



# A Practical Guide to Forming and Operating **Public Social Partnerships**

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## Ministerial Foreword

The Scottish Government is committed to its purpose of creating a more successful country with opportunities for all of Scotland to flourish through increasing sustainable economic growth. Public-social partnerships (PSPs) can play a real role in designing and delivering services that meet our purpose and strategic objectives. Given the current economic situation, it is of the utmost importance that services are appropriately and well designed, delivered efficiently and have well defined outcomes focussed on meeting the needs of users.



I was delighted to launch the PSP programme in November 2009. This guidance is the product of the last 18 months hard work in developing PSPs across Scotland. It provides a clear understanding of how PSPs can work, with some advice on how the model can be applied based upon the learning of ten pilot projects. I think that this helpful reference material for providers of public services will inform practice and will therefore be valued by national and local Government commissioners.

When I launched the programme, I emphasised our commitment to developing an enterprising third sector which should play both a full and valuable part in co-production and design of services, while being able to take advantage of market opportunities. This is a key message in the guidance and I hope that the third sector can continue to engage in such opportunities. The PSP approach can help public and third sectors work together to ensure that our public services truly meet the needs of service users.

Going forward, the new Scottish Government has committed to continuing to build Scotland's economic resilience and growth. A key element of a strong economy is a strong community effort, where services deliver what communities need and deliver more effectively and efficiently. It is with this in mind that in future we will continue to support PSP developments. The forthcoming Sustainable Procurement Bill will require the inclusion of social, economic and environmental considerations when public bodies are buying goods and services. This will be a powerful tool to ensure that community and other benefits are maximised and it is therefore important that the enterprising third sector is best placed to take advantage of these opportunities.

Other current Government initiatives will help with this, in particular the 'Just Enterprise' programme of business support and the complementary £4m Growth Fund which is a resource to enable enterprising third sector organisations to undertake change towards greater business resilience and growth.

I would like to take this opportunity to congratulate the pilot projects on their real progress achieved and also the project team for putting together such comprehensive guidance.

### John Swinney MSP

Cabinet Secretary for Finance, Employment and Sustainable Growth



## A Public Social Partnership (PSP) is a strategic partnering arrangement which involves the third sector earlier and more deeply in the design and commissioning of public services.

The third sector is often best placed to interact closely with communities and its involvement can mean that people have more choice and control over what services are delivered locally. A PSP differs from other commissioning approaches in that it starts with the need to be addressed, not the services available, which can often be the driver for other partnerships.

A PSP typically comprises three stages:

- Third sector organisations work with public sector purchasers to design a service
- A consortium of public sector and third sector organisations may conduct a short-term pilot, helping to refine service delivery parameters
- The service is further developed to maximise community benefit before being competitively tendered.

PSPs can enable the delivery of public services more efficiently and with more person-centred outcomes for users of services, by putting co-production at the heart of service design. As well as the centrality of co-production, PSPs have the added benefit of giving all partners the opportunity to test out new service designs through piloting. This allows operational issues to be addressed and user feedback to be incorporated into the final design of the service. Other service reform options may be utilised by the PSP, as tools for development, but the PSP itself has continuity, as the strategic partnership encompassing such activities. The PSP can therefore extend as far as having a potential role in oversight of the service which is eventually procured.

PSPs are not necessarily simple to set up; nor are they suitable for every organisation or service. This PSP final report draws upon the lessons learned during a Scottish Government project which ran from June 2009 to June 2011 and involved the selection, set-up, support and evaluation of ten PSP pilots across Scotland. The project team would like to thank all the organisations and individuals who committed time and effort to the pilots and helped to collect the valuable lessons which are reflected in this report.

The most important factor in determining whether a PSP approach is suitable is the level of trust between and commitment of the third sector and public sector partners. The best ideas can fail if organisations and key people do not invest the time and effort which co-production requires. Organisational and staff changes can cause disruption but these need not be insurmountable obstacles if there is continued senior commitment to making the PSP work and the involvement of the right stakeholders. A variety of other factors can contribute to making the PSP a success and these are discussed throughout this report.



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## Executive Summary

Following through on the service design to contract award requires the involvement of procurement and legal professionals, as the service must be procured in compliance with public procurement rules. While the PSP approach does not mandate the use of Community Benefits in Procurement (CBiPs) - more commonly known as community benefit clauses (CBCs) - it is likely to go hand in glove with their use, so procurement professionals need to understand the potential for innovation in how CBiPs are used. The Scottish Government is committed to the appropriate use of CBiPs and additional information available on their use is referenced in this report. Drawing on the lessons from this project, public and third sector bodies should work together to use the PSP model where appropriate to:

- Take a more strategic approach to collaboration, placing improved, user-focused and sustainable service design at the centre of the PSP approach. PSPs should use third sector insight to break down traditional service delivery silos and to encourage service user involvement.
- Reduce fragmentation, both across the third sector (by encouraging the formation of consortia and other arrangements) and also across the end to end process of providing support to those in need.
- Help to make a fundamental shift in expectations from a culture of payment per input to one of payment for outcomes - in both public and third sectors.

The remainder of this report provides some practical guidance on how this might be achieved, illustrated throughout by examples from the PSP pilots. For further support and advice on how the PSP approach can assist in the delivery of improved outcomes, please contact the following email address: [PublicSocialPartnershipGuidance@scotland.gsi.gov.uk](mailto:PublicSocialPartnershipGuidance@scotland.gsi.gov.uk).



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# Introduction

## 1) About the PSP Project

The Scottish Government established the PSP Project as part of the commitments it made in the [Enterprising Third Sector Action Plan 2008-11](#). The Project was delivered by PricewaterhouseCoopers LLP, in conjunction with Forth Sector Development.

The Project was initiated in response to the evaluation of a smaller PSP pilot project in 2007, which strongly recommended that the model be further tested and refined in the context of Scottish public services.

The purpose of the PSP Project was to help selected partnerships to co-plan and pilot the design of services which contribute to the delivery of national and local outcomes. These designs were intended to inform the specification for future services, which the lead public authority was expected to procure at the end of the process. The table below shows the high level timeline of the project:

Phase	Promotion and Selection June – November 2009		Pilot Operation November 2009 – June 2011	
Key Activities	Set up activities, promote project and PSP models	Invite applications	Pilot mobilisation	Feasibility testing
	Selection processes	Undertake assessment	Strategy and vision	On-going promotion
	Stakeholders and communication	Confirming pilots agreements	Assess & design	Best practice development
	Best practice development	Ongoing promotion and best practice		
Support Activities	Regulatory support			
	Updating best practice guidance			
	Contract and performance management			

The ten selected PSP pilots were required to:

- Bring together at least one lead public body and one lead third sector organisation. Partnerships were also encouraged to involve other partners, including private sector organisations, where appropriate.
- Welcome sustained partnership working. Pilots were required to demonstrate the real commitment of all partners by dedicating resources to the programme and beyond.
- Agree what they wanted to change and articulate how this related to National Outcomes and local Single Outcome Agreements.
- Forecast and measure the social impact, using Social Return on Investment (SROI).
- Have real potential to make a difference to services procured by the lead public body at the end of the pilot.



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## Introduction

### 2) About the Pilots

The promotion and selection phase of the PSP Project successfully met its objective of selecting ten pilot partnerships with sufficient geographic and market diversity to enable the PSP model to be tested fully over the ensuing eighteen-month period.

A summary of the pilots and their initial aims is shown in the table below. Clicking on the partners' names will take you directly to the full case study for that pilot. Links to these case studies can also be found throughout the report, to illustrate particular learning points.

PSP Pilot Partners	Market	Area	Description of Partnership Aims
<a href="#">Aberdeenshire Council and Cornerstone</a>	Social Care	Aberdeenshire	Delivery of support services to people with learning disabilities
<a href="#">HMP Barlinnie and Theatre Nemo</a>	Criminal Justice	Glasgow	Involving prisoners with mental health issues in theatre and the arts
<a href="#">Comhairle nan Eilean Siar and Third Sector Hebrides</a>	Transport	Western Isles	Providing integrated community transport services
<a href="#">Argyll &amp; Bute Council and Red Cross</a>	Social Care	Argyll & Bute	Establishing an adult respite care bureau, offering a flexible menu of respite services
<a href="#">Falkirk Council and Falkirk CVS</a>	Children & Families	Falkirk	Developing a commissioning framework for all services to children and families
<a href="#">East Renfrewshire Council and Partners for Inclusion</a>	Social Care	West of Scotland	Providing person-centred services to people with complex learning disabilities and mental health issues
<a href="#">Registers of Scotland and Haven Products</a>	Employability	Glasgow & Edinburgh	Increasing the fair employment of people with disabilities
<a href="#">Renfrewshire Council and Renfrewshire CVS</a>	Social Care	Renfrewshire	Expanding and changing current PSP, delivering day services to older people
<a href="#">Aberdeen City Council and Inspire</a>	Social Care	Aberdeen City	Transforming current delivery of day services to people with learning disabilities, to become more person-centred
<a href="#">Aberdeenshire Council and Aberdeenshire Central &amp; South CVS</a>	Waste Management and Environment	Aberdeenshire	Recycling furniture and household goods to reduce waste and provide affordable goods to people setting up homes



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# Introduction

## 3) Structure of the Report and Guidance

This report brings together the lessons learned throughout the PSP Project and uses them to provide a practical guide to establishing and running PSPs. The structure is based on the commissioning cycle, as developed by the Institute of Public Care (IPC). Use of the cycle in this report is intended to emphasise the core purpose of the PSP model, which is to facilitate full co-production from the beginning of the design phase right through to evaluation. The IPC commissioning cycle is shown in the diagram below:

Learning from the PSP Project is used in each chapter of the report to illustrate both how the PSP model can be beneficial and what the potential pitfalls are, as well as providing additional tools and tips for taking a comprehensive and co-productive approach to commissioning.





## 1) Information and Advice

The first stage in developing a PSP is to identify the service need. Whilst this may sound obvious, in reality it is tempting for organisations to begin with the services they currently provide or procure and articulate the need around those services. Co-production, where the people who will be using the services are integral to their development from the outset, is central to the PSP model. The differences between strategic and service-led commissioning are summarised in the table below:

	Service-led Commissioning	Strategic Commissioning
<b>Area of Focus</b>	Contracting and procurement practices	Market management; engaging providers and service users
<b>Costs</b>	Unit costs are driven down through block contracting and negotiations around inflationary and other pressures	Markets are open and responsive: costs are determined through the mature relationships between commissioners, providers, users and the wider market itself
<b>Outcomes</b>	Existing services, rather than outcomes, are central; needs of citizens are assumed	All services are based on evidence of need and delivery of outcomes
<b>Services</b>	Little innovation – tendency to tweak or do more of the same	Service users co-produce throughout – designing outcomes and packages of support to deliver them
<b>Funding</b>	Public sector controls amount and nature of spend	Service users have individual budgets to meet their needs

As one of a range of strategic commissioning models, PSP:

- Focuses on the needs and wishes of the services user
- Is a framework for deciding how best to deploy resources strategically and tactically to achieve objectives
- Is a system for making the best use of strengths in the statutory, voluntary and private sectors
- Encourages constructive dialogue
- Helps to identify partner authorities / agencies / providers with shared objectives
- Bridges service and financial planning
- Aids service providers' business planning
- Encourages authorities to share intelligence / analysis, thereby improving the range, quality and cost effectiveness of services.

Once the commitment to a strategic approach to commissioning has been established, co-production can begin, with a high level identification of the needs and wishes of potential users of services. The **Tools and Methodologies** section of this chapter provides guidance on how to achieve this.

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# Identify the Need

## 2) Case Studies

A number of the PSP pilots took longer than anticipated to define needs and the service precisely. This delayed their move into designing and planning the services. All found that this was time well spent, however, as it enabled them to cement their partnerships and ensure that the initiative would produce better value than if they had moved into planning without this period of reflection. The strongest example of this was the **Eilean Siar/Third Sector Hebrides pilot** which, having been delayed by a number of other factors, eventually realised that the planned services had not been properly considered. Rather than press ahead with what may have been an inappropriate service, the partners took the decision to start again from scratch and undertake a proper analysis of the outline service need and the local market.

## 3) Lessons Learned

As the partnerships had already identified an outline service need prior to applying to become pilots, the lessons directly from the project were limited in this area. However, some relevant points were noted by those pilots engaged in developing commissioning frameworks.

Ref.	Observation	Impact	Recommendation
1	All potential partners should have a common understanding of commissioning	There can be a tendency to focus only on the procurement aspect, from a traditional supplier/provider relationship	Before progressing to detailed analysis of the high level need identified, teams should create time together in order to identify any differences in definitions and to agree a shared view
2	There is a need to understand the potential impacts of moving from grant funding models to contracts based on the delivery of outcomes	Concern about funding amongst providers can harm the partnership and restrict its ability to design and deliver the optimum service	At the identification stage, providers should be clear that future funding will be based on the identified needs of people in the community, not the sustainability of the third sector as an end in itself

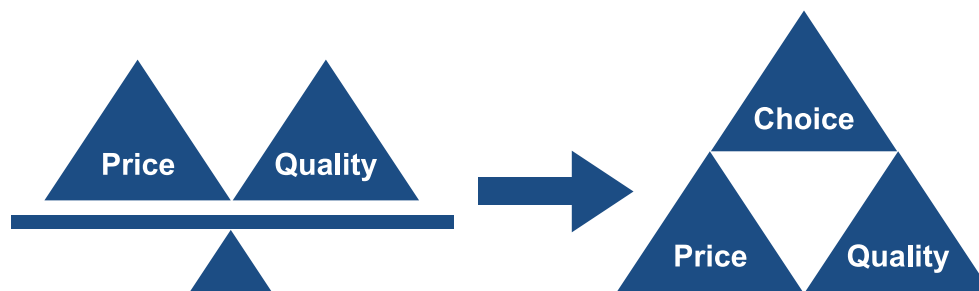


## 4) Tools and Methodologies

### Co-production

Co-production is the delivery of public services through an equal and reciprocal relationship between professionals and people using services. Where activities are co-produced in this way, both services and communities become far more effective agents of change.

Co-production is essentially a means of adding the element of real choice to the commissioning priorities of quality and price, as demonstrated in the simple diagram below:



Co-production necessitates bringing people together, representing as wide a range of interests as possible. For example, consider involving:

- Existing and potential service users
- Carers and families
- Commissioners – local authority, health, education, environmental services etc.
- Agencies providing advice and access to benefits e.g. Jobcentre Plus, Citizens' Advice
- Providers – public, private and third sector
- Housing associations
- Employability agencies
- Local community councils.

No person or service exists in a vacuum and the involvement of the wider community is likely to bring about greater innovation in service design and acceptability in its delivery.

The key point to note about co-production is that it does not equate to consultation, which tends to happen after the service has been designed. The process should begin with a blank sheet of paper and a joint debate about the needs to be addressed, desired outcomes and potential ways of achieving these. It therefore starts at the identification stage and continues throughout the remainder of the process: in analysis, planning, delivery and service review.



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## Identify the Need

### Scottish Government Guidance

Further guidance on specific areas of need are contained in the Scottish Government publications, such as **GIRFEC** (Getting it Right for Every Child), **Same as You** (personalisation for people with learning disabilities) and **All Our Futures** (the future of services for older people).

### Other Sources of Information

As with any needs analysis and commissioning approach, commissioners should also use available local data, such as that contained in the **Scottish Index of Multiple Deprivation (SIMD)** and other data on the current demand for services available from public sector bodies (e.g. health and crime statistics).

### 5) Glossary

The **PSP Glossary** contains brief definitions of some of the key terms relevant to the delivery of public services within a public social partnership model. It is intended as an introduction to some of the concepts and further information on all of these terms may be obtained from the Scottish Government's website or other information sources detailed in the **PSP Links** section of this report.

### 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **Why is the Scottish Government so keen on PSPs?**
- **How is a PSP different from the way we work in partnership already?**

### 7) Links

There are a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

- Partnership working
- Government
- Third Sector
- Commissioning.



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# To PSP or Not to PSP

## 1) Information and Advice

### Definition of PSP

A PSP is a commissioning arrangement, not simply a procurement mechanism. It is a partnership of at least one lead public sector and one lead third sector organisation, although other partners and the private sector may become involved. The aim of PSPs is to co-design and deliver innovative, high quality public services, which meet the needs of individuals and local communities.

A PSP typically comprises three stages:

- Third sector organisations working with public sector purchasers to design a service
- A consortium of public sector and third sector organisations may conduct a short-term pilot, helping to refine service delivery parameters
- The service is further developed to maximise community benefit before being competitively tendered.

PSP is not a means of avoiding procurement regulations: public sector commissioners must comply with public procurement rules. The partners work together to design the service and may need to pilot its delivery for a defined period of time but it should then be procured in accordance with these rules. In investing in the design and planning stages, the third sector partner(s) must be prepared for the possibility that the contract may eventually be awarded to another organisation. This is similar to business practice in the private sector, where companies often invest in business development and then allow the market to determine the success of their products and services.

These aspects of product development and open competition are essential to achieving the ultimate aim of PSPs, which is the delivery of the best, most efficient services.

### PSP Principles

The following overarching principles should be incorporated into the partners' ways of working together:

- Optimal service design for the community is at the heart of the PSP's objectives
- Services must be co-produced, involving potential users of services, as well as partner organisations, from the outset
- The advancement of organisations' agendas cannot be an end in itself, unless it coincides with improved services
- The involvement of different sectors, organisations and users of services should encourage innovation
- Both sectors should be enterprising in their approach - delivering marketable service outcomes, rather than grant-funded operations
- The partnership must be equal and able to break through any cultural barriers between sectors, organisations and individuals.

It is good practice to enshrine these principles in a Memorandum of Understanding at the start of a partnership.



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## To PSP or Not to PSP

### Benefits of the PSP Approach

The benefits of the service itself will depend on the area, level of need and quality of service delivery. However, the benefits particular to the service being developed through a PSP are summarised in the table below:

Benefit	To Service Users and Communities	To Public Sector Commissioners	To Third Sector Providers
Choice	No longer having to take 'off the shelf', generic services.	Access to a wider market and more options to deliver against outcomes.	Access to the public sector market and opportunity to innovate in service design.
Quality	A wider market should drive up quality of available services.	Better value for money and achievement of outcomes.	Opportunity to evidence added value of services.
Social	A greater say in defining and meeting local needs.	Increased understanding of local social priorities and better targeting of resources.	The ability to use their local knowledge as a market advantage (although providers must not be given competitive advantage in subsequent procurement processes).
Cultural	An insight into how public services are designed and delivered.	Opportunity to consider new ways of working and break out of silos.	More enterprising approach and mutual understanding with other sectors.
Financial	More influence over how public funding is prioritised in the local area and/or for them as individuals.	Efficiencies in delivery of services.	Contracted services, providing a degree of financial sustainability and less resources spent on accessing other forms of income.



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# To PSP or Not to PSP

## Challenges of the PSP Approach

The challenges are illustrated throughout this report in the pilots' lessons learned and [case studies](#). The main ones to consider are:

- Building and maintaining a partnership takes time and effort
- Partners have to be strong and committed enough to work through difficult issues together
- There needs to be commitment at a strategic level in all partner organisations, so that the PSP is not seen as one or two people's 'pet project'
- There may be resistance at the operational level, particularly where services traditionally delivered in-house by the public sector are seen to be under threat
- Investing in product development is a risk for provider organisations, as there is no guarantee of winning the contract at the end of the process
- Stakeholder engagement is time-consuming and difficult at times
- Geographical boundaries of partners and, crucially, their budgets may not be aligned, requiring creative approaches to ensure these do not become barriers to progress
- Legal issues around state aid and procurement have to be carefully considered and managed.

## Deciding if PSP is Right for You

The lessons learned through the PSP Project revealed that the most common success factors and inhibitors of success in a PSP were:

What Works	What Does Not Work
Equal relationships	One dominant and/or passive partner
Senior level commitment	No power to make decisions or commit resources
Sufficient resources to engage in the partnership	One person from each partner organisation, with no support
Ambitious but manageable scope	Poorly defined or too narrow/wide a scope
Memorandum of Understanding	Informal, verbal partnership working arrangements
Trust	Suspicion
Business-like approach from all sectors	Resisting change to traditional organisational cultures
Open communication between partners and with other stakeholders	Communicating in silos and/or selective information sharing

Taking these into account, along with the potential benefits and challenges noted above, organisations should consider carefully the implications of forming a PSP and use [the tools](#) described later in this chapter to determine whether or not the model would work for them.



## 2) Case Studies

Three of the PSP pilots developed commissioning frameworks during the project, to identify the most appropriate vehicle for the design and delivery of services. The **Falkirk pilot** spent a great deal of time on promoting and explaining the PSP model. It trained a cohort of PSP advocates in both the public and third sectors, so that organisations across the region have sufficient understanding of how PSPs work and could therefore determine when it could be used. The pilot team also held a series of interactive events to co-design the commissioning framework and ensure that all local providers and commissioners had the opportunity of engaging in the process and were able to make informed decisions.

