



MINISTRY OF SOCIAL
DEVELOPMENT

TE MANATŪ WHAKAHIATO CRA

23 NOV 2016



On 27 September 2016 you wrote to the Ministry requesting, under the Official Information Act 1982, information regarding the Mental Health Employment Services.

For the sake of clarity I will address each of your questions in turn.

1. *Information about the names, the head-office and on-site service provider address and the particular service offered for all providers the Ministry has entered contracts with to provide the Work to Wellness employment support and referral services.*

There are three providers who were selected to deliver the Work to Wellness service through a competitive selection process. Their details are:

In-Work NZ Limited – Head Office: 482 Te Atatu Road, Te Atatu, Auckland note that In-Work NZ Ltd have multiple delivery locations which can be found at; <http://inwork.co.nz/Contact+Us.html>. In-Work NZ was one of the three successful providers in the Auckland Region.

APM Workcare Limited – Head Office: Unit 1/25A Airborne Road, Albany, Auckland note that APM Workcare has multiple delivery locations across New Zealand which can be found at: <http://apm-nz.co.nz/find-an-apm-location/our-locations/>. APM Workcare Limited was successful in the Auckland, Waikato, Central, Canterbury and Southern Regions.

Mental Health Solutions Limited – Head Office: 293 Grey Street, Hamilton note that Mental Health Solutions Limited have multiple delivery locations which can be found at: <http://www.workwise.org.nz/contact-us>. Mental Health Solutions Limited were successful in the Auckland and Canterbury Regions.

2. *Information about the fees payable by the Ministry about the agreed fee structure, the terms for payment of fees, the outcome expectations from the various providers that were agreed by the Ministry and the identified providers.*

Please find enclosed the Request for Proposal document which outlines the fees payable under this service. Please note that these fees remain unchanged from the original posting of the Request for Proposal in April 2016.

3. *Information regarding the wrap-around services that were already mentioned by the Minister for Social Development that is intended to support the clients that Work and Income refers to the various providers of the work to Wellness services.*

Providers are responsible for the active case management of participants to support them to achieve employment outcomes that align with the participants' goals. Providers will carry out an individualised assessment with the participant to identify their skills, strengths, goals and aspirations in order to identify the support required for each participant. The provider will support and mentor participants through discussing and promoting the benefits of employment, building motivation and confidence, facilitating resilience and personal development, identifying skills and techniques for the management of exacerbation of a condition and building self-awareness. Providers have access to a discretionary fund to enable them to support participants to access health and employment needs.

Providers have a range of experience and expertise and are assessed on the questions within the Request for Proposal. Providers may choose to deliver a range of health services through their own internal staff or assist clients to gain access to these services. Providers are not required to have a minimum standard qualification for the delivery of services. Staffing is assessed as part of the Request for Proposal. Further information about the range of services these providers cover can be found on their websites. Specific details of the Work to Wellness service delivered by each service provider remain commercially sensitive and if released, would be likely to prejudice the commercial position of the person who supplied or who is the subject of the information.

4. *Information on the number of beneficiaries who have a moderate or more significant diagnosed mental health condition have been referred to the Work to Wellness services. How many were approached to consider being referred, how many agreed to be referred, how many refused to be referred and how many have been successfully placed into employment.*

The Work to Wellness service commenced at the end of August 2016. The service period for each participant is up to 6 months support. Employment outcomes will be reported as they occur. There are currently no employment outcomes to report. As at 17 October 2016, there had been 206 referrals to Work to Wellness and 195 clients were enrolled in the service.

As this is a voluntary service for clients who would like to participate, the number of clients approached is not recorded and the Ministry is unable to report this. As such, your request for the number of people who had been approached for Work to Wellness is refused under section 18(e) of the Official Information Act as this information does not exist.

5. *Were any of the Work and Income clients with mental conditions suffered any noted medical problems upon having been referred to Work to Wellness and what types of problems have occurred since the services have been introduced? What measures were taken by the providers and/or Work and Income to offer support to the clients and what records have been kept on this?*

Unfortunately I am unable to provide you with this information as it is held in notes on individual case files. In order to provide you with this information Ministry staff would have to manually review hundreds of files. As such I refuse your request under section 18(f) of the Official Information Act. The greater public interest is in the effective and efficient administration of the public service.

I have considered whether the Ministry would be able to respond to your request given extra time, or the ability to charge for the information requested. I have concluded that, in either case, the Ministry's ability to undertake its work would still be prejudiced.

Additionally the information you have requested would be personal to the individual and may enable the individuals to be identified if this information was released. The Ministry has an obligation to protect the individuals privacy and the information would be withheld under section 9(2)(a) of the Act. The need to protect the privacy of these individuals outweighs any public interest in this information.

6. *Information on any implied or expectations in the form of obligations that the Ministry places on applicants and recipients of benefits with diagnosed mental health conditions to participate in Work to Wellness services.*

I refer you to the Work and Income website where the work obligations for clients who are in receipt of a benefit are outlined. This is available at: <http://www.workandincome.govt.nz/on-a-benefit/work-obligations/index.html>

7. *How many beneficiaries during the earlier trials in the form of 'Mental Health Employment Services' being referred to such services? The number of people who had been approached to be considered to be referred, the number who agreed and the number who had successfully been placed into employment.*
8. *Information regarding the formerly announced and introduced 'Mental Health Employment Services' including the evaluation and whether or not the trial has been discontinued or changed in any way shape or form.*
9. *Information in the form of copies of evaluation reports on the Mental Health Employment Services that were run as trials since late 2013, same as on Sole Parent Employment Services.*
10. *Why are Work to Wellness trials being conducted given the fact that similar services had been conducted in the form of Mental Health Employment Services?*

The Ministry needs to continue to trial new ways of working so that we can better help clients to achieve a better future for themselves and their family. Trials are monitored and evaluated so that they can be changed if they are not working as intended.

Work to Wellness is a contracted service which will work with clients who have a diagnosed mental health condition, providing coaching and mentoring, job search services and assistance to help clients into work. Work to Wellness is a contracted service which will work with clients who have a diagnosed mental health condition, providing coaching and mentoring, job search services and assistance to help clients into work.

Enclosed is a copy of the report titled '*Effectiveness of Contracted Case Management Services on Off Benefit Outcomes: Mid-trial report*', which will provide you with a full break down of the evaluation of the Mental Health Employment Services Trial.

Following the effectiveness report, the Ministry has reviewed the current service criteria, payment structure and had conversations with the existing providers about the Mental Health Employment service. The Ministry held an Investment Logic Mapping exercise which included disability support advocate, providers and Ministry representatives. This service was then recreated as Work to Wellness with design and practical improvements to improve the service for both the client and providers.

11. *A current list of 'Designated Doctors' that the Ministry work with to conduct medical work and examinations to assess Work and Income clients with health conditions and disabilities.*

Information about the doctors including their location, practice name, qualifications and the clients they care for is withheld under section 9(2)(a) of the Act. The need to protect the privacy of these individuals outweighs any public interest in this information. Additionally, the doctors have not given the Ministry consent to release their information when requested. I understand the Ministry has released the list previously to another requestor and unfortunately was released in error.

