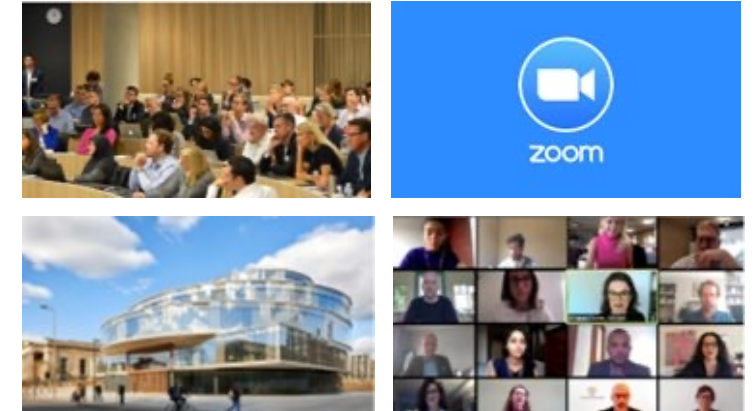# Welcome to SOC23

- Live from the Blavatnik School of Government in Oxford and online on Zoom

- If you are joining us in-person, you can still join Zoom BUT **please keep your speakers muted.**

- We will stop throughout the session to take questions both from the online and in-person participants.

- Do use the Zoom chat to introduce yourselves and to share your thoughts and questions; on Zoom, please make sure we can see your name & organisation.

- All sessions will be recorded and shared on the GO Lab website.

- Programme, slides and Zoom links are all on the GO Lab website.

- The GO Lab team is ready to help you both online and in-person.

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#SOC23
golab.ox.ac.uk

Challenges of measurement & evaluation in outcome -based contracts

Dr Eleanor Carter
GO Lab
Chair

Prof Maren Duvendack
University of East Anglia

Dr Thea Shahrokh
NSPCC

James Ronicle
Ecorys

Kenechukwu Nwagbo
University of Cambridge

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Niiti Consulting

Meena Vaidyanathan
Niiti Consulting

Tommaso Tropeano
Politecnico di Milano

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Confessions of a SIB Evaluator: Lessons learnt from 10 years of evaluating complex contracting and partnership arrangements

James Ronicle, Ecorys

15th September 2023

ECORYS | Answering tomorrow's challenges today

Foreign, Commonwealth & Development Office

Agenda

Introduction: The FCDO DIBs programme & evaluation

Method deep dive:

- *Doughnuts & process tracing:* The challenge of evaluating contracting mechanisms

- *Assessing the value for money of contracting mechanisms:* Lessons learnt

- *Cost effectiveness analysis:* And the dilemmas of having results not statistically significant

Introduction:
The FCDO DIBs
Programme &
Evaluation

ECORYS

Answering tomorrow's challenges today

Foreign, Commonwealth & Development Office

The FCDO DIBs pilot programme ran from June 2017-March 2023, allocating £6.3 million to the following 3 projects:

International Committee of the Red Cross Humanitarian Impact Bond for Physical Rehabilitation, which funded three new physical rehabilitation centres in Mali, Nigeria and Democratic Republic of Congo (DRC).

Quality Education India development impact bond which aimed to improve education outcomes for primary school-aged children in India.

Village Enterprise micro-enterprise poverty graduation impact bond which aimed to raise the income levels of the extreme poor.

The evaluation also covered the **Cameroon Cataract Bond**, which funds cataract surgeries.

Generate learnings and recommendations on the use of DIBs as an instrument for aid delivery to inform FCDO's future policy on DIBs.

Evaluation questions:

? How does the DIB model affect the design, delivery, performance and effectiveness of development interventions?

? What improvements can be made to the process of designing and agreeing DIBs to increase the model's benefits and reduce the associated transaction costs?

Evaluation approach

Focus of the evaluation: The 'DIB effect', that is, the effect of using a DIB instead of a grant or other PbR mechanism.

Our approach: We used a combination of process tracing and comparative analysis, comparing the DIBs against comparable projects to isolate the 'DIB effect'.

Evidence base: Interviews, programme document review, cost data and monitoring data across the three DIBs as well as at the sector level.
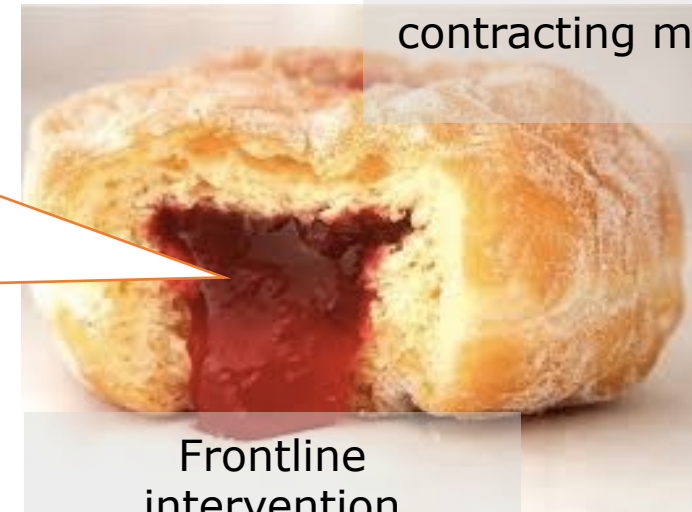
Method deep dive: Doughnuts & process tracing

1. **Attribution challenge:** Evaluating a contracting mechanism, not an intervention: The '**doughnut**' problem

2. **Unable to quantify** DIB effect as too many confounding factors: Requires a qualitative approach

3. **People who lack impartiality**: Strong partners with aim of growing DIB market vs ideological opposition to PbR/DIBs

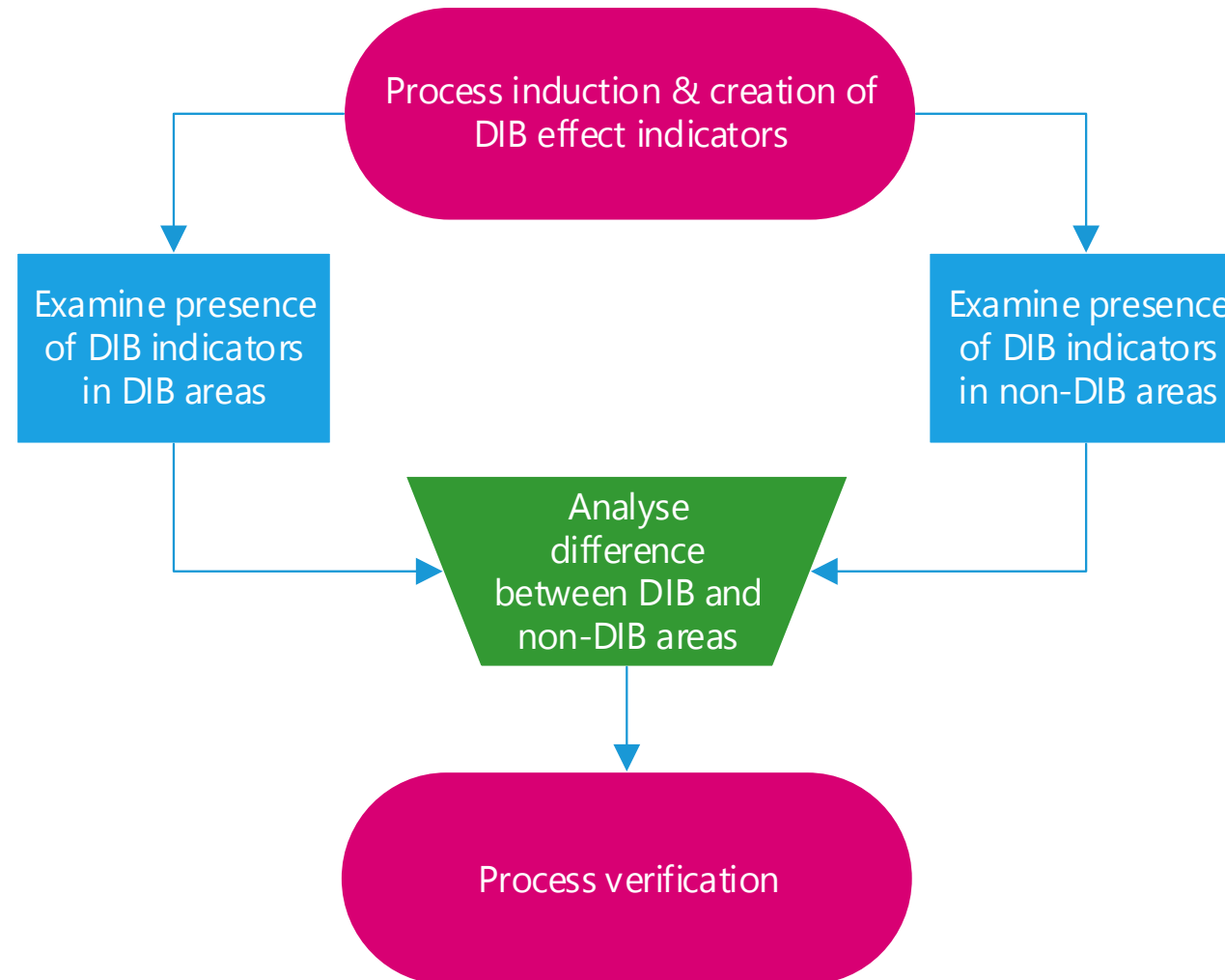*Are DIBs performing better than alternative commissioning structures? (DIB counterfactual)*

Where evaluations investigate impacts, these typically assess the intervention (jam) rather than the 'SIB effect' (dough)

Commissioning and contracting mechanism

Frontline intervention

Source: Carter, 2023. The emperor's new clothes? Reflections & questions on governance & accountability in social impact bonds & outcomes contracts

DIB	Grant funded programme
ICRC HIB	Wider Physical Rehabilitation Programme (PRP), delivered by ICRC
QEI DIB	Similar interventions that the service providers delivered in other locations
VE DIB	Core programme

1. Shift focus to outcomes, greater accountability

2. Drives performance management

3. Providers deliver adaptive management and course correct

4. Greater collaboration between stakeholders

Perverse incentives / tunnel vision

Lowers staff morale

Additional risks diminish some of the advantages, such as innovation

5. Number of beneficiaries supported and outcomes achieved
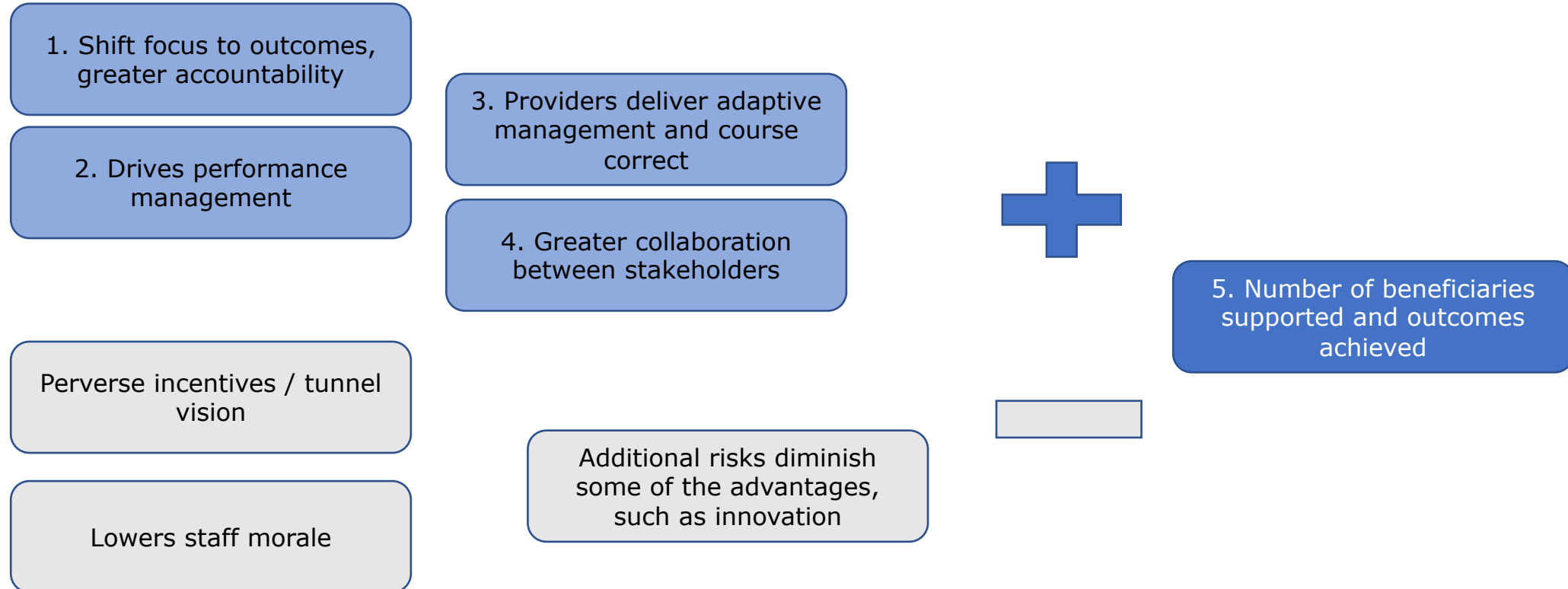
The DIB effects: Summary of findings

Design DIB Effects	Summary	ICRC	QEI	VE
Transfer of risk				
Transfer of financial risk from outcome funder to investor	amber/green	amber	green	green
Increased reputational risks resulting from the use of the DIB	green	green	green	green
Partnerships				
More service providers entering into PbR contracts due to pre-financing and transfer of risk	green	green	green	green
Financing and funding				
Funding projects which would not have been funded otherwise, or not in the same guise	green	green	green	green
Additional financing to the development sector	amber	green	red	red
Longer term funding	amber	green	amber	red
Design				
Enables innovation	amber	amber	amber	amber
More careful and rigorous design of interventions	amber	amber	amber	amber
Complex to design and expensive to set up	green	green	green	green

Delivery DIB Effects	Summary	ICRC	QEI	VE
Positive DIB Effects				
Shift focus to outcomes and greater accountability	amber/green	amber	amber/green	amber/green
Drives performance management	amber/green	amber/green	amber/green	green
Providers deliver adaptive management and course correction, supporting innovation	amber/green	amber	amber/green	green
Greater collaboration between stakeholders	red/amber	red/amber	amber	amber/red
Negative DIB Effect				
Cherry picking of participants from target population	red	red	red	red
Quality of support reduced	red	red	red	red
Tunnel vision	red	red	amber/red	red
Lowers staff morale	amber/red	amber/red	amber/red	amber/red
Greater Outcomes				
Increased efficiency and effectiveness, leading to more outcomes	amber/green	amber	amber/green	amber/green

Spillover Effects	Summary	ICRC	QEI	VE
Organisation Level				
Rolling out of processes and learning	amber/green	amber/green	amber/green	green
Increased visibility	amber/green	green	amber/green	amber/green
Diverting of attention	amber/red	amber	red	amber
Ecosystem Level				
Capacity strengthening to deliver DIBs	green	green	green	green
Increased stakeholder interest in DIBs	amber	amber	amber/green	amber
Contributions to the evidence base	green	green	green	green

The DIB effect summarised

DIB elements...	...Change what gets funded...	...Change delivery...		...Change results...	...and Create spillover effects
Payment by results		**Stronger focus on outcomes**	**Heightened performance management**	**Increased numbers supported and better outcomes** (emerging evidence)	**Stronger evidence base**
Financial risk shared between stakeholders	**Funding more risky projects**	**External perspective and expertise**	**High-stakes environment**		**Cultural shift in service providers towards outcomes and adaptation**
Broad range of stakeholders	**Support more diverse service providers to operate in PbR contracts**	**Greater collaboration** (variable)	**Stronger course correction**		**Increased service provider capacity**

1 The DIB effect varies across DIBs depending on the stakeholders involved, their motivations for using the DIB, and the structure of the DIB. It is useful to carefully consider the objectives of using a DIB and ensure that the DIB is structured to support this.

2 A DIB can be an effective organisation-level change management tool. In these pilot DIBs, the funding mechanism was a catalyst and driver for change and better use of data to inform delivery, even in non-DIB projects delivered by to the same service providers.

Successes

In most DIBs, able to identify **good comparators**

More **robust** approach than not using comparators. Received wide attention
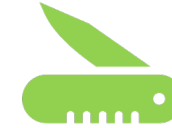
Enabled evaluation to **'dissect' DIB mechanism** & consider which parts essential, which parts surplus

Lessons learnt / challenges

Quality of comparators varied. Created challenges as DIB effect weakest in DIB with weakest comparator

Be transparent in the level of subjectivity involved: Creating objective & consistent ratings difficult & relies on evaluative judgement

Be cognisant of stakeholders who lack impartiality: Validation workshops helpful, but strongest engagement from those with strongest incentives

Assessing VfM of contracting mechanisms – Lessons learnt

Approach

- Developing pro forma to capture costs

- Also capture costs from comparator sites / estimate cost of delivering through a grant

- DIB costs – comparator site costs = additional DIB costs

Cost Category	Description
Service delivery	Costs of delivering the service
Verification	Costs of verifying the outcomes achieved, in order to inform the outcomes payments
Investment vehicle	Operational costs of Special Purpose Vehicle / Escrow
Trustee fees	Fees to trustees
Governance	Staff time and expenses required to prepare and join meetings with external DIB stakeholders
Performance management	Costs related to performance management and outcomes reporting, including systems costs, staff time
Other costs:	Costs that do not fit into any of the other pre-set categories
▶ Other evaluation	Costs of any other learning and evaluation activities
▶ Communication and advocacy	Costs related to communications and advocacy activities for the specific DIB
▶ Ecosystem / Market building costs (other learning costs)	For example, participation in academic research and conferences

Findings

- Operating the projects through a DIB required additional costs compared to funding them through grants
- The additional DIB cost ranged between $1.8m-$2.3m
- This ranged from 9% to 42% of the total programme budget
- Across the DIBs, the highest costs were in the areas of investor return, verification, and performance management
- Generally, stakeholders perceived the additional costs to be value for money.


Additional HIB costs

HIB implementation costs ($0.552m; 30%)

HIB set up costs ($1.287m; 70%)
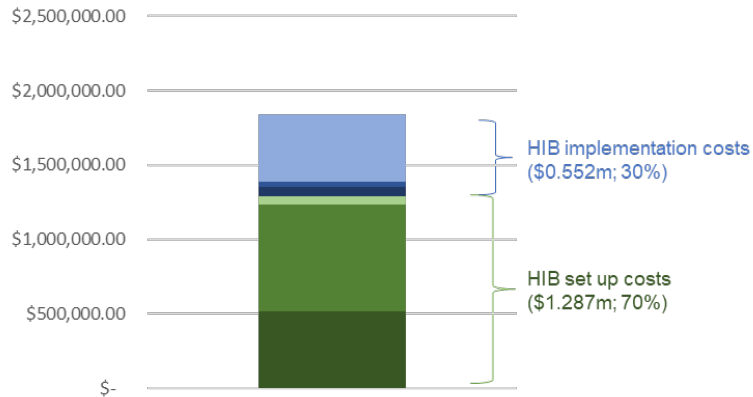
- Management costs
- Investment vehicle
- Verification
- External advice (legal / financial)
- HIB design
- Contract set-up

Additional DIB costs: VE

DIB close costs($0.817m; 36%)

DIB implementation costs ($0.981m; 43%)

DIB set up costs ($0.477m; 21%)
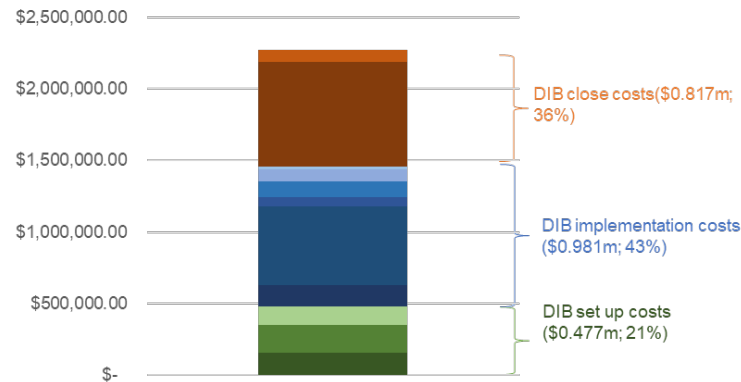
- Performance bonus
- Investor return
- Governance & project management
- Contracting costs
- Trustee fees
- Investment vehicle
- Verification
- Service delivery & performance management
- DIB design
- Contract set-up

Additional QEI costs

DIB close costs ($1.104m 48%)

DIB implementation costs ($0.837m; 36%)

DIB set up costs ($0.362m; 16%)
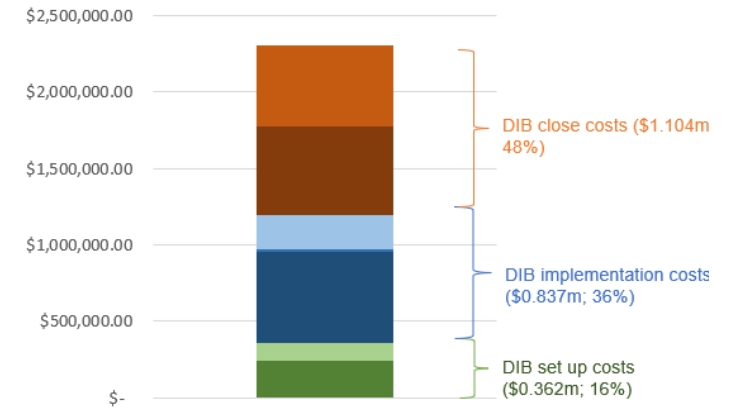
- Service provider incentive
- Investor return
- Performance management
- Investment vehicle / contracting costs
- Verification
- External advice (legal / financial)
- DIB design

VfM: Lessons learnt

Move towards standardised costs

Challenges to gather accurate:

- Comparable costs across projects

- In-kind costs

- Costs from comparator projects (e.g. cost of capital)

Moved towards standard templates

Outcome payers insist on cost collection

As outcome-based payments, inputs (costs) not routinely captured

Be wary of lack of impartiality; mixed-methods helps

Was able to use qual data to cross-check DIB benefits & costs

Cost effectiveness analysis

- Previous slides show that DIBs bring additional benefits and costs

- Do the benefits outweigh costs?

- Only way to answer robustly is through **cost effectiveness analysis**: comparing cost-per-outcome of DIB with cost-per-outcome with identical non-DIB

- Never been done because so many confounding factors means unfeasible

- But VE showed promising signs….

Cost effectiveness viable if….	VE DIB	VE Core Programme
Similar interventions	VE DIB provides grants & business mentoring	Core programme provides grants & business mentoring Many DIB innovations rolled out after 2nd cohort; but cohorts 1 & 2 comparable
Same outcomes measured	VE captures baseline & endline consumption data across both DIB & core programme	
Available of data	Cost data supplied already for evaluation; VE willing to share outcome data	

The results were not statistically significant

Major dilemma on what to do with findings

Decided to include them in the report, but not draw conclusions from them (and rely on qual instead)

Reasons to share findings

Reasons not to share findings

Limitations in PSM matching undermine strength of evidence

VE DIB cost-heavy DIB; unfair to draw conclusions on all DIBs based on n=1?

All approaches triangulate (PSM, diff-in-diff; regression; qual)

Results not statistically significant

Major contribution to understanding: No robust CEA data on DIBs exists

1st time done so will get a lot of attention. Negative results: Is this fair?

Cost effectiveness analysis probably the most robust way to assess effectiveness of DIBs

Even with near-perfect conditions (VE) it is very challenging to do it robustly

This is because we're looking for natural experiments. For it to be done more robustly, requires CEA to be built into the design of the programme

But even CEA won't provide a full assessment of DIBs:

- Non-significant results not un-common
- Doesn't capture unquantified benefits (e.g. risk transfer)

Conclusions

Main reflections

1

FCDO DIBs evaluation was the first time process tracing used to compare two forms of contracting mechanisms. Lots of lessons learnt, but we think it was a success

2

Undertaking VfM analysis when costs not routinely captured limited impartiality is challenging. We need to move towards more standardisation & transparency

3

Major excitement at potential of VE CEA, followed by disappointment at inability to use results.

Recommendations to FCDO

The biggest limitation of the DIBs evaluation was we were relying on natural experiments to measure impact, which were far from perfect

The only way to improve the robustness of these evaluations is to design experimentation into the programme (funding similar interventions through different funding mechanisms)

We would strongly recommend that if funders want to understand the pros and cons of using different funding mechanisms, they build in more experimentation to future programmes (i.e. funding similar interventions through different funding mechanisms to support comparability)

Thank you

Developing a Theory of Change to enable tracking systemic change – A participatory approach and key pathways to a toolkit

B. Rajeshwari and Meena Vaidyanathan
niiti Consulting, New Delhi India

n i i t i consulting
sustainable development solutions

Social Outcomes Conference 2023

Where are we coming from?

niiti consulting research and field team

- Experiential learning – Monitoring and evaluation studies across multiple domains
- Grounded in reality- Grassroots understanding of programme implementation and challenges
- Academic focus- Peer reviewed research foundation
- Impact investment mindset- Deep understanding of programme funding imperatives

niiti consulting
sustainable development solutions

Challenges in building a participatory Theory of Change (ToC)

Starting a conversation
On
The Main Challenges to Measurement in Development Work

Capturing Diversity

Situating Contextuality

Building an evaluation culture

niiti consulting
sustainable development solutions
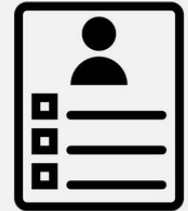
Building a Participatory ToC has many benefits

Method	Process applied	Benefits/Outcome/Key Challenge addressed
Enabling Stakeholder Involvement	Regular individual and cohort consultations to understand and bring diverse perspectives	Gives everyone a change to voice concerns, share challenges faced and also create a discussion platform Helps Capture diversity
Reflection sessions	Asking learning questions Important to curate these sessions Example: "Are the outcomes and outputs highlighted in the ToC relevant to your area of work and do they adequately represent your impact objectives and key result areas?	Helps organizations reflect, build a peer to peer learning platform
Capturing Community Voices	Field visits based on availability of community members Best to conduct them in their context and before finalizing M&E design	Helps bring the perspective of the community Crucial for M&E design to be grounded in realities Helps situate contextuality
Relevant designing	New partners joining in between the programme could join Relatable for most stakeholders and implementers Example?	Helps build ownership for those implementing Helps build open and flexible process Builds evaluation culture
Systems for self-assessments	Sharing templates to conduct self-assessments Create processes that can be in built and not externally imposed	Helps in capturing critical data regularly Brings in systemic change and builds evaluation culture

7 Pathways that can enable a participatory approach to Monitoring and Evaluation

Build Ownership
Enable active engagement of stakeholders, especially communities, in measurement design. This helps build ownerships and address power differentials proactively

Prioritise needs
Identify and prioritize key needs of critical stakeholders involved in the set of interventions to capture diversity and situating contextuality

Conscious Positionality
Be aware of relative skillsets and knowledge that will enable open communication between stakeholders

Process Focus
Identify key processes involved in systemic change and not just end goals

Plan for collective reflections
Plan for curated opportunities to brainstorm and reflect regularly with stakeholders- including field staff, communities, funders, etc. Curate and finetune learning questions reflecting the feedback

Build measurement continuum
Create opportunities and platforms for regular dialogue between stakeholdrers enabling timely observation and documentation of outcomes

Visual representation
Practice-oriented design representation that determines the relative role of different stakeholders

Social Outcomes Conference 2023

Relevance and Application of the Pathways

Pathway	Relevance and Application
Process focus	For long term programmes involving multiple and diverse stakeholders and interventions
Prioritize Needs	For organizations that are work with a diverse set of communities and impact areas, this approach can be really meaningful and useful
Build Ownership	Most relevant for programmes where there are different types organizations and stakeholders with different areas of focus
Conscious Positionality	For those organisations that are keen to implement findings from Monitoring and Evaluation processes on the field
Plan for Collective reflections	For any programme that wants to build a participatory processes
Build measurement continuum	For most programmes where a large number of organizations are working towards one systemic goal, and have limited resources for regular impact assessments
Visual Representation of measurement design	For even the simplest of programmes and organisations with limited resources and skill sets to improve understanding and relevance of evaluation in building programme effectiveness

Challenges and constraints

Limited time and resources

Constraints in human resource and financial resources
Further makes planning and adaptive approaches important

Trust Building is a slow paced and dynamic process

Periodic consultations become important as building trust is a time consuming process requiring continuous engagement between various stakeholders

What can mitigate change?

More platforms bringing together researchers and practitioners, that enable sharing practices and applied learnings
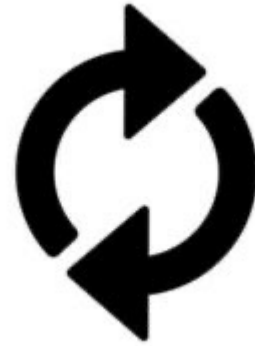
Build capacities around the suggested pathways amongst stakeholders to increased uptake and implementation leading to more use cases and evidence

Increased funding for open source research that will enable more organisations, small and big, involved in development work, especially in the global south to adopt evaluation systems

NSPCC

Together for Childhood

Understanding complex change through
place-based research, learning and evaluation

Dr Thea Shahrokh (presenting author), Kandazi Sisya and Dr Stephanie Talbut

15 September 2023

EVERY CHILDHOOD IS WORTH FIGHTING FOR

What is Together for Childhood?
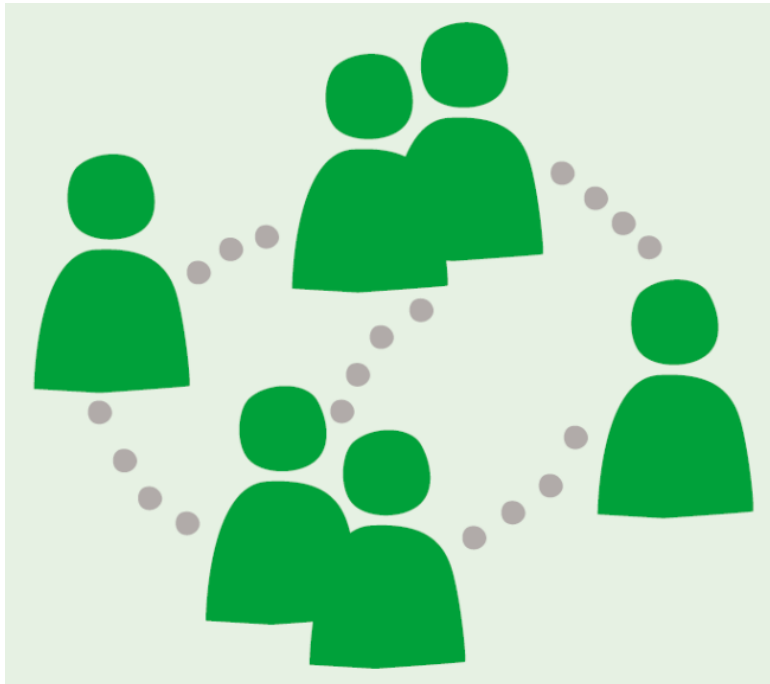
Together for Childhood is our long-term project working across the UK to make our towns and cities safer for children.

- Made up of local partnerships with the NSPCC that:
    - o **Share expertise and knowledge** with each other
    - o Learn to **address social problems** together
    - o **Prevent** the abuse and neglect of children

Where is Together for Childhood?

Taking a place-based approach, the NSPCC has partnered up with four towns and cities in the UK

Together for Childhood locations focus on:

- Preventing child abuse and neglect in families facing difficult situations like domestic abuse, drug or alcohol misuse and mental health problems (**Glasgow** and **Grimsby**)

- Preventing child sexual abuse (**Plymouth** and **Stoke-on-Trent**)

How does Together for Childhood work?

We work with the children, young people, families and their community to understand what is working well, and how organisations can work together to build new ways to prevent abuse

Six principles drive place-based change for local communities

Partnership

Inclusivity and accessibility

Co-production

Strengths-based

Continuous learning

Sustainability

Learning and evaluation approach

Evaluating placed-based change

- Evaluations are part of the change process focused on real-time learning and accountability

BUT

- The complex designs of place-based initiatives pose unique challenges
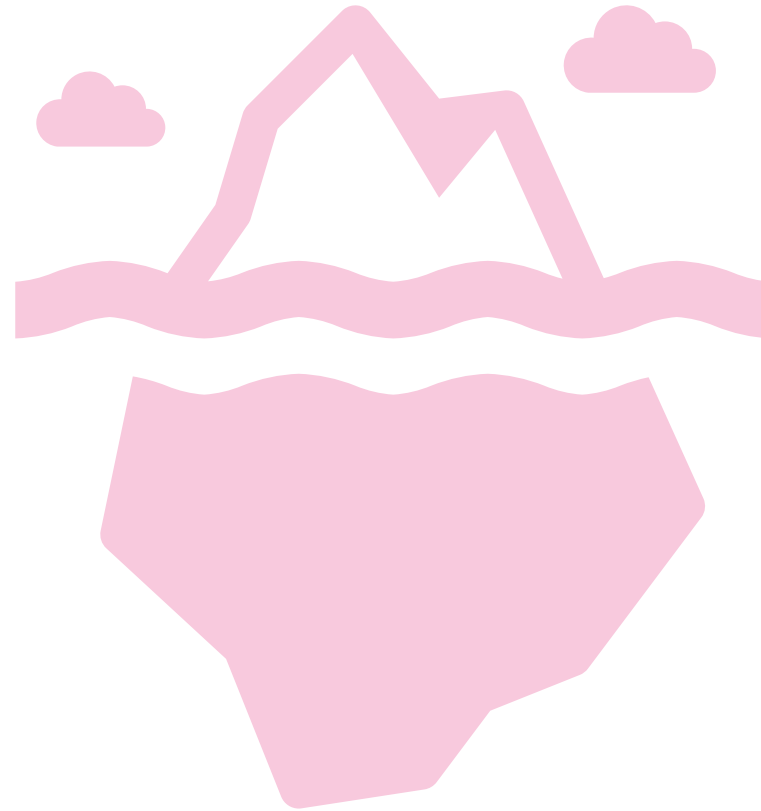
(See Smith et al. 2023; Bellefontaine & Wisener 2011)

How we do learning and evaluation

Together for Childhood is **grounded in a high-level Theory of Change** that involves many levels of activity, numerous stakeholders, and multiple outcomes

Key features of our learning and evaluation model include:

- Being underpinned by our design principles, including **continuous learning**

- Taking a **developmental** and **iterative** approach

Continuous learning

Developmental and Iterative
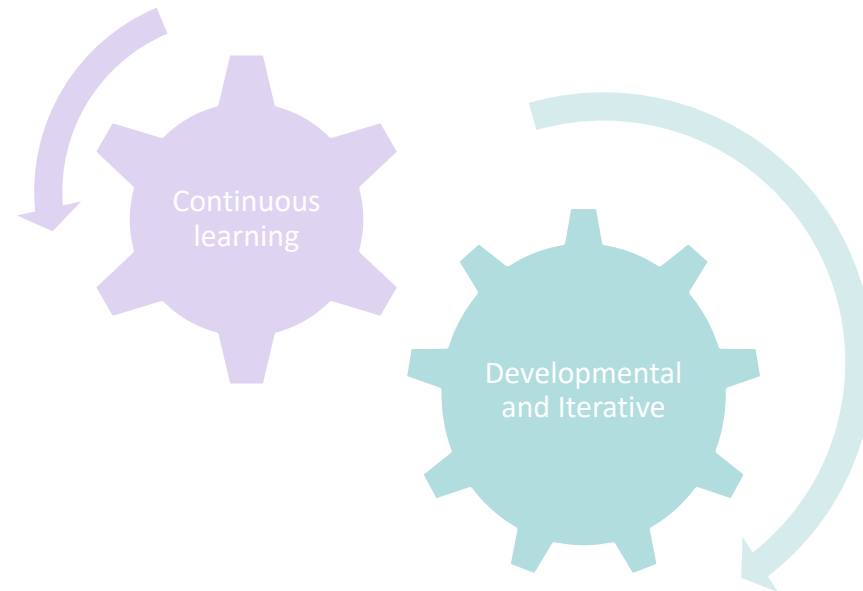
What types of evaluation we work with

We learn about what works and how the work we do makes a difference in 3 ways:

1. Process evaluation

Learning about **how Together for Childhood has been implemented** and how a place-based approach makes a difference to prevent child abuse and neglect

2. Outcomes evaluation

Assessing what **changes** Together for Childhood has produced or contributed to and **for whom**

3. Local evaluation

Describing **what change looks like** in each site and the **path to achieving it**
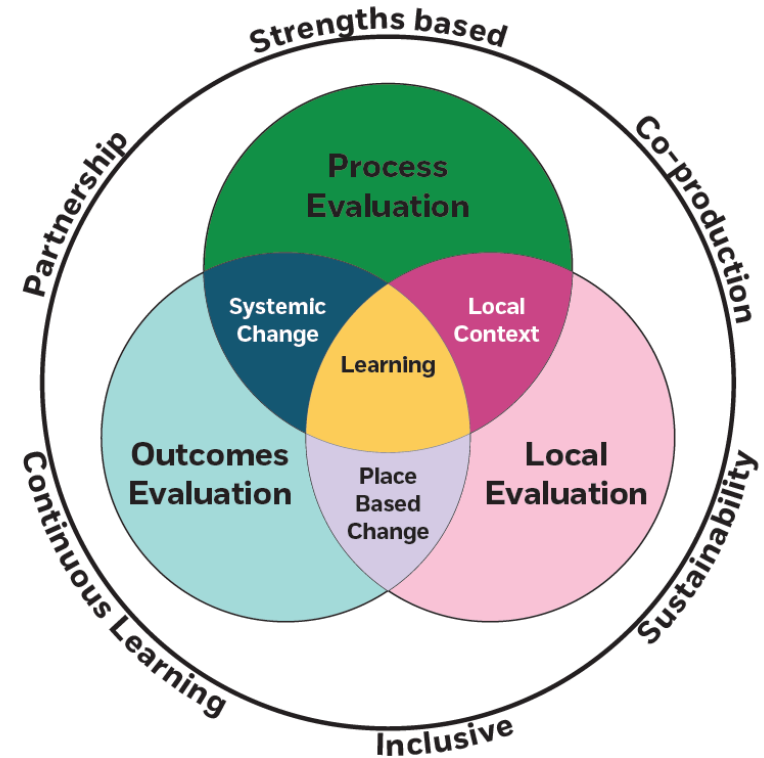
How our evaluation is resourced

How we resource evaluation work in TfC is crucial

Embedded evaluators

Staff based in each site are embedded in the local community and part of the delivery team.

Blends **embedded and centralised** research and evaluation expertise.

Core funding

Evaluation is covered by the core funding of each site. This means that budget and resource are rarely a challenge.

Lessons learnt so far

Learning informed by our design principles

Partnership
Inclusivity and accessibility
Co-production
Strengths-based
Continuous learning
Sustainability

Our methods work best when underpinned by design principles

- Partnership working and inclusivity afford us trust and honesty in the reflections that we build our data from

- Co-production and strength-based methods allow us to collaborate to understand and demonstrate what works, as well as what doesn't

- Continuous learning and sustainability shapes action-oriented dissemination that is accessible and appropriate to all our audiences

Change is slow and long term

In place-based initiatives, it can take a long time to see change

- Celebrating the small is important
- Change can be descriptive
- Reflect on and develop your methods along the journey

Going beyond quantitative data

While we can measure change through quantitative methods, they only tell a small part of the story

- Measuring quantitative outputs is important to gauge reach, and estimate impact

- But, as change is so slow they can under-represent the change that is happening

- Qualitative work is vital to understanding the why and how of change

Tell the story of change

While change is often slow, it is also often a bit messy

- Participatory qualitative methods allow us to understand the journey

- Our focus on these methods allow us to see the individual and the system

- The story shows the <u>whole</u> journey of learning including the challenges faced

Remember each place is unique

Each Together for Childhood site is unique

- Resist the urge to compare!

- But! Understanding difference between sites can be helpful

- Dissemination at multiple levels of the system is crucial

Local evaluations are central

Local evaluations show outcomes and impact of place-based working

- They provide the nuance and explanation that standardised evaluation doesn't

- Methods can be appropriate and proportionate to your participants

- Provide a great opportunity for elevating local voices

Being part of the team is important

Embedded evaluators build trust and openness

- They become part of the team, as much as practitioners

- Managing bias and becoming too familiar with the work is a challenge

- Being part of the core budget removes a tension (but adds others)

What next?
Keep on learning...
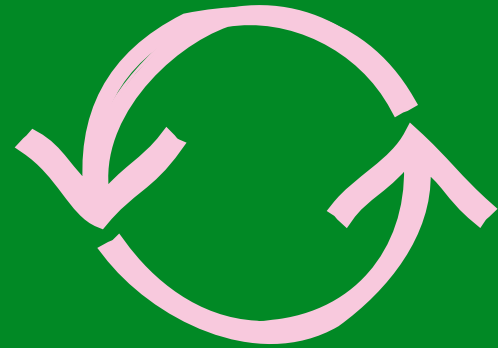
TfC Midline Evaluation

What is it? A reflection and learning project to capture at the midpoint of our 10 year programme:

What have we learned so far?   What makes TfC work?   How could TfC be improved?

What are we doing?

Reflective Practice

- River of Life to **capture milestones, achievements and challenges** and tell your story

Meta-evaluation

- Checking whether the evaluation approach is **fit for purpose**

Outcome Harvest

- Capturing intended and unintended outcomes related to our Theory of Change

Who will be involved?

- Local TfC representatives and community leaders
- NSPCC TfC Practitioners and managers
- Key collaborators
- Leadership Group

Understanding contribution

What contribution is TfC making to the changes we're seeing in the communities that it operates?

- Midline will serve as a foundation for answering this question
- What have we learnt over the last five years and how can we understand TfC's role in that.
- Start to develop an evidence informed narrative about the contribution that TfC is making and answer to the causal questions.

