



GOVERNMENT OUTCOMES LAB

Social Outcomes Conference 2024
5-6th September

WELCOME



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**GOVERNMENT
OUTCOMES
LAB**

Welcome to the Social Outcomes Conference 2024



#SOC24
BLAVATNIK SCHOOL OF GOVERNMENT & ONLINE



About the Government Outcomes Lab



Hot off the GO Lab press



INDIGO Impact Bond Insights

Edition 6: August 2024



RESEARCH DATA JOURNAL FOR THE HUMANITIES
AND SOCIAL SCIENCES (2024) 1–14



The Impact Bond Dataset: A Tool to Investigate Socially Motivated Cross-Sector Partnerships

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Abstract

The INDIGO Impact Bond Dataset is an open-access dataset that describes a specific form of impact-focused cross-sector partnership adopted worldwide since 2010. These partnerships are data-rich in principle, yet historically, little data is shared and re-used. The dataset is the result of an engaged, collaborative process where different organisations involved in impact bond projects share data with the INDIGO initiative.

The GO Lab team



Dr Mara Airoidi
Academic Co-Director



Dr Eleanor Carter
Academic Co-Director



Andreea Anastasiu
Executive Director



Juliana Outes Velarde
Senior Data Steward



Dr Felix-Anselm van Lier
Postdoctoral Research
Fellow



Franziska Rosenbach
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Economist



Dr Jonathan Davies
Project Officer



Wachiravit Kongkarai
Data Analyst Assistant

GO Lab Fellows of Practice



Abhik Sen
United Nations



Ailsa Cook
Matter of Focus



Aneta Wierzynska
Global Fund to
Fight AIDS



Jeffrey Matsu
Chartered Institute of Public
Finance & Accountancy



Joe Abah
Nigeria Country
Director of DAI



Liam Sloan
Public Digital



Raffaella de Felice
Global Steering Group



Miranda Lee
New South Wales Office of
Social Impact Investment



Jonathan Ng
US Agency for International
Development



Russell Jones
London Borough of Southwark and South East
London Integrated Care Board

SOC24 - Programme

Keynote: Professor Tina Nabatchi, Syracuse University

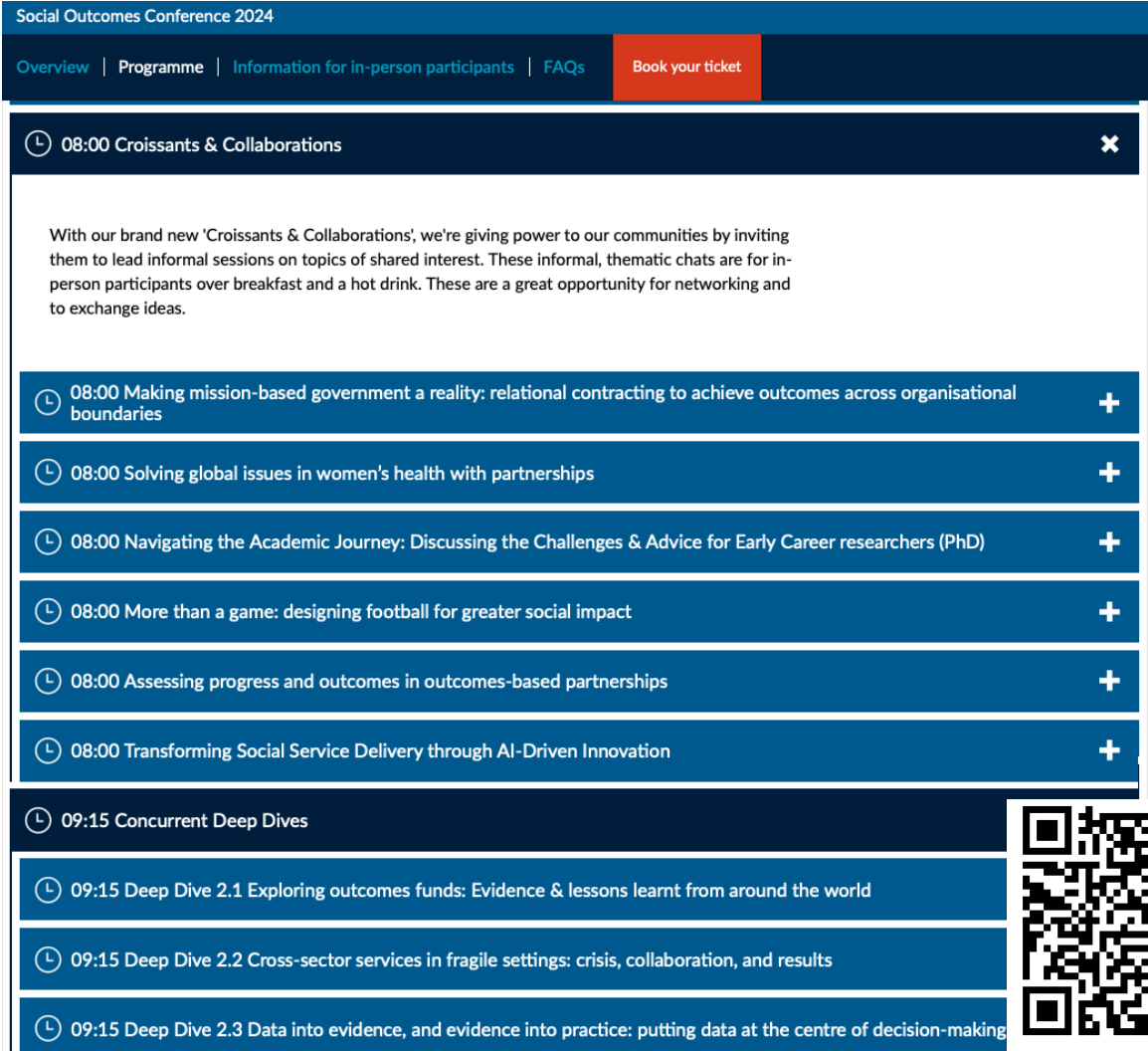
2 x **Big Picture** sessions

12 x **Deep Dive** sessions

NEW: 6 X **Croissants & Collaborations**

TODAY: Report Launch: The Evolution of Social Outcomes Partnerships in the UK

TOMORROW: Public talk: Power to People and Places: In Conversation with Andy Burnham, Mayor of Greater Manchester



Social Outcomes Conference 2024

[Overview](#) | [Programme](#) | [Information for in-person participants](#) | [FAQs](#) | [Book your ticket](#)

08:00 Croissants & Collaborations

With our brand new 'Croissants & Collaborations', we're giving power to our communities by inviting them to lead informal sessions on topics of shared interest. These informal, thematic chats are for in-person participants over breakfast and a hot drink. These are a great opportunity for networking and to exchange ideas.

08:00 Making mission-based government a reality: relational contracting to achieve outcomes across organisational boundaries

08:00 Solving global issues in women's health with partnerships

08:00 Navigating the Academic Journey: Discussing the Challenges & Advice for Early Career researchers (PhD)

08:00 More than a game: designing football for greater social impact

08:00 Assessing progress and outcomes in outcomes-based partnerships


08:00 Transforming Social Service Delivery through AI-Driven Innovation

09:15 Concurrent Deep Dives

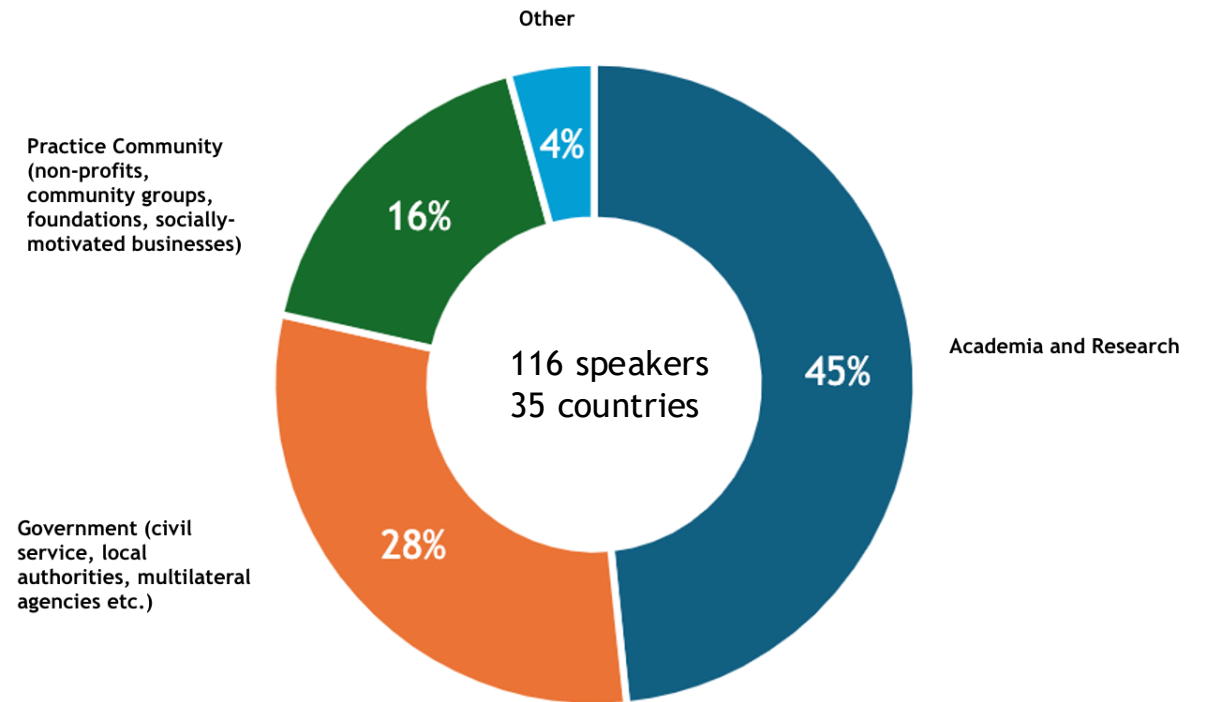
09:15 Deep Dive 2.1 Exploring outcomes funds: Evidence & lessons learnt from around the world

09:15 Deep Dive 2.2 Cross-sector services in fragile settings: crisis, collaboration, and results

09:15 Deep Dive 2.3 Data into evidence, and evidence into practice: putting data at the centre of decision-making



SOC24 - Themes & speakers



SOC24 community

Join at
slido.com
#SOC24



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Welcome to the Blavatnik School of Government



Professor Ngaire Woods

Founding Dean
Blavatnik School of Government
University of Oxford

Keynote



Of Clocks and Clouds: Addressing Public Problems in the 21st Century

Professor Tina Nabatchi

Joseph A. Strasser Endowed Professor in Public
Administration

Maxwell School of Citizenship and Public Affairs Syracuse
University



Of Clocks and Clouds: Addressing Public Problems in the 21st Century

Tina Nabatchi

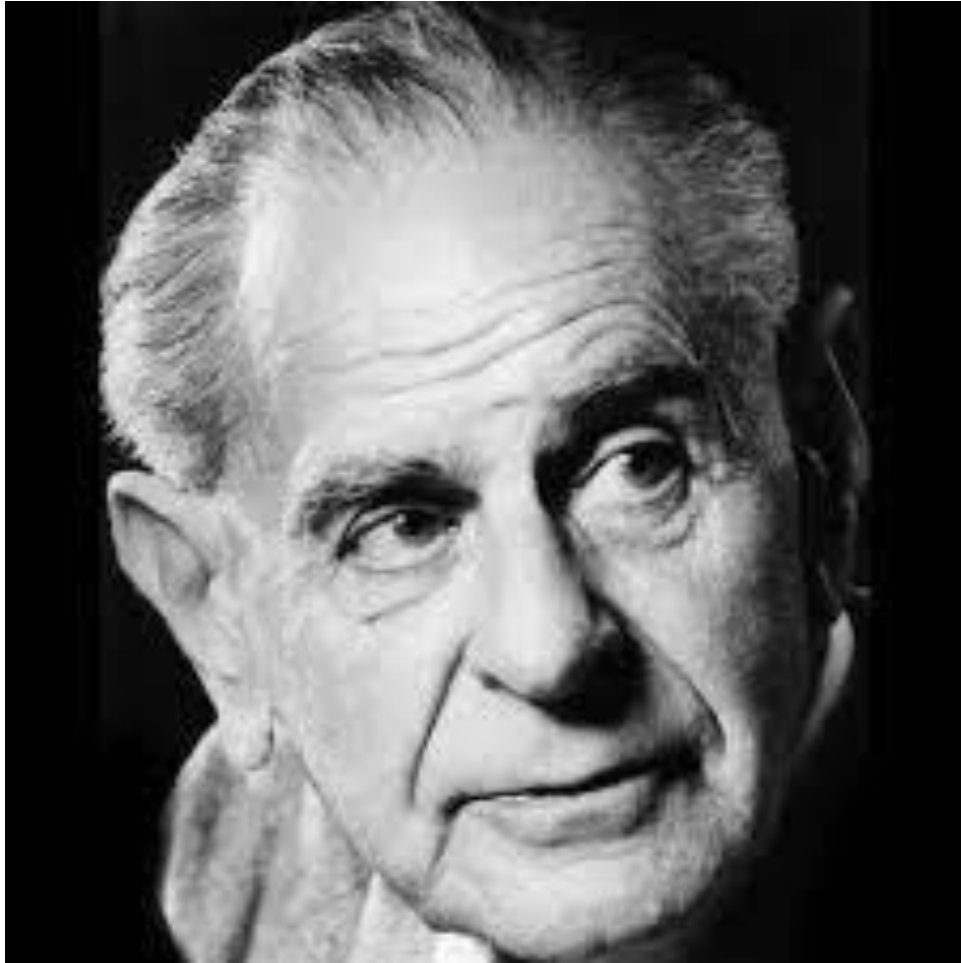
Joseph A. Strasser Endowed Professor of
Public Administration

Maxwell School of Citizenship & Public Affairs



Collaboration is no
longer optional.
It is obligatory.

Of Clocks and Clouds



Of Clocks and Clouds

- A mechanical phenomenon
 - Regular, orderly, predictable
 - Neat and structured
 - Problem solving through disassembly, examination, and reassembly
- A natural phenomenon
 - Irregular, disorderly, unpredictable
 - Messy and ever-changing
 - Address problems through study of issues and all the factors that directly and indirectly shape it



Clock Problems

- Well defined
- Clear problem statement
- Solvable with standardized techniques
- Postal services and procedures
- Vaccine distribution and administration
- Authority held by one (or a few) actors
- Water and sewerage systems
- Actors have disciplinary or specialized expertise
- Agreement on the problem, relevant knowledge, values, and norms, and goals for the solution



Cloud Problems



- Undefined
- No clear problem statement
- Climate change, sustainable development, green economies
- “Solution” evolves in parallel with a set of interlocking issues and migration, refugees, human trafficking
- Authority dispersed among multiple actors in multiple sectors and jurisdictions
- Governance of emerging technologies
- Democratic rollbacks, populism and authoritarianism
- Conflicting and diffuse expertise
- Disagreement on the problem, relevant knowledge, values, and norms, and goals for the solution

Clock Problems and Cloud Problems

Clock Problems

- Well defined
- Clear problem statement
- Solvable with standardized techniques and procedures
- Authority held by one (or a few) actors
- Actors have disciplinary or specialized expertise
- Agreement on the problem, the relevant knowledge, values, and norms, and the goals for the solution.

Cloud Problems

- Undefined
- No clear problem statement
- “Solution” evolves in parallel with a set of interlocking issues and constraints
- Authority dispersed among multiple actors in multiple sectors and jurisdictions
- Conflicting and diffuse expertise
- Disagreement on the problem, the relevant knowledge, values, and norms, and the goals for the solution.

How we should **NOT** address cloud problems

We cannot pretend that cloud problems are clock problems that easily can be structured and solved.

We cannot try to solve cloud problems by using only convergent thinking.

We cannot use traditional expert-driven or managerialist approaches to address cloud problems.

How we **SHOULD** address cloud problems

We should accept and acknowledge cloud problems for what they are: complex, contentious, controversial, and continuously changing.

We should encourage, emergent, divergent, and convergent thinking.

We should use collaborative and participatory approaches that are on-going, iterative, creative, dynamic, and adaptable.

Ten Principles for Addressing Cloud Problems

Ten Principles for Addressing Cloud Problems

1. Adopt a learning strategy.
2. Embrace diverse knowledge and new patterns of knowledge production.
3. Welcome the participation and input of multiple actors.
4. Encourage multidimensional methods of engagement.
5. Treat people like adults.



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Respect

Recognition

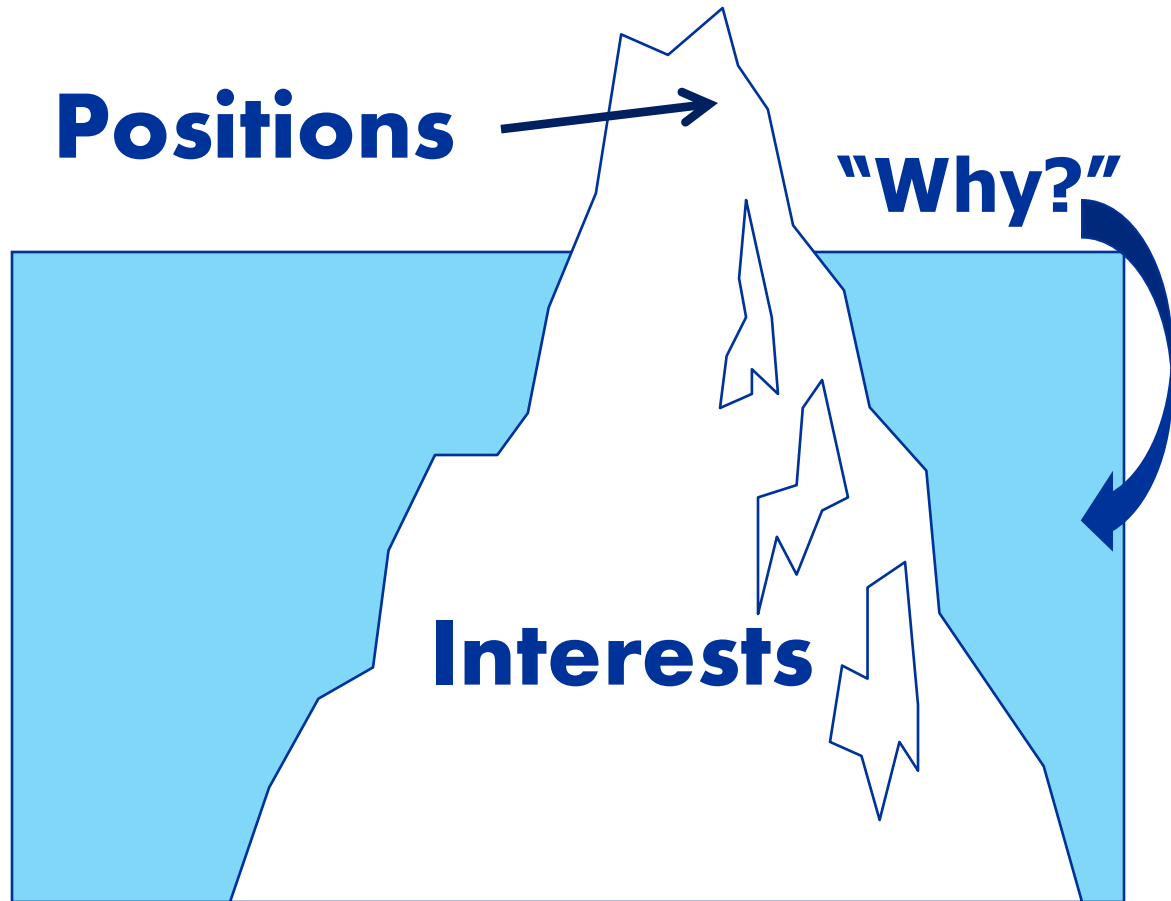
Responsibility

Ten Principles for Addressing Cloud Problems



6. Give good process
7. Focus on interests, not positions.
8. Develop theories of change and action strategies.
9. Reframe “failure” as a “learning opportunity.”
10. Nurture creativity, innovation, and experimentation.

Ten Principles for Addressing Cloud Problems



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Thank you!

Tina Nabatchi, PhD

Joseph A. Strasser Endowed Professor of Public Administration
Director, Program for the Advancement of Research on Conflict
and Collaboration (PARCC)

Maxwell School of Citizenship and Public Affairs

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Q&A



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GOVERNMENT OUTCOMES LAB



Prof Tina Nabatchi
Syracuse University



Dr Eleanor Carter
GO Lab
University of Oxford



Mario Calderini
Politecnico di Milano
School of Management



Russell Jones
Southwark Council
and SEL ICB



Dr Chih Hong Sin
Independent

Panel discussion



Mario Calderini

Director, Tiresia & full professor at Politecnico di Milano School of Management

Mario Calderini's current work focuses on how to enable organisations to act on their purpose and deliver meaningful impact ahead of the big societal challenges the world will confront. He is widely published in highly ranked academic journals in the field of impact innovation, strategy and investing. In 2021, Apolitical named Mario Calderini one of the 100 World's Most Influential Academics in Government.

Over the past 10 years Mario has served successive Italian governments as Senior Scientific Advisor. He was recently appointed as advisors on social economic policy for the European commission.

Mario Calderini's work has shaped the field of social impact investing and has transformed how governments develop a new generation of policies for the social economy.



Russell Jones

Assistant Director, Integrated Commissioning, Southwark Council and SEL ICB

Russell is a senior leader with over a decade of experience working in and for local government and the NHS - predominantly in roles driving health, social care, housing, and community partnerships.

Russell started his career as a frontline youth worker and subsequently progressed into operational management and commissioning roles - initially in Children's services, and subsequently spanning Adult Social Care, Public Health, Health, Education, and Housing. Russell is an accredited Peer for the Local Government Association, supporting its sector-led improvement programme, and he is a career mentor for the local government graduate programme and an NHS equalities mentoring programme.



Eleanor Carter

Academic Co-Director for the Government Outcomes Lab and UKRI Future Leaders Fellow

Eleanor's research investigates challenges in coordinating complex public service delivery networks and cross-sector partnerships. She is one of Apolitical's 100 Most Influential Academics in Government.

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

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



Chih Hoong Sin

Advisor on outcomes contracting and impact investment, Independent

Chih Hoong is an independent Advisor to a number of governments and public bodies on outcomes contracting and impacting investment in the UK, Abu Dhabi, Japan, Hong Kong, Singapore, and others. He has also been advising international bodies, such as UNESCO, UNICEF, and the WHO, on these topics.

He was formerly Chair of Traverse (formerly known as the Office for Public Management - OPM) and Director for Innovation and Social Investment.

Since 2011, he has been involved in end-to-end development, implementation and evaluation social outcomes contracts, and has also been supporting a number of Outcomes Funds.





GOVERNMENT OUTCOMES LAB

Q&A



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Coffee break

UP NEXT:
Deep Dives from 11.30am



Check out the programme & choose your session



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Thank you!

We would love your feedback!



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GOVERNMENT OUTCOMES LAB

Deep Dive 1.1 Strengthening partnerships for collaborative learning in outcomes-based financing for education projects

Chair: Dr Arushi Terway, NORRAG, Geneva Graduate Institute



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Outcomes Based Financing for Early Childhood Care and Education: A Year of Learning

Dr. Ozsel Beleli

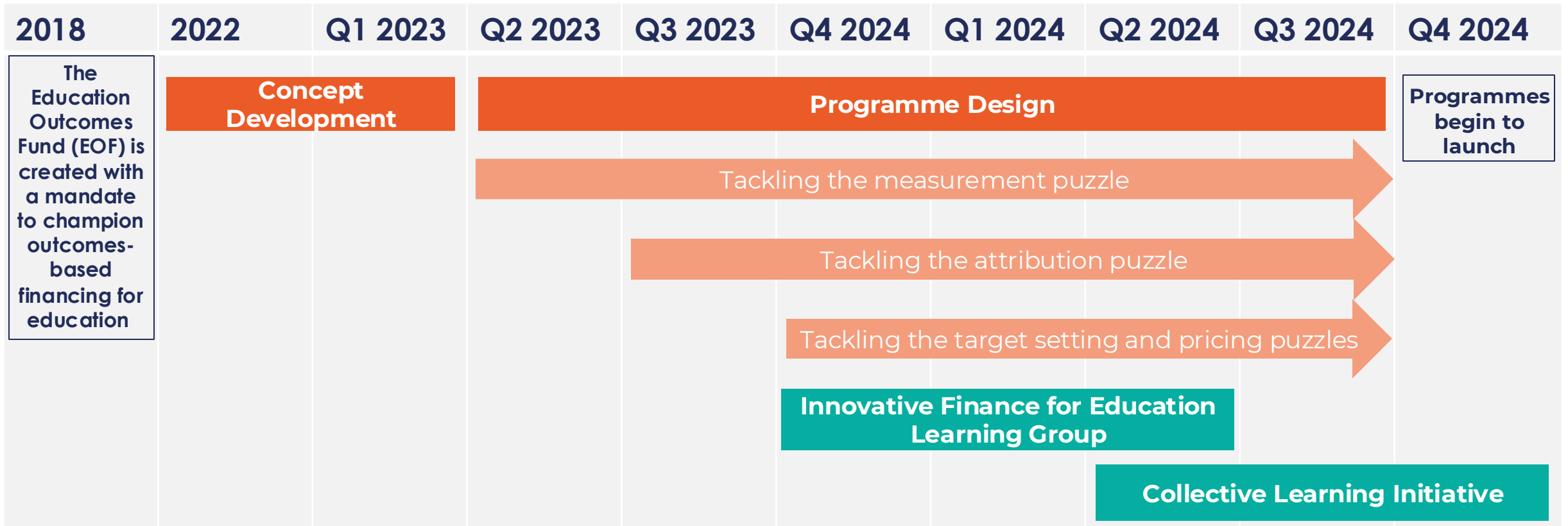
Head of Learning and Engagement, Education Outcomes Fund

5 September 2024

Our sources of learning



EOF partners with the LEGO Foundation and the governments of **Rwanda, Sierra Leone, and South Africa** to develop **outcomes funds for early childhood care and education (ECCE)**.



While pioneering the use of outcomes funds for ECCE, EOF encountered steep learning curves.



The Outcomes Pricing Puzzle



The Target Setting Puzzle



The Attribution Puzzle



The Measurement Puzzle

We quickly came to realize that doing does not automatically translate to learning. Increasingly, we engage in active, collective reflection to adapt, improve, and share our learnings with others in the OBF community of practice.