12. *Information regarding the 'Guide for Designated Doctors' or any newer replacement guide that the Ministry provides to medical and health practitioners outlining the expectations and requirements for examinations and reports to the Ministry.*

The current status of the guide for designated doctors is currently being updated and a refreshed guide will be available once this has occurred. As such, this part of your request is refused under section 9(2)(f)(iv) of the Official Information Act as it is under active consideration. The release of this information is likely to prejudice the quality of information received and the wider public interest of effective government would not be served.

The principles and purposes of the Official Information Act 1982 under which you made your request are:

- to create greater openness and transparency about the plans, work and activities of the Government,
- to increase the ability of the public to participate in the making and administration of our laws and policies and
- to lead to greater accountability in the conduct of public affairs.

This Ministry fully supports those principles and purposes. The Ministry therefore intends to make the information contained in this letter and the attached documents available to the wider public after ten working days.

The Ministry will do this by publishing this letter and attachments on the Ministry of Social Development's website. Your personal details will be deleted and the Ministry will not publish any information that would identify you as the person who requested the information.

If you wish to discuss this response with us, please feel free to contact OIA_Requests@msd.govt.nz.

You have the right to seek an investigation and review by the Ombudsman of this response. Information about how to make a complaint is available at www.ombudsman.parliament.nz or 0800 802 602.

Yours sincerely

A handwritten signature in dark ink, appearing to be 'Ruth Bound', enclosed within a large, hand-drawn oval.

Ruth Bound
Deputy Chief Executive, Service Delivery



**MINISTRY OF SOCIAL
DEVELOPMENT**
TE MANATŪ WHAKAHIATO ORA

**Procurement Solutions Team
Procurement Practice**

Bowen State Building, Bowen Street, PO Box 1556, Wellington — Telephone: 04 916 3300 — Facsimile: 04 918 0099

Request for Proposals

Work to Wellness Service

MSD 2016.080

RFP released: 11 April 2016

Deadline for Questions: 4.00pm 15 April 2016

Deadline for Proposals: 12.00pm 6 May 2016

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This opportunity in a nutshell

Ministry of Social Development (MSD) assists people throughout their working lives to meet their work and financial income needs, plan for their futures, and connect and participate more fully in the social and economic life of their communities.

MSD is committed to reducing the number of working age people who need to rely on a benefit, as a means of improving their economic independence and social wellbeing.

Through MSD, services are purchased to get the right support to assist people to prepare for, make the transition to, and stay in work.

What we need

MSD seeks to engage providers to undertake delivery of the Work to Wellness service in the Auckland Region from 1 July 2016 to 30 June 2017.

The aim of the Work to Wellness Service is to assist clients with a diagnosed mental health condition to prepare for and achieve sustainable employment.

What we don't want

MSD is not seeking:

- Proposals for services that do not meet the service delivery requirements specified in this Request for Proposal document.
- Proposals for services outside the Auckland Region.

What's important to us?

MSD is seeking providers with proven experience in providing wrap-around case management and successful employment services to clients with a diagnosed mental health condition. They should have the ability to provide a service that addresses client's individual needs and circumstances in order to support clients to move into sustainable employment as quickly as possible.

Successful providers will have a good understanding of the challenges clients with a mental health condition face, proven experience in delivering wrap-around case management services, good relationships with health and disability support providers, employer networks and strong relationships with other organisations in the community that can help provide further support to clients as they enter and remain in employment.

Why should you bid?

The Work to Wellness service provides an opportunity for specialist employment providers familiar with working with clients who have a mental health condition to make a difference in their lives. Being employed contributes to people's recovery and many people find that work is essential to their wellbeing. Employment is a major contributor to mental health well-being.

A bit about us

The Ministry of Social Development (MSD) helps New Zealanders to help themselves to be safe, strong and independent. We administer over \$23.3 billion in government expenditure and provide services and assistance to more than 1.1 million New Zealanders and 110,000 families.

We provide:

- statutory care and protection of children and young people, youth justice services and adoption services

- funding for community service providers
- employment support
- income support including payments, entitlements and New Zealand Superannuation
- social housing assessments and services
- access to concessions and discounts for senior citizens, families and low-income New Zealanders
- student allowances and student loans
- information, knowledge and support for families and communities
- campaigns that challenge antisocial attitudes and behavior
- services to uphold the integrity of the welfare system and minimize the debt levels of people we work with leadership across the social sector.

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SECTION 1: Key information



1.1 Context

- a. This Request for Proposal (RFP) is an invitation to suitably qualified suppliers to submit a Proposal for the Work to Wellness contract opportunity.
 - b. This RFP is a single-step procurement process.
 - c. Words and phrases that have a special meaning are shown by the use of capitals e.g. Respondent, which means 'a person, organisation, business or other entity that submits a Proposal in response to the RFP. The term Respondent includes its officers, employees, contractors, consultants, agents and representatives. The term Respondent differs from a supplier, which is any other business in the market place that does not submit a Proposal.'. Definitions are at the end of Section 6.
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1.2 Our timeline

- a. Here is our timeline for this RFP.

Steps in RFP process:

	Date:
Deadline for Questions from suppliers:	15 April 2016
Deadline for the Buyer to answer suppliers' questions:	19 April 2016
Deadline to register for supplier briefing session	15 April 2016
Date of the supplier briefing session:	20 April 2016
Deadline for Proposals:	12.00pm 6 May 2016
Unsuccessful Respondents notified of award of Contract:	6 June 2016
Anticipated Contract start date:	1 July 2016

- b. All dates and times are dates and times in New Zealand.
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1.3 How to contact us

- a. All enquiries must be directed to our Point of Contact. We will manage all external communications through this Point of Contact.
- b. If you would like to attend our supplier briefing session please email our Point of Contact to register.

c. Our Point of Contact

Name: Nalisha Ram

Title/role: Regional Contracts Manager, Auckland Region

Email address: Nalisha.Ram001@msd.govt.nz



1.4 Developing and submitting your Proposal

- a. This is an open, competitive tender process. The RFP sets out the step-by-step process and conditions that apply.
 - b. Take time to read and understand the RFP. In particular:
 - i. develop a strong understanding of our Requirements detailed in Section 2.
 - ii. in structuring your Proposal consider how it will be evaluated. Section 3 describes our Evaluation Approach.
 - c. For helpful hints on tendering and access to a supplier resource centre go to: www.procurement.govt.nz / for suppliers.
 - d. If anything is unclear or you have a question, ask us to explain. Please do so before the Deadline for Questions. Email our Point of Contact.
 - e. In submitting your Proposal you must use the Response Form provided [insert hyperlink]. This is a Microsoft Word document that you can download.
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- f. You must also complete and sign the declaration at the end of the Response Form.
 - g. Check you have provided all information requested, and in the format and order asked for.
 - h. Having done the work don't be late – please ensure you get your Proposal to us before the Deadline for Proposals!
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1.5 Address for submitting your Proposal

- a. Proposals must be submitted by email/electronically to the following address:
 - b. Nalisha.Ram001@msd.govt.nz
 - c. Proposals sent by post or fax, or hard copy delivered to our office, will not be accepted.
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1.6 Our RFP Process, Terms and Conditions

- a. **Offer Validity Period:** In submitting a Proposal the Respondent agrees that their offer will remain open for acceptance by the Buyer for 3 calendar months from the Deadline for Proposals.
 - b. This RFP and associated documents are subject to Government budget approval. Consequently these documents and the RFP and contracting process are conditional on that funding being available and are subject to change, variation or withdrawal
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1.7 Later changes to the RFP or RFP process

- a. If, after publishing the RFP, we need to change anything about the RFP, or RFP process, or want to provide suppliers with additional information we will let all suppliers know by placing a notice on the Government Electronic Tenders Service (GETS) at www.gets.govt.nz
 - b. If you downloaded the RFP from GETS you will automatically be sent notifications of any changes through GETS by email.
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SECTION 2: Our Requirements

2.1 Background

MSD is committed to reducing the number of working age people who need to rely on a benefit, as a means of improving economic independence and social wellbeing. We are currently seeking services to assist our job seeker clients who receive a main benefit and have a diagnosed mental health condition to move towards and into sustainable employment. The aim is to draw on expertise within the Non-Government Organisation (NGO) and private sectors to achieve this.