## 3) Lessons Learned

Clearly the PSP model may not be appropriate or practicable in all circumstances, although the underlying principles of co-production are relevant to the design and delivery of all public services. Whilst the pilot partnerships had by definition decided to operate under the PSP model, a number of them identified lessons to be considered when deciding whether or not this is in fact the optimal model for a given project.

Ref.	Observation	Impact	Recommendation
T1	It is important to identify the approach to be taken to what happens in operation, as well as the detail of the commissioning/pilot project itself.	The project can deliver added value by leaving a legacy of new ways of working.	Make sure that initial discussions include a consideration of the project legacy and how it can be sustained.
T2	Working with all commissioners to identify common needs, priorities and service preferences is essential.	Lack of buy-in from commissioners can cause problems down the line if providers have difficulty accepting the model.	The engagement of all commissioners at an early stage is important. They need to understand the PSP approach and agree to its implementation. They need to stand together if providers find the approach difficult.
T3	A history of working within a commissioning approach can help or hinder the PSP process.	While some providers like the increased dialogue and transparency of the PSP model, others find it a challenge to work within contracted relationships.	Ensure additional time is built into the plan to manage situations where funding mechanisms are changing.
T4	The public sector partner may not be ready to procure the services.	Services remain small and grant funded, with little potential for replicability.	PSP should be developed as part of a strategic commissioning approach; not in isolation.
T5	Thoroughness and frank discussion at the outset is essential so that mutual understanding is developed and to allay misunderstandings of the model.	Partners may be signed up in theory but without exploring what it means in practical terms.	Potential partners should probe their cultures, values and assumptions before entering into a PSP, to ensure that all potential risks have been considered.



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# To PSP or Not to PSP

To illustrate these points, one of the pilots found that, having embarked on the PSP programme, key individuals involved remained opposed to the concept of the pilot being replicated. Rather than seeing the project as something to be evaluated and tendered for, the belief was that the service should continue to be delivered on a grant-funded basis by a number of small provider organisations, working in relative isolation. There was therefore a mismatch of expectations because these issues had not been explored in depth at the operational level from the outset. This in turn led to a breakdown in relationships and the pilot not working together as a partnership. The perception of the third sector partner was that, during the period of the pilot, the public body established relationships with other provider organisations to provide similar services but did not communicate this to the PSP third sector partner or look at how the new operations could benefit from the learning through the pilot.

## 4) Tools and Methodologies

### Organisational Readiness Analysis

There are a number of tools to assist in determining whether or not an organisation is ready for the change in culture and operations which are likely to result from a successful PSP. The table below is a simple self-assessment tool that can be used to determine the likelihood of success, based on the readiness for change:

Change Factor	Readiness Rating			
	Excellent	High	Average	Low
Senior Level Commitment				
Human Resources				
Financial and Physical Resources				
Willingness to Change				
Track Record of Partnership Working				
Track Record of Co-Production				
<b>Chances of success</b>	<b>Excellent</b>	<b>High</b>	<b>Average</b>	<b>Low</b>



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# To PSP or Not to PSP

## Market Analysis

Commissioners need to establish whether or not the local market is mature enough to yield suitable partners who are able to invest in product development. Equally, providers need to have a strong market awareness, both to establish their own competitive positions and in acknowledgement of the fact that their organisations may not be able to meet the service needs which emerge as the PSP moves into detailed planning.

The analysis of the market should include:

- The current and future size of the market, taking into account demographic trends
- The number and type of providers in the market
- The strength of providers, both financially and in terms of influence with commissioners
- The level of influence and engagement of customers; both commissioners and end-users
- Buying mechanisms - are services generally commissioned centrally or purchased by people with individual budgets? Will this change in the future and to what extent?
- Any current or future political, environmental, social or technological factors which will impact on the market
- The extent of collaboration between commissioners and/or providers
- How open the market is to new providers.

If the market is found not to be mature enough to sustain partnership working, then the public sector should give consideration to developing the market to ensure citizens have the best range and quality of options.

## State Aid Issues

Please note the following constitutes general guidance only and that legal advice should be sought on the subject of State Aid where appropriate.

Where a public sector body is providing assistance on a discretionary basis (as opposed to commercial payments for services), the State Aid rules of the European Commission (EC) may come into play. It is important to note that the PSP model assumes that no such assistance will be provided to support the PSP, as all partners are expected to invest their own resources into the partnership. Payment for services delivered during the piloting phase (following an open competition) should constitute commercial payment, rather than discretionary assistance. Legal advice should also be sought so that State Aid rules are not compromised, which may subsequently undermine the procurement process.



# To PSP or Not to PSP

The Scottish Government's State Aid Unit recommends asking the following five questions, to ensure that EC rules are not inadvertently breached:

**1. Is the support granted by the state or through state resources?**

This includes UK and Scottish Government departments and agencies, as well as Local Authorities and other public or private sector bodies designated or controlled by the state. State resources include tax exemptions and also funds not permanently belonging to the state but under state control e.g. lottery funding.

**2. Does it confer an advantage to an undertaking?**

An undertaking is an organisation involved in economic activity and includes third sector organisations providing services in return for payment, even if they are not primarily for profit. A benefit to an undertaking, granted for free or on favourable (non-commercial) terms, could be State Aid.

**3. Is it selective, favouring certain undertakings?**

Aid that targets particular businesses, locations or types of firm (e.g. third sector) is considered selective.

**4. Does the measure distort or have the potential to distort competition?**

If it strengthens the position of the beneficiary relative to other competitors then this criteria is likely to be met.

**5. Is the activity tradable between member states?**

The Commission's interpretation of this is broad - it is sufficient that a product or service is subject to trade between member states, even if the aid beneficiary itself does not export to the EU. Consequently most activities are viewed as tradable.

For further information on State Aid, visit the [State Aid Scotland website](#).

## Procurement Issues

Guidance on procurement issues may be obtained from the [Scottish Procurement and Commercial Directorate](#) of the Scottish Government. Procurement law does not prevent PSP partners from working together on service design, as long as care is taken to ensure that providers involved in the PSP do not gain a competitive advantage and the appropriate route is taken to procure the service at the end of the design stage, which may or may not include piloting the service. The most appropriate procurement route should be decided on a case by case basis, with appropriate advice from professionals.

Further advice on procurement issues is contained in the **'Planning'** and **'Do'** chapters of this report.

## 5) Glossary

The [PSP Glossary](#) contains brief definitions of some of the key terms relevant to the delivery of public services within a PSP model.

It is intended as an introduction to some of the concepts and further information on all of these terms may be obtained from the Scottish Government's website or other information sources detailed in the [PSP Links](#) section of this report.

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## 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **Does it cost anything to set up and run a PSP?**
- **Is this really the time to be investing resources in PSPs, when we have so many other priorities and reduced funding to cope with?**
- **Now that the PSP Project is over, what is the Scottish Government going to do to support other organisations that want to start up PSPs?**
- **What are the principle risks in a PSP?**

## 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

- Partnership Working
- Government
- Third Sector
- Commissioning



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# Forming a Partnership

## 1) Information and Advice

Once an organisation has identified a service need and decided to take a PSP approach, the next stage is to select partners who are able and willing to follow the basic path of the PSP:

1. Partners may be selected on the basis of existing relationships or a more wide-ranging selection process, inviting interest from the other sector. Third and public sector representative bodies may be a useful source of options. Consortia from either sector can enhance the partnership and this may be facilitated through collaborative procurement or Lead Funder arrangements (see [Tools and Methodologies](#) below).
2. Co-production involves stakeholders, providers and commissioners being involved in the design of the service. Further information on co-production is included in [chapter 3](#) of this report.
3. The PSP may or may not choose to pilot a service. Advice on taking this decision can be found in the [Planning](#) chapter of this report.
4. It should be made clear to potential partners from the outset that, following service design, a full assessment will be undertaken as to how the services will be procured, which may result in competitive tendering.
5. Partners should be prepared to have sufficient trust between them to be able to review the service critically and make changes if necessary.

Forming the partnership is an ongoing process, which should ideally continue beyond the delivery of a service and become embedded in the strategy of partner organisations. The [Tools and Methodologies](#) section below suggests some ways of ensuring that the PSP remains sustainable and strategically focused.

One important point, which might seem obvious, is that the partners will need to invest time in forming the partnership, as it will work best where there is a personal relationship as well as institutional links. Experience from the PSP Project indicates that personal contacts are important, and that if one proposed partner is not able to free up staff time to participate in the early meetings then it may be worth re-considering the PSP as a whole.

Information and advice on aspects of PSPs and implementation of the guidance can be accessed from the email address:  
[PublicSocialPartnershipGuidance@scotland.gsi.gov.uk](mailto:PublicSocialPartnershipGuidance@scotland.gsi.gov.uk).



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# Forming a Partnership

## 2) Case Studies

### PSP Project Case Studies

The PSP Project demonstrated clearly that time invested in developing the partnership was time well spent and resulted in improved service design and delivery. The **Registers of Scotland/Haven pilot** was a clear example of this. The pilot had the vision to expand the partnership beyond the excellent existing relationship between the two key individuals and engage a wider range of stakeholders to maintain the momentum and practicability of the partnership.

The **East Renfrewshire/Partners for Inclusion pilot** was also based on a positive existing working relationship and both partners were surprised by the extent to which the PSP process enhanced this. More than any other pilot, they were successful in bringing in additional partners - both providers and commissioners - to increase the reach and scope of the project.

### Other Partnerships

There are of course other excellent examples of collaborative working which are not strictly speaking PSPs, due for example to the lack of a co-design element. One example of such good practice is a new service recently launched by Aberdeen Foyer, on behalf of Aberdeen City Council.

Foyer Works is one of a portfolio of social enterprises operated by Foyer Enterprise, the trading arm of Aberdeen Foyer. It is a social firm which provides jobs and training for young people and has been operating for three years, offering services such as painting, decorating and cleaning. Through the Foyer's existing strong working relationship with the Council, the opportunity arose for Foyer Works to deliver seasonal garden maintenance labour which the Council had already outsourced to temporary staff from a recruitment agency. Foyer Works was able to offer the service (initially on a 6-month pilot basis) at the same cost to the local authority but with the added value of providing employment for young people who were previously long-term unemployed. The pilot began in April 2011 with 10 young people, who will receive training and the opportunity of real employment, possibly with the Council and other local employers, if the initiative works for both parties. Although the pilot is still in its infancy, positive feedback has already been received both from the employees and the supervisors at the Council.



## 3) Lessons Learned

This was an area with some of the most significant lessons for the PSP pilots, highlighting the fact that the key to a successful PSP is the strength of the partnership. Conversely, those which continued to work with a traditional supplier/provider relationship yielded fewer learning points, less innovation in service design and therefore more limited results.

Most of the learning points in this area were repeated by several pilots and these are summarised in the table below:

Ref.	Observation	Impact	Recommendation
F1	Learning from other partnerships within the project was a positive experience.	New ideas and mutual support for the partners helped to resolve issues and maintain momentum.	PSPs should seek out similar projects for mutual support, to share learning and to widen their horizons.
F2	External input from the support available through the Scottish Government programme was invaluable.	Pilots learned new ways of working and were introduced to objective viewpoints. It reduced the project team's tendency to become parochial or set in their thinking.	Consider use of "critical friend" in other projects – this could come from the private sector or from other public or third sector organisations.
F3	Stability and breadth in the project team is a key success factor.	Those pilots which relied solely on two key people struggled with communication and resource pressures.	More than one key contact from each partner should be included in the team, to ensure continuity and the practical ability to maintain the partnership.
F4	PSPs may have to work through difficult communications while the partnership is being established.	Differences of opinion and style inevitably arise at the outset but working through these openly strengthens the partnership.	PSPs should acknowledge the need for transparent communications and be prepared to have uncomfortable conversations if necessary.
F5	Individuals within the partnership should start from a position of mutual respect, irrespective of differences.	The PSP is then able to focus on the shared aims and tasks and not be diverted by unhelpful organisational or individual dynamics.	The PSP process gave legitimacy to the natural style of pilot participants. The challenge is to replicate the partnership working arrangements in the future.
F6	There needs to be good governance and a strategic direction, to support the operational team and ensure the project is sustainable.	Where no strategic direction was agreed, there was a lack of understanding of how the two parties could work best together to deliver joint outcomes.	A high level Steering Group should be set up to guide the PSP, with representation from all partners and other stakeholders.

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Ref.	Observation	Impact	Recommendation
F7	Having and building a positive and ongoing relationship between a third sector umbrella body and the public body can be very helpful.	Without the partnership, the overall commissioning framework would not reflect the interest of the third sector.	Consider carefully the partners you need to include. Identify people with different skills to complement each other. Ensure that both sectors are well represented and equally committed.
F8	Links across the public bodies are beneficial (for example between councils) – as well as involving specific departments.	It was seen to be more likely to broaden the impact of the project if, for example, procurement and housing departments were involved. It also improves understanding of the PSP model and enhances the probability of the PSP expanding to other areas of service.	Identify key links to broaden the appeal of the project. Think about who has influence across an organisation and engage with them at an early stage.
F9	It can be difficult to engage a wider stakeholder group, beyond the immediate partners, if the actual service delivery is some time in the future.	Lack of co-production at the early stages reduces the quality of service design. Narrow scope of partnership increases likelihood of wrong assumptions being made.	Communicate honestly with stakeholders, to set their expectations at a realistic level but still engage their involvement. To increase understanding of co-production and the PSP model, hold seminars as early as possible for key players, such as NHS and third sector.
F10	New partners and individuals brought into the PSP team should receive an induction.	Lack of induction results in a poor understanding of history and vision of the PSP and weakens the partnership.	Have a clear <a href="#">Memorandum of Understanding</a> . Hold meetings when new team members are brought in, to analyse, review and refresh strategic direction.

Learning points F3, F7 and F8 emphasise the need to have breadth and depth within the partnership and highlight the benefits of the involvement of umbrella bodies to lead the partnerships. This approach reduces the resources required to manage the partnership and was employed successfully in several of the PSP pilots. In these cases, the lead bodies were representing the third sector but a lead partner on the public sector side is equally useful where, for example, several local authorities and the NHS Health Board might wish to commission services jointly and elect one lead partner to interface with the provider(s).

The engagement of an umbrella body as the lead third sector partner can also help to mitigate against the perception or reality of competitive advantage being accorded to the provider who has been working with the commissioner during the design phase, once the service is put out to tender.



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# Forming a Partnership

## 4) Tools and Methodologies

### Memorandum of Understanding

The Memorandum of Understanding (MOU) is a key document which may be used by a partnership to confirm agreed terms and ways of working together, when an oral agreement has not been finalised into a formal contract. Unlike an oral agreement, an MOU can be used as a point of reference, to help manage areas of conflict in the future, and as illustrated in the [MOU template](#) is likely to include the following elements:

- Purpose, scope and duration of the Memorandum
- Details of the partner organisation
- Objectives of the PSP
- Roles and responsibilities
- Partnership values and principles
- How communications between the partners will work
- Confidentiality and data protection arrangements
- Any financial or other resources to be committed by the partners
- How the partners may withdraw from the PSP, if necessary
- Contact details of key team members
- Signed acceptance by senior personnel from each of the partners.

### Lead Funder Arrangements

One of the key problems identified in the formation and management of partnerships throughout the PSP Project was pressure on resources. Third sector organisations frequently comment that their interactions with the public sector are convoluted and that they need to devote considerable energy simply to managing the reporting demands – energy which could be devoted to service delivery. This is particularly true when more than one funding organisation is involved. Meanwhile, public sector bodies are keen to find ways to improve efficiency and to support cross-cutting outcomes.

Partners in the Joint Statement on the Relationship at Local level between Government and the Third Sector (September 2009) believe that 'Lead Funder' arrangements can help to address these issues. A Lead Funder model is a when a single funder acts as the lead agent for the purposes of contracting with and monitoring a service provider who receives funding from more than one funder. The potential benefits of using a Lead Funder model, which are primarily in reducing bureaucracy and the administrative burden on third sector providers and public funders, are described in the summary [Lead Funder Guidance](#).

### Other tools and techniques

Other tools which could be useful during this phase are facilitated workshops and team building through shared tasks. While these techniques are not PSP-specific, they can be particularly useful in building a PSP.

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## 5) Glossary

The **PSP Glossary** contains brief definitions of some of the key terms relevant to the delivery of public services within a public social partnership model. It is intended as an introduction to some of the concepts and further information on all of these terms may be obtained from the Scottish Government's website or other information sources detailed in the **PSP Links** section of this report.

## 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **If the local authority works with a particular provider on designing a service, won't that be seen by other providers as unfair competition?**
- **What is the point of a third sector organisation spending time working with the local authority to design a service if someone else wins the tender later on?**

## 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

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## 1) Information and Advice

Having identified a service need and begun the process of co-production, partners should already have taken into account the prevailing policy environment and recognised good practice. As the detailed design work begins, the PSP should be responsive to developments in relevant areas, such as Self-Directed Support, personalisation and environmental issues, depending on the service area being addressed.

Organisations may also need to establish protocols for the appropriate sharing of data; protecting individuals' rights, whilst enabling the detailed analysis of needs required for good service design.

At this stage, the PSP should assess the feasibility of the proposed services by carrying out a forecast of the benefits expected from the newly designed service, prior to investing resources in the planning and delivery stages.

There is a range of **tools and methodologies** to assist with the analysis stage. The main advice from the PSP Project experience is that the analysis will never be complete, not least because the available historic data is likely to be based on reporting requirements for an existing service rather than actual needs and wants of individuals. Trying to make the analysis perfect will be likely to cause unacceptable delays, but the PSP partners will still need to make their analysis as robust as they can, as otherwise institutional resistance will take the form of picking holes in their data as an excuse not to consider an alternative approach.

## 2) Case Studies

Two of the PSP pilots have ended up planning to deliver services which are substantially different from their initial concepts and this has been their greatest achievement. The **Aberdeenshire/ Cornerstone pilot** changed direction after key personnel in both partner organisations changed halfway through the pilot. The same scenario occurred in the **Aberdeen/Inspire pilot** and both had very positive outcomes. Both pilots looked critically at how their service designs fitted with the principles and aims of personalisation and made changes accordingly. Each brought in a wider range of stakeholders to co-produce more innovative and relevant services.



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# Analyse

## 3) Lessons Learned

Once they got into the detailed analysis of the needs to be addressed and the environment in which services were to be delivered, the PSP pilots raised a number of learning points. These predominantly highlighted misunderstandings which may not have been brought to light had the services been procured in the normal fashion. The partnership approach allowed for a more detailed analysis and challenge of assumptions and norms, as summarised below:

Ref.	Observation	Impact	Recommendation
A1	The PSP must retain a degree of flexibility so that it can adapt and change in response to a changing operational environment.	A change of scope can be very positive. It can help to refocus partners and evidences that they are listening to stakeholders.	Do not be afraid of changing the scope, as a result of environmental factors or feedback from stakeholders: even if it delays delivery, change can mean the eventual service is far better suited to people's needs.
A2	Potential users of the services to be delivered must be involved from the outset.	Consulting on a finished product/service can waste time and reveal a lack of understanding of users' needs and wishes.	Co-production should start from the analysis stage, with potential service users integral to the PSP team.
A3	Opportunities for the pilot were limited by perceived protectionism of professionals.	There was a lack of understanding of the PSP and criticism of its partners from those not involved.	A communications strategy to clear up any misunderstandings, coupled with a strategic approach and political support would have reduced these problems. It is also important to acknowledge the fears of others whose jobs may be affected by changes to service delivery.
A4	The PSP should question whether or not its scope is ambitious enough.	Narrow scope can mean a lack of interest from senior management – it becomes a small project instead of a pilot which can go out to tender.	Carefully analyse the level of need and the market capability to deliver. Use this data to set a challenging but realistic scope in the planning phase.
A5	Procurement rules and regulations should be examined carefully and procurement advice sought at an early stage.	The intention to issue an Article 19 tender (limited to supported businesses) turned out to be unrealistic, due to a lack of competition in the market.	Analyse the market in the light of procurement rules to assess the best future procurement route.



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# Analyse

Ref.	Observation	Impact	Recommendation
A6	Mismatched expectations between public and third sector about the capabilities of the project can lead to problems.	Weakening of the partnership and failure to deliver on desired outcomes.	Analyse both the market and the third sector's ability to deliver the required services. Use a Memorandum of Understanding to clarify the expectations and responsibilities of all partners.
A7	Competitive tendering processes, based primarily on cost, should be avoided and may not be favourable for smaller third sector organisations which cannot compete.	Barriers to entry for the third sector and reduced choice of provider for the public sector.	Third sector should consider forming a consortium to bid. Public sector should consider adding community benefits within the procurement exercise.
A8	There was a higher level of demand for the service than anticipated.	When the pilot began operating, the provider was overwhelmed by demand and its resources were put under strain.	Carry out market research as part of the analysis stage and resource project accordingly.

