



Ministry
of Justice

Phase 2 report from the payment by results Social Impact Bond pilot at HMP Peterborough

Appendices

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Table A.1: List of interviewees

Appendix A

Interview protocol

Opening question

1. Could you tell me about your involvement in the SIB at Peterborough?

Contractual process and structure

Questions about	Contract between Ministry of Justice and Social Finance
Relevant to interviewees from	Ministry of Justice and Social Finance

2. Were you involved in any of the contractual negotiations/discussions for the SIB - either at the outset or during its operation?
 - *If yes what was / is your involvement?*
3. What is your view on the number and nature of contract amendments which have been made or proposed?
 - *What issues required amendment?*
 - *How easy or difficult have these been to agree?*
 - *Have there been any particular sticking points? If so, how were these overcome?*
 - *Were any aspects of the contractual amendment process which have been easier than expected? If so, how and why?*
4. To what extent do you think the contract between MoJ and SF has been sufficiently flexible to changing needs and circumstances throughout the life of the SIB?
 - *If not, what could be done to enhance flexibility?*
5. To what extent do you think SIBs could and should be used to fund services for offenders under the Transforming Rehabilitation reforms?
 - *What lessons, if any, do you think can be learned from the SIB contracts for future PbR related contracts?*

Questions about	Contract between Social Finance and service providers
Relevant to interviewees from	Social Finance

6. How many provider organisations are contracted under the SIB?
 - *What is required under these contracts?*
 - *What is the duration of these contracts?*
 - *What reporting and monitoring arrangements are specified in the contract?*
7. How do you decide which services to contract and which to spot purchase?
8. Have any of the contracts with service providers been renewed?
 - *If so, were any changes made and what were they?*
 - *What changes would you make if contracts were renewed?*
9. To what extent do you think contracts with service providers have been sufficiently flexible to respond to changing needs of services users?
 - *If not, what could be done to enhance flexibility?*

10. To what extent to you think the contracts between SF and providers could be used by commissioners of offender management services more broadly?
- *Are there any aspects of the contracts which have worked well and you would consider as 'good practice'?*
 - *Are there aspects of the contracts which have not worked so well, and which you would not do again?*

Questions about	Contract between Social Finance and service providers
Relevant to interviewees from	Managers in service providers

11. Does your organisation have a contract with SF for services under the SIB?
- *If so, could you describe the process of negotiating and agreeing this contract?*
12. What arrangements are in place, if any, for performance monitoring and reporting within the contracts?
- *To what extent is it easy or difficult to comply with these requirements?*
13. To what extent, if at all, does the contact between your organisation and SF differ from other contracts for services?
- *Monitoring requirements, duration, specificity of requirements, risk transfer etc.?*
14. To what extent to you think the contract between your organisation and SF could be used by commissioners of offender management services more broadly?
- *Are there any aspects of the contracts which have worked well and you would consider as 'good practice'?*
 - *Are there aspects of the contracts which have not worked so well, and which you would not do again?*

Questions about	All the contracts involved in the SIB and future learning
Relevant to interviewees from	Ministry of Justice

15. Do you have a view on how all of the contracts involved in the SIB work together?
16. Do you have a view on whether there should have been a contract or formal agreement between SF and HMPP?
- *To what extent, if any, would a contract or formal agreement between SF and HMPP have facilitated the One Service?*
 - *Who what extent, if any, would a contract or agreement between SF and HMPP have acted as a barrier to the One Service?*
 - *What issues might be specified in such a contract? For example, access to the prison and wings, access to data held by the prison, responsibilities of HMPP and SF staff.*
17. Do you feel there are any particular strengths and weaknesses of the contractual arrangements for the SIB, and if so, what are they?

Services and providers

Relevant to interviewees from	Social Finance
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18. What services are provided to offenders under the SIB/ One Service?
19. Which of these are paid for directly by SIB funding, and which are delivered by non-SIB funded services?