Thank You

More Information

Learning Together 2 Report (2022)
https://learning.nspcc.org.uk/research-resources/2022/together-for-childhood-design-principles-evaluation

Learning Together Report (2019)
https://learning.nspcc.org.uk/research-resources/2019/implementation-evaluation-of-together-for-childhood

Hearing Stories of Change (2022)
https://learning.nspcc.org.uk/research-resources/2022/hearing-stories-of-change-together-for-childhood-evaluation

Formative Evaluation of Sharing the Science (2021)
https://learning.nspcc.org.uk/research-resources/2021/sharing-the-science-evaluation

Still Here for Children: Sharing the experiences of NSPCC staff who supported children and families during the Covid-19 pandemic (2020)
https://learning.nspcc.org.uk/research-resources/2020/still-here-for-children-experiences-of-nspcc-staff-during-coronavirus

Remarks by Professor Maren Duvendack & Q&A

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POWER IN PARTNERSHIPS:
A NEW CLASSIFICATION FRAMEWORK FOR PUBLIC-PRIVATE PARTNERSHIPS IN EDUCATION

Kenechukwu **NWAGBO**

PhD Candidate, Faculty of Education

University Of Cambridge

UNIVERSITY OF CAMBRIDGE
Faculty of Education

COMMONWEALTH EUROPEAN AND INTERNATIONAL
CAMBRIDGE | TRUST

CAMBRIDGE AFRICA

REAL
Research for Equitable Access and Learning
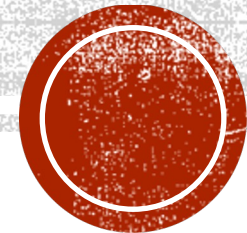
Unveiling social metrics:

Exploring barriers and enablers for Social Impact Measurement in PPPs for mission-oriented policies and sustainable practices in Italy

Tommaso Tropeano, Enrico Bellazzecca, Irene Bengo

PPPs and performance measurement

Need of adequate performance evaluation frameworks

- Governments, businesses, and civil society organizations are recognizing the need to collaborate and pool their resources to tackle issues known as grand societal challenges (George et al., 2023).

- Service contracts in PPPs can face challenges related to monitoring and performance evaluation. Public actors need to develop robust monitoring mechanisms to ensure that the private partner meets contractual obligations and delivers services in accordance with agreed-upon standards (Lazzarini, 2021; Meng et al., 2018).

- Adequate performance evaluation frameworks are necessary to assess the quality, efficiency, and value for money of the services provided (Vecchi et al. 2021, Hodge et al., 2010). Failure to address these challenges can lead to service delivery gaps, decreased public trust, and potential conflicts between the public and private actors involved.

PPPs for mission-oriented policies

Need to assess outcomes that matter for users and citizens
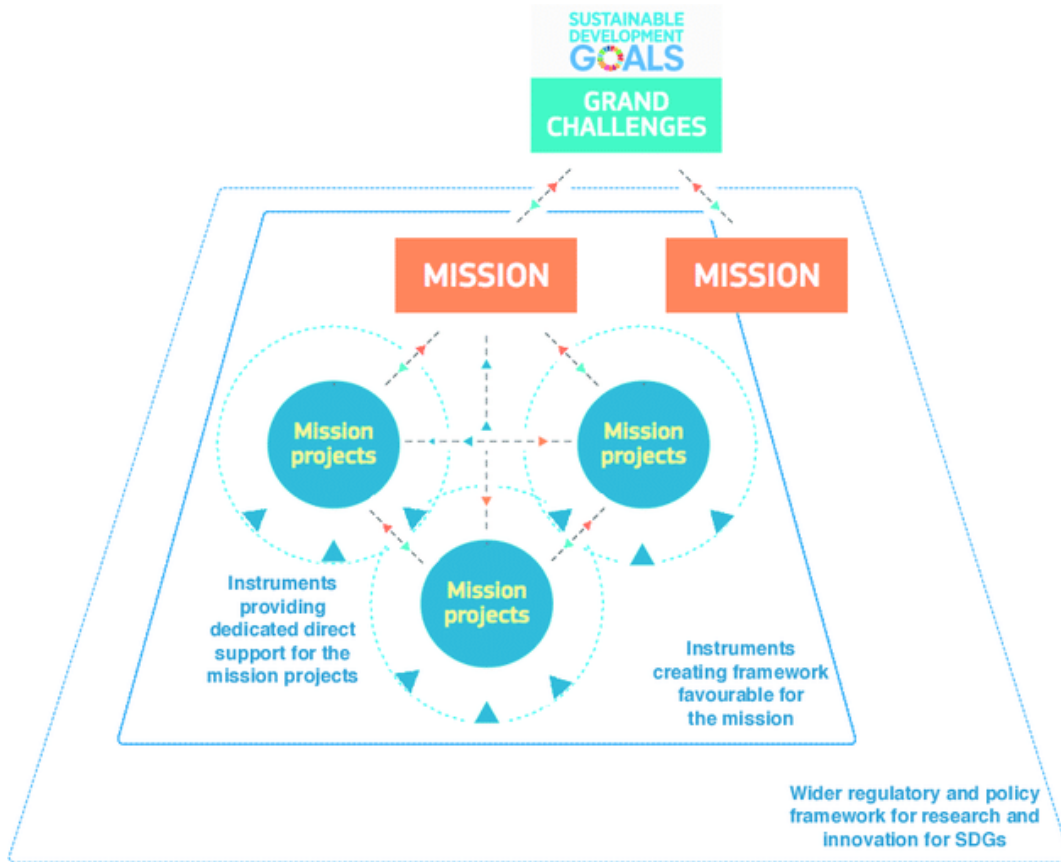
PPPs and social impact measurement?

Need of assess public value holistically

- Scholars suggest that the perspectives of **users and citizens** are often overlooked, and this is considered detrimental to PPPs' ability to generate social impacts (Osborne, 2021; Guo & Ho, 2019).

- The lack of SIM instruments and culture in PPPs has been evidenced as one possible cause of **issues** such as informative asymmetry and opportunistic behaviors, lack of innovative forms and instruments in PPPs (Hall, 2015), as well as misalignment in social value proposition and mission of PPPs (Berezin, 2018).

- In essence, **the problems that 'prevent' PPPs from creating impact may be relational.** SIM, as a form of guarantee and collaborative commitment to impact creation, **can potentially rebalance the above-mentioned issues** (Yuan, 2009; Hodge & Greve, 2007).

→

Specific gap

*This potential of SIM remains apparently **unexplored** in the literature. While there are challenges to measuring social impact, it is essential that PPPs incorporate SIM into their design to ensure public value. As such, future research should empirically focus on developing more effective methods for measuring social impact in PPPs and assessing the impact of these measures on the overall effectiveness of PPPs in delivering public services and infrastructure.*

Lack of SIM in PPPs for mission-oriented policies

Urgent to study empirically the actual scarce use of SIM

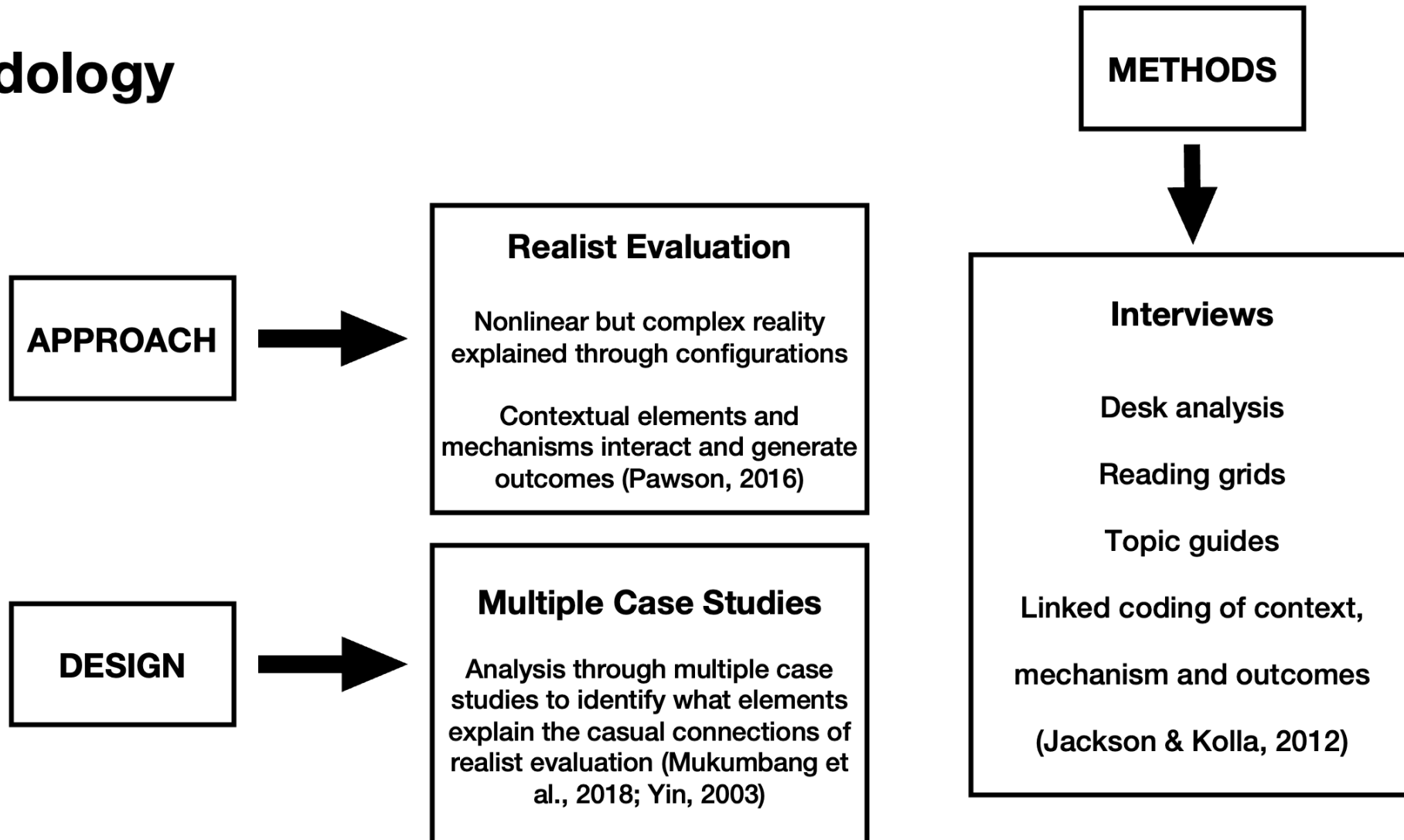**RQ1:** *What are the relational implications of introducing social impact measurement in PPPs?*

RQ2.1: *What are the disadvantages of the lack of social impact measurement?*

RQ2.2: *What are the advantages where it exists?*

Through these RQs, I aim to explore, in depth, the relational implications of introducing SIM in the design and management of PPP projects, namely **whether and how SIM can affect tensions and challenges arising from public and private actors collaborating in PPP designs**. In particular, I will explore whether and how SIM can be a mechanism to manage relational challenges as informative asymmetry and opportunistic behaviors in PPPs, as well as a tool to promote innovative forms of PPPs in which public and private actors' impact objectives are aligned.

How to answer?
Methodology

METHODS

APPROACH →

Realist Evaluation

Nonlinear but complex reality explained through configurations

Contextual elements and mechanisms interact and generate outcomes (Pawson, 2016)

DESIGN →

Multiple Case Studies

Analysis through multiple case studies to identify what elements explain the casual connections of realist evaluation (Mukumbang et al., 2018; Yin, 2003)

Interviews

Desk analysis

Reading grids

Topic guides

Linked coding of context,

mechanism and outcomes

(Jackson & Kolla, 2012)

1. Approach

Realist Evaluation

The realist evaluation organizes the findings of the case studies through different configurations, employing context-mechanism-outcome (CMO) approach to explaining and testing the usefulness of SIM as a management instrument for a PPP, for whom, and in what context (Pawson, 2016).
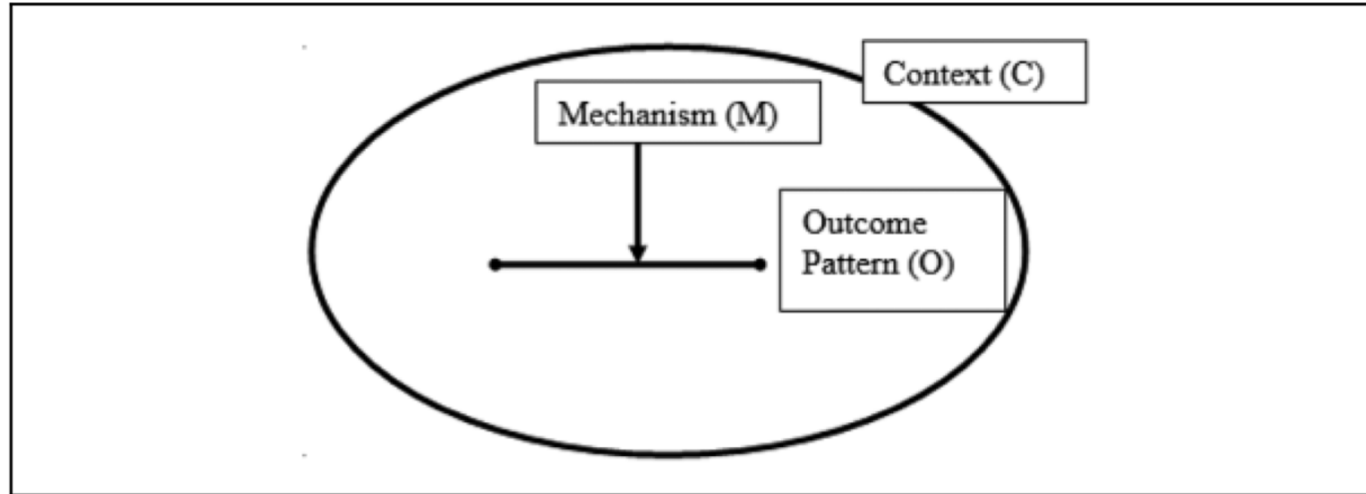
Pawson, 2008

2. Design

Multiple case study

Context: Italian NOP/ROP Programs of Cohesion Policies

Selection: 7 cases study from *opencoesione* database (Ex-Mattatoio di Trapani, Centro di competenza alte prestazioni e IA, Welfare Culturale Laici Teatri, PiùWays Rosignano, Agorà, Milano in 15 minuti, Ferrovia Napoli-Bari/Palermo-Catania)

Criteria: Selected for policy sector, presence or absence of SIM, different configurations and governance

Interviews: 41 qualitative interviews following specific topic guides

Multiple case study

Geographical distribution

1. Centro di Competenza calcolo ad alte prestazioni e intelligenza Artificiale (Torino)
4P Partnership

2. Mobilità sostenibile PiùWays Rosignano Marittimo
Public-Private Partnership

3. Agorà - centro di aggregazione giovanile (Trecastagni)
Public-Hybrid (profit e no profit Terzo Settore)

4. Recupero ex mattatoio comunale (Trapani)
Public-Hybrid (profit e no profit Terzo Settore)

5. Milano in 15 minuti (Milano)
Public-Private-Hybrid

6. Welfare Culturale Laici Teatri (Bologna)
Public-Hybrid (profit e no profit Terzo Settore)

7. Adeguamento linea ferroviaria Tirrenica Battipaglia-Reggio Calabria
Public-Private Partnership

3. Methods

Steps

1. Two **reading grids** from literature review that explore relational implications of introducing social impact measurement in PPPs.

2. **Experts Interviews** and **Preliminary desk analysis** on PON/POR as determinants of public-private relations

3. **Desk analysis** and **case study selection** on open coesione database (presence or absence of SIM, different configurations, policy sectors…)

4. **Topic guides elaboration using theoretical frameworks**: Neo-institutional theory, agency theory (Coase, 1998; Williamson, 2000; Dewatripont, 2000) path dependence/priori-organizational experience and "impact lock-in" theories (Ormiston, 2022)

5. Qualitative **Interviews**

6. Content and thematic Analysis and linked coding with **Nvivo** software (Jackson & Kolla, 2012)

✓ GRID 1: **SIM characteristics in PPPs**. The dimensions selected are the result of the literature study and an initial desk analysis of secondary data linked to the selection of case studies.

✓ GRID 2: **Hypotheses and conceptual framework** linking SIM and the elements of research interest that characterize PPPs relationships, such as transaction costs, information asymmetry or alignment of interests.

✓ **Mechanisms of implementation** of PON and POR plans, which have specific social objectives.

✓ **Spending mechanisms and regulations** was essential to ensure that the research proposal was appropriate for this context.

✓ Different types of documents: programs, directives, decree-laws, calls for tender, tenders and contracts.

Conceptual frameworks guiding interviews

Topic guides construction

CONCEPTUAL BLOCKS FROM THEORIES

ASSESSING ROLE OF SIM IN REDUCING **INFORMATION ASYMMETRY**

UNDERSTANDING HOW AND WHY SIM BRING **ALIGNMENT IN GOAL AND SOCIAL MISSION**

OPPORTUNISTIC BEHAVIOUR AND ROLE OF SIM (PERCEPTION OF ACTORS)

TRANSACTION COSTS AND SIM (CHALLENGES AND OBSTACOLES TO ACTORS' INTEREST) (Hart, 2016; Cowen & Parker, 1997)

UNDERSTANDING SIM AND **LEGITIMACY** THROUGH THE ACTOR'S EVES (REASONS, PERCEPTIONS, MOTIVATIONS)

✓ Topic guides and conceptual framework are build based on **neo-institutional theory and agency theory** (Akerlof, 1970; Laffont et al.,1993; Dixit,2002; Eisendhart, 1989; Coase, 1998; Williamson, 2000; Dewatripont, 2000)

✓ These conceptual blocks brought to formulate questions for **qualitative interviews**

Findings: 1° CMO

Social Impact Measurement system as a reporting instrument

N^	Context – C	Mechanism – M	Outcome – O
1	When in a PPP, SIM is not an explicit and mandatory element of the contract and, therefore is conducted ex-post…	Public and private collaborators perceive SIM as a barrier for PPPs because it requires additional resources (time, competences, human, financial) …	Leading to increase transaction costs, alongside opportunistic behaviour due to such transaction costs.

"However, with respect to my experience, if **SIM is included later**, the other actors (who are not evaluators) don't want to know about it, **they disconnect from the meetings about SIM, they have no idea what it is, and they are not interested**"

"Incorporating SIM is something very **complicated and time-consuming for government expertise and resources**"

"We failed to do so and, for example, the smaller but still relevant partner developed **opportunistic behaviors** and did not report because it was not mandated to do so. This also led to **undermining the project**…."

"SIM certainly can bring benefits but **costs remain**"

"Certainly the use of SIM can lead to serious difficulties in terms of **money, time, skills and resources**. This is a very critical element. If there are not specific resources, this becomes a tool that is used little and ex-post and is not mandatory and risks not being continuous. The fact that you don't have expertise in this … you then have to use a third party and this is costly: **even just the design of a single questionnaire is seen as a burden and not as benefit**."

Findings: 2° CMO

Social Impact Measurement system as a management instrument

N^	Context – C	Mechanism – M	Outcome – O
2	When in a PPP, SIM is explicit and mandatory element of the contract and, conducted ex-ante (as a management instrument) …	SIM positively influences the relationship in terms: of reduction of information asymmetry, goal alignment between actors, incentivize co-design and participatory decision process…	Leading to balancing bargaining power, increasing trust between the partners, and reducing adverse selection.

"If there is SIM we can definitely interact better and aim better at **co-design and co-programming activities**. The social value chain, for example, could lead everyone to discuss and find services and needs together."

"Ex-ante and itinere assessment is needed because it allows **alignment** of interests, risks and competencies."

"Thanks to SIM as a management tool, we are **all** clearer about **what we need and want to have** in the partnership…"

"The problem is that awareness of this goal must be achieved. This goal requires, however, that all parties involved, at least the decision makers, be aware of who the others are, what their interests are, what they think. **Measurement helps in this regard**."

"SIM, if designed from the beginning, can help action and intervention and **coordination** among actors."

Findings: 3°, 4°, 5° CMO...

N^	Context – C	Mechanism – M	Outcome – O
3	When in a PPP, SIM is conducted by a third-party (independent evaluator) ...	Private and Public collaborators perceive SIM as a credible and objective instrument balancing actors' interest and help internal and external communication of results...	Thus, improving legitimacy of the PPP intervention for citizens and stakeholders and increasing trust between the partners.
4	When in a PPP, SIM is conducted through a participatory approach (e-g., co-design, and co-selection of KPIs) ...	SIM positively influences the relationship in terms: of reciprocal reputation, of information asymmetry, goal alignment, trust between the actors, sharing responsibilities and goal alignment improving reputation. However, a participatory approach requests additional resources: of time, competences, human, financial...	Leading to improving legitimacy of the PPP intervention for citizens and stakeholder. Leading also to increasing transaction cost.

Findings: 3°, 4°, 5° CMO…

N^	Context – C	Mechanism – M	Outcome – O
5	When in a PPP, SIM is conducted ex-ante and is explicit and mandatory element in the contract to have access to the financial resources (e.g. SIBs, outcome-based contract and Payment by Result mechanism) …	SIM positively affects the relationship and incentivize good practices in terms: of investment in competences, sharing responsibilities, information and enabling risk sharing mechanism. However, it also brings a lot of complexity in terms: of financial, human and time resources…	Leading to balancing bargaining power: increase of trust between the partners, and reduction of adverse selection. Leading also to increasing of transaction cost.
6	When in a PPP, SIM is conducted with the support of organisation from the Third Sector/Social Purpose Driven Institution as guarantors of social impact/ecosystem orchestrator (the TSO has exclusive knowledge of social needs, expectations and strong connection with local communities) …	SIM positively affects the relationship between the different actors in terms: of reciprocal reputation, reduction of information asymmetry, goal alignment…	Leading to improving legitimacy of the PPP intervention for citizens and stakeholder, balancing the bargaining power: increase of trust between the partners, and reduction of adverse selection.
7	When in a PPP, SIM is conducted ex-ante (as a management instrument) and knowledge and resources are shared between the actors involved…	SIM positively influences the relationship in terms: of reduction of information asymmetry and goal alignment between actors. Additionally, the knowledge and resources transfer focused on SIM as through common training and experts support faces the need of additional resources: of time, competences, human, financial...	Leading to decreasing of Cost transaction, balancing bargaining power: increase of trust between the partners, and reduction of adverse selection.

Discussion

SIM enabling PPPs for mission-oriented policies

Presence of SIM is linked to success of PPPs intervention and bring to rewards (see cases in Tuscany Region, Bologna, Milano…):

- Trust

- Legitimacy

- Reduction of Information Asymmetry

- Goal alignment

- New financial opportunities

- New possible partnership

"When a public administration with limited data can mention the results achieved… this is a great response to the community and can help it gain more **legitimacy**."

"SIM can help citizens understand **what was done and why that money was invested or not invested**."

"SIM can also be an added value because it improves and enhances the relationship between different actors. It can indeed help because it combines solution and real need and **promotes transparency**."

Discussion

Barriers for SIM in PPPs

SIM risks to be neglected:

- **Resources issues**: transaction cost, time and competencies

- **Technical problems**

- **Governance issues**

- **Rules of reporting and context**

- **Political and legal fluctuations**

- **Organizational issues of Public Administration**

- **Pre-existing conditions and cultural Aspects**

What happens in absence of SIM?

- **Protagonism** in the use of SIM - positive effects are seen (it works for legitimacy, and trust…)

- **Non-protagonism** by nature (small municipality, no resources) and risk of failure as for the Agorà Project (no trust, selected companies do not finish the work…)

Discussion

Contract are incomplete (Hart, 2016) - Limited space for action for measuring social impact (priorities, contracts, governance):

- **Intention** of policy makers to evaluate public value generation (and social impact)

- SIM seen as **non-technical** and for this reason overlooked

For actors involved in PPPs is **not mandatory** to report social impact (only 1/2 quantitative indicators as "number of employees"):

- **No consequences** in terms of financial resources (not the same with economic or environmental reports)

- **Priority** to technical and financial aspects: Cort of Auditrors and AdG look at the spending reporting

Questions?

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Remarks by Professor Maren Duvendack

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Q&A and Open Discussion

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Closing Remarks

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Thank you!

We would love your feedback!

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Welcome to SOC23

- Live from the Blavatnik School of Government in Oxford and online on Zoom
- If you are joining us in-person, you can still join Zoom BUT **please keep your speakers muted.**
- We will stop throughout the session to take questions both from the online and in-person participants.
- Do use the Zoom chat to introduce yourselves and to share your thoughts and questions; on Zoom, please make sure we can see your name & organisation.
- All sessions will be recorded and shared on the GO Lab website.
- Programme, slides and Zoom links are all on the GO Lab website.
- The GO Lab team is ready to help you both online and in-person.

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A collaborative effort

The Collaboration Playbook

Focus

'Positive chemistry' of collaboration

"…we focus on the less tangible aspects: leadership, trust, culture, power, and learning – areas where collaborations are often at their weakest."

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Overview

Five themes: - Leadership

- Trust

- Power

- Culture

- Learning

4 case studies from UK examples

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Leadership		
Collaborative vs siloed leadership	Play: Shift perspectives, behaviours, and engagement
Wise leadership	Play: Embody collaboration and let it ripple out
Adaptive leadership	Play: Solve complex problems by accepting risk
Choosing a leader	Play: Value social capital in leaders
Aim analysis	Play: Lead a collaboration with clearly mapped aims

Trust		
Small wins	Play: Build trust and ambition through small wins
Informal communication	Play: Facilitate informal communication with technology
Sharing information	Play: Take the plunge with comprehensive information sharing

Go to page 30

Culture		
Accountability	Play: Manage conflicting accountability ties in the collaboration
Values	Play: Deal with clashing values
Boundary spanners	Play: Mitigate culture shocks with cross-sector experience

Power		
Monitoring power	Play: Gauge the power distribution and monitor how it evolves
Inclusivity	Play: Balance inclusivity with stability
Governance and structure	Play: Structure your collaboration to suit the circumstances
Comprehensive communication	Play: Do not prematurely close dialogue

Learning		
Outcomes focus	Play: Be resilient and ready to adapt
Summative performance	Play: Capture collective performance
Formative evaluation	Play: Examine collaborative integration

BLAVATNIK SCHOOL OF GOVERNMENT
UNIVERSITY OF OXFORD
GOVERNMENT OUTCOMES LAB

Playbook offers advice for actions

Each 'play' is a recommendation

18 Plays across the themes

Get in touch

Let us know how you find the playbook

Speak to GO Lab about cross-sector collaboration

Join the Engaging with Evidence session on the 26th of October

Characterising and cultivating wisdom for social outcomes

Social outcomes depend on contracts and character

The Urgent Need for
Social Wisdom

"The task of making social progress to a __wise world__ is vastly more difficult than the task of making scientific progress toward greater knowledge…"

Nicholas Maxwell
'The Urgent Need for Social Wisdom' in The Cambridge Handbook of Wisdom (2020)

" Genius is no guarantee of wisdom "

(nor is collaboration)

(July, 2023)

About wisdom

- Ancient– re-emergent
- Many definitions (eg Balance Theory; Berlin Wisdom Paradigm)
- Wisdom and social outcomes – some themes
  - Orientation to a common good
  - Balances interests
  - Tolerates complexity
  - Humble about limits of knowing
  - An aspiration for development
  - Held in human and non-human realms (eg contracts!)

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Characterising wisdom
(research in 2016)

- An exploration in response to organisational crises and scale of challenges
- Action Inquiry with Organisational Development practitioners
- Explored wisdom examples in practice
- Identified six broad characteristics
  - three 'inner'
  - three 'outer'
- Multi-level, integrated, interconnected
- **Collaboration – a part of the whole**

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Characterising wisdom
(research in 2016)

Consciousness
- Awakeness
- Balanced intelligences
- Beyond knowledge
- Humility

Conscience
- Common good
- Humane values
- Ethics and integrity
- Fulfilment of self and other connected

Context
- Recognising complexity
- Attuned to multiple perspectives
- Valuing past, present and future
- Adaptable, creative, flexible

INNER
knowing

OUTER
doing

Compassion
- Conscience enacted
- Kind
- Fostering development
- Care for all by all

Collaboration
- Valuing individual and collective wisdom
- Listening and dialogue
- Trust and openness

Courage
- Fully embodying wisdom
- Balancing risk
- Appropriate levels of fearlessness and fearfulness

individual — group — organisation — society

COMPASSION — CONSCIENCE — COLLABORATION — CONTEXT — COURAGE — CONSCIOUSNESS

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Smart to wise collaboration – more demanding of tolerance

Smart collaboration
'work together to integrate separate knowledge bases and skills sets to forge coherent and unified solutions' *(Smart Collaboration, Gardner, 2016)*

Wise collaboration
'being able to account for differences while going forward together' *(Field Guide to Collaborative Care, Uhlig and Raboin, 2015)*

Cultivating wisdom (research in 2022)

- Funded by European Mentoring and Coaching Council
- Inquiry with coaches – used the 'wheel'
- Challenges the individualistic, performance focus of mainstream coaching (with roots from therapy and sport)
- Needs courage to transcend these and focus on the wider field
- Many feeling a need to do this in the face of our challenges

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Barriers to wise collaboration?

- Short-termism

- Dominant economic focus

- Stress and pressure

- Polarisation

- 'Shadow side' of wisdom – intelligences used against the common good (eg greenwashing)

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Characterising wisdom in healthcare

Context & Assertions

- NHS GP, Associate Clinical Professor in Medical Professionalism/Academic Quality Lead – Birmingham Medical School
- PhD Enacted practical wisdom (Phronesis) in General Practitioners
- Rooted in Aristotelian Virtue Ethics
- Phronesis is an intellectual virtue that can be taught and learnt
- Character Education has a central role
- Aristotle suggested Phronesis is path to Eudaimonia (flourishing)
- Flourishing is a desirable social outcome
- Interdisciplinary research on historic philosophical assertions drawn-from/applied-to practitioners and their organisations can fortify wisdom practices and improve outcomes

Wisdom and Wellbeing

> " Wisdom leads to wellbeing
> and wellbeing paves the way for wisdom
> and in particular WISE ACTION,
> not just a capacity for wise reasoning. "

Grossmann I, Na J, Varnum MEW, Kitayama S, Nisbett RE. A Route to Well-being: Intelligence vs. Wise Reasoning. Journal of experimental psychology General. 2013;142(3):944-953.

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Contract to Character

The ethical frameworks that shape healthcare are deficient

- Predominance is on rules-based ethics ('contracts')
- Utilitarianism and Deontology
- Good for achieving widespread adoption of minimum standards, attending to patient safety
- Based on notions of the greatest benefit to all and on professional duty
- Reductionist - omitting context, character and virtue

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Moral Compass & Excellence

- *Going above and beyond*

- *The law limits every power that it gives*   David Hume

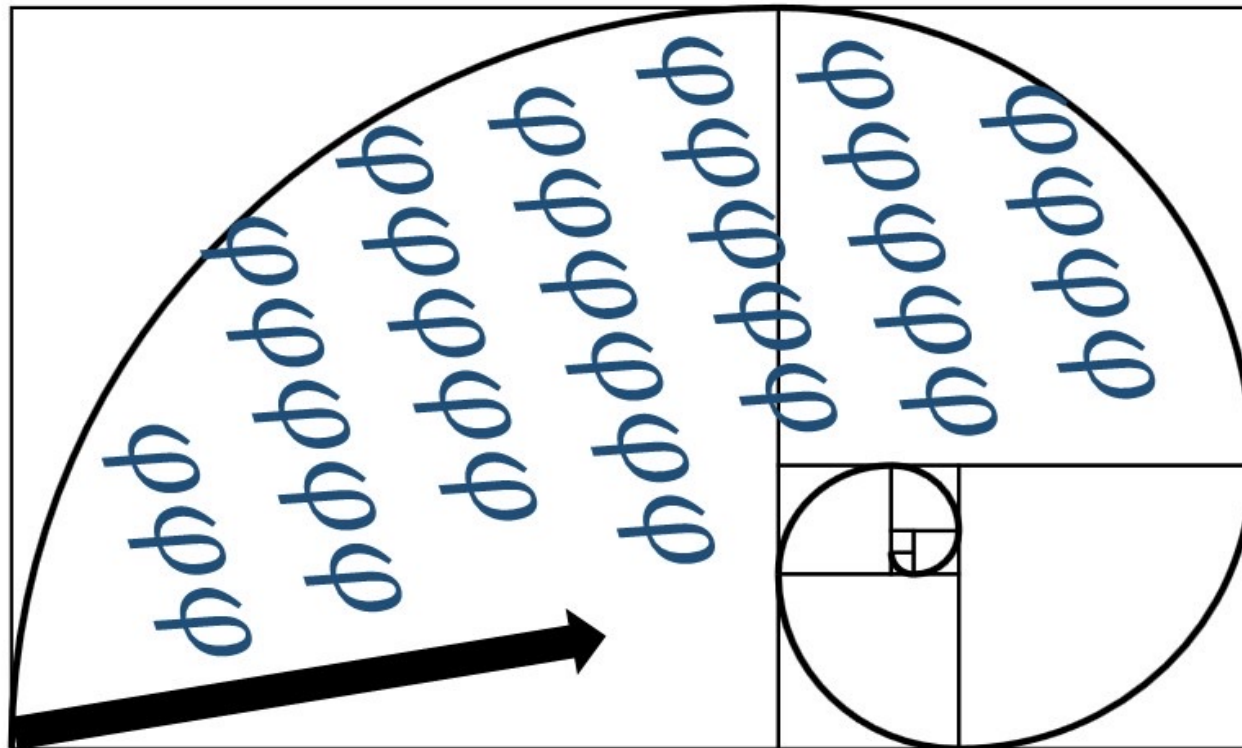- Considerate parking should not be defined by the absence of a parking restriction

What constitutes enacted phronesis in GPs?
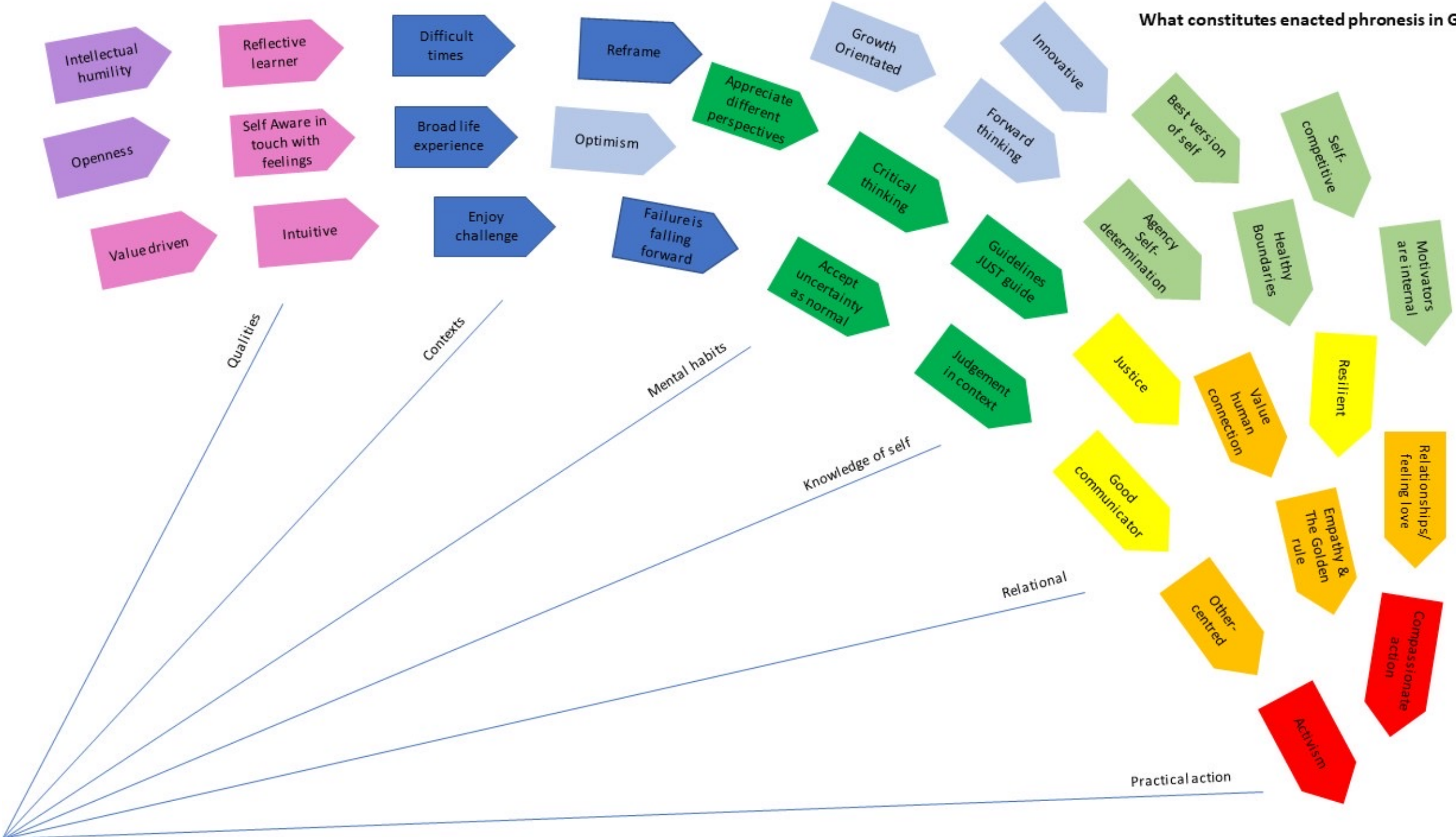
The whole is greater than the parts & Interconnectedness

A vector representation - The Fish School Theory of Practical Wisdom

Individual constituent of practical wisdom =

The sum of the constituents are greater than the parts, when working synergistically.

Together, as a school, the φ have a purposeful direction (towards good) in which they move (telos to praxis)

They are protected and nourished in this community (flourishing = eudaimonia).

This process is the intellectual virtue known as practical wisdom (phronesis).

Achieving phronesis through the constituents functioning in this way, is actualising personal potential.

Nature can teach us how to understand ourselves (Fibonacci spiral).

Wisdom is Holism & Holism has no disciplines

"He (Aristotle) was interested in a wide array of aspects of fish biology, ranging from body structure and function, reproduction and development to fish feeding habits, migrations and disease. As evidenced by his work, Aristotle should be considered the first ichthyologist. Ganias, K. Mezarli, C and Voulsiadou, E. (2017)

Because Aristotle himself does not attempt to distinguish the biological from the philosophical, it makes sense to read all Aristotelian texts as potentially representative of the same philosophical outlook Connell, S. (2001)

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Next Steps
Wisdom in (health) Organisations

The Asklepion Project

Do you agree that we would be more **effective** in **improving outcomes** if we **collaborated** more?

YES

Caveat

- Define effective

- Define outcome

- Include the planet/nature - we are an ecosystem

The Jerusalem Statement on Flourishing in Education, Aug 23.

