Innovation	Intervention/Role Description	Funding	Involved Stakeholders
Accommodation Outcomes			
Tenancy Deposit Scheme	Facilitates access to private accommodation through offering a bond agreement and other guarantees (e.g., cash deposits) to private landlords.	Housing Solutions (Council) and KBOP Personalisation Fund	Fusion Housing; KBOP Social Prime
Tenancy Rescue	Carries a caseload of individuals identified to be in immediate housing crisis at the point of referral, and those who experience urgent housing crisis whilst in service who would benefit from a specialist intervention. The worker has housing law expertise and contacts in the Private Rented Sector to protect homes at immediate risk.	KBOP Innovation budget[10]	Fusion Housing
Landlord Liaison Officer	Relationship-building with private landlords to facilitate access to accommodation	Reconfiguration of existing Delivery Partner (DP) budget	Ministry of Housing, Communities and Local Government *(now: Department for Levelling Up, Housing and Communities)*
HIPs Supported Accommodation	Direct access to 4 x purpose-built properties prioritised for KBOP participants.	Horton Housing	Horton Housing
Accommodation For Offenders Pilot	Supporting ex-offenders in improved access to Private Rental Sector properties; 12 months pilot.	Ministry of Housing, Communities and Local Government[11]	West Yorkshire releasing prisons; West Yorkshire Probation; Kirklees Neighbourhood Housing (KNH Housing); Kirklees Council
Connect – Direct Access Pilot	KBOP managing referral pathway for prioritised access to accommodation for KBOP participants who have experienced or are at risk of rough sleeping.	Homes England	Connect Housing

[10] All new staff roles were funded by KBOP using different funding routes. Central KBOP funds were used for the Innovation budget and Personalisation Fund; in instances, existing delivery partner funding was reallocated for a different role to improve delivery.
[11] Now called Department for Levelling Up, Housing and Communities.

Prison Leavers Pathway	KBOP redevelopment of "Duty To Refer" collaboration. Collaborating with HMPs, Probation and Local Authorities to improve information sharing pre-release, preventing the need for homelessness presentations on release from prison and identification of address and access to community services.	No additional funding	HM Prisons, Probation, KBOP Social Prime, KNH Housing, Kirklees Council
Foundation - Offender Direct Access	Collaboration with Foundation Homes to support access to supported or enhanced accommodation.	No additional funding	Foundation Housing, KBOP Social Prime, KNH Housing, HM Prisons, West Yorkshire Probation
Young Persons Pathway	Development of automated referral pathway for anyone under 25 to support homelessness prevention and enable young people to sustain their tenancies.	No additional funding	KBOP Social Prime and KNH
Gender Based Approaches to Housing Standards	Collaboration with women's services in Kirklees to draft set of principles for women in accommodation. Improving experiences for individuals and standardising practice.	No additional funding	KBOP Social Prime, Women's Alliance, Safer Women Leeds
Mental Health Outcomes			
Community Gardening Service	Facilitate volunteering experience and enhancing mental health.	KBOP Personalisation Fund	Home Group
PDAP Group Support Programme	A peer support group course to support and empower victims of domestic violence.	KBOP Innovation budget	PDAP, KBOP Social Prime
Mental Health Specialist	Offers preventative clinical services (counselling) to participants waiting to access public mental health services.	KBOP Personalisation Fund	My Mind
Education Training and Employment Outcomes			
ETE Specialism Training	Design and facilitation of ETE training for all frontline staff. Promotion of motivational interviewing techniques to enable frontline staff to understand participant's ambitions.	KBOP Innovation budget	KBOP Social Prime, HC Cubed Training, Inspire

ETE Forum	Development of local cross partnership forum to support information sharing and best practice.	No additional funding	All KBOP providers, Department for Work and Pensions, Realise, Job Centre Plus, Works Better, Better Works
ETE Co-ordinator	Introduction of dedicated ETE Co-ordinator as part of KBOP Hub services. Collaborating with delivery partners and local employers, ETE & volunteering services to support staff to empower participants to identify career opportunities.	KBOP Innovation budget	KBOP Social Prime
ETE worker	Works alongside intervention worker to support participants with an interest in pursuing ETE outcomes.	Reconfiguration of existing DP budget	All KBOP providers
Other			
BAME (Black, Asian and Minority Ethnic) Development Worker	Specialist project and case work with the BAME community in Kirklees. Developed via community coproduction further to identification by KBOP that current BAME referrals not reflective of Kirklees diversity.	KBOP Innovation budget	Community Links
Service Management			
Engagement Worker	Design and facilitation of ETE training for all frontline staff. Promotion of motivational interviewing techniques to enable frontline staff to understand participant's ambitions.	Reconfiguration of existing DP budget	KBOP Social Prime, HC Cubed Training
Peer Mentor Co-ordinator	Support participants into volunteering within KBOP programme as Peer Mentors using their lived experiences to build relationships with service users who have progressed in their support journey towards independence.	KBOP Innovation budget	KBOP Social Prime
Contracts Officer	Supports individual delivery partner in outcomes recording and reporting to enable frontline staff to spend more time with participants.	Reconfiguration of existing DP budget	All KBOP providers[12]

---

[12] At the point of the report publication, only four of the eight providers (Horton Housing; Connect Housing; Foundation and Fusion Housing) implemented the role.