20. How do you select the *type* of services to provide and the *providers* which should deliver them?
21. What kinds of providers have been commissioned?
 - *Local/ national?*
 - *Voluntary, private?*
22. What, if anything, has been done to facilitate the involvement of voluntary and community sector organisations in the SIB?
 - *What are the barriers to involvement?*
23. What arrangements, if any, are in place to monitor and performance manage providers?
 - *Are there any aspects which you would regard as best practice in monitoring providers?*

Relevant to interviewees from Social Finance, HMPP Director and staff, managers and staff in service providers

24. What arrangements are in place to allow the SIB/One Service to operate as a provider in the prison?
 - *How, if at all, has HMPP facilitated providers' access to offenders within the prison?*
 - *How, if at all, has HMPP facilitated providers' engagement with offenders within the prison?*
 - *What practices, would you consider good in this respect?*
 - *Which practices should be avoided?*
 - *To what extent, if any, would a contract or agreement between SF and HMPP been helpful or unhelpful?*
 - *What issues might be specified in such a contract or agreement? For example, access to the prison and wings, access to data held by the prison, responsibilities of HMPP and SF staff*
25. To what extent are services provided through the gate?
 - *What are the barriers and facilitators to through the gate services?*
 - *To what extent do you think the existence of a contract between HMPP and SF would have enhanced the provision of a through the gate service?*
26. To what extent are services provided in the community?
 - *What are the barriers and facilitators to providing services in the community?*
27. What service provision, if any, was there for short-sentenced prisoners at HMP Peterborough before the SIB?
 - *Have any services been decommissioned at HMP Peterborough or in the community as a result of the One Service*
 - *What were the challenges in providing services for this group?*
28. How, if at all, has the service provision changed since the start of the SIB?

Relevant to interviewees from: Managers in service providers

29. What service does your organisation provide to offenders under the SIB/One Service?
30. What training, if any, do your staff members receive?
31. Does your organisation provide similar services to non-SIB clients?
 - *How, if at all, does service provision under the SIB/One Service differ?*

- *What effect, if any, does management by social finance have on your work?*
 - *What effect, if any, does the PbR element of the SIB/One Service have on your work?*
- 32.** Do you receive funding from the SIB/ SF?
- *If not, what is your main source of funding?*
 - *If yes, what proportion of your total funding comes from the SIB/SF? Do you have a contract? What proportion of funding is outcome-based as opposed to upfront regular payments? How does the funding differ from your typical/previous funding arrangements?*
 - *Are there particular implications of this SIB/SF funding arrangement for your organisation?*
- 33.** How much scope is there for you to decide how to deliver the intervention?
- *i.e. is there flexibility within the contractual model to adjust the way the intervention is delivered, or to deliver other interventions altogether with the aim of reducing reoffending?)*
- 34.** How was your organisation selected to provide services under the SIB/ One Service?
- 35.** What, if anything, has been done to facilitate the involvement of voluntary and community sector organisations in the SIB?
- *What are the barriers to involvement?*
- 36.** To what extent does your organisation provided services through the gate?
- *What improvements could be made to through the gate services?*
 - *What are the barriers and facilitators to through the gate services?*
 - *What are the lessons for through the gate services for offender management?*
- 37.** What impact, if any, does the selection of Peterborough as the area for the SIB pilot have on measures to reduce reoffending?
- *Would you say there are any particular positive or negative implications of the choice of HMP Peterborough?*
- 38.** What service provision, if any, was there for short-sentenced prisoners at HMP Peterborough before the SIB?
- *Have any services been decommissioned at HMP Peterborough or in the community as a result of the One Service?*
 - *What were the challenges in providing services for this group?*

Work with offenders

About:	Model of the One Service
Relevant to interviewees from	Social Finance, HMPP Director and Staff, managers and staff in service providers

- 39.** What are the aims and objectives of the SIB/ One Service?
- 40.** What theory of change underlies the services provided to offenders as part of the SIB/ One Service?
- *What is it about the services funded under the SIB which should change reoffending outcomes?*
 - *How do you think the SIB/One Service aims to reduce reoffending?*

41. What is the intervention model for the SIB/One Service?
 - *Have any changes been made to the planned intervention model since the start of the pilot?*
42. What, if anything, do you think is innovative and/ or efficient about the work undertaken with offenders under the SIB/ One Service?
 - *How, if at all, did the SIB facilitate this?*
 - *Are there lessons for offender management more generally?*
43. To what extent, if at all, are processes in place for the identification and sharing of good practice and/or evidence within others involved in the One Service?