Issues around co-production arose in most pilots. One reported that there was insufficient time to involve carers and service users and that this had resulted in their disengaging from the eventual consultation process.

Another took a great deal of time at the start to communicate with a wide set of stakeholders and used the outputs from these discussions to inform the planning stage of their project, with far greater success in delivering the required outcomes by the end of the project.

Time invested at the analysis stage is time well spent.



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## Analyse

### 4) Tools and Methodologies

#### Forecast SROI

**Social Return on Investment (SROI)** is a framework for measuring a concept of value that is much broader than simply financial.

It tells the story of how change is being created by measuring social, environmental and economic outcomes and uses monetary values to represent them. SROI can encompass all types of outcomes but it is based on involving stakeholders in determining which outcomes are relevant.

SROI is based on seven principles:

- Involve stakeholders
- Understand what changes
- Value the things that matter
- Only include what is material
- Do not over-claim
- Be transparent
- Verify the result

SROI was developed from social accounting and cost benefit analysis, and has a lot in common with other outcomes approaches. However, SROI is distinct from some other approaches which are common in the third sector in that it places a monetary value on outcomes, so that they can be added up and compared with the investment made. This results in a ratio of total benefits (a sum of all the outcomes) to total investments. For example, an organisation might have a ratio of £4 of social value created for every £1 spent on its activities.

A forecast SROI can be used at the analysis and planning stages to predict the social added value expected to be created by the service. This also gives the opportunity to engage stakeholders and agree the financial proxies which will be used to determine social value.



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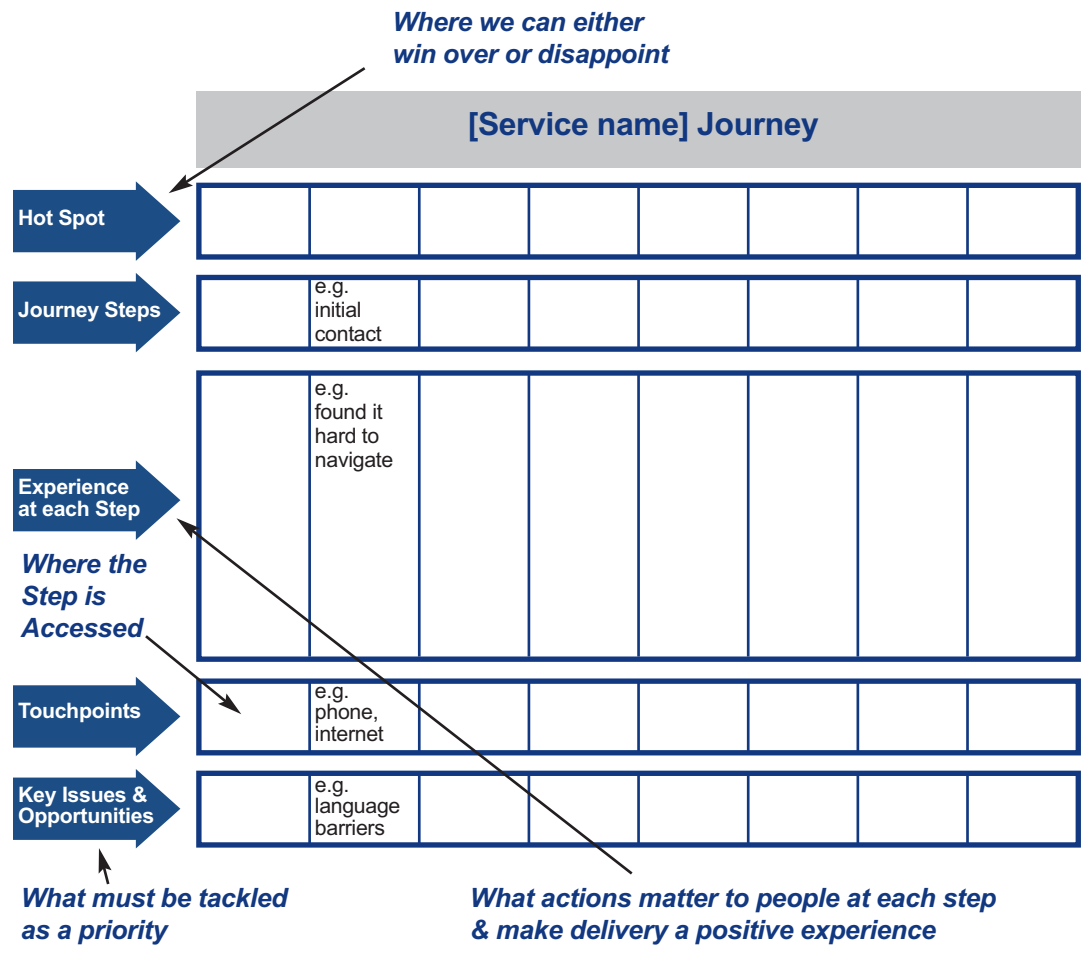
# Analyse

## Customer Journey Mapping

Customer journey mapping:

- Is the process of tracking and describing the experiences that customers have as they encounter services
- Takes into account what happens to customers and their feelings about the experience
- Allows organisations to understand their customers' point of view
- Defines what needs to be done to simplify a particular area
- Exposes steps which lie outside the organisation's control but which hold part of the solution to streamlining the whole journey
- Has the potential to drive out inefficiencies as well as improving customer experience.

The methodology involves service users, commissioners and providers working together to articulate various aspects of their experiences of using/delivering a service. The data is collected in a format similar to the table below:



The process is then repeated with information on people's aspirations for how the service could and should be delivered. This forms the starting point of the detailed analysis, leading to an improved service design. Customer journey mapping could be particularly relevant to a PSP partnership, given that there is potential to reduce fragmentation across the end-to-end process through taking a new approach to a particular service area.



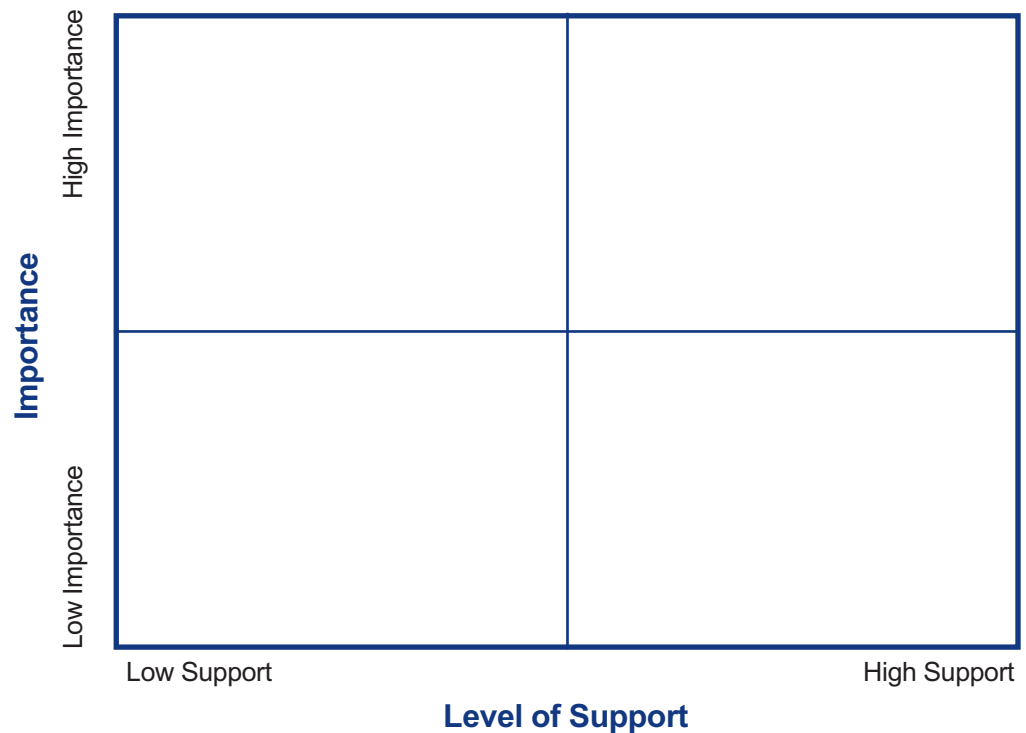
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# Analyse

## Stakeholder Mapping

This is a technique that identifies individuals or groups affected by and capable of influencing the change process. Assessment of stakeholders and stakeholder issues is necessary to identify the range of interests that need to be taken into consideration in the PSP and to develop the vision and change process in a way that generates the greatest support.

The process involves listing all stakeholders and then mapping them on a simple grid, such as the one below, which places them according to how important they are to the success of the project and to what extent they are supportive.



This stakeholder map will form the basis for the communication plan, which will record the type, frequency and media for communicating with different stakeholders. It will focus on using communications to ensure that those stakeholders of the highest importance are also the most supportive of the project.



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## Analyse

### PEST Analysis

Having carried out an analysis of the requirements for the service, it can be useful to analyse the market to deliver these in light of external factors, using tools such as a PEST analysis, which covers politics, the economy, society and technology. Factors considered in the PEST analysis include:

- Political - current and future domestic legislation, international legislation, regulatory bodies and processes, Government policies, potential change of Government, funding, grants and initiatives, relevant pressure groups, wars and conflicts.
- Economical - home and overseas economies, economy trends, taxation, seasonality issues, market routes trends, distribution trends, customer drivers, interest rates, exchange rates, workforce trends and legislation.
- Social - lifestyle trends, demographics, consumer attitudes and opinions, media views, major events and influences, ethnic/religious factors, ethical issues.
- Technological - technology development, research funding, associated/dependent technologies, replacement technology/solutions, information and communications, innovation potential, consumer buying mechanisms/technology, technology access, intellectual property issues, global communications.

There is recent movement to replace 'PEST' with 'PESTEL' (adding Environmental and Legal to the list above). Partners may wish to add these areas, or could include them within Social and Political respectively.

### Guidance and Research

The Scottish Government website contains a wide range of guidance on public service issues. These evolve and are added to constantly so the partners should remain aware of all policy developments and related research, from all sectors. Examples of key documents currently impacting on public services include:

- [The Self-Directed Support National Strategy](#)
- [Changing Lives – an approach to personalisation](#)
- [Scotland's Zero Waste Plan](#).

Academic research into public services also provides a useful and objective assessment of previous and current practice. This can be found on individual universities' websites or those of umbrella bodies, such as the [Institute for Public Policy Research](#) the [Scottish Council for Voluntary Services](#).

### Other Tools and Techniques

Experienced commissioners will be able to draw on a range of other tools and data sources, including 'conventional' business case techniques (for example as per the HM Treasury 'Green Book' guidance). Listing all possible sources is not possible here, but the principle must be that analysis should be as

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# Analyse

thorough as possible within the time and resources available, but that decisions will always have to be made with less than perfect information. Partners must avoid undue delay in search of some form of universal truth (so-called ‘analysis paralysis’) or they will never move into piloting, procuring and delivering the new service.

## 5) Glossary

The **PSP Glossary** contains brief definitions of some of the key terms relevant to the delivery of public services within a public social partnership model. It is intended as an introduction to some of the concepts and further information on all of these terms may be obtained from the Scottish Government’s website or other information sources detailed in the **PSP Links** section of this report.

## 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **If the local authority works with a particular provider on designing a service, won’t that be seen by other providers as unfair competition?**

## 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

- Partnership working
- Government
- Third Sector
- Commissioning



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## Plan

### 1) Information and Advice

Planning is the obvious starting point for any project, but a structured approach to planning is particularly important where a number of organisations are involved so that all parties are clear about their responsibilities in preparing for delivery. Planning workshops, including potential users of services, are a good starting point for developing the project plans and maintaining the focus on co-production.

Having carried out a full analysis, at this stage the PSP partners and their stakeholders should define the scope of the work and specify exactly what will be delivered and when. The PSP Project found that many third and public sector organisations were not familiar with formal project management tools but that investing the time in using them helped to focus their activities and keep plans on track.

The following are some of the issues to cover in planning and assistance with addressing these can be found under **Tools and Methodologies**:

- Procurement planning - the decision on whether to pilot the service and what procurement route will be followed thereafter, taking into account proportionality. Consider how CBiPs can be used in tendering, to ensure that the decision is not made on purely financial grounds.
- Resource planning - human and financial, taking into account the impact on existing staff of a change of service. For example, the partnership should take legal advice at this stage on any potential TUPE regulations impacting on the plans for service delivery.
- Gap analysis - determining the resources needed to deliver the service and the potential to bring in additional delivery partners if required.
- Risk analysis - map and plan for the market, economic and operational risks to all partners in the PSP.
- Agree outcome measures, monitoring and reporting arrangements and responsibilities.
- If not already in place, a Steering Committee should be established to approve key milestones as the plan progresses and maintain the strategic focus of the partnership. It is good practice to have potential users of the service and other stakeholders, as well as the PSP partners, represented on the Steering Group.

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The other aspect which could be considered under Planning is the value which can be derived from piloting the new service. The PSP Project had a significant focus on piloting - both in terms of piloting the PSP approach and in the partnerships running service pilots. Running a pilot has its own mini-cycle of Plan-Do-Review, which for the purposes of the service more generally could be said to be part of 'Plan.' The first decision in this area must be whether to run a pilot. The advantages of piloting are:

- When trying something new (as a PSP is likely to be), the service gets tested in 'the real world' for a relatively small outlay, and can then be refined before being extended.
- When piloting a PSP activity, funding could potentially be available from a range of independent funders.
- A successful pilot helps overcome resistance implementation by showing the way that the new service can work and generating positive energy around the change.
- Even an 'unsuccessful' pilot can still be of great value in terms of the lessons it generates.

The disadvantages of running a pilot include:

- A longer time before the full benefit of the service is realised.
- The decision on the full service may be made in a different context (e.g. a political policy change) and the opportunity might be missed.
- Additional up-front costs (though general experience suggests that the reduced implementation costs are likely to offset the investment in the pilot).
- A pilot may not be supported fully and thus may be doomed to failure, producing false lessons.
- Alternatively, a pilot may be over-resourced and produce falsely positive lessons.

In general, it is likely that a PSP will want to go through a pilot phase if it is designing a new service as this reduces implementation risk, but the decision must be made by the partners involved in the PSP. If a pilot phase is agreed, the **Memorandum of Understanding** or other agreement should be revised so that it is clear which of the partners is contributing what to the pilot, who will be responsible for its management, who will pay for which aspects of it and how compliance will be achieved with State Aid and public procurement rules.

Evaluation of the pilot should be based on the outcomes which are the subject of the main proposed service, but with adjustments for the particular circumstances of the pilot. Considerable caution should then be exercised in determining how to roll the model out, for example to different geographic areas, as there may be variations in circumstances in the roll-out areas.

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## 2) Case Studies

As detailed planning occurs, the service design may require amendments to suit practicalities or new issues arising from the process of co-production. The **HMP Barlinnie/Theatre Nemo pilot** used the planning process effectively to re-design the second programme delivered through the pilot, based on the learning from the first programme.

In the **Argyll and Bute/Red Cross pilot**, the planning phase cast up a number of operational issues which had not previously been considered. This led to the decision to carry out a slower, more controlled roll-out of the service, to ensure that the new concept and systems were properly embedded and evaluated.

## 3) Lessons Learned

Planning proved to be a challenge for some of the PSP pilots, particularly those who had never used formal project planning methodologies. Some needed a great deal of support to carry this out and did not incorporate planning disciplines into their ways of working, while others took the opportunity to learn new techniques. The learning points are summarised in the following table:

Ref.	Observation	Impact	Recommendation
P1	Without proper analysis of the need and environment, clarification of the tasks to be carried out takes more time.	Planning was delayed but is now on track to deliver a much better service than originally envisaged.	Analyse before planning.
P2	There is a need to manage wider public expectations.	Ensure that the project delivers, and that it has community support: anticipate potential 'blockers'.	Map all stakeholders and develop a communication plan to involve them appropriately.
P3	It is essential to engage with senior managers and gain their sponsorship so that lessons learned can be embedded in organisations.	Without their support it is impossible to broaden the traction of the project or ensure the approach is taken seriously.	Engage a senior project sponsor and Steering Group to lead and approve plans.
P4	Project management methodology should not divert organisations from their service delivery goals.	Excessive or very new methodologies can be a barrier.	Methodologies used should be proportionate to the needs of the project.
P5	Project management skills are essential.	Where there is no knowledge at all of project management, planning can be inadequate and time can be wasted.	Project management skills should be identified and external support engaged if necessary.
P6	Need to ensure that, where the pilot project relies on external participants, some level of continuity is possible.	Excessive turnover can be disruptive and hamper ability to measure outcomes of pilot.	Potential participants should be screened for suitability and availability at the planning stage.



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Ref.	Observation	Impact	Recommendation
P7	The scope of the project was too broad, and therefore needed to be redefined.	The scope was too broad to maximise the success of the project and time was taken up re-scoping.	Detailed planning will help to define a scope that is both ambitious and feasible.
P8	The scope of the project was too narrow and therefore needed to be redefined.	The sample size was too small to measure the success of the project and time was taken up re-scoping.	Detailed planning will help to define a scope that is both ambitious and feasible.
P9	The PSP team was not using the project management tools to best effect.	The completion of the planning deliverables was reactive and cumbersome.	Consider what tools may facilitate the planning process and subsequent delivery.

The PSP pilots were given a relatively short period of time for planning, given the need to begin operations, but were also given support and tools to enable the process. Because some had not carried out the analysis stage prior to joining the PSP programme, three pilots changed their scope to such an extent that they still had no detailed plans at the time of writing. This is, however, testament to the power of co-production and all of these pilots are continuing to work together to design and deliver more appropriate services to their communities. Time needed to plan properly should not be under-estimated and both methodologies and external support should be used proportionately to the size and complexity of the project.



## 4) Tools and Methodologies

### Project Planning

Although there is a possibility of engaging external support for project planning and management, the organisations involved with the PSP will benefit most if such support includes an element of knowledge transfer. Going forward, this allows partners to work together in similar ways, with a common language and understanding of each other's approach.

The key is to remember that planning does not begin and end with a list of tasks, but includes the following elements as a minimum:

- Statement of the scope of the project
- Schedule of tasks with start and finish dates - often represented in a Gantt chart
- Reporting template and agreed frequency to monitor progress against the schedule
- Details of the project team, specifying roles and responsibilities
- Forecast budget and a monitoring system to keep this on track
- Description of deliverables i.e. what will be produced, broken down into products
- Risk and issues register.

The Scottish Government, in common with most public sector bodies, uses the former Office of Government Commerce (OGC) processes for programme and project management. The OGC is now part of the Cabinet Office but at present the [OGC website](#) is still a useful source of information for project management tools and techniques to help with the development of the planning elements.



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## Plan

### Procurement Planning

A wide range of factors comes into play when deciding the procurement route for a public service and it is essential that procurement professionals are engaged at this stage of the PSP, if not before. Further guidance is available from the [Scottish Procurement and Commercial Directorate](#).

There can be great benefits in piloting a service, particularly where the design is very different or the PSP is entering a new market. This can, however, bring challenge from those organisations not involved in the PSP and care should be taken to ensure that no unfair competitive advantage is conferred upon a PSP partner who may later be tendering for the service. In considering whether or not to run a pilot of the service before procurement, commissioners should consider the following questions, ensuring that any course of action complies with procurement rules:

- How should providers involved in the pilot be selected in accordance with the procurement rules?
- Does the proposed pilot have a clear purpose?
- Will piloting improve the service specification?
- Will piloting improve the commissioner's knowledge, to inform future tenders?
- When will the benefits of the pilot be delivered?
- How will the price to be paid for the pilot services be determined? Could the pilot result in higher prices for the public body than would be the case if the pilot were competitively tendered?
- Could the pilot result in the provider partner in the PSP having an advantage if the service is eventually competitively tendered? Can measures be put in place to protect against this; e.g. can the service specification be independently assessed?



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## Plan

### Community Benefit in Procurement (CBiPs) – commonly known as Community Benefit clauses (CBCs)

The Local Government in Scotland Act 2003 conferred “well-being” powers on local authorities, to allow them to meet their sustainable development responsibilities in a more efficient and effective manner, providing the foundations for the prominence of community benefits in procurement. CBiPs are contractual requirements which deliver a wider social benefit in addition to the core purpose of the contract and have the potential to benefit the wider community by providing training, employment and investment. The clauses can also include social and environmental requirements, such as using sustainable resources.