2.2 What we are buying and why

MSD is seeking proposals to be submitted that are aimed at supporting clients with a diagnosed mental health condition to gain work and achieve sustainable employment.

The Service will be delivered to clients for all Work and Income service delivery sites in the Auckland Region with priority given to the following Service Centres; Glenfield, Orewa, Waitakere, Westgate, Avondale, Mount Eden, Queen Street, Waiheke Island, Tamaki, Clendon, Mangere, Manurewa and Papakura. The service will be delivered to 500 participants per annum.

Participant will be clients assessed as appropriate and referred by Work and Income, provider identified clients and clients that self-refer to providers for support.

The Provider will be responsible for marketing the service, providing the wrap around case management of clients to support them to achieve and sustain employment outcomes that align with their individual goals.

Employment Placement and Support

The aim of this component is to support clients into employment that results in their exit from benefit. Once employment is achieved both the client and employer will receive post placement support for up to 365 days. During this time the Provider will support the needs of both the client and the employer at a level that meets the needs of the client and employer.

The outcome targets of this service are that at least 30% of clients will achieve a benefit exit as a result of employment,

And of those placed into employment:

- 90% of clients will remain in employment for 31 days
- 60% remain in employment and off benefit for 365 days

Of those clients who do not achieve a benefit exit as a result of employment;

- 30% of participants will exit the service with an increased work-readiness capacity

2.3 What we require: the solution

MSD requires Respondents who can:

- 2.3.1 Demonstrate how they would provide the services, including the timing of delivery of services, where services will be delivered from, for whom, including the number of participants, and that they can deliver the scope of services as required for Work to Wellness, including;

- Promoting the benefits of employment, building motivation and confidence, resilience and personal development, skills and strategies for working, self-awareness and self-management of conditions and identify how these will be managed in the workplace.
 - Support clients with a diagnosed mental health condition to achieve sustainable employment.
 - Negotiating any flexible working arrangements, accommodations and training required with employers.
- 2.3.2 Show how the service identifies a client's individual needs and circumstances and determines if the client requires other services/interventions.
- 2.3.3 Demonstrate how the style of delivery will acknowledge and consider the situation of each participant and use an approach that is appropriate, individualised and delivered in a manner sensitive to participants needs, including how the programme will be delivered in an environment that is positive and that encourages individual achievement.
- 2.3.4 Demonstrate how the service will work in an integrated way with the client's health and disability support teams or, where appropriate, how access will be facilitated to the required support by the provider.
- 2.3.5 Show how your organisation would provide tailored on-going support and guidance to clients placed into employment for up to 365 days from the start of their employment.
- 2.3.6 Demonstrate what outcomes have been achieved, specifically for this service or similar services(s), or how the following outcomes will be achieved:
- Placement Ratio:
- 30% of clients will achieve a benefit exit as a result of employment
- Of those placed into employment the following will be achieved:
- 90% of clients will remain in employment for 31 days
 - 60% remain in employment and off benefit for 365 days
- Of those clients who do not achieve a benefit exit as a result of employment;
- 30% of participants will exit the service with increased work-readiness capacity

Note: Service volumes, service delivery geographical area and pricing are subject to negotiation with successful Respondents.

2.4 What we require: capacity and capability

MSD requires Respondents that are able to demonstrate:

- 2.4.1 A good understanding of MSD's Work to Wellness service needs, particularly from working within the public sector environment
- 2.4.2 Proven experience in providing successful employment services or the ability to provide successful employment services, with a particular focus on mental health
- 2.4.3 Evidence of strong links with local employers
- 2.4.4 Evidence of good links with community organisations, health and disability support providers including general practitioners and the ability to facilitate access to other services that can help provide further support for clients to achieve successful outcomes
- 2.4.5 Evidence of links with local general practitioners or the ability to create these relationships quickly

- 2.4.6 Evidence of their ability to work successfully with a range of ethnicities, in particular Maori and Pacific Peoples
- 2.4.7 Demonstrate staff have relevant specialist skills and experience in working with and marketing to clients with diagnosed mental health conditions and an understanding of the challenges this client group generally face
- 2.4.8 Infrastructure and resource availability to ensure appropriate services are delivered and in particular the ability to deliver services that are either local to the client or a mobile service
- 2.4.9 Ability to maintain good quality data and document filing systems that are secure.
- 2.4.10 Ability to maintain good administration practices including the ability to administer programme costs for participants of the service.

MSD Approvals: Providers must have at least a Level 4 Ministry Approval and this is to be maintained for the term of the Agreement. The Level 4 Standards and Application Form can be found at: <http://www.msd.govt.nz/what-we-can-do/providers/approvals/index.html>

- 2.4.11 MSD requires respondents to either:
 - (a) Provide evidence that at the date this RFP was issued they have MSD Approval at Level 1, 2, 3 or 4; or
 - (b) Demonstrate their organisation has:
 - (i) Robust processes around staff vetting and training; and
 - (ii) A history of operational and financial stability as evidenced by their latest audited accounts and any other relevant material
 - (iii) And confirm that if successful they will start the Approvals process and obtain Level 4 Approval prior to the start of the agreement (or by a date otherwise agreed with the MSD relationship manager)

2.5 What we require: relationship management

MSD requires Respondents that can:

- 2.5.1 Show they are able to work professionally and effectively with MSD
- 2.5.2 Show they have processes in place for effective problem resolution and appropriate escalation of issues arising from service provision.
- 2.5.3 A robust complaints and resolution process is demonstrated and evidenced

2.6 Contract term

We anticipate that the Contract will commence 01 July 2016 to 30 June 2017 The anticipated Contract term and options to extend are:

Description	Years
Initial term of the Contract	1 year
Options to extend the Contract	1 year
Maximum term of the Contract	2 years

2.7 Other tender documents

In addition to this RFP we refer to the following documents. These have been uploaded on GETS and are available to all interested suppliers. These documents form part of this RFP.

- a. Final Draft Operational Guidelines
- b. Final Draft Work to Wellness Contract Specifications

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SECTION 3: Our Evaluation Approach

This section sets out the Evaluation Approach that will be used to assess Proposals.

3.1 Evaluation model

The evaluation model that will be used is weighted attribute (weighted criteria). This means that all Proposals that are capable of full delivery on time will be shortlisted. The Proposal that scores the highest will likely be selected as the Successful Respondent.

3.2 Evaluation criteria

Proposals will be evaluated on their merits according to the following evaluation criteria and weightings.