About:	Risk and needs assessment
Relevant to interviewees from	Social Finance, HMPP Director and staff, managers and staff in service providers

44. How, if at all are the risks and needs of cohort members assessed?
 - *How is this information recorded and used?*

About:	Content of the One Service
Relevant to interviewees from	Managers and staff in service providers

45. Please describe your day-to-day work with offenders.
 - *Typically, how many times a week do you meet with an offender on your case load?*
 - *How long are meetings?*
46. What is the rate of uptake by offenders of the services you offer? How long is the typical engagement?
 - *What are the main reasons for any unwillingness to engage, in your opinion?*
 - *What are the main reasons for willingness to engage, in your opinion?*
 - *What steps are taken to improve engagement and participation in services?*
47. What are the main challenges to reducing reoffending with this cohort?
 - *How, if at all, have these been overcome?*
48. To what extent do you share information with others in your organisation or with others in the one Service about things you do which are successful?
49. To what extent, if any, do you feel the SIB-funding affects your work with offenders?
50. To what extent, if any, is your work with offenders affected by the need to achieve the defined outcome measure?

Local partnerships

Relevant to interviewees from:	Social Finance, HMPP Director and staff, managers and staff in service providers
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51. How would you describe the relationships between the SIB/ One Service / Social Finance / your organisation and...
 - *HMP Peterborough*

- *police*
 - *probation/ IOM*
 - *Job centre plus*
 - *housing services*
 - *substance misuse services*
 - *health and mental health services.*
52. Have you encountered any particular challenges with agencies to which you signpost clients?
 - *Or any particularly productive relationships?*
53. To what extent, if any, is there duplication between work with offenders under the SIB/One Service and the services and support offered to other agencies?
54. What lessons, if any, are there for others seeking to build local partnerships to reduce reoffending?

Role of volunteers

Relevant to interviewees from: Social Finance, HMPP Director and staff, managers and staff in service providers

55. Could you describe the role of volunteers in the SIB/One Service?
 - *What is their role, how do they work with offenders. Are there defined activities?*
 - *Frequency and length of contact.*
56. What types of volunteers are involved (paid, unpaid, peer)?
 - *What are the strengths and weaknesses of using different types of volunteers?*
57. What training, if any, do volunteers receive?
 - *Who delivers this?*

Have you encountered any particular challenges with recruiting or training volunteers or staff to deliver the scheme? If so, what have been the effects?

58. How, if at all, are volunteers matched with cohort members?
59. Are there lessons for wider roll-out of the use of volunteers for short-sentenced prisoners?

Relevant to interviewees from Volunteers

60. How long have you been a volunteer?
61. What's your role as a volunteer?
62. Did you receive any training?
63. How do you think you can help offenders?
64. Are there any downsides to being a volunteer?

Costs and benefits

Relevant to interviewees from **Social Finance, HMPP Director and staff, managers and staff in service providers**

65. Aside from reducing reoffending, what benefits, if any, has the SIB? One Service had for offenders, their families, and communities?
66. What costs, if any, has the SIB/One Service had on offenders, their families, and communities?
67. What benefits, if any, does the SIB/One Service have for other local services and organisations?
68. What costs, if any, does the SIB/One Service have on other local services and organisations?

Methodology for determining outcomes measures and outcome payments

Relevant to interviewees from **Ministry of Justice, Social Finance, HMPP Director, managers in service providers**

69. Were you involved in any way in the development of the outcome measures and/or outcome payments under the SIB?
70. Could you describe and comment on the outcome measures used in the SIB at Peterborough?
71. Are there any particular strengths and weaknesses of the outcomes and payments arrangements, and if so, what are they?
72. Do you think these measures and payment levels work equally well for all parties?