Recognizing the power of collective learning, and seeking to learn from other exceptional organisations and practitioners working in ECCE and in OBF, led us to co-convene two peer-to-peer learning groups:

Innovative Finance for Education Learning Group



Collective Learning Initiative OBF4ECCE





Continuation of the Collective Learning Initiative: OBF4ECCE



Phase 2 of Innovative Finance Learning Group focusing on Early Childhood



Continuing to reflect, capture, and share our learnings externally

THANK YOU

ozsel@edufundmea.org

Equitable Foundational Learning Outcomes



Teaching & Learning



Teachers are central



Work with the government



Work at scale



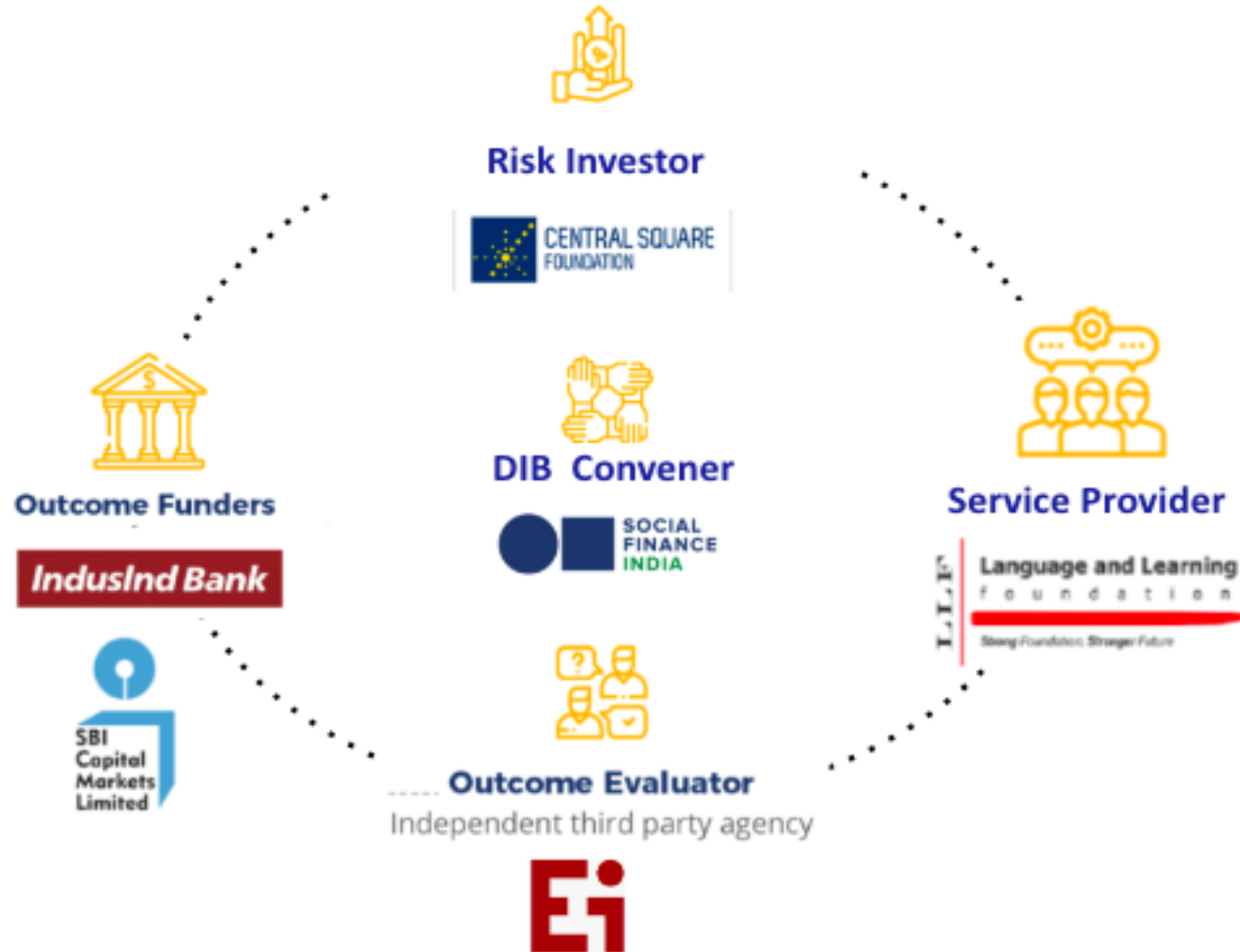
Use of children's familiar languages

Target (2026): 3.5 M children have improved learning outcomes

| Outcome Based Funding Project | Budget | Outreach | Model | Outcome |
|--|---------------|------------------|---|--|
| Early Literacy Development Impact Bond (2019-22) [Haryana, 7 districts] | \$1.8 Million | 164,000 children | Quasi experimental design with control and treatment (DiD based analysis) for student learning outcomes from baseline to endline. For example, for LiftED, we have committed to achieve 0.32 SD for Grades 1 to 3, from 2022-23 to 2025-26. | 1. Improved Student Learning Outcomes , for example - Oral Reading Fluency, Addition, Subtraction, etc. 2. System Strengthening , for example - Effective block/district level meetings, teachers' adoption of effective FLN strategies, effective joint visits by government mentors, etc. |
| LiftED (2023-2027) [Haryana & Uttar Pradesh, 2 districts] | \$3.7 Million | 480,000 children | | |
| Prevail Fund (2023-2026) [Uttar Pradesh, 1 district] | \$2.1 Million | 143,817 children | | |
| Founders Pledge (2024-2027) [Uttar Pradesh & Chhattisgarh, 2 districts] | \$2.0 Million | 204,010 children | | |

Grants, such as those by the **Bill & Melinda Gates Foundation**, and corporate funding programs are also structured as outcome based models.

Early Literacy Outcomes Development Impact Bond (DIB) in Haryana: Simple Risk-Guarantee Mechanism



Early Literacy Outcomes Development Impact Bond (DIB) in

Goal : Improved foundational learning outcomes for all children in the entire state

1 district:
Kurukshetra

7 districts: Ambala, Fatehabad, Hisar, Jind, Kurukshetra, Sirsa and Yamunanagar



Pivot to
community-based
learning during
pandemic

Systems
reform
initiated



175
schools



3,300
children



966 schools



11,844
children



3,300
schools



72,913
children



3,300
schools



1,64,000
children

LLF's literacy program scaled from 1 to 7 districts

2018

2019

2020

2021

2022

2023

2024

2025

2026

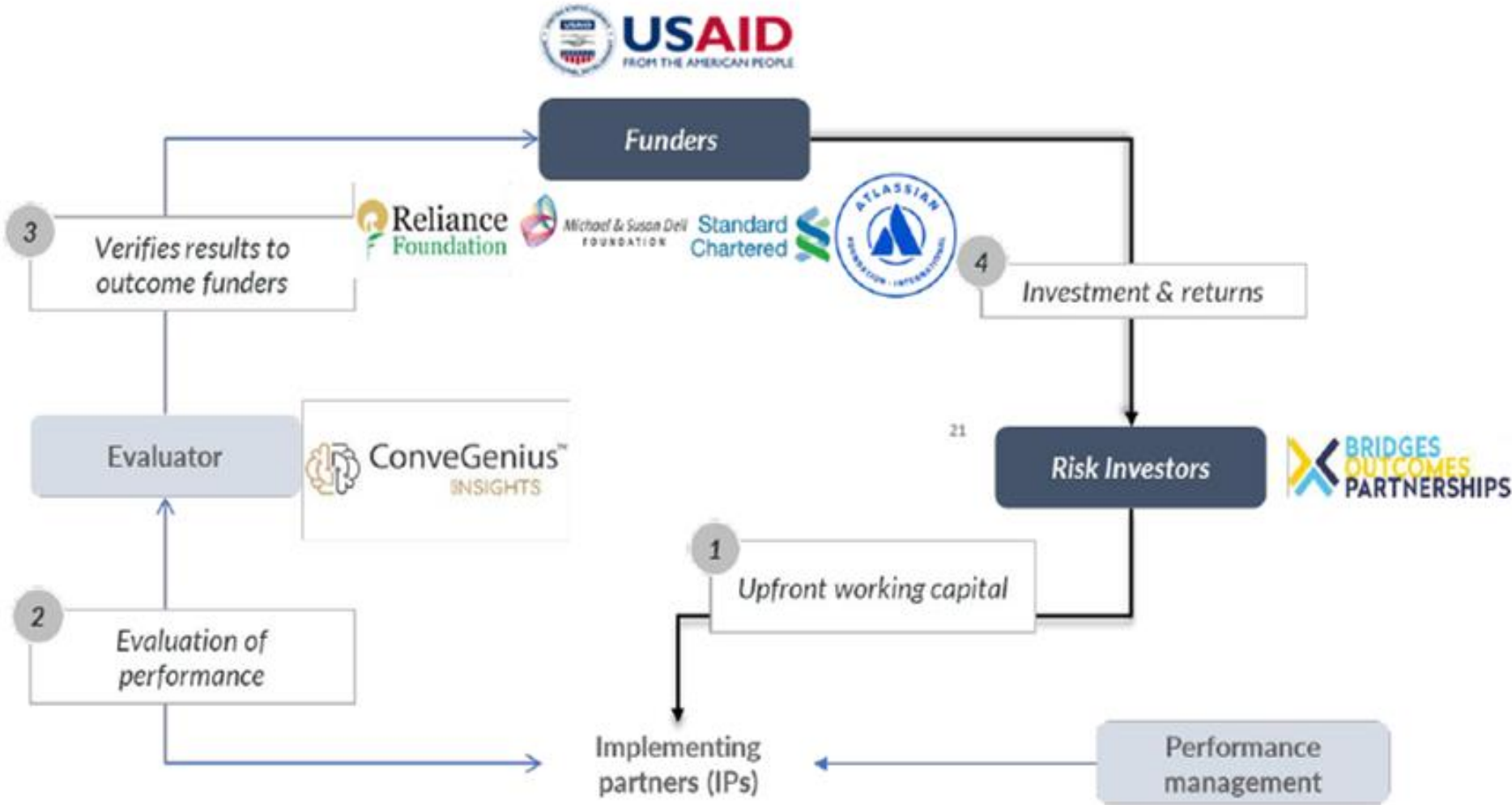


8,669 schools

All government primary schools in Haryana

Systems reform impacting the entire state,
covering literacy, numeracy and governance
initiatives

LiftED Programs in Uttar Pradesh and Haryana



Technical & Other partners

- British Asian Trust
Transaction manager
- CENTRAL SQUARE FOUNDATION
FLN technical advisor
- Dalberg
Facility designer



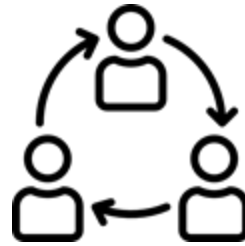
LiftEd: Enhancing Impact through Collaborative Evaluation

Partnerships in Design:

LLF played a key role in aligning the **design of System Strengthening Indicators (SSI)** with project **goals and payouts**, and investor requirements through early collaboration between evaluators, PMs and IPs and funders. Designation of **Year 1 as Learning Year**



Initially, monitoring indicators like SSI were not part of the LiftED project. Later, system strengthening was recognized as a key goal (50% payout weightage)



Over several iterations and discussions between LLF, Dalberg, and other partners, effective indicators were developed



Iterative refinement of SSI indicators—and their measurement and verification took almost a year

Collaborative Learning in Outcome Based Funding Projects

| Outcome Based Funding Project | Collaborative Learning |
|--|--|
| Early Literacy Development Impact Bond (2019-22) | <ol style="list-style-type: none">1. Monthly Steering Committee Meetings with CSR funders, Social Finance India, Risk Guarantor and Service Provider2. Research Engagement with TISS/NORRAG and ISDM |
| LiftED (2023-2027) | <ol style="list-style-type: none">1. Monthly updates on the program shared with the government; review meetings with Performance Manager and Investor2. Quarterly Leadership Meeting for strategizing3. Annual Cross Learning workshop and Consortium Meetup |
| Prevail Fund (2023-2026) | <ol style="list-style-type: none">1. Monthly and Quarterly updates and check-in with Funders |
| Founders Pledge(2024-2027) | |
| Bill and Melinda Gates Foundation (2023 - 2026) | <ol style="list-style-type: none">1. Annual third-party outcome and process evaluation for evidence building. |

Lunch

UP NEXT:
Deep Dives from 2pm



Check out the programme & choose your session



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Thank you!

We would love your feedback!



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Deep Dive 1.2 Thinking big, thinking little: partnerships for climate and environmental impact at multiple scales

Chair: Dr Harry Bregazzi, University of Oxford



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An aerial photograph of a winding asphalt road that snakes through a dense, vibrant green forest. The road has a red-painted curb and is surrounded by thick vegetation. The overall scene is a lush, natural landscape.

Paying for climate results: Tackling the climate crisis with Results-Based Climate Finance

Aug 2024

Agenda

1

The need for Pull Finance in the context of international climate finance

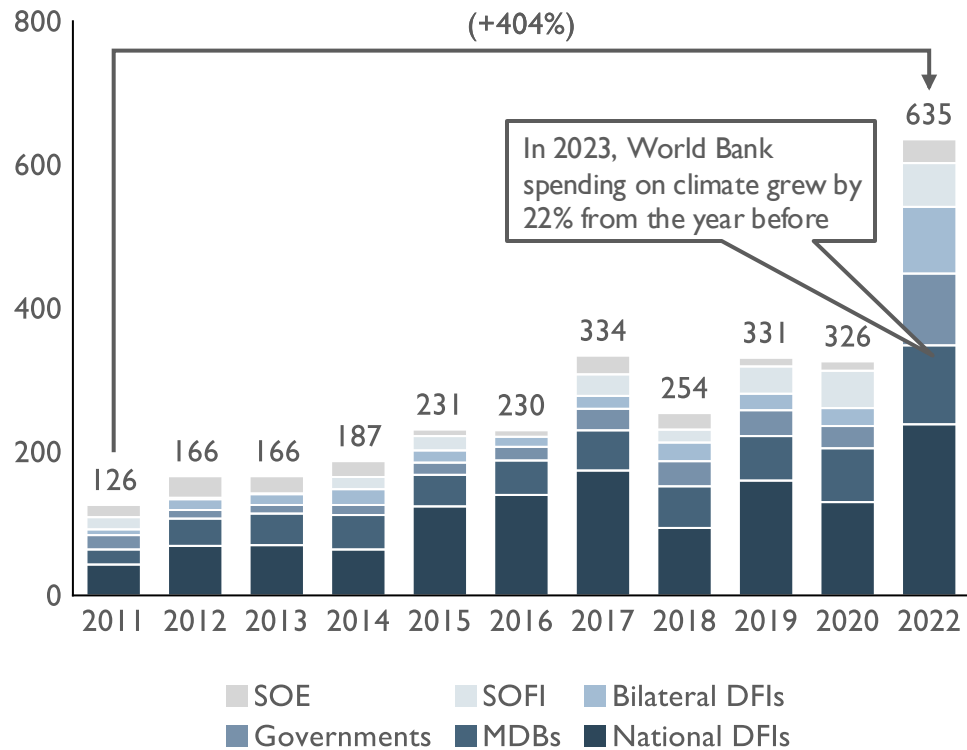
2

An application: driving cement decarbonization in Nigeria

Donor climate spending is accelerating, but effectiveness is lagging

Climate finance is immense, and is set to grow much further...

Climate finances by source within public sector (USD bn), 2011-2022



Source: Climate Policy Initiative's Global Landscape of Climate Finance (2023).

...though quality of spending needs more attention

Questions on effectiveness – Limited evidence on impact; the little evidence available shows interventions with **highly varied impact, ranging from negative costs to \$1,500 per ton of CO₂ mitigated**



Every dollar counts – with public budgets strained, and more resources needed, **increasing effectiveness of every dollar is a must**



Leaders agree – There is growing attention to effectiveness - *COP27 was the first to recognize that quantity needs to be matched by ambitions on financing quality*





Pull finance has the potential to incentivize emission reductions by catalysing a shift in private markets and investment

1

Pull finance, such as Advanced Market Commitments, can help reduce the climate tech gap by **linking payments to emissions reductions, creating incentives / demand for innovation and scale-up of green tech with private investment**

2

Pull-finance mechanisms have been effectively used in a range of sectors – e.g. GAVI’s \$1.5b AMC for the pneumococcal vaccine and operation Warp Speed for COVID, Frontier’s AMC for carbon capture

3

Similar tools are widely used to provide incentives to drive climate transitions - e.g., tax credits, green premiums, and subsidies such as the IRA’s support for solar, wind, EVs, heat pumps etc.

Results based pull finance is a growing but nascent tool

More actors are recognizing its potential for accelerating clean technology adoption



Our research identified 38 initiatives, representing **USD 5.6 billion** investments in total, with investments ranging from **USD 25 - 180 million**



Concentrated on industrial decarbonization, energy efficiency, clean transport, and clean cooling



Collaborating to advance the use of pull finance for climate results

With a detailed investment case for cement decarbonization



Department for
Energy Security
& Net Zero



**THE NATIONAL COUNCIL
ON CLIMATE CHANGE**
LEADING NIGERIA'S CLIMATE CHANGE RESPONSE



**Outcomes
Accelerator**



**CENTER
FOR
GLOBAL
DEVELOPMENT**




THE UNIVERSITY OF CHICAGO
**MARKET SHAPING
ACCELERATOR**



Foreign &
Commonwealth
Office




SCHMIDT FUTURES



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

UBS Optimus
Foundation



UBS

Global cement production is a major contributor to climate change

Cement production and emissions in LMICs like Nigeria are expected to grow rapidly

1,600 Mt

Annual CO₂ emissions

8-10%

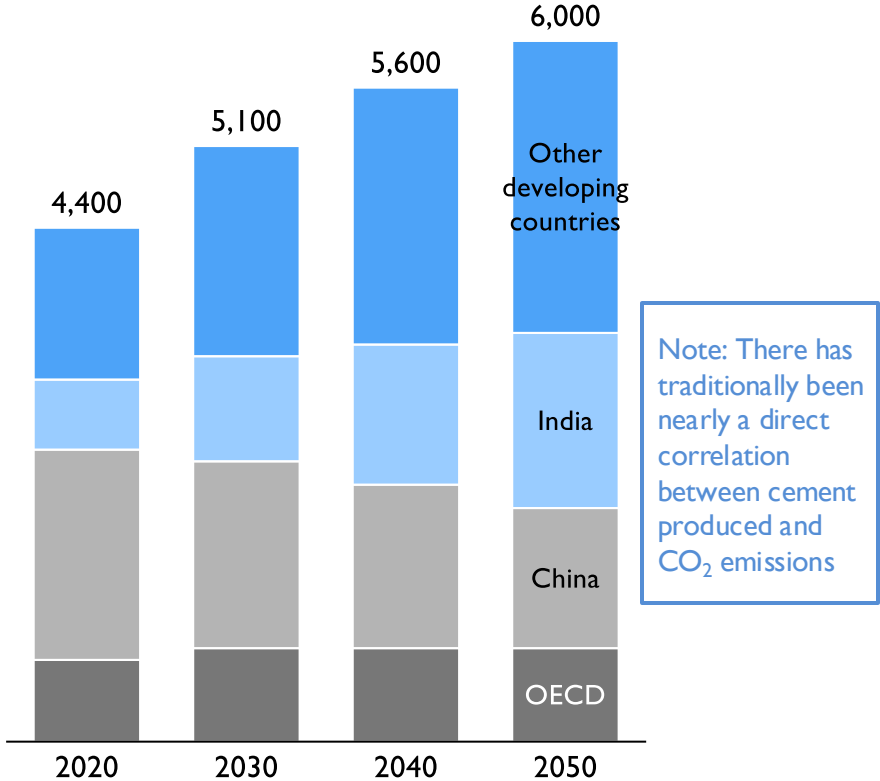
Share of global carbon emissions from cement production

4.2%

Projected annual growth rate of cement emissions from LMICs

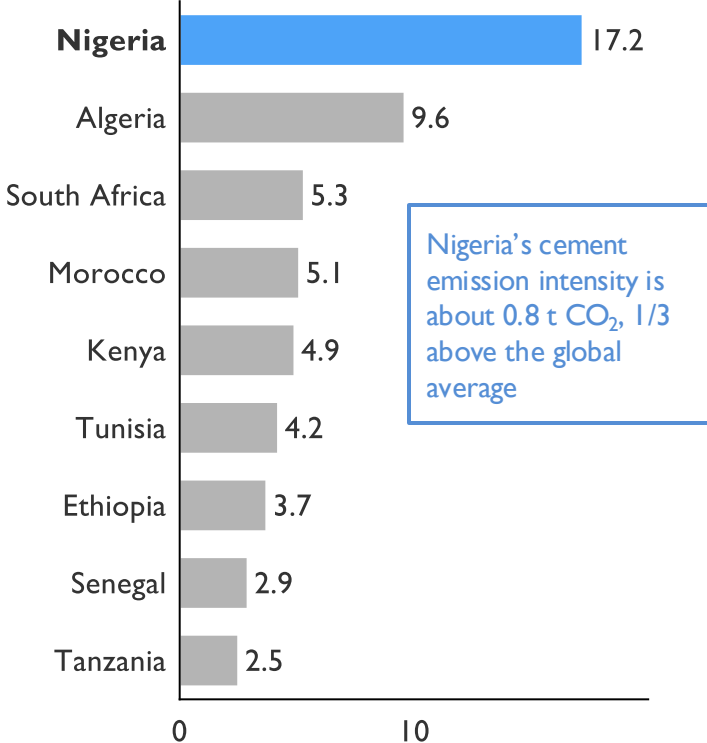
Cement production and emissions are set to grow at a rapid pace, largely driven by growth in developing countries

Cement production projections in Mt/year, 2020-2050



Note: There has traditionally been nearly a direct correlation between cement produced and CO₂ emissions

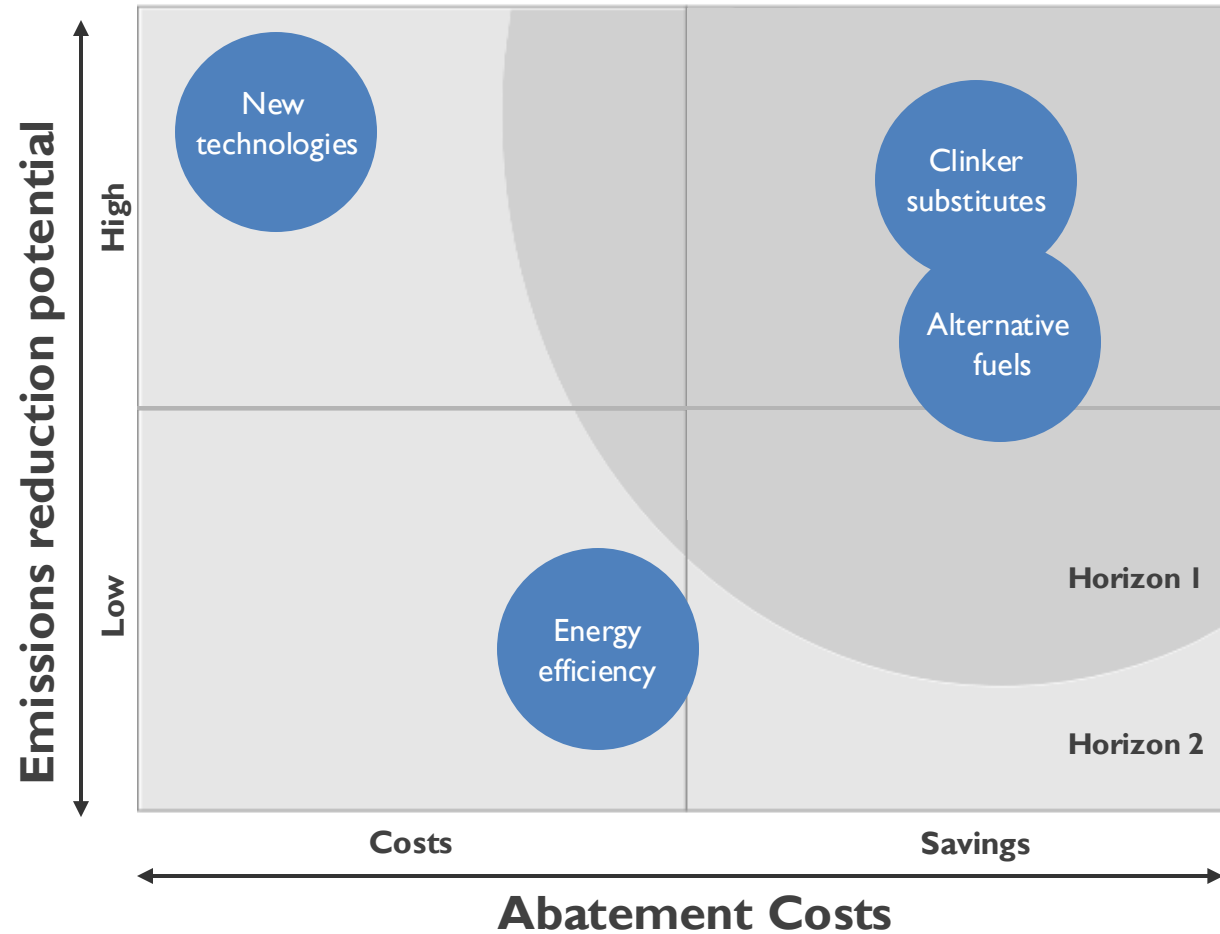
Nigeria's cement industry is by far Sub-Saharan Africa's largest emitter



Nigeria's cement emission intensity is about 0.8 t CO₂, 1/3 above the global average

FCDO analyzed a mix of decarbonization technologies in the Nigerian context

Alternative fuels and clinker substitutes found to be viable in the next decade



| | % CO ₂ potential emissions reduction vs BAU ¹ | Maximum abatement cost \$/tCO ₂ |
|---------------------------------|---|--|
| Horizon 1 (<10 years) | | |
| Alternative fuels | 25% | -35 |
| Clinker substitutes | >30% | -35 |
| Horizon 2 (10+ years) | | |
| New technologies | >50% | +115 |
| Energy efficiency | 12% | +25 |

Despite feasibility, key barriers hinder progress in Nigerian cement

Producers have little incentive to front the capital required to change the status quo



Underdeveloped supply chains – e.g., raw materials for clinker (e.g., Kaolinite clay), collection of waste products for fuel



Market risks - Uncertainty of demand for alternative cements and resistance to change/perceived risk of new materials



Policy misalignment - e.g. lack of relevant procurement standards and fragmented regulatory frameworks for waste collection and aggregation



Significant capex required– e.g., facility adjustments, including clay dryers and fuel processing

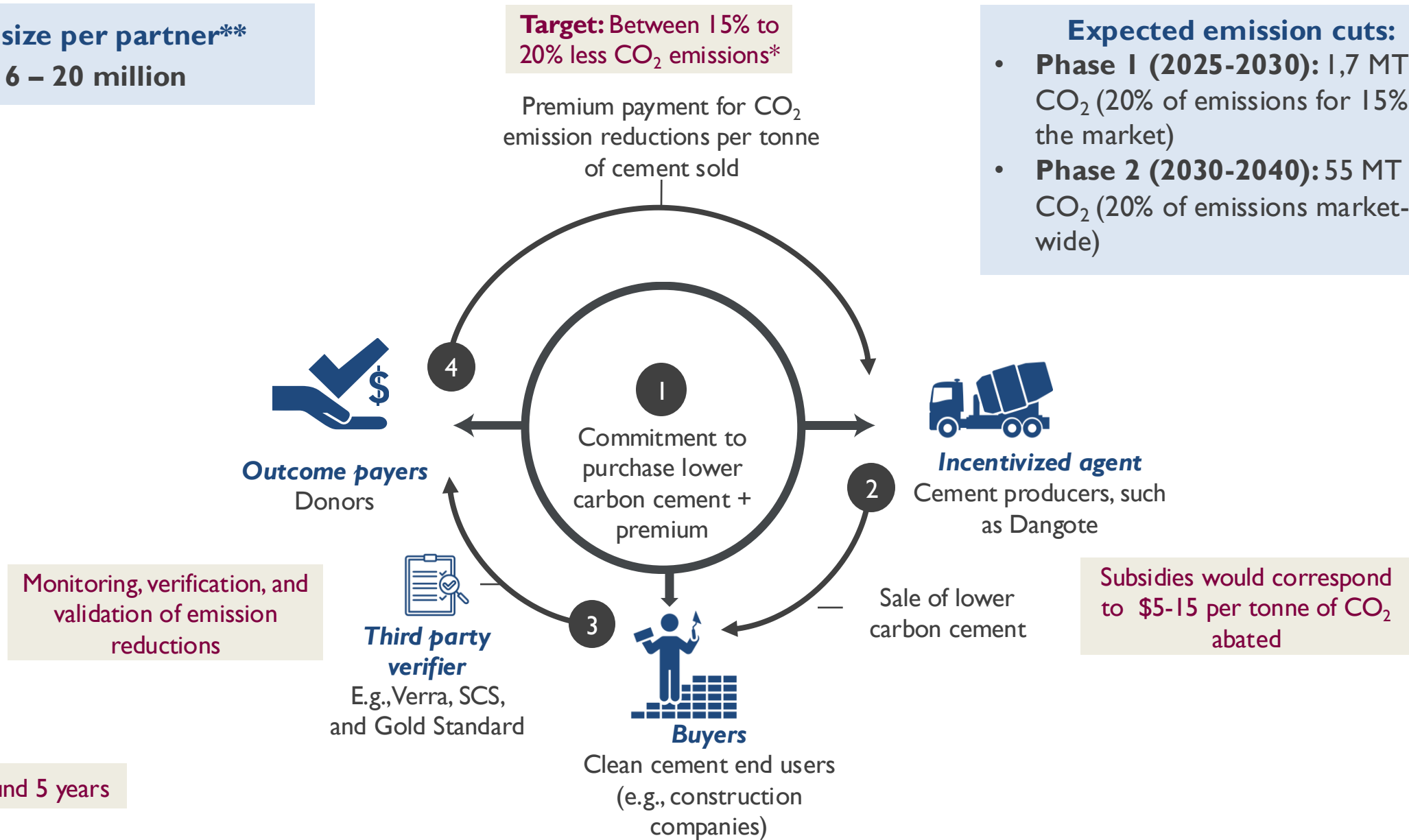
Pull finance can create incentives for cement decarbonization

Potential size per partner**
USD 6 – 20 million

Target: Between 15% to 20% less CO₂ emissions*

Expected emission cuts:

- **Phase I (2025-2030):** 1,7 MT of CO₂ (20% of emissions for 15% of the market)
- **Phase 2 (2030-2040):** 55 MT of CO₂ (20% of emissions market-wide)



Timeline: Around 5 years

*This represents an emission intensity of 0.6-0.7 tonnes of CO₂/tonne of cement. ** Initial estimate based on the potential funding from donors. Note: See Annex 3 for more details on verification

An AMC needs complements to achieve the desired impact

Complementary strategies can potentiate impact

An AMC alone will not be enough to generate the desired market shift in the cement industry. Because of this, it should be complemented by multiple actions that foster a sustainable transition towards lower-carbon cement production. Some complementary strategies can include:

Higher impact



Technical assistance, knowledge transfer, and capacity building to develop lower-carbon cement supply chains (e.g., clay geological surveys, material recovery facilities) and adapt manufacturing processes efficiently



Technical support to access appropriate project financing to ease the burden of high initial capital investments



Policy support, such as updated cement standards and public procurement policies, that promotes investment in and production of lower carbon cement, among other clean technologies



Effective communication and demonstration campaigns that raise awareness about the benefits and safety of low-carbon cement

Lower impact



Compilation and dissemination of best practices and lessons learned from pilot programs to facilitate further adoption and replication

Comparing social and climate outcome payments

Exploring the parallels and differences in funding for social and environmental benefits



Similarities

- 1 Rational and theory:**
 - Driving effectiveness by aligning incentives, transparency, measurement, flexibility, and innovation
- 2 Core design features and key considerations are the same:**
 - Defining meaningful payment metrics
 - Setting accurate prices, accounting for counterfactuals, ensuring sufficiency and value for money, etc.
 - Verifying outcomes with robust methods



Differences

- 1 Focused on markets:**
 - Typically focused on shifting markets and private actors rather than NGOs and service providers
 - Pull finance in particular is about a one-time investment to create a market shift, where targeted results are means to an end
- 2 Sophisticated verification and pricing:**
 - While the rationale, theory, and core design features are similar, details and methodologies vary significantly
 - E.g. there are large bodies of practice relating to carbon pricing and verification with Carbon Markets

How can we unlock greater impact together?