Criterion	Weighting
Proposed solution: How Respondents will deliver the scope of the services required under the Employment Placement Service as outlined in part 2.3	45%
Respondent Capacity and Capability: Demonstrated capacity and capability of provider to deliver the services as outlined in part 2.4	45%
Relationship Management: How respondents show they can work effectively with MSD, resolve problems and escalate issues arising from service provision	10%
Total weightings	100%

3.3 Scoring

The following scoring scale will be used in evaluating Proposals. Scores by individual panel members may be modified through a moderation process across the whole evaluation panel.

Rating	Definition	Score
EXCELLENT significantly exceeds the criterion	Exceeds the criterion. Exceptional demonstration by the Respondent of the relevant ability, understanding, experience, skills, resource and quality measures required to meet the criterion. Proposal identifies factors that will offer potential added value, with supporting evidence.	5
GOOD exceeds the criterion in some aspects	Satisfies the criterion with minor additional benefits. Above average demonstration by the Respondent of the relevant ability, understanding, experience, skills, resource and quality measures required to meet the criterion. Proposal identifies factors that will offer potential added value, with supporting evidence.	4
ACCEPTABLE meets the criterion in full, but at a minimal level	Satisfies the criterion. Demonstration by the Respondent of the relevant ability, understanding, experience, skills, resource, and quality measures required to meet the criterion, with supporting evidence.	3
MINOR RESERVATIONS marginally deficient	Satisfies the criterion with minor reservations. Some minor reservations of the Respondent's relevant ability, understanding, experience, skills, resource and quality measures required to meet the criterion, with little or no supporting evidence.	2
SERIOUS RESERVATIONS significant issues that need to be addressed	Satisfies the criterion with major reservations. Considerable reservations of the respondent's relevant ability, understanding, experience, skills, resource and quality measures required to meet the criterion, with little or no supporting evidence.	1

UNACCEPTABLE Significant issues not capable of being resolved	Does not meet the criterion. Does not comply and/or insufficient information provided to demonstrate that the Respondent has the ability, understanding, experience, skills, resource and quality measures required to meet the criterion, with little or no supporting evidence.	0
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3.4 Optional evaluation process and due diligence

In addition to the above, we may undertake the following process and due diligence in relation to shortlisted Respondents. The findings will be taken into account in the evaluation process. Should we decide to undertake any of these we will give shortlisted Respondents reasonable notice.

- reference check the Respondent organisation and named personnel
- other checks against the Respondent e.g. Companies Office
- interview Respondents
- request Respondents make a presentation
- arrange site-visits
- inspect audited accounts for the last three financial years
- undertake a credit check
- Evidence of past performance of the Provider held by MSD

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SECTION 4: Pricing information

1.1 Pricing information for the Work to Wellness Service

Payment Type	Conditions	Instalment Amount
Enrolment Fee	A one off-enrolment fee payable for each participant whom it is confirmed that their enrolment has been completed and a Tax invoice.	\$500.00 per participant
Participation Fee	Payable monthly in arrears on receipt of verification of a client's active participation in the service and a Tax invoice.	\$250.00 per participant per month. Up to a maximum of \$1,500.00 per participant
Where an enrolled participant is placed into employment one of the following outcome payments can be claimed		
31 Day Fulltime Employment Placement Fee	Payable after 31 Days for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$2,000.00 per participant
31 Day Part-time Employment Placement Fee 15-29hrs	Payable after 31 Days for each participant placed into part-time employment defined as 15-29 hours per week. Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$1,000.00 per participant
31 Day Other Employment Placement Fee – less than 15 hours	Payable after 31 Days for each participant placed into other employment defined as less than 15 hours per week for a period of 31 days. Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$300.00 per participant
Where an enrolled participant is placed into employment resulting in an exit from benefit one of the following outcome payments can be claimed		
Continuous Employment Fee – 182 Days	Payable after 182 Days continuous employment for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of continuous employment of a participant and a Tax Invoice.	A maximum of \$2,000.00 per participant
Continuous Employment Fee – 365 Days	Payable after 365 Days continuous employment for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of continuous employment of a participant and a Tax Invoice.	A maximum of \$3,000.00 per participant

Payment Type	Conditions	Instalment Amount
Reimbursement to a Provider for participant costs related to service delivery, wrap-around case management and up-skilling. Payable only for participant's enrolled in the Work to Wellness Service.		
Programme Fund	Payable quarterly on receipt of confirmation of participant costs on agreement with the Relationship Manager and a Tax Invoice.	Actual and reasonable costs up to a maximum of \$500.00 per participant

The Provider may claim a Fulltime Employment Placement for participants that progress from a Part Time Employment outcome. This progressive outcome must occur within the participant's service duration or extension period of twelve (12 weeks). In such cases, payment will be made at 31 days from the commencement of the progressive outcome. The payment will be equivalent to appropriate payment rate, less any outcome payment made for that participant within this service.

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SECTION 5: Our Proposed Contract

5.1 Proposed Contract

Attached is the Final Draft of the Proposed Contract that we intend to use for the purchase and delivery of the Requirements.

In submitting your Proposal you must let us know if you wish to question and/or negotiate any of the terms or conditions in the Proposed Contract, or wish to negotiate new terms and/or conditions. The Response Form contains a section for you to state your position. If you do not state your position you will be deemed to have accepted the terms and conditions in the Proposed Contract in full.

Furthermore, the Final Draft of the Operational Guidelines is attached and show detailed advice on the delivery of the Work to Wellness service.

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SECTION 6: RFP Process, Terms and Conditions

Note to suppliers and Respondents

- In managing this procurement the Buyer will endeavour to act fairly and reasonably in all of its dealings with interested suppliers and Respondents, and to follow due process which is open and transparent.
- This section contains the government's standard RFP Process, Terms and Conditions (shortened to RFP-Terms) which apply to this procurement. Any variation to the RFP-Terms will be recorded in Section 1, paragraph 1.6. Check to see if any changes have been made for this RFP.
- Words and phrases that have a special meaning are shown by the use of capitals e.g. Respondent, which means 'a person, organisation, business or other entity that submits a Proposal in response to the RFP. The term Respondent includes its officers, employees, contractors, consultants, agents and representatives. The term Respondent differs from a supplier, which is any other business in the market place that does not submit a Proposal.' Definitions are at the end of this section.
- If you have any questions about the RFP-Terms please email our [Point of Contact](#).