Questions for investors

73. How do you feel about your decision to invest in the SIB?
 - *Would you invest in another?*
 - *Do the reasons you initially invested still apply?*
74. Our early work indicated that investment in the SIB was readily obtained, do you know of challenges in securing sufficient investment?
 - *Are there any challenges in securing on-going investment?*
75. Do you know if there were any organisations/individuals that considered investing and chose not to invest?
 - *Would you be able to tell us anything about them?*
 - *Do you know, or could you speculate on, their reasons for not investing?*
76. Speed of process
 - *Length of time until outcome payment*
 - *Criminal justice setting*
 - *Nature of the intervention being delivered*
 - *Financial return on investment*

- *Perceived social return on investment*
- *Being involved in an innovative scheme*
- *Profile for participating organisations*
- *Other: Please specify*

77. How much on-going information is provided to investors?

78. Do you have any other comments to make in relation to investors or the investment process?

- *To what extent do you think SIBs are a useful and viable funding mechanism for services to reduce reoffending?*

Closing questions

79. What do you think the strengths of the SIB pilot at Peterborough have been?

80. What do you think the challenges of the SIB pilot at Peterborough have been?

81. What impact, if any, do you think the pilot has made?

- *For offenders, families*
- *For local services*

82. What do you think are the key lessons from the work with offenders under the SIB for offender management and for the Transforming rehabilitation agenda?

83. Do you have any views about rolling out SIB/ PBR models in offender management?

84. Have you any other observations to make about the SIB that have not yet been mentioned in our discussion?

Appendix B

Interviewees

Table A.1: List of interviewees

Number	Role and Organisation
1	One Service Director, Social Finance
2	Policy official, Ministry of Justice
3	Director, HMP Peterborough
4	Resettlement Manager, HMP Peterborough
5	Policy official, Ministry of Justice
6	Director, St. Giles Trust
7	Policy official, Ministry of Justice
8	BIG Lottery Fund
9	Procurement officer, Ministry of Justice
10	Investor
11	Director, Social Finance
12	Director, Social Finance
13	Investor
14	Head of Community Services, St Giles Trust
15	Senior Manager, Peterborough and Fenland Mind
16	Chief Executive Officer, YMCA Cambridgeshire and Peterborough
17	Area Commander, Cambridgeshire Constabulary
18	Analyst, Social Finance
19	Manager, local housing provider
20	Assistant Chief Officer, Cambridgeshire and Peterborough Probation Trust
21	Volunteer, St Giles Trust
22	Caseworker, St Giles Trust
23	Local manager, St. Giles Trust
24	Tutor/volunteer coordinator, St Giles Trust
25	Caseworker, St Giles Trust
26	Caseworker (now local manager), St Giles Trust
27	Manager, local drug treatment services
28	Sova Project Manager for the One Service

29	Volunteer, Sova
30	Volunteer, Sova
31	Volunteer, Sova
32	Local manager, Mind
33	Area Manager, Sova
34	Manager, Job Deal
35	Senior Manager, Peterborough City Council
36	Detective Chief Inspector, Public Protection Department, Cambridgeshire Constabulary
37	Volunteer, Sova
38	Volunteer, Sova
39	Area Manager, partner agency

Appendix C

Ways in which the prison facilitated the One Service

This appendix lists some of the activities undertaken by HMP Peterborough to support the operation of the Peterborough pilot. These included:

- Informing the One Service about which prisoners may be in the cohort. Notification of release dates and times. The prison communicates these to the One Service, which allows prisoners to be met at the gate.
- Approving caseworkers and volunteers to enter the prison. The prison processes applications to be granted access to the prison.
- Facilitating interventions provided by the One Service which occur within the prison. Prison resettlement staff organise, for example, the Ormiston Children and Families Trust parenting programme. They provide a venue for the intervention, arrange for prisoners to attend, and ensure programme staff have access to the prison.
- Escorting caseworkers and volunteers from reception to the resettlement unit. Only a few One Service staff hold keys for the prison, so most caseworkers and all Sova volunteers need to be collected when they arrive at the prison and taken to their meetings with cohort members.
- Publicising the One Service. Prison officers are encouraged to tell prisoners about the One Service.
- Allowing Connections workers to become One Service advocates. Between three and seven of the prisoners who are trained as Connections advisers within the prison are dedicated to the One Service.
- Contributing to the One Service case management database. Prison staff can, and are encouraged to, enter information about cohort members on the database. This could include information about activities undertaken in the prison, needs identified and support and services accessed.
- Providing information about previous convictions and possible risk of harm. A member of prison staff reviews the printed reconviction report for each cohort member and records relevant information in the case management database.
- Hosting full staff meetings where providers and released prisoners return to prison to share their experiences

Appendix D

Examples of partnerships developed by the One Service

This appendix provides more detail about some of the partnerships involved in the Peterborough pilot.