Some issue areas require a change in policy focus

Treat specific issues

E.G. **Routine operations, vaccines, etc.**

1. Find an effective process or treatment

2. Document treatment for consistent delivery across the country

3. Manage fidelity and consistency

> "Find what works, and do it to everyone"

Personalised holistic support

E.G. **Manage long-term conditions**

1. Identify what success looks like

2. Build personalised pathway around each individual, in each locality

3. Measure progress towards goal

> "What works" will be different for each person
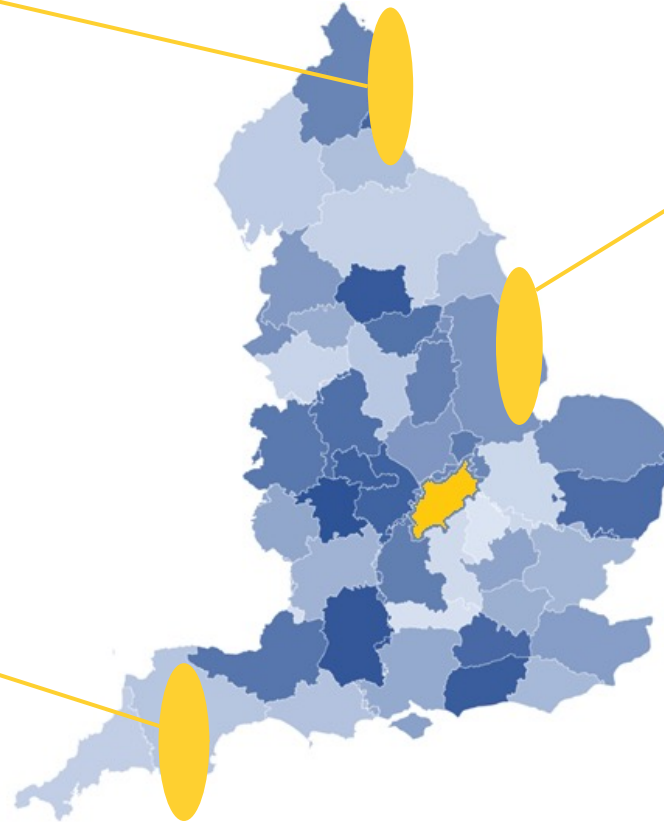
Agenda

- People-powered Partnerships Deep Dive – Community based prevention
- 3 crucial ingredients (Collaboration, Flexibility, Accountability) and energising behaviours

Annex:

– Areas of public services where this approach shows promise

These approaches are already achieving impressive results

Ways to Wellness

6,500 participants

27% lower hospital costs than control group

14% reduction in GP usage

Healthier Devon

2,000 participants

4kg average weight reduction

3.7 mmol/mol blood sugar reduction

thrive.nel

1,500 participants

35% lower hospital costs than control group

11% reduction in GP usage

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This approach creates 3 crucial improvements within preventative health

Collaborative Design

Projects that are **collaboratively designed**, and **designed to be collaborative**

NHS, **local councils** and **communities** jointly own and manage the service to maximise its impact

Flexible Delivery

Flexible, personalised services that **constantly evolve** and improve as they learn

Professional teams, embedded in their **local communities**, working **alongside patients**

Clear Accountability

Clear, unambiguous definitions of what real improvement looks like, and **how it is measured**

E.G. **reduction in secondary care costs** arising from long-term conditions **over 7 years**
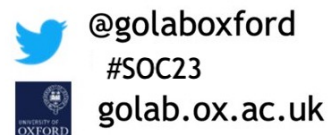
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Case Study – North-East Lincolnshire

A true partnership between government and the local community

Collaborative Design

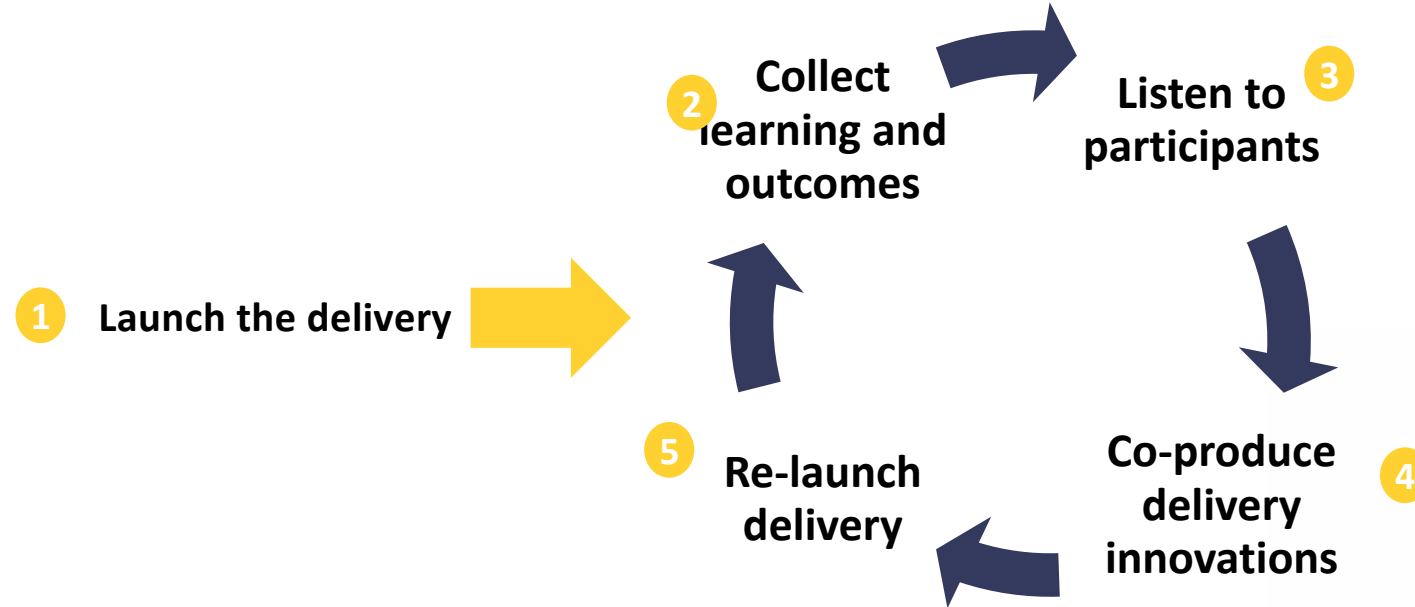# Case Study – North-East Lincolnshire

A personalised approach, continuously learning and improving

Flexible Delivery

1. Launch the delivery
2. Collect learning and outcomes
3. Listen to participants
4. Co-produce delivery innovations
5. Re-launch delivery
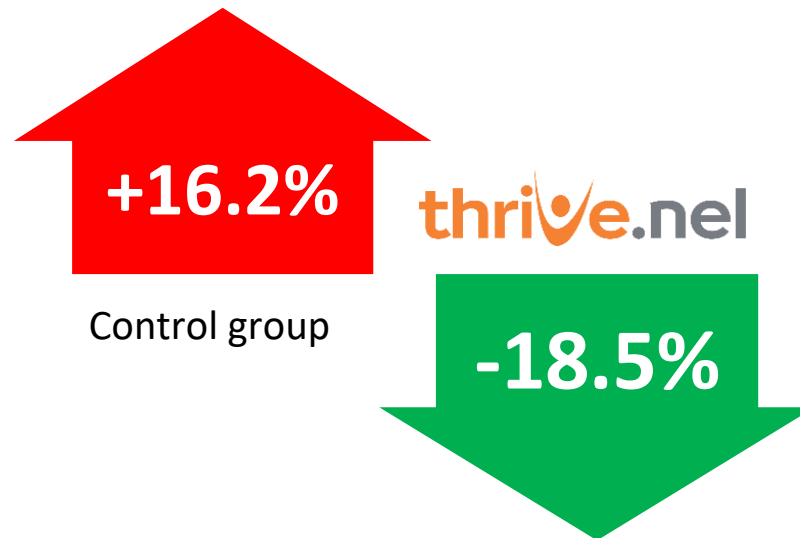
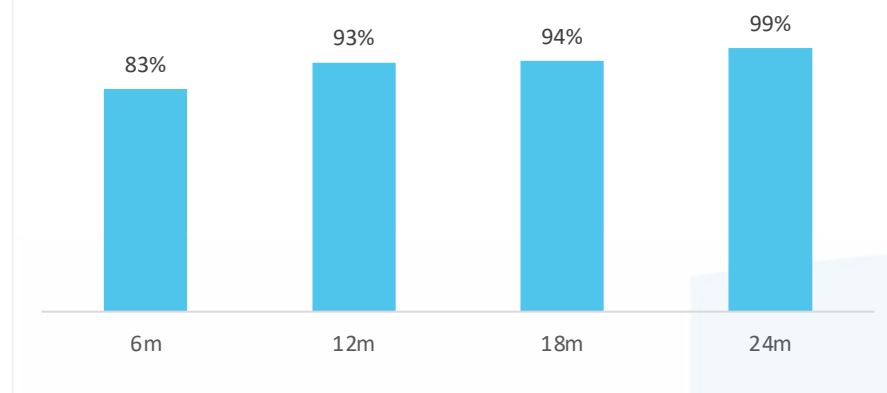@golaboxford
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Case Study – North-East Lincolnshire

Largest longitudinal study nationally of community-based prevention

Clear Accountability

Change in secondary care costs over 4 years

+16.2%

Control group

-18.5%

thrive.nel

% of people engaged that improve their wellbeing

83% — 6m
93% — 12m
94% — 18m
99% — 24m

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Agenda

- People-powered Partnerships Deep Dive - Community based prevention
- **3 crucial ingredients (Collaboration, Flexibility, Accountability) and energising behaviours**

Annex:

- Areas of public services where this approach shows promise

Energising behaviours helping create agile and effective partnership

Collaborative Design **Flexible Delivery** **Clear Accountability**

From:

Programmes designed centrally – often in isolation from other parts of government – and implemented in a top-down way

Fixed-specification contracts, delivered to rigid budgets, for groups of people with identical "needs" or "problems"

Arms-length contracts with limited visibility on progress, success, or key learnings

To:

Projects that are **collaboratively designed**, and **designed to be collaborative**

Flexible, personalised services that **constantly evolve** and improve as they learn

High quality, secure, **objective data**, with deep independent research into **what is and isn't working**

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People-powered Partnerships

People-Powered Partnerships

What happens when brilliant local teams are given the freedom to innovate

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Collaborative Design

Projects that are **collaboratively designed**, and **designed to be collaborative**

1) Bring local community organisations together around a shared vision of success (via a central coordinating body)

2) Are co-created with the real experts (by bringing front line teams and people who might access the service into the design process)

3) Work in a joined-up way with other local services (via cross-Government co-payment funds)

4) Operate as dynamic, actively managed partnerships (by changing the nature of the contractual relationship between Government and delivery organisations)

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Flexible Delivery

Flexible, personalised services that constantly evolve and improve as they learn

5) Tailor their approach to people's situations and strengths (by giving front-line teams the freedom to shape their services around individuals)

6) Invest properly in people (by taking a more flexible approach to resourcing costs)

7) Embrace continuous improvement (by creating a mechanism that allows the service to be redesigned and 'relaunched' on a regular basis)

8) Tackle systemic barriers to progress (by encouraging other parts of the system to be more flexible)
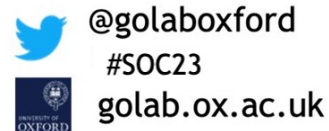
Clear Accountability

High quality, secure, **objective data**, with deep independent research into **what is and isn't working**

9) Be transparent about progress (by sharing regular updates against objective, clearly defined milestones)

10) Be accountable to those who access the service (by asking them carefully whether it improved their lives)

11) Consider the broader, longer-term impact of the service (by finding light-touch ways to link into or compare with other Government data)

12) Assess & share lessons learned to benefit future services (by investing in more sophisticated evaluations that tease out relative benefits of project features)

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Agenda

- People-powered Partnerships Deep Dive - Community based prevention
- 3 crucial ingredients (Collaboration, Flexibility, Accountability) and energising behaviours

Annex:

- Areas of public services where this approach shows promise

We have seen this approach used very effectively in two situations

A focus on outcomes can be used to test a series of design options, and/or to continuously improve implementation

_____

A When existing evidence base is poor – no one knows what really works

Focus more on design innovations:
test ideas and build a new service

Examples:

- Rough Sleeping **(detailed case study incl.)**

- Homelessness Prevention

- Treatment of long-term health conditions

- Refugee integration

- Supporting unpaid carers

- Employment support

B Where promising services exist, but they consistently underperform their potential

Focus more on delivery innovations:
find ways to improve quality and scale

Examples:

- Family Therapy **(detailed case study incl.)**
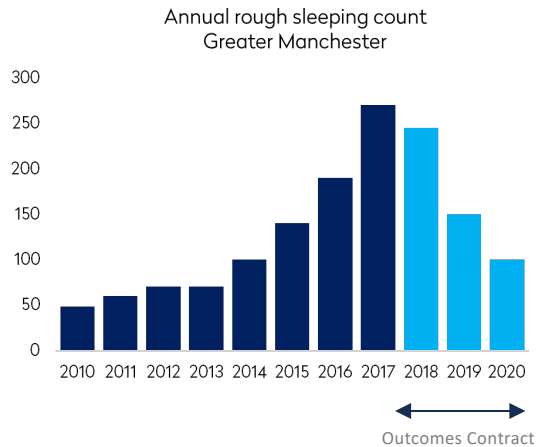
- Support for mothers

- SEND Travel Training

When existing evidence base is poor – no one knows what really works

Long-term homelessness, Greater Manchester - Results

Outcomes contract	Target	Results
# housed	183	357
Contract Cap	£1.8m	£2.6m
Cost pp housed	*£10k*	*£7k*

Annual rough sleeping count
Greater Manchester

Outcomes Contract

Comparison against other (non-outcomes) contracting methods

- Non-outcomes contracts were >3x more expensive
- All 3 non-outcomes contracts underperformed expectations

Non-outcomes contracts	Contract 1	Contract 2	Contract 3	Total
Grant awarded	£7.7m	£8m	£9.6m	£25.3m
Target # housed	304	316	379	1,000
Target cost pp housed	*£25k pp*	*£25k pp*	*£25k pp*	*£25k pp*
Results as at Feb 2021	43	180	311	534

Design Features and Delivery Pilots

- Avoided traditional route via homeless hostels
- Revised housing association allocation policies
- Revised housing association eviction policies
- Diversion from custody processes and auto-recall prevention
- Mental health dual diagnosis professional
- Proactive support to private landlords
- 'Asset-based' approach to supporting individuals
- 'Personalisation fund' made available

Sharing of learning

2020: launched £25m outcomes-based project in West Yorkshire led by the same team as the Manchester project

2022: Greater Manchester recommissioned Bridges on an outcomes basis, to focus on preventing youth homelessness

2019-2022: Homelessness prevention partnership launched across London and Norfolk

2022: Refugee transitions outcomes partnerships launched in North-East and Plymouth

Where promising services exist, but they consistently underperform their potential

Family Therapy, Essex and London - Results

Outcomes contracts	Essex	London
# families treated	388	410
% not in care	91%	90%
Contract payments	*£7.2m*	*£6.4m**
Cost per family	£18.5k	£15.6k*

Number of Children in Care rate per 10,000 (LAIT)
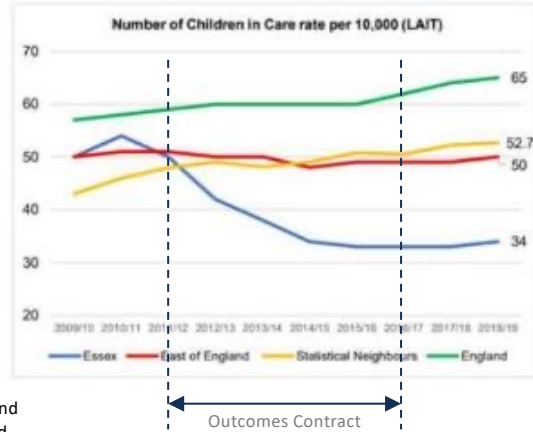
* Projection to end of tracking period

Outcomes Contract

Comparison against other (non-outcomes) contracting methods

- Non-outcomes contracts were 30% to 120% more expensive
- Non-outcomes contracts consistently under-achieved potential

Non-outcomes contracts	DfE grant contract	Average local contract
Grant or contract size	£3.3m	£4.5m
Target # families treated	170	360
Target cost per family	*£19k pf*	*£12.5k pf*
Actual # families treated	95	225
Actual cost per family	*£35k pf*	*£20k pf*

Design Features and Delivery Pilots

- Senior psychotherapist clinician role added
- Additional therapists above budget
- Expedited therapist training
- Improved therapist terms and conditions
- Investment into referral pathway for families
- Investment into coordinating wider services around families
- Suite of complementary therapies delivered together
- 'Personalisation fund' for families

Sharing of learning

2019: 3-year outcomes partnership launched in Suffolk, building on core team from London contract

2019: 5-year outcomes partnership launched in Norfolk

2021: Suffolk contract extended for additional 2 years

2020-2022: Forward partnership launched to support mothers in Plymouth, Derbyshire, Worcestershire & Northamptonshire

Audience discussion

What is the sense on the below?

Do you agree that we would be more effective in improving outcomes if we collaborated more?

Let us know you view

Audience discussion

Given that there often appears to be less effective collaboration than we consider optimal...

What barriers to enhanced collaboration have you experienced in your area of work?

(Be that in a place-based, multiagency, interpersonal or other context)

Our collaboration

https://medium.com/@placematters/centring-equity-and-place-based-approaches-in-systemic-transformation-277a1e37527f

Change is more equitable and sustainable when it is designed with the communities that have a stake in the change

"In place we reveal the human impact of change, building community-led movements alongside programmes that give real agency to those with most at stake in the change and in a way that builds energy and commitment."

Inequities within communities are revealed when working with small geographies

"In working deeply in small geographies, the often-dramatic inequities that sit within and between local communities are laid bare along with the reality of experiencing that inequity. Working in place gives us better visibility of how the system works or does not work for all the community."

Designing change with those with living and lived experience can reveal radical and unforeseen opportunities

"Equity challenges us to consider the inclusion of those most impacted by the systems in need of transformation. Deeply understanding the problem from the perspective of individuals with lived and living experience ensures we design change with integrity and often uncover radical and unforeseen opportunities."

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Some examples of how might we create systems change through a place-based approach to change?

Black Thrive – Birmingham: Tackling racial inequity through place-based change

Creating new spaces for dialogue, participation and action and trust that align to the cultural norms of the community.

Black Thrive – Birmingham

Building legitimacy and inclusion: "We spent a year listening and building connections with the people and organisations who were on the same journey and then convened a community assembly of over 100 people to talk about what we should focus on - Sandra Griffiths"

Shifting the dominant culture of engagement: "The Assembly was organised as an open conversation between Black residents, Black-led community organisations and public sector commissioners and curated with music and Black poets creating a space that reflected Black cultural norms and through which there was an implicit shifting of the power dynamic and an invitation to non-Black participants to see the community through a Black lens."

Seeing data through the lived experience of the community: "the problem wasn't that services lacked data on Black people, local people were continually filling out surveys and attending focus groups. The problem is that they could not see what the data was telling them – Lela Kogbara".

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Developing a national infrastructure for deep collaboration

Finding new ways for First Nations and other multicultural Australians to lead together

Deep Collaboration offers resources and programs that individuals and collaborations can draw on to create shared leadership

START WITH THE FUNDAMENTALS

Through the process of Deep Collaboration across the 'middle space' Australians are addressing collective traumas, re-imagining and creating a shared future that is more equitable and just.

Government as a partner and learner: "in more than 90 communities….we are seeing the impact of government partnering with community-led systems change initiatives as they adapt their practice to share data, move beyond the role of funder to be partners and learners in collaborative governance, and create promising innovations such as shared decision-making frameworks between government and communities"

A national infrastructure for place-based collaboration: "To leverage and scale the middle spaces being created locally, we must also intentionally design social infrastructure at the national level and ensure this is adequately resourced – in the same way we see national-level innovation infrastructure resourced in business and science.

The Nexus Centre will address "barriers to learning and collaboration where scales, sectors and issues intersect; competition that causes siloes and fragmentation of efforts; limited use of data; and, varied levels of knowledge and capability for collaborative place-based work at the scale required for systemic change"

OUR VISION

An African continent forever free of extreme poverty
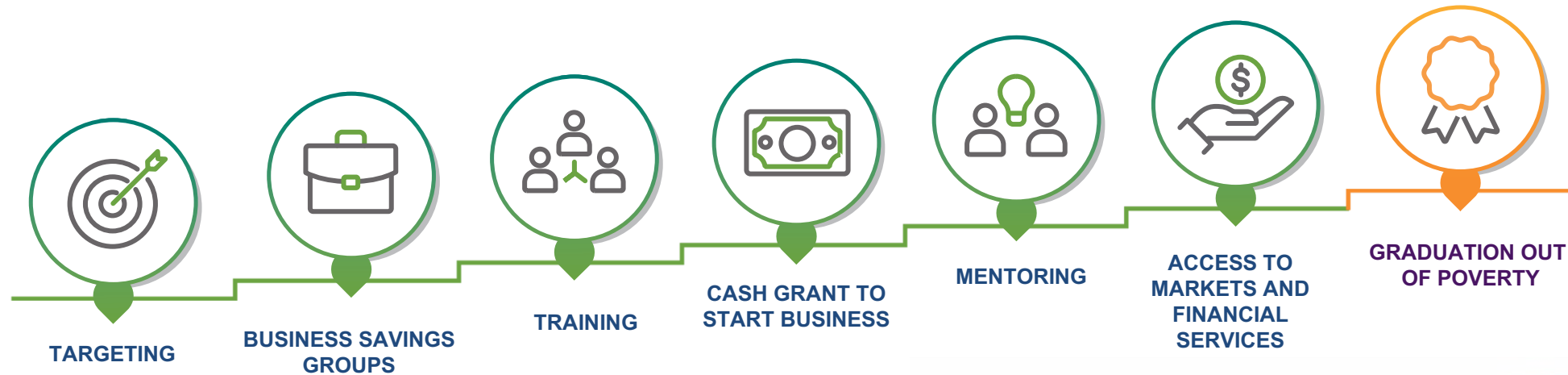
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Historically Declining international funding to local organizations

3.5%
2016

→

$2.1%
2020

First Development Impact Bond for Poverty Alleviation in Africa

An first-of-its kind Outcome Fund
Total $5.32M DIB | $4.28M Outcome Fund

Committed investment $2,325,000

Impacted 95,000+ lives

Started 4,766 Businesses/ 481 Savings Groups

Trained 14,100+ new entrepreneurs (75% women)

Financial Return

Social Return

RCT Evidence

Positive Three-year Final Results

$21m

Total lifetime household income 4 x overall costs of the project

6.3%

increased spending on food, healthcare, education, and other expenses

5.8%

increase in assets, such as livestock, housing, savings, and business supplies

540%

Lifetime Benefit-Cost Ratio
Highest cost-effectiveness among poverty graduation interventions*

**8.3%
XIRR**

Financial return

Statistically significant and sustained increases in household spending and net wealth despite the pandemic

Driving Impact by Tying Funding to Results

- Use **evidence** in program design

- Create **flexibility and incentives for innovation and performance** by tying payments to outputs and outcomes instead of inputs and activities

- Prioritize **partnership and collaboration** aligned on impact on program participants

=> Increase **value-for-money** of development funding by increasing cost-effectiveness

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Fostering competition on the basis of results and bringing local communities to the center of creating lasting change

1. Bring evidence of the effectiveness of RBF:

- Better outcomes

- Improved cost-effectiveness (reduced transaction costs, decreased burden of due-diligence process, simplified reporting)

- Increased advocacy and adoption of RBF by funders and local implementers

2. Build streamlined models for outcomes-oriented programming and contracting in the poverty alleviation space that can be replicated and adopted at scale

- Build capacity of the sector to drive impact and cost-effectiveness

- Partner with local organizations and governments to scale

Thank you!

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The Challenge

- Cross-sector collaboration is difficult
- Measuring true social impact is difficult
- Getting decision-makers to pay attention to measures is difficult

These factors likely make it difficult to structure and monitor the performance of partnerships in the social impact space

Basis for the presentation

"Making the case for place"

- Research and consulting to build a simple framework to measure the holistic benefits of placemaking

Wellbeing and quality of life

- **Wellbeing** - broad concept that encompasses individuals' physical, mental, and spiritual health, including sense of belonging, life satisfaction, social cohesion, and engagement

- **Quality of life** - often measured in the literature using a pre-determined list of objective criteria, focused on what is needed to satisfy basic human need and to live well or preference-based satisfaction

Placemaking and wellbeing
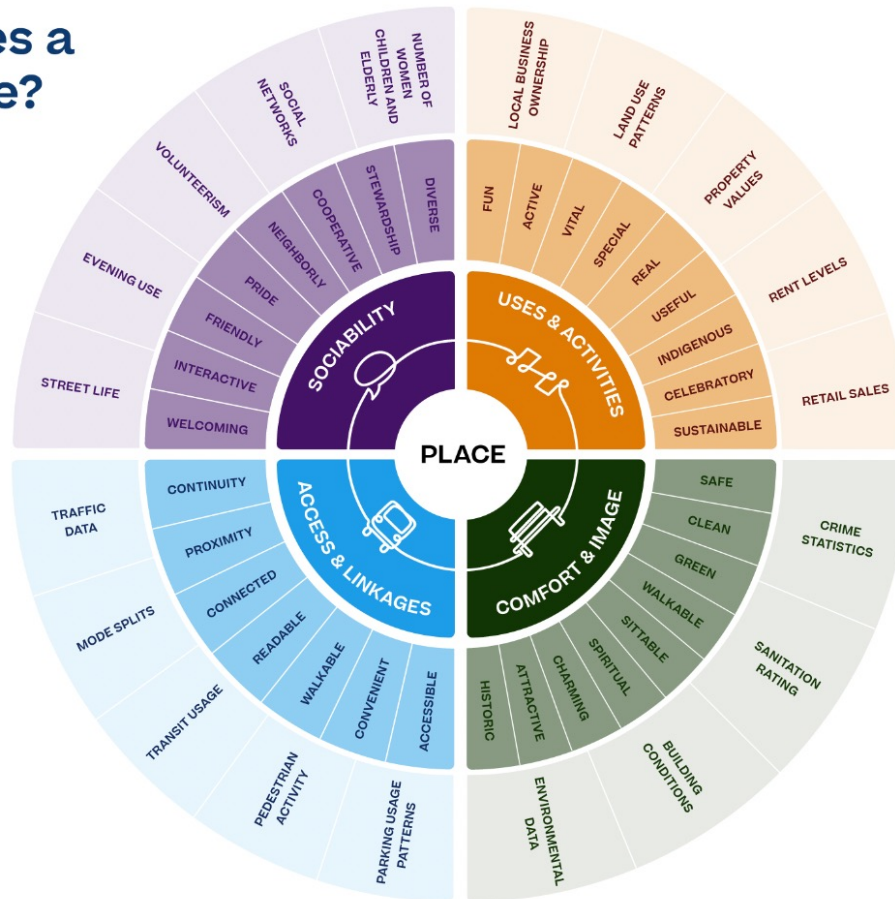
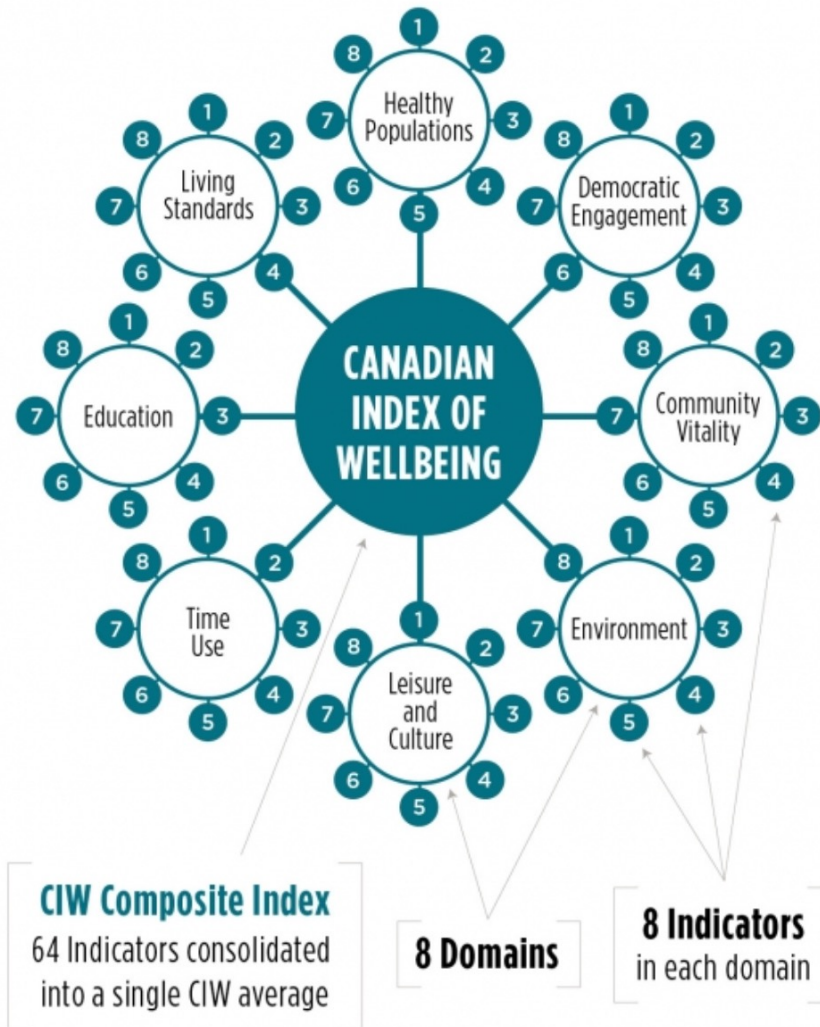Even within one policy area (e.g. public spaces) measurement of the benefits is complicated

Existing frameworks

Frameworks and their measures

- Large and costly data collection efforts
- Not accessible for all government and non-government entities
- Complicated to interpret and act upon
- Difficult to compare 'apples-to-apples'

Subjective wellbeing

- A growing number of academics and policymakers are calling for the use of subjective wellbeing appraisal as a supplement or alternative to traditional economic (and quality of life) appraisal

- There are three categories which researchers advocate for in the evaluation of public policy: evaluative (life satisfaction), experiential (momentary mood) and eudemonic (purpose)

- Almost all quality of life frameworks collect this data in addition to many other measures, meaning large data sets already exist and can be used

Subjective wellbeing data

"The Office of National Statistics (ONS) Four"

1. **Evaluative (Life Satisfaction):** Overall, how satisfied are you with your life nowadays?

2. **Experiential (Positive):** Overall, how happy did you feel yesterday?

3. **Experiential (Negative):** Overall, how anxious did you feel yesterday?

4. **Eudemonia (Purpose):** Overall, how worthwhile are the things that you do in your life?

Measured on a scale from 0 to 10

Correlation with other measures

- Subjective wellbeing (life satisfaction) has numerous, intuitive correlations with other factors

UK BHPS Data	
Factor	**Coefficient**
Income (£1,000s)	0.05***
Unemployed	-0.337***
Self-employed	0.144***
Retired	0.137***
Good health	0.959***
Married/in relationship	0.398***
Carer	-0.122***
Safe area	0.062***
Male	-0.031**
Age	-0.048***
No degree	-0.02
Wales	-0.026
Scotland	-0.063***
N. Ireland	0.134***

Correlation with other measures

Responses Related to Public Policy Decisions (Nova Scotia, Canada)	Impact on Life Satisfaction
Sense of belonging to community	0.15
Mental health	0.56
In the past week, I regularly engaged in good quality exercise	0.07
Freq. of rec/cultural facility use in previous year: Beaches, outdoor swimming pools, splash pads, wading	0.07
My job is really meaningful to me	0.13
How often in the past year I could not pay bills on time	-0.06
Satisfaction with access to arts and cultural opportunities in the community	0.1
Highest level of education completed	-0.06
Feelings of social isolation	-0.31
Overall Work-Life Imbalance	-0.45

Case Study – Peggy's Cove, NS

The Trial:

The work with Develop NS involved test cases of the framework that was created. It involved collecting subjective wellbeing at the "intervention site" and at a "control site".
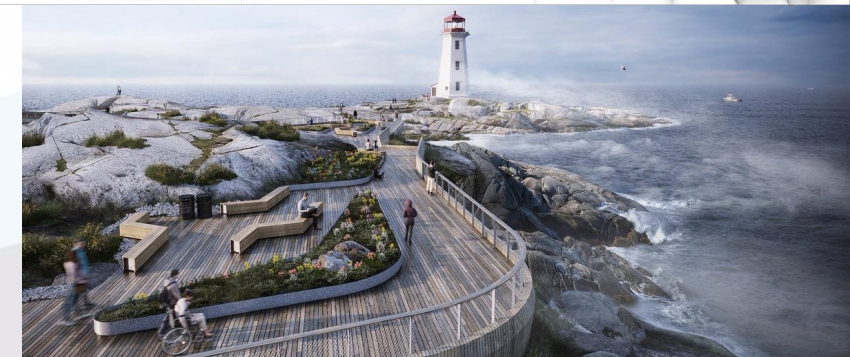
The Site:

Peggy's Cove Viewing Deck
- An accessible viewing deck to help ensure a safe, accessible and engaging experience for visitors, business operators and residents

- Increased capacity to welcome the growing number of visitors expected once travel restrictions are lifted
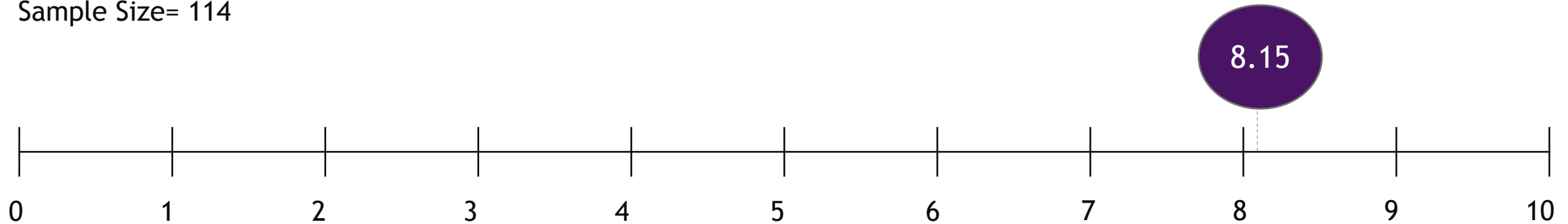
Case Study – Peggy's Cove, NS

Life Satisfaction Median Responses

Control Group (Halifax Boardwalk)

Sample Size= 114

8.15

0   1   2   3   4   5   6   7   8   9   10

Treatment Group (Visitors at Peggy's Cove)

Sample Size= 105

8.99

0   1   2   3   4   5   6   7   8   9   10
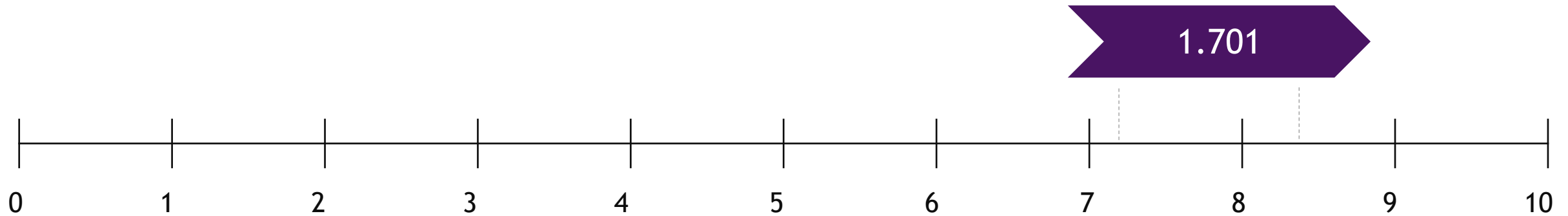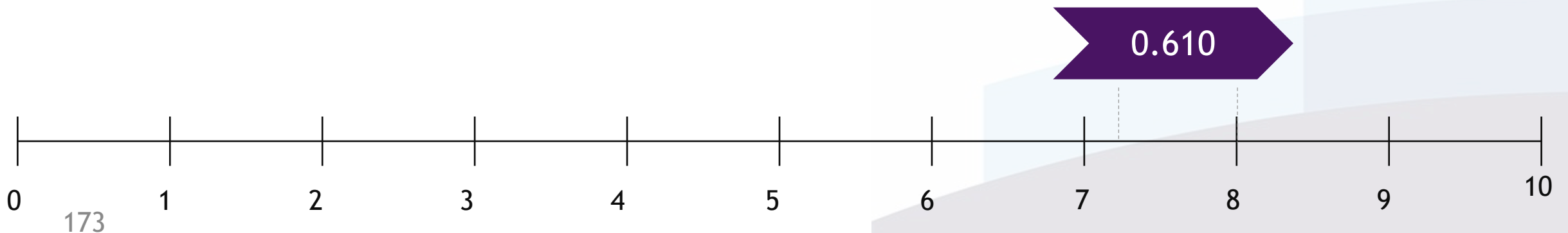
Case Study – Peggy's Cove, NS

Wellbeing Valuation Economic Conversion Values

Change in Wellbeing Associated with Attending Peggy's Cove

1.701

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |

Change in Wellbeing Associated with an increase in Log of Annual Income ($100s)

0.610

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |

Benefits

- Subjective wellbeing (life satisfaction) has been shown to be **correlated with the factors** that one would intuitively think it should align with regarding "social impact"

- It therefore allows for **"apples-to-apples" comparisons** of different types of interventions

- Using subjective wellbeing **does not impose a value judgement** on what people prioritize as important

- Approach has been **peer reviewed** and validated by academic experts

- **Data collection is simple**, allowing for increased use by smaller government entities and community organizations

- **Large scale, longitudinal data sets exist** that can be leveraged in addition to experimental survey approaches

Challenge and solution?

- Cross-sector collaboration is difficult
- Measuring true social impact is difficult
- Getting decision-makers to pay attention to measures is difficult

Subjective wellbeing could be used as a common metric to assess the social impact of cross-sector collaboration

Audience discussion

Given that there often appears to be less effective collaboration than we consider optimal...

What barriers to enhanced collaboration have you experienced in your area of work?

Lets discuss...

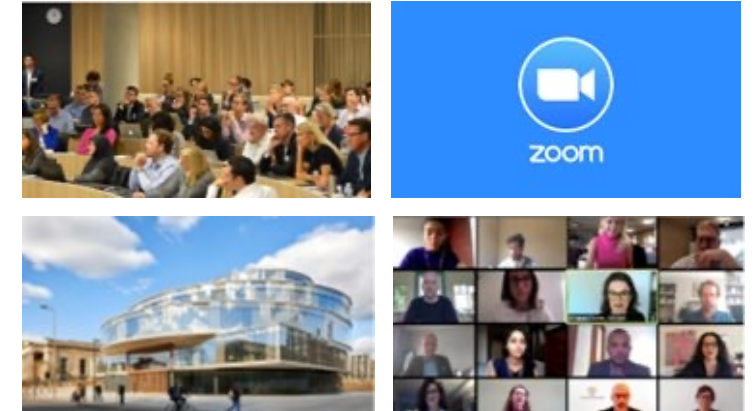# Thank you!

We would love your feedback!

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Welcome to SOC23

- Live from the Blavatnik School of Government in Oxford and online on Zoom

- If you are joining us in-person, you can still join Zoom BUT **please keep your speakers muted.**

- We will stop throughout the session to take questions both from the online and in-person participants.

- Do use the Zoom chat to introduce yourselves and to share your thoughts and questions; on Zoom, please make sure we can see your name & organisation.

- All sessions will be recorded and shared on the GO Lab website.

- Programme, slides and Zoom links are all on the GO Lab website.

- The GO Lab team is ready to help you both online and in-person.

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Why have this conversation?

Driving forward theory & practice by building on what has come before

Celebrating global innovation

Learning from one another's insights

Jess Reedy

Government Outcomes Lab

Key themes

Measurement

Relationships

Legacy

Jess Reedy

Government Outcomes Lab

Reducing youth reoffending social impact bond: working together to deliver enduring longer-term outcomes

genesis
youth trust

Presentation from Carl Bakker, chair of G-Fund Ltd (a charitable company established as the financial intermediary for this social bond)

What: A social impact bond, to reduce reoffending by young people, through multi-disciplinary services to medium and high-risk offenders; 607 youth aged between 13 and 17 who had already offended

Where: South Auckland, New Zealand

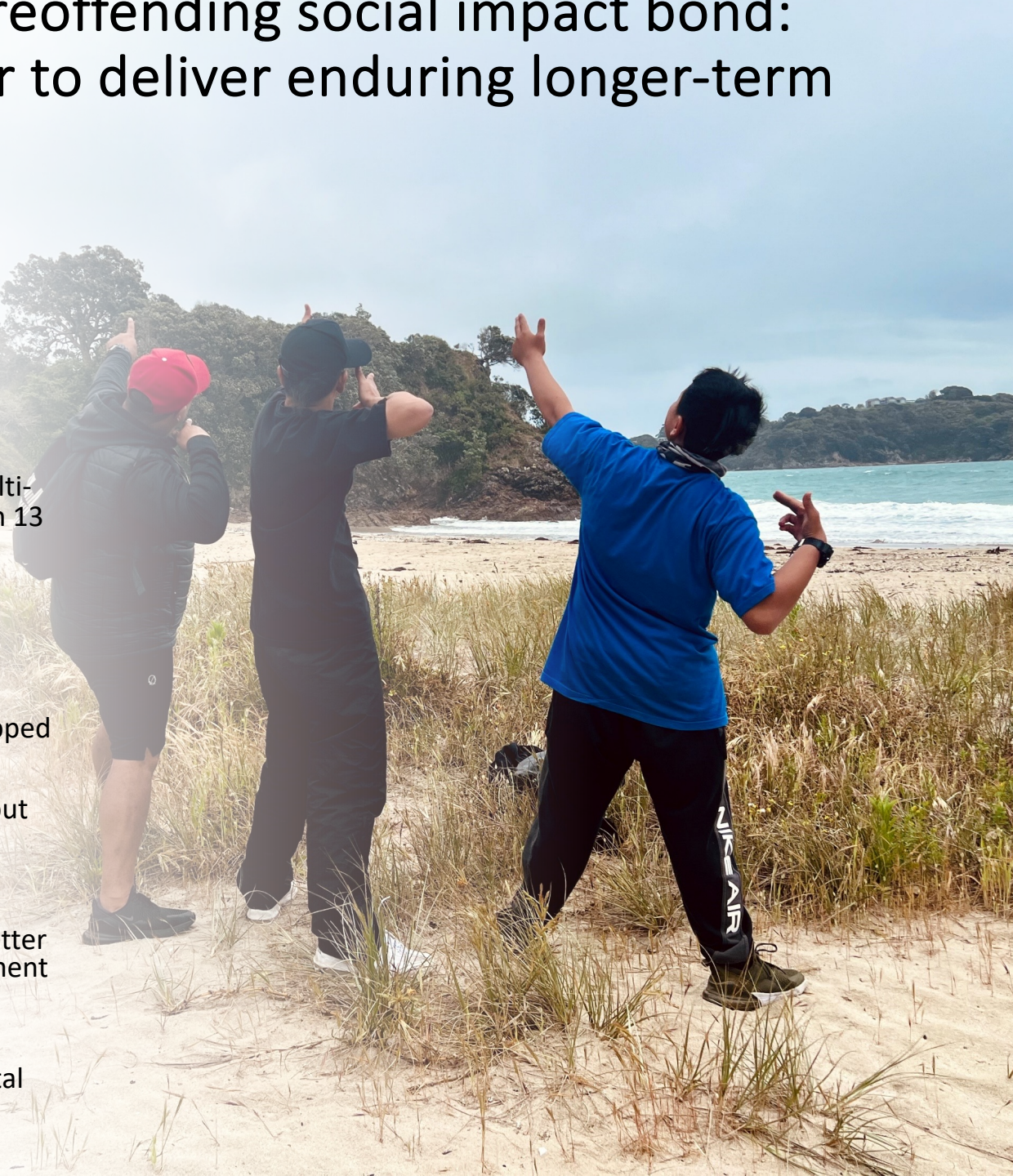**When:** 1 September 2017 to 31 August 2023- just finished

Who: Payment by the NZ Government, through the Ministry for Children, with services provided by the Genesis Youth Trust- a not-for-profit trust. Payments capped to $24m over the life of the bond

Contract managed by G-Fund, a financial intermediary that was part of Genesis but independent. Chaired by Carl Bakker

Initial bond funding of NZD$6m, raised from five private sector funds

Key contractual terms: Payments primarily dependent on outcomes that were better than historic counterfactuals, based on reoffending rates and severity. Measurement relied on NZ Police's offending data. Some additional payments via intermediate outcomes, reductions in assessed criminogenic risk

What happened? Significant reductions in reoffending, bond holders repaid capital and interest to capped levels

Sierra Leone & Ghana Education Outcomes Fund

Improving **enrolment** for out-of-school children and **learning outcomes** for students in public schools situated in most under-resourced rural communities

> Location: Sierra Leone

>> Delivery: Sep-22 to Sep-25

>> Targeted Students: ~30,000

>> **Partners:** EducAid, Street Child, Rising Academies

> **Location:** Ghana

>> Delivery: Jan-22 to Oct-26

>> Targeted Outcomes: 170 schools & 18,000 out-of-school children

>> **Partners:** Rising Academies & School for Life

Bridges Outcomes Partnerships is a not-for-profit social enterprise working with key stakeholders to radically change delivery of human services.