Ben Stephens

Associate Partner

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Visit

www.Instiglio.org



Thanks!

Public vs corporate/civic actors as initiators of green co-creation processes: how does it matter?

Daniela Cristofoli, Bocconi University and Benedetta Trivellato, University of Milano-Bicocca (Italy)
with Jacob Torfing, Eva Sørensen, Oda Hustad and Alexander L. Q. Chen, Roskilde University (Denmark)

Part of a wider research project: GOGREEN

- Explores the conditions for successful co-creation of green transitions that enhance sustainability, through comparative case studies from several parts of the world.
- Study seeks to identify governance factors that condition successful co-creation of green solutions.
- 36 cases studies across 29 countries; 16 governance factors

| | |
|--|---|
| Structural governance factors | 1. Perceived importance of biosphere conditions |
| | 2. Supportive legislation, programs, and formal goals |
| | 3. Relative openness of public governance paradigms |
| | 4. Formal institutional channels for citizen participation and community mobilization |
| | 5. Mechanism for ensuring top-down government and bottom-up social accountability |
| Strategic governance factors | 6. Strategic agenda-setting by means of translation |
| | 7. Construction of narratives about successful multi-actor collaboration |
| | 8. Building or harnessing institutional platforms and arenas |
| | 9. Provision of access to blended financing |
| | 10. The capacity to leverage support from authorities to enable local collaboration |
| Tactical and operational governance factors | 11. Inclusion and empowerment of relevant and affected actors |
| | 12. Clarification of interdependence vis-à-vis common problem and joint vision |
| | 13. Trust-building and conflict mediation |
| | 14. Use of experimental tools for innovation |
| | 15. Ongoing critical self-reflection and learning (i.e., process and/or developmental evaluation) |
| | 16. Exercise of facilitative leadership |

What we ask here: does the nature of the initiator matter for the success of green co-creation processes?

- It can be argued that:
 - the public actor plays a critical role as initiator because it provides legitimacy and credibility, and is a sign of commitment and likely of sustainability of the effort over the long run.
 - Or... that a non-public actor (private/civil society) may be quicker, more flexible, and less inhibited by regulatory, political or institutional constraints; or may step in when public actors are weak, absent or unsupportive of the green transition.



- Whether one or the other matters more for the success of the co-creation process will then **likely depend on how the nature of the initiator and a set of other conditions** – in our case, a set of governance factors (GFs) - **interact** with each other.



- We set to explore how the **nature of the initiator**, certain **tactical/operational GFs**, **strategic GFs**, and **structural GFs** combine in generating a successful outcome.

Method: Qualitative Comparative Analysis (QCA)

- QCA looks for the multiple combinations of a certain set of conditions that can lead to the same outcome.
- Used to explore how the following combine in generating a successful outcome:
 - the **nature of the initiator**,
 - certain tactical/operational GFs (the **engagement of all the relevant and affected actors, and facilitative leadership**),
 - strategic GFs (**use of platforms, presence of blended financing**), and
 - structural GFs (**perception of the severity of the biosphere conditions**)
- **Successful outcome** as a composite measure that includes interviewees' perceptions about: creative problem solving; innovative solution; contribution to sustainability; and satisfaction with results in terms of expected impact on the welfare of the community.

Results

| | 1 | 2 | 3 | 4 |
|---|----------|----------|-----------|----------|
| PUB – public initiator as opposed to non-public | | ○ | ○ | ● |
| BIO – perceived severity of biosphere conditions | ● | | ● | ● |
| STK - engagement of all the relevant and affected actors | ● | ● | ○ | |
| PLAT - use of platforms | ● | ● | | ● |
| BLENDFIN - presence of blended financing | | ○ | ● | ○ |
| LEAD - facilitative leadership | ● | ● | ● | ● |
| Raw coverage | 0.690165 | 0.253694 | 0.126636 | 0.112706 |
| Unique coverage | 0.338539 | 0.028282 | 0.0569861 | 0.014352 |
| Consistency | 0.908333 | 0.94795 | 1 | 0.89 |
| Solution coverage: 0.789785; Solution consistency: 0.918959 | | | | |

A case of conf. 1: Vietnam's Protection, Production and Inclusion Compact

- **Aims to improve the environment** (forest protection, water conservation, better soil health), **rejuvenate coffee plantations** through subsidized replanting, enhance **occupational safety** and health, and **reduce carbon emissions** (through reforestation and intercropping) in Di Linh District.
- **Initiated by IDH, an international NGO** from the Netherlands, sponsored by four European government donor agencies. IDH initiated and led the project in the first years but later handed over leadership to the Di Linh District People's Committee/Council (Di Linh DPC).
- **Broad-based partnership** includes global coffee importers and roasters, middlemen buying the coffee from farmers, private agricultural supply companies and consultancy firms, local-, district- and provincial-level public agencies, a sustainable coffee NGO, local farmers' and women's associations, and scores of local coffee farmers.
- **Severity of biosphere problems played a critical role** for PPI establishment as stressed by all informants: deforestation causes landslides, overuse of water depletes groundwater reserves, overuse of chemicals and artificial fertilizers leads to deteriorating soil quality, and climate change fosters heat waves.
- **IDH playing a leading role as convener and facilitator**; now attempting **to pass on to Di Linh DPC**. The IDH project leader, has a combined home and office in central Di Linh that provides a **physical platform** for local partnership meetings, seminars and training activities.

A case of conf. 3: Denmark's SkyClean project

- **Aims to scale the use of pyrolysis** (= heating in absence of oxygen) **to split biomass into green biogas and clean and stable biochar**. While green biogas may crowd out fossil natural gas, the tilling down of biochar will sequester carbon, improve soil structure and enhance plant growth due to the phosphor compound of the biochar.
- Pyrolysis technology was developed by the Danish Technical University (DTU), and is now being scaled in the Stiesdal-owned SkyClean project that will create the first fully-automated commercial pyrolysis plant. **Project initiator was Henrik Stiesdal**, the founder and owner of Stiesdal SkyClean, **a private business entrepreneur** from the wind turbine industry.
- **Involved actors** include other companies, cluster organizations, farmers' associations and public authorities - but very little direct participation of affected actors, namely farmers.
- **Blended financing** > original technological breakthrough at DTU paid for by the State; construction of the plants in Brædstrup and Skive were financed by Stiesdal. In 2021: large public grant from the EU's Energy Technology Development and Demonstration Program + large public grant from the government Pyrolysis Fund > still Stiesdal also made a private investment for pyrolysis plant in Vrå.
- Key **leadership role**, though more traditional and directive rather than facilitative, is played by Henrik Stiesdal.

(first) considerations

- **Public actor as initiator** is critical for success? Not necessarily.....
- solution shows four paths to green transition where only one features a public actor as initiator (n. 4) , two paths with a non-public actor as initiator (n. 2 and 3), and the last path leads to green transition irrespective of the public/private/civil society nature of the initiator (n. 1).
- Other expectations may not be fulfilled > **inclusion of all relevant and affected actors** does play a key role for success – as it would often be expected – in configurations 1 and 2. However, success may occur also when not all such actors are included or their inclusion may not be relevant to the project's success.



It depends on how the selected conditions combine and interact in leading to a green transition!

Thank you!

Modeling Community Accountability beyond Insider Stakeholder Silos: Capturing Public Voice in Developing Policy for a Net Zero Greenhouse Gas Economy

**Oxford Social Outcomes Conference
2024: Deep Dive 1.2**

chatham
UNIVERSITY



Patsy Kraeger, Ph.D., Chatham University
Creed Tumilson, Ph.D., California State
University – Bakersfield

Agenda

Framing

Community Engagement

Conceptual Model

Place-Based: National Frame /Local
Application

Conclusion



Framing

- We examine how community acceptance is an enabler/barrier to policy effectiveness.
- We consider how to build greater accountability to the public for public policy acceptance and implementation.
- Policy makers, agency leaders and the community at large understand that there is a “need to examine the social dimensions of a rapid transition away from fossil fuel extraction” in the transition to clean energy (Muttitt and Kartha, 2020).
- With an overall lens of community well-being, we seek to bridge the divide from the polarized conversation between advocates of fossil fuels and the environmental justice advocates and invite local communities to have a voice in public policy creation.
- We present our **Community Accountability and Scientific Responsiveness Model**. It is a multi-phase civic engagement model for climate policy and energy transition. ** Note: This model can be used to seek solutions to other types of wicked problems for national to local issues.*

Community Engagement

- Community engagement **includes stakeholder engagement and public participation**, both of increasingly recognized value for focusing decarbonization goals, moving towards sustainable community beneficial solutions.
- When a community engages in participatory and deliberative processes it creates an environment for **inclusive solutions** in the transition to clean energy.
- Active participation by community members affected by the clean energy transition allows for **broader support and increased chances of success for adaptation and transition**.
- The value of stakeholder engagement and public participation are recognized in the literature for transformative climate change in a democracy (Doelle and Majekolagbe; Cattino and Reckien, 2021; Few et al., 2007; Sprain, 2017; and Demski, 2021).

Place-Based

National Application, Place-Based and Local/Regional/National



Community Accountability and Scientific Responsiveness Model

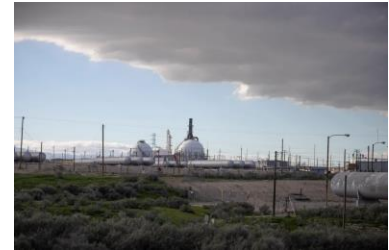
- Kraeger and Tumblison (2024) have developed a multi-phase comparative model for community engagement to explore the communication of scientific information and the resulting participatory deliberation about policy solutions with the general public, interested communities/stakeholders including policy makers focusing on information and values.
- **Goal:** Community Engagement to inform the future relating to community well-being and economic success.
- **The Focus and Questions:** What is that we (as a community) need to learn about carbon reduction and getting to Net Zero and how to accelerate it? What are the pathways for success and impediments to progress?

Community Accountability and Scientific Responsiveness Model

| Action Steps | Rationale/Anticipated Results |
|---|--|
| <p>Step One: Baseline surveys: a) to a random sample of the general public on the issues; and b) stakeholders.</p> | <p>Baseline surveys will provide a baseline understanding of community attitudes, understandings, and concerns surrounding decarbonization and clean energy transition in the southern San Joaquin Valley, specifically the City of Bakersfield and Kern County.</p> |
| <p>Step Two: Civic Assembly</p> | <p>Citizens'/Civic assemblies provide an in-depth analysis of a given issue, a deliberation over different solutions, hearing of the pros and cons, and then, making informed decisions. A citizens' assembly is a randomly selected group of residents according to the demographic criteria . Key: Define precisely what the problem is that needs to be solved.</p> |
| <p>Step Three: Post Civic Assembly Action</p> | <p>Using the civic assembly outcomes, conduct a post survey and focus groups of traditionally invested and affected stakeholders, (i.e. Insiders) such community and policy elites widely defined (through a purposeful sample) as well as the general public to serve as an informational feedback look to the civic assembly.</p> |
| <p>Step Four: Public Convening</p> | <p>The model includes an engaged educational component where interested actors come together to explore the outcomes from steps one through three. This will be explored further with collaborators in the planning phase.</p> |
| <p>Step Five: Public Outcomes</p> | <p>Public outcomes produced informing and leading to the development of collective community action and policy such as but not limited to educational forums and information, public-private partnerships and community benefit agreements</p> |

Conclusion

- We believe that both participatory and deliberative engagement will not only engage the community in meaningful dialogue but allow the community to move towards and come to acceptance with the shift to clean energy.
- The time invested in meaningful and deep engagement from a baseline survey to planning to actioning steps two through five allow for a structured multi-level approach to ensure meaningful information flow and to co-create policy change at the local level.
- The anticipated results understand that participatory and deliberative processes take time



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Lunch

UP NEXT:
Deep Dives from 2pm



Check out the programme & choose your session



#SOC24

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Thank you!

We would love your feedback!



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Deep Dive 1.3 Benefits and challenges to outcome-based financing for health

Chair: Emily Hulse, University of Oxford



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Welcome to SOC24

- 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.



Meet our speakers

Part 1: Introduction to OBC for health and MHEP

Part 2: Speakers' deep-dives of Australian, Dutch, and European evaluations

Part 3: Panel Q&A





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Overview of Health Outcome-based Financing



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MHEP benefits, challenges, and overcoming risk

Emily Hulse



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Benefits

Stefánia Plankó



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Invest4Health

Benefits and challenges to outcome-based financing for health

Stefánia Plankó, Balázs Nagy, Balázs Babarczy

On behalf of  syreon
Research Institute

Acknowledgements: Júlia Zemplényiné Bartha, Ian Mngolia Mungai, Emily Hulse, Rositsa Koleva-Kolarova, Maureen Rutten – van Molken, Rhiannon Tudor Edwards, Holly Whitely




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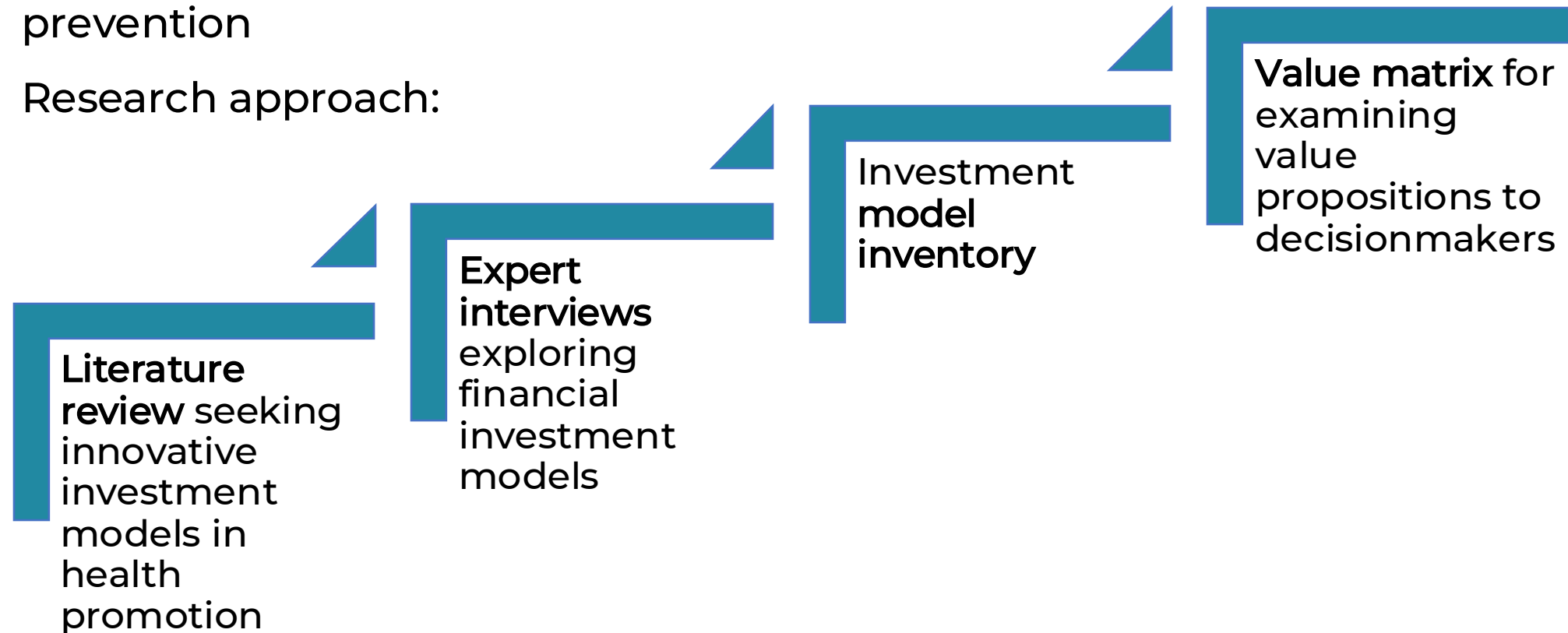
www.invest4health.eu

www.syreon.eu

Background

- Horizon Europe project:  **Invest4Health**
 - Goal: Mobilizing novel financing models for health promotion and disease prevention

- Research approach:



Empirical evidence on financing models in prevention and health promotion

| SCI model\Pyramid level | Prim prev entire pop | Prim prev subgroups | Prim prev individuals | Secondary prev | Tertiary prev | Total |
|--|----------------------|---------------------|-----------------------|----------------|---------------|-------|
| Social Impact Bond | 1 | 6 | 20 | 6 | 2 | 35 |
| Pooling or re-purposing public resources | 4 | 5 | 4 | 2 | 0 | 15 |
| Grants, subsidies | 1 | 6 | 5 | 1 | 0 | 13 |
| Charity | 2 | 7 | 7 | 0 | 0 | 16 |
| Mobilising community assets | 0 | 1 | 3 | 5 | 0 | 9 |
| Other in-kind contributions | 1 | 3 | 2 | 1 | 0 | 7 |
| Venture philanthropy | 3 | 3 | 0 | 1 | 0 | 7 |
| Social Outcomes Contract | 0 | 1 | 3 | 0 | 1 | 5 |
| Loan-based impact investment | 0 | 2 | 3 | 0 | 0 | 5 |
| Expenses from own resources/profits | 0 | 5 | 0 | 0 | 0 | 5 |
| Time banking | 0 | 0 | 0 | 1 | 0 | 1 |
| Total | 12 | 39 | 47 | 17 | 3 | 118 |

Source: Maureen Rutten-van Mölken, Holly Whiteley, Balázs Babarczy, Lina Papartyte, Jacob Davies, Lucas Goossens, Alison Maassen, Balázs Nagy, Caroline Costongs, Rhiannon Tudor Edwards, 2024, Invest4Health Deliverable

Potential benefits* of outcome-based financing

| | | |
|--------------------------|---|---|
| Outcome related benefits |  | <ul style="list-style-type: none">- Maximize flexibility in service provision- Build a culture of monitoring, performance management and evaluation |
| Financial benefits |  | <ul style="list-style-type: none">- Financial stability for service provider- Provide cost saving for government- Transfer risks from government- Bring new streams of funding |
| System level benefits |  | <ul style="list-style-type: none">- Favor evidence-based policymaking and enhance accountability- Give opportunity to scale- Articulate social problems |
| Combination |  | <ul style="list-style-type: none">- Governments can test innovative interventions- Promote innovation in service delivery- Encourage collaboration between stakeholders |

*Compared to traditional government funding

Value matrix for outcomes contracting

*For illustrative purpose

From market-based to health-related and social aspects

| Value proposition | Explanation |
|---------------------------------|--|
| Financial return | Providing return of principal, profit, return on investment. |
| Financial sustainability | Ensures short-term stability and long-term viability and continuous impact. |
| Cost saving/ Cost effectiveness | Savings on direct healthcare cost (eg. reduction in hospital costs and long-term costs), direct savings on households, indirect costs, lower prevalence of chronic disease, reduced drug/alcohol misuse. |
| Risk sharing | Transfer risks to other stakeholders. |
| Access to new markets | Expand potential customer base. |
| Reputation | PR value, Image. |
| Collecting data | More data collected and available about the process of service provision, the success of the intervention. |
| Scalability | How scalable the intervention is. |
| Equity in procedures and impact | Minimizing unfair, avoidable or treatable differences among patients during the prevention project and related to its impact. |
| QALY | Clinical efficacy, effectiveness, better safety, tolerability, survival, quality of life, improved physical or mental health, longer independence. |
| Improved value in use | Patient experience, less burden on healthcare professionals, better geographical coverage. |
| Health system benefit | Reliable supply of provision, vertical integration of provider chains, more efficient operation of the healthcare system, optimization of patient routes. |
| Societal benefit | Productivity improvement, reduced unemployment, improved housing, reduced criminal activity. |

Value for:

Commissioner

Investor

Both

Discussion

1. Some SIBs are in healthcare, but those that exist are used for primary prevention.
2. Generally, SIBs only worth it when capable of achieving large-scale impact.
3. Theoretical advantages are constrained by the practical challenges.
4. Concerns were raised about the ability to address major population-level health programmes.



Results of the qualitative research suggest that SIBs are more suitable for tertiary prevention.

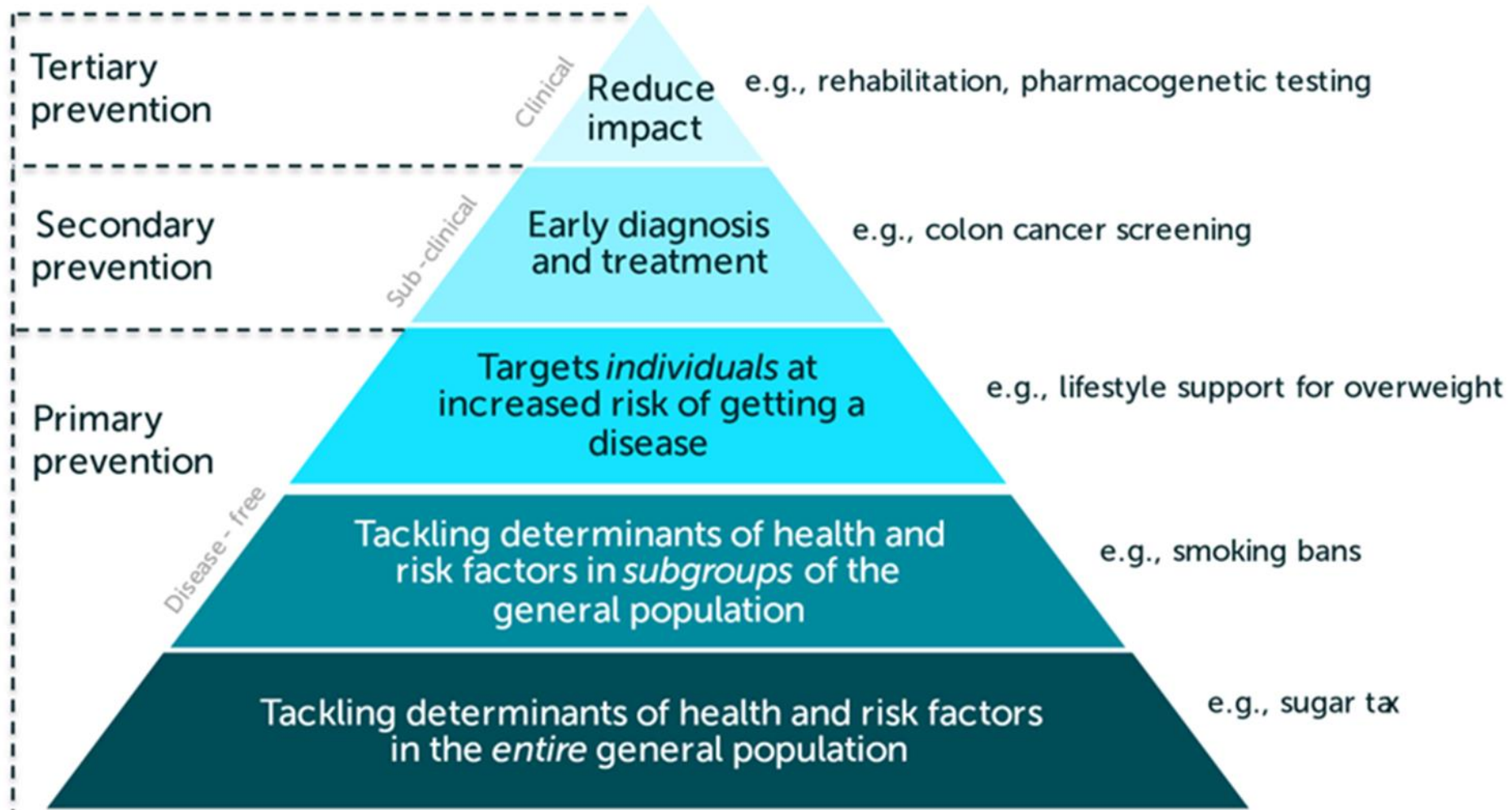
Measurable outcomes
with a control group

With well-identified
target group



Is it possible that the reason why SIBs does not work, or why there are only few SIBs in health care, is that it is being used in the wrong places?