Standard RFP process



Preparing and submitting a proposal

a. Preparing a Proposal

- Respondents are to use the Response Form provided and include all information requested by the Buyer in relation to the RFP.
- By submitting a Proposal the Respondent accepts that it is bound by the RFP Process, Terms and Conditions (RFP-Terms) contained in Section 6 (as varied by Section 1, paragraph 1.6, if applicable).
- Each Respondent will:
 - examine the RFP and any documents referenced in the RFP and any other information provided by the Buyer
 - consider all risks, contingencies and other circumstances relating to the delivery of the Requirements and include adequate provision in its Proposal to manage such risks and contingencies
 - document in its Proposal all assumptions and qualifications made about the delivery of the Requirements, including any assumption that the Buyer or a third party will deliver any aspect of the Requirements or incur any cost related to the delivery of the Requirements
 - ensure that pricing information is quoted in NZ\$ exclusive of GST
 - if appropriate, obtain independent advice before submitting a Proposal
 - satisfy itself as to the correctness and sufficiency of its Proposal, including the proposed pricing and the sustainability of the pricing.
- There is no expectation or obligation for Respondents to submit Proposals in response to the RFP solely to remain on any prequalified or registered supplier list. Any Respondent on such a list will not be penalised for failure to submit a Proposal.

b. Offer Validity Period

- i. Proposals are to remain valid and open for acceptance by the Buyer for the Offer Validity Period.



c. Respondents' Deadline for Questions

- a. Each Respondent should satisfy itself as to the interpretation of the RFP. If there is any perceived ambiguity or uncertainty in the RFP document/s Respondents should seek clarification before the Deadline for Questions.
- b. All requests for clarification must be made by email to the Buyer's Point of Contact. The Buyer will endeavour to respond to requests in a timely manner, but not later than the deadline for the Buyer to answer Respondents' questions in Section 1, paragraph 1.2.a, if applicable.
- c. If the Buyer considers a request to be of sufficient importance to all Respondents it may provide details of the question and answer to other Respondents. In doing so the Buyer may summarise the Respondent's question and will not disclose the Respondent's identity. The question and answer may be posted on GETS and/or emailed to participating Respondents. A Respondent may withdraw a request at any time.
- d. In submitting a request for clarification a Respondent is to indicate, in its request, any information that is commercially sensitive. The Buyer will not publish such commercially sensitive information. However, the Buyer may modify a request to eliminate such commercially sensitive information, and publish this and the answer where the Buyer considers it of general significance to all Respondents. In this case, however, the Respondent will be given an opportunity to withdraw the request or remove the commercially sensitive information.



d. Submitting a Proposal

- a. Each Respondent is responsible for ensuring that its Proposal is received by the Buyer at the correct address on or before the Deadline for Proposals. The Buyer will acknowledge receipt of each Proposal.
- b. The Buyer intends to rely on the Respondent's Proposal and all information provided by the Respondent (e.g. correspondence and negotiations). In submitting a Proposal and communicating with the Buyer each Respondent should check that all information it provides to the Buyer is:
 - 3 true, accurate and complete, and not misleading in any material respect
 - 4 does not contain Intellectual Property that will breach a third party's rights.
- c. Where the Buyer requires the Proposal to be delivered in hard and soft copies, the Respondent is responsible for ensuring that both the hard and soft copies are identical.
- d. Where the Buyer stipulates a two envelope RFP process the following applies:
 - i. each Respondent must ensure that all financial information and pricing components of its Proposal are provided separately from the remainder of its Proposal
 - ii. financial information and pricing must be contained either in a separate sealed envelope or as a separate soft copy file (whichever option has been requested by the Buyer)
 - iii. the pricing information must be clearly marked 'Financial and Pricing Information.' This is to ensure that the pricing information cannot be viewed when the package containing the other elements of the Proposal is opened.



Assessing Proposals

e. Evaluation panel

- a. The Buyer will convene an evaluation panel comprising members chosen for their relevant expertise and experience. In addition, the Buyer may invite independent advisors to

evaluate any Proposal, or any aspect of any Proposal.

f. Third party information

- a. Each Respondent authorises the Buyer to collect additional information, except commercially sensitive pricing information, from any relevant third party (such as a referee or a previous or existing client) and to use that information as part of its evaluation of the Respondent's Proposal.
- b. Each Respondent is to ensure that all referees listed in support of its Proposal agree to provide a reference.
- c. To facilitate discussions between the Buyer and third parties each Respondent waives any confidentiality obligations that would otherwise apply to information held by a third party, with the exception of commercially sensitive pricing information.



g. Buyer's clarification

- a. The Buyer may, at any time, request from any Respondent clarification of its Proposal as well as additional information about any aspect of its Proposal. The Buyer is not required to request the same clarification or information from each Respondent.
- b. The Respondent must provide the clarification or additional information in the format requested. Respondents will endeavour to respond to requests in a timely manner. The Buyer may take such clarification or additional information into account in evaluating the Proposal.
- c. Where a Respondent fails to respond adequately or within a reasonable time to a request for clarification or additional information, the Buyer may cease evaluating the Respondent's Proposal and may eliminate the Proposal from the RFP process.



h. Evaluation and shortlisting

- The Buyer will base its initial evaluation on the Proposals submitted in response to the RFP. The Buyer may adjust its evaluation of a Proposal following consideration of any clarification or additional information as described in paragraphs 6.6 and 6.7.
- In deciding which Respondent/s to shortlist the Buyer will take into account the results of the evaluations of each Proposal and the following additional information:
 - c. each Respondent's understanding of the Requirements, capability to fully deliver the Requirements and willingness to meet the terms and conditions of the Proposed Contract
 - d. except where the price is the only criterion, the best value-for-money over the whole-of-life of the goods or services.
- In deciding which Respondent/s, to shortlist the Buyer may take into account any of the following additional information:
 - 1. the results from reference checks, site visits, product testing and any other due diligence
 - 2. the ease of contracting with a Respondent based on that Respondent's feedback on the Proposed Contract (where these do not form part of the weighted criteria)
 - 3. any matter that materially impacts on the Buyer's trust and confidence in the Respondent
 - 4. any other relevant information that the Buyer may have in its possession.
- The Buyer will advise Respondents if they have been shortlisted or not. Being shortlisted does not constitute acceptance by the Buyer of the Respondent's Proposal, or imply or create any obligation on the Buyer to enter into negotiations with, or award a Contract for delivery of the Requirements to any shortlisted Respondent/s. At this stage in the RFP process the Buyer will not make public the names of the shortlisted Respondents.



i. **Negotiations**

- a. The Buyer may invite a Respondent to enter into negotiations with a view to contract. Where the outcome is unsatisfactory the Buyer may discontinue negotiations with a Respondent and may then initiate negotiations with another Respondent.
- b. The Buyer may initiate concurrent negotiations with more than one Respondent. In concurrent negotiations the Buyer will treat each Respondent fairly, and:
 - prepare a negotiation plan for each negotiation
 - advise each Respondent, that it wishes to negotiate with, that concurrent negotiations will be carried out
 - hold separate negotiation meetings with each Respondent.
- c. Each Respondent agrees that any legally binding contract entered into between the Successful Respondent and the Buyer will be essentially in the form set out in Section 5, the Proposed Contract.



j. **Respondent's debrief**

- a. At any time after shortlisting Respondents the Buyer will offer all Respondents who have not been shortlisted a debrief. Each Respondent will have 30 Business Days, from the date of offer, to request a debrief. When a Respondent requests a debrief, the Buyer will provide the debrief within 30 Business Days of the date of the request, or of the date the Contract is signed, whichever is later.
- b. The debrief may be provided by letter, email, phone or at a meeting. The debrief will:
 1. provide the reasons why the Proposal was or was not successful
 2. explain how the Proposal performed against the pre-conditions (if applicable) and the evaluation criteria
 3. indicate the Proposal's relative strengths and weaknesses
 4. explain, in general terms, the relative advantage/s of the successful Proposal
 5. seek to address any concerns or questions from the Respondent
 6. seek feedback from the Respondent on the RFP and the RFP process.



k. **Notification of outcome**

- a. At any point after conclusion of negotiations, but no later than 30 Business Days after the date the Contract is signed, the Buyer will inform all unsuccessful Respondents of the name of the Successful Respondent, if any. The Buyer may make public the name of the Successful Respondent and any unsuccessful Respondent. Where applicable, the Buyer will publish a Contract Award Notice on GETS.



l. **Issues and complaints**

- a. A Respondent may, in good faith, raise with the Buyer any issue or complaint about the RFP, or the RFP process at any time.
- b. The Buyer will consider and respond promptly and impartially to the Respondent's issue or complaint.
- c. Both the Buyer and Respondent agree to act in good faith and use their best endeavours to resolve any issue or complaint that may arise in relation to the RFP.
- d. The fact that a Respondent has raised an issue or complaint is not to be used by the Buyer to unfairly prejudice the Respondent's ongoing participation in the RFP process or future contract opportunities.