Collaborative Design

Projects that are **collaboratively designed**, and **designed to be collaborative**

Flexible Delivery

Flexible, personalised services that **constantly evolve** and improve as they learn

Clear Accountability

High quality, secure, **objective data**, with deep independent research into **what is and isn't working**

Our aim is to support our partners to prioritise inputs that are most likely to contribute to increase in learning schools and enabling them to embed data-based decision making to continuously improve delivery design

Collaborative Design process with key stakeholders **before** implementation

Flexible Delivery approach **during** implementation
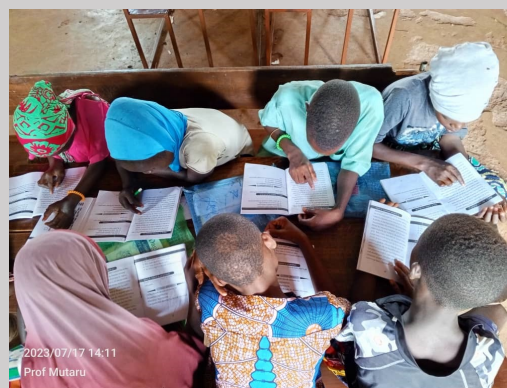
Robust data collection systems for enhanced Accountability

Foyer Central

Accommodation and learning centre for young people with lived experience of out-of-home care to prepare for independence
Sophie Holloway, Executive Director, NSW Department of Communities & Justice

IMAGINE SOCIAL IMPACT BOND IN SOUTH AFRICA
A PRECEDENT: FIRST HEALTH SIB IN AFRICA WITH FULL DOMESTIC GOVERNMENT OUTCOMES FUNDING

Impact:
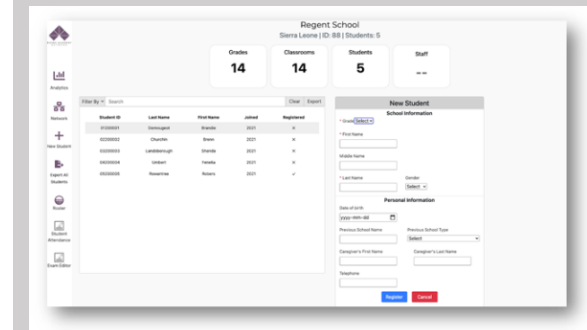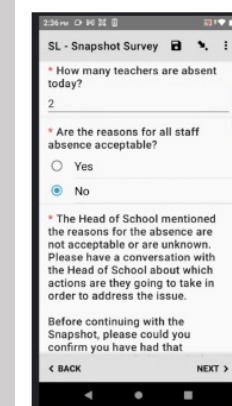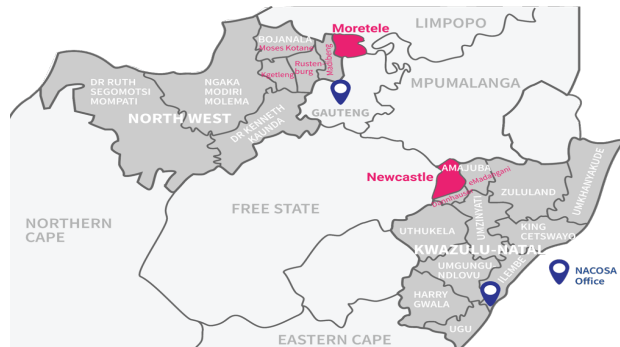HIV and Teenage Pregnancy

Outcomes:
- PrEP Coverage
- ART Coverage
- Contraception coverage
- Antenatal clinic attendance before 20 weeks gestation

Partners
- Investor: Rand Merchant Bank
- Implementer: Networking AIDS Community of SA (NACOSA)
- Intermediary: South African Medical Research Council (SAMRC)
- Outcomes funds from national treasury via DSI and NDOH, SAMRC is the outcomes funder

Whole school 'wellness day'

Mobile health clinics deliver services in school

Counselling and psychosocial support in school

1. Risk assessment tool, plus HIV & Pregnancy Test

2. Youth friendly SRH services

3. Reduce risk of individual and sexual partners

4. Strengthen linkage with Health Facility

5. Strengthen School Governance

6. Social Services Protection

7. Enhance family relationships

8. Community mobilization

Empower AGYW & Reduce risk

Mental wellbeing | SGBV | Drug Misuse | Healthy relationships

Treasury via DSI and NDOH

Social Investor

Outcomes Fund Managed by SAMRC Finance

SOBC Project Account Managed by PMU

Independent Verification Agent Report

Service Provider

Service Provider

Service Provider

① ② ③ ④ ⑥

Disrupting Voices: Learnings as an early adopter of Impact Bonds in India

About the British Asian Trust

- **The British Asian Trust was founded in 2007 by The former Prince of Wales and a group of British Asian business leaders,** to tackle widespread poverty, inequality and injustice in South Asia

- **We are pioneers in social finance in India, with a strong track record of driving successful collaborations** and applying social finance approaches to solve social and economic challenges in South Asia. **We work to address challenges faced by non-profits, governments, donors and other key stakeholders** with social finance tools like impact bonds.

About Anushree

Anushree Parekh
Social Finance Manager, India

- Many years of experience in corporate social responsibility, public policy, impact investing and nonprofit sectors in India and the UK.
- Passionate about facilitating symbiotic relationships between society, government, and markets.
- Brings a practitioners' perspective to outcome-based partnerships, with a keenness to explore contextualized and localized application.

PROJECTS IN FOCUS

Quality Education India
DEVELOPMENT IMPACT BOND

World's largest impact bond in education

Status: Completed
Launched: 2018
Sector: Education
Users: 200,000 children
Outcome Funding: $9.18M
Investment Fund: up to $3M

India's first SKILL IMPACT BOND
for sustained employment of youth

First impact bond with govt body as investor

Status: Implementation on-going
Launched: 2022
Sector: Skills & Employment
Users: ~50,000 youth
Outcome Funding: $14M
Investment Fund: $4.1M

Back to School Development Impact Bond

First impact bond focused on capacity building of govt. stakeholders

Status: Under design
Sector: Education
Potential users: 3,000,000 children

Top 4 learnings as an early adopter of Impact Bonds in India

We present our experiences as early adopters of impact bonds in India with the intent to collectively reflect on these disruptions, without treating them as aberrations or silver bullets, and ensure that impact bonds continue to evolve and remain relevant in changing dynamics and that the principles can be mainstreamed beyond the tool.
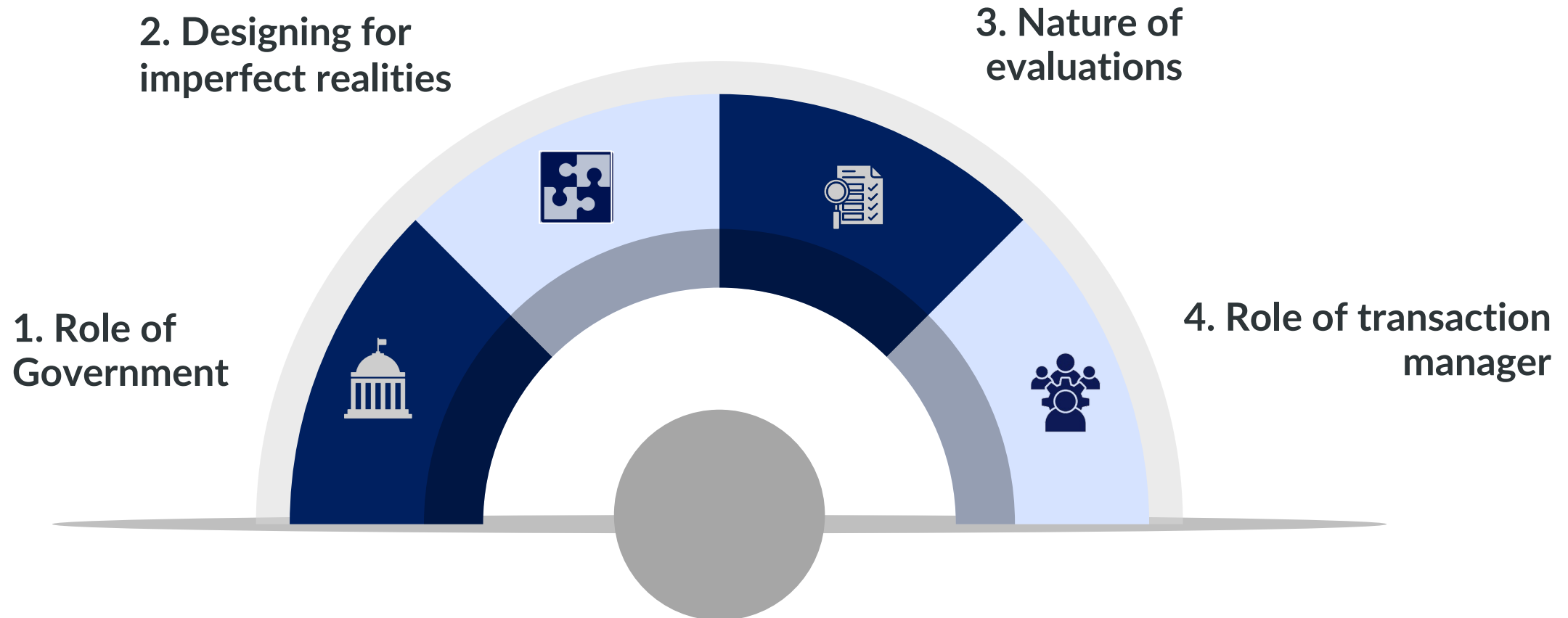
2. Designing for imperfect realities

3. Nature of evaluations

1. Role of Government

4. Role of transaction manager

Two types of management approaches in the offender rehabilitation

Approach		Management process	The role of local managers	Customisation
Top-down	Central-led	Waterfall	Quality Control	Easy
Bottom-up	Community-led	Agile	Networking	Difficult

Learning from Skill Mill

Local practitioners must address complex needs and build new business.

System change

2023.4

The launch of the Project Management Office for flexible employment service delivery at the Tokyo Probation Office

Break data silos

Agile project management

PMO

Data Management and Analysis
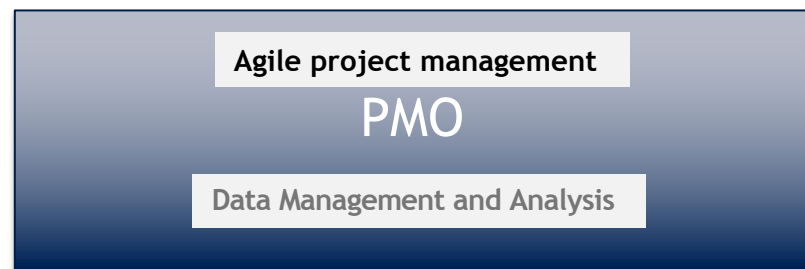
Report to the Director

It balances accountability for reducing reoffending, with the flexibility to try out new methods of service delivery.

Supports to Supervisors/Stakeholders

194

David Parks
The Skill Mill
www.theskillmill.org

Reducing youth reoffending social impact bond: South Auckland, New Zealand.

1/10/17-31/9/23

genesis *youth trust*

How different are the results under this social bond?

Significant reductions achieved in rates of reoffending compared to the past

Survival curve, % who did not reoffend

Legend: Genesis pre bond, % — PSM matched, % — Bond, total — Bond, High YORST — Bond, Med YORST

Y-axis: % who did not reoffend (0–80)
X-axis: Months from intervention start (0-6, 6 to 12, 12 to 18, 18-24, 24-30, 30-36, 36-42, 42-48, 48-54)

Improved survival rate under the social bond

Historic average survival rate

Informed by data

INVEST4HEALTH: CENTRE OF EXCELLENCE

Vision	A healthy nation through adequately and effectively contracted and funded health programmes		
Mission	To improve health outcomes in South Africa and the wider region by researching, testing and scaling outcomes-based approaches and innovative finance mechanisms		
Why invest4health	Invest4health is an initiative situated within SAMRC that aims to improve health outcomes (with a focus on public sector) by testing and scaling outcomes-based approaches (or other innovative finance mechanisms) for the purpose of creating a more productive, equitable, just society. The initiative will incubate projects, develop and disseminate knowledge, build capacity and activate a learning community of practice. I4H will partner with government, donors and academia to reach objectives.		
	DIRECT	INDIRECT	
Pillars of the value proposition	1. **Intermediary** Testing and scaling outcomes-based approaches (OBA) and other innovative finance (IF) mechanisms in public health priority areas by fund raising, designing, procuring for outcomes	2. **Thought leadership** Building evidence for and demonstrating expertise in OBA/IF that can guide and accelerate the development of the market in public and private sectors	3. **Network facilitator** Facilitating learning and connection between public/private sector and civil society for purpose of building I4H pipeline and facilitating opportunities in the wider market
Activities	• Origination and fundraising • Research and design • Procurement • Co-design process • Outcome verification	• Evidence building • Guideline and template building • Advocacy • Capacity building	• Awareness raising • Brains Trust facilitation • Wider network facilitation • Advocacy and learning • Build partnerships

Learning Action Network
Data Steward
i4h web platform
Partners

invest.health
Advancing social outcomes

saMRC
advancinglife

Quadruple Helix Partners + Co-Design

Public

Newcastle City Council

Nottingham City Council

ROCHDALE BOROUGH COUNCIL

Bury Council

Leeds City Council

Durham County Council

Norfolk County Council

YJB Youth Justice Board Bwrdd Cyfiawnder Ieuenctid

Department for Digital, Culture Media & Sport

POLICE & CRIME COMMISSIONER FOR SURREY

BIRMINGHAM CHILDREN'S TRUST

CROYDON www.croydon.gov.uk

SURREY COUNTY COUNCIL

west sussex county council

Northumberland County Council

Oldham Council

Ministry of Justice

Environment Agency

Private

Royal HaskoningDHV Enhancing Society Together

Virgin

NORTHUMBRIAN WATER living water

Wates

VIVO

ESH GROUP

Balfour Beatty

KIER

United Utilities

EQUANS

MEARS

BOWMER + KIRKLAND

ceg:

Northstar Ventures

SOCIAL FINANCE

Purple Compass Ltd Interim, Project & Consultancy

substance.

THE BIG ISSUE INVEST

CAF Charities Aid Foundation

resonance

Academic

GCU Glasgow Caledonian University
University for the Common Good

Northumbria University NEWCASTLE

University of Strathclyde

TALLINN UNIVERSITY School of Governance, Law and Society

school for social entrepreneurs

Manchester Metropolitan University

BLAVATNIK SCHOOL OF GOVERNMENT UNIVERSITY OF OXFORD
GOVERNMENT OUTCOMES LAB

Civic

THE wildlife TRUSTS

U URBAN GREEN NEWCASTLE

Canal & River Trust Making life better by water

S Signal

Newcastle West End foodbank

National Parks 70 1949 2019

Thank you!

We would love your feedback!

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Annex

Reducing youth reoffending social impact bond: working together to deliver enduring longer-term outcomes

15 September 2023

Carl Bakker, chair G-Fund Limited

Core elements of this social bond

What: A social impact bond, to reduce reoffending by young people, through multi-disciplinary services to medium and high-risk offenders; 607 youth aged between 13 and 17 who had already offended

Where: South Auckland, New Zealand

When: 1 September 2017 to 31 August 2023- just finished

Who: Payment by the NZ Government, through the Ministry for Children, with services provided by the Genesis Youth Trust, a not-for-profit trust. Payments capped to $24m over the life of the bond.

Contract managed by G-Fund, a financial intermediary that was part of Genesis but independent. Chaired by Carl Bakker

Initial bond funding of NZD$6m, raised from five private sector funds

Key contractual terms: Payments primarily dependent on outcomes that were better than historic counterfactuals, based on reoffending rates and severity. Measurement relied on NZ Police's offending data. Some additional payments via intermediate outcomes, reductions in assessed criminogenic risk

What happened? Significant reductions in reoffending, bond holders repaid capital and interest to capped levels

Structure: Funder (Ministry for Children)/financial intermediary (G-Fund)/service provider (G-Op)/referrer- (NZ Police)
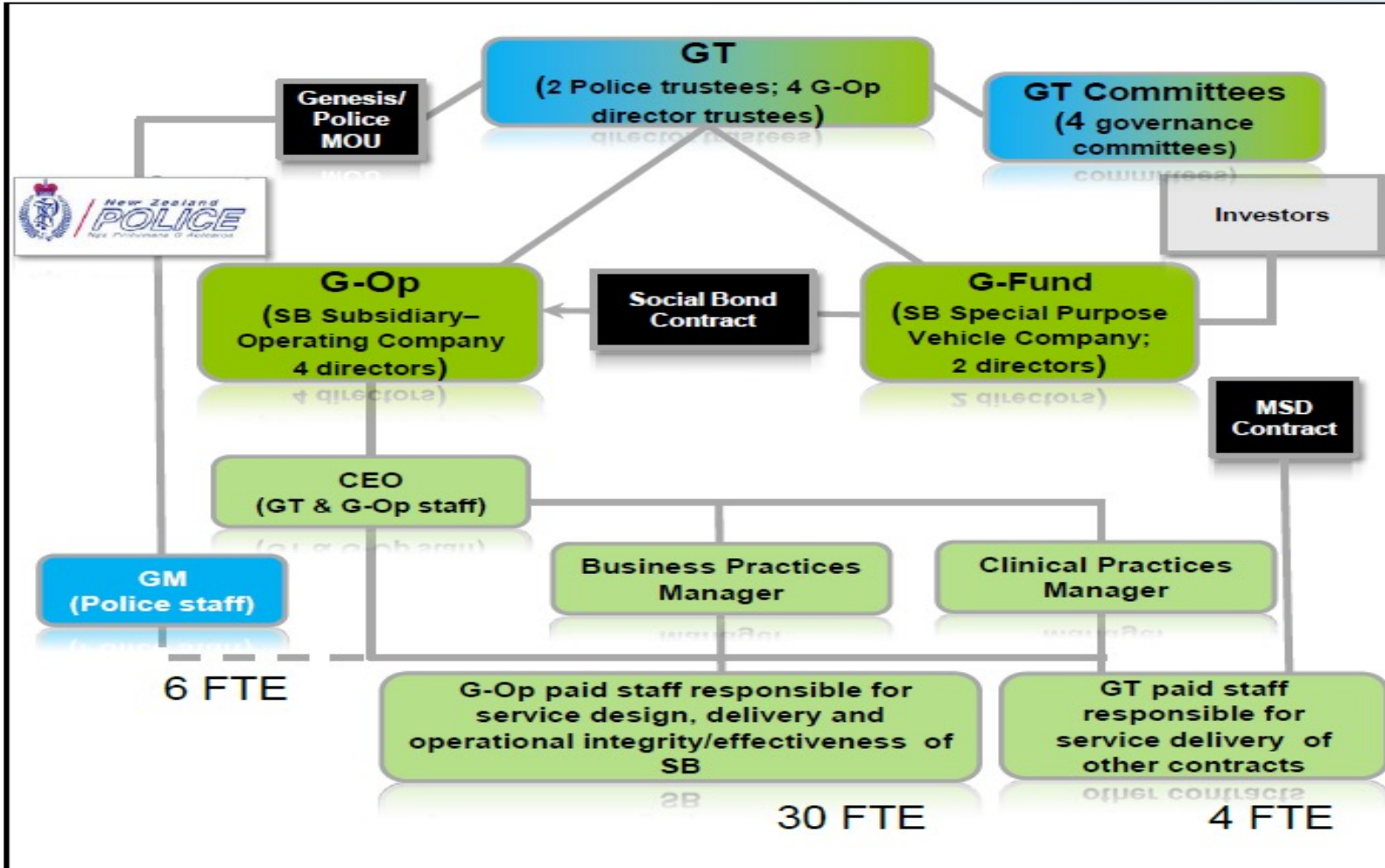
Intervention architecture

Outputs

Interventions based on multidisciplinary assessments and co-ordinated by key worker addressing (examples):-
- Root family issues and dynamics
- Environmental factors
- Cognitive and behavioural factors
- Cultural and spiritual factors
- Achieving personal goals
- Peer group modifications and creating positive respectful relationships

Intervention

1. NZ Police Referral (1 week)
2. Assessment Phase (1 week)
3. Intervention Stage A (10 weeks) — Review/Learning, Special Services, Key Worker, Family Services, Social Work, Mentoring
4. Intervention Stage B (10 weeks) — Review/Learning, Special Services, Key Worker, Family Services, Social Work, Mentoring
5. Exiting Phase (2 weeks)
6. Post Exit Support (6 months)

Intermediate Outcomes

- Modified behaviours by offender, siblings and parents (eg school attendance levels; association with pro-social peers; completion of tasks and goals; improved family engagement and cohesion)
- Achievement of positive goals (e.g. drivers licence; NCEA levels; active participation in sporting/cultural groups)
- Reduction in risk factors (e.g. has established support network; employment ready and focused; improved self-esteem)

Longer-term Outcomes

- Reduced frequency of reoffending (for client, siblings and family)
- Reduced seriousness of reoffending
- Educational achievement at least NCEA level 3
- Engagement in ongoing training and employment
- Improved pro-social behaviours within whanau and society
- Reduction in intergenerational criminal family cultures
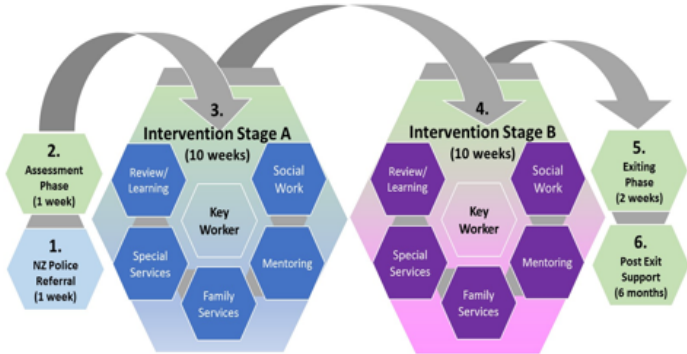
Goals and achievements- in a nutshell

The social bond programme in New Zealand had dual objectives:

1. Innovating in service delivery to improve wellbeing outcomes, in this case with youth offending; and

2. Finding better contracting approaches that get improved value-for-money from the $60-70 billion the Government spends each year on social services. This included exploring how the private sector could contribute.

Results- summary

Innovation: some enduring and replicable innovation occurred, use of new tools for assessment, improved data capture and use, and delivery adapted on the basis of data

Outcomes- summary so far

Significant reductions in reoffending against historic risk-matched counterfactuals. Further work underway to check against contemporaneous counterfactuals

Large social impact gains for youth, their families and the community, even without including the longer-term and highest possible benefits

Innovation: enduring and replicable?

Enduring innovations were achieved, although perhaps less than initially hoped.

The underlying sources for data were the dynamic criminogenic risk assessment tool, YLS/CMI, and Police offence data.

Innovations that were achieved included:

- use of the more dynamic risk assessment tool and linking findings from that to service delivery in near to real time

- Shifts in intensity and mix of service provision, both in terms of duration and the mix between social work, counselling, family work, mentoring and other specialised assistance- guided by what was and was not working as evidenced by risk score changes.

A key learning is that innovation relied on multiple and interwoven factors: it needed a framework of reliable and measurable outcome data/measurements. Their independence and robustness allowed the provider the freedom to adapt their services, and the information on which to base those changes.

There are real costs to the development of useful data measurement and reporting tools, and behavioural challenges to use of a data-driven approach. A long-term contract was a crucial enabler.

Other learnings

Contribution from investors

Investors were enabled to attend G-Fund Board meetings and their focus on performance, and the actions needed to support that, was helpful.

Government agencies

Over time, and particularly through a change in Government, agencies lost some of their initial focus on this bond. Ongoing interest is important for client referral, and insights into the changing context.

Innovation Ingredients 1: Dashboard to the end of March 2023
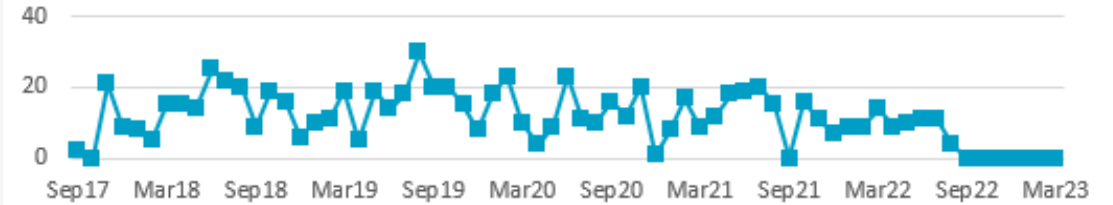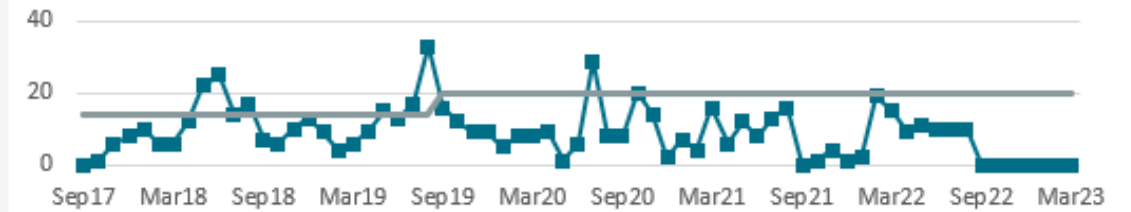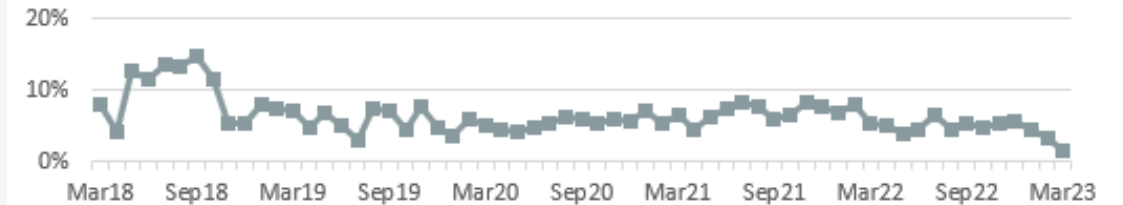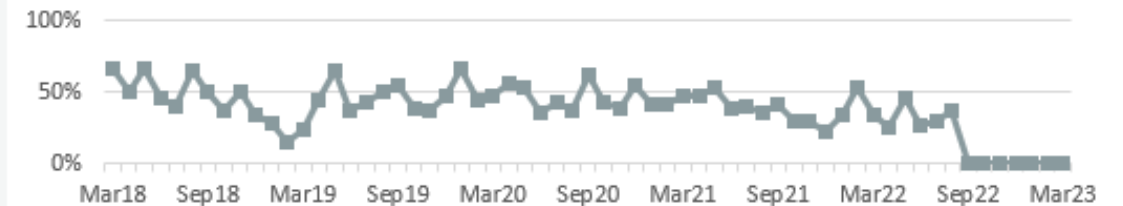
Innovation Ingredients 2: Reoffending severity data

Re-Offending Severity: 01 Mar 23 to 31 Aug 23 progress to 26/05/23, Branch: All, Yorst: All, YLS Category: All

Innovation Ingredients 3: Reoffending frequency data

Re-Offending Frequency by Branch: 01 Mar 23 to 31 Aug 23 progress to 26/05/23, Branch: All, YORST: All
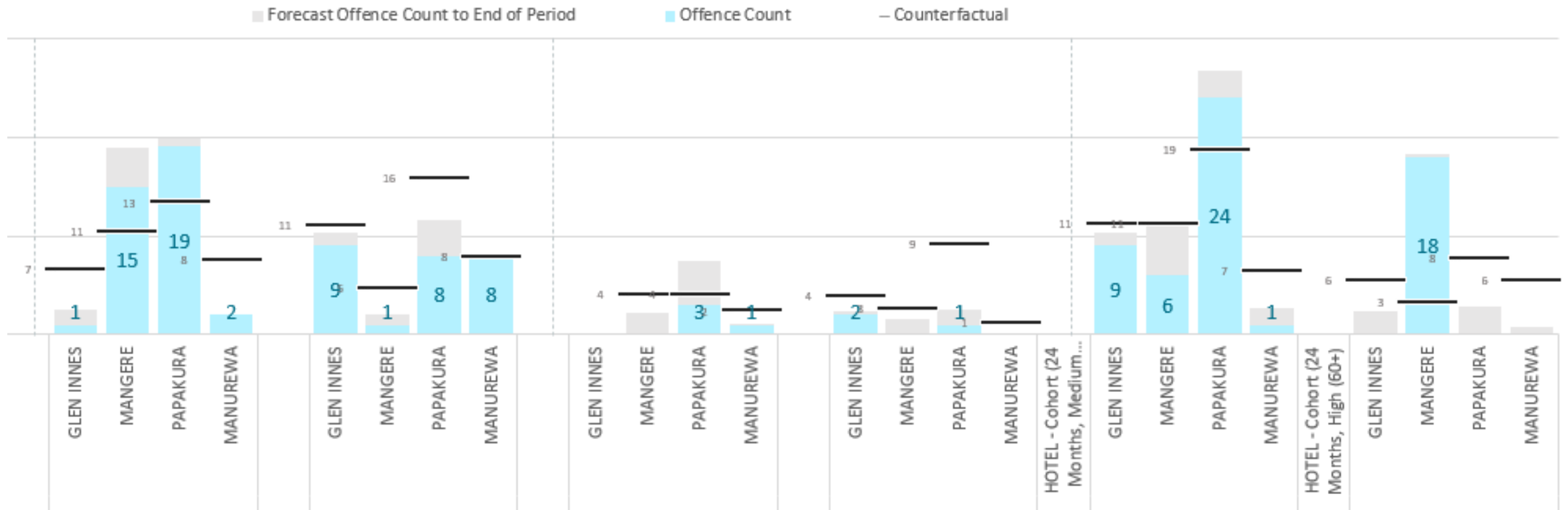
Innovation Ingredients 4: YLS/CMI criminogenic risk data

YLS Domain reduction by YORST group, 1 March 2023 to 31 August 2023 as at 26 May 2023
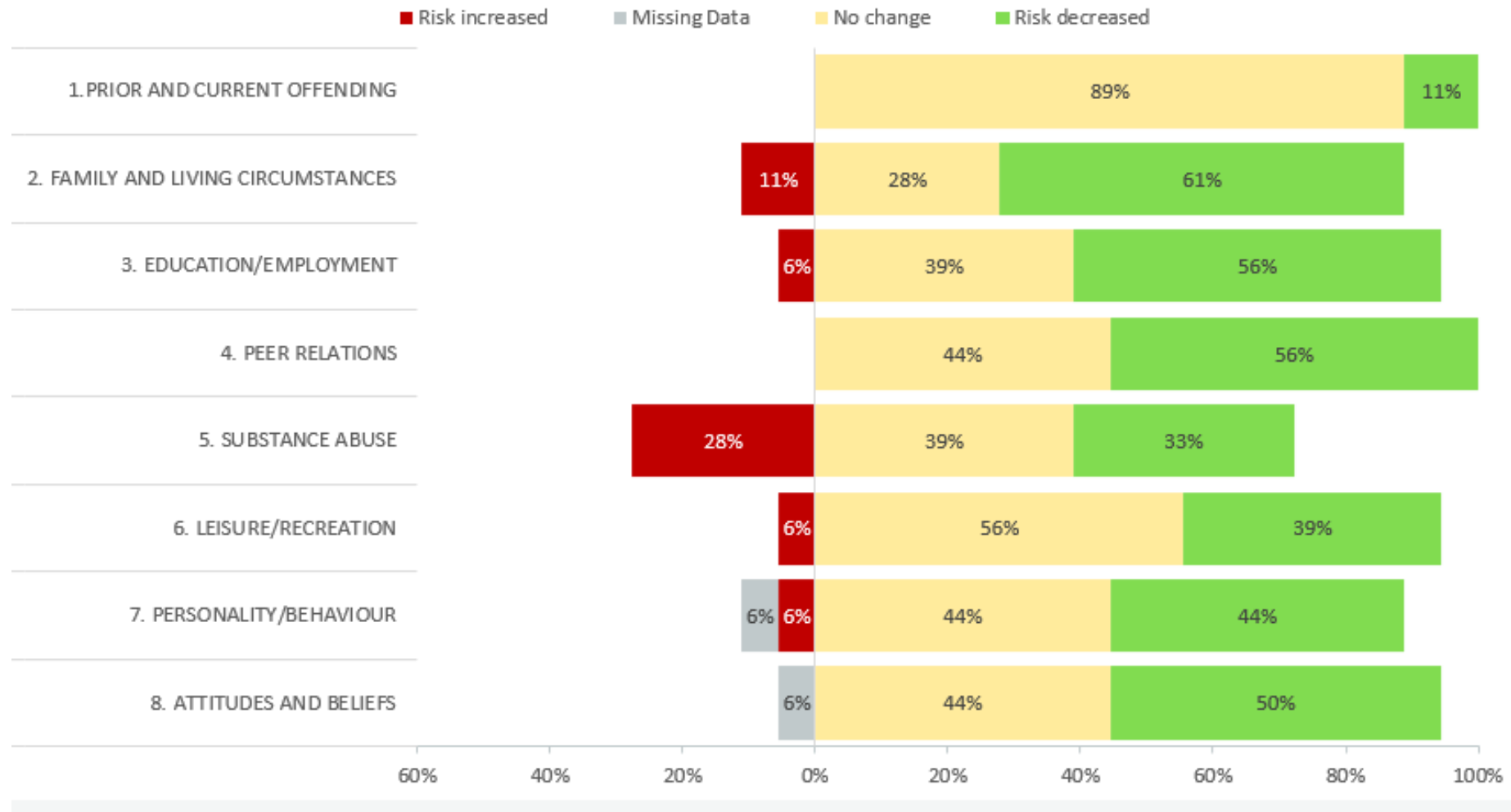
Innovation Ingredients 5: Risk data by domain and team site
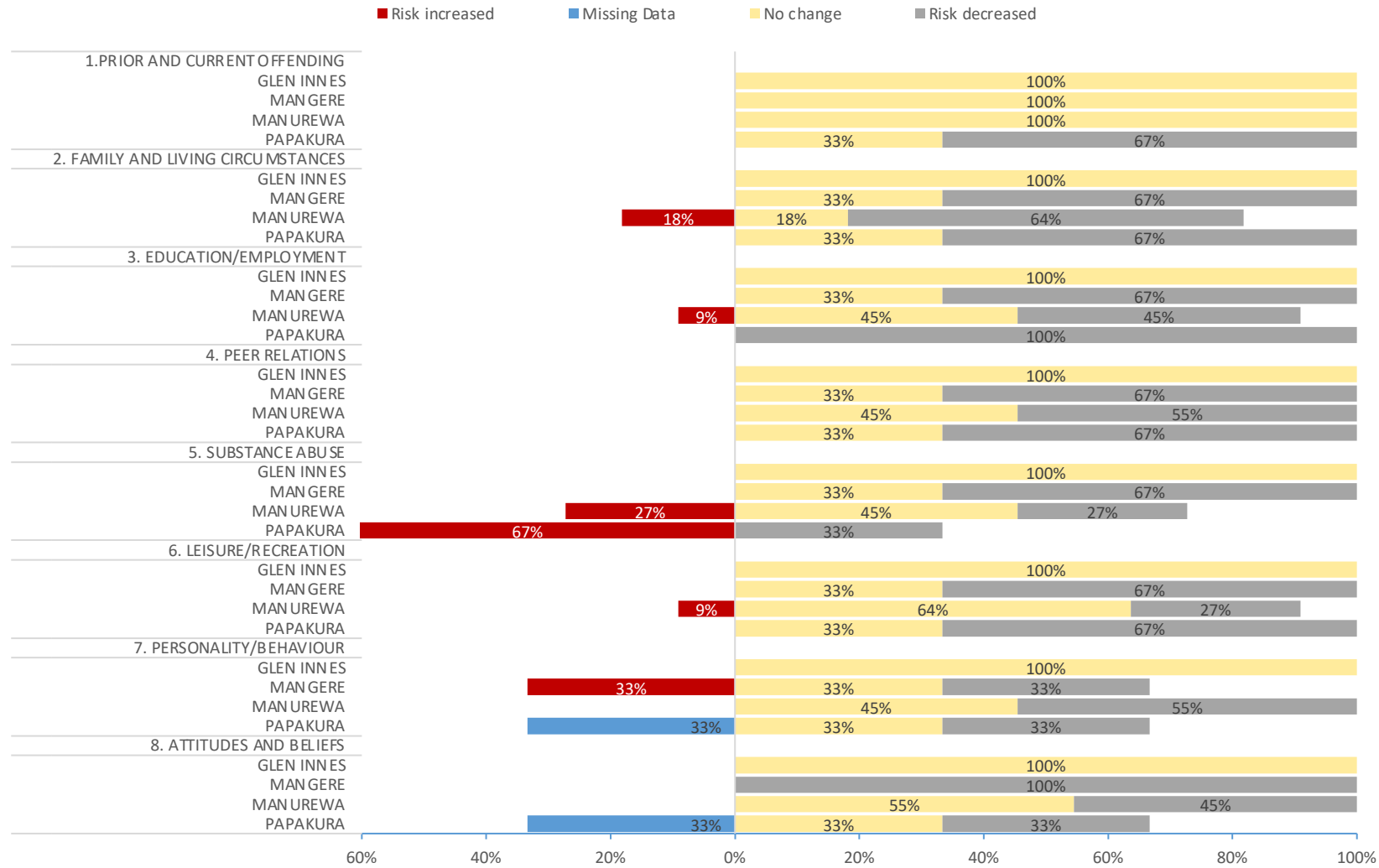
Innovation Ingredients 6: Resource application and use

Four week rolling average - weekly hours per enrolled client
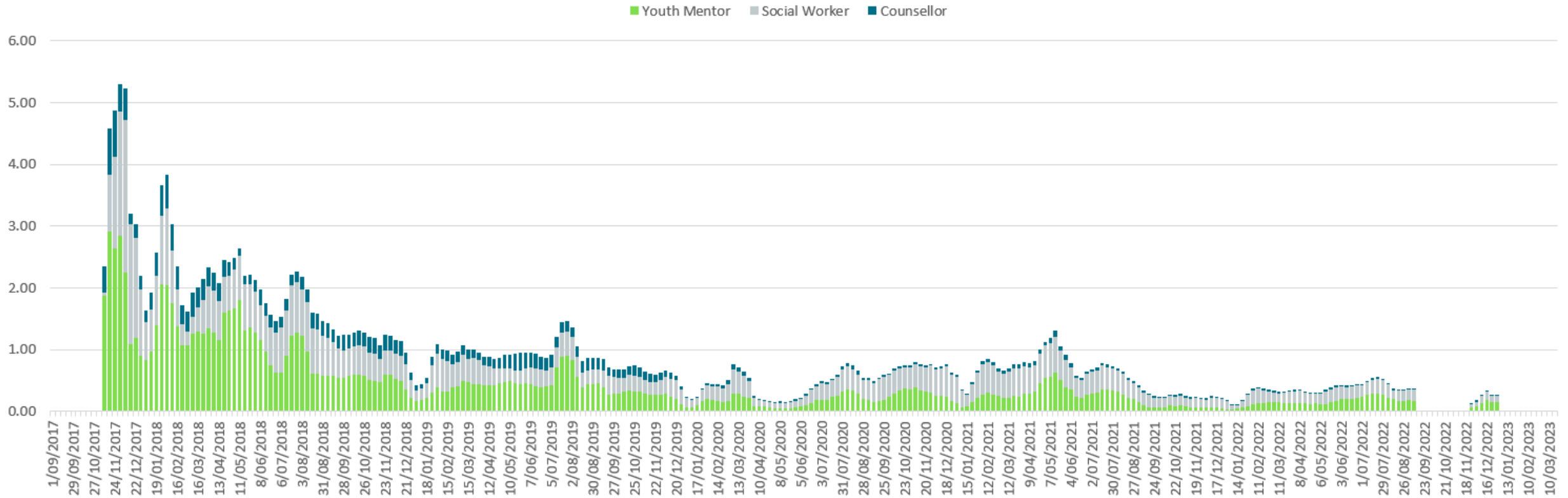
Legend: Youth Mentor · Social Worker · Counsellor

How different are the results under this social bond?