Prevention pyramid



Sources: Maureen Rutten-van Mólken, Holly Whiteley, Balázs Babarczy, Lina Papartyte, Jacob Davies, Lucas Goossens, Alison Maassen, Balázs Nagy, Caroline Costongs, Rhiannon Tudor Edwards, 2024, Invest4Health Deliverable



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Challenges

Henry Cutler



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Challenges and barriers to using outcomes based funding approaches for health

SOCIAL OUTCOMES CONFERENCE, GOVERNMENT OUTCOMES LAB, UNIVERSITY OF OXFORD

Professor Henry Cutler
Inaugural Director
Macquarie University Centre for the Health Economy
Australian Institute of Health Innovation
Macquarie University Business School
Visiting Research Fellow, University of Oxford

5 SEPTEMBER 2024



Project overview

- We sought to provide direction on how to embed outcomes based funding into Australia's mental healthcare funding environment
- Consultation from September to November 2023.
- Undertook interviews with nearly all federal, state and territory health departments and mental health commissions
 - 25 individuals attended an interview
 - 21 from jurisdictions and 4 from federal government
- Undertook three 'two hour' workshops with 70 non-government stakeholders, including providers, peak bodies, consumers, carers and academics
- Also accepted 12 written submissions

Overall stakeholder views

- Respondents agreed on shifting some funding to outcomes based payment models but noted complexity
- Some respondents differed on how payment models should be governed
 - Concern about how an outcomes based payment model would fit into the current healthcare system
 - Concern other issues are more important, such as workforce challenges
- Respondents noted outcomes payment model reform should:
 - Measure outcomes that matter to consumers
 - Attribute outcomes to services appropriately
 - Promote equitable access to care

Government stakeholder views

- Six themes were drawn from consultation with government stakeholders
 1. Clear outcomes based payment models and place
 2. Ensuring patient focused care
 3. Ensuring models are flexible, integrated and evidence based
 4. Addressing workforce challenges
 5. Circumventing barriers to outcomes based payment reform
 6. Imbedding appropriate governance structures across government

Non government stakeholder views

- Respondents felt clinical surveys do not ‘hit the mark’ in fully capturing what consumers value
 - Holistic wellbeing
 - Ability to ‘function’ in society
 - Sustained, long-term outcome improvement
- Existing outcome measures have limited utility in enabling comparisons of outcomes across diagnoses and services
 - How to measure outcomes with ‘treatment resistance’
- Respondents noted that consumers may require support to provide useful outcomes data
 - Administrative data may help but cannot measure engagement

Non government stakeholder views

- Respondents were contradictory on how to establish a set of mental health outcomes for value based payments
 - Argued for a wider range of outcomes (‘flexibility’)
 - Argued for a ‘targeted and minimal subset’ that could be realistically collected
- Co-design of outcome measurement tools was emphasised, incorporating lived experience insights
 - *‘the consumer suffers because they usually have the weakest voice’*
- Better embed regular provider-consumer interactions to find ‘appropriate’ and ‘valued’ outcomes that consider individual contexts

Non government stakeholder views

- There was ‘in-principle’ agreement with the need to reform towards outcomes based funding
 - Payment and service fragmentation
 - Limited innovation in care
 - Limited encouragement of holistic, consumer-centric approaches
- The ‘appetite for change’ was underpinned by respondents’ awareness of failures to achieve sustained outcome improvement
- Respondents described substantial ‘real-world’ barriers and system complexity that must be navigated
 - Difficulty in defining outcomes
 - Low predictability of outcomes

Non government stakeholder views

- Respondents noted that perverse incentives may be created by focusing on specific outcomes
 - ‘Box-ticking’ activities rather than holistic, consumer-centric care
- Strict outcome focus may inadvertently result in provider selection of consumers with lower need but easily modifiable outcomes
- Value-based payment models might be perceived ‘as offensive’ and ‘role-devaluing’ by providers
 - Onus of change should not be placed on the provider
 - Partnership between provider, patient and broader system
 - Outcome payment may reduce intrinsic motivation

Discussion

- There was overall support for outcomes based payments but potential implementation barriers to overcome
 - Defining value (to whom and for what)
 - Identifying measurable outcomes that matter to consumers
 - Data scarcity to measure outcomes and attribute to services
 - Implementation complexity
 - Little evidence supporting the potential benefits of outcomes based payment models
 - Challenging political and economic environments.
- Tension between what is most important between stakeholders must also be managed



The End

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Question to Audience

What are your key takeaways on the benefits and challenges of OBC for Health?

- Select Room: "Deep Dive 1.3 Outcome-financing for Health"

Join at
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Mitigating challenges

Ruben Koekoek



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Social Outcomes Conference

OBf in Health, Benefits and
challenges

5 September 2024



BACKGROUND



ORGANISATIONAL CHALLENGE- FALL PREVENTION

FUNDING AND RESPONSIBILITY OF FALL PREVENTION IS SCATTERED, THE HEALTH IMPACT BOND (HIB) TRIES TO BRIDGES THIS ISSUE

Problem statement



- Bottleneck of innovations in the social- and healthcare domains:
 - Fragmented responsibility and funding
 - Benefits are divided
- Innovative approaches struggle to reach scale

Why a HIB?



- Veiligheid NL has done research into the benefits of fall prevention:
 - Direct benefits: hospital care, physiotherapy, nursing and recovery
 - Indirect benefits: lower health loss for seniors (DALY's)
- Bridging the fragmented responsibility and funding
- Opportunity to reach scale

SOCIAL CHALLENGE- FALL PREVENTION

EVERY YEAR IN THE NORTH-LIMBURG REGION, SENIORS EXPERIENCE 19.500 FALL INCIDENTS, RESULTING IN 7.000 MEDICAL TREATMENTS

Problem statement



- 70+ population in North-Limburg region: 40.000
- Fall incidents per year: 19.500
- Leads to medical treatments per year: 7.000

Goal



- Screen 7.000 elderly for a high risk of falling
- Funding and organizing fall prevention courses for 2.500 elderly in five years
- Avoid 3.940 fall incidents
- Reduction in fall incidents and therefore in medical treatments
- Seniors feel stronger and healthier. Enhanced self- reliance and mobility

HISTORY OF THE HIB FALL PREVENTION

2013

SIB was introduced in the Netherlands, and different actors wanted to create an impact bond for the Health sector

2014

An Health Impact Bond congress was organised with fall prevention as one of the promising interventions

2015-2018

Veiligheid NL and Vilans developed the business case and were looking for outcome payers and investors

2019

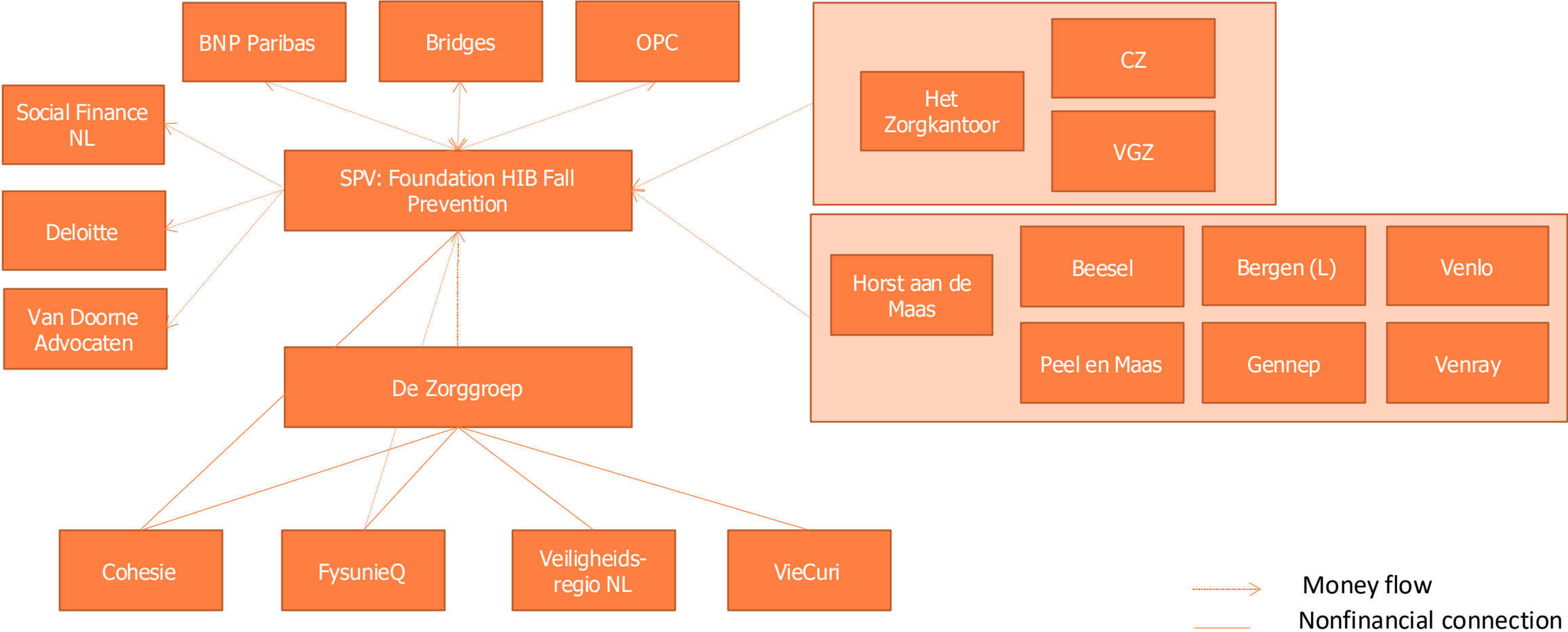
Social Finance NL stepped in, redeveloped the business case, looked for investors and optimised the intervention

2022

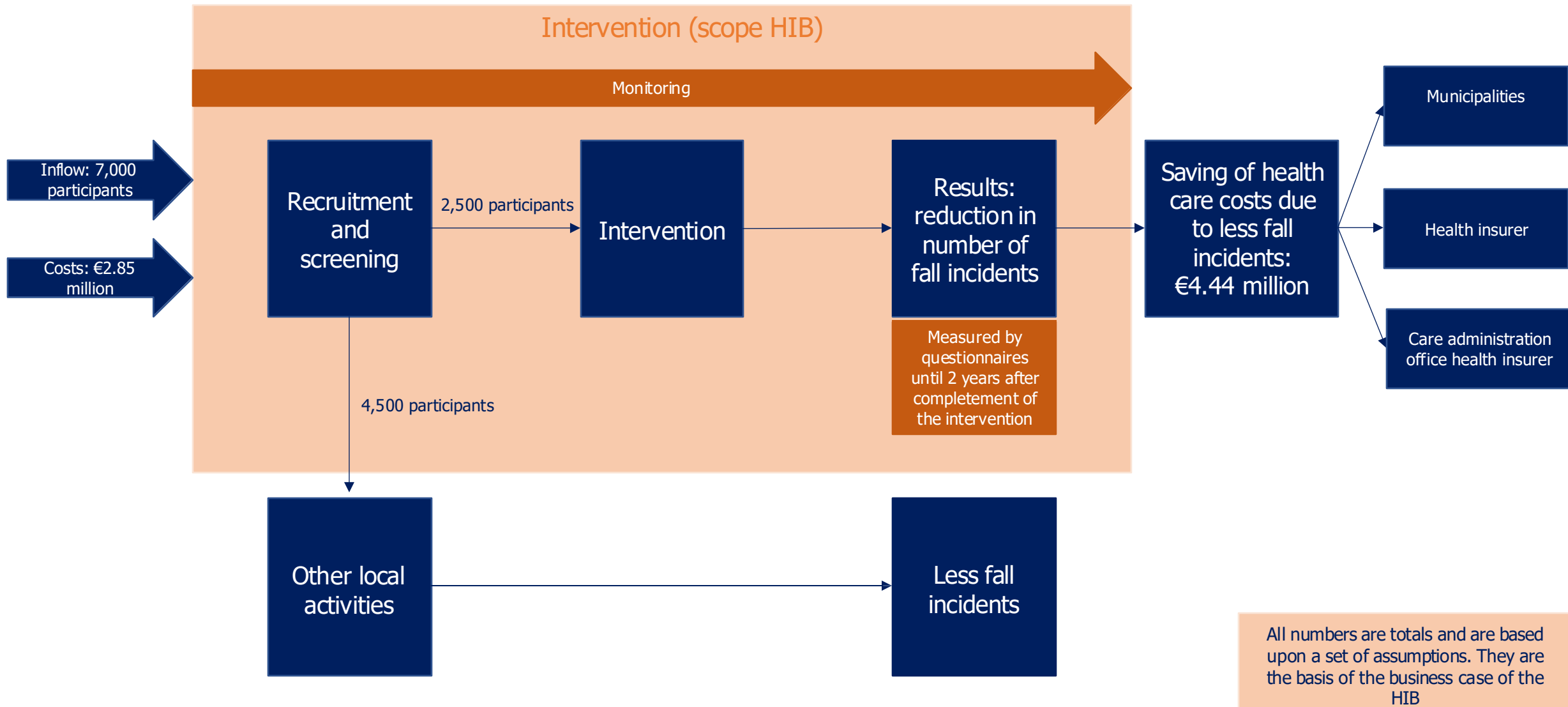
The HIB deal was signed and the intervention started.

LEGAL AND FINANCIAL STRUCTURE OF THE HIB

THE SPV FALL PREVENTION IS MANAGED BY SOCIAL FINANCE NL AND IS THE LEGAL INTERMEDIARY BETWEEN ALL DIFFERENT STAKEHOLDERS



AN OVERVIEW OF THE HEALTH IMPACT BOND FALL PREVENTION





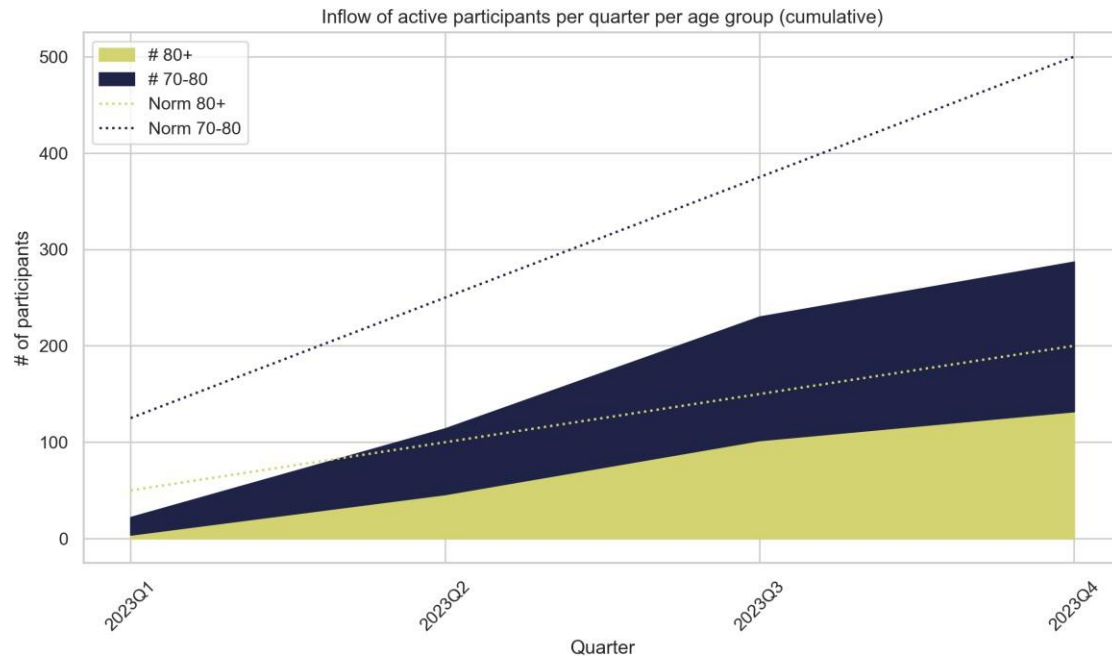
FIRST RESULTS AND LESSONS LEARNED



THE FIRST RESULTS

THE FIRST RESULTS SHOW A REDUCTION IN THE NUMBER OF FALL INCIDENTS AND ALSO SHOW THE CHALLENGES FOR THE PROGRAMME WHERE REITERATIONS CAN BE MADE

The programme manages to reach participants well...



...and leads to less fall incidents



- On average, participants give the program an 8.2 (out of 10) mean score.
- 80% of participants indicate they experience benefits from the programme, such as improved balance and muscle strength and improved self-confidence.
- The first effect measurement among 54 participants show that 44 falls were prevented, which is a decrease of 65%. This puts us far above the expected percentage of 43% fewer falls.



Benefits and challenges



Benefits


AN UNIQUE COLLABORATION BETWEEN HEALTH INSURERS, MUNICIPALITIES AND INVESTORS TO OFFER FALL PREVENTION COURSES TO 2500 ELDERLY PEOPLE IN A STRUCTURED WAY

- Partially due to the HIB the 'ketenaanpak Valpreventie' was set up.
- Working together on a regional level has had many advantages. Such as extra publicity in the media and joint agreements in the medical domain. Coordinating regionally and organising locally works very well.
- Elaborate measurement of results and working data driven, possible to reiterate during the programme where necessary. This eventually leads to a more effective intervention.
- Through the HIB there is a bigger focus on the prevention of fall incidents. Because of this we focus on the area where impact is needed to be made.



Challenges to entrench OBC into systems

Is it possible to entrench OBC into systems? Why do the outcome payers agree to a contract of millions but not billions.



- It is difficult for health insurers to create cashable savings. Because
 - If the population of the health insurer is getting healthier the government settles these savings among health insurers, so a health insurer does not benefit in the long term for a healthier population
 - The health insurer makes lump sum deals with hospitals. In this deal the hospital can invoice for a maximum amount. The health insurer only saves costs when this ceiling will be renegotiated to a lower amount.
 - Clients can switch health insurance, so the competitor can benefit from the savings.
- In order to entrench OBC into systems;
 - The health insurer must be rewarded for successful prevention
 - Currently investors like PGGM and InvestNL investigate OBC into healthcare. However, governments and health insurance should take the lead
 - Central government invest billions in promoting cooperation and prevention into healthcare. OBC should play a central role in the contract of these subsidies (like ARPA-H in the US).

THANK YOU!





GOVERNMENT OUTCOMES LAB

Panel Q&A

Henry Cutler, Ruben Koekoek, Balázs Nagy



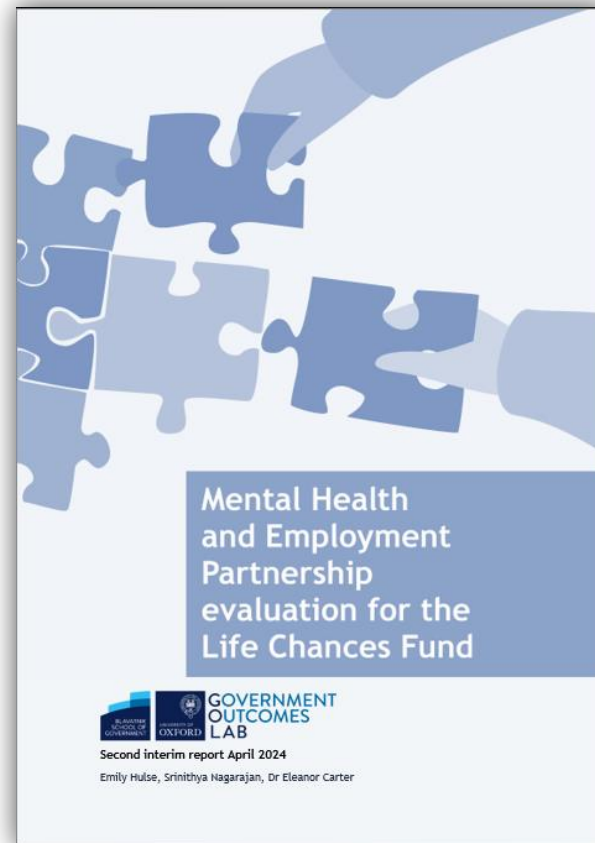
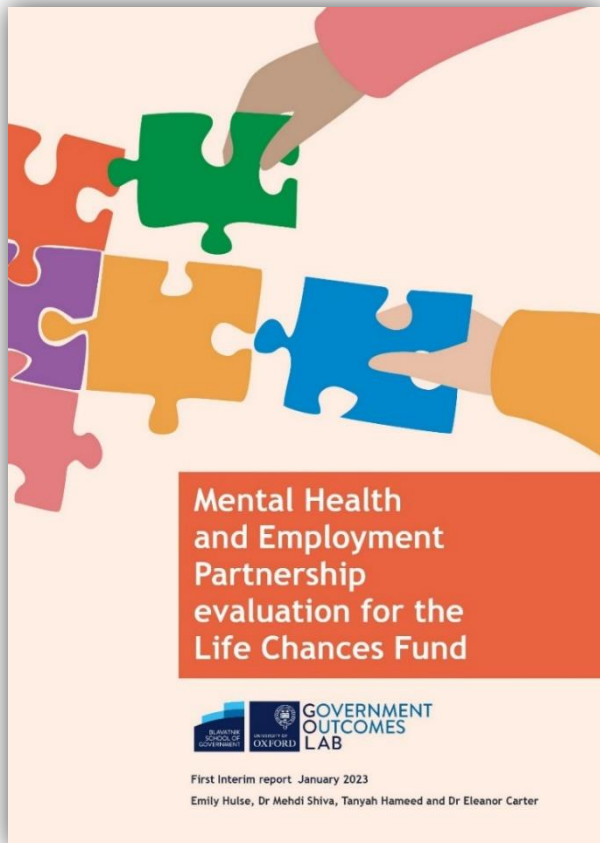
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Next steps

- Follow up with Speakers: Stefánia Plankó, Balázs Nagy, Henry Cutler, Ruben Koekoek
- Reading of reports and papers on GO Lab website



Original research

BMJ Global Health **Use of social impact bonds in financing health systems responses to non-communicable diseases: scoping review**

Emily Susannah Grace Hulse¹, Rifat Atun², Barbara McPake³, John Tayu Lee^{3,4}


GOVERNMENT OUTCOMES LAB

About GO Lab Search

The basics Knowledge bank Toolkit Community

Knowledge bank


Explore our datasets, case studies and publications to learn more about the latest research on outcomes-based contracting



INDIGO >

We are the International Network for Data on Impact and Government Outcomes (INDIGO). Here you can explore our datasets, read our latest news, join our events and find out more about data sharing in the field of social outcomes.

Last Updated 13 Aug 2024



Case studies >

A collection of in-depth case studies of impact bonds around the world

Last Updated 22 Sep 2023

Next steps

6pm tonight: Alec Fraser & Emily Hulse's paper in the P2K report on "*Scaling up Evidence-informed Health Care interventions through Social Outcomes Partnerships*"

HOW CAN WE SCALE UP EVIDENCE-INFORMED HEALTH CARE INTERVENTIONS THROUGH SOCIAL OUTCOMES PARTNERSHIPS?



Emily Hulse,
University of Oxford



Dr Alec Fraser,
King's Business School,
King's College London

Social outcomes partnerships have been described as a promising way to fund innovative health and social interventions at scale. In practice however their use as mechanisms for scaling-up evidence-based interventions in the UK healthcare sector has been limited. What can we learn from the handful of examples where scale was achieved through a social outcomes partnership and what does this tell us about their applicability and legacy more widely?

Next steps


8am tomorrow: "Solving global issues in women's health with partnerships" session in Room 4 on level 1

08:00 Solving global issues in women's health with partnerships

Solving global issues in women's health with partnerships

In this session, we will take stock of women's health. A new report from World Economic Forum found that every \$1 invested in women's health unlocks \$3 in economic growth globally. In this breakfast, we will look at the experience of different partnership arrangements to catalyse at scale women's health programs. This will be informed by international case studies that have had success at improving reproductive health, gender equity, and maternal health literacy. We will assess three key questions:

- Can we align common goals and different actors in the field to work together using partnership?
- Can we use innovative funding or new governance arrangements to put women's health at the forefront?
- What are the barriers and evidence-gaps to investing in women's health?



Dr Nevilene Slingers
South African Medical
Research Council
(SAMRC)



Dr Lee-Ann Davids
South African Medical
Research Council
(SAMRC)



Petro Rousseau
South African Medical
Research Council
(SAMRC)



Dr Mara Airoidi
University of Oxford



Dr Harry Bregazzi
University of Oxford



Emily Hulse
University of Oxford
Chair

Next steps

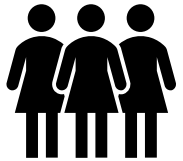


Follow up with Speakers: Stefánia Plankó, Balázs Nagy, Henry Cutler, Ruben Koekoek

Reading: reports and papers on GO Lab website



6pm tonight: Alec Fraser & Emily Hulse's paper in the P2K on "Scaling up Evidence-informed Health Care interventions through Social Outcomes Partnerships"



8am tomorrow: "Solving global issues in women's health with partnerships" session in Room 4 on level 1



Early October: Podcast episode on OBC for health

4th December: Engaging with Evidence webinar on MHEP project



Lunch

UP NEXT:
Deep Dives from 2pm



Check out the programme & choose your session



#SOC24

BLAVATNIK SCHOOL OF GOVERNMENT & ONLINE



GOVERNMENT OUTCOMES LAB

Thank you!

We would love your feedback!



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Deep Dive 1.4 Beyond impact bonds: exploring new (and not-so-new) uses of outcomes-based contracting and impact investing

Chair: *Dr Mara Airoidi, University of Oxford*



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Welcome to SOC24

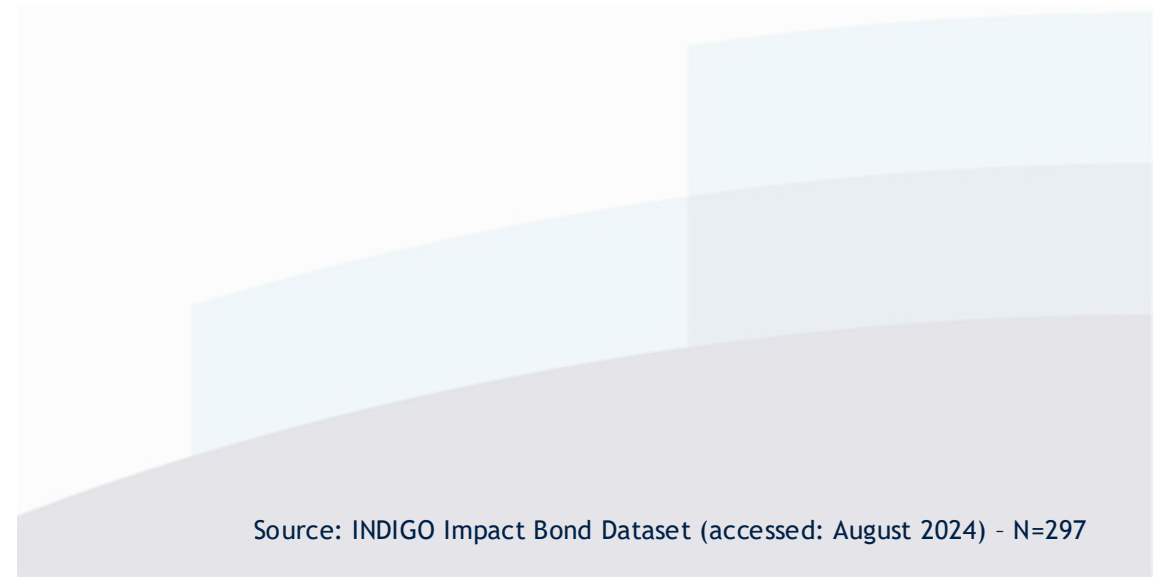
- Live from the Blavatnik School of Government in Oxford and online on Zoom
- If you are joining us in-person, you can still join Zoom **BUT please keep your speakers muted.**
- We will stop throughout the session to take questions both from the online and in-person participants.
- Do use the Zoom chat 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.



