



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:

"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 for use in prisons by the Authority listed at https://www.gov.uk/guidance/offending-behaviour-programmes-and-interventions (as may be amended from time to time)
"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"	means a three-year plan in the form set out at Appendix 1 (Intervention Plan) (as may be amended by the Authority from time to time) which shall comply with the requirements of paragraph 3 (Annual Interventions Plan) of this Part 4 (Interventions) of Schedule 1 (Authority's Custodial Service Requirements) ;
"Framework for OBPs in Privately Managed Prisons"	means the Policy Framework entitled to "Framework for OBPs in Privately Managed Prisons" as may be amended from time to time;
"Interventions Non-Staff Cost" or "INSC"	has the meaning given to it in Schedule 14 (Payment Mechanism) ;
"Interventions Staff Cost" or "ISC"	has the meaning given to it in Schedule 14 (Payment Mechanism) ;

"Needs Analysis"	means an analysis of the Offending Needs of Prisoners;
"Non-Accredited Interventions"	means Prisoner activity in scope of Authority Policy PSO 4350 Effective Regime Interventions;
"Offending Needs"	means the criminogenic needs of prisoners identified as a causal factor of 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; and
"Project Profit Margin"	has the meaning given to it in Schedule 14 (Payment Mechanism) .

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 and resettlement services, whether delivered one on one to a Prisoner or to a group of Prisoners, to create positive change in attitudes, thinking and behaviour. Interventions are intended to address a person's 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 provided that such interventions, services and programmes comply with **paragraph 2.2** and relevant Authority Polices.
- 2.4 The Contractor shall provide Interventions to all Prisoners in accordance with the Framework for OBPs in Privately Managed Prisons.
- 2.5 The Contractor shall provide Interventions to all 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:
- 2.5.1 Education Services delivered pursuant to **Part 2 (Education)** of **Schedule 1 (Authority's Custodial Service Requirements)**;
- 2.5.2 interventions delivered through/by Healthcare Providers or other health partnerships pursuant to **Part 5 (Healthcare)** of **Schedule 1 (Authority's Custodial Service Requirements)** including Accredited OBPs and Non-Accredited Interventions aimed at addressing substance misuse; and
- 2.5.3 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 respect of the first Contract Year, the Contractor shall provide the Authority with its approved Annual Interventions Plan by the Services Commencement Date as described in **paragraph 7.4 (Preparation of the Annual Custodial Service Delivery Plan)** of **Schedule 5 (Mobilisation)**.
- 3.2 In respect of each subsequent Contract Year in accordance with the Framework for OBPs in Privately Managed Prisons:
- 3.2.1 the Contractor shall provide to the Authority a draft Annual Interventions Plan (including proposed Interventions), in the form set out in **Appendix 1 (Intervention Plan)** by 31 January;

- 3.2.2 following receipt of the draft Annual Interventions Plan, the draft will be reviewed by the Authority within twenty (20) Business Days. The Authority will provide written feedback to the Contractor noting any improvements that need to be made to the draft and the Contractor will provide an updated draft to address the Authority's feedback within ten (10) Business Days of receipt of that feedback (and the cycle of review and updated drafts shall be repeated as necessary until the Annual Interventions Plan is agreed for relevant Contract Year; and
- 3.2.3 the Contractor shall deliver the Annual Interventions Plan (as approved by the Authority in accordance with the process in **paragraph 3.2.2 (Annual Interventions Plan)** above) for each subsequent Contract Year on or before 1 April.
- 3.3 In each Contract Year the Contractor shall provide the Authority with its proposed Annual Interventions Cost as described in **paragraph 5 (Annual Interventions Cost)**.
- 3.4 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's release back into the community. Where the Prison is a Training Prison, the Interventions provided to Prisoners contained in the Annual Interventions Plan shall focus on longer term Interventions that support the rehabilitation of Prisoners and improve the overall safety, security and management of the Prison and Prisoners, particularly including Accredited OBPs and/or those Interventions that support a Prisoner to reduce their risk of harm, risk of reoffending or prepare them to progress towards Resettlement.
- 3.5 To ensure the Annual Intervention Plan meets the Authority's Requirements the Contractor shall carry out a Needs Analysis of all the Prisoners. The Contractor shall provide the output of the Needs Analysis to the Authority and use this output to enable the production of the said Annual Intervention Plan.
- 3.6 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:

- 3.6.1 offending history;
- 3.6.2 criminogenic, settlement, resettlement and other needs;
- 3.6.3 sentence length;
- 3.6.4 length of stay; and
- 3.6.5 Prison churn.

3.7 The Contractor shall ensure that its Annual Interventions Plan (including Accredited OBP Interventions as described in **paragraph 4 (Accredited OBP Interventions)**) complies with the Framework for OBPs in Privately Managed Prisons and meets the above requirements and is flexible and able to be modified should the need arise.

3.8 The Contractor shall provide progress updates to the Annual Interventions Plan to address or meet the needs and interests of Prisoners on at least a quarterly basis. The Annual Interventions Plan (including the progress updates) shall be monitored via quarterly meetings which shall be attended by Contractor in accordance with the Framework for OBPs in Privately Managed Prisons.

3.9 The Contractor shall provide such information and data as is required by the Authority upon request relating to the implementation of the Annual Interventions Plan including but not limited to the demand for Accredited OBPs.

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 provided in accordance with and subject to the Competition Operator Requirements and any relevant Policy Framework (including the Framework for OBPs in Privately Managed Prisons).



5. **Annual Interventions Cost**

5.1 In each Contract Year, the Contractor shall provide the Authority with a statement of the Annual Interventions Cost. This shall include:

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

5.1.2 all payroll costs for delivery of Interventions by any Sub-Contractor or any Third Parties;

5.1.3 Interventions Non-Staff Costs, which includes all non-staff costs related to the preparation and delivery of Interventions included the agreed Project Profit Margin; and

5.1.4 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 and second Contract Years 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 Annual Interventions Cost for the previous Contract Year as follows:
 - 5.4.1 the Contractor shall provide the Authority with its proposals for adjustments to the 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 Interventions Plan in accordance with the Framework for OBPs in Privately Managed Prisons; and
 - 5.4.2 the Authority shall assess and approve proposals of the Annual Interventions Costs as part of the Annual Interventions Plan approval process; and
 - 5.4.3 the approved Annual Interventions Cost shall be recorded as part of the Annual Custodial Service Delivery Plan in accordance with **clause 24 (Annual Custodial Service Delivery Plan)**.
- 5.5 Any dispute over the Annual Interventions Costs shall be subject to the Dispute Resolution Procedure.
- 6. **Delivery and payment**
- 6.1 In each Contract Year, following Authority approval of the Annual Interventions Plan:
 - 6.1.1 the Contractor shall deliver the Interventions in accordance with the Annual Interventions Plan; and
 - 6.1.2 the Annual Intervention Cost shall be payable in accordance with **Schedule 14 (Payment Mechanism)**.



7. **In Year Changes**

- 7.1 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)**.

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APPENDIX 1: INTERVENTION PLAN

The Intervention Plan is set out overleaf.

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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 outcome 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.

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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 set 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 ensure the risk assessment tool used is current and in line with the requirements of the intervention being

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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, the relative proportion of the population with this need and information on the levels of motivation and readiness to engage. This should be carefully matched against the criteria for the proposed intervention, and it may be useful to seek advice from Intervention Services or the developers of other Interventions 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 and/or local Accredited OBPs waiting list data.

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 (or witnessing such behaviour). 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 or greatest need of offenders, who stay for sufficient periods to allow for a planned intervention.