Significant reductions achieved in rates of reoffending compared to the past

Survival curve, % who did not reoffend

Genesis pre bond, % — PSM matched, % — Bond, total — Bond, High YORST — Bond, Med YORST

Improved survival rate under the social bond

Historic average survival rate

% who did not reoffend

Months from intervention start
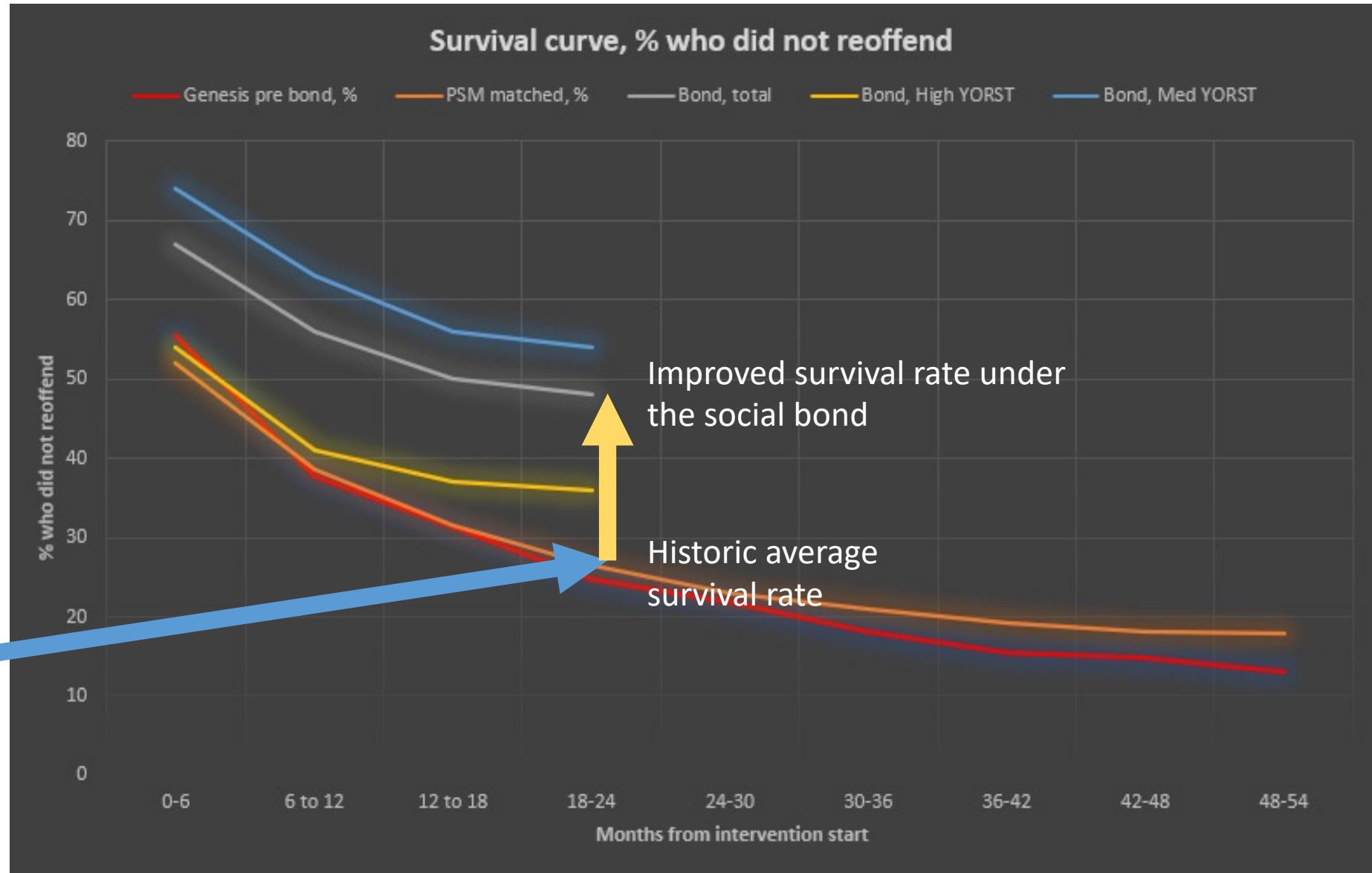
Note: a further evaluation against a contemporaneous risk-matched cohort is underway

The Skill Mill Theory of Change

- The Skill Mill provides employment opportunities in construction and water and land-based management, reducing flood risk and improving the local environment. We bring social and environmental benefits to communities by involving children in the justice system directly in the delivery of services. Each Skill Mill cohort receives six months paid employment, invaluable practical real work experience, a nationally recognised qualification, and opportunities for progression with local companies at the end of their time with The Skill Mill

Resources

Skill Mill **creates opportunity and manages the interface** between employers and young people

Staffing
- Mentoring
- **Relationships**

Key role of supervisors
Management / administration
Employers
Communities
Equipment
Expertise
Finance
Insurance
Training and Development
PPE / Uniform
Health & Safety
Youth Offending Teams
Local Authorities
Commercial Partners
Academic Partners

Activities

Skill Mills **provides young people real job opportunities** in:
- Watercourse & flood management
- Construction and ground maintenance
- Invasive species clearance

Job training
Skills development
Personal development (teamwork, problem solving)
Building portfolios (AQA)
Health and safety skills
Variety of experience
Achievable tasks
Team cohesion
Having fun whilst learning

For employers and communities:
Services and tasks in water and land-based management

Outputs

For young people:
Financial independence
Improved employability skills
Improved mental and physical health
Sense of achievement and satisfaction of a job well done
Recognition of capability accomplishing job tasks
Increased self-esteem from positive feedback - customers, partners and wider community
Better relationships with peers and families
Positive social relations

For employers and communities:

Real tasks completed,
Value for money
Trust the Skill Mill to do a good job and to manage all the risks
good quality service/product received

Outcomes

For young people:
Positive self image and identity
Feeling empowered, safe and valued
Improved self regard
Sense of achievement
Sense of purpose
Have community pride –take responsibility and ownership of their local spaces
Display kindness in their actions
They challenge the view of themselves as young offenders
Feeling trusted with a chance to prove themselves

For employers and communities:
Changes in perception about the young people
Proud of the young people
Fulfilment of corporate social responsibility agenda

Impact

For young people:
Feeling part of society and ready to contribute to local community
Increased belief in capacity to change
Belief in ability to work and succeed in life
Improved relationships
Positive outlook for the future

For employers and communities:

Improved environments
Reduction in offending 12 months after the programme
Social Return of Investment
Young people move from being seen as a challenge or a burden to their community to becoming a visible asset to their families and community

The Skill Mill supports cohorts of four young people into employment after 6 months of paid work and training

LONG-TERM HOLISTIC VISION

IMPACT

CREATE

ACHIEVE

EMPLOY

SUPPORT
Skill Mill Provides a platform for young ex-offenders to access the labour market

DEVELOP & SUPPORT
Employees gain the key skills necessary to sustain employment and achieve qualifications

Building the Corporate network which will provide the 'next step jobs to the SIB cohorts and beyond the life of the SIB

TIME

The Skill Mill is scaling its evidence-based programme, creating impact for young people across England
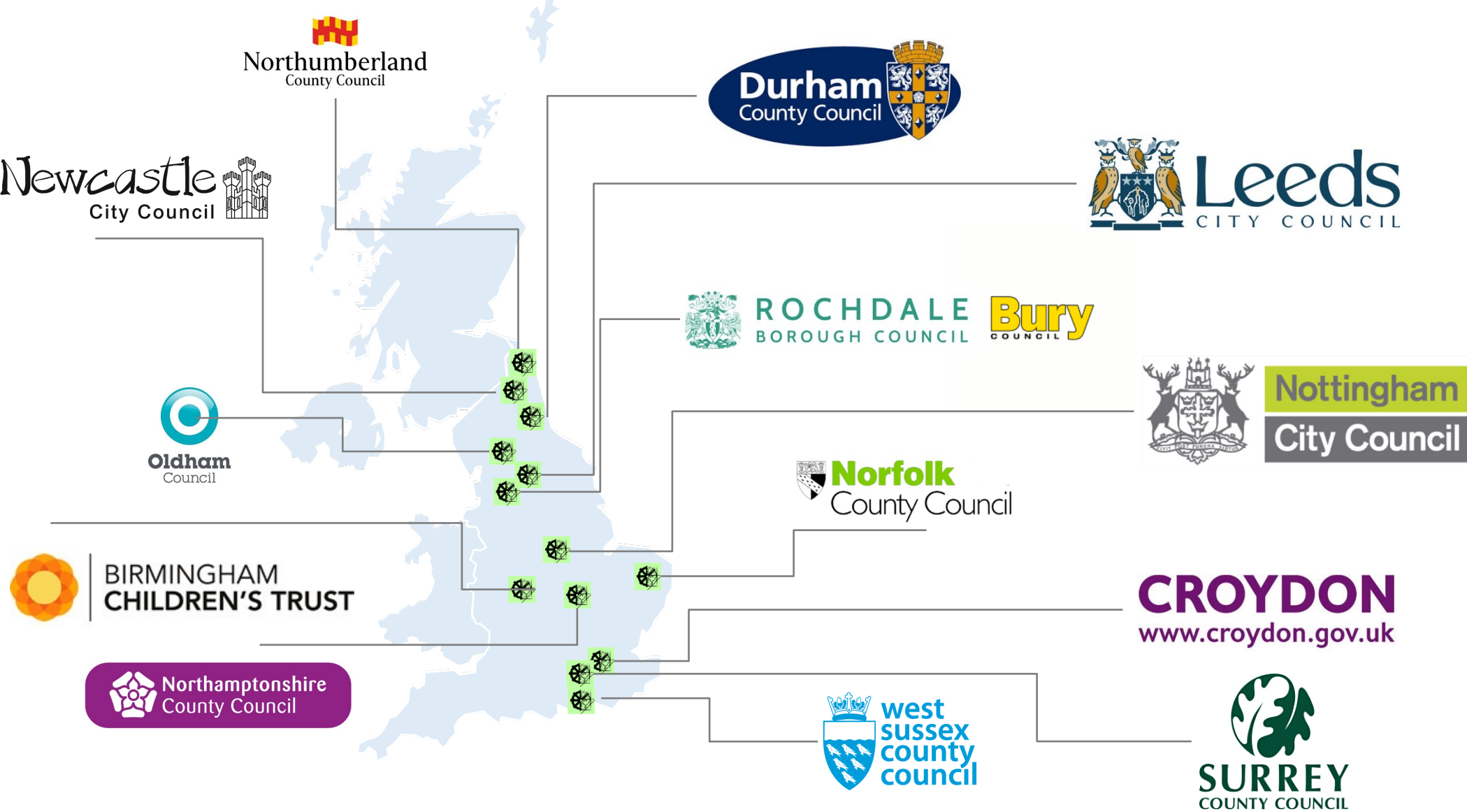
Impact

The Skill Mill has employed 393 young people in England over the past 9 years - 29 have been re-convicted. The re-conviction rate is 7.3%, compared to 72% for young offenders with 11+ convictions. 20 have been young women with zero re-convictions.

The Social Impact Bond
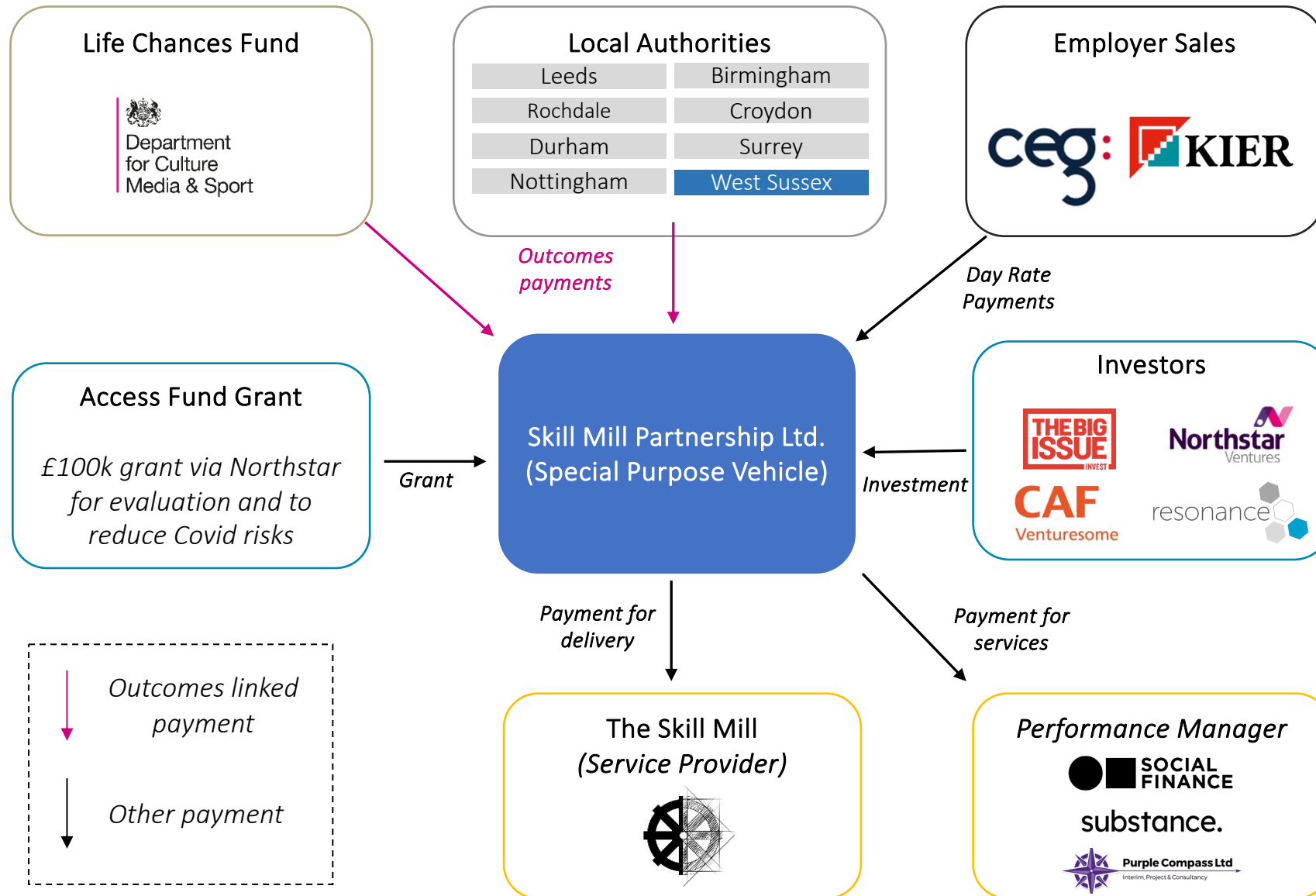
The SIB offers fantastic value for money for local authorities who only contribute 1/3 of revenue and 70% of their payments are for outcomes

Costs are met from 2/3 outcomes and 1/3 commercial sales. An "Access Foundation" grant enables evaluation and derisks potential Covid spike
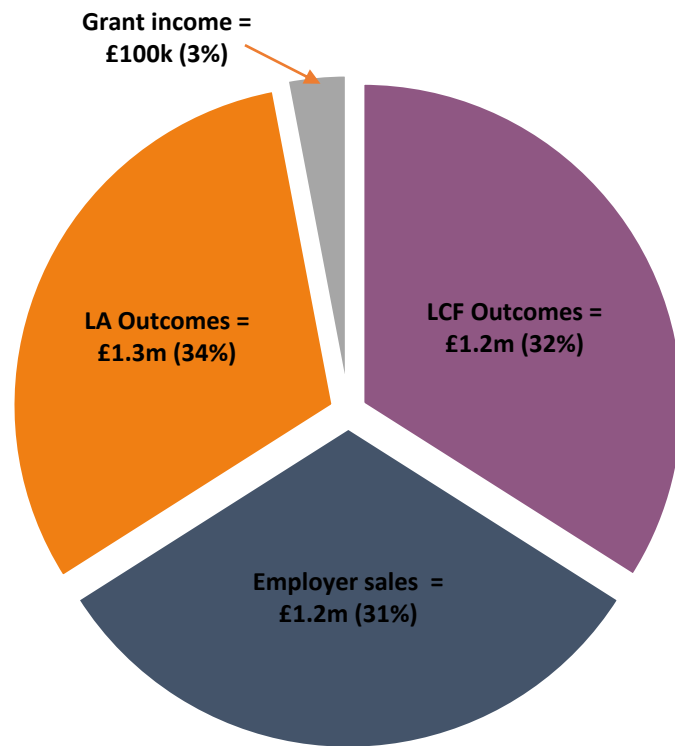
Outcomes are principally earned from reduced reoffending and securing future employment / training

Grant income = £100k (3%)

LA Outcomes = £1.3m (34%)

LCF Outcomes = £1.2m (32%)

Employer sales = £1.2m (31%)

Reduced reoffending (41%)

Secures job or training (29%)

Qualification achieved (20%)

Completes 6 month programme (5%)

Completes induction (2%)

Recruitment onto Skill Mill (2%)
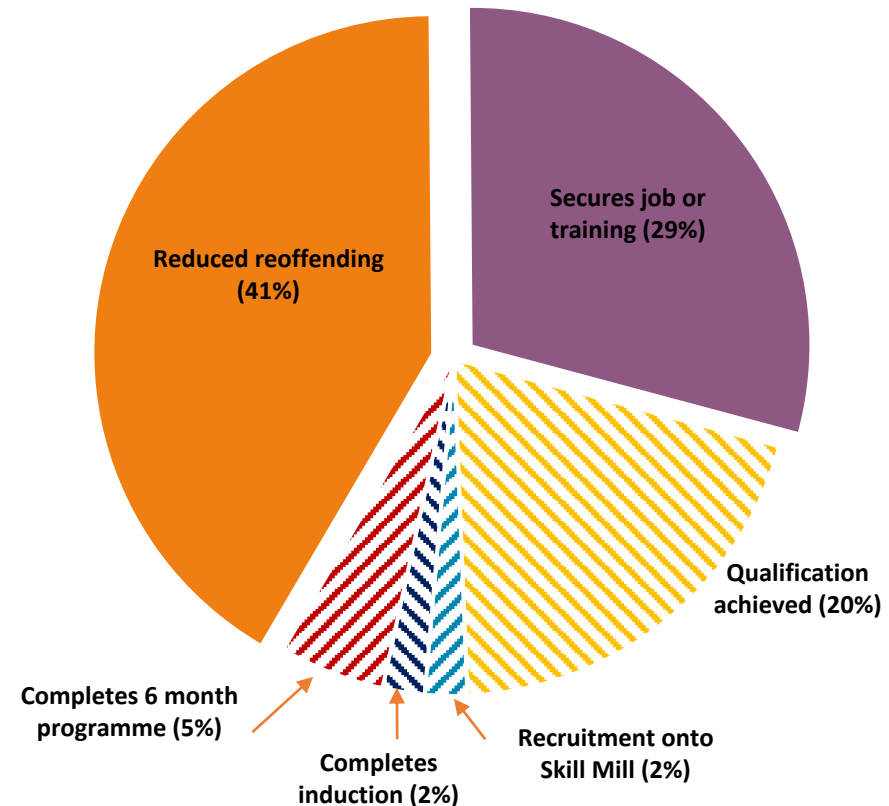
Notes:
- The above is based on the financial model's base case (excl. VAT)
- LCF pays 43.8% of outcomes
- Employees pay day rates for Skill Mill teams of 4 and supervisors of up to £500 / day

228

Planned versus actual payments

Skill Mill started delivering services in August 2020 and will finish in September 2024. Data was last updated in December 2022. These are interim results.

Show all ▼   Legend   Scenarios

— The Skill Mill

Percent outcome payment of maximum potential

Days since start
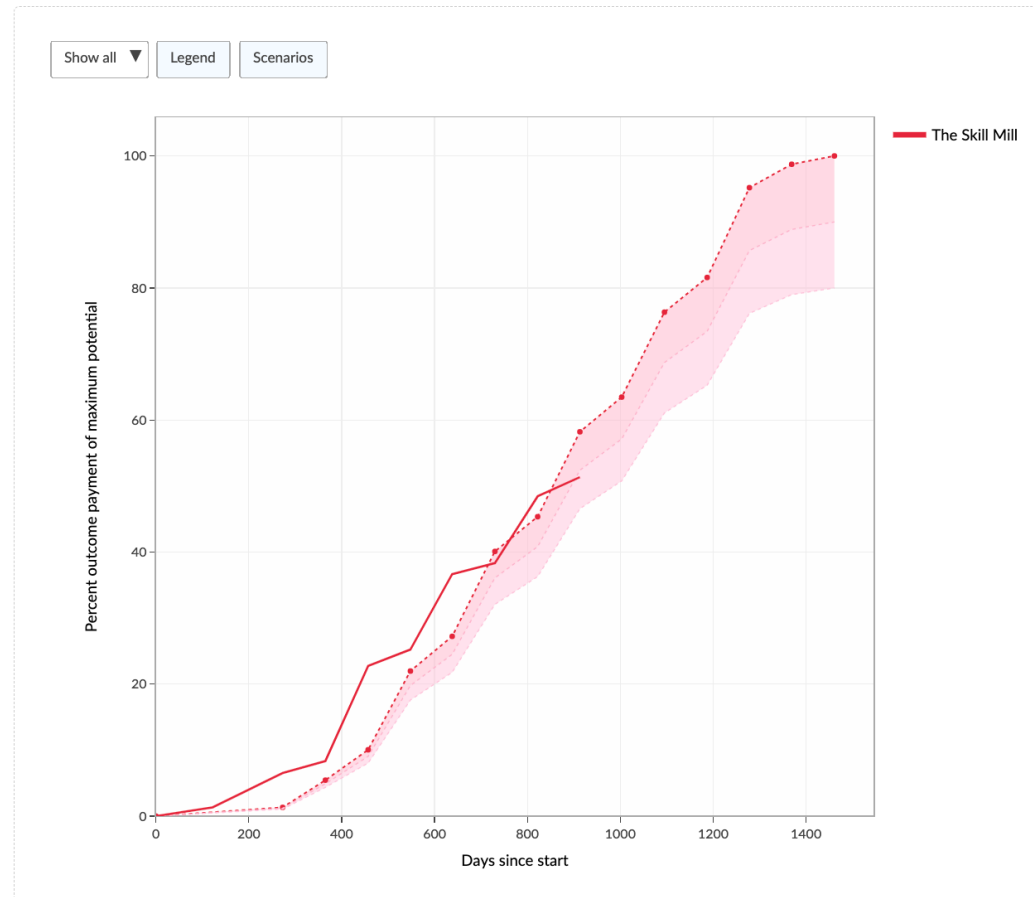
Generated using lcf sandbox data where applicable

More details

"We are proud to have worked alongside Skill Mill for 6 years. They provide a win-win service that delivers professional site logistics support whilst also providing opportunities for your people to make a real difference in their lives, learning skills, gaining confidence and contributing to society".

Lucinda Yeadon
Commercial Estates Group

The Skill Mill is a Gold Member of Constructionline. We are the first and only Social Enterprise in the country to achieve Construction Line Gold Accreditation.

Constructionline
Gold Member

Social Enterprise UK
Certified Member
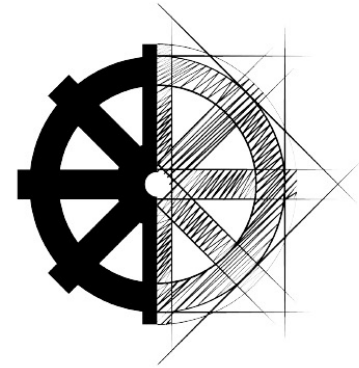
THE SKILL MILL

The Social Enterprise Providing Employment for Young People in Construction

The Skill Mill assists developers and contractors delivering section 106 obligations. Additionally, The Skill Mill will help you achieve 5 star rating for Considerate Constructor.

The Skill Mill deliver site logistics at commercially advantageous rates whilst making a difference to young people's lives. We enhance the profile of developments and construction sector as a result of the social value achievements. The pathways for our young people into the construction sector address the skills gap – **the try before you buy approach that ultimately benefits the contractor!**

✉ info@theskillmill.org

🌐 www.theskillmill.org

🐦 @The_Skill_Mill

f /TheSkillMillUK

THE QUEEN'S AWARDS FOR ENTERPRISE: PROMOTING OPPORTUNITY 2021

THE QUEEN'S AWARDS FOR ENTERPRISE: SUSTAINABLE DEVELOPMENT 2021

What is The Skill Mill?

The Skill Mill Limited is a Not-For-Profit Social Enterprise aiming to provide training and employment to enable young people aged 16-18 with a history of offending to change their lives. The model was established in the North of England and following successful outcomes has rapidly expanded across England.

Young people are recruited through the Youth Justice Service. The model is a 4-day working week on site with a day spent participating in training and education, although this is flexible depending on the needs of the job. The Skill Mill will provide:

- A team of four young people with a supervisor on site
- Risk assessments
- Delivery of work on site to an agreed standard
- Van, protective clothing, liability insurance and equipment for the young people
- Mentoring support and pastoral care to the young person to enable them to fulfil their work commitments and progress to training/employment
- Contact points and regular review of progress
- Participation in publicity work as appropriate
- Education placements for the young people

The Skill Mill has Health & Safety and related policies, available upon request and public insurance liability cover. All supervisors are CSCS accredited, and our young people are working towards the same.

Examples of work that can be undertaken include:
- *Repairing dry stone walling*
- *Bench building and installation*
- *Tree work*
- *Fence repairs*
- *Hedge laying*
- *Garden maintenance and landscaping*
- *Vegetation clearance work*
- *Cleaning services*
- *Buildings, general painting and decorating*
- *External site maintenance, painting of railings, bridges, concrete etc*
- *Ground maintenance*
- *Site clearance work*

Why work with the Skill Mill?

The Skill Mill innovatively brings together the private, public and voluntary sectors to co-produce an approach to reduce crime, increase community safety, improving the lives of young people and the local community. We help to remove the barriers to employment by providing a real opportunity to gain education and employment and access to the wider labour market. We positively challenge any discrimination the young people face and raise aspirations.

The work of The Skill Mill is intimately connected with the UN Sustainability Development Goals.

Welcome to SOC23

- Live from the Blavatnik School of Government in Oxford and online on Zoom

- If you are joining us in-person, you can still join Zoom BUT **please keep your speakers muted.**

- We will stop throughout the session to take questions both from the online and in-person participants.

- Do use the Zoom chat to introduce yourselves and to share your thoughts and questions; on Zoom, please make sure we can see your name & organisation.

- All sessions will be recorded and shared on the GO Lab website.

- Programme, slides and Zoom links are all on the GO Lab website.

- The GO Lab team is ready to help you both online and in-person.

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Putting the puzzle together - piecing together data and evidence in outcomes-based contracting

@golaboxford

golab.ox.ac.uk

Why do we publish this data?

Life Chances Fund learning agenda: we expect that this data will turn into insights, and insights will turn into learning

Demonstrate impact: we want to show how projects achieve social impact in a standardised way

Accelerate collective learning: we want to be helpful to practitioners and policy makers designing new programmes

Outcome achievements

Skill Mill started delivering services in August 2020 and will finish in September 2024. Data was last updated in June 2023.

These are interim results.
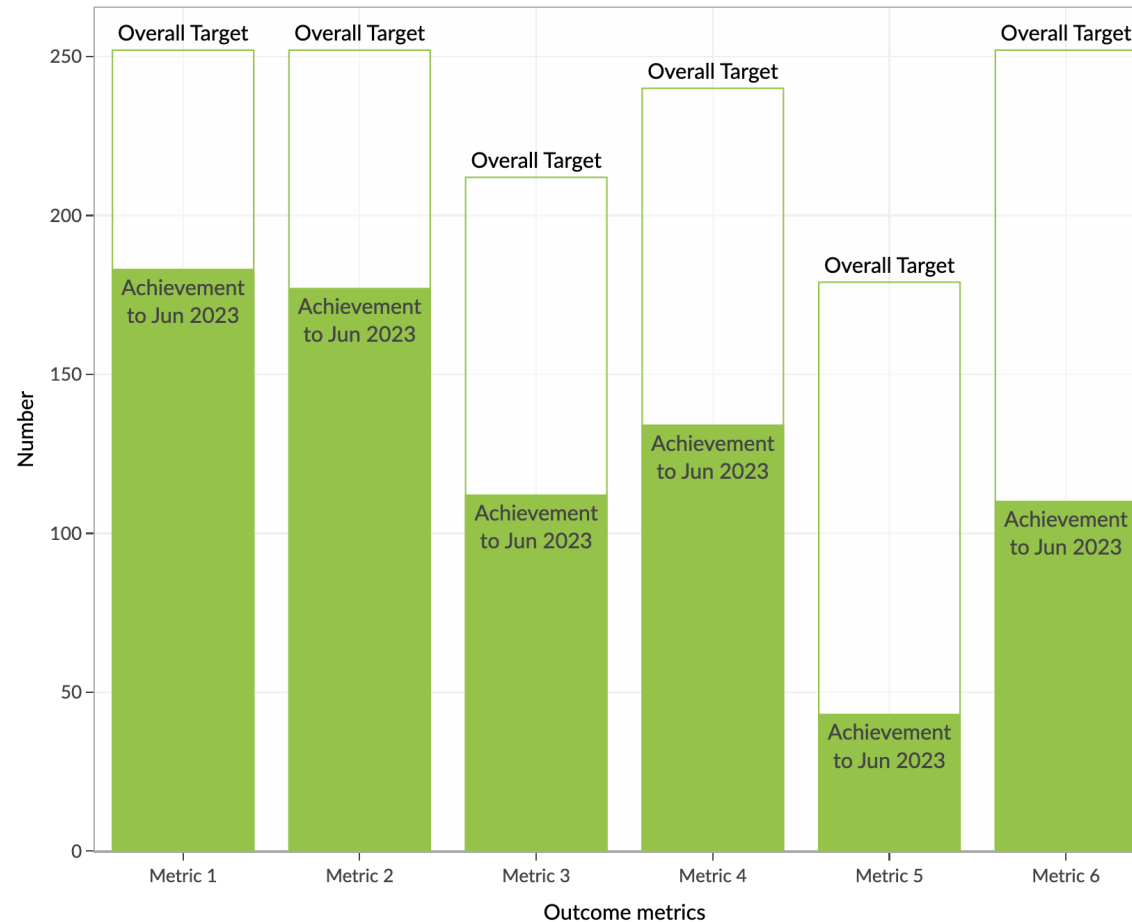
How to interpret this graph

Outcome payments

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These are interim results.
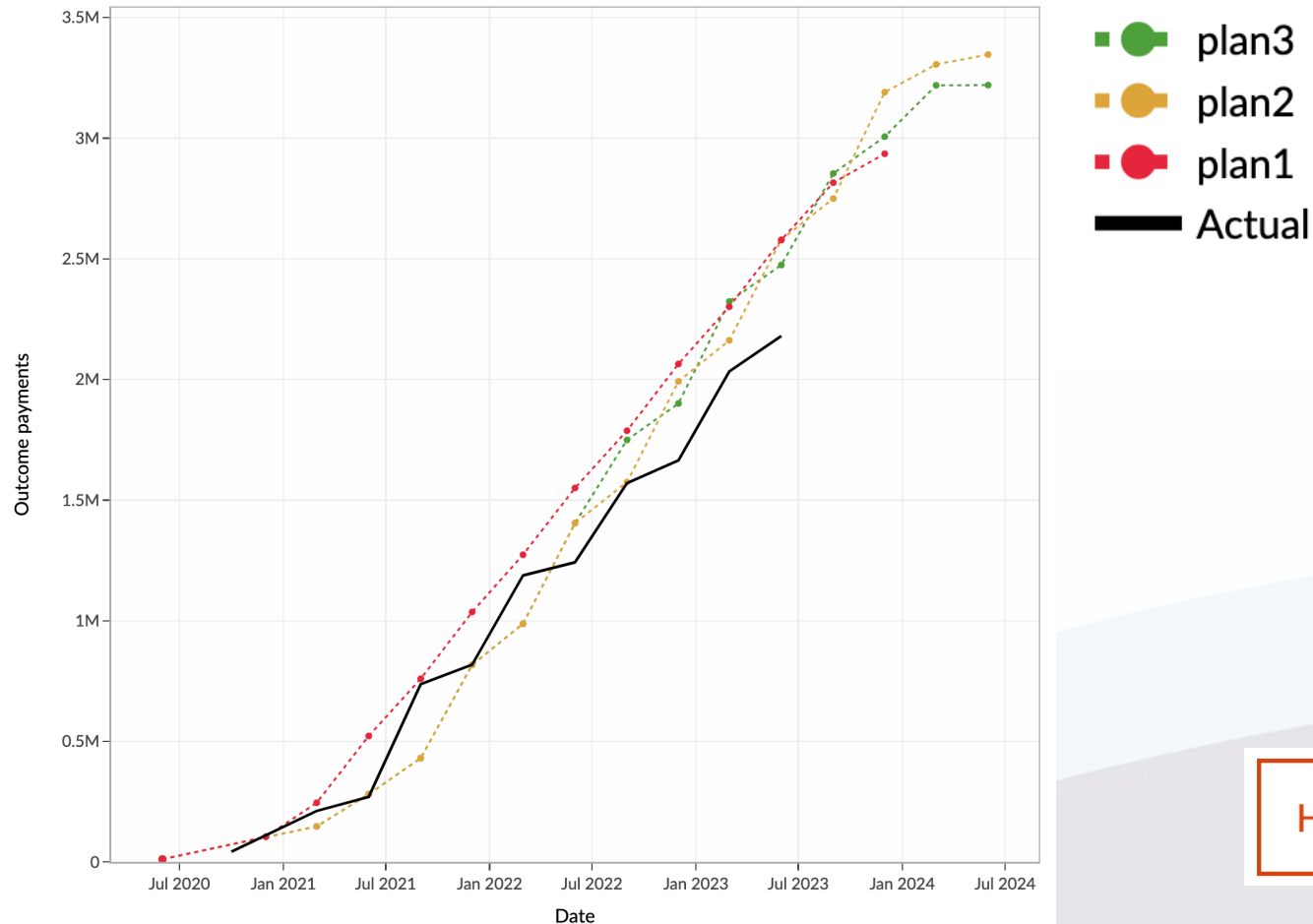
How to interpret this graph

Questions for reflection

What other data points should we focus on to provide a more nuanced image of a project's performance?

How much of the story of these projects can be shown in a standardised way?

How can we make sure that this data is translated into insights and learning?

Lunch break

UP NEXT:
Social Impact Poster
Gallery from 12.45 BST

Deep Dives from 14.00 BST

Check out the programme
& choose your session

#SOC23

BLAVATNIK SCHOOL OF GOVERNMENT & ONLINE

Thank you!

We would love your feedback:

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#SOC23
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Deep Dive 2.4

Investing in mental health and disability: how outcomes-focused financing can support and advocate for systemic change

Chair: Emily Hulse
University of Oxford

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#SOC23
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Structure

4 presentations 2pm-3pm

- Modelling the Global Cost, the RoI of mental health services, and outcomes contracting to improve mental health
- A Study of the Service Reform Fund: Understanding Reform in National Systems
- Henry Smith Programme: Building evidence around advocacy for learning disabilities & autism
- Health Finance Institute: Blended Finance: Bridging Funding Gaps for Mental Health Initiatives

1 Panel Discussion 3pm-3:30pm

Tanyah Hameed

Dr Andrea Feigl

Shomsia Ali

Dr Niamh Lally

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Modelling the global cost of mental health

The **Institute for Health Metrics and Evaluation (IHME)** was founded in 2007 with the mission to provide comprehensive data and analytics to support global efforts to improve health.

The GBD study led by IHME is a tour-de-force in descriptive epidemiology – an effort to systematically quantify health loss due to all diseases, injuries, and many risk factors, for each country and many subnational areas, by age and sex, and over time (1990-2050) by synthesizing all available input sources.

IHME tracks all aspects of health, and our focus on brain health encompasses neurological, cerebrovascular, and mental health disorders.

The **Brain Health Initiative** was established in 2022 to provide effective evidence for decision-makers and communicate the urgency of brain disorders.
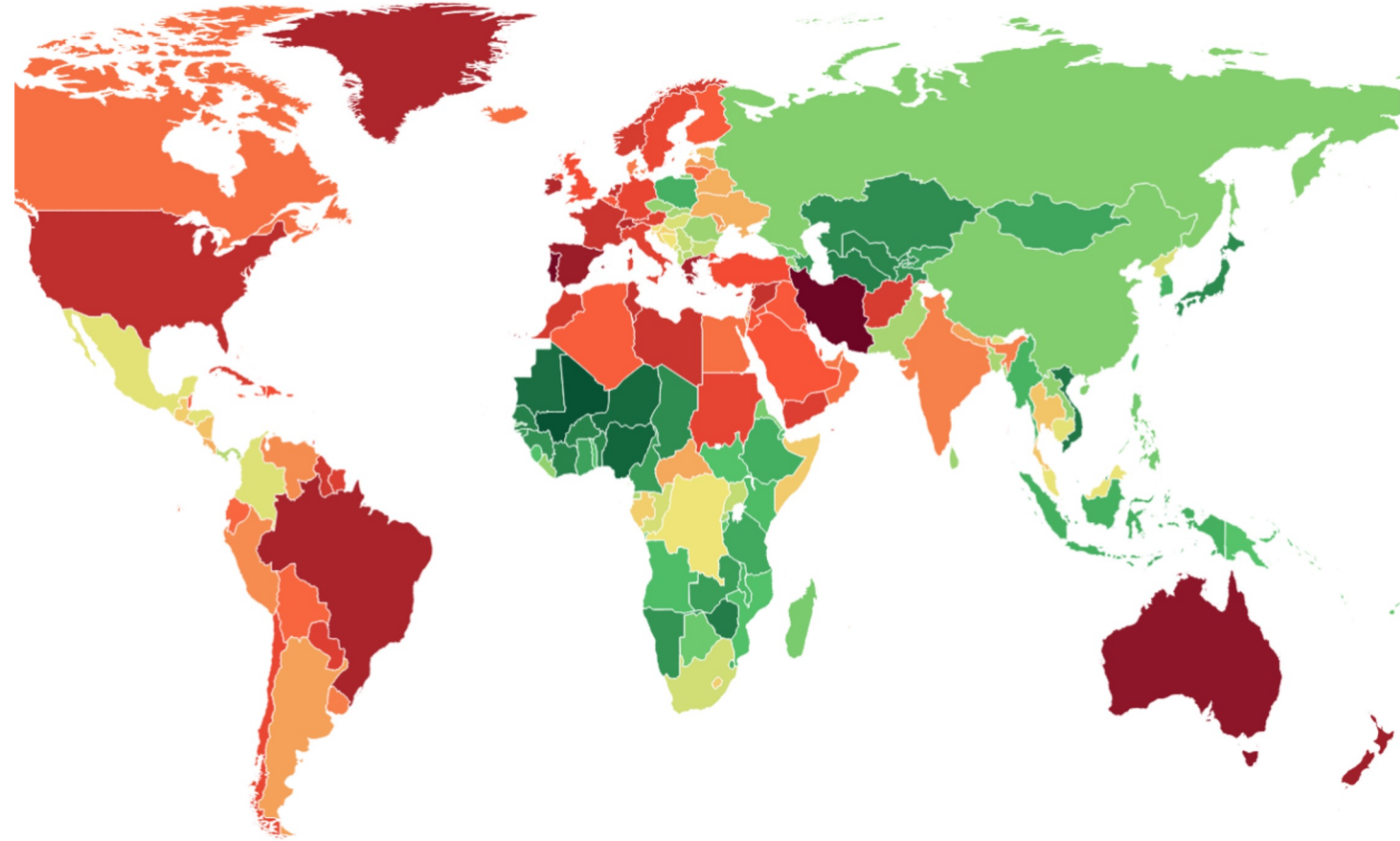
Prevalence rate (per 100,000) of mental health disorders (2019)

IHME's standard GBD estimates allow to describe variation in disease burden by age, sex, and geographic location, and to evaluate trends over time.

Mental health affects people of all ages and sexes, though each individual condition has its own age and sex pattern.

In Europe, we estimate:

- 43.5 million people living with anxiety (↑14 percent since 1990
- 38.7 million people living with depressive disorders (↑13 percent since 1990)
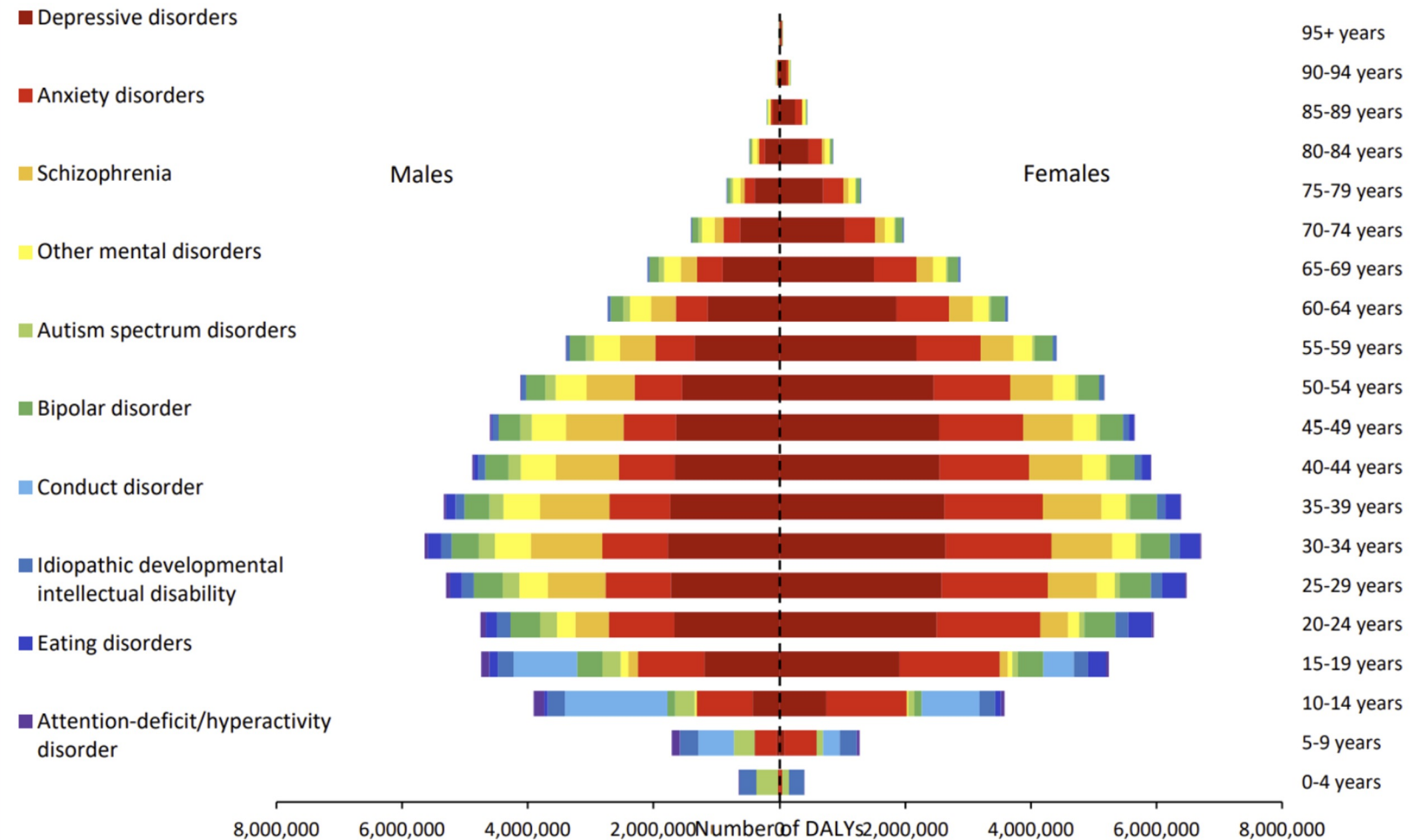
Global Disability adjusted life years (DALYs), by mental disorder, age, sex in 2019

There has been a substantial increase in the prevalence and burden of major depressive disorder and anxiety disorders as a result of the COVID-19 pandemic.

Percentage change in prevalence
- <10·1%
- 10·1% to <13·6%
- 13·6% to <17·3%
- 17·3% to <19·2%
- 19·2% to <22·1%
- 22·1% to <25·4%
- 25·4% to <29·2%
- 29·2% to <35·0%
- 35·0% to <38·7%
- ≥38·7%

Change in the prevalence of major depressive disorder after adjustment for the COVID−19 pandemic, 2020

IHME | UNIVERSITY of WASHINGTON

Institute for Health Metrics and Evaluation

There has been a substantial increase in the prevalence and burden of major depressive disorder and anxiety disorders as a result of the COVID-19 pandemic.

Percentage change in prevalence

- <9·7%
- 9·7% to <14·0%
- 14·0% to <16·7%
- 16·7% to <19·1%
- 19·1% to <21·2%
- 21·2% to <25·6%
- 25·6% to <28·8%
- 28·8% to <32·3%
- 32·3% to <36·4%
- ≥36·4%
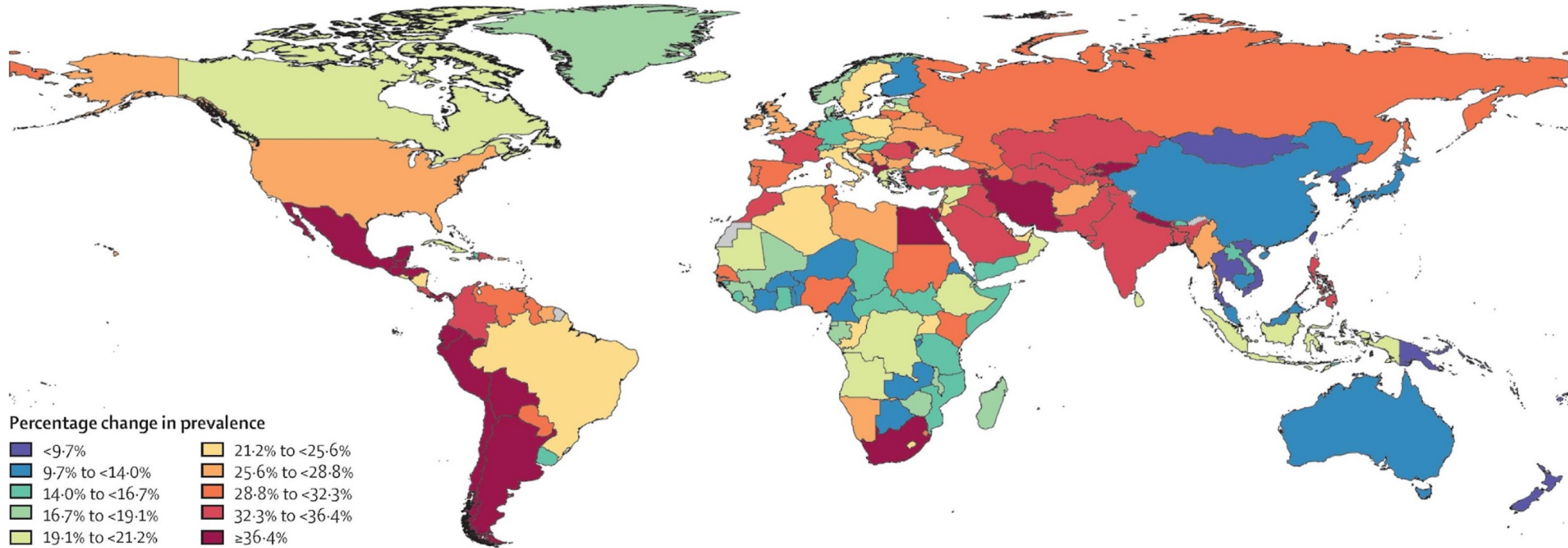
Change in the prevalence of anxiety disorders after adjustment for the COVID−19 pandemic, 2020

The groups hardest hit by anxiety and depression due to COVID are younger people and women.