The Scottish Government ran and evaluated pilot projects using CBiPs in the Glasgow Housing Association, Raploch Urban Regeneration Company, Inverclyde Council, Dundee City Council and Falkirk Council. CBiPs were then used in the procurement process for Glasgow’s 2014 Commonwealth Games infrastructure. Other public bodies have followed suit, including the South Glasgow Hospitals Project (worth £840m).

There are certain limitations imposed upon the use of CBiPs in that they must comply with European procurement directives, designed to promote fair competition. The clauses should also have a direct link to the core purpose of the contract, so that they can be included in the technical assessment of potential contractors and in the award of the contract.

Information and further guidance has been produced by the [Scottish Government in its Community Benefits in Public Procurement guidance note](#).

### Community Asset Transfers

If planning reveals a need for physical assets - for example as an office base, sports facility or customer contact centre - the PSP may consider options for community asset transfers. There are an increasing number of examples where local authorities have successfully transferred assets to community-based groups and the Scottish Government is actively promoting a strategic approach to community asset ownership. Participants in the PSP Project noted the need to consider carefully any claw-back requirements within a transfer agreement, as the PSP needs to retain flexibility in the use of any building acquired in this way. At the time of writing, a Community Empowerment Bill was being proposed by the Scottish Parliament which should facilitate the safe transfer of assets in a way which is sustainable for all partners within a PSP. [The Community Empowerment Action Plan](#) contains further information on asset transfers and related issues. PSPs are advised to obtain legal advice before committing to any asset transfer.

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## 5) Glossary

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## 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **Does the service have to be run as a pilot first?**
- **If I run a pilot, can I do without procurement rules?**
- **Why do we have to tender the service when we've got such a good working relationship going already?**

## 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some of the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

- Partnership working
- Government
- Third Sector
- Commissioning



## 1) Information and Advice

Unless the service is first being piloted, the 'Do' stage begins with the appropriate procurement process and the [Scottish Procurement and Commercial Directorate](#) is a rich source of information on how to approach this. The aim should be to procure high quality services which meet the needs of citizens and to foster innovation, whilst delivering best value and ensuring compliance with the public procurement rules. If the service is being piloted at first, then there is a mini-cycle of plan-do-review which covers the pilot and which fits into the **'Plan' stage of this guidance**.

'Do' also covers the delivery of the service, and the monitoring of supplier performance so that outcomes are achieved. This guidance will not describe this in detail, as there are many other sources of general contract management advice available, notably from the Scottish Procurement and Commercial Directorate.

Throughout the delivery phase, the PSP team will need to maintain communications and be prepared to deal with changes, flexing the project plans if necessary to deal with external events. During the PSP Project, the pilots were faced with significant changes in the availability of public funding, due to economic pressures. Whilst this inevitably resulted in changes to the timing and scope of projects, all managed to work through these difficulties, within the strength of the partnership structure.

As the service is delivered, PSPs should monitor progress against plans, budget and customer satisfaction, so that sufficient data is available to inform the review.

The key to this stage is that the PSP partnership does not end when service delivery begins. Even if another provider has won the contract and the original partner is not involved in delivery, the partnership can be sustained, to inform future developments in this and other areas. This may be difficult initially but is possible if all partners remain focused on the shared aim of delivering the best for their communities. Third sector partners should recognise that their investment in product development, whilst never guaranteed to result in winning a contract, is likely to bring long term benefits and keep them in a good position when other tender opportunities arise. The benefits to the public sector are that it remains open to ideas from other providers and has a choice of suppliers within the market.

## 2) Case Studies

Not all of the PSP pilots were able to commence operations during the life of the Project, due to a number of factors detailed elsewhere in this report. An exception to this was the [Aberdeenshire/CVSA pilot](#), known as the Magpie Project. The project was set up to recycle furniture and provide it at a low cost to the local community or free to families in need. The recycling operations were delayed by practicalities to some extent but these were largely overcome and the pilot remains operational.

The [Renfrewshire/ROAR pilot](#) was already operational but sought to expand both the range of services available and the number of clubs designed to support older people in Renfrewshire. Again, there were practical issues in achieving this and frustrating delays for the partners, often due to outside influences, but the PSP process enabled them to work together to surmount these problems.



### 3) Lessons Learned

Because much of the PSP pilots' time was taken up with developing their partnerships and scoping their projects, only six of the ten were operational at the time the report was written. Some of the lessons learned in delivering the services were very specific to their organisations but many were also relevant to similar projects and are summarised in the table below:

Ref.	Observation	Impact	Recommendation
D1	Time is needed for the project team to reflect and discuss the key issues as delivery progresses.	Frequently time to reflect and learn does not take place which allows for misunderstandings to develop.	Continue project team meetings throughout delivery and build time into agendas to reflect on learning and issues which could become barriers to success.
D2	Unexpected changes to timing and increased urgency can arise. Reduced budgets can create further opportunities for the PSP.	The project is seen as part of the solution to the current fiscal challenges.	Engage with Senior Managers to ensure that the project is delivering against their needs and priorities.
D3	It is important to share responsibilities for key aspects of the project objectives across the project team.	It would not have been possible to deliver key objectives unless leadership was shared.	Identify and support workstream leaders to co-ordinate the delivery.
D4	Conflicts of Interest must be declared and managed.	Non-disclosure leads to accusations of bias and distrust within the PSP.	Ensure that key meetings include an opportunity to declare any conflicts of interest and maintain a register of conflicts.
D5	Partners may have pressure on their time.	Difficulty in scheduling meetings and keeping moving the project on track.	Gain senior support and plan resource requirements in advance.
D6	Any project has to recognise that operational requirements take precedence.	Attendance at meetings can be cancelled with no notice and people may not be available to take part in programmes.	Extreme flexibility is required in scheduling meetings and activities.
D7	Third sector organisation receiving additional funding can divert attention from the PSP.	The organisation's resources are stretched, impacting on its ability to deliver services.	Consider temporary staffing increases. Look strategically at new opportunities, to ensure they are feasible for the organisation.
D8	A disabled person employed under the employability project may secure employment elsewhere.	This highlights the success of the employability initiative but creates a resource gap for the public sector partner.	Have suitable replacements ready or be able to recruit quickly so the change is managed successfully.

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Ref.	Observation	Impact	Recommendation
D9	People employed an employability project are often highly motivated, having previously been excluded from the workplace.	Higher staff retention, improved working culture and reduced sickness absence.	This highlights the benefits of replicating this particular model within the public sector.
D10	Employability initiatives for disabled people should be tendered after piloting.	There are contractual issues for existing staff which affect the public sector's ability to recruit people onto a civil service contract without due process.	Services may be tendered using Article 19 (reserved contracts), Special Contracts Arrangement scheme and CBiPs.
D11	Where a service is to be delivered by volunteers, resources available are less certain.	Fewer volunteers than required may come forward, particularly at peak times, restricting the ability to deliver the service.	There should be contingency plans, including the potential for employing temporary staff and/or changing the way the service is delivered, within mutually acceptable parameters.

## 4) Tools and Methodologies

### Procurement Guidance

In addressing the sustainability of a service, particularly where the service has been piloted and is now to be tendered for, the Scottish Government website contains a raft of procurement guidance. **Community Benefits in Public Procurement** is of particular relevance, together with other guidance documents on issues such as social care procurement, fair trade and shared services, all of which can be found in the Procurement Policy section of the Scottish Government website.

### Communications Plan

A PSP requires communication with a significant number of stakeholders, each with different information requirements. Details of who these stakeholders are should be recorded during the **Analyse stage**, which will go some way to identifying the individual groups and their communication needs to be included in the initial plan.

The plan should begin with a statement of the key objectives of the PSP and the main messages to be reinforced as the service delivery progresses. The communication needs of specific stakeholders are then generally addressed in a table format, such as the example below:

Date	Stakeholder	Message/Purpose	Channel(s)
June 2011	Service Users	Engage people to join Steering Group	Telephone User-led Organisations
Nov 2012	General Public	Launch of the new service	Newsletter Launch event



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## Do

As the project progresses through delivery, the plan should be used as an active document and amended as new communication needs emerge and feedback is received from stakeholders.

### Other Tools and Techniques

There are many approaches to managing service performance, whether the service is provided by a third party, as a joint venture or 'in house.' For third party supplier management, the [Scottish Procurement and Commercial Directorate website](#) is a source of good practice. This guidance will not seek to replicate the generic tools and advice found elsewhere; it must also be noted that the PSP Project only concerned pilots and none of the partnerships had major scale, so more ambitious future PSPs should use tools which are appropriate to larger contracts.

### 5) Glossary

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### 6) Q&A

The [PSP Q&A](#) gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- [Does the service have to be run as a pilot first?](#)

### 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the [PSP Links](#), which provides signposting to websites grouped into relevant areas, including:

- Partnership working
- Government
- Third Sector
- Commissioning



## 1) Information and Advice

Methods of reviewing the service should have been agreed in the planning stage and data collected during delivering. As well as using the formal methodologies, which are referenced in [Tools and Methodologies](#), the PSP should keep a record of informal feedback, particularly from users of services. Customer and provider surveys are useful sources of information and the totality of the data gathered should be used to inform any adjustments needed to the design or delivery of services in the future.

If a service has been piloted, the review will enable the PSP partners to determine if and how the service can now be rolled out and replicated, using the appropriate procurement route identified in the planning process.

Review should take place at defined points during service delivery, and also as the end of the defined period approaches. Enough time should be allowed for the review to inform future service design (most likely in a co-production/PSP approach again) but without compromising continuity of support to service users.

## 2) Case Studies

Each of the [PSP pilot case studies](#) includes a summary of the SROI evaluation or forecast carried out, to the extent that these were possible.



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### 3) Lessons Learned

Most of the pilots included partners which were not accustomed to measuring and reporting on outcomes so there was a steep learning curve and considerable support required in some cases. However, most were fully in agreement with the need to review services and the various learning points observed by the pilots in this area are summarised in the table below:

Ref.	Observation	Impact	Recommendation
R1	SROI a useful tool to give a set of subjective measures for projects.	Creates different measures for evaluating the impact of funding than previously available.	Consider SROI from the beginning of any project. Build it into the commissioning framework so it becomes a common approach.
R2	The PSP project has managed to develop a considerable profile across the public and third sectors.	There are opportunities to build on the PSP to deliver other services.	Bring together stakeholders to review the project and consider replication.
R3	Evaluation methodology can be difficult for some participants to understand.	Data is not collected uniformly and the service cannot be objectively reviewed.	Design proportionate evaluation tools and take time to train relevant people in their use.
R4	It is important to define outcomes measurements for individualised support planning process.	The outcomes for the person's support service are overlooked and the success or otherwise of the provider's work cannot be quantified.	Move from measuring only outputs to an outcomes-based culture. Clearly define and agree measures to be used at the outset.
R5	It takes time to gather significant change information to construct meaningful SROI data.	Full SROI report was not possible within the timescales.	Select a review tool which is proportionate to the time and resources available to a given project.

Some pilots clearly had problems with gathering sufficient data to carry out an SROI evaluation, often due to the longer than anticipated time required to establish their scope. SROI can be a very useful tool but, as with all methodologies, the feasibility of its use should be considered during the planning phase and the most appropriate review mechanism selected then.



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## 4) Tools and Methodologies

### SROI

**Social Return on Investment (SROI)** is one of a number of tools available to measure financial and social outcomes. In 2008, the Scottish Government undertook to deliver a three-year project to develop and disseminate SROI across the third sector. Further details of this project and the methodology itself can be found at the Social Impact Scotland website [www.socialimpactscotland.org.uk](http://www.socialimpactscotland.org.uk), which launched in March 2011.

### Other Social Accounting Methodologies

The Social Impact Scotland website also includes information on a number of other social accounting methods, summarised in the table below:

Methodology	Description	Application
Social Accounting	Measures social, environmental and economical impacts, with stakeholders core to the process.	Organisations with the time to plan, carry out and audit the process.
Local Multiplier 3 (LM3 Online)	LM3 looks at how much income is generated within a local economy and how that income is redistributed in the local community, producing a ratio.	An online tool which can be used by the private, public and third sectors.
Third Sector Performance Dashboard	Allows organisations to assign objectives under a number of headings (e.g. financial, customers, governance) and measure performance against these, based on a balanced scorecard model.	Any third sector organisation.
Social Enterprises Balanced Scorecard	A management tool which maps the organisation's strategy and enables specific objectives to be set and measured.	Any social enterprise wishing to measure its performance against strategic objectives.
European Foundation for Quality Management (EFQM)	A self-assessment tool which explores what an organisation can do to change service or adapt its products in order to improve for customers.	EFQM is used by at least 30,000 organisations. It originated in the private sector but can also be used by the public and third sectors.



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## Other Evaluation Tools

As well as the social measurement tools described above, there are more ‘conventional’ evaluation tools, often based on performance against a best practice standard or a public sector indicator set. Some of these metrics may be compulsory, and the value to the PSP partners may be limited. However, it is important that any mandatory measurements are completed; and it is also quite possible that they will yield valuable insights – partners should avoid creating additional data collection requirements if existing ones will be close enough to provide value.

## 5) Glossary

The **PSP Glossary** contains brief definitions of some of the key terms relevant to the delivery of public services within a public social partnership model. It is intended as an introduction to some of the concepts and further information on all of these terms may be obtained from the Scottish Government’s website or other information sources detailed in the **PSP Links** section of this report.

## 6) Q&A

The **PSP Q&A** gives answers to some of the most commonly asked questions about PSPs. The questions are those which have been asked many times by participants in the PSP Project and other organisations involved in the communications exercise which ran alongside the pilot project. Although not exhaustive, the Q&A therefore addresses the key concerns raised, all of which are more fully explored throughout this report.

Some of the questions which are most relevant to this stage of the process are:

- **Now that the PSP Project is over, what is the Scottish Government going to do to support other organisations that want to start up PSPs?**

## 7) Links

There is a wide range of information sources available to organisations considering setting up a PSP or other model of collaborative working. Some the key resources are included in the **PSP Links**, which provides signposting to websites grouped into relevant areas, including:

- Partnership working
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## PSP Case Studies

### 1) Argyll and Bute Council and Red Cross

#### In a Nutshell

The pilot was formed to set up a Respite Care Bureau. The role of the Bureau is to promote respite services and to increase the range and diversity of service providers across Argyll and Bute. The Bureau will also provide advice to carers, measure customer satisfaction and engage with service providers to increase understanding of the local market.

#### The PSP Partners

Argyll and Bute Council views the proposed PSP pilot as a key mechanism to test a new approach to commissioning between the Local Authority and social economy/voluntary sector organisations. The Council has a track record of working with third sector organisations and has recently appointed a specific Council Spokesperson for the Third Sector.

The British Red Cross provides support in a number of areas: from first aid training to care in the home, transport services and medical equipment. In Scotland, the Red Cross's services to disabled people include respite breaks at a purpose-built centre in the Highlands, as well as community support services, transitional residential services and support to young people with disabilities.

#### Background

A need was identified to change the way in which respite care services were accessed by carers, based on a number of factors including a perceived poor uptake of services and an inconsistent matching of services to need.

Argyll and Bute Council had an existing working relationship with Argyll and Bute Social Enterprise Network (ABSEN) and it was felt that through this relationship a social enterprise could be engaged to operate a Respite Care Bureau which would increase uptake of respite care services whilst facilitating better matching of service delivery to needs.

#### Approach to the PSP Pilot

As the initial application was with the umbrella body ABSEN, the pilot team first had to identify a suitable Social Enterprise to be involved in the co-design of the Bureau and the ultimate delivery of the service. A formal selection process was undertaken to identify the delivery partner and the Red Cross was successful in this process.

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On the 7th of February 2011 the Bureau was launched in one of the four localities within the Argyll and Bute Council area: the first stage of a phased roll-out, expected to be completed by the end of the year. The Bureau offers services matching service user and carer needs to short break respite care services (greater than one night). The Council is also increasing the range of providers on the approved supplier list. After the initial roll-out, the service will be extended to provide access to short term (less than one night) respite care.

## Successes

The main positive from the PSP pilot perspective is that the design of the Bureau has incorporated significant consultation from carers and service users, to ensure that it offers an improved range of options than was previously available. Communications with potential users of the service and the wide community have been carried out effectively and should result in a higher take-up of respite services.

The partners identified that the key success factors for the PSP are communication and having the right people on the project steering group, to guide its development.

## Areas for Improvement

The time taken to identify and engage the third sector delivery partner had a significant and detrimental impact on the ability of the pilot to deliver within the PSP Project timescales. The learning to take from this is the importance of having the most appropriate partners involved in the PSP as soon as possible. Similarly the initial representatives from the Council were strategic in focus rather than operational, and a balance of both is essential. When the steering group was expanded to include operational colleagues from the social work department, it was found that the pace quickened and information was more readily available.

From a co-design point of view, the Red Cross led on the design of the service, with engagement from individuals from the Council rather than whole services/departments. This meant that the design was slowed somewhat and is not totally jointly owned. However, the partners are working hard to ensure that the Bureau becomes better established within the Council's strategic thinking and plans. Perhaps because of the relative weakness of the partnership in the early stages, the scope of the project was narrowed to maximise the success of the project until the partners had sufficient confidence to deliver the full range of respite services together. This has delayed the benefits of the Bureau but there is now a clear plan towards a more full service provision.

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## SROI Analysis

The phased roll-out meant that an evaluative SROI was not possible during the PSP Project but a re-forecast has been conducted, based on the learning from the first phase of the launch. The forecast also uses a range of information provided by the pilot partners, combined with desk based research, to take into account the wider stakeholders and to define indicators and financial proxies.

The main stakeholders and predicted outcomes from the Bureau are shown in the table below:

Stakeholders	Outcomes
Service Users	Feel more self-confident
	Feel less isolated, can do more things they enjoy.
Argyll & Bute Council – Community Services	Sustain service users longer in the community
NHS	Reduction in number of delayed discharge from hospital
	Reduction in number of admissions to hospital
Carers	Decreased anxiety and stress, knowing that their relatives are looked after
	More free time
Argyll & Bute Council – Social Services	Reduced number of face-to-face interaction with the social worker

For an investment of around £100k over five years, the forecast SROI return is £6.68 for every £1 invested. Please note that these figures are for indicative purposes only.

## The Way Forward

After the roll-out of the Bureau to the whole Council area, the service will be expended to offer flexible respite to service users and their carers. At the time of writing, the Council had no firm plans to tender the services, as a procurement process was used to select the delivery partner.



## 2) Aberdeenshire Council and Cornerstone

### In a Nutshell

The PSP pilot was set up to provide more appropriate living arrangements for people with learning disabilities.

### The PSP Partners

Aberdeenshire Council has a strong track record of working with the third sector, to help maintain and improve the quality of life for everyone in Aberdeenshire. It recognises the major part played by the voluntary sector in achieving this.

Cornerstone is a registered charity and one of Scotland's largest providers of social care. The organisation currently provides social care services to over 1,000 individuals living in 14 local authority areas in Scotland. 97% of Cornerstone's income comes from contracts with local authorities and the remaining 3% from general fundraising, sponsorship and grants.

### Background

Initially, this PSP was intended to develop a new partnership and an inclusive approach to outcomes based commissioning of social care services. Within an established contract between the local authority and Cornerstone, a selected group of 24-hour support services for 11 individuals with learning disabilities, living in mainstream houses and flats in four locations, was identified.

The living accommodation was considered to be increasingly inappropriate for those 11 people so the intention of the pilot was to facilitate the development of purpose-built living spaces for these and other individuals to improve their environment and to exploit the potential of assistive technology.

### Approach to the PSP Pilot

The partners recognised the opportunity presented by the potential re-commissioning of these services to adopt a new partnership-based approach to re-commissioning social care services, which both delivers benefits for the people supported by those services and the partners, and develops learning and products which will be of use to other public and third sector organisations.

During the PSP Project, the Council introduced a new commissioning framework, setting out the minimum required outcomes for people being supported. This was developed in consultation with providers and service users and has become the standard for support services in the area.

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## Successes

The co-design of the service has been the highlight of this pilot. The fact that the design has changed so radically since the initial proposal indicates the level of collaboration between the partners and with service users and the wider community.

The design of the residential facility has changed from being a group home to being supported flat-based accommodation where people will have their own tenancies and choice of provider for their support needs.

Following discussions with stakeholders and the introduction of a private sector investor, the plan now includes the development of a wider community resource, the exact specification of which is to be determined, following a feasibility study. This may include a café - run as a social enterprise - a Citizens' Advice Bureau, mother and toddler meeting space etc.

The partnership is being extended and now involves the full community and representation from the Community Planning Partnership: a total of 17 different organisations were involved in the consultation.

## Areas for Improvement

In the first ten months of the partnership, communications were difficult and the partnership did not appear to be building as well as hoped.