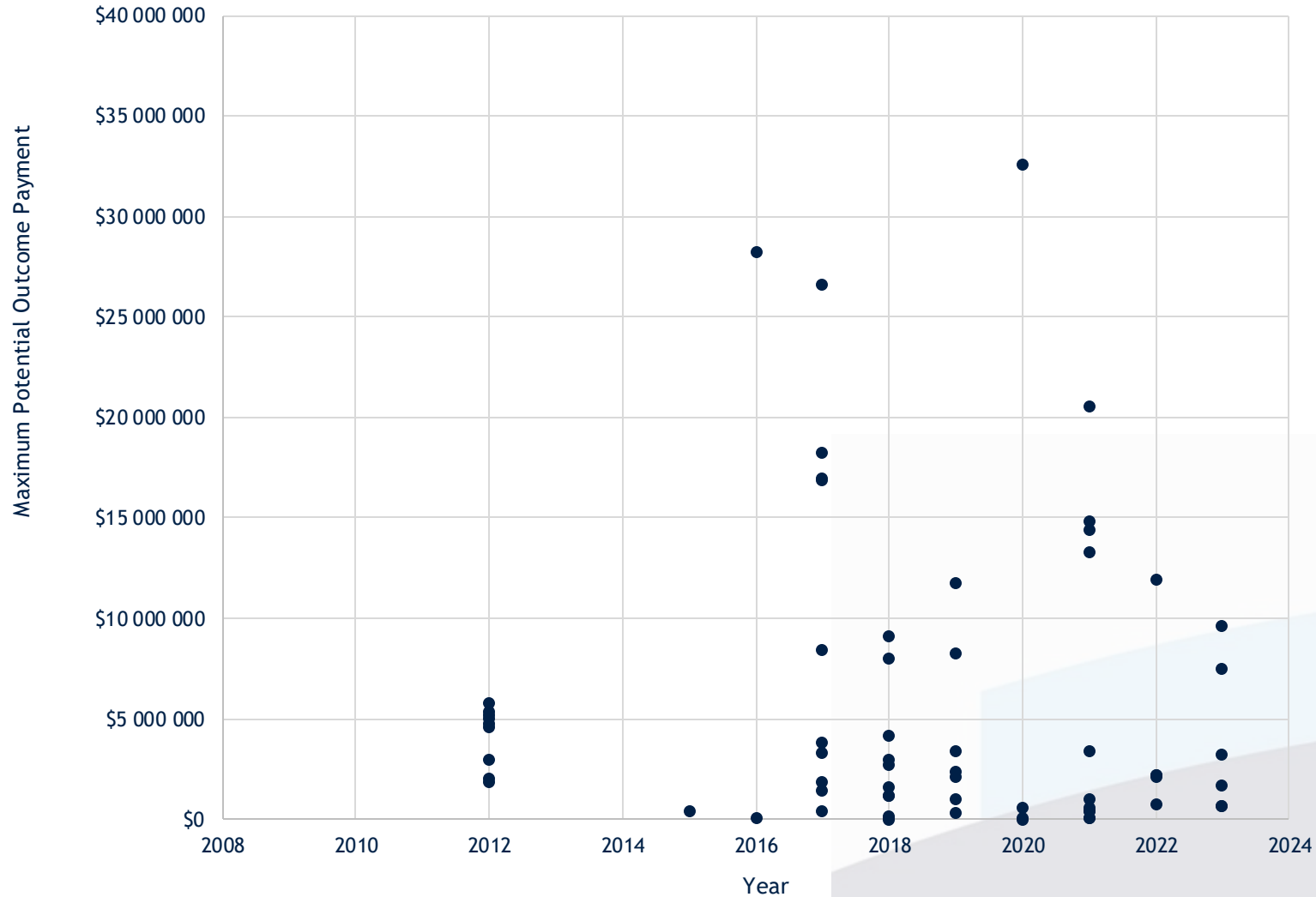
Impact bonds around the world



GOVERNMENT
OUTCOMES
LAB



Maximum potential outcome payments in impact bond contracts



Source: INDIGO Impact Bond Dataset (accessed: August 2024)

N=67

Looking into the future





Join at
slido.com
#4114 594



Scaling up through an outcomes marketplace



Celeste Brubaker
Village Enterprise



Serena Guarnaschelli
KOIS



Balazs Nagy
Syreon Research
Institute & Invest for
Health

Value matrix for outcomes contracting

*Illustrative estimates

| Value proposition | Explanation | |
|--|--|----------------------------|
| Financial return | Providing return of principal, profit, return on investment. | Value for the commissioner |
| Financial sustainability | Ensures short-term stability and long-term viability and continuous impact. | Value for the investor |
| Cost saving/ Cost effectiveness | Savings on direct healthcare cost (eg. reduction in hospital costs and long-term costs), direct savings on households, indirect costs, lower prevalence of chronic disease, reduced drug/alcohol misuse. | Value for both |
| Risk sharing | Transfer risks to other stakeholders. | |
| Access to new markets | Expand potential customer base. | |
| Reputation | PR value, Image. | |
| Collecting data | More data collected and available about the process of service provision, the success of the intervention. | |
| Scalability | How scalable the intervention is. | |
| Equity in procedures and impact | Minimizing unfair, avoidable or treatable differences among patients during the prevention project and related to its impact. | |
| QALY | Clinical efficacy, effectiveness, better safety, tolerability, survival, quality of life, improved physical or mental health, longer independence. | |
| Improved value in use | Patient experience, less burden on healthcare professionals, better geographical coverage. | |
| Health system benefit | Reliable supply of provision, vertical integration of provider chains, more efficient operation of the healthcare system, optimization of patient routes. | |
| Societal benefit | Productivity improvement, reduced unemployment, improved housing, reduced criminal activity. | |

Scaling up through micro-bonds



Dr. Adam Abdulkadir
Save the Children



Royston Braganza
Grameen

Scaling up through different types of outcomes contracts



Daniel Uribe
Fundación Corona



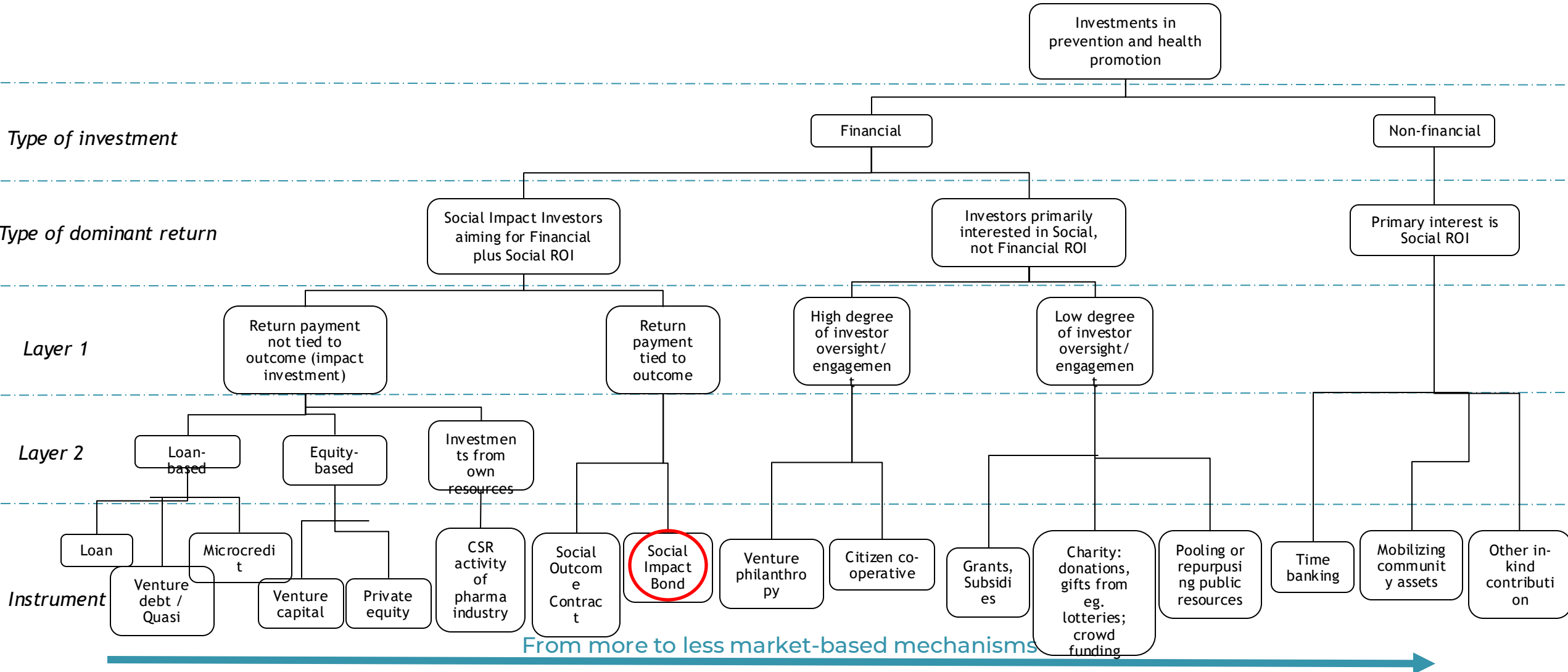
Stefánia Plankó
Syreon Research Institute
& Invest for Health



Juliana Outes
GO Lab

Typology of finance models for prevention and health promotion

Source: Maureen Rutten-van Mölken, Holly Whiteley, Balázs Babarczy, Lina Papartyte, Jacob Davies, Lucas Goossens, Alison Maassen, Balázs Nagy, Caroline Costongs, Rhiannon Tudor Edwards, 2024, Invest4Health Deliverable





GOVERNMENT OUTCOMES LAB

Q&A



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Coffee break

UP NEXT:
Big Picture from 4pm





GOVERNMENT OUTCOMES LAB

Thank you!

We would love your feedback!



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GOVERNMENT OUTCOMES LAB

Deep Dive 1.5 Reaching marginalised communities and enhancing inclusion in outcomes-based service provision

Chair: Dr Ailsa Cook, Matter of Focus



@golaboxford



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Welcome to SOC24

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- 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.



Advancing the economic wellbeing of women in New South Wales (NSW)

Lucy Barkl
Associate Director
Office of Social Impact Investment

September 2024

Acknowledgement of Country

We acknowledge that Aboriginal and Torres Strait Islander peoples are the First Peoples and Traditional Custodians of Australia, and the oldest continuing culture in human history. We pay respect to Elders past and present and commit to respecting the lands we walk on, and the communities we walk with.

Artwork:

Regeneration by Josie Rose

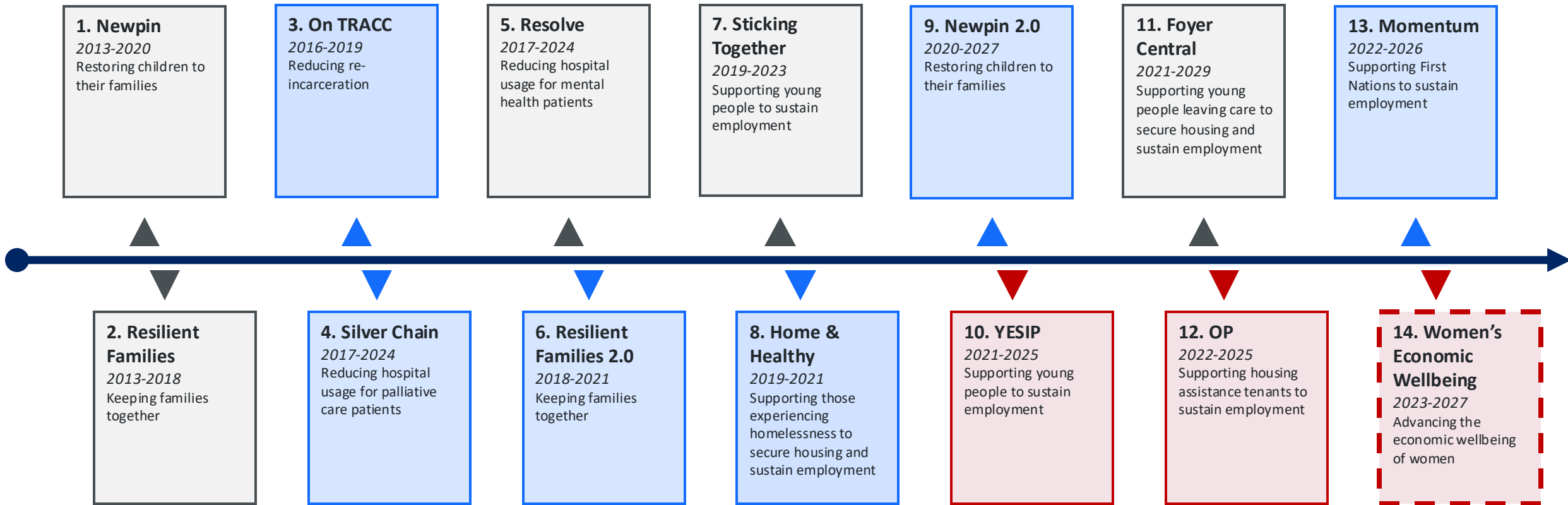


The Office of Social Impact Investment was established in 2015 to develop the social impact investment (SII) market in NSW



Underpinning our work is a focus on capability building to support engagement in social impact investing across the government and for-purpose sectors.

Our approach to SII has evolved over time to enable a broader and more diverse range of organisations to take part



Social Impact Bonds
 Payment-by-Results
 Payment-by-Results Portfolio

Our latest investment was open to job-focused social enterprises and had three key goals

1

Advance the economic wellbeing of women in NSW facing significant barriers to their economic independence and security



2

Better understand the role and impact of job-focused social enterprise in delivering outcomes for the people of NSW



3

Trial social impact investment as an approach to supporting job-focused social enterprises in NSW



We adopted a portfolio approach and selected five social enterprises delivering programs designed by and for women

The social enterprises in the portfolio are supporting:

1

Single mothers to start their own business

2

Women who are victim survivors of domestic and family abuse into technology enabled flexible work

3

Women with experience of the justice system to gain and sustain employment

4

Women who are refugees with training and skills into baking careers

5

Young women who are long-term unemployed with paid experience in social enterprise

We placed a strong focus on capability-building and ‘flexed’ the SII model to provide the right structure and support

Capability-building efforts:

1. unpacking program logics
2. reassessing performance assumptions based on available data and supporting organisations to better understand the metrics they had proposed
3. sharing insights from our earlier investments, incl. common pitfalls
4. identifying, explaining and mitigating the drivers of performance risk
5. walking organisations through their financial models, incl. performance scenarios
6. meeting with broader teammates and board members to explain what an outcome-based contract is

Approaches to ‘flexing’ the SII model:

- blend of outcome, milestone, and advance/standing payments
- use of less complex financing arrangements with philanthropic foundations in some instances
- simpler measurement approach – fixed targets based largely on historical performance

BUT

- ‘Invest to Save’ approach maintained
- strong accountability for outcomes embedded, incl. an ongoing commitment to sharing insights and learnings

While more intensive and lengthier than a grant process, the development phase helped to build trust and “***set a tone for partnerships and shared learning***” which has travelled into the contract

Thank you and please reach out if you would like to discuss or share your experiences



Lucy Barkl

NSW Treasury

E: lucy.barkl1@treasury.nsw.gov.au

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Reaching marginalised communities & enhancing inclusion in outcomes- based service provision:

*Insights from the Refugee Transitions Outcomes
Fund (RTOF)*

Social Outcomes Conference, Sept 2024



Photo by Mario Guti on iStock

Three key questions for today

1

What are the unique challenges of designing a service partnership for refugees & how did services address them?

2

How should outcomes metrics and incentives be designed in this context?

3

How can impact be sustained beyond the programme?

What was the Refugee Transitions Outcomes Fund (RTOF)?



RTOF piloted a new approach for supporting recently recognised refugees

- Joint Home Office/ DWP programme of £13.99 million which ran from 2022 – 2024
- Service delivery ended in March 2024, and an evaluation led by Ecorys is near completion

Trialled an outcomes-based approach in four areas in England

- Greater Manchester Combined Authority (GMCA), West Midlands, North East, Plymouth- total of 26 LAs
- 4 social impact bonds with upfront investment from Bridges & Big Issue Invest
- Payment to SPVs based on pre-agreed outcomes

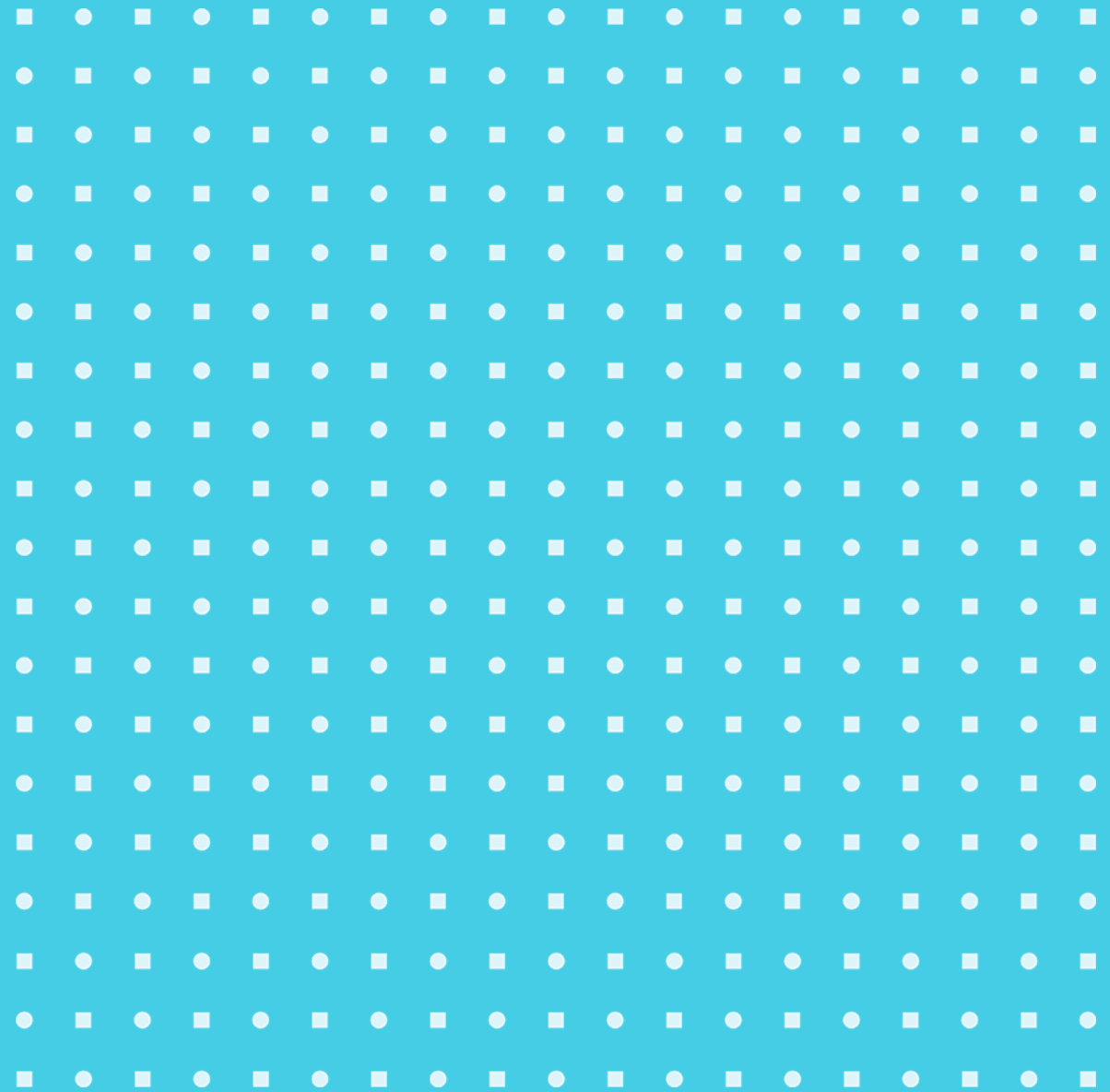
RTOF focused on housing, employment, & integration outcomes

- Entry into housing & 6 months sustainment
- Intermediate employability, entry into employment, and 3 months sustainment
- Integration outcomes based on refugees' goals and related progress over time (after 6 - 12 months)

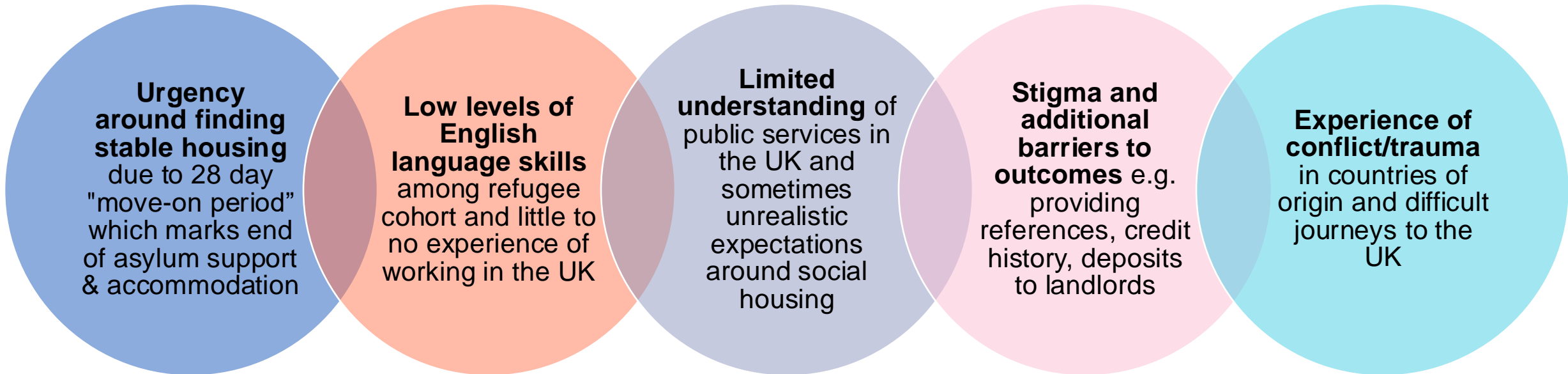
Social Finance helped design the Fund & acted as a learning partner

- Collected & analysed data from projects each month
- Organised quarterly in-person learning events & 1:1 relationships w/ projects to capture 'live' learning
- Shared regular insight reports
- Lessons from practice paper to be published w/ evaluation

What are the unique challenges of designing a service partnership for refugees?

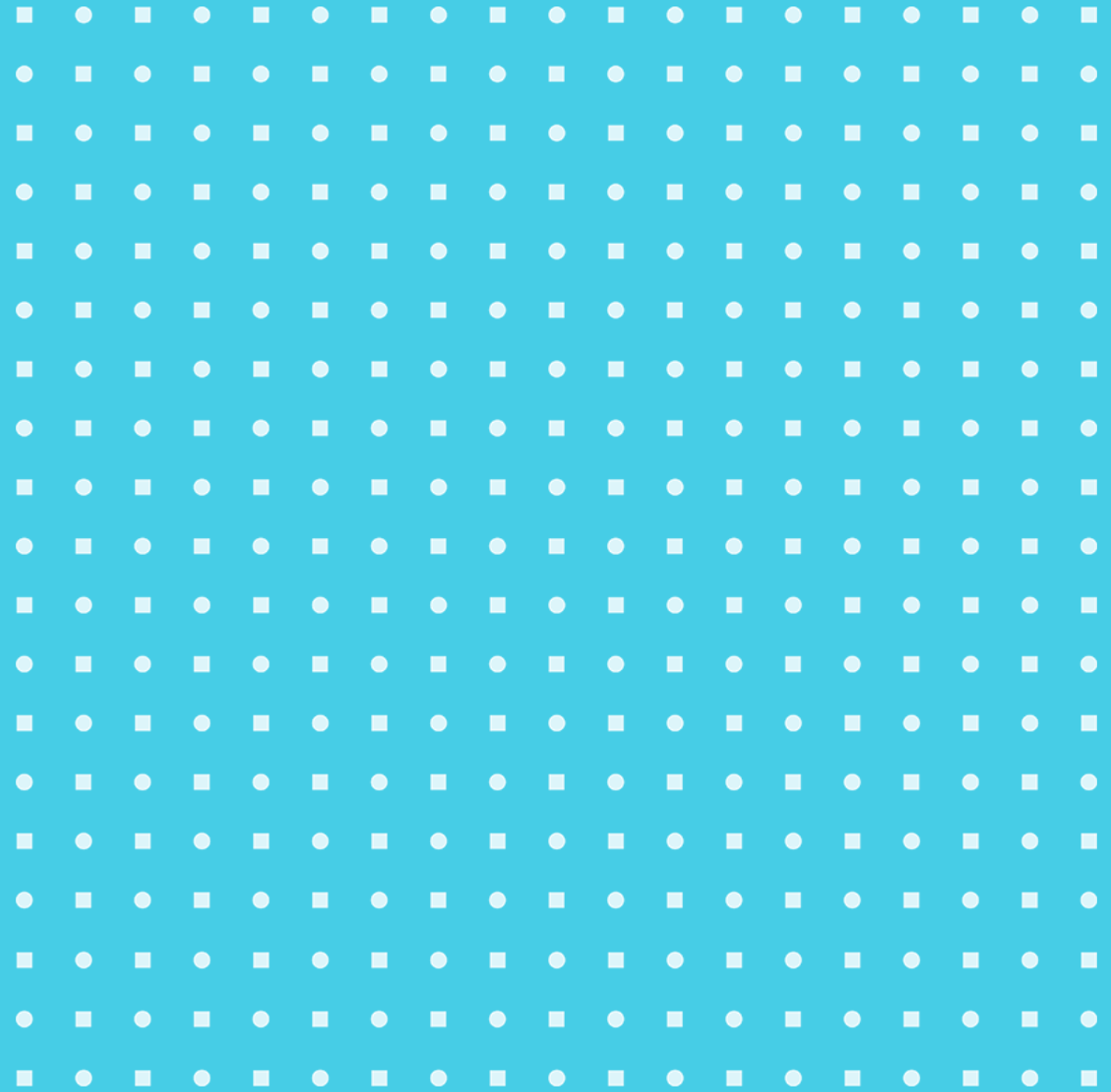


There are several unique challenges faced by refugees which should be considered while designing services



While there are shared challenges, refugees are not a homogenous group & have varying needs

How did services address these challenges?