Younger people were more affected by major depressive disorder and anxiety disorders in 2020 than older age groups. The additional prevalence of these disorders peaked among those aged 20-24 years (1,118 additional cases of major depressive disorder per 100,000 and 1,331 additional cases of anxiety disorders per 100,000) and declined with increasing age.

Among women, there were almost 52 million additional cases of anxiety disorders and more than 35 million additional MDD cases present in 2020, compared to 2019. Mental disorders were anticipated to have a greater impact on females as they are more likely impacted by the social and economic consequences of the pandemic, specifically as challenges like school closures

Younger people were hardest hit

Additional prevalence due to COVID-19, by age

Major depressive disorder

Anxiety disorders
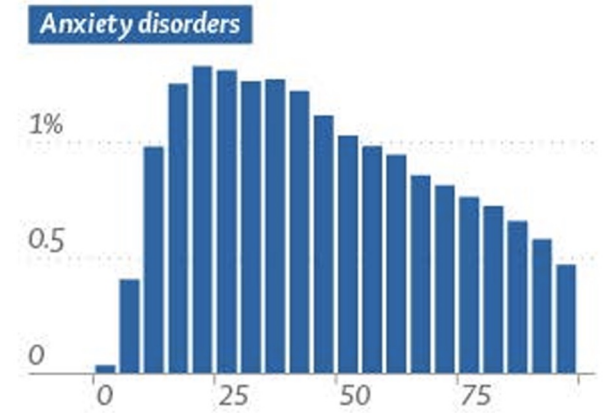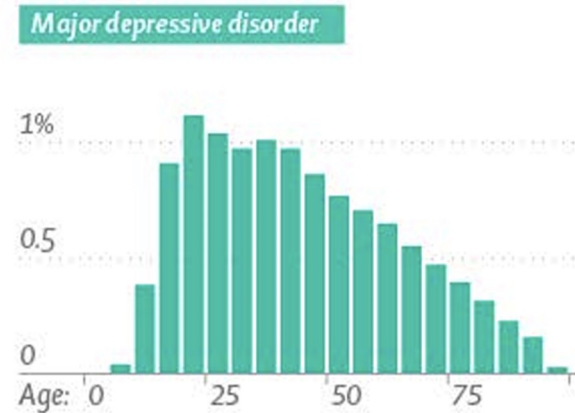
Increases were higher among females than males

Additional cases due to COVID-19, by gender

Major depressive disorder

35·5m Female   17·7m Male   Total 53·2m

Anxiety disorders

51·8m Female   24·4m Male   Total 76·2m

IHME | UNIVERSITY of WASHINGTON
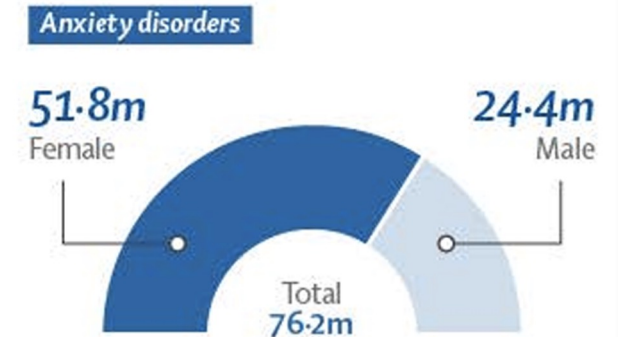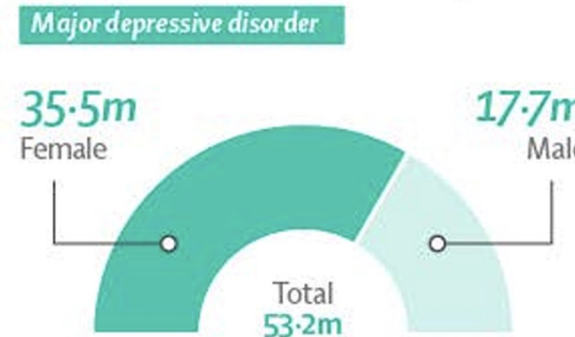
Shayla Smith, MPH

Institute for Health Metrics and Evaluation at the University of Washington

services@healthdata.org

7.9 billion people. 1 data set.

Estimating the RoI of successful mental health policies/responses

Associated physical disorder burden is a major driver of lost years, contributing an additional 150M DALYs to primary mental and substance use disorder burden

Mental and substance use disorder burden by type and condition

Total Burden
337M DALYs

Primary burden from mental and substance use disorders (54%)

Associated burden from mental disorders (24%)

Associated burden from substance use disorders (21%)
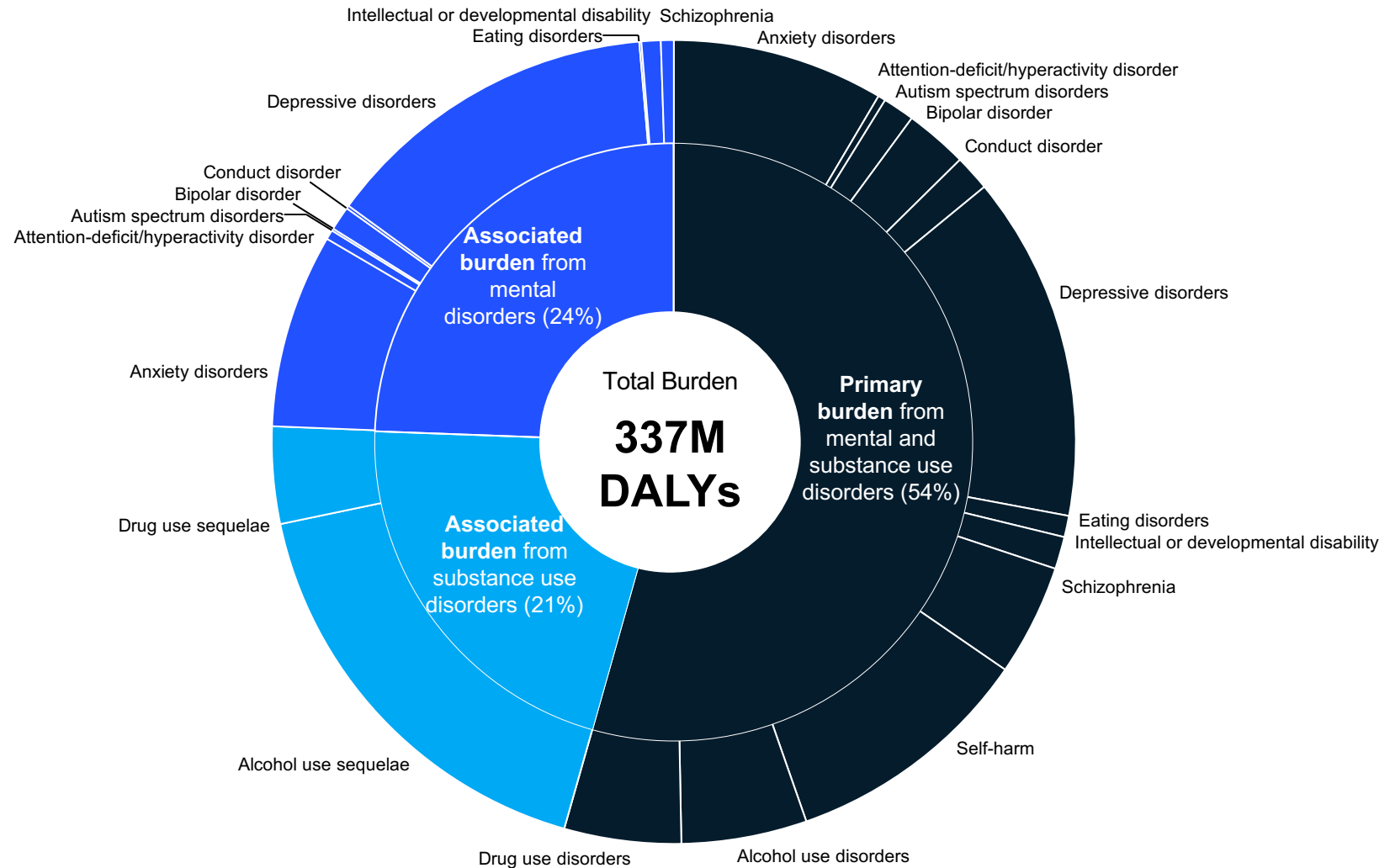
By scaling evidence-based interventions in mental health, society can reclaim between ~140-200M life years globally

✳ Details follow

Addressable burden for mental and substance use disorders
Millions DALYs

Intervention type
- Behavioral/preventive
- Psychotherapy
- Pharmacotherapy
- Social support

337

138

204

Total burden (2019)[1]

Conservative estimate[2]

Aspirational estimate[3]

% of total

~40%

~60%
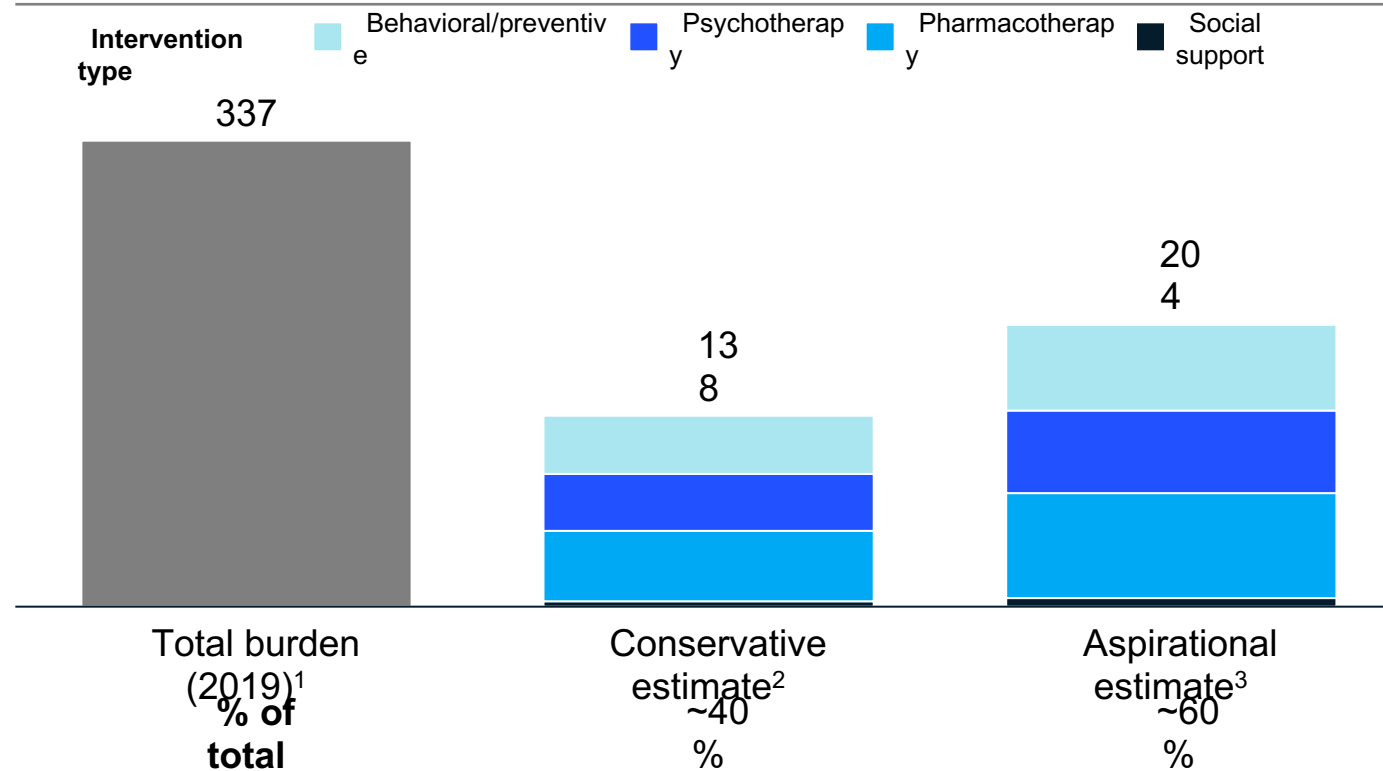
Reclaiming years could mean…
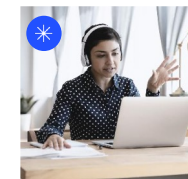
✳ **Greater economic output** from higher workplace presenteeism

Reduced wasteful expenditure in social systems that leads to more efficient reallocation

✳ **Higher educational attainment** from greater attentiveness in schools
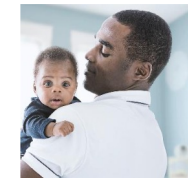
Additional holidays and birthdays celebrated with loved ones

1. Includes both primary mental and substance use disorder burden as well as the associated physical disorder burden (e.g., cirrhosis from alcohol use disorders, exacerbated diabetes from comorbid depression)
2. Assumes that all countries want to prioritize brain health and create enough supply, but start at different places in infrastructure. Country income groups act as a proxy for infrastructure (eg, high-income countries currently have infrastructure that is relatively mature).
3. Assumes that all countries can deliver interventions effectively to patients who want them (ie, demand is the limiting factor). Country income groups act as a proxy for potential demand (eg, high-income countries may have greater acceptance of and access to certain pharmacotherapies).

Source: IHME Global Burden of Disease 2019; McKinsey Health Institute

Evidence has shown there is very positive return on investment to mental health with modest cost

By investing a modest cost per capita…

$1-2

Cost per capita per year, low income countries

$3-4

Cost per capita per year, middle income countries

+$10

Cost per capita per year, high income countries

…society can see a boost to the economy

$4-5

Return per dollar invested in treating anxiety and depression, on average

~$24

Return per dollar invested for children and adolescents over 80 years through higher educational attainment and lifetime productivity

However, funding has been low across sectors

2%

Government spending on mental health of total health budget, 2020

0.3%

Developmental assistance on mental health of total health funds, 2021

Despite evidence of return, mental health has generally struggled to receive appropriate funding and when it has, it has had mixed success.

What is holding society back?

Source: Chisholm et al, Lancet Psychiatry 2016; OECD/EC, Health at a Glance 2018; Levin and Chisholm, 2016 (DCP-3 Volume on MNS disorders); Stelmach R, Kocher EL, Kataria I, et al. BMJ Global Health; WHO Mental Health Atlas 2020; IHME Financing Global Health database

Using outcomes contracting to improve mental wellbeing and disrupt systems

The challenge

Poor mental health is a **huge global cost and risk.**

There is an opportunity to deliver a **significant Return on Investment** in improved mental health.

There is **massive waste** in grant making and public expenditure, with **poor contracting** and **inadequate performance management.**

There are no '**outcomes funders**'.
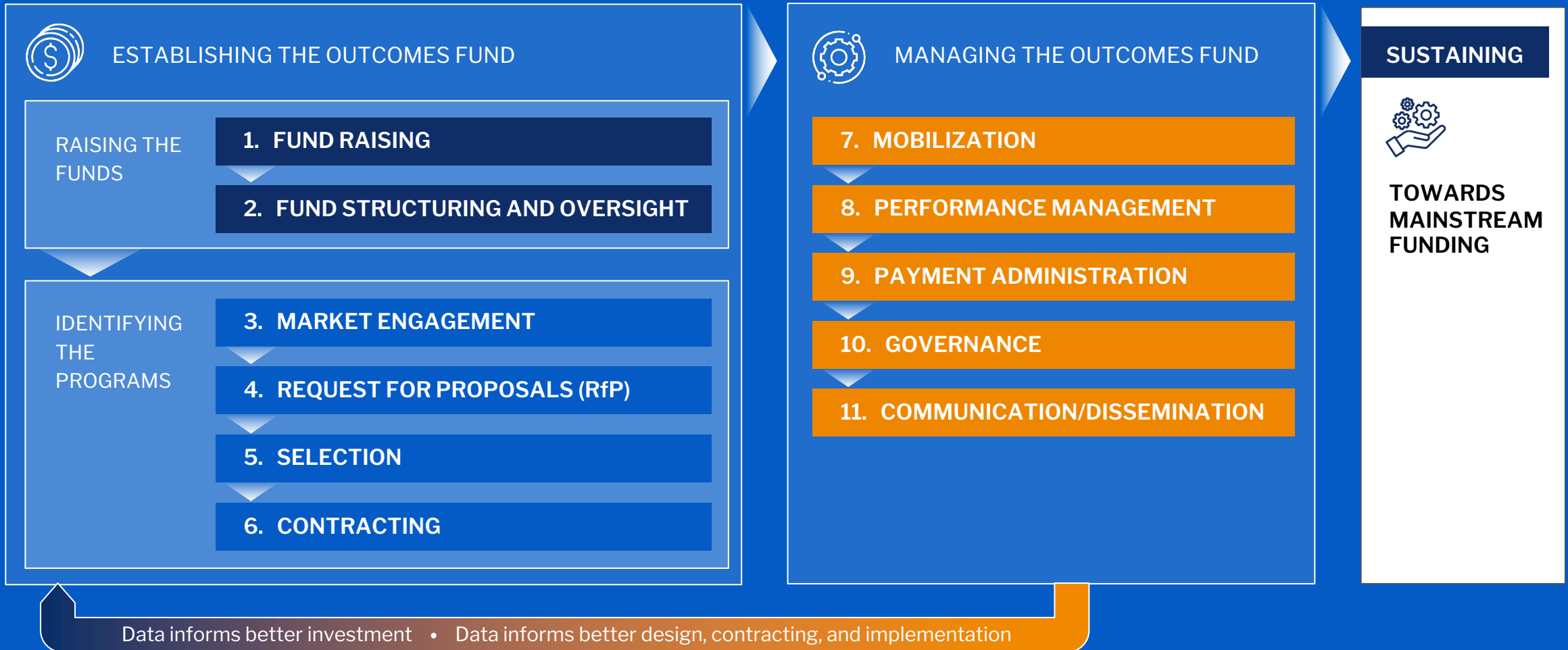
HBGI

Outcomes Fund for Sport & Mental Health

In collaboration with UNESCO

Outcomes Fund for Maternal Health & Immunization

In partnership with Anglo American Mining

Outcomes Fund for Youth & Mental Health

To be shaped by a youth-led survey of youth concerns and desired outcomes, in partnership with World YMCA

Outcomes Fund for Climate Change & Mental Health

To start by mapping the intersection between climate change and mental health, and financing tools being used in the climate space

Outcomes Fund for Technology & Mental Health

Under development

Outcomes Fund for Veterans

To be developed

Outcomes Fund for the Arts, Culture & Mental Health

To be developed

170,000 homeless people in California

Photograph: Richard Vogel/AP

Wider messages for the 'outcomes community'

o **Focus on service users** and on **the outcomes** that matter to them.

o First, **decide what success looks like**, then decide the **best way to contract it/pay for it.**

o Good contracting **connects payments to delivery**, **mitigates the risks** (e.g., of fraud or failure), **aligns incentives** (around the service user), and **drives frontline behaviour**/performance.

o Stop reinventing the wheel. Keep it **simple**.

o **Impact Bonds** are just a way to address the 'cash gap'.

o **Minimize waste**.

o **Track, report, review, revise performance** (operational and financial).

Richard Johnson

CEO

richard.johnson@hbgi.org
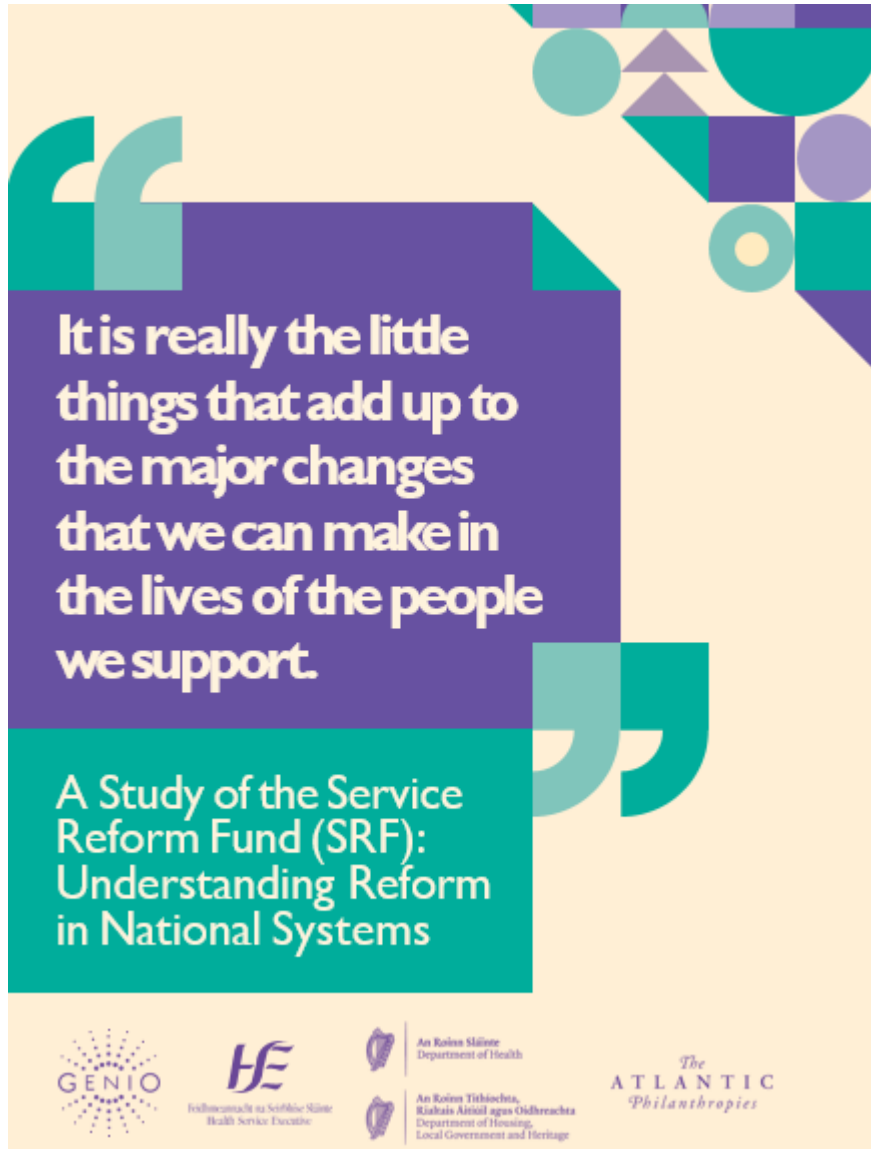
A Study of the Service Reform Fund can now be downloaded on the [Genio Website](#)

"Action Research acts like a smoke detector. It will tell us when things are going wrong so that we can take corrective action to make sure the programme stays on track."

Homeless (Housing First) service reform

Compass vs map

"Taking the following steps will lead you to your goal"
– The logic of a map

"Here is your goal – now it's your task to find the way to it"
– The logic of a compass

The *4 ft²*

*"look at **four-foot** around you metaphorically that you can **manage and control and change**, show me one thing and then bit by bit we'll **add them all up**".*

(Mental Health)

Service Reform Fund Methodology

- Fidelity & Evidence
- Competitive Grants
- Action research; CoP
- Risk positive practice
- Capacity building

Shift in staff perspective

"*I didn't realise really how institutionalised I'd been in my thinking and that has been chipped away constantly and daily.*"

(Homeless)

"*I've known this lady for **30 years**, and I've **learnt more** in the last **six months** than I ever knew about her... I've known her as a **patient** or a client, but I had no idea **who she was** or what she was **capable** of*".

(Disability)

Conclusion:
Start at the end … beneficiary.

► build constructive pressure to engage with reform

► build in service user engagement at the heart of reform

► pave the way for staff to witness the capacities of the people they

support

► change the hearts and minds of frontline workers
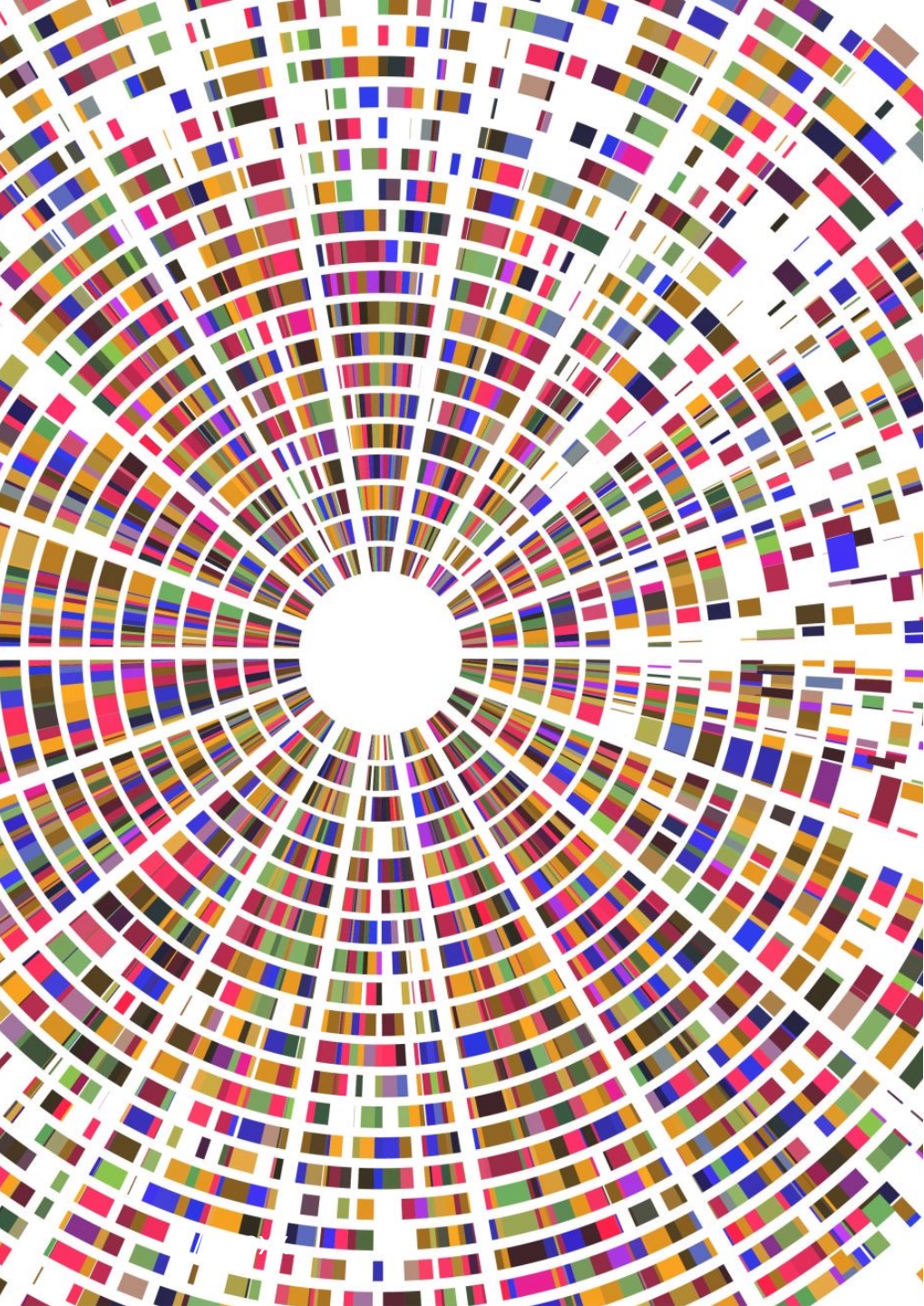
Thank you

- Dr. Niamh Lally

    - Niamh.lally@genio.ie

- Dr. John Healy

    - John.healy@genio.ie

www.genio.ie
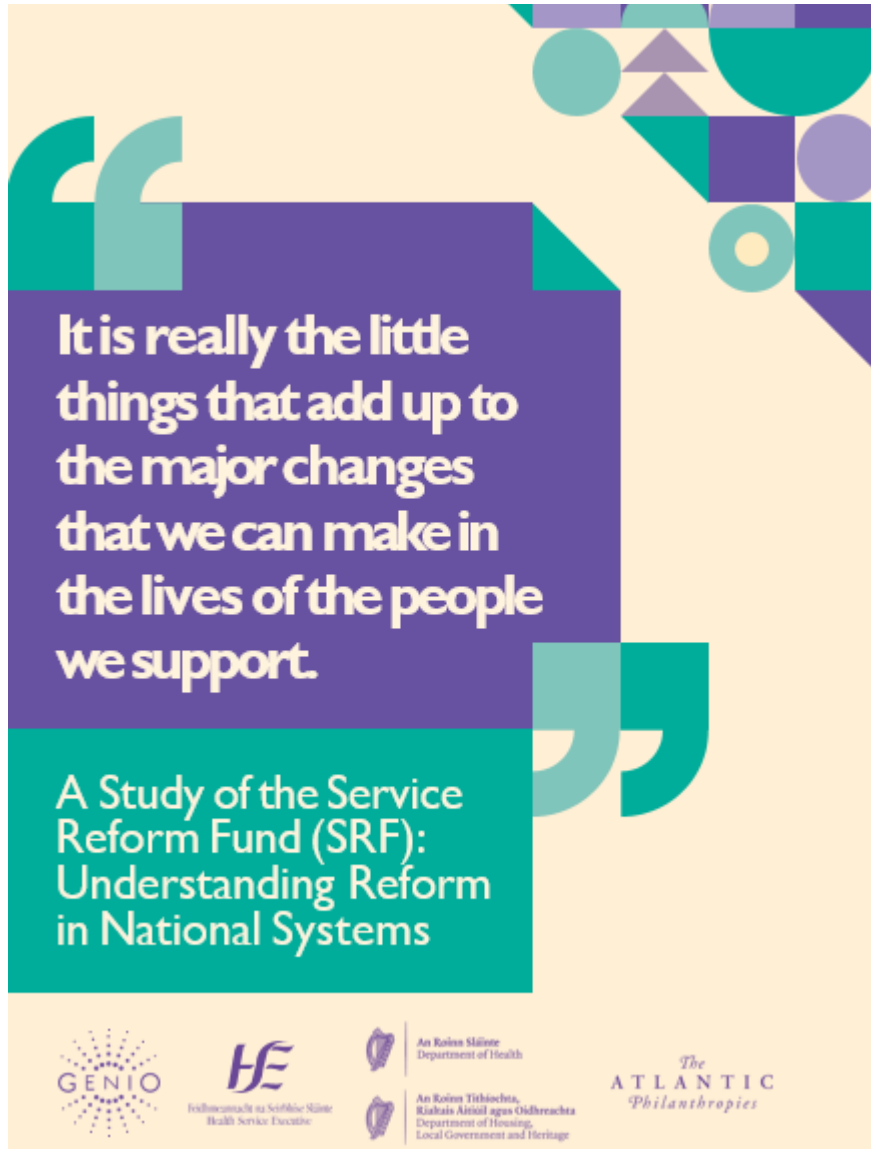
A Study of the Service Reform Fund can now be downloaded on the [Genio Website](#)

Agenda

1

Introduction to the Henry Smith Programme

2

Overview of our research & learning approach

3

Emerging findings from recent research

4

Future research areas

Introduction to the Henry Smith Programme
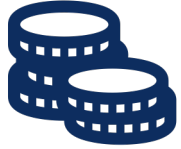
Social Finance is the learning and evaluation partner for a £2.6m grant programme funded by the Henry Smith Charity, in partnership with Speakup (our lived experience partners).

We are supporting 15 grantees providing advocacy services to people with learning disabilities and/or autistic people across the UK.

Our role is to help build an evidence base for independent and non-statutory advocacy, to help measure its impact and demonstrate the case for future, sustainable funding.

We gather insights and data from grantees (including primary research), promote learning and collaboration through a community of practice, and are working on building an evidence-based case to policymakers and funders.

Overview of our research & learning approach

- Outcomes framework developed
- Quarterly community of practice events
- Intensive phases of primary research
- Co-production with experts by experience
- Input from our Advisory board
- Balancing research needs with capacity & accessibility

Aim: Build evidence around advocacy in LDs & autism
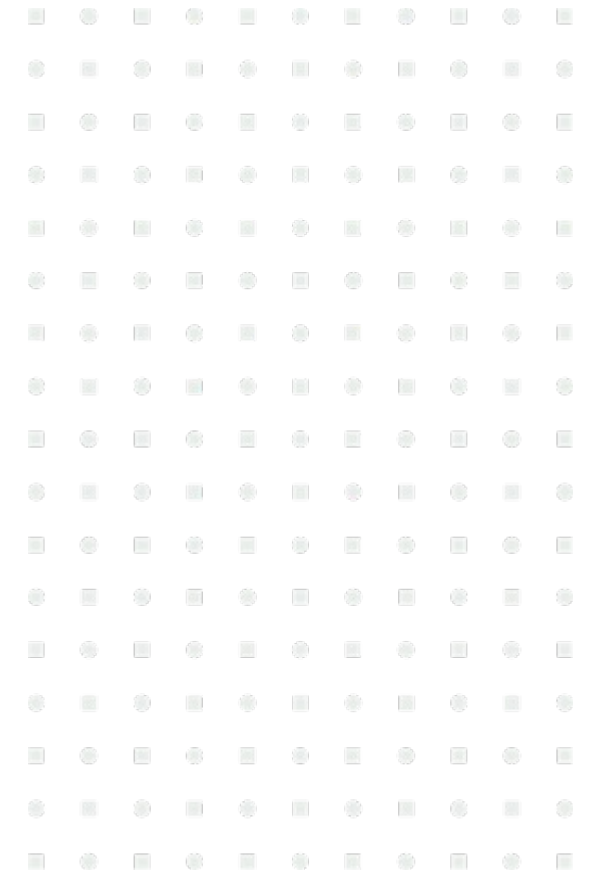
Key research questions for this phase

1

What do independent and non-statutory advocacy services do?

2

How do these services differ from statutory advocacy?

3

What do people using these services need from advocacy?

4

How do services work with people using these services?

5

What are some areas of improvement?

Our research findings build on mixed methods research and are co-produced

Outcomes framework data from grantees → Detailed survey with grantees → Interviews with a sample of grantees → Community of practice event focusing on race equity → Feedback from advisory group → User voice sessions → Final findings and reports
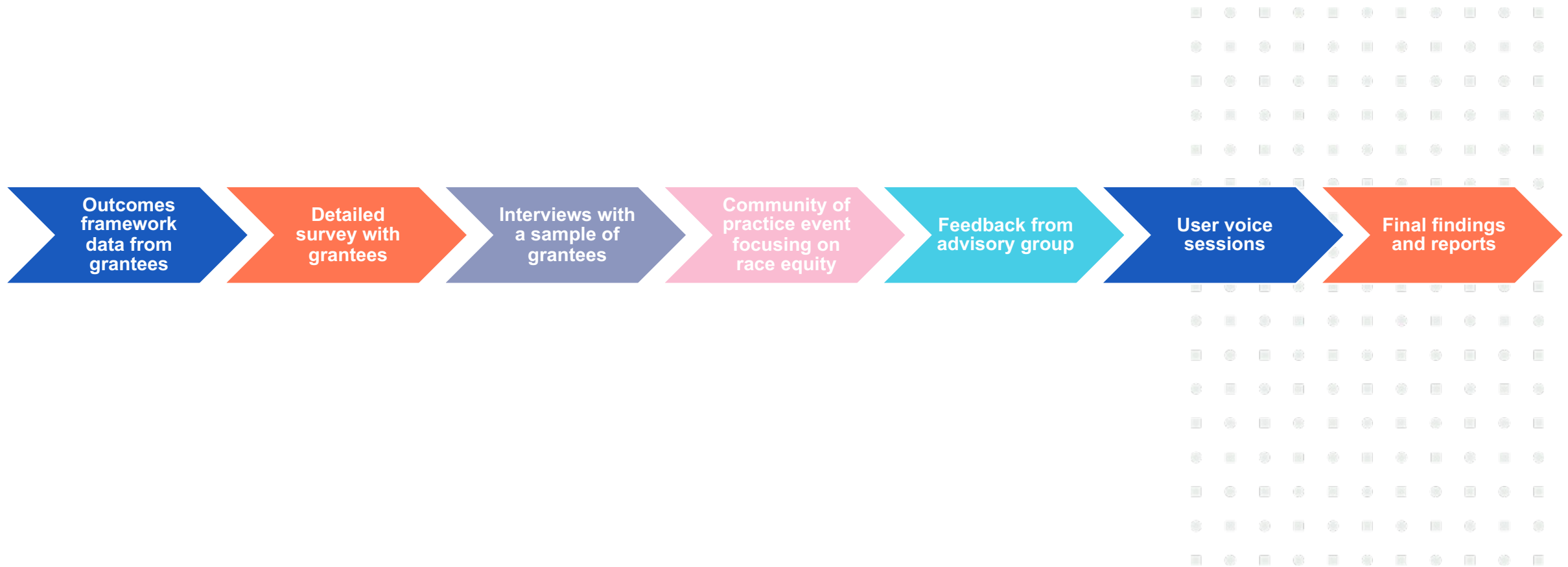
Emerging findings from recent research

—
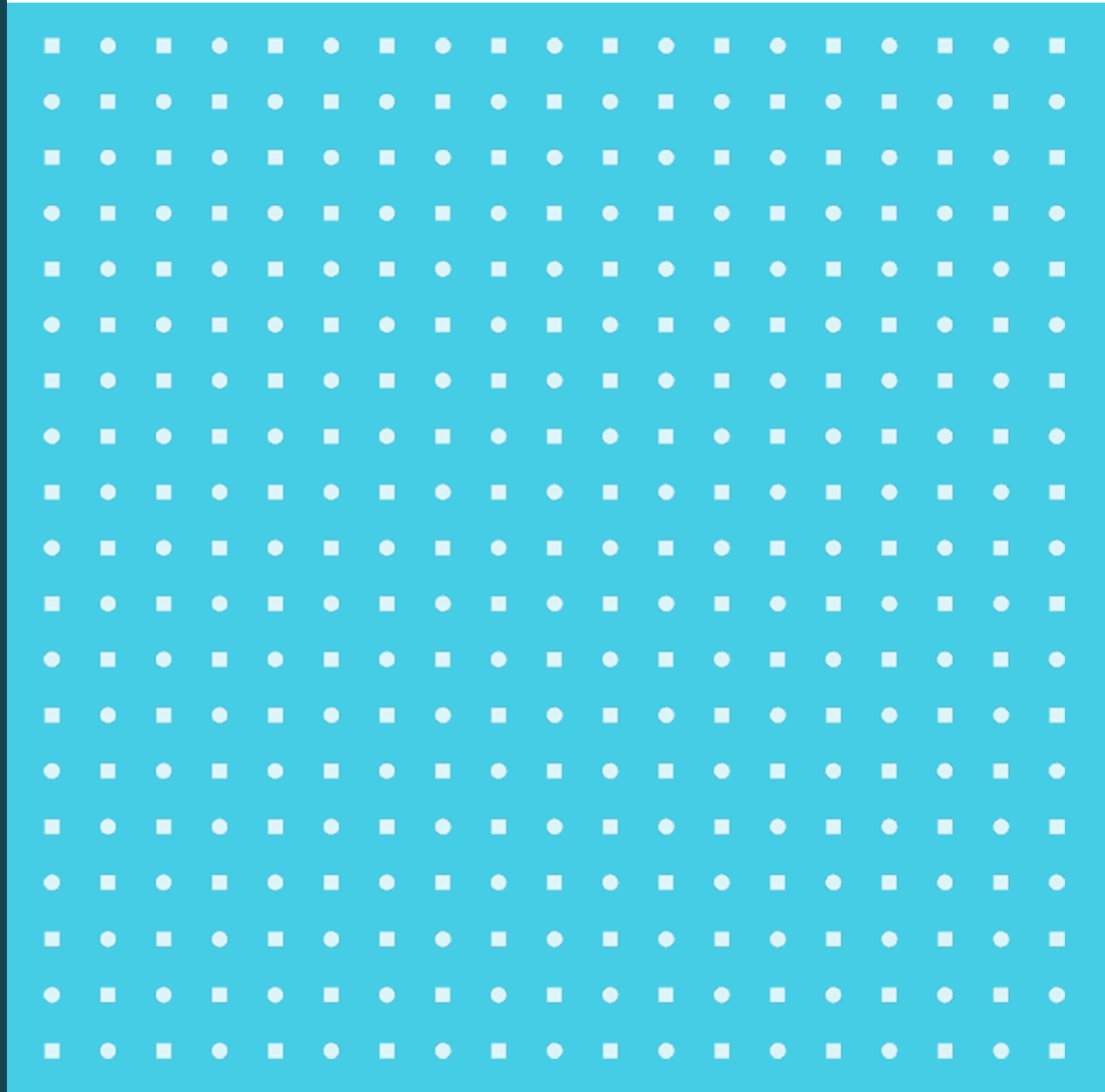
Executive summary

Grantees aim to give people a voice and help them make their own decisions.

They are offering flexible & tailored support on a wide range of issues and building trust.

Early outcomes data is positive & shows that people are getting the help they need from services.

There are several groups which are underrepresented & whom services would like to work with. More funding and resourcing might be needed to fill these service gaps.