The partnership struggled at times to understand and appreciate the benefits of the PSP and questioned levels of available support – in particular, they considered reporting requirements to be onerous and process driven rather than outcomes driven. However, following a change of personnel involved and the PSP project team investing time in explaining the goals of the project and the support available, the commitment to the partnership increased markedly, despite great resource pressures on both organisations. Ultimately, a very strong and equal partnership emerged, where both partners clearly put the service users at the heart of their deliberations and decision-making.

The PSP Project Steering Group challenged the partnership from the outset to articulate how the proposed new services would deliver increased independence and inclusion for the people being supported. The partners worked closely with their lead consultant from the project team to explore these issues and were open and transparent in addressing the concerns over the initial service design. By September 2010, the partnership had revised its original objectives significantly.



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## PSP Case Studies

### SROI Analysis

No SROI forecast or analysis has been possible as, at the time of writing, the partnership had not completed the feasibility study into the new development.

### The Way Forward

There have been no actual operations within the life of the PSP Project and the future of the partnership depends upon the outcomes of the feasibility study. However, with the expanded development of the service design, the PSP has produced the following, much more valuable outcomes which should inform future services:

- Learning and experience of co-production
- Financial modelling to move from group living to individual tenancies
- A commissioning framework for supported living, together with a learning document
- A feasibility study for an inclusive community development
- A Social Enterprise approach to the site development
- Potential employability opportunities at the social enterprise
- A wider community development project
- The expansion of the partnership, to include the private sector investor and potentially additional delivery partners.



## 3) HMP Barlinnie and Theatre Nemo

### In a Nutshell

Prisoners with mental health issues generally have few options for constructive activity, due to their limited ability to engage and cope with work or education in prison. Theatre Nemo, in conjunction with Barlinnie's skilled Day Care staff, offers these prisoners access to creative workshops, thus improving their communication skills, self-confidence and self esteem. The aim is that this will assist the prisoners to cope better with their sentences and feel empowered to make positive changes in their lives which, in the long run, may lead to a reduction in reoffending.

### The PSP Partners

HMP Barlinnie receives prisoners from the courts in the West of Scotland. It retains male remand prisoners and prisoners serving less than four-year sentences. It allocates suitable prisoners from its convicted population to lower security prisons and manages prisoners serving more than four years or more in the initial phase of their sentence until places become available for them in the long term prison system.

Theatre Nemo is a charity registered in Scotland, which aims to promote good mental health and wellbeing, through the creative arts. Since 2004, Theatre Nemo has worked in joint partnership with HMP Barlinnie, providing creative, artistic programmes to mentally ill and vulnerable prisoners.

### Background

According to research done for the Sainsbury Centre for Mental Health in 2008, prisoners have much higher rates of mental ill health than the general population. Around 10% of remanded men and 14% of all female prisoners had experienced a psychotic illness in the previous 12 months. Other studies have shown even higher rates of mental illness. For example, the Mental Health Foundation reports that some 16% of all British prisoners have four or five co-existing mental health disorders. There are also high rates of self-harm and suicide - it has been estimated that the risk of a prisoner committing suicide is seven times higher than for the general population.

Despite several years of partnership working in Barlinnie and several other prisons, there had never been a formal basis for the service offered by Theatre Nemo, so the partners joined the PSP Project with the intention of formalising the partnership.



The pilot's eventual aim was for the Scottish Prison Service to tender for the services across the prison estate, so that prisoners would have access to similar programmes, irrespective of their changing locations. The ultimate objective was to lower the number of innocent victims by reducing the reoffending rates of prisoners who have participated in the programme, with additional outcomes such as employment, housing and improved self esteem being contributory factors. However, it was recognised that neither Theatre Nemo nor any other intervention can be held wholly accountable for reducing recidivism, which is attributed to a complex and wide range of factors.

## Approach to the PSP Pilot

The pilot was set up to run and evaluate two 13-week programmes of workshops for prisoners with mental health issues, mainly from the prison's high dependency unit. The activities undertaken in Theatre Nemo's programmes vary according to the needs of the participants.

They encompass a wide range of creative arts, including clay animation, drama, visual art, circus skills and sound production.

The stated aim of the programme was: '... to provide participants with an opportunity to take charge of their lives, to determine new pathways, to recognise, consolidate, and move on from previous life experience, to nurture and develop interpersonal skills and embrace positive life activities, to recognise personal worth and enable the growth and development of self esteem and assertiveness, to develop communication skills, and finally to furnish each individual with the necessary skills to step up with confidence and meet the challenge of their unfolding lives.'

An average of 21 prisoners attended each workshop although, given the nature of a short term prison and the turnover of prisoners, the total number participating at some point in the programme was around twice this number.

In recognition of the limited scope for programmes within prisons and the need to continue support after liberation, the pilot set up an Advisory Group of external experts, as well as engaging positively with the Scottish Prison Service. This group met only a few times but provided useful input on the services available in the community, leading to the pilot making links with community-based mental health services. Participants in the programme were therefore provided with information on how to access such services in the future.



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## Successes

The prisoners, their families and Barlinnie's Day Care Officers and Mental Health Nurses all noted that the participants' confidence and self-esteem increased as a result of the programme. Some of the most common comments were connected with the prisoners' not realising what their own potential was and that they were able to do something artistic and creative. Another outcome of the workshop attendance was that the prisoners felt more empowered and, in a number of cases, declared that they realised they did not want to go back to prison:

***“This is my first time in jail and I'm not coming back. This has helped me see that I can do things I haven't tried before.”***

Two former participants in the programme, who are now released and still in touch with Theatre Nemo, were interviewed for their views on how the programme had impacted on them:

'Andy' says he has stopped offending for good and has now been out of prison for three years, despite having had eight previous custodial sentences. Theatre Nemo had a dramatic effect on his life, as well as breaking the monotony of prison life. He was previously unable to speak to the medical staff so the programme was the equivalent of therapy for him. After release, he went into rehabilitation and still attends Narcotics Anonymous and Alcoholics Anonymous. He is doing voluntary work and preparing himself for full-time employment.

'Robert' has remained out of prison for two years and has no intention of returning. Theatre Nemo brought out creative skills he did not know he had and enabled him to cope with his depression. The main benefit to him was increasing his confidence and communication skills, which he credits with enabling him to go through an interview and get a job upon his release. As a result of this increased confidence and having employment, he now also has a new home to focus on and is off anti-depressants.

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The work of the pilot was also well received by prison staff, most of whom could see the benefits of prisoners attending the workshops in the way they behaved in the prison and coped with their sentences. They reported fewer incidents involving those prisoners and improved communication skills. Some of the comments received from Day Care Officers, Hall Managers and Mental Health Nurses included:

***“It allows vulnerable prisoners out of cell time and helps to improve confidence.”***

***“Lines of communication are more open and relaxed.”***

***“These are guys who have never achieved anything in their lives and seeing people looking at their art work is making them hold their heads up for the first time. It definitely makes them easier to manage in the hall.”***

***“Even guys who were unwell and maybe only went once or twice got a lot out of it.”***

## Areas for Improvement

There were undoubtedly communication problems at some stages of the pilot but the partnership model enabled these to be confronted and resolved. The format of the first programme transpired to be very different from previous ones, in that there was more turnover of participants, causing difficulties for the facilitators and some friction between the partners. Prison staff felt that, despite the operational difficulties for Theatre Nemo, the programme had been more valuable than ever, in that it addressed the needs of a section of the prison population which rarely engages in constructive out of cell activity.

Another issue with communications was the lack of resources on both sides, as conflicting priorities made regular meetings and full co-design of the service difficult. However, the partners worked through these difficulties and eventually agreed on an amended design for the second programme which has run well and produced positive outcomes for the participants.

## SROI Analysis

The SROI evaluation proved difficult as the ultimate aim - reduced recidivism - is attributable to many factors and is generally measured over a two year period after liberation. Although prisoners were encouraged to keep in touch with Theatre Nemo after they leave prison, it is not known at this stage how many will do so and tracking their progress is therefore not possible unless initiated by them. However, a small number of interviews were conducted with former inmates who were available to be contacted and they indicate that the positive outcomes last beyond the duration of the workshops.



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Much of the evaluation is therefore based on the qualitative data collected by way of questionnaires completed by both prisoners and prison staff, as well as desk-based research into the effects of similar programmes on prisoners with mental health issues.

The outcomes measured during the pilot for the key stakeholders are shown in the table below:

Stakeholders	Outcomes
Prisoners Taking Part	Improved confidence and self esteem
	Improved motivation to change their life
	Improved teamworking, social and communication skills
	Improved literacy and numeracy
	Increased Employability
	Improved mental and physical health
	Reduced self-harm
	Better relationships
Prisoners' Families	Less anxiety, knowing that their family members have the opportunity to improve their mental health
HMP Barlinnie Staff	Being able to meet their targets in terms of mental health in prisons
	Reduced number of mental health interventions
	Improved job satisfaction
The Scottish Government	Reduced re-offending

### The Way Forward

The pilot's original long-term goal was for the Scottish Prison Service (SPS) to tender for the service across the prison estate, so that prisoners would have access to similar programmes, irrespective of their changing locations. However, as health services are being transferred to the NHS from October 2011, this will not be possible. The steering group for the transfer to NHS has been made aware of the programme and its benefits but at this stage its future is not known. In the meantime, the partners continue to work together constructively and Theatre Nemo is undertaking a range of related work with offenders and their families, both in the community and other prisons.

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## PSP Case Studies

### 4) Falkirk Council and Falkirk CVS

#### In a Nutshell

The Falkirk PSP pilot set out to produce a commissioning framework for the public and third sector, in relation to Children's Services. This web-based framework provides guidance on the process of commissioning and includes toolkits, principles and best practice.

#### The PSP Partners

Falkirk Council developing relationships and commissioning exercises in partnership with the third sector as a way of maximising efficiency whilst ensuring services are high quality and delivering against key outcomes. The Council has a key role in the Falkirk Children's Commission, a multi-agency strategic group responsible for the delivery of services to children and families.

CVS Falkirk and District is a Council for the Voluntary Sector and Volunteer Centre for the Falkirk Council area. It is a company limited by guarantee and registered charity which is non-profit distributing and governed by a voluntary board of trustees. The organisation is in a prime position to disseminate the learning to all relevant third sector organisations operating in the Falkirk Council area, as active participants in community planning. The CVS operates and supports several local third sector forums to improve partnership working within the third sector and to improve engagement between the sector and other community planning partners.

The organisation's logo bears the words "Partners for the Future", in recognition of the value and importance placed on working in partnership with others across sectors and geographical areas.



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# PSP Case Studies

## Background

The need for a robust commissioning framework was established through an extensive casework audit which was carried out across services for children and young people in the Falkirk Council area. It identified some gaps in service provision but also some areas of overprovision, for several reasons:

- Lack of a coherent approach to procuring services from the third sector
- Different services within the authority were procuring services without knowledge of other services' plans
- The impact of services was not always being reviewed and developed in line with evolving policy direction.

## Approach to the PSP Pilot

The approach has been guided by a series of co-production events, designed to ensure that providers and commissioners were aware of and had input to the framework as it developed.

Following these events, specific service re-design initiatives were established across several service areas, to test the commissioning framework.

A key element of the approach was to recruit and develop a cohort of advocates for the PSP model, to raise awareness of the concept of commissioning across the public sector and third sector.

A web based framework for PSP has been developed, to provide helpful guidance for commissioners and providers. This is due to go live in June 2011.

The PSP model will be used in the development and practice of the children's services hub as it starts to plan and re-commission services. In addition, plans have been made to seek to embed the PSP process at the heart of purchasing and commissioning throughout the Council and other public bodies agencies, by taking reports and recommendations to key decision-making bodies over the coming months.

It is significant that the PSP is overseen by a high level Project Board, which comprises of the Directors of Social Work and Education of Falkirk Council and the Chief Executive of Falkirk CSV. They have met regularly with the project team throughout the pilot and intend to continue to do so throughout 2011. The evidence from the PSP Project is that such senior support is a major contributor to the success of PSPs.

Perhaps because of this senior level support, the partners were given sufficient time to work together in the project team and there has been a commitment by senior management to continue these resources into 2012.



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# PSP Case Studies

## Successes

The pilot's success in delivering against its stated objectives is attributable to a high quality of partnership working. This has resulted in a real commitment to, and achievement of, designing the service with a wide range of organisations and individuals across the Falkirk area. The pilot project team has been enthusiastic and highly functioning throughout the process, showing a great willingness to learn new ways of working and include additional partners.

The project team has held five large co-creation events over the life of the project. Significant effort has been made to ensure inclusive practice in the development of the framework, engaging a wide range of agencies. It has been particularly commendable that the team has broadened the approach to include private sector providers.

Across the third and public sectors, the pilot managed to identify and train 24 advocates for the PSP approach, to ensure that learning is widespread and that both commissioners and providers are working to the same principles as services are commissioned.

The service area demonstrating the most significant progress and clearest outputs under the new framework is Foster Care, where there has been active co-production of the service specification, re-commissioning of services and improved budget performance. Other service areas have also provided valuable lessons for the continued development of the process in Falkirk.

## Areas for Improvement

The pilot identified that, whilst it has tried to incorporate SROI into its prototypes in a meaningful way, at a strategic level, some individuals still need to be convinced that the value added by SROI is commensurate with the resources required. The partners plan to overcome this by carrying out two evaluative SROI studies around two separate early intervention Family Support Services. The lessons learned from these studies will not only be used to inform the development of Family Support but also how SROI might be more embedded into the commissioning framework.



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# PSP Case Studies

## SROI Analysis

Because the aim of this pilot was to produce a commissioning framework, no SROI forecast or evaluation was carried out. However, the framework contains a substantial section, clearly explaining the principles and processes involved in using SROI and a stated expectation that SROI will be used to monitor services delivered under the framework.

## The Way Forward

Once the commissioning framework goes live, the PSP project team will continue to work together to put the principles into practice. The partnership is deeply committed to embedding the PSP approach across public services in Falkirk. The partners continue to use all appropriate opportunities to promote PSP as the preferred commissioning approach and draw together the lessons learned.

They have already used three major opportunities to develop the approach and the lessons learned in Adult Advocacy Services, homelessness and fostering Services. Beyond the life of the project, they will use the PSP approach to:

- Redesign support for families with substance misuse across the Forth Valley
- Adopt the PSP approach as a preferred method of commissioning “people services” within the Falkirk and Council area, with colleagues across the Forth Valley.

## 5) Comhairle nan Eilean Siar and Third Sector Hebrides

### In a Nutshell

The pilot was set up to improve the co-ordination of community travel services across the Hebrides and to establish a travel agency service for the public sector, third sector and people with specific travel needs.

### The PSP Partners

Comhairle nan Eilean Siar is the local authority providing services to the Outer Hebrides and is actively involved in the Islands' Community Planning Partnership. It works with a range of third sector organisations to deliver public services within its unique environment.

Third Sector Hebrides (TSH) was set up to support the local voluntary sector, giving advice and support on promoting community planning. It has grown from being a small CVS, employing two people in 1985, to an organisation which today has a staff of 40 and a turnover of £1 million. It has set up and supported many social enterprises in the Hebrides, winning several awards for its innovation and vision.

### Background

The aims were to improve efficiency through the collaborative procurement of travel services within the public sector and to improve the utilisation and availability of community transport services.

The public and third sectors in the Outer Hebrides have a shared interest, by their nature of working in an island environment, in addressing high travel costs and limited availability both within and off-island. Travel costs can be substantial, despite the flight discounts available for island residents.

Travel booking and resolution arrangements are fragmented over the public agencies and travel agency business is commissioned from business on the mainland. The vision of the pilot was to commission these services locally, to create additional jobs on the Islands, where there is high unemployment.

The Islands also have a higher proportion of older people than other parts of Scotland and transport, especially around care needs (as well as educational, recreational and social requirements), has the potential to be redesigned and be more efficient and demand-responsive. By encouraging greater community ownership and stake-holding in these services, the partnership aimed to bring about better service provision for citizens and benefits to both the public and third sector agencies involved.

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## PSP Case Studies

### Approach to the PSP Pilot

As the pilot progressed it became clear that a full analysis had not been carried out at the beginning, to determine what demand there was in the area and to what extent and quality this demand was already being met. Existing contracts had not been fully examined and, when this process began, the partners found that the Council was already committed to contracts of varying length, making the provision of a new, integrated travel service impossible in the short to medium term.

Nevertheless, the pilot's approach was based on sound principles, including:

- The fundamental importance of achieving community benefit
- A vision for a transport system which is simple, efficient and accessible
- The quality of the travel services should be equal to or improve current provision and any changes would be carefully measured and monitored.

### Successes

After some difficulties, a strong and functional partnership has emerged, which is expected to co-produce high quality, efficient services for the people of the Outer Hebrides.

In November 2010 the partnership expanded to include the Western Isles Health Board, as well as the Comhairle, and in February the partners undertook a survey of various transport needs, including:

- Information on Comhairle transportation of pupils with additional needs
- NHS patient travel requests via wards and patient travel claims
- Third Sector Hebrides bookings and journeys
- Tagsa Uibhist bookings and journeys
- Vehicle fleet information, age, availability, disability access
- Vehicle availability and spare capacity.

TSH has created a database for comparative purposes and is undertaking an analysis of the data to inform the PSP pilot.

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## Areas for Improvement

In the very early stages, the pilot had difficulty in defining its activities and required some support to refine the scope and focus its resources on planning. The partners' ambition and enthusiasm for the PSP resulted in their trying to do too much too soon.

The pilot was unable to achieve its operational aims during the PSP Project, due to a failure of early planning and an apparent lack of resources in the Council, causing difficulties in communication. However, following a change of personnel late in 2010, the partnership has re-focused and is beginning again to establish exactly what services should be developed and how they should be delivered. There is now a renewed energy in the pilot and a determination to work together to achieve the best possible outcomes for the community.

## SROI Analysis

No SROI forecast or analysis could be carried out at this stage but the partners are committed to the principles of SROI going forward.

## The Way Forward

The pilot continues to focus on transport and is now fully engaged with the Health Board, Education and Social Services. The Comhairle's Education and Social Services Departments are undertaking reviews of their service delivery of transport and identifying efficiencies. It is hoped that, through the PSP pilot's learning, there might be opportunities for the third sector to competitively tender for this work.

The partnership is planning to hold a seminar for relevant public sector staff on the use of Community Benefit Clauses in contracts and tendering processes, as there is some hesitation around the inclusion of these within contracts.

Concurrently, the partners have also worked closely with Community Planning to invest in low carbon infrastructure and TSH has purchased an electric vehicle for its Community Transport fleet, which will help with demands on non-critical patient transport and other community usage. This will be evaluated over the next 24-month period. TSH has also offered Hebridean Help and Rescue (HHR) space at the new TSH transport hub in Stornoway, for HHR vehicles and equipment, creating more practical partnership possibilities for the future.

In summary, despite earlier difficulties, the partners are continuing to work closely together and the commitment of the Council, together with the proven ability of Third Sector Hebrides to deliver high quality, innovative services, bodes well for the future of this PSP.



## 6) Aberdeenshire Council and Aberdeenshire Central and South CVS

### In a Nutshell

This pilot PSP was formed to recycle furniture and deliver on the partners' vision of "an Aberdeenshire where the greatest possible amount of waste is reused."

### The PSP Partners

Aberdeenshire Council has a track record of positive working with all parts of the third sector, ranging from contracted social work services to community economic development organisations. The third sector is well represented on the Aberdeenshire Community Planning Partnership.

In terms of waste management and reduction, the Council funds, works with, promotes or otherwise supports a number of third sector organisations and groups, including:

- Aberdeen Forward/Creative Waste Exchange
- Community composting schemes, such as PUT (Pitmedden, Udny, Tarves Community Co-operative), which helps divert garden waste from landfill in its area
- Can-Do Community Recycling Group
- Grampian Real Nappy Project

CVS Aberdeenshire Central & South (CVSA) is one of 56 Councils for Voluntary Services in Scotland, which exist to support and represent local voluntary and community sector groups and organisations and to offer a range of services for both new and established groups.

Boxroom was set up by CVSA as a non-profit making community furniture and recycling project which, since 1999, has been avoiding waste and diverting used but still useable furniture and household goods by selling these to the public. Boxroom also helps those in need to get back on their feet by providing free furniture and other household goods. These clients are referred by various public bodies e.g. Housing, Social Work and local charities. In 2003 Boxroom was awarded a 'Green Butterfly' Award from the Aberdeenshire Environmental Forum, in recognition of its efforts in supporting reuse and recycling.



## Background

The existing Boxroom operations depended entirely on members of the public taking a proactive decision to donate their unwanted items and on their being willing to invest time and effort in either taking them to the Boxroom premises or arranging for them to be collected. CVSA believed that many more members of the public might be willing to donate items for reuse, if only the process for doing this could be made as simple as just taking the goods to the household waste site for disposal into the waste stream.

The Council currently operates a number of household recycling centres and, through this pilot, sought to engage directly with CVSA to provide access to their site in Banchory and offer CVSA the opportunity to obtain useable goods at the point of disposal to sell through the Boxroom.