Housing service	<ul style="list-style-type: none"> The One Service has an early homeless assessment protocol with a local housing service which provides support and accommodation for some One Service clients.
Probation	<ul style="list-style-type: none"> One Service cohort members who are on probation are identified and information is shared about those individuals. The One Service aims to increase and support a cohort member's engagement with the probation service, encouraging regular contact with their probation officer, and providing practical support which the probation officer might not have time or resources to undertake. A named member of One Service staff has access to the probation case management database through a computer terminal in the probation office and named probation staff have remote access to the One Service database.
YMCA	<ul style="list-style-type: none"> The One Service rents an office from YMCA, and encourages clients to use the YMCA gym, which is in the same building (for which One Service buys a corporate membership).¹
Police	<ul style="list-style-type: none"> The One Service works closely with the local police. In some circumstances the police will call One Service staff to provide information that a cohort member has been arrested. In some circumstances the police might ask the One Service collect a cohort member (for example, if the police encounter a cohort member who is becoming drunk in public) and thus avoid the situation deteriorating into one resulting in anti-social behaviour and arrest. A flag appears on the PNC which identifies One Service clients and provides a contact number for the One Service which can be called 24 hours a day.
Integrated Offender Management (IOM) Team	<ul style="list-style-type: none"> The local manager for St Giles Trust sits on the IOM Strategic Group. The One Service supports the IOM team by working with cohort members who are also part of the IOM programme. In some cases the One Service acts as the lead agency in the case of a cohort member who is also on the IOM caseload. An interviewee from the police reported that the One Service particularly adds value in securing accommodation for IOM offenders who are also One Service cohort members. The One Service and IOM team run joint events for both client groups - for example, art classes hosted at the One Service office. IOM clients are prioritised for many One Service interventions. The One Service and the enforcement side of the IOM team cooperate to find

¹ In the first year of the pilot, the One Service had a contract with YMCA for the provision of volunteers. This contract was ended (an interviewee from the YMCA reported this was done amicably and was mutually agreed) in order to consolidate the provision of volunteers in one agency (Sova).

	cohort members who have either been absent from (not engaging with) the One Service or who the police believe may be reoffending.
Drugs service	<ul style="list-style-type: none"> • Drugs workers see clients at the One Service office. • One staff member from the drugs service is based at the One Service office one day a week. • One Service and the drugs service communicate regularly to identify overlaps in caseloads.
Peterborough Council/ Serco ²	<ul style="list-style-type: none"> • Social Finance have commissioned John Laing Training to deliver a course in the community, building on training already delivered in HMP Peterborough. Some cohort members have the opportunity to continue this training in the community. A full-time trainer to deliver training in the community is co-funded by the One Service, Serco (for any cohort members who are eligible for Job Deal)³ and the Safer Peterborough Partnership (who provide funding for a small number of cohort members who have a drug issue or who are an IOM client). • Ormiston Children and Families Trust caseworkers and the Mind recovery worker are shared between One Service the local Troubled Families Programme, known locally as Connecting Families. • The Council identifies opportunities for cohort members to be involved in community volunteering projects. • The Council and the One Service were reported to be cooperating on an initiative to address challenges in finding accommodation for offenders in Peterborough.

² Serco have a contract with Peterborough City Council to deliver 'improvements to services' and to 'manage front-line services, including customer services, benefits processing and council tax collection' (Serco, 2011). Serco also deliver the Job Deal contract in the area.

³ Job Deal aims to provide offenders with the support and skills they need to find work after the end of their sentence. It is funded by the European Social Fund and the Department for Work and Pensions, and managed by the National Offender Management Service (Serco, 2013).