RTOF services delivered person-centred support to refugees & built partnerships with employers & landlords

Focus was placed on supporting refugees into housing first

- Focus on access to private rental sector
- Active outreach to landlords, expectation setting, guarantees
- *Coventry*: short-term rent subsidies helped transition through benefits adjustment + build deposits

Employment support given at 1:1 and group level

- 1:1 support: coaching, assistance on applying for jobs, shadowing & volunteering opps
- Group sessions: English language skills, interview practice, CV building, training courses

Some projects delivered early support sessions

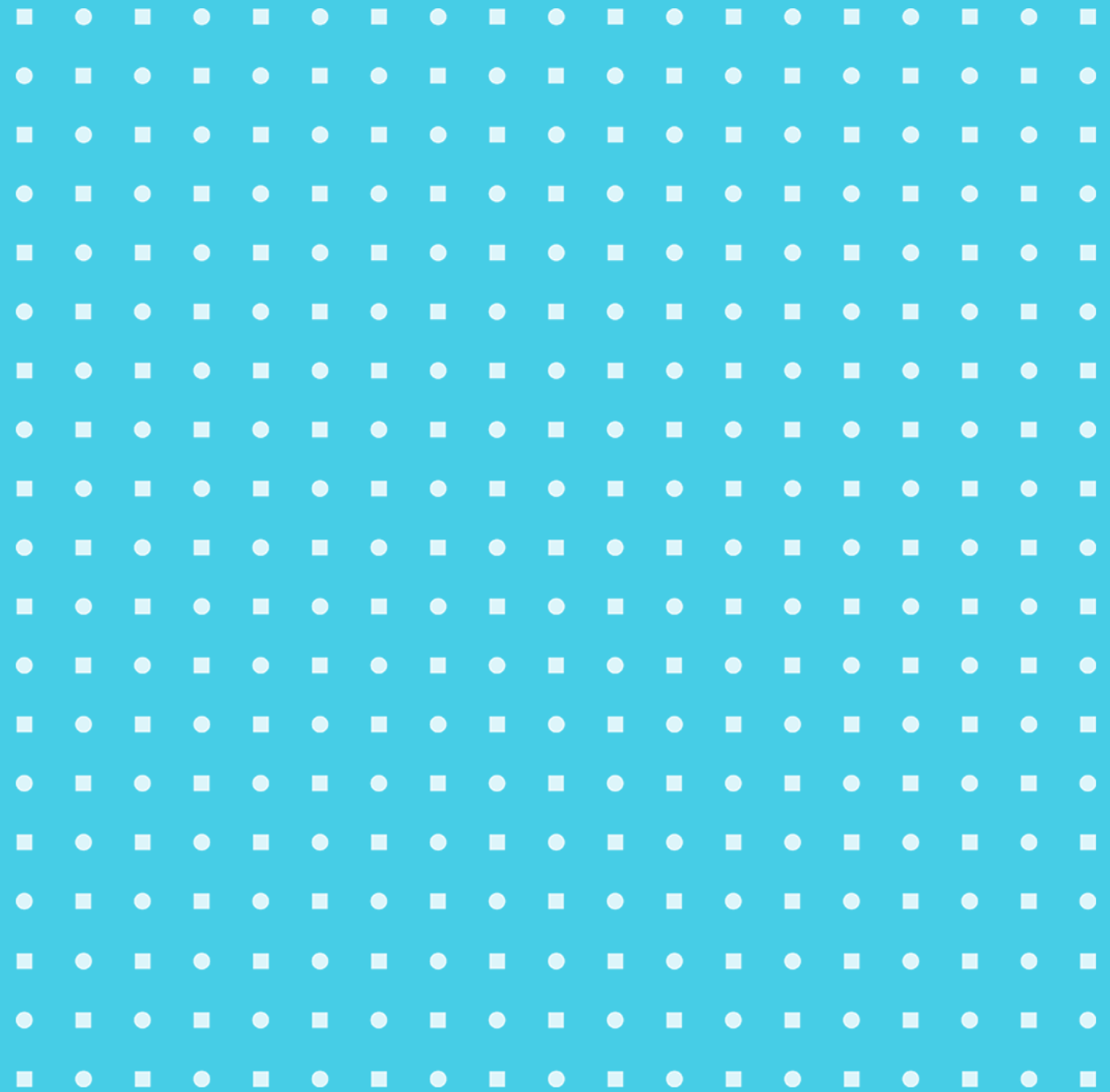
- *Coventry*: 'Life in the UK' sessions covering education, employment, accessing healthcare, housing, Universal Credit, family reunion, overview of the UK system/public services

Proactive partnerships built with employers and landlords

- National partnerships (Pret A Manger, Timpson, Starbucks)
- Partnerships with local cafes & factories
- *North East*: Partnership building with landlords e.g. Thirteen Group, Beyond Housing to ease access & ID reqs

While some informal mental health support was delivered, this could be expanded in the future

**How should
outcomes metrics
and incentives be
designed in this
context?**



Outcomes metrics encouraged holistic focus & partnership working while outcomes funding structure allowed flexibility

Outcomes had a holistic focus and encouraged longer engagement

- Support was multi-faceted and responsive to refugees' needs
- *Birmingham:* Sustainment outcomes encouraged longer engagement with refugees than before
- *Plymouth:* Support continued after initial outcomes achieved

Working towards similar outcomes encouraged partnership working

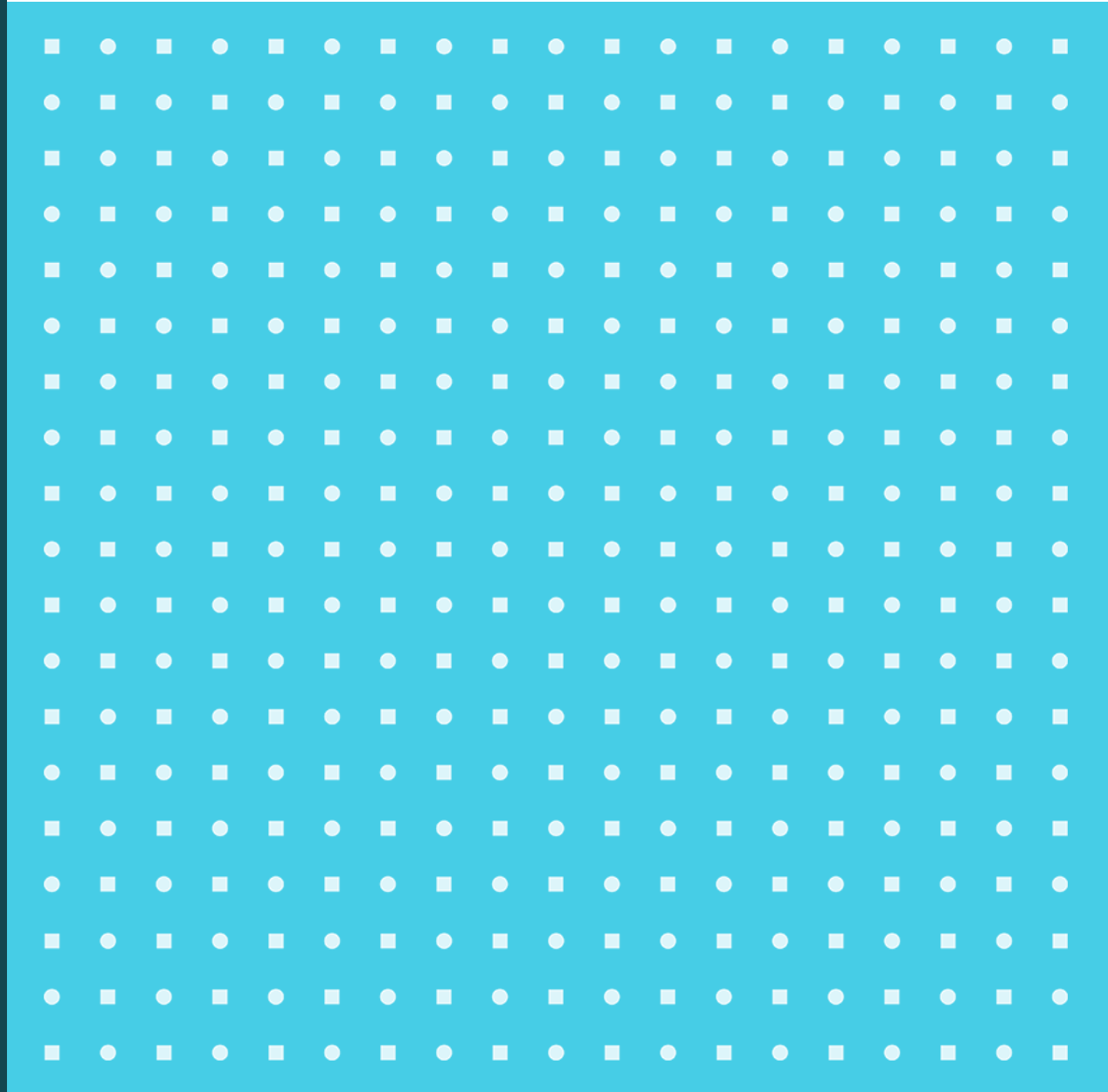
- *GMCA:* Expertise shared b/w LAs & CA as well as service providers & LAs, pan-GM community of practice created
- *Coventry & Sandwell:* LA liaison officers helped secure referrals
- *Plymouth & North East:* Data sharing through a joint CRM system

Outcomes funding enabled a flexible pot of money which was used creatively

- *North East:* Developed "Perfectly Spoken" app
- *Birmingham:* Funded uniforms/ motorbike driving tests needed for certain roles
- *Wolverhampton:* 4 months upfront payment to secure PRS properties at Local Housing Allowance rents



How can impact be sustained beyond the programme?



Long term benefits can be sustained at both the system level and individual level

System level impact

RTOF allowed for scale in service delivery and enabled peer learning during implementation

- Delivered in 4 different areas & 26 LAs
- Space created for partners to meet quarterly & exchange information
- Some of these relationships will continue informally

RTOF helped local VCSEs participate in a centrally commissioned programme

- Aided VCSE involvement in refugee support & strong local partnerships
- *North East*: Lived experience & community links- The Other Perspective & Open Door
- *Breaking Barriers*: Scaled to new areas

Individual level impact

Dynamic integration support helped refugees understand local areas & build a sense of home

- *Plymouth*: Bus passes, film nights, trips to zoos and bowling alleys, help w/ moving houses
- *Sandwell*: Help w/ digital skills, council tax advice, arts clubs, café visits, music therapy sessions

Key takeaways: Future outcomes-based programmes for refugees should consider four main aspects



Start by understanding the unique needs and challenges of refugees.
One size does not fit all- support must be tailored



Structure programmes to encourage partnership working and flexibility in service delivery



Work with local service providers and incorporate lived experience to build on community links



Offer continuous, wrap-around, multi-year support to best address the barriers faced by refugees

Contact




Tanyah Hameed

Associate, Government and Enterprise Team

tanyah.hameed@socialfinance.org.uk





Transforming Beneficiary Dependency into Autonomy

PhD Researcher: Nnamdi Okolo, ACCA

Supervised by: Dr David Yates
Prof Kelum Jayasinghe

Prof Ataur Belal

August 2024



University of
Sheffield

Motivation for PhD Thesis

1

The emergence of the impact bond and its innovations within NGOs

2

Continuing 'top-down' interventions and NGO effectiveness in NGO accountability literature

3

Under researched area of poverty within literature of accountability

Areas for Peer consideration and Contribution

1

**Refinement
of Research
Questions**

2

**Reanalysis of
Field Data**

3

**Development
of Theoretical
Framework**

Impact of Development Impact Bonds (DIBs) on SDGs and Poverty Graduation Programs (PGPs)

Adoption by Key Stakeholders: DIBs are utilised by major donors such as the World Bank Group and NGOs like BRAC, along with smaller organisations focused on poverty alleviation in Poverty Graduation Programs (PGP).

Program Structure:

- *Cash Transfer:* Direct monetary assistance to Ultra-poor beneficiaries (Below \$1.90 a day, limited access to microfinance)
- *Initiatives:* Program encourages and support savings among these beneficiaries.
- *Entrepreneurship Skills Training:* Training to equip beneficiaries with essential entrepreneurial skills and communal savings.
- *Mentoring and Asset/Cash Transfer:* Ongoing support through mentoring and additional resources.

Objective: To create and maintain sustainable pathway out of poverty for ultra-poor beneficiaries.

Key Challenge: Lack of effective exit strategies leading to NGO dependency risks.

Primary Research Questions

- How can a culturally sensitive savings model be developed to enhance beneficiary autonomy and reduce dependency following PGP intervention?
- To what extent does the DIB innovation (adaptive monitoring system) amplify or suppress the perspectives of ultra-poor beneficiaries?

Critical social theorists(CST) underpin

- Challenge Dominant Paradigms
- Focus on Power imbalances and Inequality
- Emphasis on emancipating repressed voices and seek alternative ways of thinking

CST in Accounting/Accountability

- Shifting decision making downwards
- Advocating and promoting bottom-up approaches
- Seeking alternative perspectives that can contribute to sustainable transformative changes

Locating research in Critical accounting and accountability Literature

| Journals | Related publications on Impact Bond funding in Accounting or Accountability literature | For Poverty Related Literature |
|---|---|---|
| Accounting Organisation and Society | <p>Impact valuations in social finance: emic and polyvocal stakeholder accounts AAAJ 2023</p> | <p>Accounting and subalternity: enlarging a research space Special issue AAAJ Calls for more work in the global south</p> |
| Accounting, Auditing and Accountability Journal | <p>Against new humanitarian management: Prefigurative accounting in the humanitarian field Critical perspectives 2024</p> | <p>Microaccountability and biopolitics: Microfinance in a Sri Lankan village AOS 2019 Examines the financialization of convivial labor relations among poor Sri Lankan villagers through microfinance</p> |
| Critical perspectives | <p>Social impact bonds: The securitization of the homeless AOS 2016 Key Points: Commodification: SIB outcome-based contracts commodify beneficiaries. Oversimplifies outcomes, obscuring underlying structural issues. Theoretical Framework: Foucauldian Theory Call for beneficiaries perspective</p> | <p>Rich man, poor man, beggar man, thief: Accounting and the stigma of poverty Critical perspectives 2019 Argues that accounting can either reinforce or bridge societal barriers between the rich and poor, depending on its application. Several Accountability scholars advocating for bottom-up beneficiary accountability focus; Alnoor Ebrahim, Susan Oleary, Kelum Jayasinghe, Ataur Belal, Matt Scobie</p> |

Research Methodology and Context

Qualitative

- Inductive Research

Ethnographic Study:

- Conducted with DIB beneficiaries in Bungoma County, Kenya.
- Methods: Ethnography, interviews.





Research Methodology and Context

- **Participant Involvement:**

- 61 participants: 46 beneficiaries, 15 Village Enterprise staff (field and management).

Research Methodology and Context

•Field Work:

- 4 field visits, including a 6-week stay within the community.
- Observations: Cultural practices, existing savings models, and lived realities.
- Activities: Attended BGS meetings, visited businesses.



Research Methodology and Context

Program Overview:

- **Focus:** Poverty Graduation Program (PGP)
- **Donors:** DFID/USAID (Outcome Payers),
- **Intermediary:** Instiglio,
- **NGO** Village Enterprise
- **Social investors:** Delta Fund
- **Evaluators:** Ecorys



Some Preliminary Research Findings from Data Analysis

- **Aspirational Clashes-** Misaligned Aspirations in PGP undermines beneficiary sense of ownership and fosters dependency
- **Beneficiary Dependency-**NGO Leverage on Beneficiary Dependency and Paternalism to negotiate superficial compliance
- **Superficial compliance and marginalized empowerment-** Beneficiaries conform outwardly to access resources

Misaligned Aspirations in PGP undermines beneficiaries ownership

Second Order Code: Misaligned Aspirations in PGP undermines beneficiaries sense of ownership

- **First Order Codes:**

- PGP designed to shape beneficiaries into the existing system
- Prioritising program goals over beneficiaries' realities
- Ambiguous formula overlooks literacy levels, culture, and aspirations
- Beneficiaries aspire to survive day-to-day challenges and raise family

- **Comments from Beneficiaries:**

- "I have eight children, and my husband abandoned me"
- ""One year is too long; we were thinking to reduce it in our group to 6 months"
- "We do not understand how they come up with the amounts [from the pay-out], and some of us feel it is unfair."

- **Comments from VE Staff:**

- *"We emphasise to them that the person who saves more will receive more at the end of the one year"*
- "I think for me, because the program runs for 1 year so payout [from savings of 1 year] is OK."
- "The formula itself is too technical"
- "It needs someone who has been going to school and requires a lot of mathematics"

From Chama to SWAP

Second Order Code: From Chama to SWAP: A Systematic Suppression and Replacement of Cultural Practices

- **First Order Codes:**

- Dismissive of Chama practices (Rotational savings method)
- Overlooked historical roots of Chama and fit socio-economic realities
- Prescribed 'ideal' savings: SWAP

- **Comments from Beneficiaries:**

- "My mother was in a sacco [Chama]"
- *"My daughter is also in my chama and another chama group"*
- "Chama keeps us motivated"

- **Comments from VE Staff:**

- "The thing with our community is once one or two people sit down and talk about saving; they will bring in this 'chama-thing'"
- *"Chama can only work where the members know each other, see in the BGS, where members are many. It will not work!! But they keep forcing it! **They keep forcing it!**"*

Preference for Simpler, equitable Communal Savings

Second Order Code: Notable Preference for Integrating Communal Savings

First Order Codes:

- Preference for simplicity (Chama)
- Equitable PGP savings payout distribution
- Conflict, gaming, and perceived unfairness from formula outcome
- **Comments from Beneficiaries:**
 - *"So to make everyone be ok, we decided on a [calculation] system that everyone gets back exactly what they saved or borrowed during the year"*
 - "I worked [hard] to pay the interest. I borrowed from the BGS [savings pool] but someone also borrowed my [own] savings"
- **Comments from VE Staff:**
 - "There are some [beneficiaries] who are sharp [smarter] and who know if they save more, towards the end [of the year] they will go home with more"
 - "It [calculation] is never satisfactory to the beneficiaries"

Leveraging Resource Dependency to Facilitate Beneficiary Compliance

- **Second Order Code:**
Leveraging on Resource Dependency to Facilitate Beneficiary Compliance
- **First Order Codes:**
 - Imposed grouping requirement for seed capital
- **Comments from Beneficiaries:**
 - "We were told by VE staff that we have to be in a group of 3."
 - "The main challenge is lack of cooperation."
- **Comments from VE Staff:**
 - "Here comes VE asking them to join into a 'group of three'; it is our requirement. It is not their choice, it is our [VE's] model... it is not easy by the way."
 - "We have this situation where we 'take-over' the program."
 - "They lack a sense of ownership of the program"

Concealed cultural reassertions and reshaping from within

- **Second Order Code:** Concealed cultural reassertions and reshaping from within
- **First Order Codes:**
 - Tensions with external requirements and practices
 - **External practices perpetuate dependency**
 - Beneficiaries conform outwardly to access resources
 - Surface level gratitude with underlying preferences
 - Simultaneously find ways to conceal their true practices
 - Engage in cultural reassertions and internal reshaping within imposed external structures
- **Comments from Beneficiaries:**
 - “...We discussed it among ourselves in the group and decided to start [chama] again.”
- **Comments from VE Staff:**
 - “immediately they receive the grant their true colours come out”
 - “They will just fake and come and take pictures with the one member who is [truly] doing the agreed business”

Next Steps



In-depth Discussion of Findings



Theorisation and Application of Relevant Frameworks



Writing up

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Thank you

Suggestions and Recommendations

Coffee break

UP NEXT:
Big Picture from 4pm





GOVERNMENT OUTCOMES LAB

Thank you!

We would love your feedback!



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GOVERNMENT OUTCOMES LAB

Deep Dive 1.6 Revolutionary, responsible, and responsive relationalism in public procurement

Chair: Dr Ruairi Macdonald, University of Oxford



@golaboxford



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Welcome to SOC24

- 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.





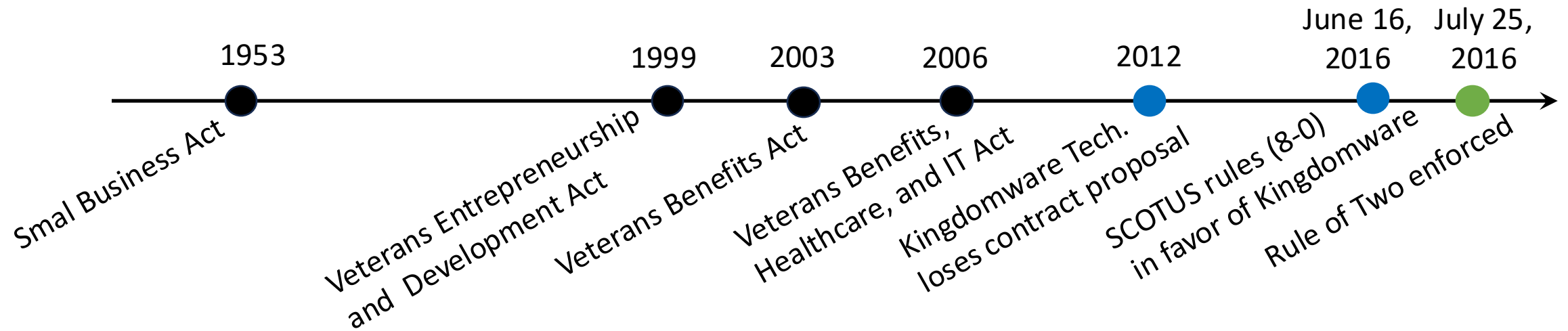
Effect of Enforcing the Rule of Two

Benjamin M. Brunjes, Ph.D.

SBA, Office of Policy, Planning, and Liaison

University of Washington, Evans School of
Public Policy and Governance

Contracting with Veteran-Owned Firms



The “Rule of Two”

Requires VA to restrict competition for contracts to SDVOSBs if:

- 1) “the [contracting] officer reasonably expects that **at least two such businesses will submit offers**”
 - 2) “the award can be made at a **fair and reasonable price** that offers best value to the United States.” (U.S. 38 §8127(d), 2023).
- If there are two SDVOSBs that can perform the required work and if the U.S. government plans to pay fair market rates, then contract with SDVOSBs

RQ: How did strict enforcement of the “rule of two” affect the use of set asides at the VA?

- Does reducing discretion effect contract allocations and contract spending?



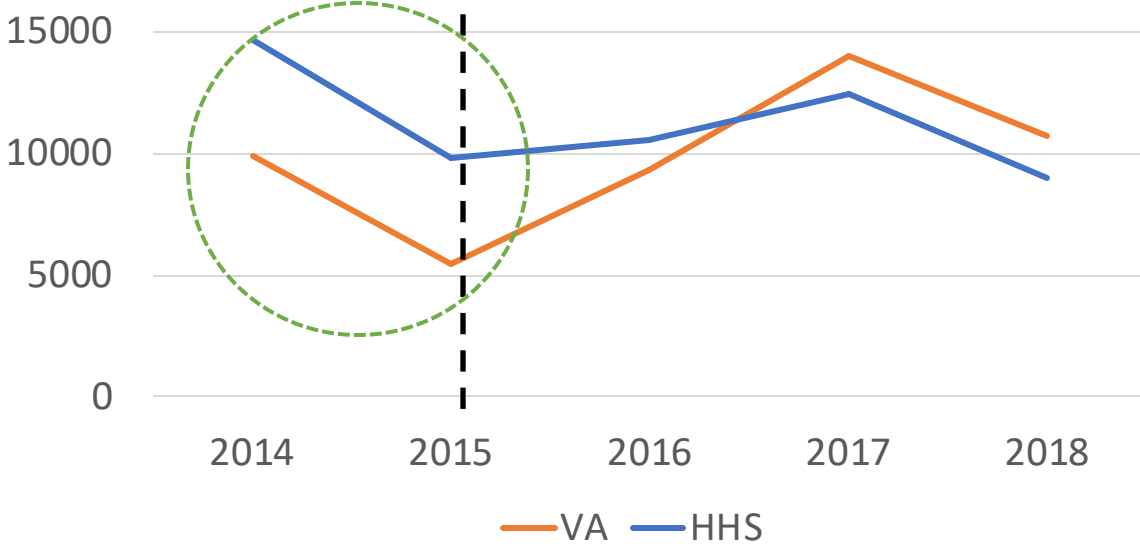
Rule of Two Analysis

- Unit of analysis: Contract
- Method: differences in differences
 - Overall (direct comparison of VA to HHS, across all industries)
 - $n = 912,016$ contracts between 1/1/14 – 12/31/2018
 - Quartiles (by percentage set-asides prior to 2016)
 - To account for market differences
- Strict Enforcement Date (Kingdomware vs. U.S.): July 25th, 2016
- Comparison department: HHS