## Approach to the PSP Pilot

The partners' joint strategic aims were to:

1. Reduce the tonnage of reusable waste going to recycling and landfill
2. Encourage and enable residents to donate waste for reuse at the point where their intention was simply to dispose of it into the waste stream.

## Successes

The quantity of goods donated and available for resale through the Boxroom has been much higher than anticipated, and this is mainly due to the efforts of the volunteers on site, who have proactively identified items which could be reused and have directed residents to the container for reusable goods to avoid the items going directly to landfill. CVSA sees this pilot as a success in terms of meeting the outcomes required and hopes to continue the operation once the pilot has ended. Over 10 months, goods to the value of circa £22k have been recovered (with more awaiting valuation), resulting in sales of £17k. This equates to approximately 30% of the current year's Boxroom sales which derive from donations direct to the shop.

This quantity of goods weighs approximately 32 tonnes, saving the Council circa £2k in landfill tax and circa £1k in landfill gate fees.



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# PSP Case Studies

## Areas for Improvement

There were a number of initial challenges faced by the pilot – focused primarily on the logistics, in terms of gaining suitable space for storage, increasing the floor space available to the Boxroom to allow for more goods to be displayed and sold, and attracting volunteers. These were eventually addressed to a large extent, with the Council being instrumental in supporting pilot operations, allowing CVSA to commence operations on the site and to begin selling the goods in the shop, though there are still ongoing pressures relating to the lack of floor space, and to the low numbers of volunteers willing to work at the household waste site. These issues could have been mitigated by a more thorough market analysis and planning process in the early stages.

Despite good operational relationship, the strategic relationship between the Council and CVSA has not worked effectively during the period of this pilot. There have clearly been differences of opinion, which have led to a lack of trust and hampered progress. It also became apparent throughout the latter stages of the pilot that, whilst the Council was keen to support the third sector, there was little desire to look at scaling up the operation to enable it to be part of a formal procurement process; something which had been a key objective of the pilot.

## SROI Analysis

Because insufficient data has been collected throughout the pilot and there has not been full stakeholder engagement, an evaluative SROI was not possible so this analysis forecasts the potential for social return. The SROI forecast was prepared using a range of existing information provided by the partners, combined with desk based research. Due to the lack of data in this project, when assumptions had to be made, similar furniture recycling projects have been researched. For example, Homaid in Caithness has a similar business model and for that reason it was considered suitable to use some of their data.



# PSP Case Studies

The key stakeholders, outcomes and indicators by which these could have been measured are in the table below:

Stakeholders	Outcomes	Indicators
CVSA	Increased donations	Sales from the shop - comparison before and after Magpie Project
Aberdeenshire Council	Council meets targets and promotes environmental image	Cost of PR campaign
	Less landfill tax is paid	Cost of landfill tax
People who are gifted furniture	Less money spent on durable furniture	Value of furniture distributed for free
	Debt avoidance	Value of debt avoided due to Boxroom support to additional beneficiaries
Volunteers	'I get more opportunities'	Number of volunteers reporting that they get more opportunities
	'I meet other people'	Numbers of volunteers reporting the project being a good social meeting point, new friends or old ones
	'I do something useful'	Number of volunteers reporting they do something useful
	'I get a routine'	
	'I stay active and engaged'	Numbers of volunteers reporting volunteering helps them keep active



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# PSP Case Studies

## The Way Forward

The initial intention of the pilot was to influence future procurement and commissioning practice. Subject to that assessment, a specification was agreed to be drawn up for its extension to the 10 household and waste recycling centres run by the Council, where the same service would be feasible and a procurement process undertaken in the normal way. Although similar schemes are available in some local authorities, these are few and far between, especially in rural areas, and they tend to rely on particular local circumstances. This pilot therefore aimed to produce a model which could be replicated throughout Scotland.

However, this ambition has not transpired in practice through the PSP and the Council has instead established relationships with other third sector organisations to provide similar services at other recycling centres. The CVSA's perception is that this has been done without full regard to the learning from the PSP but it should be stressed that there has been no comment from the Council to balance this view. The operation itself has met the requirements of reducing waste to landfill and increasing reuse of goods and the fact that the Council has sought to replicate this at other sites, albeit with different providers, is testament to the benefits being achieved by the Council as well as by the third sector.

The pilot has demonstrated that similar operations could be rolled out across the full network of sites and either tendered as one particular operation or as part of a larger waste management contract. The Council currently performs its waste management function in-house but other authorities could look at this in a different way. For example, the use of community benefit clauses could enable private and third sector organisations to partner work together to deliver social, as well as financial, benefits in waste recycling operations.



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## PSP Case Studies

### 7) East Renfrewshire Council and Partners for Inclusion

#### In a Nutshell

The pilot was set up to define individualised support services and develop a commissioning framework to enable their delivery. This was to be tested with individuals currently in institutional care or at risk of admission to institutional care, with the outcome of providing a tailored programme of support, enabling these people to stay in their own homes.

#### The Partners

East Renfrewshire Community Health and Care Partnership (CHCP) is a partnership between East Renfrewshire Council and NHS Greater Glasgow and Clyde and delivers all local health and social care services for the residents of East Renfrewshire.

Partners for Inclusion (PFI), based in Kilmarnock, provide high-quality, person-centred support to individuals with learning and mental health disabilities throughout the Ayrshires and Renfrewshires.

#### Background

The partnership was established to build on the experience of PFI in supporting people with severe learning disabilities who do not fit into standard care services and who wish to live and work in the community, as is their basic human right. These are people who may have spent much of their lives in institutions, with little meaningful activity or quality of life. The PFI approach is to build a service and recruit a team around each individual and their needs, rather than have generic staff working with a number of people. This approach has proven highly successful in enabling people to develop independence and become a full part of the community they live in.

PFI has worked with local authorities for over ten years and it is only by virtue of the excellent working partnerships and quality of service delivery that this has been possible. Procurement rules were becoming increasingly difficult for PFI's public sector partners to navigate, as they tend to work against the principles of individual choice and services tailored to individuals. The PSP was set up to find a way to comply with procurement laws, whilst not stifling innovation and damaging the quality of life of the people who need support.

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## Approach to the PSP Pilot

As well as developing the commissioning framework, the partners also focused on sharing knowledge and experiences with others, so that the individually tailored support approach would become the norm, supported by appropriate commissioning and procurement practice.

## Successes

A strong partnership was key to the success of this pilot in achieving its stated aims. PFI's approach meant that more people were able to lead full, independent lives within their communities and the Council's commitment to this highly personalised model enabled the pilot to find a way to deliver it in conjunction with appropriate commissioning and procurement practice.

From the onset, the pilot recognised that a lot depended on genuine partnership. Before embarking on service design, the partners took the time to develop a memorandum of understanding and project plan, setting out the scope of the project and roles and responsibilities of both individuals and organisations. Everyone participated in this process on equal terms, with respect and understanding of each other's different perspectives and competencies.

There was also a great willingness to learn new ways of working to enhance the partnership. For example, the partners were not used to working within a formal project management structure but had the vision to seek assistance from the PSP Project team and later reported that using project management tools greatly enhanced their ability to deliver the planned outcomes.

One of the pilot's greatest successes was that, building on the strength of its own partnership, it was able to bring in other providers and local authorities. As a result and because PFI was already operating at full capacity, one of the new services developed through the pilot is in fact being delivered by another provider, in line with the personalised service design outlined in the commissioning framework.

## Areas for Improvement

It was at times difficult for the partners to move beyond discussion and focus on recording their activities and learning and, as such, the production of the written framework was left to a very late stage. However, they used the project reporting structure to drive the achievement of deadlines and had successfully produced a final draft of the commissioning framework by the end of the PSP project.

## SROI Analysis

Because the primary focus was on developing a commissioning framework and the number of people being supported through the pilot was very low, no forecast or evaluative SROI was carried out. However, it was noted that the two new services operational by the end of the PSP project produced cash savings to the Council equating to 20% of the individuals' previous support packages. The social value on top of this is far greater and the pilot did identify a raft of indicators which could be used to develop financial proxies and assess social value, examples of which are shown in the table below:

Stakeholders	Outcomes: What change do we expect the stakeholder to experience?	Indicators
Individuals who Access the Service	Use less health services Improved quality of life Improved self-esteem More privacy More control over their lives Gaining employment opportunities	Number of incidents of self harm Number of visits to acute mental health services Number of GP visits Whether person reports feeling safer Number of people in and quality of social network Whether person is living independently Whether person reports benefit of doing activities they want to do
Their Families	More personal service More control over their relatives' lives More involvement in their relatives' lives Less stress	Whether person spends time with their family Whether family members reporting feeling their views are important Whether family members report feeling more involved in their relatives' lives Whether family members reporting their engagement with person feels useful Whether family members are visiting person more often How family members report relating each other How families report on their health and wellbeing

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## PSP Case Studies

### The Way Forward

More time is needed to test the commissioning model with other providers and in other local authority areas and then to refine the framework in the light of the experience of the pilot. This will ensure that the final framework will be robust and therefore replicable in other local authority areas, making it easier for people to access services tailored to their individual needs.



## 8) Renfrewshire Council and Renfrewshire CVS

### In a Nutshell

Reaching Older Adults in Renfrewshire (ROAR) is a consortium of voluntary and social economy organisations, based in Renfrewshire, working together to design and deliver low level care and befriending services for older adults, with the outcome of reducing isolation and enabling people to remain in their own homes for longer.

### The PSP Partners

Renfrewshire Council has a Voluntary Sector Strategy and Action Plan, which demonstrates a significant corporate approach to working with the third sector.

Renfrewshire Council for Voluntary Services (RCVS) is a member organisation which exists to help community and voluntary groups in the area. It encourages good practice and partnership working, among the third, private and public sectors. RCVS is responsible for operating ROAR.

### Background

Renfrewshire's Single Outcome Agreement recognised that the 65-80 year old population will rise by 17% by 2031 and over 80s will rise by 16%. It was recognised that 11,500 people in Renfrewshire already need a degree of care and support, with a significant increase in the older population expected in the future. These demographic realities, coupled with the strategic aim to increase personalised services, led to the partners joining the PSP Project, to build on their involvement in an earlier PSP project.

The development of ROAR was informed by research and policy highlighting the need for the development of more low level preventative services for older people, recognising that such services could prevent older people requiring more intensive and therefore more costly interventions at an earlier stage than necessary.

Local research found that:

- 89% of older people surveyed lived alone
- 10% saw or spoke to no one on an average day or weekend
- 25% never went out
- 21% would be interested in a service where “ someone has a chat with you”
- 13% would be interested in a home visiting service
- 25% were interested in a transport to appointments service.

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The research with health and social care professionals found that many older people are still able to carry out essential daily routines but are leading unsupported and demotivating lives. Many are adversely affected by loneliness and boredom, sometimes leading to self neglect, poor diet and nutrition. It was noted that, as a result of this isolation, professionals were spending a lot of time chatting and socialising with older people, rather than carrying out treatments.

## Approach to the PSP Pilot

At the time of joining the PSP Project, ROAR already offered lunch clubs for older adults which were delivered by RCVS and its partners, using grant funding from the Council. The specific aims of the pilot were to:

1. Develop a volunteer support structure, designed to meet the needs of service users and build the capacity of volunteers and service users, offering employability support for volunteers who wish to go on to access employment
2. Expand the network of ROAR Clubs across Renfrewshire, utilising and developing the existing model
3. Explore the potential for developing in-house or partnership food preparation facilities
4. Develop a workable model for a transport service
5. Access research funding to develop evidential data and a robust tracking system to provide ongoing monitoring and evaluative information
6. Develop a Personalisation Strategic Plan, which could potentially be delivered by ROAR
7. Develop and adopt a social enterprise model, capable of sustainability in the long term.

In order to accelerate progress and enable the ROAR concept to be rolled out across the whole of Renfrewshire, the team set out to secure additional grant funding from Local Area Committees (LACs). This activity proved to be both challenging and time consuming but the team was ultimately successful in securing funding from the majority of the LACs. The plans were then recast, with the intention of delivering 12 new clubs within the PSP pilot timelines.

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## Successes

The team started by transferring 3 existing clubs into the ROAR model, which had previously been operated by WRVS. As a result, these clubs are now run entirely by volunteers and offer a wider range of services, including health and well-being activities. A further 2 clubs in entirely new locations were also established and there is a programme of activity planned to ensure that the remaining clubs are active by the summer.

The co-designed service is a significant improvement on the previous model, as it provides a wider range of services, taking into account service user and volunteer feedback.

The pilot team was exceptionally good at generating interest and enthusiasm for the PSP pilot and ROAR model. Regular exposure at both Council committee level and local interest groups proved to be an excellent way of keeping stakeholders involved. The partnership approach ensured that the service delivery model was co-designed without bias to either party.

## Areas for Improvement

Some of the stakeholder engagement for the pilot was done on an ad hoc basis, to collect data for the SROI report. This limited data demonstrated the value of regular engagement, providing useful information on how the service could be improved to further benefit the service users. A more systematic method of stakeholder engagement would therefore have enhanced the outcomes.

The method of commissioning the service was not clearly mapped at the outset, leading to some confusion and delays. A lot of RCVS' resources and time were taken up in obtaining funding throughout the pilot, which delayed the planned opening of the ROAR clubs considerably. It was disappointing that the Council chose not to tender the service but they did indicate that the current grant funded situation was to be replaced by older people using individual budgets to purchase such services. When this transpires, it will be great step forward in personalising services.

It appeared that ROAR could have been incorporated more fully into the strategic plans of the relevant council departments. The Council representation was via a number of passionate and committed individuals and, whilst the Council's overall commitment was never in any doubt, the way in which ROAR fitted into their long term goals and plans was slightly unclear.



## SROI Analysis

During the PSP Project, 327 service users and 103 volunteers were engaged with the pilot.

The outcome that was mostly noticed was that of reduced isolation – the service users appreciated the opportunity to widen their social network and to simply have someone to talk to. Service users were also reporting improvements in their diet, with 29% reporting that their diet became better and 14% observing a positive effect ROAR had on their level of exercise. An overwhelming 86% said that the ROAR clubs had a positive effect on their health.

The response from volunteers was also positive, with 45% reporting that volunteering with ROAR had given them the opportunity to learn new skills. Although only 14% said they would now consider entering or re-entering employment or education as a result of volunteering, it should be noted that many of the volunteers are older adults themselves.

The Social Work Department reported reduced interventions in institutionalised social care and less high dependency caseload activity with older adults.

The analysis was that, with a five year investment of £132k, the SROI return was £5.91 for every £1 invested. Please note that these figures are for indicative purposes only.

## The Way Forward

In the future it would be good if the partnership could dedicate resources to further investigating the issues that were not fully exploited during the PSP pilot, including travel and in-house food provision. These would both be areas where potentially savings could be found, whilst increasing service user satisfaction.

After securing the additional funding, the team decided not to continue with the plan to implement the model as a service that could ultimately be procured. At that time it was decided that the funding could be used to cover start up costs and ensure that the clubs would be self-sustaining, based on service user contributions. It would be worth monitoring the effectiveness of this funding model, to ensure that it enables ROAR to continue to develop services to older adults, generating economies of scale and maximising the uptake of services.



## 9) Aberdeen City Council and Inspire

### In a Nutshell

The pilot is developing an information hub to support people with learning disabilities in Aberdeen to access meaningful activities within the community.

### The PSP Partners

Aberdeen City Council has had a long commitment to working with partners in the provision of services for people in Aberdeen. The third sector plays a significant role in the social care and well-being agenda for vulnerable people in Aberdeen and the majority of expenditure for people who require services is with the third sector. The Council has recently undergone a reorganisation in order to ensure that commissioning and community engagement is at the core of its services. The publication of a Commissioning Strategy for Adults Services for 2010-2013 is a further indicator of the commitment to partnership working. The Commissioning Strategy sets out to strengthen the social care market and services by encouraging improved partnership which will increase diversity, improve enterprise and promote innovative approaches to social care provision.

Inspire is a registered charity, established in 1988, which aims to offer opportunities for an excellent quality of life to people with learning disabilities and other disadvantaged groups in North East Scotland. The people Inspire work with have a very wide range of abilities and Inspire aims to provide them with opportunities for new experiences and increased responsibilities in all aspects of their lives through the services provided.

### Background

Initially the pilot – known as the Skyline Project – aimed to offer support and assistance to people with learning disabilities, partially to replace day centres which were to close. The Skyline Cafe was to form a central hub, where people would be able to participate in session-based activities and also have the opportunity to seek advice and information designed to assist them in improving their quality of life.

The PSP Steering Group and project team challenged the partnership from the outset to articulate how the proposed new service would deliver increased independence and inclusion for people, as it appeared to be replacing one traditional day centre with another, equally exclusive service.

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## Approach to the PSP Pilot

The pilot turned around towards the end of 2010, when a dedicated Project Manager was appointed at Inspire and the personnel involved in both organisations changed. An extensive consultation exercise was undertaken, involving people with learning disabilities, their families and other supporters. The pilot partners then worked closely with their lead consultant from the project team and were open to constructively discussing and addressing the issues over the service design.

The partners report that trust has been built through the PSP process and that working through the rocky patches has strengthened the partnership. One commented: "PSP is not just about doing something with your friends: it's about having a working relationship that's productive and learning from each other."

## Successes

The re-design of the service has been the great success of this pilot.

From originally being an information hub leading to essentially exclusive group activities, the partners have devised the following service design:

- Most of the money previously used to fund day centres will be allocated as individual budgets, which people can choose to spend on activities suitable to them within the community – not in separate facilities or sessions. The indicative budgets will be allocated through the new Daytime RAS (Resource Allocation System).
- The Information Hub will be based in a central office within a shopping centre, to enable people to get face to face advice conveniently. The Hub is expected to open early in June 2011.
- A web-based information hub is also being established, to guide people and their supporters towards the facilities available in their communities. This will be accessible in a variety of locations, for those people without their own internet access. The target date for the site's launch is 4th July 2011 - Independence Day!
- There is a Steering Group of people with learning disabilities and their families to guide the development of the Hub.
- The Hub will include a form of 'Time Bank' – where people trade their voluntary time within the community e.g. doing gardening, shopping for older people. This will contribute to the important strategic notion of people with learning disabilities having something to contribute, not just taking services.

Although the service will not be delivered within the life of the PSP Project, the pilot has delivered much more valuable outcomes. Through working together and engaging fully with the people who will use the services, the partnership has developed a service design which is fit for the 21st century and promotes inclusion of people with learning disabilities. The successful delivery of this innovative service will be a major step towards true personalisation.

## Areas for Improvement

In the first year of the partnership, communications were difficult and the partnership did not appear to be building as well as hoped. There appeared to be a lack of senior commitment within the Council and confusion over what, if any, budget was available to develop the facility. To compound this, the unprecedented change in public sector finances put extreme pressure on both partners. At one stage, it was thought that the pilot would have to be suspended or cancelled, due to lack of resources.

A major learning point from the early days of the pilot was the need to have more than one key person from each partner involved, to enable the pilot to progress even when the lead people are not available.

This situation has now been completely reversed and a strong, highly functional partnership has evolved but clearly the time taken to work through these issues has impacted upon timescales. Nevertheless, it is clear that getting the right outcomes is more important than meeting deadlines and the partnership now has a basis upon which to press forward the planned reforms in services.

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## PSP Case Studies

### SROI Analysis

Because the PSP has not commenced operations at the time of writing, the SROI analysis is a forecast, based on the new service design, information provided by the partners and desk-based research.

The expected outcomes for key stakeholders are shown in the table below:

Stakeholders	Outcomes
Users of the Information Hub	Feel that their employability skills are better
	Improved confidence
	Feel that they have better opportunities to engage with their communities.
	Are able to experience more things
Family Members	Feel that their health and well-being has improved
	Get the opportunity to influence the activities their relatives can access
	Get the opportunity to engage with their local communities better.
Aberdeen City Council	Improved family relations
	Follow local and national policy to increase personalisation of services
	Reduce costs while increasing satisfaction with services
Local Communities	Enriched by diversity
	New skills as people with disabilities access work and volunteering opportunities

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## PSP Case Studies

### The Way Forward

The hub is part of a broad business case for learning disability services, which aims to achieve one of the largest chunks of saving towards the Council's 20-25% saving target over 5 years. The hub contributes to the five strands of the business case:

1. Assessment and care management – risk enabling instead of risk aversion.
2. Resource Allocation System for all needs.
3. Daytime Resource Allocation System.
4. In-house residential homes will close. People will still be able to choose to have individual tenancies where they are currently living and to procure their support from the market with their personal budgets. The current residential cost per person is £69k and that will fall to £45k if support is provided by the third sector.
5. Transitions for young people – there will be an individual budget to help them to plan the transition from school.