H GLOSSARY

Cohort The targeted population of beneficiaries, participants, or service users.

Commissioning The cyclical process by which entities assess the needs of people in an area, determine priorities, design and contract appropriate services, and monitor and evaluate their performance. This term is used widely in the UK public sector context, but less so elsewhere. It is sometimes used interchangeably with "contracting".

CDPSoft The 'Customer Data Platform Software' is the central referral and case management system, accessible to all parties involved in the KBOP project. It is administered by Kirklees Council.

DCMS The Department for Culture, Media and Sport (DCMS) is a department of the United Kingdom government. It hosts the Civil Society and Youth Directorate and Public Sector Commissioning Team (formerly the Centre for Social Impact Bonds), which holds policy responsibility for this policy area within UK central government. In 2016, DCMS launched the Life Chances Fund (LCF), within which it acts as the central government outcome payer.

ETE Activities aiming to move service participants into Education, Training and Employment

Fee-for-service contract In a fee-for-service (also known as fee-for-activity) model, a particular service is specified by the commissioning organisation, and providers are paid to deliver that service. Payment levels may be informed by specific inputs or activities and the accountability focus is usually the activity that service users participate in.

Social investor An investor seeking social impact in addition to financial return. Social investors can be individuals, institutional investors, and philanthropic foundations, who invest through their endowment. In UK SIBs, these assets are often managed by 'investment fund managers' rather than the original investing institutions or individuals who provide the capital.

Investment fund manager Responsible for providing the project finance and managing the investment strategy on behalf of the social investors.

KBOP partnership The KBOP partnership constitutes the alliance of service providers and the social prime.

Key Performance Indicator Contractual terms – in this case between the social prime and the individual provider organisation – defining monthly targets (new starts on service, referral numbers, outcome achievements) for providers.

Legacy contract See Fee-for-Service Contract

Life Chances Fund (LCF) The LCF is a £70m fund launched by the UK Government to support the growth and development of outcomes-based commissioning through the use of social impact bonds (SIBs), commissioned by local public sector organisations in England. The overall fund spend of the LCF was reduced to £70m from £80m as part of the DCMS budget negotiations in September 2020. This does not affect the ability to deliver existing commitments to projects in the Fund.

Medium scenario grants One of three temporary funding options offered to LCF projects during the Covid-19 crisis of 2020. This included activity payments based on projected medium case performance scenarios.

Outcome (outcome metrics/outcome payment triggers) The outcome (or outcome metric) is a result of interest that is typically measured at the level of service users or programme beneficiaries. In evaluation literature, outcomes are understood as not directly under the control of a delivery organisation: they are affected both by the implementation of a service (the activities and outputs it delivers) and by behavioural responses from people participating in that programme. Achieving these outcomes 'triggers' outcome payments within an outcomes contract or SIB arrangement.

Outcome-based contract 'Outcomes' can feature in a contractual arrangement in a range of ways. Typically, an outcomes-based contract is understood as a contract where payments are made wholly or partly contingent on the achievement of measured outcomes. Also known as an outcomes contract.

Outcome payer The organisation that pays for the outcomes in an outcomes contract or impact bond. Outcome payers are often referred to as commissioners.

Outcome payment Payment by outcome payers for achieving pre-agreed outcomes. Payments may be made to a special purpose vehicle or management entity in an impact bond or to service providers in other forms of outcome-based contracts.

Person-led service provision Service provision tailored to individual needs and wishes, enhancing user choice.

Payment by Results A way of delivering services where all or part of the payment is contingent on achieving specified results.

Provider   Also known as service provider, service delivery organisation or delivery partner. Providers are the entity(ies) responsible for delivering the intervention to participants. Depending on the SIB's contractual structure, providers work with the social prime, fund manager and/or outcome payer(s) to make the impact bond work. A provider can be a private sector organisation, social enterprise, charity, NGO or any other legal form.

Procurement Acquisition of goods and services from third party suppliers under legally binding contractual terms. In outcome-based contracts where the government is the outcome payer, the procurement processes may play a role shaping the market, in defining the outcome specifications, the terms of the outcomes contract, pricing the outcomes, and selecting the parties.

Rate Card   A schedule of payments for specific, pre-agreed outcome measures that a commissioner (outcome payer) is willing to make for each participant, cohort or specified improvement that verifiably achieves each outcome.

