



SCHEDULE 1 PART 4:

INTERVENTIONS



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1. Definitions

1.1 For the purpose of this Part 4 (Interventions) of Schedule 1 (Authority's Custodial Service Requirements), unless the context otherwise requires:

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| "Accredited Offending Behaviour Programme" or "Accredited OBPs" | means any course, which is intended to address an offender's needs that has been proven likely to reduce reoffending and has been accredited as such by the Authority, listed in the NID; |
| "Annual Interventions Cost" | means the annual cost of delivering Interventions in accordance with the requirements of Part 4 (Interventions) of Schedule 1 (Authority's Custodial Service Requirements) (in particular paragraph 5 (Annual Interventions Cost)) and calculated in accordance with paragraph 2.6 (Monthly Interventions Payment) of Schedule 14 (Payment Mechanism) ; |
| "Annual Interventions Plan" | has the meaning given to it in paragraph 3 (Annual Interventions Plan) of this Part 4 (Interventions) of Schedule 1 (Authority's Custodial Service Requirements) ; |
| "National Interventions Database" or "NID" | means the HMPPS' national interventions database (as amended from time to time), that lists all Accredited OBPs and Non-Accredited Interventions available to be delivered to prisoners; |
| "Needs Analysis" | means an analysis of the Offending Needs of Prisoners; |
| "Non-Accredited Interventions" | means any course, which is intended to address an offender's behaviour or needs but has not yet been proven to reduce the likelihood of reoffending, listed in the NID; |
| "Offending Needs" | means the criminogenic needs of prisoners identified as causing a prisoner's offending behaviour; |



"Prisoner Cohort"

means a group or groups of Prisoners, either as a whole or groups sharing a characteristic or experience;

2. Aims & Objectives of Interventions in Prisons

- 2.1 "Interventions" are planned and structured courses of action by the Contractor for working with a Prisoner, over and above routine Offender Management, whether delivered one on one to a Prisoner or to a group of Prisoners. Interventions are intended to address a persons' offending related needs with the intended outcomes of:
- 2.1.1 reducing the probability of re-offending;
 - 2.1.2 reducing the risk of harm to the public or others;
 - 2.1.3 managing the risk of harm to the public or others; and/or
 - 2.1.4 supporting a person in settling into a custodial or community setting.
- 2.2 The Contractor shall ensure that its Interventions complement and contribute towards the overall objectives of the Custodial Services which are to contribute to the:
- 2.2.1 rehabilitation of Prisoners;
 - 2.2.2 reduction and management of the risk of harm to the public and others; and
 - 2.2.3 successful resettlement and reintegration of Prisoners into the community.
- 2.3 The Interventions provided by the Contractor may also include Accredited OBPs, Non-Accredited Interventions, peer mentoring schemes, and all interventions, services and programmes in the NID.
- 2.4 The Contractor shall provide Interventions to Prisoners in accordance with the provisions of this **Part 4 (Interventions)** of **Schedule 1 (Authority's Custodial Service Requirements)** and shall ensure that Interventions encompass courses of action across all identified Offending Needs. However, the following shall not be included in any Interventions:
- 2.4.1 Education Services delivered pursuant to **Part 2 (Education)** of **Schedule 1 (Authority's Custodial Service Requirements)**;

2.4.2 interventions delivered through/by Healthcare Providers or other health partnerships pursuant to **Part 5 (Healthcare) of Schedule 1 (Authority's Custodial Service Requirements)** including those aimed at addressing substance misuse; and

2.4.3 Prison Industry workshops and any other Prison Work activities conducted pursuant to **Part 3 (Prison Industries) of Schedule 1 (Authority's Custodial Service Requirements)**.

3. **Annual Interventions Plan**

3.1 In each Contract Year the Contractor shall provide the Authority with its proposed Annual Interventions Plan (including proposed Interventions) in the form set out at Appendix 1 and Annual Interventions Cost as described in this **paragraph 3 (Annual Interventions Plan) and paragraph 5 (Annual Interventions Cost)**. This plan shall be prepared for review and discussion at the Contract Review Meeting three (3) Months prior to the date for submission of the Annual Custodial Service Delivery Plan.

3.2 The Annual Interventions Plan (including proposed Interventions) forms part of the Annual Custodial Service Delivery Plan (either integrally or as an appendix) and shall be submitted to the Authority for approval in accordance with **clause 24 (Annual Custodial Service Delivery Plan)**.

3.3 Where the Prison is a Resettlement Prison, the Interventions contained in the Annual Interventions Plan shall focus on short term Interventions that support the settlement of Prisoners into Prison and improve the overall safety, security and management of the Prison and Prisoners and/or those that reinforce learning completed in other prisons through longer change programmes and particularly Accredited OBPs and/or those Interventions that support the preparation for a Prisoner release back into the community.