The Hub will also house Local Area Coordination and the Work Choice project and will run as a pilot for several months from its planned launch on 4th July – Independence Day! All three services will be subject to a single tender later this year and the Council is keen to attract wide competition but still ensure the people supported will be comfortable with the providers. They are considering the use of Community Benefit Clauses to achieve this and to require the provider to employ and/or train people with learning disabilities.



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## PSP Case Studies

### 10) Registers of Scotland and Haven Products

#### In a Nutshell

The partnership between Registers of Scotland (RoS) and Haven Products offers real employment opportunities to people with disabilities.

#### The PSP Partners

Registers of Scotland is the Scottish Government agency responsible for compiling and maintaining records relating to property and is the non-ministerial government department statutorily responsible for registering a variety of legal documents in Scotland. Its work is dominated by two main registers recording ownership and rights over land and property and staff currently manage around half a million property registration transactions each year.

Haven Products, part of Momentum Scotland and the Rehab Group, is a registered charity and company limited by shares. Haven's main purpose is to create and sustain meaningful employment and development opportunities for disabled people through trading commercially.

Haven currently operates from three factories across Scotland as well as operating an innovative Complementary Workforce model. Haven employs 140 staff, over 80% of whom are disabled. Haven is part of the Supported Businesses in Scotland consortium.

#### Background

In recent years, Haven developed the Complementary Workforce. This innovative model works by placing existing work-experienced disabled Haven employees (known as Associates) into roles within partner businesses to which their skills are suited and for which there is a business need. Before starting on the Complementary Workforce, Haven Associates go through a five to six week process, designed to ensure they are suitable for the position, confident and willing to take on the new challenge.

RoS identified a business need for a new service to increase the productivity of its scan department. The new business model had to offer flexible working arrangements and RoS wanted a more engaged and motivated workforce. The service would operate at the busiest time of year and RoS had noted in the past that temporary employees recruited to this service did not perform to expected standards and often left at short notice. They then had to be replaced, incurring recruitment costs and reducing productivity at the busiest period.



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# PSP Case Studies

## Approach to the PSP Pilot

Haven and RoS co-designed a new service, extending the existing Complementary Workforce model to working in partnership with RoS.

As Haven prepared the potential Associates for employment, RoS recruited suitable mentors from within its own staff to welcome the new starts and to support them in the induction process. Ongoing HR support was offered by Haven and meetings were held on a regular basis between the Haven Associate, a member of the Haven support team and a RoS employee, to assess progress and address any issues arising.

In total, RoS recruited 30 people as part of its flexible working arrangements, 11 of whom were employed through Haven. The roles undertaken by Haven employees included scanning, quality auditing, data input and administrative support. Initially Haven Associates were offered 21 hours per week at RoS but, as the pilot progressed, feedback from line managers was extremely positive and hours were extended. In all, RoS retained 12 members of staff from its flexible recruitment during the period of the pilot, 11 of whom were the Haven Associates.

## Successes

The success of the pilot has been dramatic. Productivity at RoS has increased and feedback from line managers has been excellent. The strength of the partnership between the two organisations facilitated the co-design of the service. A key element of the pilot was the partners were just that – two organisations working closely together.

This partnership originated from close personal working relationships between the project leads in both partners. This could have posed a problem if the pilot was only limited to their input but very quickly others got involved. The driving factor of the involvement of others was the quality of the service offered through the pilot. Line managers at RoS reported increased productivity, a more engaged workforce, a reduction in absence and an improved working environment. The level of satisfaction of RoS managers was illustrated when all Haven Associates were retained at the end of RoS' busy period.

The Associates recruited to the pilot helped RoS to achieve its aim of a more committed and inclusive team, while also increasing morale. RoS described the Associates as having “an excellent work ethic and are genuinely interested in their place of employment. They are keen to impress and actually set the bar quite high for others.” An increase in productivity and quality of work was an outcome that was highlighted during interviews with managers, who commented “the Haven people I have worked with are intelligent, conscientious, reliable, hard working and pleasant. They have had a good impact on our team as we are able to meet our deadlines.”

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The Associates engaging with the pilot were all interested in increasing their employment opportunities. All but one were workless prior to the pilot, with the majority claiming benefits (Disability Living Allowance or Job Seekers Allowance), while another had been out of work due to a long term condition. They reported that, through the pilot, not only had their employability increased but their self esteem, health and happiness were enhanced by being in work. RoS managers noticed that there were no increased sickness levels amongst the Associates and that there appeared to be no health barriers for disabled people working at the public sector agency.

## Could do Better

There were some comments from the Associates that the nature of the work they were undertaking was repetitive and this has been noted by the partners. It is expected that, as confidence grows on both sides, more challenging work will be offered where appropriate.

The remaining challenge for the partnership is to determine a procurement route for the continuation of the scheme. The partners learned through the process the importance of involving senior management and procurement professionals at the outset, to ensure the sustainability and replicability of the pilot. At the time of writing, the partners were still working on how this would be carried out.



## SROI Analysis

Stakeholders are crucial in determining social added value, using SROI. The table below summarises the key stakeholders who engaged with this SROI analysis and the outcomes which were measured:

Stakeholders	Outcomes
Haven Associates	Improved confidence and self esteem; feeling successful Doing something worthwhile with time More positive about life Improved social and communication skills Increased work skills and experience Improved physical, mental health and fitness Improved social networks and decreased feeling of social isolation Gaining Employment
Associates' Family/Friends	Reduced anxiety More free time
Haven Products	Changes in workplace attitudes towards people with disabilities Raising awareness of disability issues, overcoming discrimination
Registers of Scotland	Organisation seen as a progressive employer Better trained workforce Increased job satisfaction for employees Reduction in number of temporary staff members recruited
Mentors	Increased confidence Increased communication skills Better insight into the lives of people with disabilities Improved social network Increased transferrable skills and employability
Scottish Government	Increase in number of people with disabilities in employment Healthier population with increased ability to take part in the workplace Increase in income for people with disabilities
NHS	Reduced visits to GP Reduced number of people accessing mental health services
DWP	Ongoing tax payments after the pilot Savings in Incapacity Benefit Increased tax payments Reduced number of people accessing employability programmes

The SROI analysis was that, with an investment of £67k over the 18 months of the pilot, the social return was £9.93 for every £1 invested. Please note that these figures are for indicative purposes only.

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## PSP Case Studies

### The Way Forward

On completion of the pilot, RoS and Haven aim to continue to maintain their active working partnership, with the Complementary Workforce being one of a number of recruitment resources available to the public sector agency.

The pilot will be self sustaining and will define the working relationship between the partners.

There is real potential for replicating the pilot across other public sector agencies through, either partnership working or competitive tendering.

The model has been shown to work and to offer positive benefits for all involved at service level, at community level while also contributing to national objectives.



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## Tools & Methodologies

### Memorandum of Understanding

#### [insert name of partnership] Public Social Partnership

#### 1. Purpose and Scope

This Memorandum of Understanding (“the MoU”) forms the basis of a Public Social Partnership (“the PSP”) between the third sector supplier(s) and public sector commissioner(s), established to demonstrate the parties’ commitment to collaboration and innovation in the delivery of public services. The MoU defines and formalises the relationship between the parties and sets out their roles and responsibilities within the partnership.

The MoU covers the services agreed by the parties, to be designed and delivered within the PSP. The agreed services to be delivered are:

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_

The MoU is not a contractual document and does not impose any legal obligation on either party. The overall relationship described by the MoU is a voluntary arrangement. The MoU is independent of any other agreements signed by or between the organisations concerned.

#### 2. Organisations

1) XXXX is a third sector organisation, registered as a [limited company/charity/Industrial and Provident Society\*] in Scotland, registration number \_\_\_\_\_. Its mission is \_\_\_\_\_

XXXX will be the supplier of the services and will be referred to hereafter as “Party A”.

2) YYYY is a public body, serving the people of \_\_\_\_\_ (community), whose mission is \_\_\_\_\_

YYYY will be the commissioner of the services and will be referred to hereafter as “Party B”.

\*Delete or amend as appropriate



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### 3. Objectives of the Partnership

The aim of the PSP in general terms is to improve the design and delivery of public services, by working in partnership, to maximise the benefits to the community.

The specific aim of the PSP is to contribute to the National Outcome to [insert text of relevant National Outcome] through the Single Outcome Agreement, which states that [insert text of Single Outcome Agreement or local plan].

### 4. Roles and Responsibilities

#### Party A will be responsible for:

- Supplying the services to the agreed timescales and specifications;
- Communicating any constraints clearly to Party B;
- Providing constructive feedback on the partnership experience;
- Working with Party B to develop services.

#### Party B will be responsible for:

- Identifying services for delivery;
- Assessing the level of need within the community;
- Ensuring services fit with local plans and/or Social Outcome Agreements;
- Communicating requirements clearly to Party A;
- Providing constructive feedback on the partnership experience;
- Working with Party A to develop services.

### 5. Duration of the MoU

The MoU is designed to cover the period during which the PSP is operating and is effective from the date of signing.

It is understood by all parties to the PSP that, at the end of any agreed pilot, Party B will competitively tender the services covered by the MoU, under normal procurement rules.



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## 6. Partnership Values

The PSP relationship will be based on:

- Equality;
- Mutual respect and trust;
- Open and transparent communications;
- Co-operation and consultation;
- A commitment to being positive and constructive;
- A willingness to work with and learn from others;
- A shared commitment to providing excellent services to the community;
- A desire to make the best use of resources.

## 7. Communications

The Parties to the PSP commit to communicating openly and constructively and to sharing good practice.

The Parties agree that they will consult and co-operate together in order to achieve the maximum benefits for the community. This co-operation will include the sharing of appropriate information and maintaining effective communication, where this will inform and improve the delivery of services and enhance the learning.

## 8. Confidentiality and Data Protection

- The Parties to the PSP agree to share information with each other.
- The Parties to the PSP may at times acquire information that has not yet been made public and/or is confidential. The Parties must not disclose confidential information for commercial advantage or to disadvantage or discredit other parties to the PSP or anyone else.
- Any personal data obtained or used by either of the Parties in the course of the project shall be processed in accordance with the Data Protection Act 1998.



## 9. Funding Arrangements

There are no funding arrangements associated with the MoU. Party A will provide the agreed services to Party B at the agreed market price and Party A will be solely responsible for securing the resources required to provide the services. Party B will ensure that the resources are in place to pay Party A for the services supplied, within the agreed payment timescales.

## 10. Amendments

- Once agreed, the MoU may only be amended by mutual agreement, signed by the authorised signatories of all parties to the PSP. Once approved, amendments should be attached as annexes to the original MoU.
- The MoU will be reviewed annually or earlier if required. Any changes will be mutually agreed and signed by the Parties.
- Any issues or disputes which cannot be immediately resolved to both parties' satisfaction should be escalated to the PSP's Steering Group. The Steering Group will include equal representation from each of the Parties.
- The MoU is not intended to be legally binding, or give rise to any liability of any kind whatsoever. The Parties will therefore be individually liable for any costs arising from amendments to the MoU.

## 11. Termination

If either of the Parties wishes to dissolve the partnership, two months' notice should be given in writing to the other Party, with reasons for the termination. This clause applies only to the partnership arrangement covered by the MoU and does not affect any commercial contracts for the supply of goods and services which may exist between the Parties.

## 12. Organisation Contacts

The key contacts for the PSP are as follows:

Party A: [name, role, contacts details]

Party B: [name, role, contacts details]

PSP Steering Group: [names, roles, contact details]



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## 13. Acceptance

We the undersigned, as authorised signatories of the Parties to the PSP, have read and accepted the terms of the Memorandum of Understanding between [insert name of Party A] and the [insert name of Party B]] and accept these.

Signature: \_\_\_\_\_

Name and Role: \_\_\_\_\_

Organisation: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Name and Role: \_\_\_\_\_

Organisation: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

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## Tools & Methodologies

### Lead Funder Guidance

Third sector organisations frequently comment that their interactions with the public sector are convoluted and that they need to expend considerable energy simply to managing the reporting demands – energy which could be devoted to service delivery. This is particularly true when more than one funding organisation is involved. Meanwhile, public sector bodies are keen to find ways to improve efficiency and to support cross-cutting outcomes; there has been considerable progress in collaborative procurement, but public bodies are often still wary of ‘letting go’ and feel that their responsibilities demand close monitoring of any third sector activity which they are supporting.

Partners in the Joint Statement on the Relationship at Local level between Government and the Third Sector (September 2009) believe that ‘Lead Funder’ arrangements can help to address the issues described above. A Lead Funder arrangement is when a single funder acts as the lead agent for other funders. The Lead Funder role is generally held to encompass contracting with and monitoring a service provider, though variants are possible. The UK Government and the Scottish Government have identified the appointment of a Lead Funder as good practice to streamline application processes and co-ordinate monitoring and inspection arrangements. This rationalises both the administrative requirements on funding bodies and the control burden on recipients of funds (HM Treasury 2006; Enterprising Third Sector Action Plan 2008-11).

Lead Funder practice consists of three strands, which can be present to varying degrees in particular instances:

- Information sharing – the principle that information held by a Lead Funder could be passed to other funders and possibly assured on behalf of all funders.
- Joined-up monitoring – in which the Lead Funder would take responsibility for co-ordinating monitoring and audits, inspections or reviews.
- Provider relations – in which the Lead Funder takes responsibility for managing discussion of, and reactions to, the operational issues faced by the provider.



# Tools & Methodologies

There are several variants of the Lead Funder model, summarised in the following table:

Stakeholders	Outcomes
Information Provider	The Lead Funder simply receives information, in different formats, and passes to the other funders. The least involved role, with commensurately small benefit – but still reducing some of the burden on the provider.
Reporting Lead	The parties establish a single report format and content and the Lead Funder receives these reports and disseminates to other funders. The Lead Funder does not manage the relationship with the provider but the administrative burden on the provider is reduced considerably as they only need to report in one way.
Funding Co-ordinator	Reporting is not standardised but the Lead Funder instead provides some degree of relationship management and co-ordination. This is expected to be the rarest of the four types: if other funders are prepared to let a Lead Funder carry out this role, it is likely that they will also be able to agree on a standard reporting and management arrangement.
Lead Manager	A fully integrated role, in which the Lead Funder not only provides reports to other funders, but also manages the oversight of, and relationship with, the provider(s). This is the preferred model, as it has the greatest potential to increase efficiency for all parties.

The most integrated version of the Lead Funder model, with the greatest potential benefits, is when one organisation co-ordinates funding, reporting and management of the supplier. Less integrated arrangements can still increase efficiency and reduce administrative burdens, however, and should still be considered. While being a Lead Funder might entail commitment of additional resources, there is a clear expectation that funders will take turns to carry out the role, thus reducing the burden in the medium to long term. For a particular project, organisations should first agree the design of the service and subsequently decide whether a Lead Funder model is appropriate and then define the degree of integration which is proportionate, before setting up the arrangements.

There will be a variety of factors to consider in determining whether to use Lead Funder arrangements and then how to set up, manage and dissolve these arrangements. These factors are likely to involve a mixture of ‘hard’ and ‘soft’ considerations, including existing relationships, organisational maturity and capability, availability of resources, and commonality of strategic aims and potential measurements. Similarly, the decision on which funder should become the Lead Funder will require judgement and should not just be predicated upon one factor, such as the proportion of funding being committed.



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## Tools & Methodologies

In setting up Lead Funder arrangements, organisations should agree on reporting which is as standardised as possible and in which 'core' organisational and project data does not need to be adapted for different funders' requirements. This should not only be achievable within a project; organisations should also consider how to improve consistency from project to project, as this will increase efficiency across public and third sectors. Moving towards increased use of the Lead Funder model does not rely solely on funders: there is scope for third and public sector organisations to work together to converge on best practice which works sufficiently well for all parties and might just need some small changes to make it work on a particular project.

The Lead Funder model is not a panacea for the current operational and cultural difficulties in multiple funding situations and may not always be suitable. Whilst increased communication between funders is undoubtedly desirable, pragmatism should be applied in determining what, if any, type of Lead Funder model should be considered. Challenges remain, including reaching common definitions, but none are insurmountable, as long as the will to collaborate is present and there is some flexibility in how the model and the guidance is applied. Organisations are encouraged to increase their use of the model in order to reduce administration and increase efficiency. As strongly outlined in the main guidance, commissioners should ensure that legal and procurement advice is sought at the earliest opportunity when considering the design stage and Lead Funder arrangements in order to avoid conflicts with state-aid, procurement rules and other arrangements within the partnership.

**Further information can be accessed at**  
**[PublicSocialPartnershipsGuidance@scotland.gsi.gov.uk](mailto:PublicSocialPartnershipsGuidance@scotland.gsi.gov.uk)**



## Social Return on Investment

### Summary

SROI is a method for measuring and communicating a broad concept of value that incorporates social, environmental and economic impacts. It is a way of accounting for the full value created by activities and the contributions that made that activity possible: it therefore goes beyond a financial business case and tells a story of the change effected by a service, told from the perspective of key stakeholders. An SROI analysis produces a narrative of how an organisation creates value in the course of enabling change and a ratio that states how much social value (in £) is created for every £1 of investment.

### SROI Principles

SROI is informed by a set of seven principles that are designed to ensure that process is robust, transparent, and informed by stakeholders.

#### Principle 1      **Involve Stakeholders:**

Inform what gets measured and how this is measured and valued by involving stakeholders. Stakeholders are those people or organisations that experience change as a result of the activity and they will be best placed to describe the change. This principle means that stakeholders need to be identified and then involved in consultation throughout the analysis, so that the value and the way that it is measured are informed by those affected by or who affect the activity.

#### Principle 2      **Understand What Changes:**

Articulate how change is created and evaluate this through evidence gathered, recognising positive and negative changes as well as those that are intended and unintended. This principle requires the theory of how these changes are created to be stated and supported by evidence.

#### Principle 3      **Value the Things that Matter:**

Use financial proxies to measure the added value of the outcomes. Many outcomes are not traded in markets and as a result their value is not recognised. Financial proxies should be used in order to recognise this value and to give a voice to those excluded from markets but who are affected by activities.



## Principle 4 Only Include What is Material:

Determine what information and evidence must be included in the accounts to give a true and fair picture, so that stakeholders can draw reasonable conclusions about impact. This principle requires an assessment of whether a person would make a different decision about the activity if a particular piece of information were excluded. Deciding what is material requires reference to the organisation's own policies, its peers, societal norms and financial impacts. External assurance becomes important in order to give those using the account comfort that material issues have been included.

## Principle 5 Do Not Over-Claim:

Only claim the value that organisations are responsible for creating. This principle requires reference to trends and benchmarks to help assess the change caused by the activity, as opposed to other factors, and to take account of what would have happened anyway.

## Principle 6 Be Transparent:

This principle requires that each decision relating to stakeholders, outcomes, indicators and benchmarks; the sources and methods of information collection; the different scenarios considered and the communication of the results to stakeholders should be explained and documented.

## Principle 7 Verify the Result:

Ensure appropriate independent assurance. Although an SROI analysis provides the opportunity for a more complete understanding of the value being created by an activity, it inevitably involves subjectivity. Appropriate independent assurance is required to help stakeholders assess whether or not the decisions made by those responsible for the analysis were reasonable.



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# Tools & Methodologies

## Methodology

The principles inform a six-step methodology:

1. Establishing scope and identifying key stakeholders. Clear boundaries about what the SROI will cover and who will be involved are determined in this first step.
2. Mapping outcomes. Through engaging with stakeholders, an impact map, or theory of change, which shows the relationship between inputs, outputs and outcomes is developed.
3. Evidencing outcomes and giving them a value. This step first involves finding data to show whether outcomes have happened. Then outcomes are monetised – this means putting a financial value on the outcomes, including those that don't have a price attached to them.
4. Establishing impact. Having collected evidence on outcomes and monetised them, those aspects of change that would not have happened anyway (deadweight) or are not as a result of other factors (attribution) are isolated.
5. Calculating the SROI. This step involves adding up all the benefits, subtracting any negatives and comparing them to the investment.
6. Reporting, using and embedding. Easily forgotten, this vital last step involves sharing findings and recommendations with stakeholders, and embedding good outcomes processes within your organisation.

The length of time and resources it takes to carry out an SROI varies significantly depending on the scope of the analysis and the extent to which outcomes data is already available. Organisations can undertake SROIs in-house if they have capacity, or alternatively engage a consultant.

There are two types of SROI analysis. Evaluative SROIs are conducted retrospectively and based on actual outcomes that have taken place over a given evaluation period. These are most useful where a project is already up and running and there is good outcomes data available. Forecast SROIs predict how much social value will be created if activities meet their intended or most likely objectives. Forecasted SROIs are used when a project is still in the planning stages to assess its likely impact or in instances where there is a lack of outcomes data. A forecasted SROI can be followed with an evaluative SROI to verify the accuracy of the predictions.