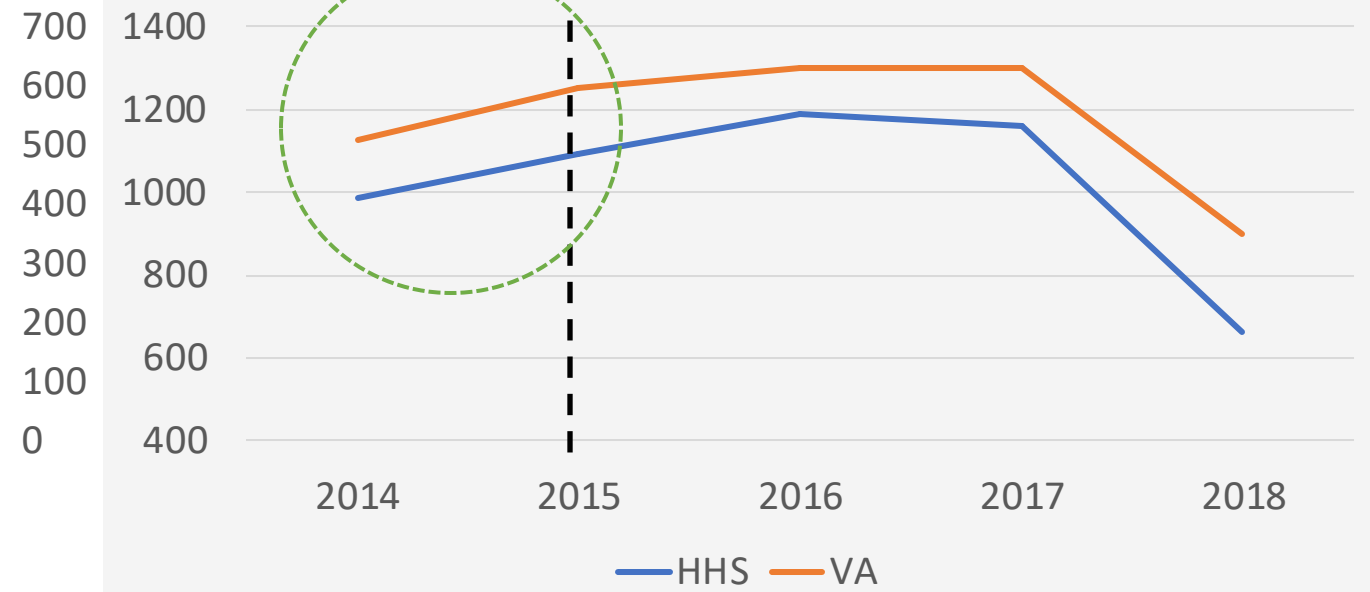
VA

Parallel Trends: SDVOSBs

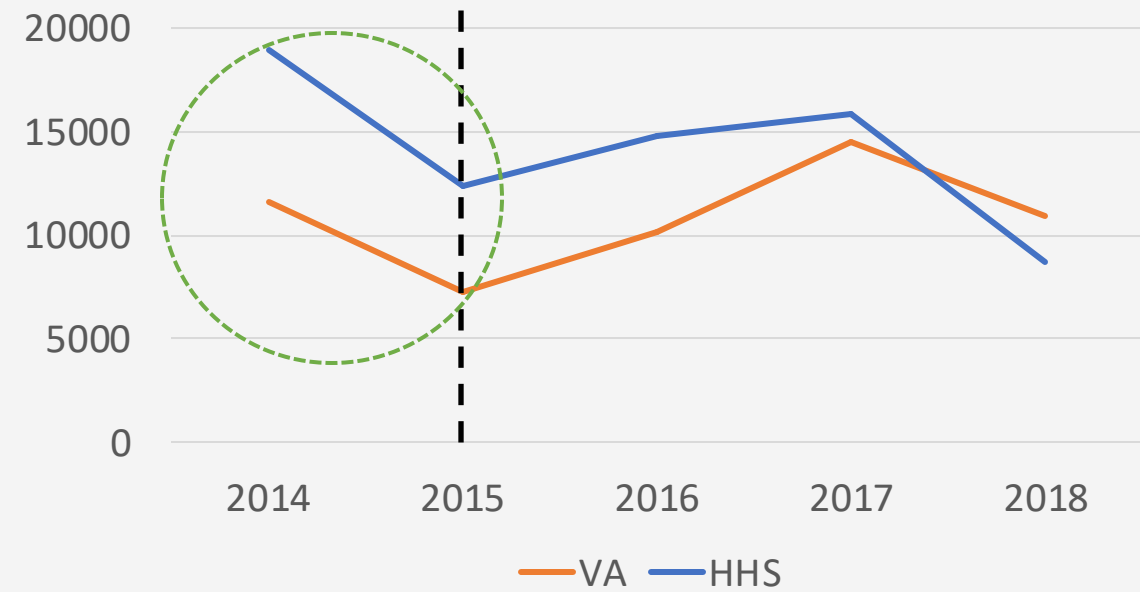


HHS

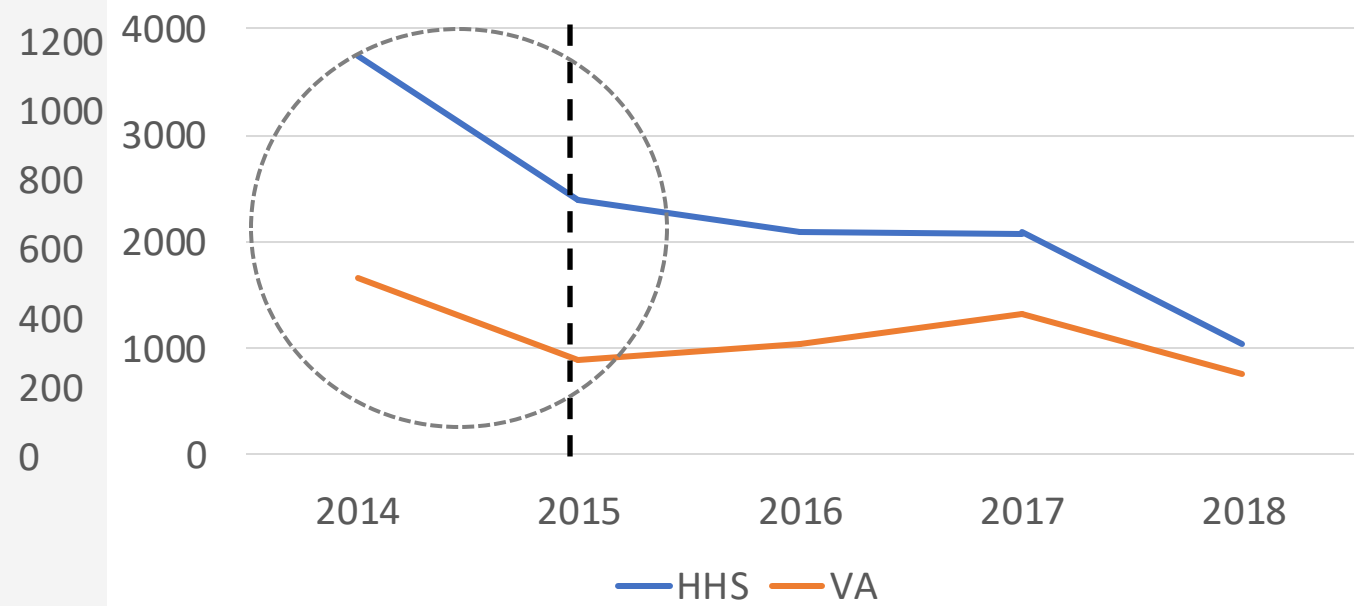
Parallel Trends: WOSBs



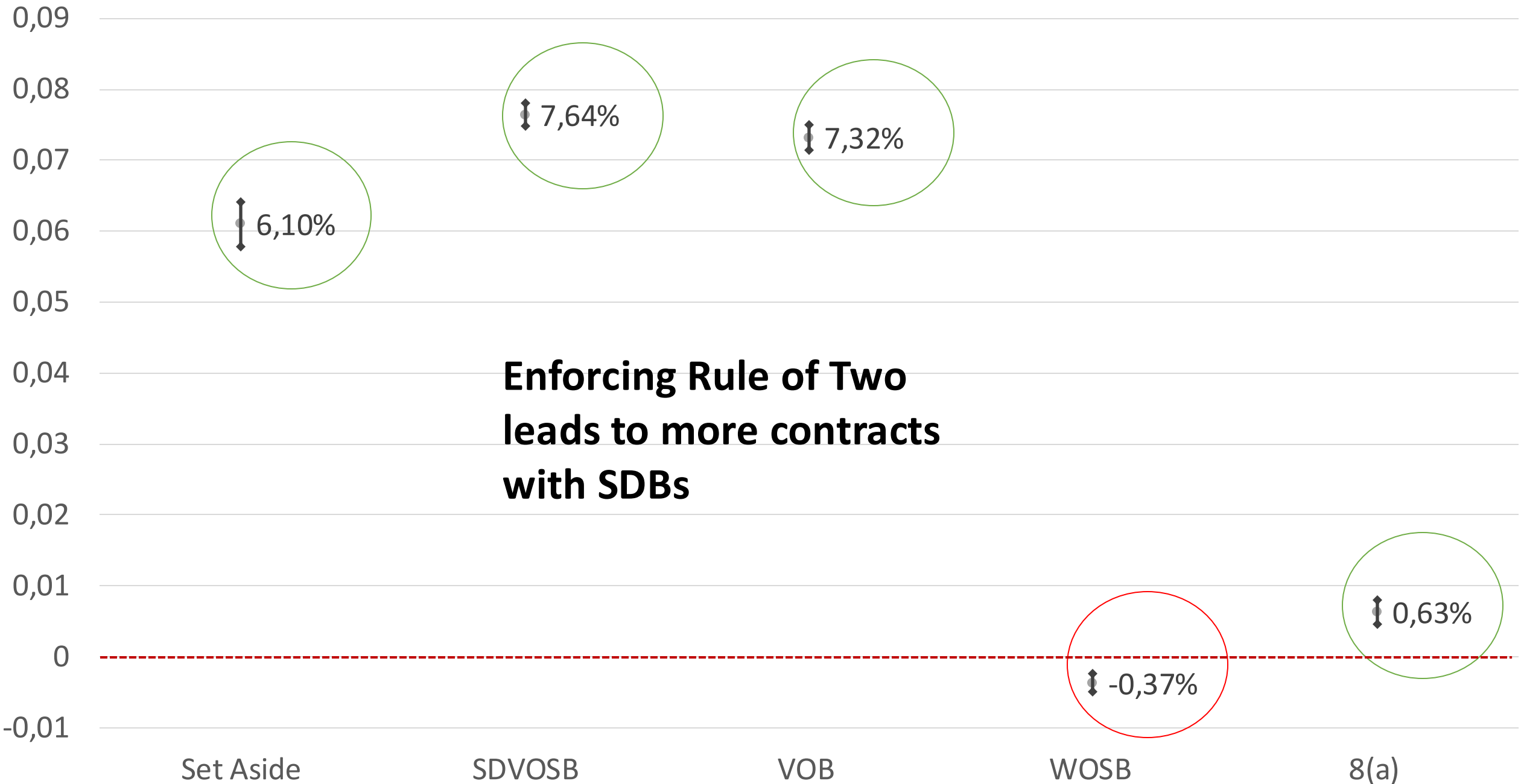
Parallel Trends: VOBs



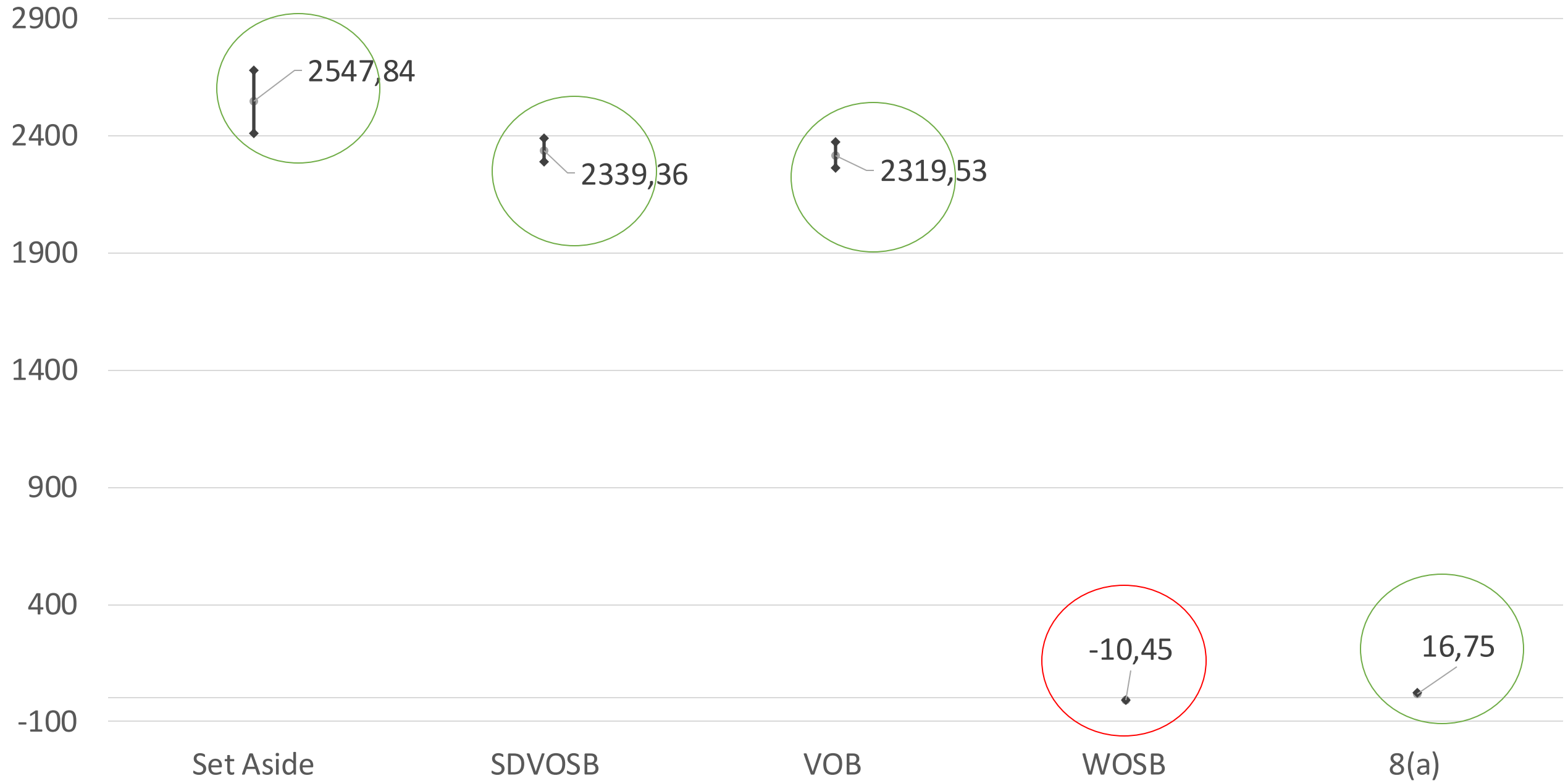
Parallel Trends: 8(a) participant firms



Results: Effect of Enforcing the Rule of Two: Marginal Effects



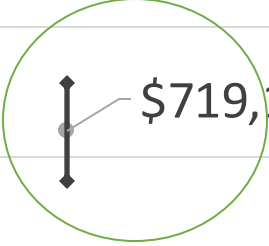
Effect of Enforcing Rule of Two: Number of New Contracts



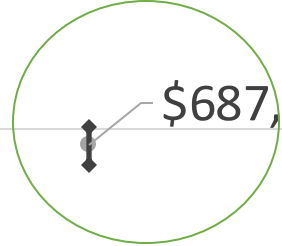
Effect of Enforcing Rule of Two: New Spending on Set Asides

millió

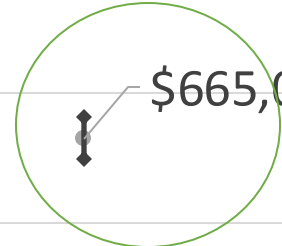
\$800,00
\$700,00
\$600,00
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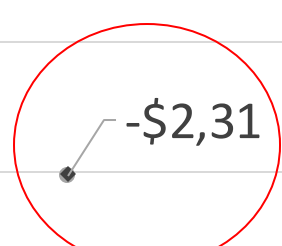
\$719,12



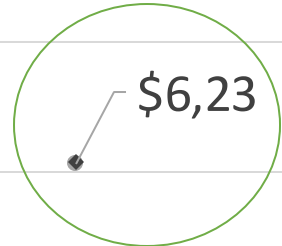
\$687,37



\$665,02



-\$2,31



\$6,23

Set Aside

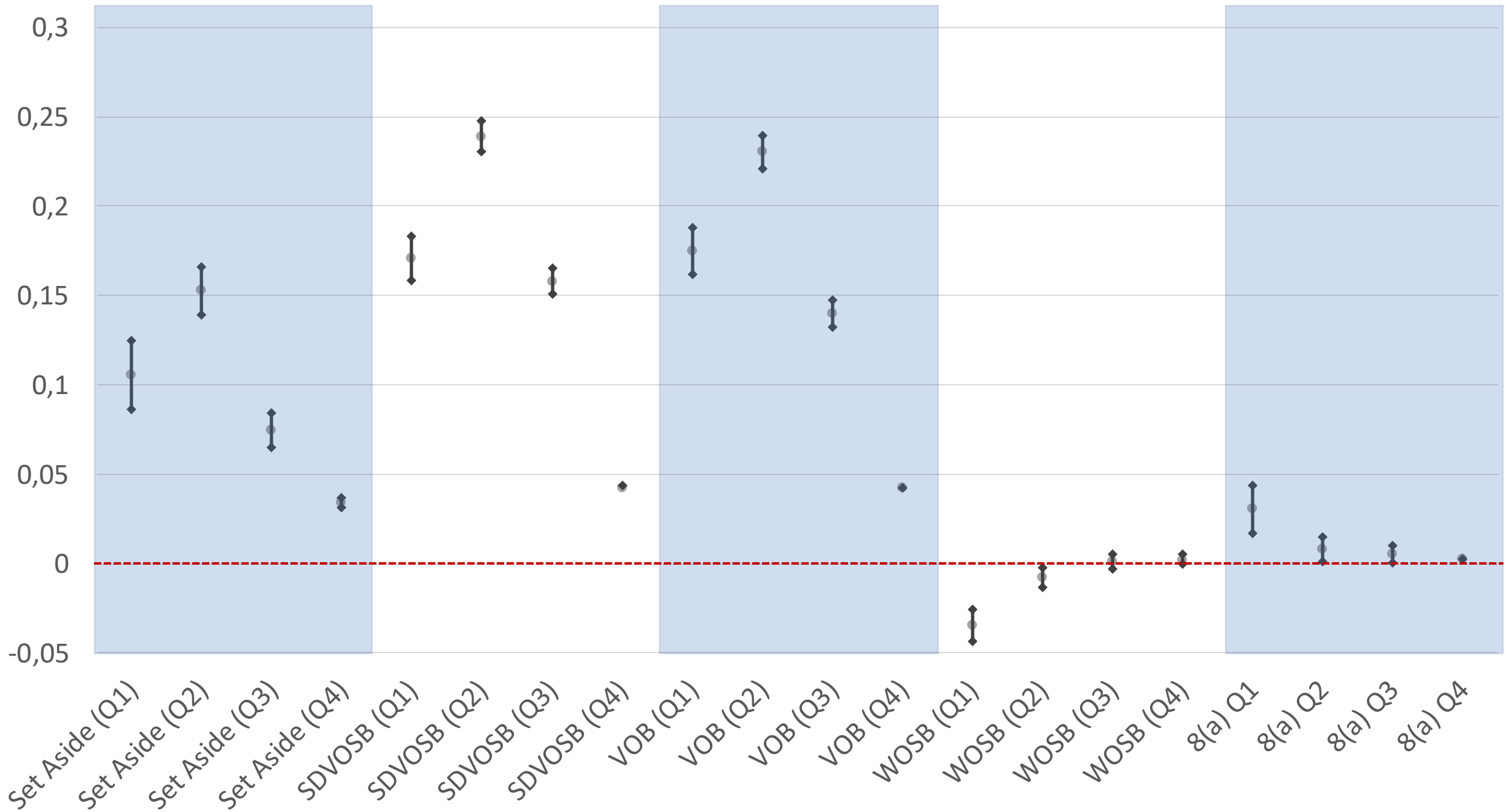
SDVOSB

VOB

WOSB

8(a)

Marginal Effects (by group and quartile)





Questions?

Methods

- Difference in differences analysis

$$Y = \beta_0 + \beta_1 \text{Treatment} + \beta_2 \text{Post} + \beta_3 \text{Treatment*Post} + \beta_4 \text{controls} + e$$

- Y: Outcome variable (set aside winner: overall, SDVOSB, VOB, WOSB, 8a)
- β_0 : Intercept
- β_1 : Dichotomous indicator for treatment (1) and control (0) groups
- β_2 : Dichotomous indicator for pre (0) and post (1) treatment timing
- β_3 : Interaction effect, or a dichotomous indicator (1) when an observation combines both treatment and post timing
- β_4 : Competitive solicitation, bids, fixed-price, total spending
- Modeled two ways:
 - OLS
 - Logit (with changes-in-changes corrections implemented from Athey and Imbens, 2006)



University of Oxford, Blavatnik School of Government
Social Outcomes Conference 2024

CULTURALLY-SENSITIVE PUBLIC PROCUREMENT

CAROL CRAVERO

CONTEXT: About the research

- ✓ Traditional knowledge (TK) and cultural expressions (TCE) encompass the knowledge, practices, cultural expressions, folklore, and artistic outputs, typically rooted in and held collectively by local and indigenous communities. Transmitted through generations orally, TK and TCEs are integral elements to these communities' heritage, wisdom and identity but are also exposed to appropriation and exploitation by non-members.
- ✓ Procuring authorities can take into account a wide array of considerations throughout the public procurement cycle to better plan, design and execute procurement contracts. Ideally, TK and TCEs may be part of these considerations to ensure that procurement outcomes are sustainable and respectful of the cultural heritage of local and indigenous communities.

BACKGROUND:

Protection of TK and TCEs

DEFENSIVE PROTECTION AND POSITIVE PROTECTION OF TK AND TCEs

- One-size-fits-all solution for the protection of TK and TCEs?
- Can conventional IP mechanisms, such as patents, trademarks, copyrights, and geographical indications, be effectively used to protect TK and TCEs?

WHY ARE TK AND TCEs UNIQUE?

- TK and TCEs do not refer to new or innovative creations but rather to traditional heritage that has been passed down through several generations, within a timeframe that is not easily determinable and is usually longer than the duration of most IPR.
- The method of transmission is usually based on interpersonal interaction, memory, and practice rather than through formal documentation.
- The paradigm of individual (or corporate) ownership does not fit them, given their collective nature.

FINDINGS:

Public procurement vis-à-vis TK and TCEs

- ★ The inclusion of the TK and TCEs in public procurement is not straightforward and examples are not widely known (*traditional agriculture, traditional craftsmanship and, sometimes, traditional medicine, as well as community-based procurement* with regard to traditional architecture, building techniques, traditional water management and distribution systems).
- ★ While some countries have developed specific guidance on public procurement and IP, the inclusion of TK and TCEs appears to have received *little attention* in public procurement.
- ★ A case-by-case ASSESSMENT would be recommended to guide procuring authorities in incorporating TK and TCEs into their procurement activities. However, such assessment does not exist.

INSIGHTS:

Assessment and storytelling

1. As part of this research, a template for the assessment of TK and TCEs in public procurement has been developed and structured around two main parts, namely:
 - a general assessment of the national framework regulating TK and TCEs in the context of public procurement, and
 - a specific assessment of TK and TCEs for a case-by-case inclusion in procurement.
2. How can procuring authorities communicate with local and indigenous communities?
 - Storytelling can be used by procuring authorities to clearly and respectfully communicate their intentions, requirements, and the potential benefits of including TK and TCEs in procurement processes.
 - On the other hand, storytelling can help procuring authorities better understand the traditions and cultural elements from which TK and TCEs originate. This awareness is crucial for ensuring that procurement outcomes align with local values and are accepted by communities.

THANK YOU!

WHAT'S NEXT?

Further research, including in-field studies, will be carried out to answer the following questions:

- Can we develop a third category of sustainable public procurement, namely **CULTURALLY-SENSITIVE PROCUREMENT** (going beyond socio-environmental criteria to ensure that procurement practices and outcomes respect and promote cultural diversity, heritage, and traditions)?
- Are there **EXAMPLES** of TK / TCEs inclusion in public procurement?
- Can we better define the role of **STORYTELLING** in public procurement?
- How can we improve the **TEMPLATE** for the assessment of TK / TCEs in public procurement (draft) to reflect the variety of the different forms of TK and TCEs?



GOVERNMENT OUTCOMES LAB

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THE INTERPLAY OF DISCRETION AND COMPLEXITY IN PUBLIC CONTRACTING AND RENEGOTIATIONS

SOC24

Fernando Deodato Domingos, Fundação Getúlio Vargas, Brazil

Carolyn J. Heinrich, Vanderbilt University, USA

Stéphane Saussier, University Paris I Panthéon-Sorbonne, France

Mehdi Shiva, RAND Europe, UK



Public procurement—government purchases of goods and services from the private sector—represents, on average, 12-14% of a country's GDP

Public procurement contracts are frequently renegotiated, involving large amounts of public funds and additional public sector costs

Motivations for renegotiation may be positive (productive adaptation) or negative (external shocks, corruption, opportunism, etc.)

RESEARCH GOALS

- We examine two important features of contracts and contracting procedures:
 - Use of discretion in contracting procedures at the time of the contract award and contract complexity
- To assess their influence on how contract renegotiations are:
 - Perceived (sentiment)
 - Managed (time to renegotiation)
 - Revalued (renegotiation outcomes)

Theory:

- Allowing discretion in contract award procedures and criteria may promote selection of contractors conducive to developing relational aspects of agreements and cooperative behavior in contract management and renegotiations
- But transactional complexity may interact with discretion and mediate the relationship between discretion and contract outcomes



THEORY-INFORMED, EMPIRICALLY TESTED HYPOTHESES

With higher levels of discretion accorded to the government at the contract award stage:

- Contracting parties will approach renegotiations with a positive, cooperative orientation vs. deceptive or opportunistic behavior
- Time to first renegotiation of the contract will be longer

But higher levels of transactional contract complexity:

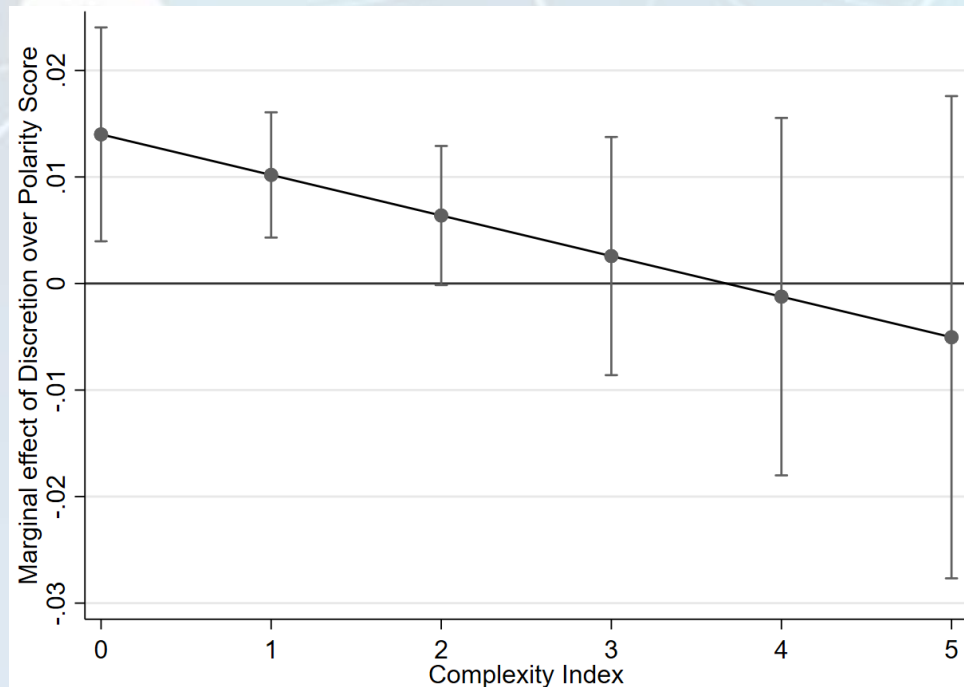
- May moderate the role of discretion, dampening parties' (cooperative) sentiment toward renegotiations and reducing time to contract renegotiations

Empirical test uses data web-scraped data from the European Union (EU) on major contract modification notices (CMNs) between Jan. 2016-Aug. 2021, merged with detailed data on contract award (12,189 contracts corresponding to 21,117 CMNs)

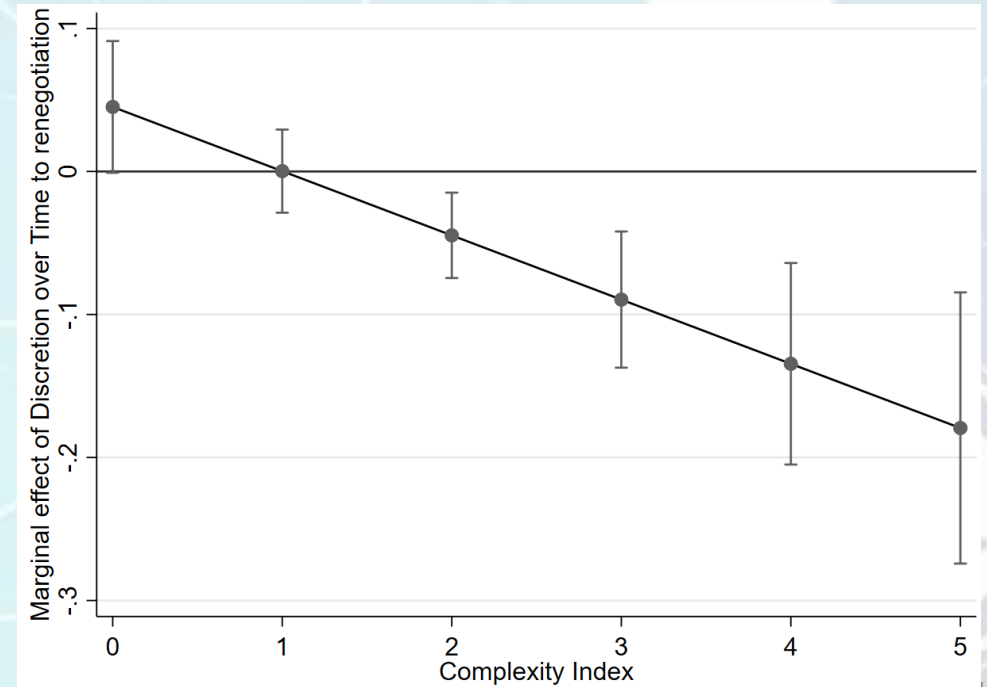
WHAT WE LEARNED IN OUR ANALYSIS

- High discretion at the contract award stage positively and precisely predicts renegotiation sentiment and time to renegotiation
- But contract transactional complexity reduces the positive association of discretion on renegotiation sentiment and time to renegotiation

Marginal effects of *high-discretion* on sentiment by level of contract complexity



Marginal effects of *high-discretion* on sentiment by time to renegotiation





OUR STUDY FINDINGS SUGGEST:

- Governments beholden to strict public procurement rules that discourage discretion at the contract award stage may be forgoing important benefits of discretion that could improve contracting efficiencies and outcomes
- Contract complexity imposes challenges for collaboration in contracting, but the typical response of layering on more formal procedures or rigidities to construct “guardrails” on renegotiations may undermine the benefits of discretion
- Discretion is likely underutilized in the EU and elsewhere, particularly in turbulent times that inherently require adaptation

Embedding Social Value in Procurement

*Deep Dive 1.6 Revolutionary,
responsible, and responsive relationalism
in public procurement.*