3.4 To ensure the Annual Intervention Plan meets the Authority's Requirements the Contractor shall carry out a Needs Analysis of all the Prisoners, the output of which it shall provide to the Authority and use to enable the production of the said Annual Interventions Plan.

3.5 The Contractor shall ensure that each Needs Analysis considers each of the factors set out in the guidance document attached at **Appendix 2 (Risk and Needs Analysis)**, in addition to any over-arching segmentation of the Prison population, as determined by the Authority from time

to time. The Needs Analysis shall include the following assessments of the Prisoner Cohort or Prison population:

- 3.5.1 offending history;
- 3.5.2 criminogenic and resettlement needs;
- 3.5.3 sentence length;
- 3.5.4 length of stay; and
- 3.5.5 Prison churn.

3.6 The Contractor shall ensure that its Annual Interventions Plan (including Accredited OBP Interventions as described in **paragraph 4 (Accredited OBP Interventions)**) meets the above requirements and is flexible and able to be modified should the need arise.

4. **Accredited OBP Interventions**

4.1 The Contractor shall, as part of the Annual Interventions Plan, include a programme of Accredited OBPs appropriate to the needs of the Prison population and the length of each Prisoner's stay. This will be in addition to any policy or prioritisation in place from HMPPS as amended from time to time.

4.2 The Contractor shall ensure the delivery of the programme of Accredited OBPs shall be subject to the Competition Operator Requirements or relevant Policy Framework.

5. **Annual Interventions Cost**

5.1 In each Contract Year, the Contractor shall (as part of the Annual Custodial Service Delivery Plan) provide the Authority with a statement of the Annual Interventions Cost. This shall include:

- 5.1.1 all payroll costs for the Contractor's Staff directly involved in the administration, preparation and delivery of Interventions (including pension costs and national insurance);
- 5.1.2 all payroll costs for delivery of Interventions by any Sub-Contractor or any Third Parties; and

- 5.1.3 the demonstrable actual mobilisation or demobilisation costs (such as recruitment or redundancy costs) incurred by the Contractor as the result of a Change pursuant to **Schedule 16 (Change Protocol)** affecting Interventions, if and to the extent that such costs are not already recoverable in connection with such a Change.
- 5.2 The Contractor shall ensure that any such costs which should be included in the overall costs of the Services are excluded from the Annual Interventions Cost. In particular, the Contractor shall ensure that the following are not included in the Annual Interventions Cost:
- 5.2.1 the cost of Custodial Staff involved in the supervision of delivery of the remaining parts of the Annual Custodial Service Delivery Plan;
- 5.2.2 the cost of any on-site accommodation and utility supplies;
- 5.2.3 any element of profit or general overheads;
- 5.2.4 any costs incurred in the delivery of the Authority's requirements under **Part 3 (Prison Industries) of Schedule 1 (Authority's Custodial Service Requirements)**; and
- 5.2.5 any costs incurred as a result of or in connection with:
- 5.2.5.1 carrying out a Needs Analysis;
- 5.2.5.2 preparing the Annual Interventions Plan;
- 5.2.5.3 data management; and/or
- 5.2.5.4 procurement of services or programmes to deliver any part of the Annual Service Delivery Plan.
- 5.3 The Annual Interventions Cost for the first Contract Year (the "Year 1 Annual Interventions Cost") shall be as set out in **paragraph 2.6 (Monthly Interventions Payment) of Schedule 14 (Payment Mechanism)**.
- 5.4 For each subsequent Contract Year, the Annual Interventions Cost shall be determined by adjusting the Year 1 Annual Interventions Cost as follows:

- 5.4.1 the Contractor shall provide the Authority with its proposals for adjustments to the Year 1 Annual Interventions Cost for the relevant Contract Year, together with its reasons for such adjustments and any relevant documentation (including that information set out at **paragraph 5.2 (Annual Interventions Cost)**) needed to support its proposals. This shall be provided to the Authority for approval as part of the Annual Custodial Service Delivery Plan; and
- 5.4.2 the Authority shall assess and approve proposals of the Annual Interventions Costs as part of the Annual Custodial Service Delivery Plan approval process.
- 5.5 Any dispute over the Annual Interventions Costs shall be subject to the Dispute Resolution Procedure.
6. **Review and approval**
- 6.1 The Annual Interventions Plan and Annual Interventions Cost for each relevant Contract Year shall be submitted as part of the Annual Custodial Service Delivery Plan for that Contract Year and approved by the Authority in accordance with **clause 24 (Annual Custodial Service Delivery Plan)**.
7. **Delivery and payment**
- 7.1 In each Contract Year, following Authority approval of the Annual Custodial Services Delivery Plan:
- 7.1.1 the Contractor shall deliver the Interventions in accordance with the Annual Interventions Plan; and
- 7.1.2 the Annual Intervention Cost shall be payable in accordance with **Schedule 14 (Payment Mechanism)**.
8. **In Year Changes**
- 8.1 Any changes during the course of any Contract Year to the delivery of the Annual Interventions Plan or to the Annual Interventions Cost shall be dealt with in accordance with the provisions of **clause 57 (Change to Services)** and **Schedule 16 (Change Protocol)**.