Non-statutory advocacy provides support around a range of issues

Goal categories

Bar chart showing "No. individuals" by goal category:
- Access- health/social/other services: 23.0%
- Accommodation: 19.6%
- Family: 11.5%
- Legal rights: 9.6%
- Confidence/Speaking up: 8.8%
- Independence: 8.4%
- Finances: 7.7%
- Mental health/wellbeing: 3.5%
- Employment: 2.5%
- Physical health: 1.7%
- Social connections: 1.7%
- Planning: 1.0%
- Skills training: 0.8%
- Travel: 0.2%
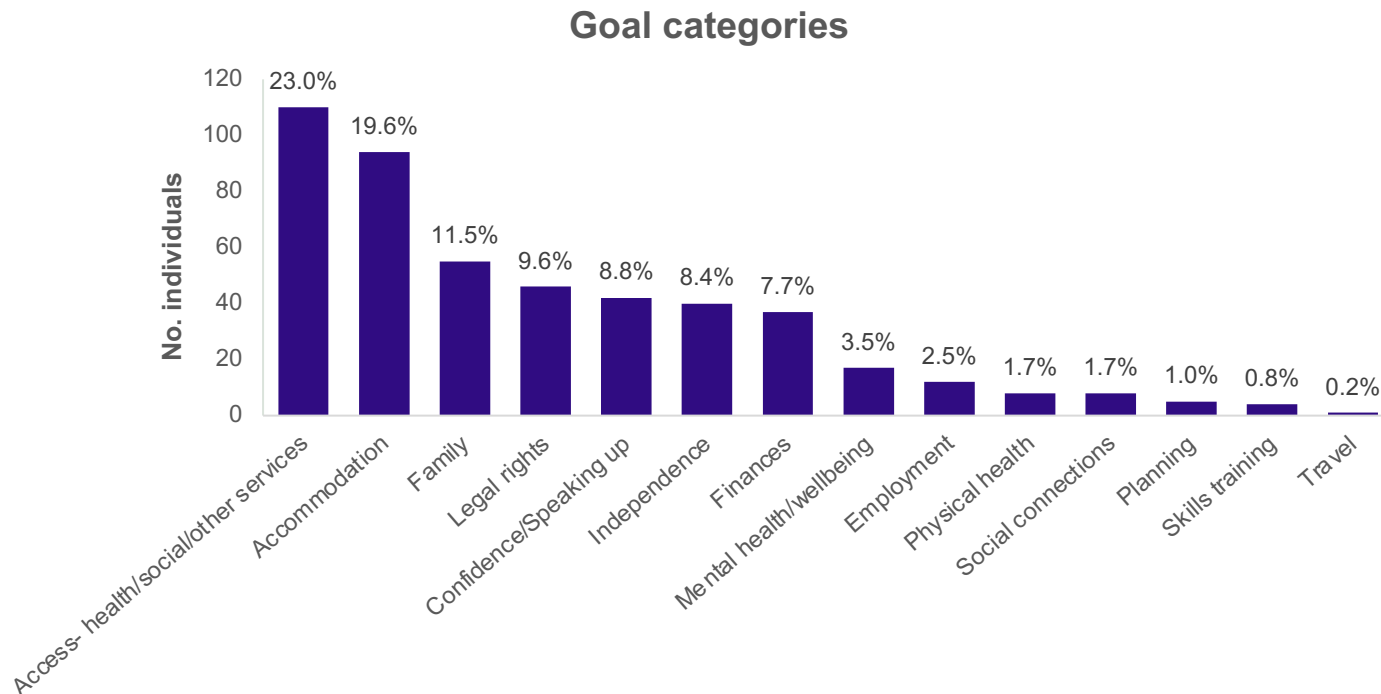
DATA FROM OUTCOMES FRAMEWORK – 641 individual records

Grantees provide support across a broad range of issues:

- Advocacy support is led by the goals of individuals and is available to anyone who meets service eligibility criteria
- Support is guided by outcomes and client preference

Goals tend to change over time:

- Additional related goals may arise over time as an issue develops
- Trust built through the advocacy relationship can uncover additional issues
- People are welcome to come back to services in the future

Non-statutory advocacy addresses needs unmet by statutory advocacy

What is the value-add of non-statutory advocacy vs statutory advocacy?

No. survey response

- Support in areas not covered by statutory advocacy: 92%
- More flexible support: 85%
- More tailored support: 69%
- Better quality support: 54%
- Longer-term support: 54%
- Other: 54%
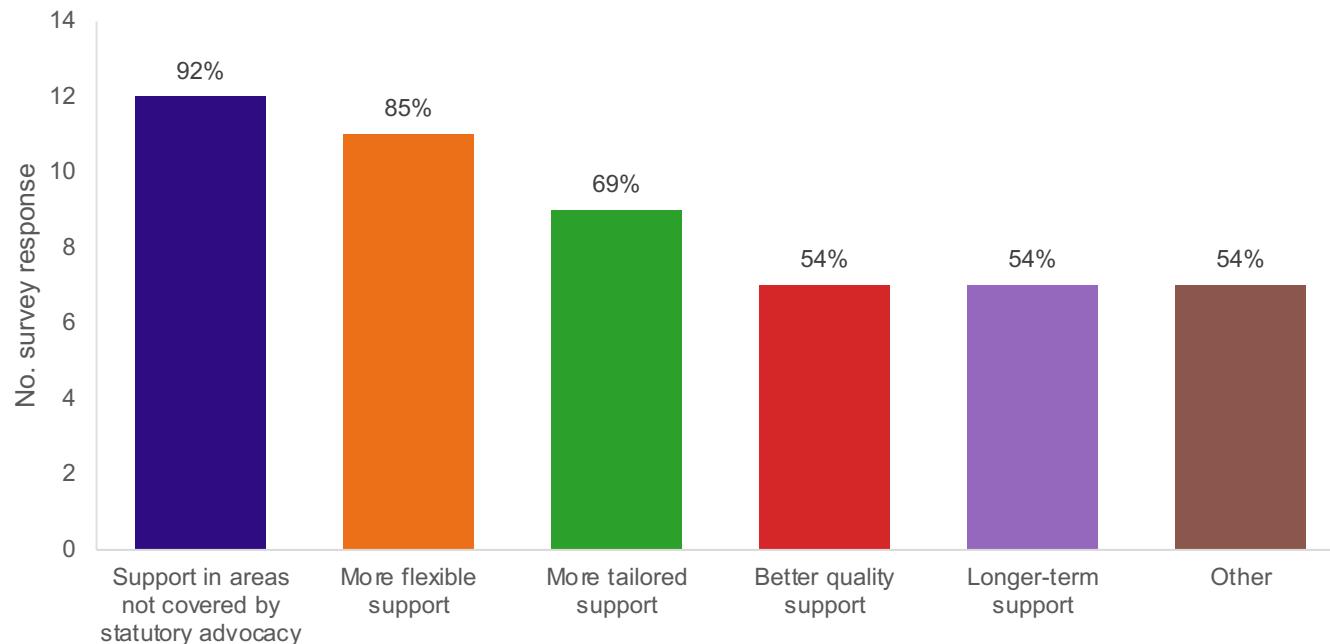
Independent and non-statutory advocacy differs from statutory advocacy in that it is:

- Person-centred
- Issue-based
- Longer term
- Place-based

Grantee organisations provide a range of support to different cohorts:

- 1:1 general issue-based support to adults
- Self-advocacy and group advocacy
- Specialist support for families in child protection and safeguarding procedures
- Specialist support for children and young adults

DATA FROM GRANTEE SURVEY – 13 responses

Non-statutory advocacy involves a broad range of flexible support

Support Provided to Advocacy Partners

- Advocating with services/social workers
- Explaining rights/options
- Preparing and accompanying to meetings
- Researching and signposting services
- Assistance with emails/letters/applications/complaints
- Assistance with practical issues
- Speaking up/Self-advocacy
- Working with family
- Assistance with obtaining legal advice

DATA CODED FROM OUTCOMES FRAMEWORK – 641 individual records

Data collected from grantee organisations reveals that they provide a diverse range of support:

- Support provided is dependent on and tailored to individual situations
- In the majority of cases, advocates provide more than one of the categories of support displayed in the chart

Support intensity typically varies depending on individual situations

- 41% of people receive 7+ engagements with advocates, while 22% of people engage on a one-off basis. The remaining 36% of people engage between 2-6 times.

The 641* people supported across the programme represent an equitable split across gender and age

Access: Gender

- Female — 47.8%
- Male — 47.2%
- Non-binary — 2.8%
- Other — 1.1%
- Transgender male — 0.2%
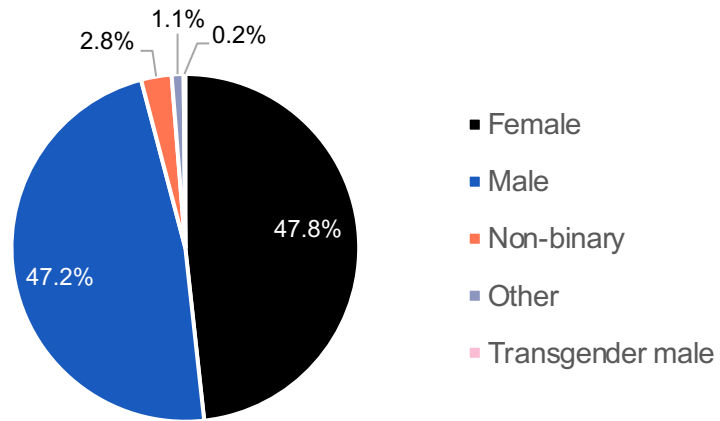
Access: Age distribution

No. people supported vs Age bands

Age band	No. people	%
5-9	6	1%
10-14	5	1%
15-17	30	5%
18-24	98	16%
25-29	77	13%
30-39	141	23%
40-49	87	14%
50-59	94	15%
60-69	49	8%
70-79	22	4%
80+	1	0%

Referral Sources

No. referrals:

- Self referred — 41%
- Social Services — 15%
- Other — 13%
- Family — 8%
- VCSE organisation — 5%
- Other advocacy — 4%
- Carer — 4%
- Outreach services — 3%
- Health- Secondary (hospital) — 3%
- Social prescriber — 2%
- Help and Connect — 2%
- Health- Primary (GP) — 1%
- Safeguarding — 0%
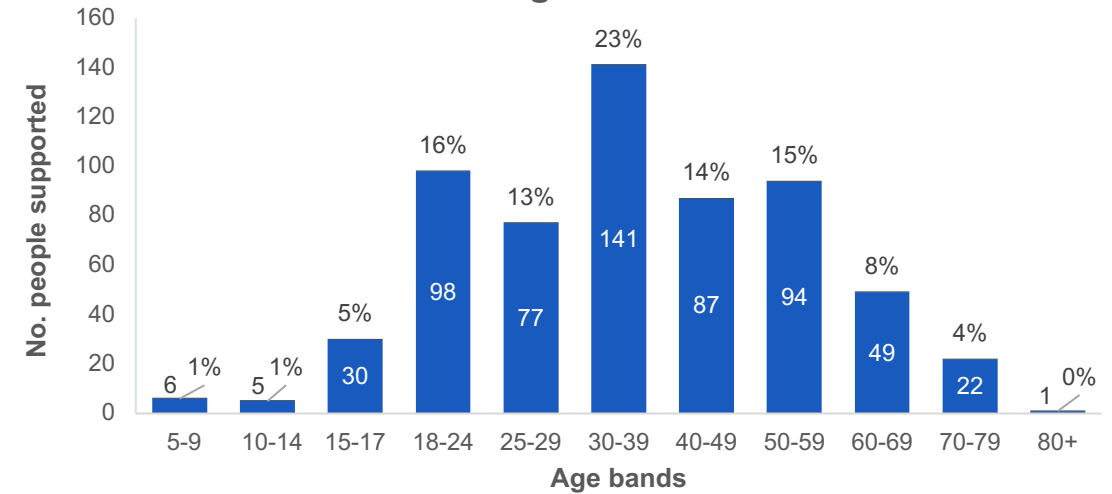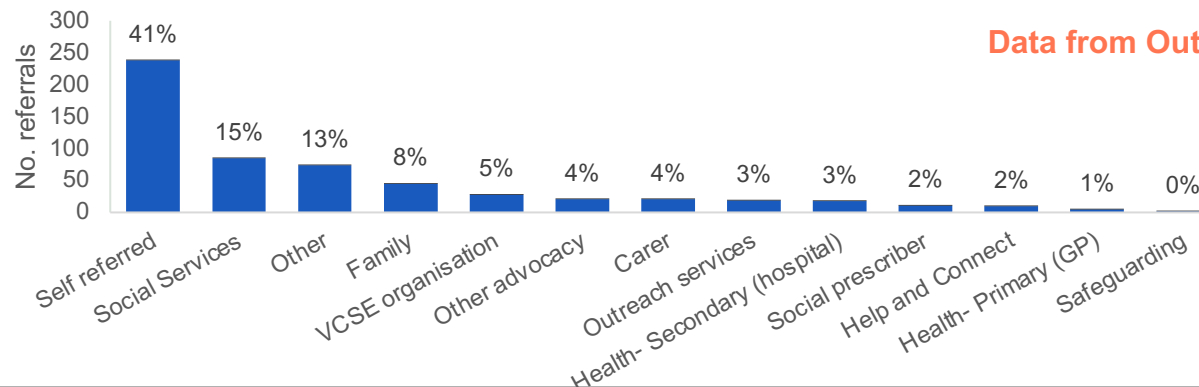
Data from Outcomes Framework – 641 individual records

Access and race equity – challenges and ways forward

Ethnicity of people receiving advocacy support

UK Census 2011	**Ethnicity of people receiving advocacy (2023)**

Legend: ■ White ■ Black ■ Mixed/multiple ■ Asian ■ Other

UK Census 2011:
- Other: 0.90%
- Asian: 7.00%
- Mixed/multiple: 2.00%
- Black: 3.00%
- White: 87.10%

Ethnicity of people receiving advocacy (2023):
- Other: 1.2%
- Asian: 2.7%
- Mixed/multiple: 3.2%
- Black: 3.7%
- White: 89.2%
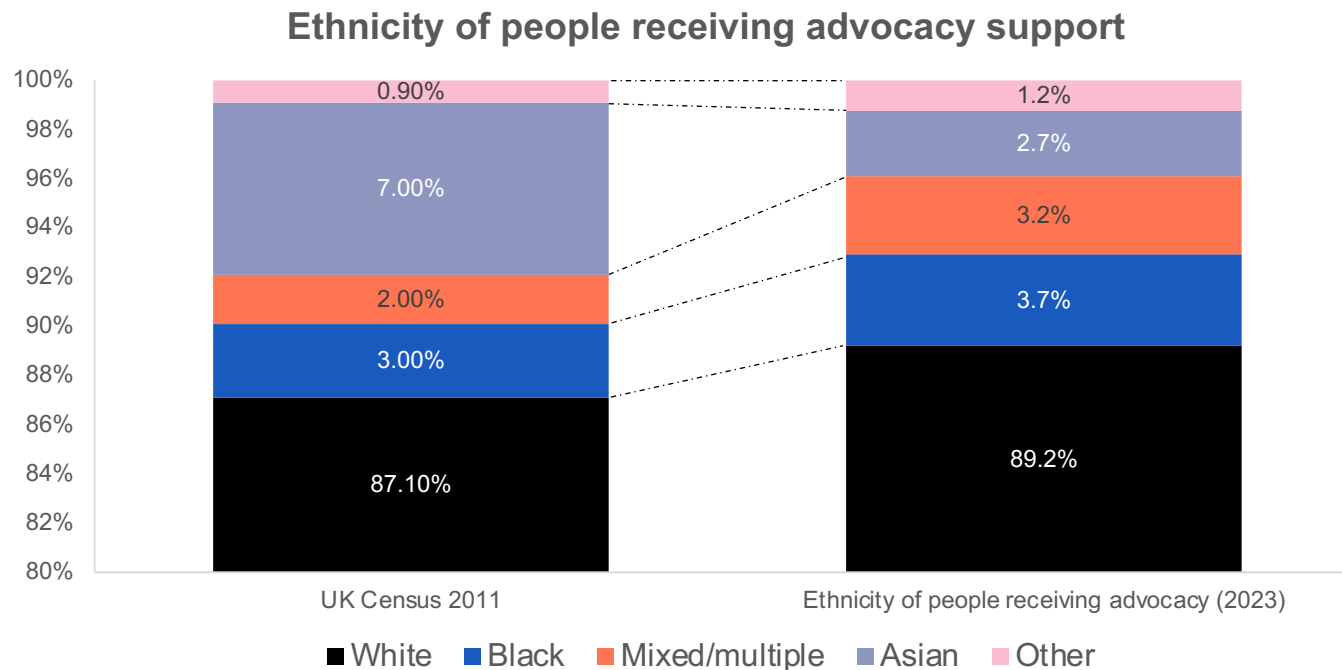
DATA FROM OUTCOMES FRAMEWORK – 641 individual records

*Harmonised UK ethnicity data for 2021 is not yet available due to delays in Scottish Census 2022.

The 15 grantees are based in a mix of urban and rural locations in England, Scotland and Wales

- Comparing our data with UK Census data shows that White ethnicities are potentially overrepresented, while Asian ethnicities are underrepresented.
- It must be noted that some grantees operate in much more ethnically diverse areas than others.

Challenges and potential solutions:

- Language & cultural barriers, limited resourcing, & data gaps impede identification of & support for underrepresented groups.
- More inclusive recruitment, better outreach (events, posters, stories), affordable translation/ interpretation services could help- alongside more resourcing.
- Grantees have little control over representativeness of referrals.

Services can engage with people otherwise not receiving support from LAs

Why might some people you work with choose not to access help through LA services?
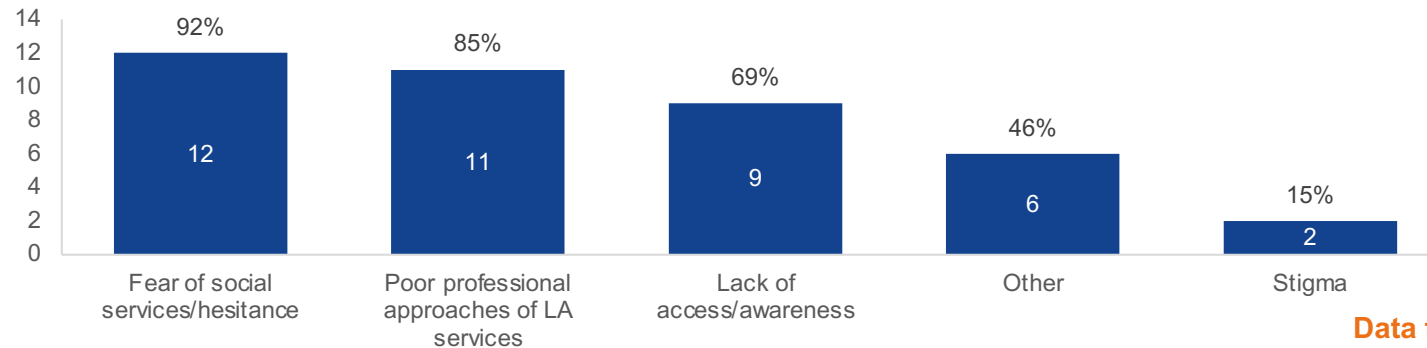
Data from grantee survey – 13 responses

Eligibility: The bar for eligibility is high for statutory advocacy and depends on meeting specific/ narrow thresholds. Non-statutory services generally have a more relaxed eligibility criteria and try not to turn anyone away.

Lack of trust: Grantees cited mistrust in LA services as a major blocker to accessing statutory services. Independent advocacy services are trusted to serve people as they are not seen as 'part of the system.'

Flexibility: Advocacy services are more flexible and responsive in how they communicate with people (e.g., in person, WhatsApp, etc.)

Early process outcomes data indicate positive impact on soft outcomes

Change in average process outcome scores
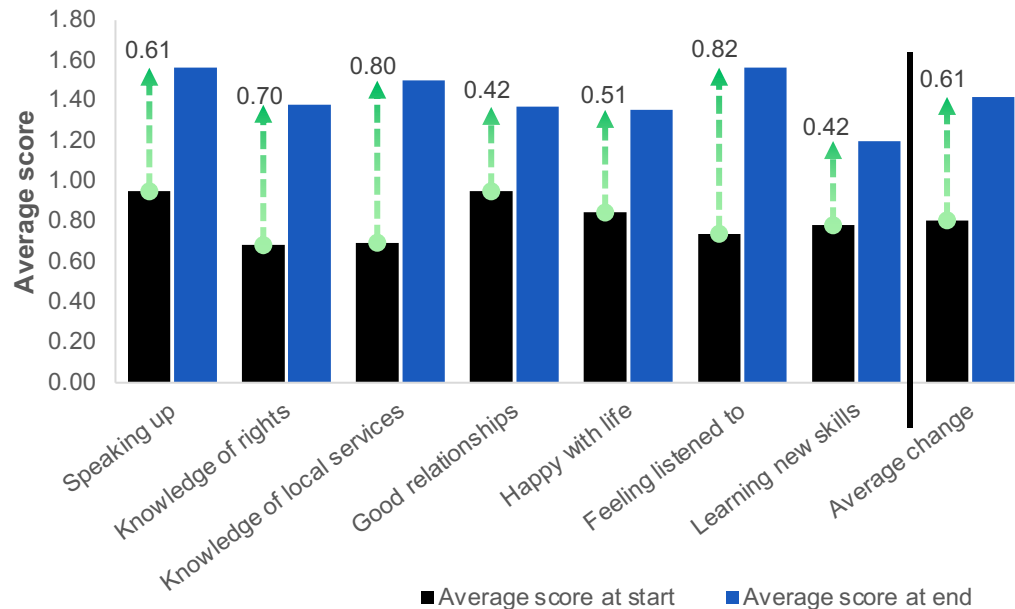
Score Key	Process outcome response
2	Yes
1	Maybe / A little
0	No

■ Average score at start   ■ Average score at end

DATA FROM OUTCOMES FRAMEWORK – 641 individual records

Process outcome data has been collected for 142 people with a score at the start and end of support:

- A comparison of start and end process outcomes score data indicates that non-statutory advocacy is having a positive impact on process outcomes across the board.

- The largest change is seen in the "Feeling listened to" and "Knowledge of local services" outcome categories.

- Outcomes data thus far is preliminary, and we will continue to monitor these as the programme progresses.

Grantees would like to work longer with people and support additional, underrepresented groups

People with neurodegenerative physical conditions, such as Parkinson's or MS.

Students with SEN who are above the legal aid threshold (sometimes because of disability allowance or student grants)

Young people who are employed but lacking in essential skills, such as reading and writing

Autistic people who may lack social connections

Older people in care homes

People living in rural areas

Future research areas

—
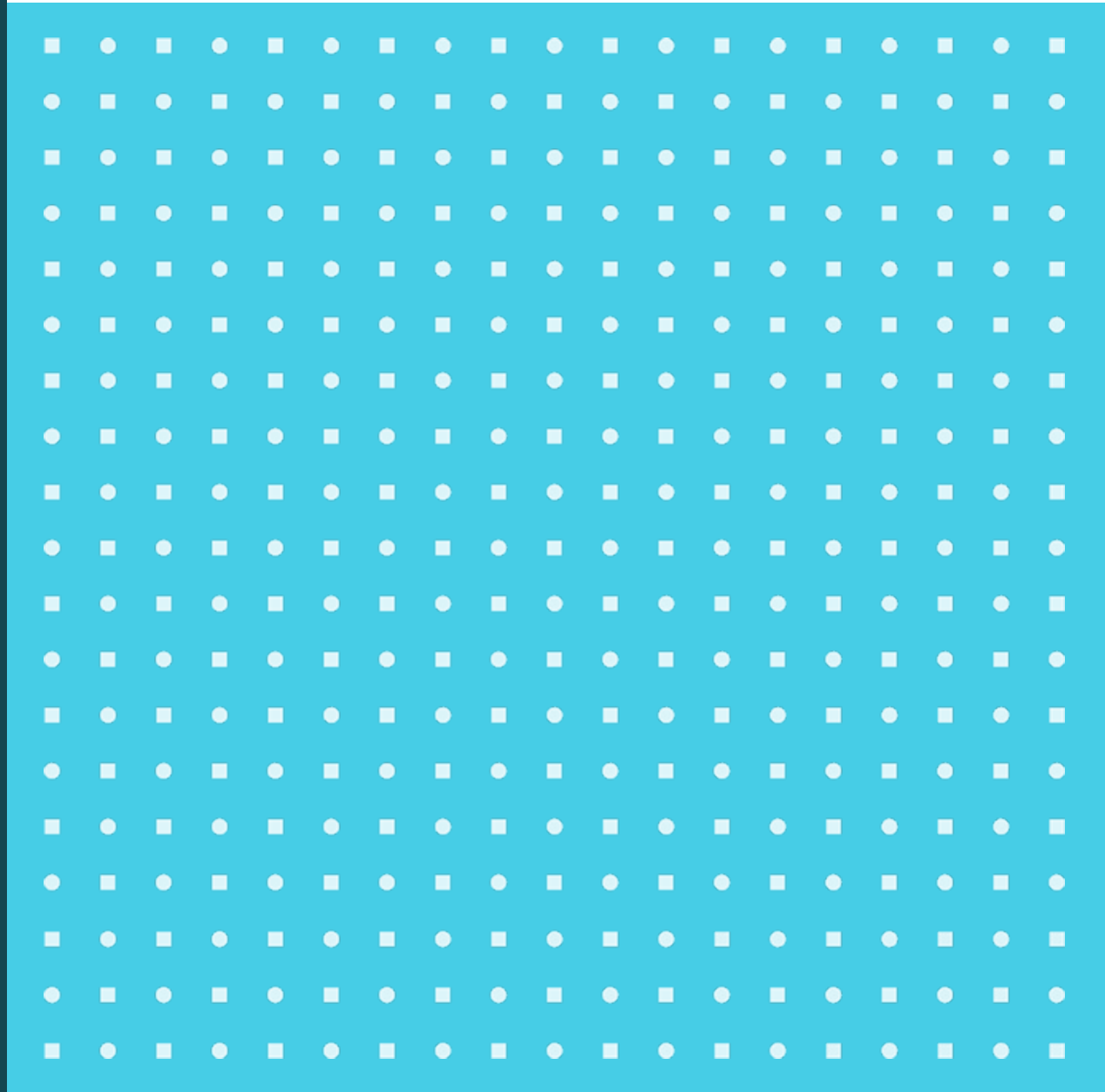
Future research areas

Autumn/ Winter 2024

Key topic: Advocacy goals and outcomes

This phase will help tease out the **impact** of services on clients:

- What goals did clients have at the start of the service?
- Were these goals met? What influences the likelihood for this?
- What is the evidence to support these outcomes?

Early 2025

Key topic: Lessons from this programme

The final phase of research will pull together key lessons (**"so what"**) from the programme:

- Who does self/independent advocacy work best for?
- What costs does it save and benefits does it create and for whom?
- What should future funding and service delivery look like?
- Have grant holders found value in recording outcomes and impact through this programme?

Health Finance Institute

Blended Finance: Bridging Funding Gaps for Mental Health Initiatives

HEALTH FINANCE
INSTITUTE

Heart of a nonprofit
Engine of an investment bank

HFI's Core Objectives

The throughline of HFI's work is our mission to close the NCD financing gap and reduce NCD morbidity and mortality worldwide - saving millions of lives and health systems dollars.

OUR ACTIONS FRAMEWORK

ANALYZE

Develop economic cases for prevention, access, and adherence for NCD patients in the greatest need.

PARTNER

Form partnerships to set standards towards the use of evidence and metrics as a part of health financing and innovative financing models.

LEAD

Educate and provide a neutral convening platform for dialogs towards action on public-private stewardship of health financing.

Rising Need for Healthcare Financing

Health expenditure has outpaced economic growth.

OECD countries are projected to need to dedicate 19% of public budgets to health by 2040.[1]

2019

Health expenditure 8.8% of GDP[1]

2020

Health expenditure 9.7% of GDP[1]

2021

Health expenditure 9.5% of GDP[1]

2040

Health expenditure Projected to be 11% of GDP[1]
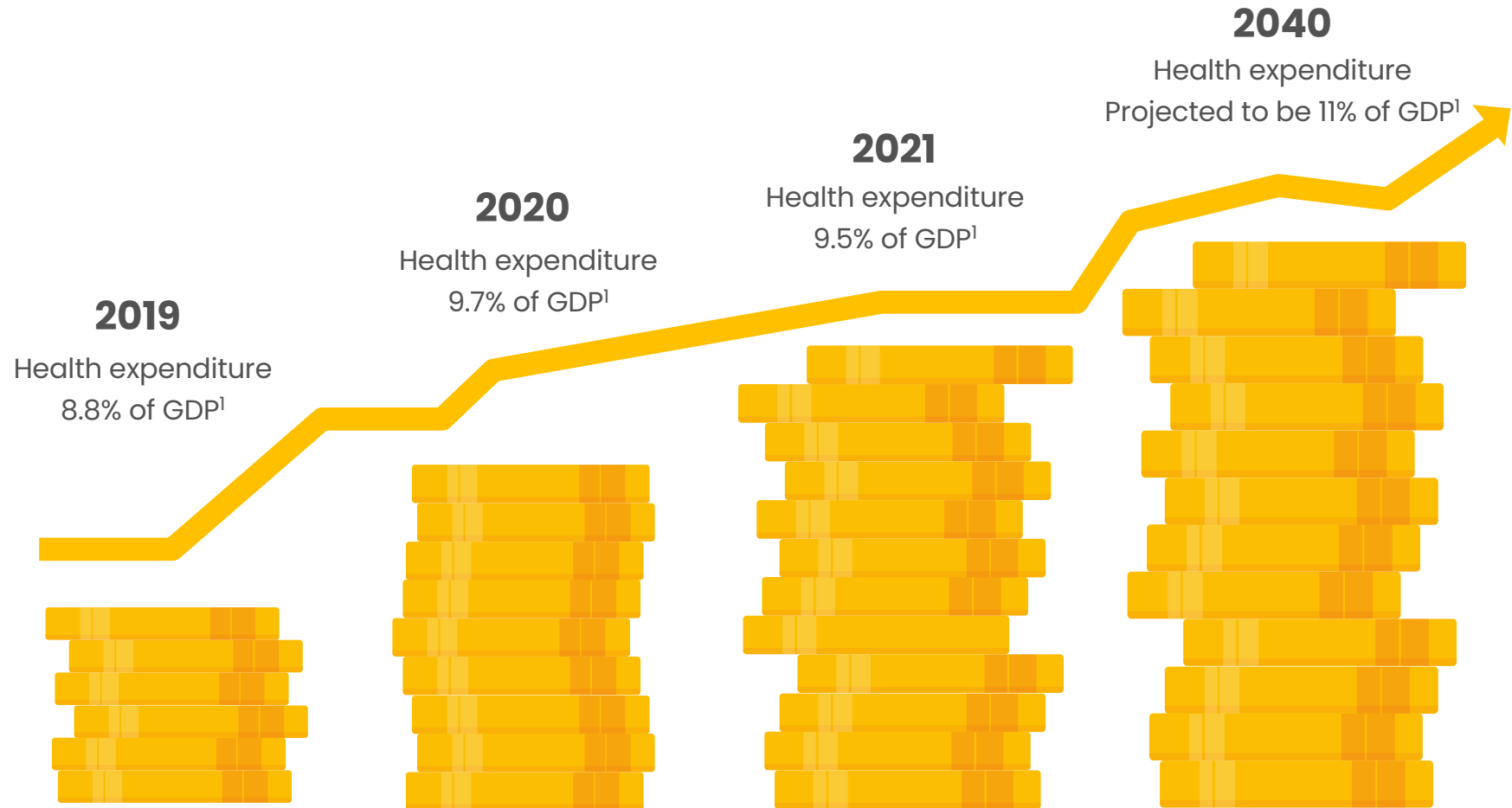
[1]Organization for Economic Co-operation and Development (OECD). OECD Health Statistics 2022. Available online https://www.oecd.org/health/health-data.htm

HEALTH FINANCE INSTITUTE

NCD Investment Gap

The global community must form public-private partnerships to steward innovative sources of financing on the road towards universal health coverage.

$140 Billion

Achieving SDG 3.4 will require US$18 billion annually in new spending between 2023 and 2030.[1]
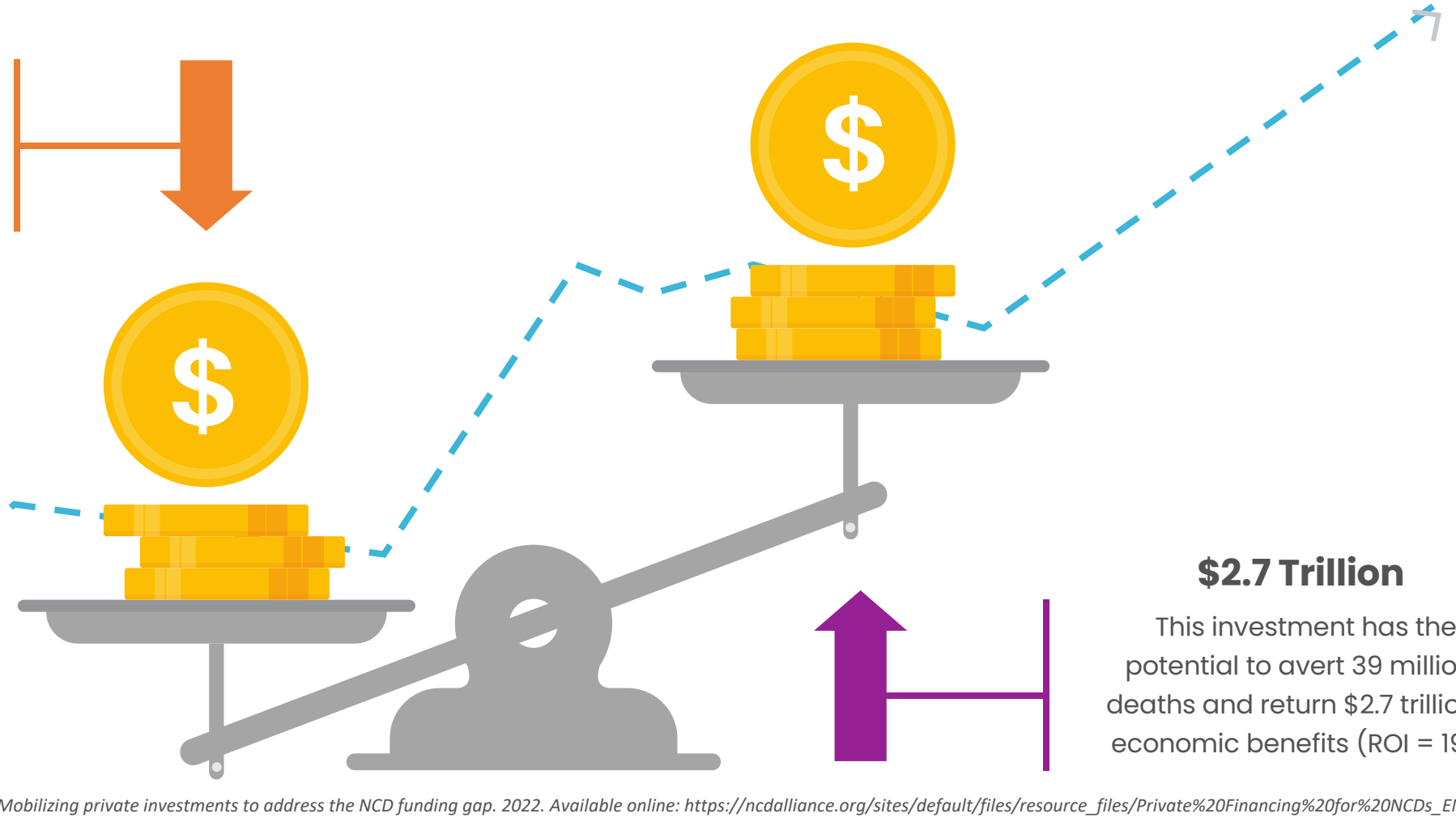
$2.7 Trillion

This investment has the potential to avert 39 millions deaths and return $2.7 trillion in economic benefits (ROI = 19:1).[1]

[1]NCD Alliance Brief: Mobilizing private investments to address the NCD funding gap. 2022. Available online: https://ncdalliance.org/sites/default/files/resource_files/Private%20Financing%20for%20NCDs_ENG_FINAL.pdf

HEALTH FINANCE INSTITUTE

10 Roadblocks to financing the NCD response

1 DISTORTION OF NATIONAL PRIORITIES

2 SKIRTING OF THE CASE ON EQUITY

3 LIMITED TECHNICAL EXPERTISE OR CAPACITY

4 NO (COSTED) NATIONAL NCD ACTION PLAN

5 POOR EXPEDITURE TRACKING AT DISEASE LEVEL

6 PREVALENCE OF NCDS NOT MONITORED

7 UNCLEAR BENEFICIARIES OF INVESTMENTS

8 LACK OF DE-RISKING

9 FOCUS ON COSTLY TREATMENTS

10 NO INTERNALIZATION OF COMMERCIAL EXTERNALITIES

© HealthFinInst

10 Solutions to financing the NCD response

Solutions this way

1 COUNTRY-DRIVEN AGENDAS

2 COSTING DEVELOPMENT SOLUTIONS AND DONOR ADVOCACY

3 CATALYTIC, PARTNER SUPPORTED-FUNDING

4 COSTED ACTION PLAN, BUSINESS CASE, INVESTMENT CASE

5 DIGITAL/MOBILE DATA SOLUTIONS

6 NCDS IN EVIDENCE CREATION BASE

7 BENEFICIARIES-CENTRIC BUSINESS CASES

8 BLENDED FINANCE & GLOBAL FINANCING PARTNERSHIPS

9 INCENTIVIZING PREVENTION

10 MULTISECTOR FISCAL SOLUTIONS
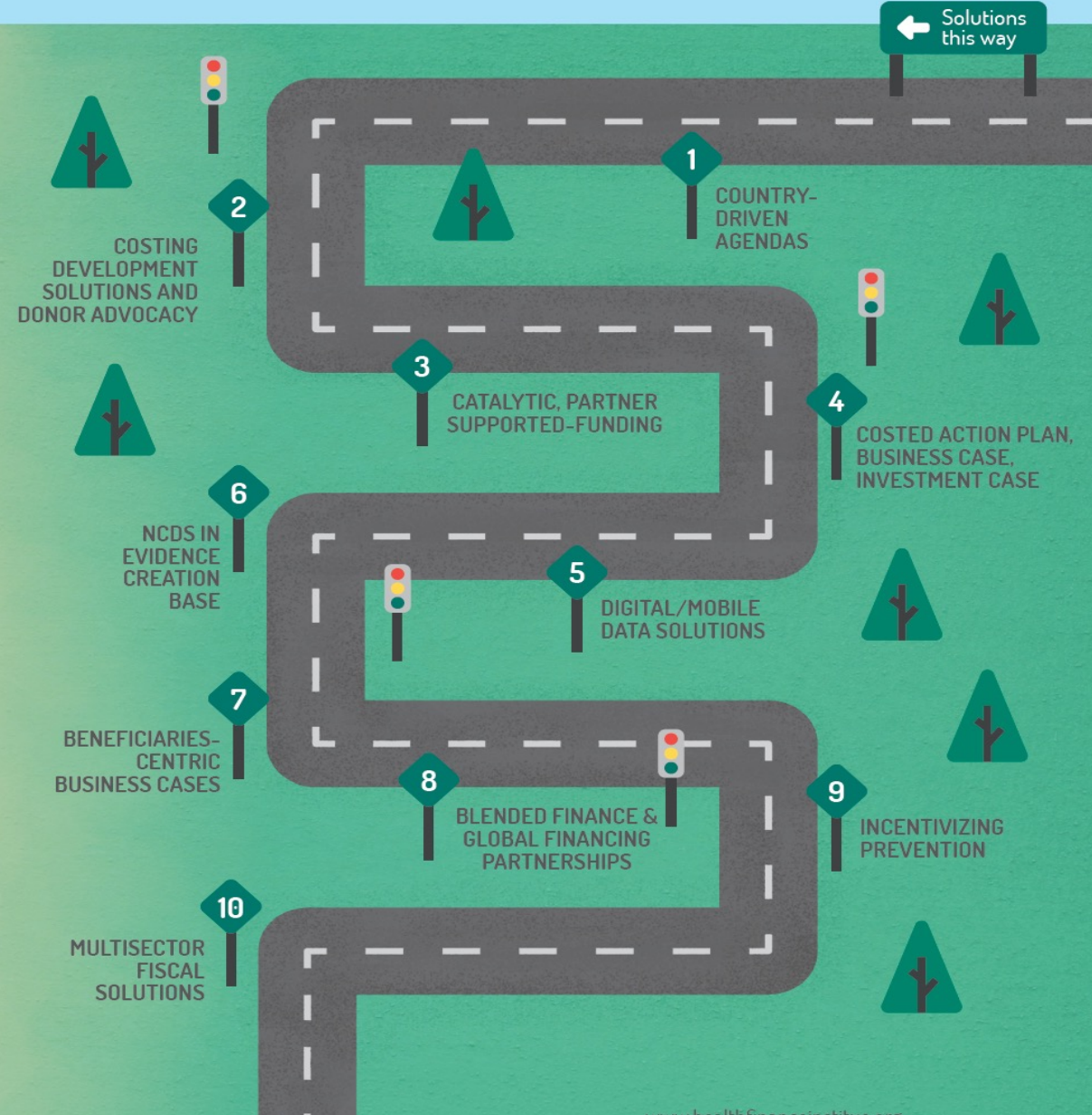
Example 1: WEF – HARVARD study on economic burden of NCDs

Mental Health conditions continue to constitute a major share of the economic burden of NCDs

Cardiovascular disease and mental health conditions are the dominant contributors to the global economic burden of NCDs.

Out of 47 trillion USD losses due to inaction on NCDs between 2010 and 2025 --> 16 trillion attributable to mental health conditions

The global cost of mental health conditions in 2010 was estimated at US$ 2.5 trillion, with the cost projected to surge to US$ 6.0 trillion by 2030.