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## Tools & Methodologies

### Benefits

SROI offers the following potential benefits:

- It can help organisations understand what social value an activity creates in a robust and rigorous way and so manage its activities and relationships to maximise that value.
- The process opens up a dialogue with stakeholders, helping to assess the degree to which activities are meeting their needs and expectations.
- SROI puts social impact into the language of 'return on investment', which is widely understood by investors, commissioners and lenders. There is increasing interest in SROI as a way to demonstrate or measure the social value of investment, beyond the standard financial measurement.
- Where it is not being used already, SROI may be helpful in showing potential customers (for example, public bodies or other large purchasers) that they can develop new ways to define what they want out of contracts, by taking account of social and environmental impacts.
- SROI can also be used in strategic management. The monetised indicators can help management analyse what might happen if they change their strategy, as well as allow them to evaluate the suitability of that strategy to generating social returns, or whether there may be better means of using their resources.



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## Tools & Methodologies

### Limitations

- If there are not already good outcomes data collection systems in place, it can be time-consuming to conduct an evaluative SROI analysis first time around.
- There is a danger of focusing narrowly on the ratio. The ratio is only meaningful within the wider narrative about the organisations. Just as an astute investor would not make a financial decision based on just one number, the same practice applies to this social measurement tool. For this reason, comparisons between organisations just based on the ratio are not recommended.
- SROI is an outcome, rather than a process evaluation. The dialogue with stakeholders yields some insight into what works and what doesn't and why, but there may be instances where a more specific process evaluation would be useful.
- By presenting a single ratio which conflates the impacts on individuals, communities and the public purse, SROI is of limited use to public sector commissioners facing budgetary decisions. It can form part of the decision-making process, but public sector organisations will still need to have a distinct view of the financial impacts for the public sector.
- The diversity of indications and proxies which can be used renders comparison between proposed projects difficult, and means that either SROI is inappropriate for assessing the relative merits for courses of action; or that additional rigour is needed; or that decisions could be skewed inappropriately.



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# Tools & Methodologies

## Case Studies

### Increasing Value of Care at Home in Edinburgh

The principles and practices associated with Social Return on Investment (SROI) can be applied to analysing and managing value throughout a commissioning cycle. The application of SROI principles and practices was tested on a commissioning exercise for Care at Home Services contracted by City of Edinburgh Council (CEC) and as a result several aspects of the service to be delivered were identified as driving the creation and destruction of value. The analysis required additional consultation with stakeholders and analysis of consultation results to identify value drivers. The results of the analysis offered a different perspective on what is important by exploring how outcomes are created and how important they might be. It contributed to changes and improvements to the scope and purpose of the contract, specification, related work, and planned monitoring. For example because service users and their families were particularly involved in planning for continuity of care, this was written into the service specification.

### Greenlink SROI

The Greenlink is a 7 km cycle path creating a direct route from Strathclyde Country Park to Motherwell Town Centre. The Greenlink project is the result of a 3 year partnership between North Lanarkshire Council, CSFT, Scottish Enterprise Lanarkshire, Scottish Natural Heritage, Fresh Futures and Forestry Commission Scotland.

This SROI analysis focused on the conservation volunteering in the woodlands surrounding the Greenlink route and identifies the impact of the conservation volunteering in terms of community involvement and restoration of pride in the area.

Among many recommendations, the Greenlink SROI report showed the potential for the organisation to work closer with existing partners as well develop new supportive partnerships with agencies and departments which otherwise might never have occurred (such as North Lanarkshire Council Social Services). This has led to additional similar projects being established within North Lanarkshire.

The SROI ratio calculated showed a social return of £7.63 for every £1 invested.



## Six Mary's Place Guest House

Six Mary's Place (SMP) is a guest house based in Stockbridge area of Edinburgh. SMP's social aims are to provide work and training opportunities for people with mental health problems. The SROI analysis demonstrated that SMP makes a real difference to people who work and train there, and at the same time does it in a cost effective way which brings savings to the NHS and social services.

The report showed how the social firm makes a real difference to people with mental health problems who work and train there, but demonstrated that it is also doing this in a cost effective way that benefits its stakeholders as well as society as a whole. Some of the outcomes for the service users included improvement in their mental health, which resulted in fewer interventions by the NHS.

The analysis showed savings to mental health and support services in Edinburgh of over £420,000 per annum, and savings on welfare benefits and gains in employment income and tax income of almost £50,000 per annum. Social added value per participant was almost £25,000 per annum, for an investment of £3,500.

The final ratio demonstrated that for every £1 invested in SMP, almost £6.00 is returned in social added value.



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# PSP Glossary

This glossary covers a number of terms used within the PSP guidance document and related publications referred to throughout the guidance.

## • **Community Benefit Clause (CBC)**

CBCs can be used to deliver wider social, environmental and economic benefits from public sector investment. For example, a public contract may use a CBC to require that businesses tendering provide details on employment opportunities for new entrant trainees that they will provide if they win the contract.

## • **Commissioning**

Commissioning is about more than procurement: it is the process by which the public sector body decides the services or products that it needs, acquires them and then makes sure that they meet requirements. It is based around the cycle of 'Analyse – Plan – Do – Review' which forms the basic structure of the PSP guidance.

## • **Co-production**

Co-production should be at the core of commissioning. It is a term used to describe how key stakeholders – including service users and providers – are involved in the design, delivery and review of services.

## • **Community Planning Partnership (CPP)**

The Local Government in Scotland Act 2003 contained a package of measures intended to support local determination and to deliver better, more responsive, public services. One of these was Community Planning, which is intended to provide "trust within a framework", empowering Local Government, with its partners, to take ownership and drive forward improvement in local services. CPPs are operating in all 32 local authority areas with a variety of themes, structures and mechanisms for political involvement.



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# PSP Glossary

## • Lead Funder

A Lead Funder model is a when a single funder acts as the lead agent for the purposes of contracting with and monitoring a service provider who receives funding from more than one funder. The Scottish Government's guidance on lead funder arrangements [[link to lead funder guidance](#)] provides further information on the model.

## • Memorandum of Understanding (MOU)

A Memorandum of Understanding may be used by a partnership to confirm agreed terms and ways of working together, when an oral agreement has not been finalised into a formal contract. It is likely to include the scope of the partnership, shared objectives, roles and responsibilities and ways of working together to achieve the required outcomes.

## • National Outcomes

There are 15 National Outcomes which describe what the Scottish Government wants to achieve over a ten year period, articulating more fully the Government's Purpose. They are intended to help to sharpen the focus of government, enabling its priorities to be clearly understood and provide a clear structure for delivery.

## • Personalisation

Personalisation means thinking about public services, particularly in the area of social care, in an entirely different way – starting with the person and their individual circumstances rather fitting the person into pre-determined services.

## • Procurement

Procurement is the process of acquiring goods and services which, particularly in the public sector, is subject to stringent rules and regulations to ensure fair competition and best value for public funds.

## • Public Social Partnership (PSP)

The Public Social Partnership model for public service delivery is based upon the public sector and third sector working together to design and deliver public services. Its primary purpose is not to sustain the third sector but to improve the outcomes for local communities and citizens.



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# PSP Glossary

## • Public Sector

The public sector is the part of the State that deals with the production, delivery and allocation of goods and services by and for the Government or its citizens. The term includes local, national and devolved Government organisations and their agencies.

## • Self-directed Support (SDS)

Self-directed support is when people arrange their own or their children's support needs, instead of receiving directly provided services from the local authority. It offers more flexibility, choice and control to people requiring support services, enabling them to live at home more independently.

## • Service Level Agreement (SLA)

A Service Level Agreement is a negotiated agreement between a customer and supplier, which can either be a legally binding, formal contract or an informal arrangement. The SLA records a common understanding about services, priorities, responsibilities and guarantees involved in delivering the services.

## • Single Outcome Agreement (SOA)

SOAs are agreements between the Scottish Government and CPPs which set out how each will work towards improving outcomes for the local people in a way that reflects local circumstances and priorities, within the context of the Government's National Outcomes and Purpose.

## • Social Enterprise

Social enterprises are businesses driven by a social or environmental purpose. The Scottish Government defines social enterprises as "businesses with primarily social objectives whose surpluses are principally reinvested for that purpose in the business or in the community, rather than being driven by the need to maximise profit for shareholders and owners."

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## • **Social Return on Investment (SROI)**

SROI is an approach to understanding and managing the social, economic and environmental outcomes of a project, organisation or policy. It is based on stakeholders and uses financial proxies to reveal the value of outcomes that do not have direct market values.

## • **Special Contracts Arrangement (SCA)**

The purpose of the SCA scheme is to assist eligible employers of severely disabled people within the European Union to compete for business with UK Government buyers and their agencies, whilst taking account of the principle of accepting the most economically advantageous tender. The Scheme applies only to contracts below the relevant threshold of the EC Procurement Directives.

## • **State Aid**

State aid is a European Commission term which refers to forms of assistance from a public body given to organisations on a discretionary basis, with the potential to distort competition and affect trade between member States of the European Union.

## • **Supported Business**

A supported business is a business where more than 50% of the workers are disabled people who, because of the nature or severity of their disability, are considered to be unable to take up work in the open labour market. Article 19 of the EU Public Procurement Directive allows any company or public sector body to reserve public contracts for supported businesses.

## • **Third Sector**

The third sector is a collective term, used to describe organisations which are set up for social purposes and are not primarily for profit. It includes charities, voluntary and volunteering organisations, faith organisations, some co-operatives and mutual societies, housing associations and social enterprises generating income through trading activity.



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## PSP Glossary

### • **User-led Organisation (ULO)**

User-led organisations (ULOs) are organisations that are run and controlled by people who use support services, including disabled people, older people, families and carers. They were set up to promote giving people more choice and control over how their support needs are met. Typically they might provide information, advice, advocacy and support in accessing services.



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## PSP Q&A

The following are some of the questions most commonly asked by the pilot partners and other stakeholders during the PSP Project.

**Q1** How is a PSP different from the way we work in partnership already?

**A1** It may not be very different but the PSP does offer the opportunity of formalising ways of working and desired outcomes from the partnership. A key aspect (and one which differentiates the model from other partnership approaches) is the ability of the PSP to test out delivery options, subsequently consider success factors, agree approach for full procurement if appropriate and potentially continue in an advisory capacity. The experience of the PSP Project was that even those pilots who felt they already had good partnerships benefited greatly from the process. One partner commented that the PSP model had strengthened the existing partnership by encouraging them to work through the difficult times together. Most partnerships are also set up to offer pre-determined services: the key with the PSP is that it starts by looking innovatively at service design and challenging previous offerings.

**Q2** What is the point of a third sector organisation spending time working with the Local Authority to design a service if the contract is subsequently awarded to another organisation?

**A2** The involvement of both service users and third sector stakeholders will ensure better designed and appropriately delivered services. The PSP model is one of a range of tools designed to increase enterprise within the third sector and introduce more business-like ways of working. The private sector has always invested resources in business development activities – designing new products, promotion and relationship building – without any guarantee of sales at the end of the process. This uncertainty should serve to increase quality as the reality is that, when a product or service goes to market, the best will be successful commercially as more people will choose them. These principles are as valid in the delivery of public services as any other.



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## PSP Q&A

**Q3** If a Local Authority or other public body works with a particular provider on designing a service, won't that be seen by other providers as unfair competition?

**A3** Possibly! It is important that commissioners keep procurement professionals involved in the PSP from the start, to ensure that the partnership remains within the law. There should be no valid reason why working together in a PSP constitutes unfair competition as long as all parties are clear that the eventual service will be subject to an appropriate procurement process. It is good practice to communicate with other providers on the process and involve them where possible, as was done very successfully by the Falkirk PSP pilot, referenced throughout this report. Depending on circumstance, the involvement of 'umbrella bodies' may be appropriate – they can help public sector organisations to design better services, without having an overt interest in winning the business.

**Q4** Why do we have to tender the service when we've got such a good working relationship going already?

**A4** The PSP is not intended to circumvent procurement law but rather to work within it constructively, to achieve the best outcomes for citizens. The service must be procured in compliance with the public procurement rules. Legal advice should always be sought on the requirements of the rules in the particular circumstances. If tendering is the appropriate procurement route for a particular service, then commissioners should go through that process as openly and transparently as if there were no existing partnership. This will ensure that the partnership has not eliminated the possibility of there being better options available in the market. If the PSP has engaged in a thorough process of co-production and design, the third sector partner(s) should be well placed to submit a credible bid. There is also increasing acknowledgement that a tender (and contract) is often a more effective way of ensuring quality and continuity than using grants.

**Q5** Does it cost anything to set up and run a PSP?

**A5** There should not normally be any cost to PSP partners, other than time and possibly travel expenses, which should be covered by the organisations themselves. If the partnership decides to pilot the services designed through the PSP, there will of course be the normal cost of delivering the service. These costs can be met in a number of ways and from a range of independent funders, for example charitable trusts.



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## PSP Q&A

**Q6** Is this really the time to be investing resources in PSPs, when we have so many other priorities and reduced funding to cope with?

**A6** Although not necessarily the easiest option, the current economic climate plus the need to develop more person-centred services makes this the very time to look at innovative models of working together to deliver services more efficiently. The Scottish Government invested in the PSP Project so that other organisations would have access to the learning and hopefully avoid any of the potential pitfalls and delays which could prove costly. Basing the PSP on proven good practice should ensure that time invested now pays for itself in improved services, delivered more efficiently and with greater customer satisfaction.

**Q7** Does the service have to be run as a pilot first?

**A7** No: the service may go straight to procurement once the design phase is completed. In cases of new or changed services, it may be beneficial to run them as a pilot or have a phased roll-out to manage operations and measure service users' satisfaction with the services, but this is a decision to be taken on an individual basis by the commissioners.

**Q8** Why is the Scottish Government so keen on PSPs?

**A8** The PSP Project was established against the background aim of supporting an enterprising third sector to access the public service market, ensuring that the needs of service users are at the centre of service design. The Scottish Government is keen to bring together public sector purchasers and third sector providers to design new and improved services. The evidence from an earlier PSP project was that the process of collaboration helps unleash the best talent available, regardless of sector, and results in better outcomes. That project demonstrated that it is not only possible to combine private sector entrepreneurial flair with strong public sector commitment to deliver improved public services, but that it can also be commercially successful and inspire a new approach to commissioning.



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## PSP Q&A

**Q9** Now that the PSP Project is over, what is the Scottish Government going to do to support other organisations that want to start up PSPs?

**A9** The Government Economic Strategy (2007) outlined the Scottish Government's Purpose to create a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth. It outlined a real role for the third sector in ensuring that growth is shared and equitable. Scottish Ministers are keen to build on the business development actions of the Enterprising Third Sector Action Plan 2008-11 to provide the necessary support to help the third sector most effectively deliver the role outlined for it in the Purpose. Looking ahead, Ministers are keen to enable a capable, sustainable and enterprising third sector across Scotland, identifying that for the next spending period (2011-14) a series of strategic contracts will be put in place to enable continued support for enterprising third sector organisations to grow and develop. At the date of this guidance, the new administration was just being formed, but it is likely that the direction of travel will continue. Information on all of these initiatives can be found on the Scottish Government's website [www.scotland.gov.uk](http://www.scotland.gov.uk).

**Q10** If I run a pilot, can I do without procurement rules?

**A10** The first point to make in answering this question is that the PSP approach does not mandate piloting – the benefits of running a pilot should be considered on a case by case basis. If the PSP does decide to run a pilot, legal advice should be sought on selection of the service provider in compliance with the procurement rules. This is because the procurement rules make no distinction between a pilot and delivery of the service itself – the rules apply to both. If in any doubt, partnership participants should contact relevant local procurement specialists to work out the best approach for the PSP, depending on its circumstances as well as on procurement rules.



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## PSP Q&A

### Q11 What are the principal risks in a PSP?

**A11** The risks are fairly minimal, as long as good practice is followed in setting out the scope and terms of the relationship clearly. The operational risks will vary according to the project and these can be mitigated by piloting the service prior to full procurement, allowing a period of testing processes and evaluating outcomes. There will always be the risk of individuals changing roles, which may affect the dynamics of the partnership, and this is best mitigated by having a breadth and depth of involvement within the project team and steering group.



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## PSP Links

There is a great deal of information and support available to organisations wishing to set up a PSP or work collaboratively in other ways. The website links here, which are of course only a small selection of the total information available on the internet, have been grouped for ease of reference.

Please note that the Scottish Government cannot be responsible for the content of external internet sites and also that web addresses may change over time. These links were all live as at 1 June 2011.

### Partnership Working

Information About	Website	Description
PSP Project	<a href="http://www.pspscotland.co.uk">www.pspscotland.co.uk</a>	Information on PSPs and the PSP Project
Joint Improvement Team	<a href="http://www.jitscotland.org.uk/supporting-partnership">www.jitscotland.org.uk/supporting-partnership</a>	Advice on developing partnerships from the partnership between the Scottish Government, NHS and COSLA
Community Planning Partnerships (CPPs)	<a href="http://www.improvementservice.org.uk/community-planning-partnerships">www.improvementservice.org.uk/community-planning-partnerships</a>	Explanation of the role of CPPs and links to relevant policy documents, as well as links to CPPs in all areas of Scotland
Community Health (and Care) Partnerships (CH(C)Ps)	<a href="http://www.chp.scot.nhs.uk">www.chp.scot.nhs.uk</a>	Information on current policy, as well as general information and contact details for CH(C)Ps across Scotland



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## Government

Information About	Website	Description
Scottish Parliament	<a href="http://www.scottish.parliament.uk">www.scottish.parliament.uk</a>	Structure and business of parliament, details of MSPs and up to date status of bills
Scottish Government Policy	<a href="http://www.scotland.gov.uk">www.scotland.gov.uk</a>	Information, publications and news on all areas of Scottish Government policy and activities
National Outcomes	<a href="http://www.scotland.gov.uk/About/scotPerforms/outcomes">www.scotland.gov.uk/About/scotPerforms/outcomes</a>	Description of the 15 National Outcomes and links to related policies and measurements
Single Outcome Agreements (SOAs)	<a href="http://www.scotland.gov.uk/Topics/Government/local-government/SOA">www.scotland.gov.uk/Topics/Government/local-government/SOA</a>	Explanation of SOAs and links to information about local agreements
Local Government Framework	<a href="http://www.scotland.gov.uk/Topics/Government/local-government">www.scotland.gov.uk/Topics/Government/local-government</a>	Legislative, administrative and policy framework for Local Government in Scotland
Local Government	<a href="http://www.cosla.gov.uk/scottish-local-government">www.cosla.gov.uk/scottish-local-government</a>	Contact details for all councils



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## Third Sector

Information About	Website	Description
Scottish Social Enterprise Coalition (SSEC)	<a href="http://www.scottishsocialenterprise.org.uk">www.scottishsocialenterprise.org.uk</a>	Information on social enterprises, including publications and a social enterprise directory
Scottish Council for Voluntary Organisations (SCVO)	<a href="http://www.scvo.org.uk">www.scvo.org.uk</a>	Umbrella body for the voluntary sector, with news and information for and about member organisations
Co-operative Development Scotland	<a href="http://www.cdscotland.co.uk">www.cdscotland.co.uk</a>	Support to develop and promote co-operative enterprises
Community Care Providers Scotland (CCPS)	<a href="http://www.ccpscotland.org">www.ccpscotland.org</a>	News and publications for social care provider organisations; information on commissioning and personalisation
Third Sector Interface Network Scotland	<a href="http://www.cvsscotland.org.uk/Home">www.cvsscotland.org.uk/Home</a>	Links to and news about all Councils for Voluntary Services (formerly CVS Scotland)
Office of the Scottish Charity Regulator (OSCR)	<a href="http://www.oscr.org.uk">www.oscr.org.uk</a>	The structure and work of OSCR, including detail of all registered charities



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## Commissioning

Information About	Website	Description
Joint Commissioning	<a href="http://www.jitscotland.org.uk/action-areas/commissioning">www.jitscotland.org.uk/action-areas/commissioning</a>	Definition, good practice and links to related information
Community Benefit Clauses	<a href="http://www.scotland.gov.uk/Topics/Government/Procurement/policy/procurecombenefits">www.scotland.gov.uk/Topics/Government/Procurement/policy/procurecombenefits</a>	Legal and policy context, case studies and a toolkit for using CBCs
Procurement Law	<a href="http://www.scotland.gov.uk/Topics/Government/Procurement/policy/Legislation/ECDirandScotreg">www.scotland.gov.uk/Topics/Government/Procurement/policy/Legislation/ECDirandScotreg</a>	Links to all relevant EC, UK and Scottish law
Social Care	<a href="http://www.scotland.gov.uk/Publications/2010/09/21100130/0">www.scotland.gov.uk/Publications/2010/09/21100130/0</a>	Guidance on procuring social care services



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