Standard RFP conditions

m. **Buyer's Point of Contact**

- a. All enquiries regarding the RFP must be directed by email to the Buyer's Point of Contact. Respondents must not directly or indirectly approach any representative of the Buyer, or



any other person, to solicit information concerning any aspect of the RFP.

- b. Only the Point of Contact, and any authorised person of the Buyer, are authorised to communicate with Respondents regarding any aspect of the RFP. The Buyer will not be bound by any statement made by any other person.
- c. The Buyer may change the Point of Contact at any time. The Buyer will notify Respondents of any such change. This notification may be posted on GETS or sent by email.
- d. Where a Respondent has an existing contract with the Buyer then business as usual communications, for the purpose of managing delivery of that contract, will continue using the usual contacts. Respondents must not use business as usual contacts to lobby the Buyer, solicit information or discuss aspects of the RFP.

n. Conflict of Interest

- a. Each Respondent must complete the Conflict of Interest declaration in the Response Form and must immediately inform the Buyer should a Conflict of Interest arise during the RFP process. A material Conflict of Interest may result in the Respondent being disqualified from participating further in the RFP.

o. Ethics

- a. Respondents must not attempt to influence or provide any form of personal inducement, reward or benefit to any representative of the Buyer in relation to the RFP.
- b. A Respondent who attempts to do anything prohibited by paragraphs 6.13.a. and d. and 6.15.a. may be disqualified from participating further in the RFP process.
- c. The Buyer reserves the right to require additional declarations, or other evidence from a Respondent, or any other person, throughout the RFP process to ensure probity of the RFP process.

p. Anti-collusion and bid rigging

- a. Respondents must not engage in collusive, deceptive or improper conduct in the preparation of their Proposals or other submissions or in any discussions or negotiations with the Buyer. Such behaviour will result in the Respondent being disqualified from participating further in the RFP process. In submitting a Proposal the Respondent warrants that its Proposal has not been prepared in collusion with a Competitor.
- b. The Buyer reserves the right, at its discretion, to report suspected collusive or anti-competitive conduct by Respondents to the appropriate authority and to give that authority all relevant information including a Respondent's Proposal.

q. Confidential Information

- i. The Buyer and Respondent will each take reasonable steps to protect Confidential Information and, subject to paragraph 6.17.c. and without limiting any confidentiality undertaking agreed between them, will not disclose Confidential Information to a third party without the other's prior written consent.
- ii. The Buyer and Respondent may each disclose Confidential Information to any person who is directly involved in the RFP process on its behalf, such as officers, employees, consultants, contractors, professional advisors, evaluation panel members, partners, principals or directors, but only for the purpose of participating in the RFP.
- iii. Respondents acknowledge that the Buyer's obligations under paragraph 6.17.a. are subject to requirements imposed by the Official Information Act 1982 (OIA), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. The Buyer will not be in breach of its obligations if Confidential Information is disclosed by the Buyer to the appropriate authority because of suspected collusive or anti-competitive tendering behaviour. Where the Buyer receives an OIA request that relates to a Respondent's Confidential Information the Buyer will consult with the Respondent and may ask the Respondent to explain why the information is considered by the Respondent to be confidential or commercially sensitive.



r. Confidentiality of RFP information

- For the duration of the RFP, to the date of the announcement of the Successful Respondent, or the end of the RFP process, the Respondent agrees to keep the RFP strictly confidential and not make any public statement to any third party in relation to any aspect of the RFP, the RFP process or the award of any Contract without the Buyer's prior written consent.
- A Respondent may disclose RFP information to any person described in paragraph 6.17.b. but only for the purpose of participating in the RFP. The Respondent must take reasonable steps to ensure that such recipients do not disclose Confidential Information to any other person or use Confidential Information for any purpose other than responding to the RFP.

s. Costs of participating in the RFP process

- i. Each Respondent will meet its own costs associated with the preparation and presentation of its Proposal and any negotiations.

t. Ownership of documents

- i. The RFP and its contents remain the property of the Buyer. All Intellectual Property rights in the RFP remain the property of the Buyer or its licensors. The Buyer may request the immediate return or destruction of any or all RFP documents and any copies. Respondents must comply with any such request in a timely manner.
- ii. All documents forming the Proposal will, when delivered to the Buyer, become the property of the Buyer. Proposals will not be returned to Respondents at the end of the RFP process.
- iii. Ownership of Intellectual Property rights in the Proposal remain the property of the Respondent or its licensors. However, the Respondent grants to the Buyer a non-exclusive, non-transferable, perpetual licence to retain, use, copy and disclose information contained in the Proposal for any purpose related to the RFP process.

u. No binding legal relations

- i. Neither the RFP, nor the RFP process, creates a process contract or any legal relationship between the Buyer and any Respondent, except in respect of:
 - a. the Respondent's declaration in its Proposal
 - b. the Offer Validity Period
 - c. the Respondent's statements, representations and/or warranties in its Proposal and in its correspondence and negotiations with the Buyer
 - d. the Evaluation Approach to be used by the Buyer to assess Proposals as set out in Section 3 and in the RFP-Terms (as varied by Section 1, paragraph 1.6, if applicable)
 - e. the standard RFP conditions set out in paragraphs 6.13 to 6.26
 - f. any other matters expressly described as binding obligations in Section 1, paragraph 1.6.
- ii. Each exception in paragraph 6.21.a. is subject only to the Buyer's reserved rights in paragraph 6.23.
- iii. Except for the legal obligations set out in paragraph 6.21.a. no legal relationship is formed between the Buyer and any Respondent unless and until a Contract is entered into between those parties.

v. Elimination

- i. The Buyer may exclude a Respondent from participating in the RFP if the Buyer has evidence of any of the following, and is considered by the Buyer to be material to the RFP:
 - i. the Respondent has failed to provide all information requested, or in the correct format, or materially breached a term or condition of the RFP
 - ii. the Proposal contains a material error, omission or inaccuracy



- iii. the Respondent is in bankruptcy, receivership or liquidation
- iv. the Respondent has made a false declaration
- v. there is a serious performance issue in a historic or current contract delivered by the Respondent
- vi. the Respondent has been convicted of a serious crime or offence
- vii. there is professional misconduct or an act or omission on the part of the Respondent which adversely reflects on the integrity of the Respondent
- viii. the Respondent has failed to pay taxes, duties or other levies
- ix. the Respondent represents a threat to national security or the confidentiality of sensitive government information
- x. the Respondent is a person or organisation designated as a terrorist by New Zealand Police.