That's about 10% of the entire economy of the United States

HARVARD School of Public Health

WORLD ECONOMIC FORUM
COMMITTED TO IMPROVING THE STATE OF THE WORLD

The Global Economic Burden of Non-communicable Diseases

HEALTH FINANCE INSTITUTE
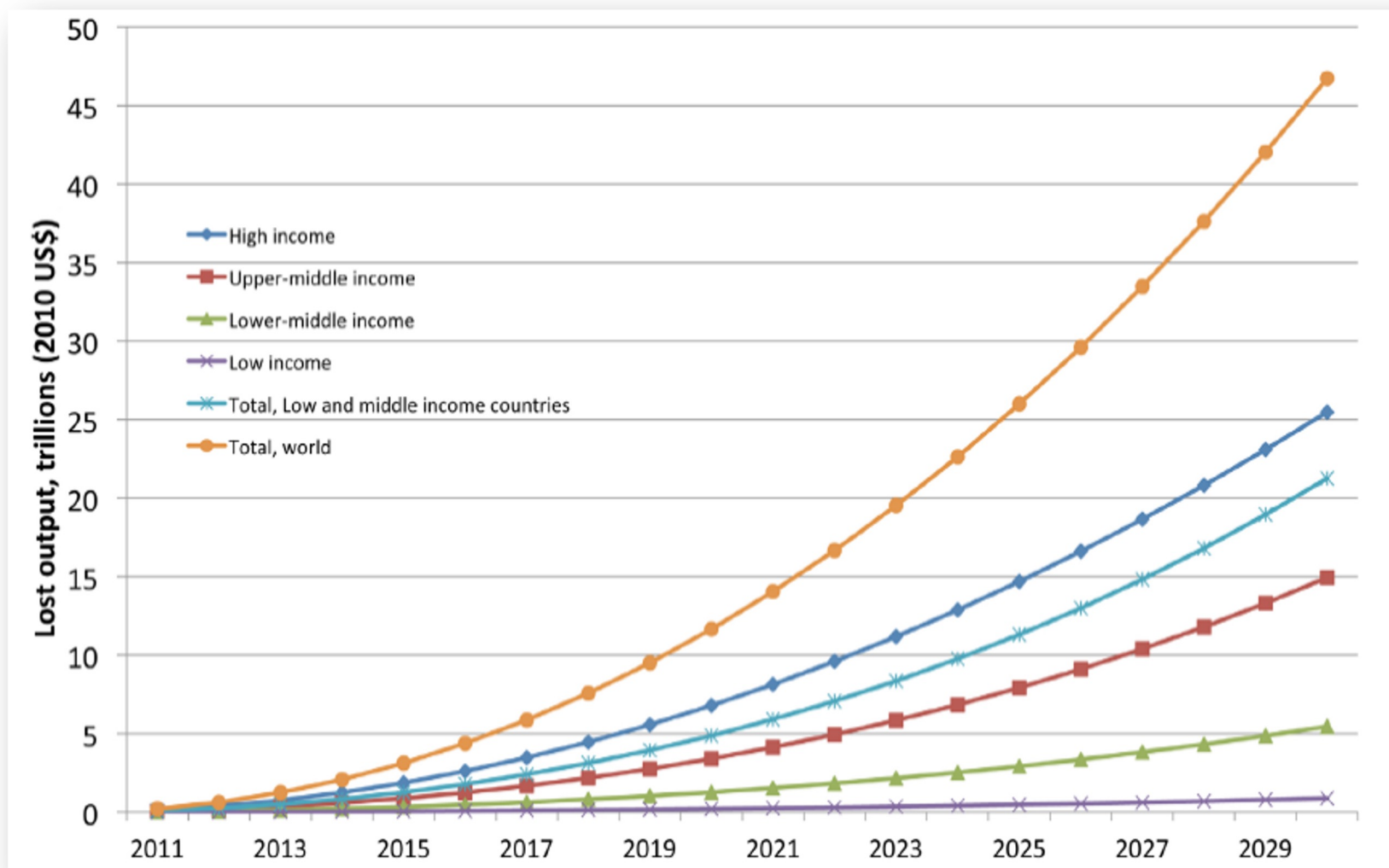
Bloom, D.E., Cafiero, E.T., Jané-Llopis, E., Abrahams-Gessel, S., Bloom, L.R., Fathima, S., Feigl, A.B., et al. (2011). The Global Economic Burden of Non-communicable Diseases. Geneva: World Economic Forum.

Example2

PLOS ONE

🔓 OPEN ACCESS   📝 PEER-REVIEWED

RESEARCH ARTICLE

Assessing the future medical cost burden for the European health systems under alternative exposure-to-risks scenarios

Yevgeniy Goryakin ✉, Sophie P. Thiébaut, Sébastien Cortaredona, M. Aliénor Lerouge, Michele Cecchini, Andrea B. Feigl, Bruno Ventelou

Economics NCD burden calculation under various policy scenarios in EU / Europe from 2015 to 2050
Only mental health related costs: costs of (mainly) in-patient treatment of depression
Cost data for chronic mental health condition / anxiety related disorders missing or discarded

- Source: https://doi.org/10.1371/journal.pone.0238565

Outcomes based financing is only as good as the results it can demonstrate

Cutting-edge health and economic forecasting

o Age-structured demographic data
o Disease severity profiles
o Access and linkage to care

Disease burden and risk profiles

o Disease management
o Health expenditure
o Loss of productivity

Cost of disease and care

o Disease severity profiles
o Quality of life
o Cost of care
o Care utilization

Intervention impacts

o Epidemiological outcomes
o Socioeconomic outcomes
o Health system outcomes
o Financial outcomes

Forecasting

HEALTH FINANCE INSTITUTE

Innovative Finance & need for better data

The recency of innovative and blended finance's rise means that more evidence must be generated around its role in topic areas and contexts where it has not been utilized, including health financing.

"Billions to Trillions" through Innovative Finance/Blended Finance

BLENDED FINANCE

STRATEGIC PUBLIC INVESTMENT

PRIVATE INVESTMENT MOBILISED

$2.5 Trillion

Annual Financing Gap to Achieve SDGs by 2030.

Innovative Finance

Mobilizing private capital towards development outcomes at scale requires a blended finance ecosystem with catalytic intermediaries and bankable projects

Blended Finance Characteristics

Public and philanthropic funds are used to catalyze private investment

LEVERAGE

IMPACT

RETURNS

Financial returns must be in line with private investor expectations.

IMPACT

Investments must result in social, economic, and environmental progress

Smart Investments in Health

We have a dual opportunity to reduce the overall cost of disease and compress morbidity.

Aging Populations

High out-of-pocket spending

Increasing burden of NCDs

Rising NCD Costs
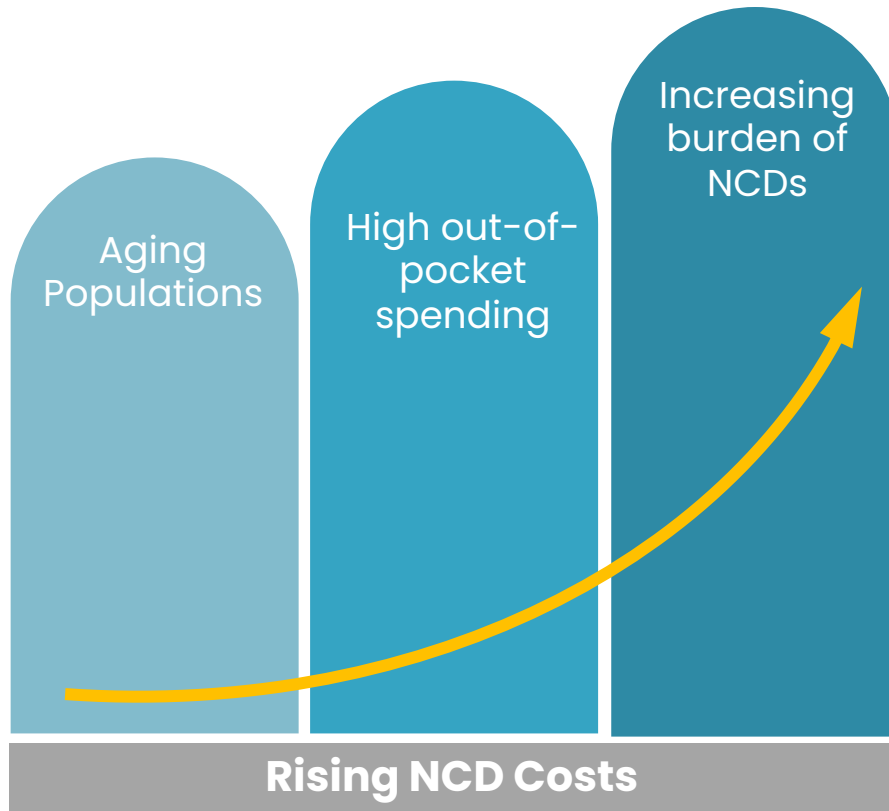
What constitutes a smart investment in health?

- Responds to the current and future needs of communities and healthcare systems

- Uses a data driven, contextually relevant approach to health financing

- Built on partnership and collaboration between and within public and private sectors

- Clearly illustrates *who pays* and *who benefits*

Data Driven Process

Smart investments are best implemented when built alongside integrated data systems.

Review of Returns — 6

Needs Assessment & Partnership Building — 1

Goal Setting — 2

Development & Implementation — 3

Data Integration — 4

Evaluation — 5

HEALTH FINANCE INSTITUTE

CONTACT US

Please reach out to us at
andrea@healthfinanceinstitute.org
to discuss partnership
opportunities

www.healthfinanceinstitute.org

@healthfininst

Panel discussion

Tanyah Hameed
Social Finance

Dr Andrea Feigl
Health Finance
Institute

Shomsia Ali
Healthy Brains
Global Initiative

Dr Niamh Lally
Genio

Coffee break

UP NEXT:
Big Picture session from 15.45 BST

**Check out the programme
& choose your session**

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Thank you!

We would love your feedback!

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What is in a measurement? Insights and perspectives for measuring and monetising outcomes

Dr Elaine Gruyter University of Oxford **Chair**

Neil Stanworth ATQ Consultants

Dr Mara Airoldi University of Oxford

Jeffrey Matsu CIPFA

Lindsey Poole Advice Services Alliance

Madeleine Parkinson Sheffield Hallam University

Paul Neave Welsh Government

Dr Kath Edgar Substance

Charlie Grosset Substance

Dr Johannes Langer Substance

Format of session

1	Insights from calculating the SROI of the Chances SOC
2	Perspectives of measuring outcomes of social welfare advice
3	What can be done? Jeffrey Matsu, CIPFA
4	What can be done? Neil Stanworth, ATQ Consultants
5	Call to action Dr Mara Airoldi, GO Lab
6	Q&A from audience

1. Aim
2. Methodology & key findings
3. What does this mean for current practice? How can practice be improved?

Hot seat

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Session engagement

- Live from the Blavatnik School of Government in Oxford and online on Zoom

- If you are joining us in-person, you can still join Zoom BUT **please keep your speakers muted.**

- Do use the Zoom chat to introduce yourselves and to share your thoughts and questions; on Zoom, please make sure we can see your name & organisation.

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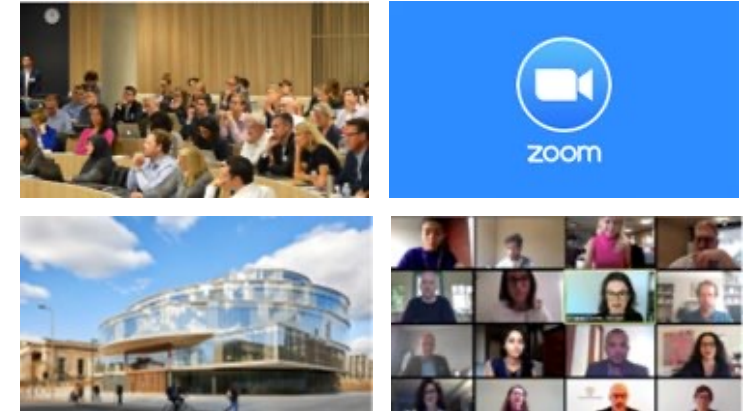
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Insights from calculating the SROI of the Chances SOC

Dr Kath Edgar, Dr Johannes Langer, Charlie Grosset

1. Aim
2. Methodology & key findings
3. What does this mean for current practice? How can practice be improved?

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Hot seat

This methodology is not considered rigorous by some. How would you respond to this? What is needed to make it considered otherwise?

Perspectives of measuring the outcomes of social welfare advice

Lindsey Poole, Paul Neave, Madeleine Parkinson

1. Aim
2. Methodology & key findings
3. What does this mean for current practice? How can practice be improved?

Perspectives on Measuring the Outcomes of Social Welfare Advice: the funder, the practitioner and the knowledge broker

Paul Neave, Welsh Government

Madeleine Parkinson, Sheffield Hallam Students' Union

Lindsey Poole, Advice Services Alliance

Problems with advice outcomes

- What outcomes to measure, what is positive? Use of intermediary outcomes?

- How to measure, valid and reliable tools, When to measure to capture outcomes

- No clear path of attribution for Theory of Change approaches

- Resources and skills required by services

- Perverse consequences of counting things

- Context so challenging; impact negligible

advice
services
alliance

Help through Crisis: Programme theory of change

Programme inputs
- Funded partnerships of community organisations
- Participation of non-funded organisations
- Strengths and experience of people facing hardship crisis
- Funding and support from Big Lottery
- Learning, evaluation and beneficiary voice support
- Knowledge about best practice

Holistic, person-centred approach acknowledging different needs and experiences
- Support to tackle immediate needs
- Tailored advice and advocacy
- Help to access and navigate appropriate services
- Intensive support and case work

Organisations working together

Beneficiary voice work
- Consultation
- Co-design
- Co-delivery
- User-led projects

- Evaluation and learning
- Networking and sharing
- National advisory group

Immediate crisis resolved

Greater stability for beneficiaries

Beneficiaries supported to build on their strengths

Identification of underlying causes of crisis

Those in crisis or at risk have a stronger voice and help shape solutions

Shared learning and evidence

Systems change
- Influence on local and national policy
- Influence on delivery

Impacts for people experiencing or at risk of crisis
- Reduced short-term hardship
- People can improve their circumstances
- People are more resilient to future challenges
- People can plan for the future and take advantage of opportunities

Preventing hardship crisis
- Fewer people experience hardship crisis
- Less reoccurrence of hardship crisis
- People experience less severe hardship crisis

Organisations are better able to support people in crisis

Inputs   Activities   Outcomes   Impacts

Funder Perspective

- Information and advice services play an important role in ensuring that Wales delivers against the 'well-being goals' within Well-being of Future Generations (Wales) Act 2015.

- Grant funded services capture outcomes to demonstrate their positive contributions to the following well-being goals.

  ➢ A Prosperous Wales

  ➢ A Resilient Wales

  ➢ A Healthier Wales

  ➢ A More Equal Wales

  ➢ A Wales of Cohesive Communities

  ➢ A Wales of Vibrant and Thriving Welsh Language

Practitioner Perspective

PROS

- May encourage use of service - to meet KPIs and positively affect case for funding and staffing

- Demonstrate what we do to various stakeholders

- Credit and satisfaction to the practitioners for their hard work

- To go beyond usage numbers

CONS

- Hard to engage clients in this

- Client's perception of impact may change over time

- Outcomes are not impact

- Measuring ourselves - are we objective?

- How to make other work count

Hot seat

How should funding decisions be informed in the social welfare advice sector?

325

What can be done?

Reflections from Jeffrey Matsu
    Chief Economist, CIPFA

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What can be done?

Reflections from Neil Stanworth
  ATQ Consultants

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Call to action

Dr Mara Airoldi
    Academic Director
    GO Lab, University of Oxford

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Audience Q&A

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Thank you!

We would love your feedback!

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Deep Dive 2.6

Enhancing the effectiveness of spending for environmental and social outcomes

Chair: Kieron Boyle,
Impact Investing Institute

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Session engagement

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Driving Climate Results with Effective Climate Finance

September 2023

INSTIGLIO

TYING FUNDING TO IMPACT

1	The need for effective climate finance
2	The practice and potential of paying for climate results
3	Pull finance: a promising means of paying for climate results

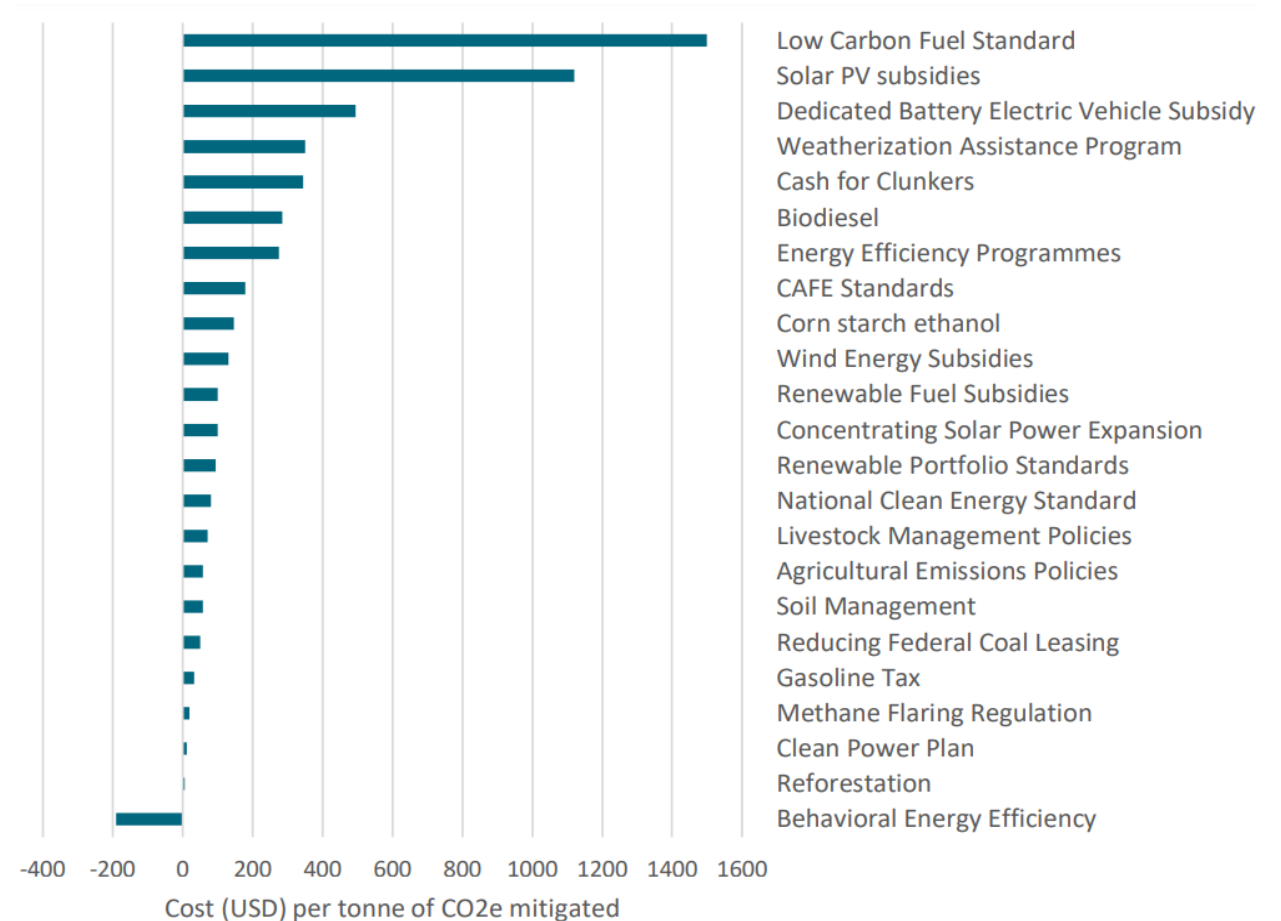# While more is needed, billions are being spent on climate finance

But are these billions being used as effectively as possible to produce climate results?

At COP21 in 2015, high-income countries committed to providing **$100 billion** in climate finance to developing countries and have provided **over $80 billion** annually since 2019

But, while more funding is needed, questions remain on how to use this spending as effectively as possible…

…evidence shows widely varying climate spending effectiveness across interventions*

Chart categories (top to bottom):
Low Carbon Fuel Standard
Solar PV subsidies
Dedicated Battery Electric Vehicle Subsidy
Weatherization Assistance Program
Cash for Clunkers
Biodiesel
Energy Efficiency Programmes
CAFE Standards
Corn starch ethanol
Wind Energy Subsidies
Renewable Fuel Subsidies
Concentrating Solar Power Expansion
Renewable Portfolio Standards
National Clean Energy Standard
Livestock Management Policies
Agricultural Emissions Policies
Soil Management
Reducing Federal Coal Leasing
Gasoline Tax
Methane Flaring Regulation
Clean Power Plan
Reforestation
Behavioral Energy Efficiency

X-axis: -400 -200 0 200 400 600 800 1000 1200 1400 1600

Cost (USD) per tonne of CO_2e mitigated

Donors are exploring effective finance in pursuit of climate results

Adapting tools used to produce social outcomes to achieve climate results in diverse sectors

Supports countries to achieve climate outcome with a range of tools, including Results-Based Financing (RBF)

$215 million in capital

'One-stop' shop for Bank administered RBF programs

$1 billion 2023 target
$5 billion in the medium term

Pays-for-Results with prize competitions to incentivize progress on agriculture results

$152 million

Paying for climate and other benefits from forestry

$1 billion

Pull finance is one promising example of paying for climate results

Creating incentives and spurring innovation to solve pressing challenges in diverse contexts

Pull finance ties payments to outcomes to incentivise innovation, development and deployment of technologies and solutions limited by market failures
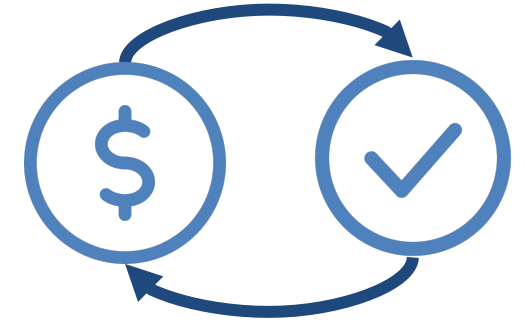
A $1.5 billion pull finance mechanism was used for the **development and distribution of a pneumococcal vaccine, successfully saving an estimated 700,000 lives**

When the pandemic hit, pull finance was used to create incentives **to develop a COVID vaccine, enabling the quickest medical breakthrough in history**

We now must 'pull' new clean climate technologies into the market

Providing incentives for clean technologies is needed to limited climate change and save lives

Responding to this need, key actors are exploring pull finance mechanisms:

UK Government developing a £170m pull finance facility for clean climate tech in developing countries

University of Chicago developing proposals for pull finance to address global challenges including climate change

CGD has established a substantial research program on the role of pull finance to address climate change and deliver development results

An example: could pull finance enable the decarbonisation of cement?

How to escape a market trap maintaining a high-emissions status quo?
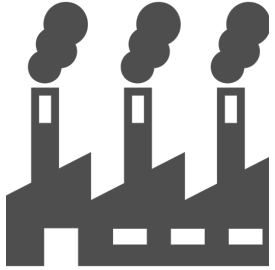
Cement production is one of the leading contributors to climate, representing 7-8% of global CO_2 emissions, a figure expected to double by 2050
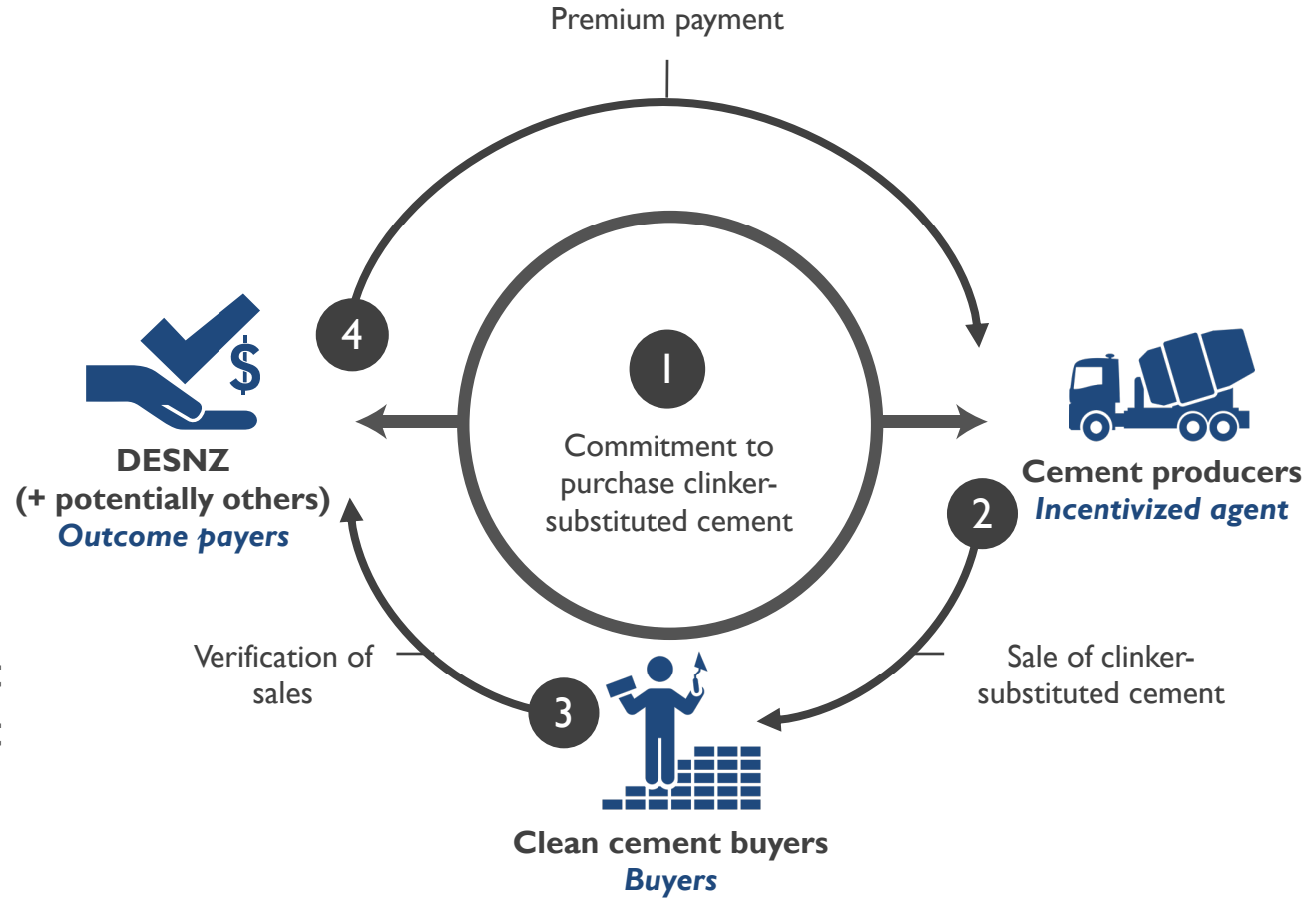
Alternative cement production using "clinker-substituted" could reduce emissions by almost 50% (e.g. using fly ash or kaolin clays)

Clean cement alternatives are be affordable to produce but the market is trapped in high-emissions status quo due to the one-off transition costs and the lack of financial incentives to bear these costs

Using pull finance to decarbonise cement in Nigeria

A one-off pull finance investment would provide the incentives to escape the market trap

✓ Pull finance could pay a 5% **premium for clean cement to incentivize a shift to cleaner alternatives**

✓ **~£60m could incentivize 11 million tonnes of clean cement over 3 years, reaching a domestic market share of 10%**

✓ The **mechanism** would **mitigate almost 2 million tonnes of emissions at a cost of ~£32 per tonne** and drive a sustained market shift

Premium payment

4

1
Commitment to purchase clinker-substituted cement

DESNZ
(+ potentially others)
Outcome payers

Cement producers
Incentivized agent

2

Verification of sales

3

Sale of clinker-substituted cement

Clean cement buyers
Buyers

Where to from here?
What is the role of the Social Outcomes community in combating climate change?

? How can those experienced and active in producing social outcomes help advance climate outcomes?

? How can donors be supported effectively to adopt these tools?

? How can we develop evidence on what works where and when for climate finance?

How can we unlock greater impact together?

Ben Stephens

Associate Partner

benjamin.stephens@instiglio.org

Visit
www.Instiglio.org

Thanks!

"LET'S GO TO THE LAND INSTEAD:" INDIGENOUS PERSPECTIVES ON BIODIVERSITY AND THE POSSIBILITIES OF REGENERATIVE CAPITAL

- Diane-Laure Arjaliès, Ivey Business School, Sustainable Finance Lab (London, ON)

September 15h, 2023

Photo: Sam Whiteye

Empowering the Human-Nature Bond

Discover the relationships facilitated by the Deshkan Ziibi Conservation Impact Bond

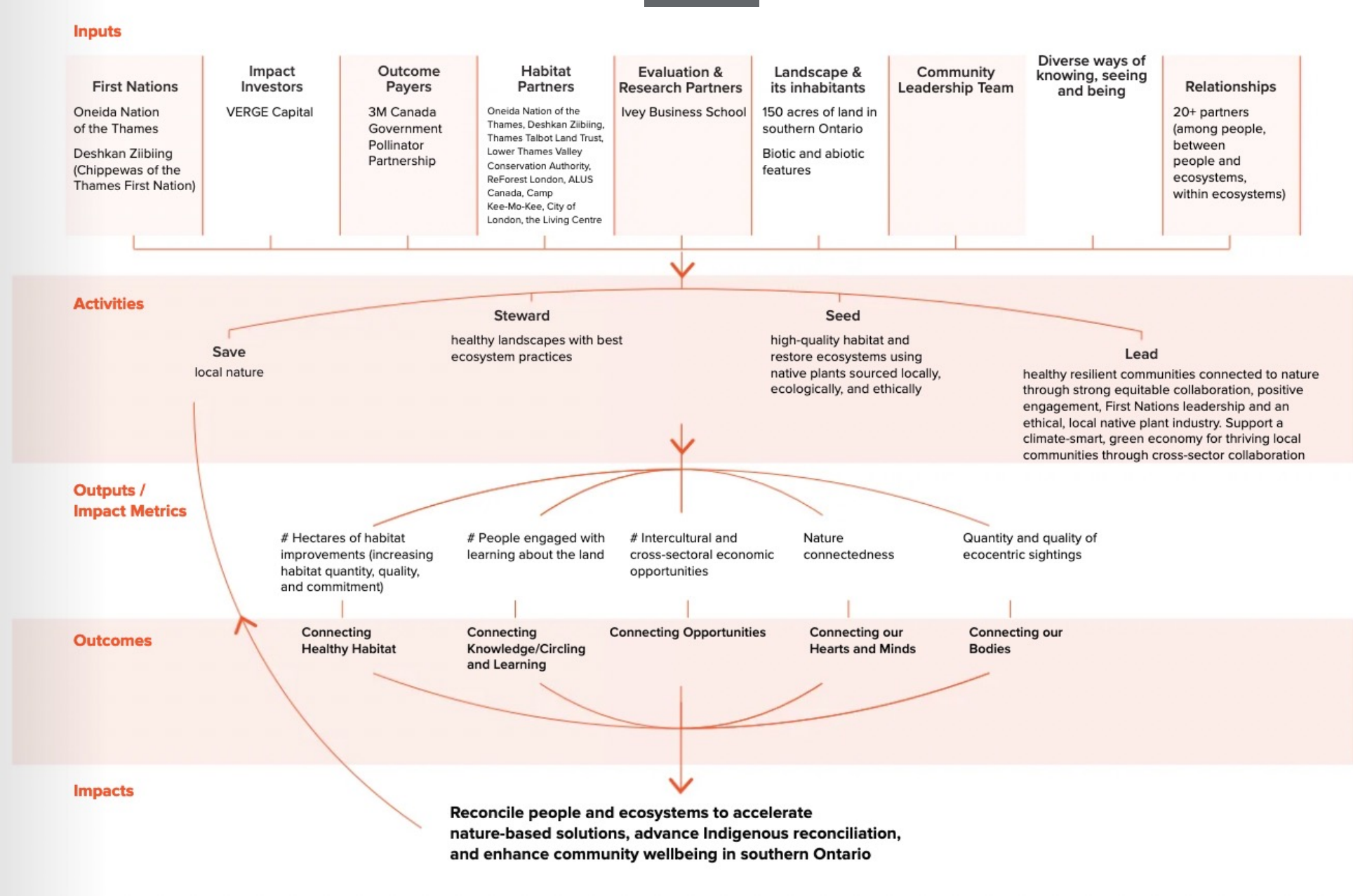**The Deshkan Ziibi Conservation Impact Bond Leadership Team**

The Deshkan Ziibi Conservation Impact Bond

PARTNERS OF THE DESHKAN ZIIBI CONSERVATION IMPACT BOND

Theory of Change

Inputs

First Nations

Oneida Nation of the Thames

Deshkan Ziibiing (Chippewas of the Thames First Nation)

Impact Investors

VERGE Capital

Outcome Payers

3M Canada Government Pollinator Partnership

Habitat Partners

Oneida Nation of the Thames, Deshkan Ziibiing, Thames Talbot Land Trust, Lower Thames Valley Conservation Authority, ReForest London, ALUS Canada, Camp Kee-Mo-Kee, City of London, the Living Centre

Evaluation & Research Partners

Ivey Business School

Landscape & its inhabitants

150 acres of land in southern Ontario

Biotic and abiotic features

Community Leadership Team

Diverse ways of knowing, seeing and being

Relationships

20+ partners (among people, between people and ecosystems, within ecosystems)

Activities

Save
local nature

Steward
healthy landscapes with best ecosystem practices

Seed
high-quality habitat and restore ecosystems using native plants sourced locally, ecologically, and ethically

Lead
healthy resilient communities connected to nature through strong equitable collaboration, positive engagement, First Nations leadership and an ethical, local native plant industry. Support a climate-smart, green economy for thriving local communities through cross-sector collaboration

Outputs / Impact Metrics

Hectares of habitat improvements (increasing habitat quantity, quality, and commitment)

People engaged with learning about the land

Intercultural and cross-sectoral economic opportunities

Nature connectedness

Quantity and quality of ecocentric sightings

Outcomes

Connecting Healthy Habitat

Connecting Knowledge/Circling and Learning

Connecting Opportunities

Connecting our Hearts and Minds

Connecting our Bodies

Impacts

Reconcile people and ecosystems to accelerate nature-based solutions, advance Indigenous reconciliation, and enhance community wellbeing in southern Ontario

Ethical Spaces for Collaborations

2019	2020		

February: Shifting the Paradigm Forum 2019 - Growing Healthy Landscapes

This forum was presented by Carolinian Canada, WWF-Canada, the Royal Ontario Museum, and VERGE Capital. The forum focused on fostering cross-sector collaboration to ecosystem work, green investment, and native plants to create healthy landscapes and resilient communities in southern Ontario.

March: Shifting the Paradigm Forum 2020 - Nature Works! Restoring our Future by 2030

This forum was hosted through a collaborative initiative between Carolinian Canada and WWF-Canada. The forum was on taking action to support nature-based solutions during the UN Decade of Ecosystem Restoration and the role of conservation finance. 120 people attended the forum.

November: Uncovering the Regenerative Capability of the DZCIB Workshop

This workshop brought together the Leadership Team and practitioners from Regenesis group[292] to explore and discuss different perspectives on the regenerative capability of the DZCIB project.

December: Decolonizing the DZCIB Workshop #1

This workshop was facilitated by Leslee White-Eye, former Chief of the Chippewas of the Thames First Nation, and attended by members of the DZCIB Leadership Team. Leslee shared pre-readings, principles of the Anishinaabe worldview, and guided the group through exercises centered around decolonizing the work of the DZCIB project.

2021		

March: Impact Assessment Workshop

This workshop was facilitated by Dr. Diane-Laure Arjaliès to update the Leadership Team on the bond's impact metrics and evaluation framework and receive everyone's feedback, perspectives, and ideas. This workshop resulted in the selection of the DZCIB's five pay-for-success metrics.

March: Decolonizing the DZCIB Workshop #2

This workshop was facilitated by Leslee White-Eye and attended by members of the Leadership Team. This workshop was a follow-up to Decolonizing the DZCIB Workshop #1 and discussed how to implement the teachings shared by Leslee into practice.

July: Habitat Restoration in the Spirit and Practice of Reconciliation Workshop

This workshop was facilitated by Leslee White-Eye and was attended by members of the Leadership Team and habitat partners of the DZCIB. The purpose of this session was to have a deeper dialogue about infusing practices into the work of the Deshkan Ziibi CIB to live out the intentions of reconciliation and to extend the dialogue to include habitat partners. This workshop centered around Anishinaabek principles and practices in land relations and management, and ways to improve the quality of land relations in conservation work.

Discussion

A New Form of MSI: A Two-Eyed Seeing Partnership Model

A New Form of Conservation Finance: Regenerative Finance for Indigenous Resurgence and Biodiversity Conservation

Ownership Matters: Indigenous Sovereignty and Land Rights

MIIGWECH

Diane-Laure Arjaliès, Ivey Business School

darjalies@ivey.ca

Photo credit Ben Porchuk

BRIDGES
OUTCOMES
PARTNERSHIPS

WeCyclers Outcomes Partnership

WeCyclers Outcomes Partnership is a project that is targeting environmental and social outcomes in Nigeria

- Project launched May 2023

- Based in Nigeria

- Corporate funded outcomes contract

- The project is expanding on a previous pilot funded through a grant by Unilever and FCDO

- The outcomes contract is looking to scale Wecycler's collection capabilities and create lasting social outcomes

- Wecyclers has a strong experience working with communities to reduce pollution and create new economic opportunities.

This outcomes contract is looking at achieving environmental outcomes through building up plastic collection capabilities alongside social outcomes supporting entrepreneurship and employment

Environmental Outcomes

Plastics waste
• Nigeria generates 32m tonnes of solid waste yearly, one of the highest in Africa, from that figure, plastic constitutes 2.5m tonnes. Currently only 12% of waste is formally recycled.
• Many parts of the cities and towns do not benefit from any organized waste management services and therefore wastes are unattended to, buried, burnt or disposed haphazardly.
• The mismanaged solid and plastic wastes are also causing manmade natural disasters, especially in the light of climate change. The dumped wastes over canal or river bank clog up drainage/sewage systems, further increases flood risk and creates environmental and health problems

Target to collect **33K tonnes of PET**
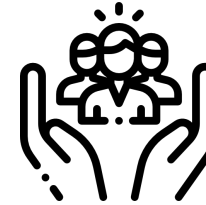
Social Outcomes

Unemployment
• Currently, 33.3% or 23.2 million of the about 70 million people who should be working in Nigeria are unemployed, with youth unemployment topping 40%

Create **780 jobs**
Salaries **25% above the**
Nigerian minimum wage

This outcomes contract comes alongside an additional investment into Wecyclers and its own plastic processing plant by Norfund

Outcomes contract

Collection

Collectors

↓

Franchises

wecyclers

Collection

Processing
Today

Third Party

Processing
Expected

Own plant

wecyclers

Plastic Flakes

Sell plastic flakes through off-take agreements which will reintegrate the supply chain.
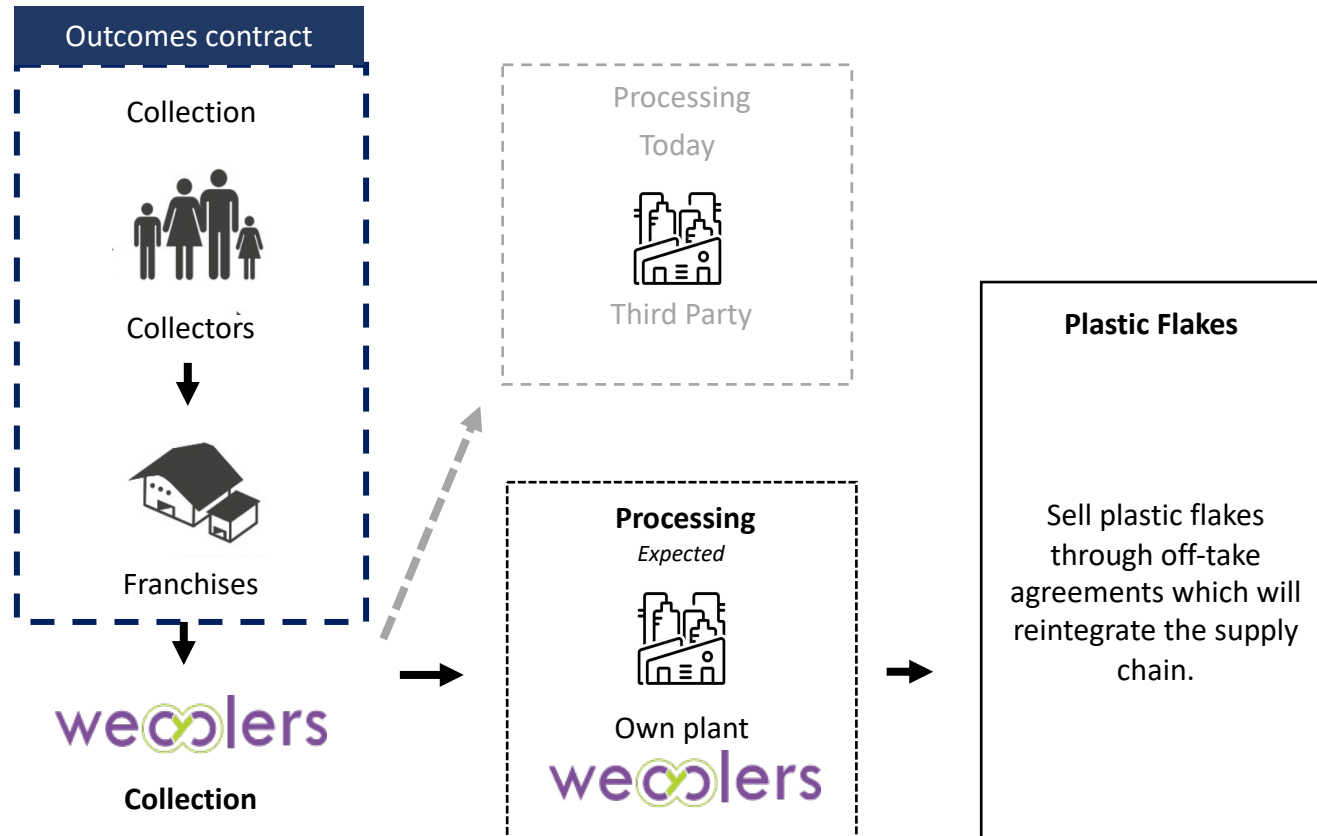
- The outcomes contract will enable Wecyclers to collect more plastic waste by scaling its collection model

- Together with the processing plant, Wecyclers will be able to sell the collected plastic at better prices once processed

- This will benefit the broader network of collectors, sorters, balers and franchisees

BRIDGES OUTCOMES PARTNERSHIPS

Sorters ○   Franchisee ○○   Balers   Collectors   Management team
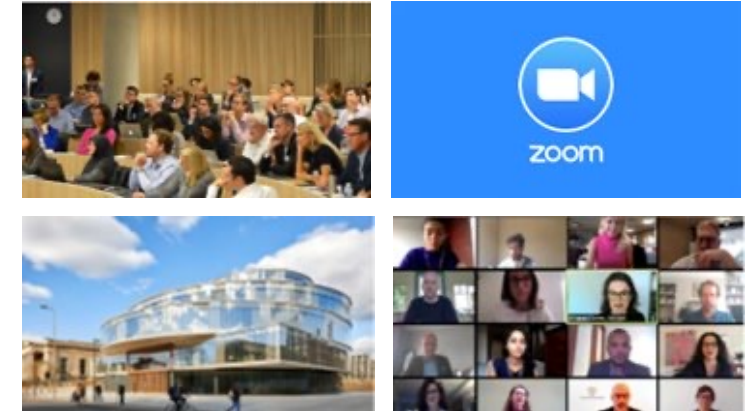
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Introducing our speakers

Harry Bregazzi
University of Oxford

Jonathan Ng
USAID

Milena Castellnou
Education Outcomes Fund

Stephen Chandler
Education Outcomes Fund

Caroline Bernadi
Village Enterprise

Jessica Davies
Social Finance

Abhik Sen
United Nations

Thank you!

We would love your feedback!

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SAVE THE DATE
#SOC24
12 - 13th September 2024

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