Social Outcomes Conference, Blatnavik School of
Government, Oxford University

Professor Jane Lynch
LynchJ2@cardiff.ac.uk

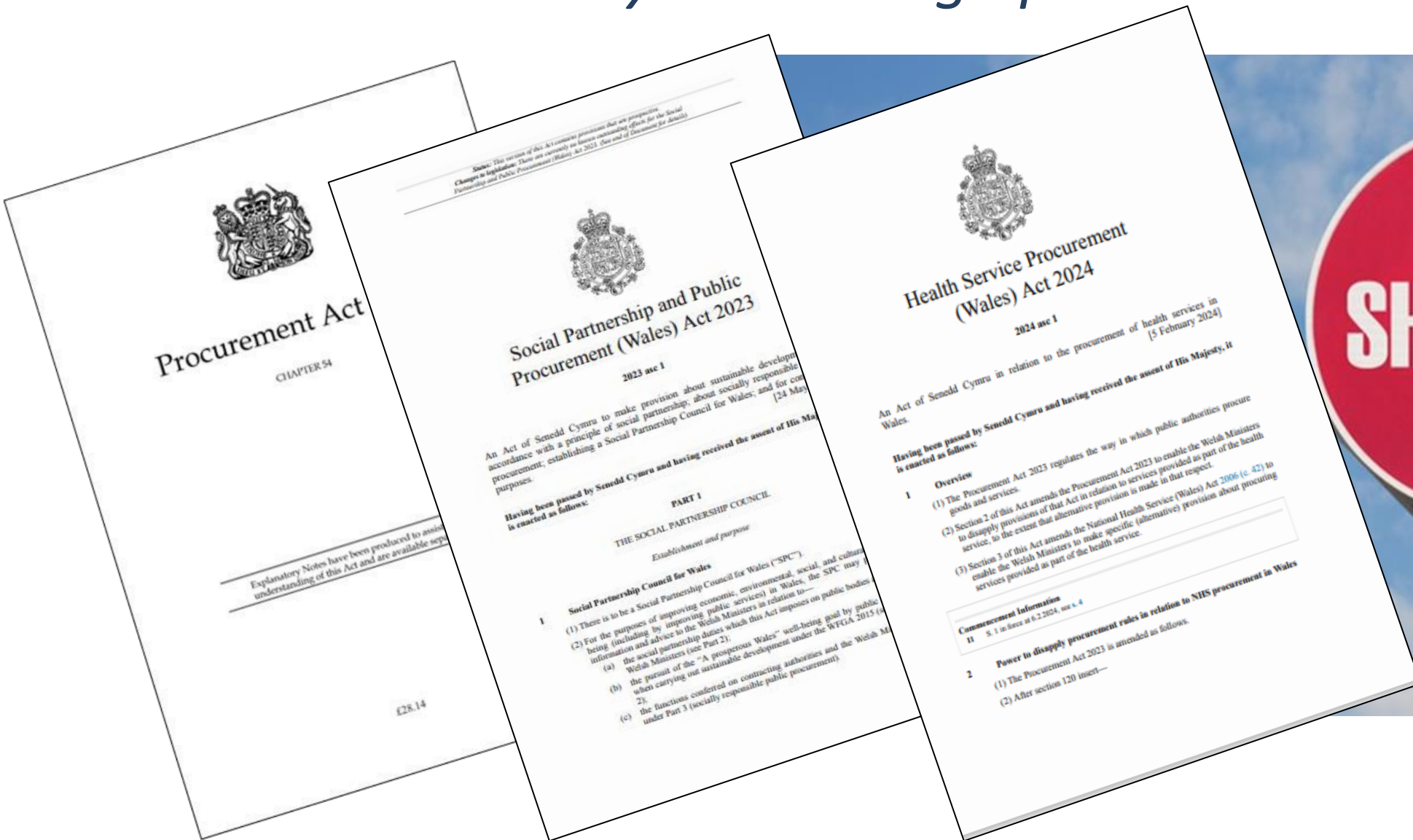


The First Challenge is in the Definition

| Authors / Origin | Definitions of Social Value |
|---------------------------|--|
| Bradač and Crnogaj, 2020 | ‘The act of creating what serves the greater good (social cause-attractor) and has a higher priority than economic value’. Explains that designing projects so that they prioritise social value over economic gain. |
| Courtney (2017) | Proposes four domains of social value; Deliberative Democracy, Social Innovation, Localism and Personalisation. This four-axis conceptualisation includes the nature of the relationship citizens have with the governance of society. It’s a proxy of self-determination. Social innovation assigns value to change, expressing social value as a dynamic entity. Localism is the philosophy that social issues are easier to address at the point they are experienced. Personalisation means that the definition of social value should be operationalised for inclusivity. |
| Dayson (2013) | ‘identifiable economic, social and environmental wellbeing benefits associated with an organisation's activities. Highlights tensions between identifiable benefits- those resulting in economic development are strongly regarded, but too much weighting on economic measures is associated with lack of voluntary engagement. |
| Hazy et al., (2010) | ‘economic value creation is a special case of social value creation” and “economic value creation creates a like amount of social value’. Supports the conceptualisation that all enterprises creating economic value potentially create social value for current and future generations. |
| Sweeney and Soutar (2001) | ‘utility derived from the acceptance, positive impression and social approval of the business client firm and its products/services that the service offer and process generated.’ This consumer definition of value creation suggests stakeholder satisfaction and impression management dimensions to social value. |
| Social Value Portal | A conscious effort to contributing to the long-term wellbeing and resilience, communities and society in general. The measurement of SV is becoming more standardised, and SVP developed a framework for measuring this. |
| Social Value UK | ‘Social Value is a broader understanding of value. It moves beyond using money as the main indicator of value, instead putting the emphasis on engaging people to understand the impact of decisions on their lives. The people’s perspective is critical. Organisations will always create good and bad experiences, but on balance should aim to create a net positive impact in the present and for a sustainable future. They should measure their impacts and use this understanding to make better decisions for people”. |

The Second Challenge is Embedding Legislation

The way we manage procurement is changing



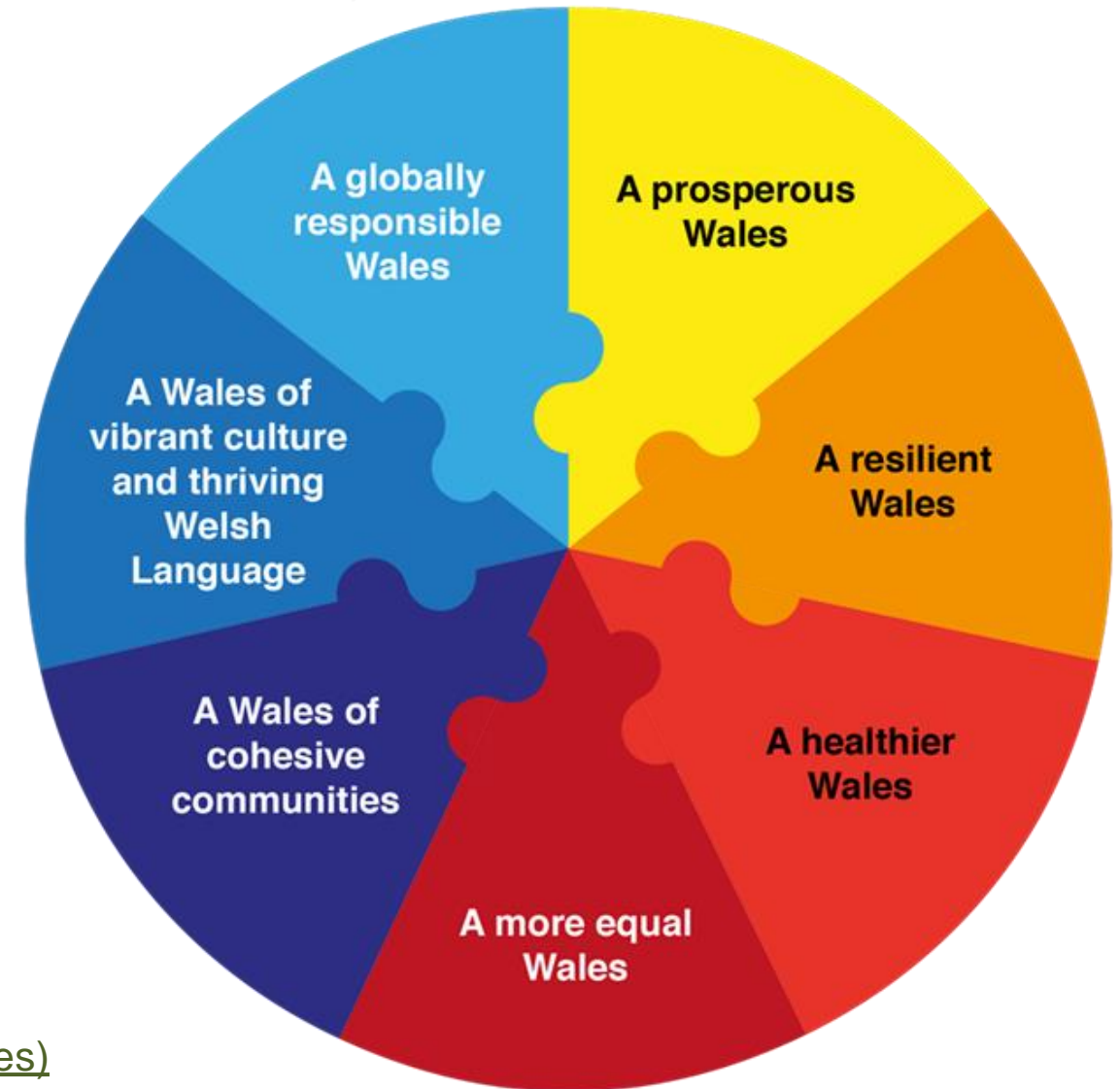
Well-being of Future Generations (Wales) Act 2015 Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015

Seven Well-being Goals Five Ways of Working

- **Long term** – Balance short term needs with a longer-term vision;
- **Prevention** – deploying resources to prevent problems getting worse;
- **Integration** – consider how striving to meet one public body's well-being objectives may impact another;
- **Collaboration** – closer collaboration with other organisations will reduce the likelihood of conflicting objectives and help to achieve the aim;
- **Involvement** – seeking views and involving the right people (stakeholders) who are committed to achieve goals in social, economic, environmental and cultural well-being.

[Wellbeing of Wales: 2023 | GOV.WALES](#)

[ENG-Section-20-Procurement-Review.pdf \(futuregenerations.wales\)](#)



The Third Challenge is Measurement

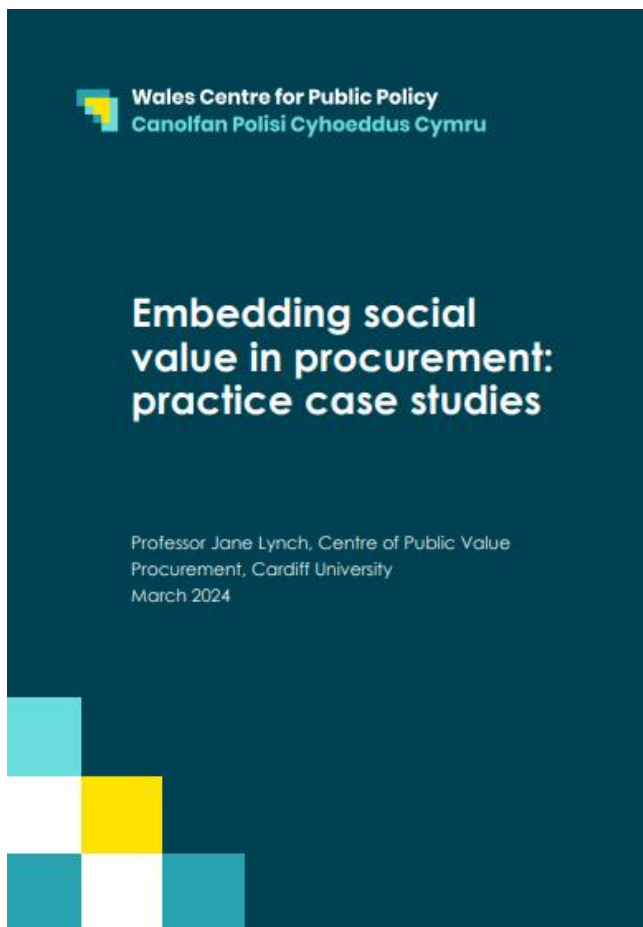


| Number | Perspective | Category of Spend | Organisation | Social Value Focus |
|--------|-------------|------------------------|--|---|
| 1 | Supplier | Children's Social Care | Adopting Together, St David's Children Society | Early involvement and collaboration between the voluntary sector and public bodies. |
| 2 | Supplier | Service | ANTZ | A programme supporting ex-offenders helping them back in to the workplace. |
| 3 | Supplier | Energy | Bute Energy | Emphasis on building awareness of the community and voluntary sector organisations in the community. |
| 4 | Procurement | Food | Caerphilly County Borough Council | Focusing on the right procurement process to attract more micro firms and SMEs. |
| 5 | Procurement | Adult Social Care | Marleyfield Care Home, Flintshire County Council | Focusing on employment opportunities for vulnerable communities even through a crisis period. |
| 6 | Procurement | Infrastructure | National Highways | Focus on impact rather than value - offering a programme supporting veterans and helping them back to work. |
| 7 | Procurement | Sustainable Packaging | The Royal Mint | Moving sourcing of packaging from China to a local firm. |

Overcoming the Challenges

[Embedding social value in procurement -ORCA \(cardiff.ac.uk\)](https://cardiff.ac.uk)

| Themes | Case Highlights |
|---|---|
| Defining Social Value | The interviews highlight varying definitions of social value. However, the key points noted by all include ensuring your definition aligns with your organisation's strategic objectives and clearly communicating this to stakeholders, especially those in the supply chain. |
| Social Value in Practice | Social value should be as important to any organisation as its brand, employees, and commercial goals. Examples of social value might include employment of disadvantaged community groups, placements, work experience, training, paying a living wage, community volunteering, supporting charities, equality, diversity, and inclusion, mitigating modern slavery, and local sourcing. |
| Embedding Social Value in Procurement | The starting point to embed social value is understanding local community needs. However, as highlighted by ANTZ (Case 2), if the organisation doesn't grow commercially, it will not grow socially. A person-centred and person-structured approach will deliver better outcomes for all. |
| Overcoming Challenges in Procurement | There is currently a limited understanding of what can be achieved with social value, and unintended consequences of actions can lead to negative outcomes. This can be overcome by training employees (including those not directly involved in procurement), listening to the supply market, and staying close to communities to understand their needs, accepting that these will change over time. Know your finances and overhead costs to prevent under-delivering. |
| The Value of SMEs and VCSEs in the Supply Chain | Social enterprises, charities, and small businesses are indispensable and often where the most social value can be achieved. Their services are sometimes exploited and not respected (free services). These groups are essential to protect marginalized communities. |
| Engaging with the Supply Market | Build capacity in your supply chain to deliver enhanced social value – through supplier engagement days, meet the buyer events, tender surgeries, and a digital platform for easy communication. Encourage peer learning between suppliers and be prepared to teach basic skills. |
| The Extent of Being Guided by the WFGA | The WFGA provides a robust framework and language for delivering better outcomes. The WFGA harnesses social value for the long-term benefit of people living and working in Wales. The values and principles can, and do, apply outside of Wales. |





Diolch am wrando Thank you for listening

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Professor Jane Lynch - People - Cardiff
[University](#)



Sustainable Public Procurement in Decentralized Contexts: Insights from the Czech Republic and Slovakia

Professor Michal Plaček

Faculty of Social Sciences, Charles University, Prague, Czech Republic

Ambis College, Prague, Czech Republic

Martina Hrušková

Faculty of Social Sciences, Charles University, Prague, Czech Republic



CHARLES
UNIVERSITY

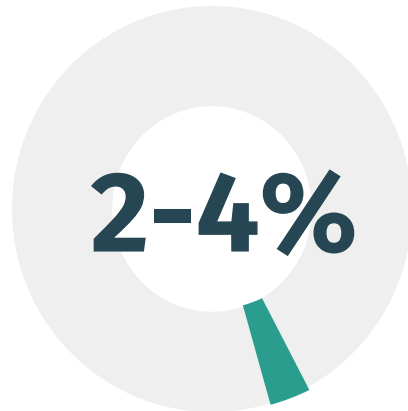
 **Ambis.Vysoká škola.**

Motivation



Share of GPP

(CZ & SR estimates)



Both countries are also among the most decentralised in the EU, the Czech Republic has **6250** municipalities and an **average population of 1632**.

Little is known about SPP at **local government level**, in countries characterised by high levels of **decentralisation**.

Current regulatory framework

- Transposition of 2014 EU directives into national law on PP.
- Allows for **integration of SPP tools** into procurement process in several stages.
- **Ambitious targets** for use have been established in both countries.
- **Lack of SPP uptake monitoring.**

Narratives in PP



Monitoring focused on inputs – **lowest price criterion**



Formal contracts dominate



Lack of trust



Zero tolerance for mistakes -
Risk aversion of procurers



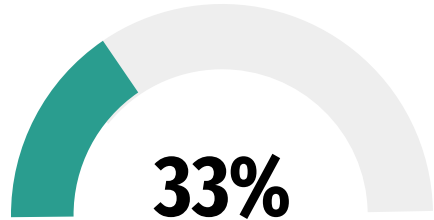
Corruption problem

Methods

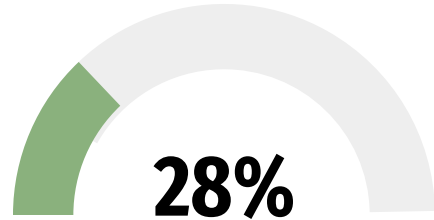
Standardized questionnaire

- Local government officials and policy makers
- 34 questions on description of procurement systems, sustainability policies and practices, internal procurement policies, organisational culture & personal information
- Collected in 2023 – received over **400 answers**

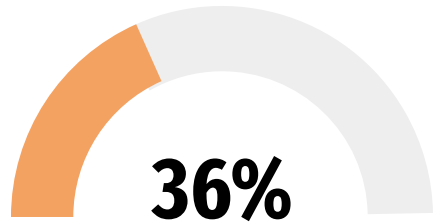
Internal Politics and Personal Interest



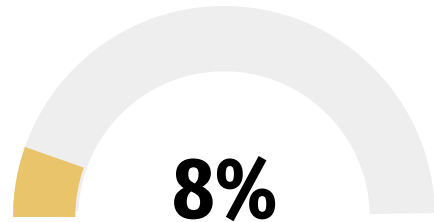
have policies related to sustainability matters



monitor expenditures on sustainability activities



set goals and targets for environmental performance



perform audits or report on their environmental sustainability performance

The most common sustainability-related policies are concerned with **energy efficiency** and **waste management**.

Key motivation for implementing SPP policies are **subsidies**.

Respondents engage in **environmentally conscious behaviors at home**.

Procurement Practice

Key actors

- The key actors are **local politicians**. The city employees do not have as much influence.

Key factors

- **Finances** and **human resources** are key facilitators/constraints.

Sustainability in product groups

- Sustainability aspect important in chemical products, construction work, road repairs procurement.

Criteria

- The most important: **price**, previous experience, relationships with the supplier, support for local businesses.
- Environmental criteria are marginal.
- **Sustainability impacts are not significant** for decision-making in routine purchases.

Assessment of SPP implementation

- Respondents mostly **unable to assess** the success of SPP implementation.

Implications

Institutionalization

Low level of institutionalization of SPP across sectors (strategies, policies, internal guidelines).

Leadership

Significant influence of organizational leadership, specifically by politicians. Low influence of external stakeholders.

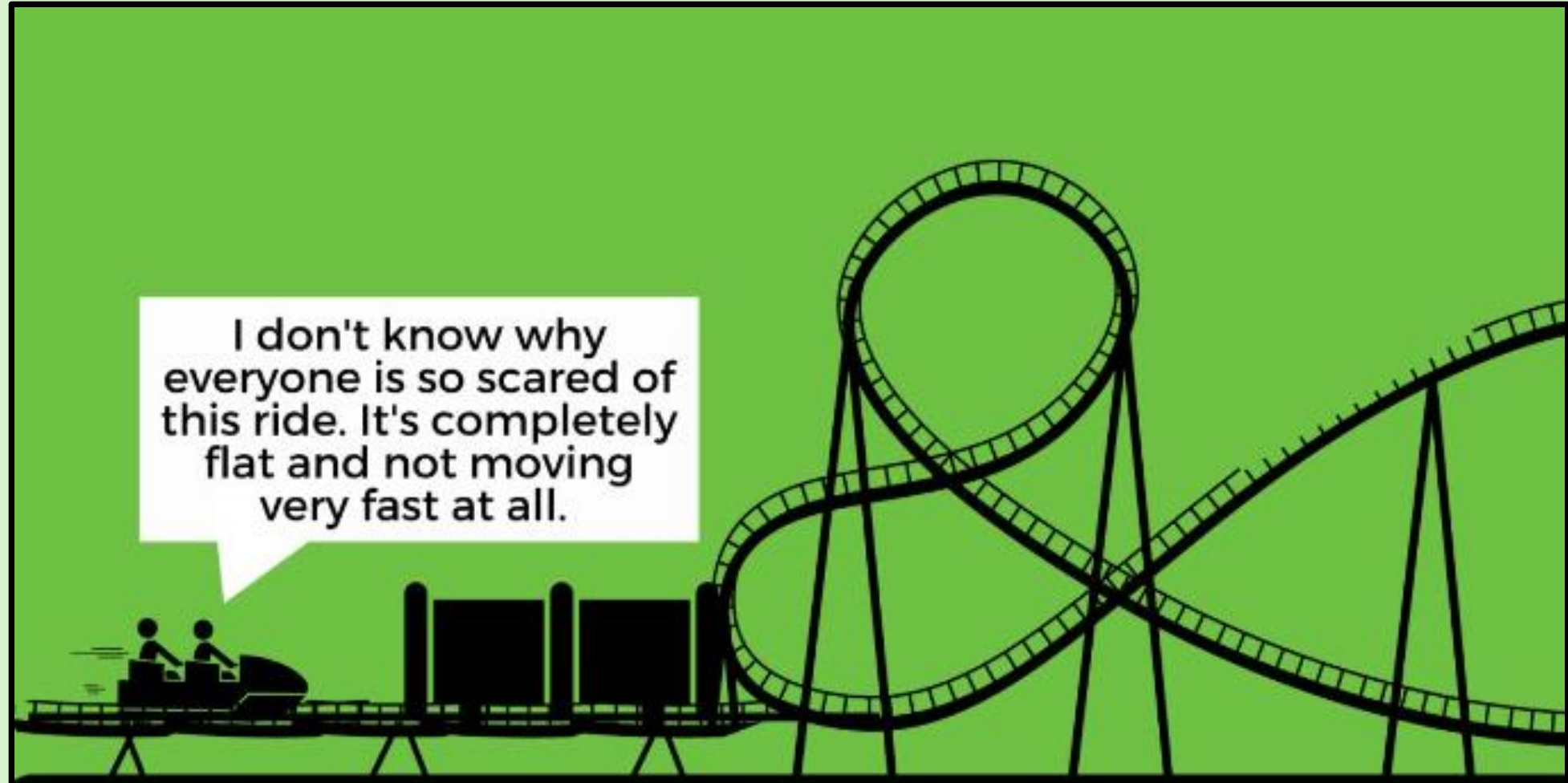
Capacities

Insufficient capacities – specifically human resources and finances.

Heterogeneity

Significant heterogeneity among entities – there are vast differences, with some cities serving as examples of good practice.

Navigating Regulations



Planning



I'm sorry Joey Jr., but I can't support you putting out an RFP for a new bottle supplier. It's time for you to move to the big boy cup whether you like it or not.



Benny won't get the ball until I acknowledge he's a good boy. But how would I know if he's a good boy until he gets the ball? See my conundrum?



Determining your Requirement

Bob sometimes had a hard time separating his procurement job from his home life.


I'd love to buy a glass, Susie, but first I need a detailed description of your recipe and ingredients, the cup's cubic volume, and what warranty you offer on the temperature at delivery.



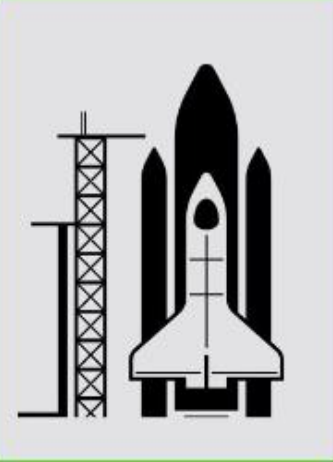
When I commissioned you to paint my portrait, this isn't what I had in mind.




Evaluation Criteria



Sorry, Bob. Legal hasn't authorized me to catch you yet.



Done is better than perfect, Bob. The astronauts don't care if you get every single space trajectory calculation exactly right. Close is good enough.



Managing Internal and External Relationships



Coffee break

UP NEXT:
Big Picture from 4pm





GOVERNMENT OUTCOMES LAB

Thank you!

We would love your feedback!



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GOVERNMENT OUTCOMES LAB

**Big Picture: Restoring trust in the public sector
through outcome-based partnerships:
transparency, relationality and adaptation**

Chair: Dr Eleanor Carter, University of Oxford



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Welcome to SOC24

- 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.



Meet our panellists



Dr. Joe Abah
DAI Global



Andrew Greenway
Public Digital



**Dr. Mekhala
Krishnamurthy**
Ashoka University

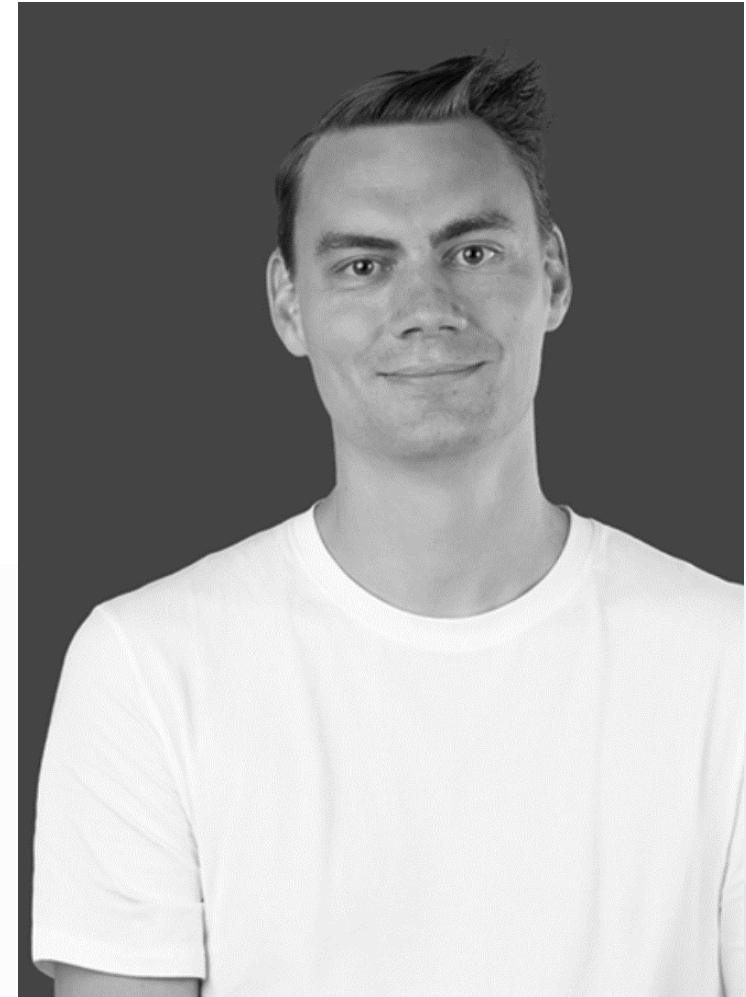


Alison Jeffrey
Department for
Culture, Media and
Sport (DCMS)

Adaptation - Andrew Greenway

p·d nesta

The
Radical
How



Transparency - Joe Abah



Relationality - Mekhala Krishnamurthy

“We are caught in an inescapable network of mutuality, held in a single garment of destiny. Whatever affects one directly, affects all indirectly.”

Dr. Martin Luther King, Jr; Alabama, USA, 1963



Learning from Social Outcome Partnerships - Alison Jeffrey



Quick break

UP NEXT:
Report launch from 6pm
(in-person only)



See you tomorrow!

Croissants & Collaborations
from 8am & Deep Dives
from 9.15





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Report launch



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THE EVOLUTION OF SOCIAL OUTCOMES PARTNERSHIPS IN THE UK

Distilling fifteen years of experience
from Peterborough to Kirklees



Thank you



GOVERNMENT
OUTCOMES
LAB



Read the report here!

**THE EVOLUTION
OF SOCIAL
OUTCOMES
PARTNERSHIPS
IN THE UK**

Distilling fifteen years of experience
from Peterborough to Kirklees

Perspectives from across academia,
policy and practice

Edited by Andreea Anastasiu,
Eleanor Carter & Mara Airoidi
September 2024

“By reflecting on the UK’s experience with social outcomes partnerships, the report offers urgent, important and illuminating insights to the ongoing dialogue on how to achieve sustainable and impactful social outcomes in a world in crisis.”



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BLAVATNIK SCHOOL OF GOVERNMENT

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