w. Buyer's additional rights

- i. Despite any other provision in the RFP the Buyer may, on giving due notice to Respondents:
 - 1. amend, suspend, cancel and/or re-issue the RFP, or any part of the RFP
 - 2. make any material change to the RFP (including any change to the timeline, Requirements or Evaluation Approach) on the condition that Respondents are given a reasonable time within which to respond to the change.
- ii. Despite any other provision in the RFP the Buyer may:
 - c. accept a late Proposal if it is the Buyer's fault that it is received late
 - d. in exceptional circumstances, accept a late Proposal where it considers that there is no material prejudice to other Respondents. The Buyer will not accept a late Proposal if it considers that there is risk of collusion on the part of a Respondent, or the Respondent may have knowledge of the content of any other Proposal
 - e. in exceptional circumstances, answer a question submitted after the Deadline for Questions, if applicable
 - f. accept or reject any Proposal, or part of a Proposal
 - g. accept or reject any non-compliant, non-conforming or alternative Proposal
 - h. decide not to accept the lowest priced conforming Proposal unless this is stated as the Evaluation Approach
 - i. decide not to enter into a Contract with any Respondent
 - j. liaise or negotiate with any Respondent without disclosing this to, or doing the same with, any other Respondent
 - k. provide or withhold from any Respondent information in relation to any question arising in relation to the RFP. Information will usually only be withheld if it is deemed unnecessary, is commercially sensitive to a Respondent, is inappropriate to supply at the time of the request or cannot be released for legal reasons
 - l. amend the Proposed Contract at any time, including during negotiations with a shortlisted Respondent
 - m. waive irregularities or requirements in or during the RFP process where it considers it appropriate and reasonable to do so.
- iii. The Buyer may request that a Respondent/s agrees to the Buyer:
 - i. selecting any individual element/s of the Requirements that is offered in a Proposal and capable of being delivered separately, unless the Proposal specifically states that the Proposal, or elements of the Proposal, are to be taken collectively
 - ii. selecting two or more Respondents to deliver the Requirements as a joint venture or consortium.



x. **New Zealand law**

- 6 The laws of New Zealand shall govern the RFP and each Respondent agrees to submit to the exclusive jurisdiction of the New Zealand courts in respect of any dispute concerning the RFP or the RFP process.

y. **Disclaimer**

- a. The Buyer will not be liable in contract, tort, equity, or in any other way whatsoever for any direct or indirect damage, loss or cost incurred by any Respondent or any other person in respect of the RFP process.
- b. Nothing contained or implied in the RFP, or RFP process, or any other communication by the Buyer to any Respondent shall be construed as legal, financial or other advice. The Buyer has endeavoured to ensure the integrity of such information. However, it has not been independently verified and may not be updated.
- c. To the extent that liability cannot be excluded, the maximum aggregate liability of the Buyer, its agents and advisors is \$1.

z. **Precedence**

- i. Any conflict or inconsistency in the RFP shall be resolved by giving precedence in the following descending order:
- (c) Section 1, paragraph 1.6
 - (d) Section 6 (RFP-Terms)
 - (e) all other Sections of this RFP document
 - (f) any additional information or document provided by the Buyer to Respondents through the Buyer's Point of Contact or GETS.
- ii. If there is any conflict or inconsistency between information or documents having the same level of precedence the later information or document will prevail.

Definitions

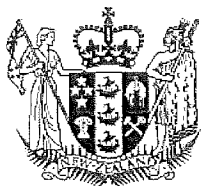
In relation to the RFP the following words and expressions have the meanings described below.

Advance Notice	A notice published by the buyer on GETS in advance of publishing the RFP. An Advance Notice alerts the market to a contract opportunity. Where used, an Advance Notice forms part of the RFP.
Business Day	Any week day in New Zealand, excluding Saturdays, Sundays, New Zealand (national) public holidays and all days from Boxing Day up to and including the day after New Year's Day.
Buyer	The Buyer is the government agency that has issued the RFP with the intent of purchasing the goods or services described in the Requirements. The term Buyer includes its officers, employees, contractors, consultants, agents and representatives.
Competitors	Any other business that is in competition with a Respondent either in relation to the goods or services sought under the RFP or in general.
Confidential Information	Information that: <ul style="list-style-type: none">1. is by its nature confidential2. is marked by either the Buyer or a Respondent as 'confidential', 'commercially sensitive', 'sensitive', 'in confidence', 'top secret', 'secret', 'classified' and/or 'restricted'3. is provided by the Buyer, a Respondent, or a third party in confidence

	<p>4. the Buyer or a Respondent knows, or ought to know, is confidential.</p> <p>Confidential information does not cover information that is in the public domain through no fault of either the Buyer or a Respondent.</p>
Conflict of Interest	<p>A Conflict of Interest arises if a Respondent's personal or business interests or obligations do, could, or be perceived to, conflict with its obligations to the Buyer under the RFP or in the provision of the goods or services. It means that the Respondent's independence, objectivity or impartiality can be called into question. A Conflict of Interest may be:</p> <ul style="list-style-type: none"> ▪ actual: where the conflict currently exists ▪ potential: where the conflict is about to happen or could happen, or ▪ perceived: where other people may reasonably think that a person is compromised.
Contract	The written Contract/s entered into by the Buyer and Successful Respondent/s for the delivery of the Requirements.
Contract Award Notice	Government Rules of Sourcing, Rule 45 requires a Buyer to publish a Contract Award Notice on GETS when it has awarded a contract that is subject to the Rules.
Deadline for Proposals	The deadline that Proposals are to be delivered or submitted to the Buyer as stated in Section 1, paragraph 1.2.
Deadline for Questions	The deadline for suppliers to submit questions to the Buyer as stated in Section 1, paragraph 1.2, if applicable.
Evaluation Approach	The approach used by the Buyer to evaluate Proposals as described in Section 3 and in Section 6 (as varied by Section 1, paragraph 1.6, if applicable).
GETS	Government Electronic Tenders Service available at www.gets.govt.nz
GST	The goods and services tax payable in accordance with the New Zealand Goods and Services Tax Act 1985.
Intellectual Property	All intellectual property rights and interests, including copyright, trademarks, designs, patents and other proprietary rights, recognised or protected by law.
Offer Validity Period	The period of time when a Proposal (offer) is held open by the Respondent for acceptance by the Buyer as stated in Section 1, paragraph 1.6.
Point of Contact	The Buyer and each Respondent are required to appoint a Point of Contact. This is the channel to be used for all communications during the RFP process. The Buyer's Point of Contact is identified in Section 1, paragraph 1.3. The Respondent's Point of Contact is identified in its Proposal.
Price	The total amount, including all costs, fees, expenses and charges, to be charged by the Successful Respondent for the full delivery of the Requirements. Each Respondent's Proposal must include its Price.
Proposal	The response a Respondent submits in reply to the RFP. It comprises the Response Form, the Respondent's bid, financial and pricing information and all other information submitted by a Respondent.
Proposed Contract	The Contract terms and conditions proposed by the Buyer for the delivery of the Requirements as described in Section 5.
RFP	Means the Request for Proposal.
Registration of Interest	A formal request by a Buyer asking potential suppliers to register their interest in a procurement. It is the first step in a multi-step tender process.