APPENDIX 2: RISK AND NEEDS ANALYSIS**Guidance Document**

A Needs Analysis is an assessment based on factual information rather than opinions or views, which can be matched against resources to determine service provision.

It is important to remember that national segmentation data will be available, and that this will be refined over time. This data allows us to break the population down into 'segments' that can help in planning service delivery. For example, the data can be presented broken down by risk levels, and sentence type. In addition, this data can help define HMPPS priority groups for investment, by breaking the data down in different ways

In order to add to the segmentation data both in range and depth, the following provides guidance on what information a needs analysis shall contain.

Data Sources:

A Needs Analysis can be completed using data (both quantitative and qualitative) from a range of potential sources; for example, OASys assessments, offender surveys and focus groups, and reception information.

It is important to establish which data sources best provide the data required for the specific purpose of the Needs Analysis. In some cases, the required data may not already be in existence and will need to be created (for example, by carrying out a survey).

In all cases, the precise sources of data used shall be listed in the Needs Analysis. This will help to establish how accurate and representative the information is and shall include a description of when the data was collected, the period of time it covers, sample size, and levels of missing data. The more sources of independent information there are, the more reliable the out come of the Needs Analysis.

In cases where information has been directly collected for the purposes of the Needs Analysis (i.e. Prisoner surveys) then there shall be a brief description of the methodology used to obtain this data.

Any novel data collection shall take into consideration methodological issues such as ensuring the information is reliable and valid.

A Needs Analysis provides a "snapshot" of offenders' needs at a specific point in time, this can limit the usefulness of the information, since the profile of offenders' needs can change over time. In order to overcome this limitation, the Needs Analysis must be repeated to give an idea of how much the population's needs fluctuates. For instance, it could be repeated annually, or repeated several times over a six month period.

Demographic & Sentence Information:

The Needs Analysis shall provide a summary of offenders' demographic and sentence information. This will provide a description of the typical offender profile, the range or diversity of offender groups and the relative proportion of particular groups of offenders. For example, how many offenders are convicted of violent offences, or what percentage is serving an indeterminate sentence.

As a minimum, this section shall provide information on the following: current age, ethnicity, index offence, presence of disability (to include learning disability), sentence type, sentence length, and length of stay in current prison and such other information as the Authority may require as a minimum from time to time; however, it may also be useful to include additional information, if available, such as home area, time left to serve, prevalence of learning disability etc.

Any Needs Analysis should also demonstrate consideration of readiness to engage in interventions which drives volumes.

Risk

A breakdown of offenders' level of risk of offending shall be provided, since many interventions or services are targeted at groups of offenders with a particular risk level. The precise risk assessment tool used will vary depending upon what type of risk is being assessed - for example, risk of general reconviction could be assessed using OGRS-3 or the OGP score from OASys; whereas risk of sexual reconviction may be assessed using Risk Matrix 2000 (s,v or c) or risk of violent reoffending using the OASys OVP. This list is not exhaustive, and the most appropriate risk assessment tool for each type of risk may change in line with current evidence and practice. It is the responsibility of the provider to

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ensure the risk assessment tool used is current and in line with the requirements of the intervention being proposed. The risk tool being referred to, and any cut-offs between risk bands or descriptive labels shall be explicitly stated.

Where available, a breakdown of offenders' 'Risk of Harm' assessment from OASys shall be included.

Need

In order to justify the delivery of an intervention or provision of a service it is necessary for the Needs Analysis to provide quantitative information about the type and level of offenders' needs and the relative proportion of the population with this need. This should be carefully matched against the criteria for the proposed intervention, and it may be useful to seek advice from Intervention Services to ensure that the most appropriate information is being collected. A breakdown of the level and type of needs from OASys assessments shall be used to provide this information; however, where OASys information is not available then information from other sources can be used, such as information provided on reception.

At a minimum, this section shall provide a description of the proportion of offenders with each type of need; however, if resources allow, then a more sophisticated analysis may also provide information about the proportion of offenders with multiple needs and/or provide a breakdown of needs by level of risk or demographic information. For example, the analysis may highlight the proportion of offenders who have substance misuse problems and mental health needs; or the proportion of offenders with a violent index offence, who are also high risk and have a history of domestic violence. This can be helpful in identifying the proportion of offenders who may be likely to meet the targeting criteria of specific interventions.

These different sources of information on personal and sentence details, risk and need will ideally be brought together to provide a needs profile of the whole population concerned, but with specific focus on the highest risk offenders who stay for sufficient periods to allow for a planned intervention.