Service users See Cohort.

Social Impact Bond (SIB)   A type of outcome-based contract that incorporates the use of independent, third-party funding from social investors to cover the upfront capital required for a provider to set up and deliver a service. The service is set out to achieve measurable outcomes established by the commissioning authority and the investor is repaid only if these outcomes are achieved. In the literature SIBs are also referred to as Social Outcome Contracts (SOCs). This report uses the term SIB to refer to the commissioning arrangement; the term Social Outcomes Contract is used to refer to the contract between the council and the Social Prime.

Social Prime The KBOP Social Prime is the investor-owned contract holding and project management entity sitting between the council and the alliance of service provider organisations. It is the contract party to the Social outcomes contract with Kirklees Council and it also holds the bi-lateral contracts with providers.

Strengths-based approach This is a form of person-led service provision which seeks to increase service users' ownership of the support process by encouraging each person participating in a service to centre their strengths and ambitions as they journey beyond formal service provision.

The National Lottery Community Fund (The Community Fund)   The Community Fund, legally named the Big Lottery Fund, is a non-departmental public body responsible for distributing funds raised by the National Lottery. The Community Fund aims to support projects which help communities and people it considers most in need. The Community Fund manages the Life Chances Fund on behalf of DCMS.

Top-up funding   An outcomes fund may provide a partial contribution to the payment of outcomes where the remainder of outcomes payments are made by another government department, local government, or public sector commissioner. In the LCF the partial contribution from DCMS 'tops up' the locally funded payment for outcomes and is intended to support the wider adoption of social impact bonds (SIBs) commissioned locally.

Voluntary, community and social enterprise (VSCE) sector   A 'catch all' term that includes any organisation working with social objectives ranging from small community organizations to large, registered charities operating locally, regionally, and nationally.

About the authors

Eleanor Carter
Research Director

Dr Eleanor Carter is a UKRI Future Leaders Fellow at the Blavatnik School of Government, University of Oxford and is also Research Director for the Government Outcomes Lab. Eleanor's research investigates challenges in coordinating complex public service delivery networks and cross-sector partnerships. She is one of Apolitical's 100 Most Influential Academics in Government.

Before moving to Oxford, Eleanor gained experience from the policy-maker perspective working as an advisor for the Social Investment and Finance Team in the UK's Cabinet Office and through collaborative research projects with the Department for Work and Pensions.

Eleanor's work has been published in a range of journals including Social Policy and Administration and Journal of Social Policy. Key research outputs have also been translated into policy submissions and she frequently advises on policy design and evaluation strategies for government departments and voluntary sector organisations.

Dr Fernando Domingos is an Assistant Professor of Strategy at Sao Paulo School of Business Administration, Fundação Getulio Vargas (Brazil). His research interests are focused on impact-oriented initiatives. Before joining FGV, Fernando was a postdoctoral research associate at the Blavatnik School of Government (University of Oxford), where he worked on the evaluation of social outcome contracts. He holds a PhD in Economics (Insper, 2021, with a visiting period at HEC Paris, 2019-20).

Fernando Domingos
Assistant Professor

Franziska Rosenbach
Senior Research
Associate

Franziska Rosenbach is a Senior Research Associate at the Government Outcomes Lab.

Franziska leads on a multi-year evaluation of a Social Impact Bond partnership, funded by the UK Government.

Her research interest focuses on the governance of cross-sector partnerships in the context of social policy. Beyond she has an interest in the ways participatory research can broaden the evidence base and influence policy design.

Prior to joining the GO Lab, she worked as a project officer for refugee protection in a major German non-profit organisation.

Dr Felix van Lier is a Postdoctoral Research and Policy Fellow at the Government Outcomes Lab, where he investigates new approaches to better organise the provision of public services. He works with academics, investors, and local and central government to build evidence around how innovations in social policy and outcomes-based commissioning can improve citizen's lives and their long-term prospects.

Felix was previously a Research Fellow at the Max Planck Institute and a visiting fellow at Alan Turing Institute, where he investigated and co-developed digital tools to advance public decision making. Alongside data scientists, he produced evidence-based research on how digital democracy tools can be harnessed to support law and policy making and leveraged the use of machine-learning tools into different policy areas, including constitution-making and peace mediation.

He has worked as a consultant and advisor for organizations such as the International IDEA, Berghof Foundation, Democracy Reporting International, and the Bingham Centre for the Rule of Law of the British Institute for International and Comparative Law. Felix studied law in Germany and Italy, before completing a MSc in Law and Anthropology at LSE and a DPhil in Socio-Legal Studies at the University of Oxford.

Felix-Anselm van Lier
Postdoctoral Research
and Policy Fellow

Government Outcomes Lab
Blavatnik School of Government
University of Oxford

golab.bsg.ox.ac.uk
© 2023 | Government Outcomes Lab