Request for Proposal (RFP)	The RFP comprises the Advance Notice (where used), the Registration of Interest (where used), this RFP document (including the RFP-Terms) and any other schedule, appendix or document attached to this RFP, and any subsequent information provided by the Buyer to Respondents through the Buyer's Point of Contact or GETS.
RFP-Terms	Means the Request for Proposal - Process, Terms and Conditions as described in Section 6.
RFP Process, Terms and Conditions (shortened to RFP-Terms)	The government's standard process, terms and conditions that apply to RFPs as described in Section 6. These may be varied at the time of the release of the RFP by the Buyer in Section 1, paragraph 1.6. These may be varied subsequent to the release of the RFP by the Buyer on giving notice to Respondents.
Requirements	The goods and/or services described in Section 2 which the Buyer intends to purchase.
Respondent	A person, organisation, business or other entity that submits a Proposal in response to the RFP. The term Respondent includes its officers, employees, contractors, consultants, agents and representatives. The term Respondent differs from a supplier, which is any other business in the market place that does not submit a Proposal.
Response Form	The form and declaration prescribed by the Buyer and used by a Respondent to respond to the RFP, duly completed and submitted by a Respondent as part of the Proposal.
Successful Respondent	Following the evaluation of Proposals and successful negotiations, the Respondent/s who is awarded a Contract/s to deliver all or part of the Requirements.

RELEASED UNDER THE
OFFICIAL INFORMATION ACT



MINISTRY OF SOCIAL DEVELOPMENT

TE MANATŪ WHAKAHIATO ORA

17 October 2016

Contact Name
Contact Legal Name
Postal Address

(Ensure address says "PO Box" not "Po Box" and that any brackets are removed, then remove this instruction.)

Dear / Tena koe Contact First Name

Re: Outcome Agreement Number Contract Number for [please copy the Agreement Title from the front page of the Agreement or delete this highlighted part if you are adding a title]

Following your earlier conversation with the Ministry, please see attached for your consideration your Outcome Agreement.

Please review this Outcome Agreement and, provided it is satisfactory, arrange to have it signed in accordance with the rules of your organisation. Please ensure:

- the Outcome Agreement is signed
- the scanned document includes the whole Agreement with all pages in order
- you do not annotate the contract other than in the designated areas. If you have any additions please consult your Ministry Relationship Manager.

Please forward an invoice to your Ministry Relationship Manager. Please ensure:

- the invoice is completed with the specified amount as per IRD guidelines
- If not done so previously, a blank bank deposit slip is supplied.

This Outcome Agreement will not come into force until it is signed by all Parties. A copy will be emailed to you at **enter Provider's email in bold** once signed on behalf of the Crown. This funding is also subject to government policies which may change throughout the term of the Outcome Agreement.

Further information

Further information relevant to your Outcome Agreement is available online:

Streamlined contracting with NGOs (including Framework Terms and Conditions)
- www.business.govt.nz/procurement/procurement-reform/streamlined-contracting-with-ngos

MSD Approvals - www.msd.govt.nz/what-we-can-do/providers/approvals/

Community Investment Strategy - www.msd.govt.nz/about-msd-and-our-work/work-programmes/community-investment-strategy/

All services in the Outcome Agreement have corresponding guidelines. Work and Income guidelines will be attached to your Outcome Agreement. All other guidelines are available online as follows:

Community Investment and Child, Youth and Family (**delete this heading if only CI and/or CYF are in the Outcome Agreement**)

www.msd.govt.nz/about-msd-and-our-work/publications-resources/service-guidelines/index.html

Ministry of Youth Development (**delete this heading if only MYD is in the Outcome Agreement**)

www.myd.govt.nz/documents/funding/2013-05-22-myd-service-guidelines-for-website.pdf

[Please delete the pathways that do not apply and remove highlighting]

Any questions?

The Ministry will keep you informed about any changes and how we can continue to streamline and improve our contracting processes.

In the meantime, if you have any queries about the contents of this letter or the Outcome Agreement please contact me. If you do not wish to enter into this Outcome Agreement, please let me know as soon as possible.

Yours sincerely / Naku iti nei, na

Firstname Surname
Community Investment Advisor / Relationship Manager
Phone No.
Email
(remove any brackets around phone numbers)



MINISTRY OF SOCIAL DEVELOPMENT

TE MANATŪ WHAKAHIATO ORA

Outcome Agreement

Between

Ministry of Social Development

and

Contact Legal Name

Outcome Agreement Name	[enter agreement name or if you are not naming it delete this row]
Outcome Agreement Number	Contract Number
Commencement Date	1 July 2016
Term	One Years – with an option to extend for a second Year
Expiry Date	30 June 2017
Annual Outcome Agreement value (excluding GST)	Community Investment funding \$XXX F201X \$XXX F201X Work and Income funding \$XXX
Total Outcome Agreement value (excluding GST)	\$XXX [Add manually]

Summary of Services

Agreement /Reference Number	Service Description	Start Date	End Date	Service Location	Volume (at any one time)	Maximum Volume	Agreement Total Price
Total Agreement Price							\$XXX

Please note these payments exclude GST. However, payments for GST registered providers will have GST added subject to the terms and conditions of this Agreement.

Outcome Agreement

Parties

Her Majesty the Queen in right of New Zealand acting by and through the Chief Executive of the Ministry of Social Development (**Purchasing Agency**).

Contact Legal Name (Please delete the line return here and allow the registration detail chosen below to complete the sentence following on from the legal name, a comma is not required after the legal name, just a space unless the legal name ends with Incorporated and the registration detail begins with incorporated then a comma followed by one space should be used in between. Remove all other ones not required and remove highlighting)

incorporated under the Charitable Trusts Act 1957 and having its registered office at Physical Address (**the Provider**).

incorporated under the Incorporated Societies Act 1908 and having its registered office at Physical Address (**the Provider**).

incorporated under the Companies Act 1993 and having its registered office at Physical Address (**the Provider**).

a charitable company, incorporated under the Companies Act 1993 and having its registered office at Physical Address (**the Provider**).

a Maori Trust Board established under the Maori Trust Boards Act 1955 and having its registered office at Physical Address (**the Provider**).

of Physical Address, [Title] (**the Provider**).

[Partner Name] of Physical Address, [Title] and [Partner Name] of Physical Address, [Title], both jointly carrying on business as partners under the firm name of Contact Legal Name, of [Location] (**the Provider**).

Introduction

- A This Outcome Agreement forms part of the Government's Streamlined Contracting Framework, along with a set of umbrella terms and conditions known as the "Framework Terms and Conditions" that will apply to contracts between the Purchasing Agency and the Provider relating to social, public health, justice and education service/s. The Framework Terms and Conditions are posted on www.business.govt.nz and form an integral part of this Outcome Agreement.
- B This Outcome Agreement describes the:
- (i) Outcome/s to be achieved;
 - (ii) Service/s that the Provider will provide to contribute towards achieving the Outcome/s; and
 - (iii) Performance measurement framework to assess the provision of the Service/s, and whether the Service/s have contributed towards achieving the Outcome.

- C The sections in the Framework Terms and Conditions headed "Introduction", "Purpose and Context Statement" and "Relationship Principles" set the relationship background relevant to this Outcome Agreement.
- D The Purchasing Agency confirms that it has signed a Government Agency Agreement with the Co-ordinating Agency and will ensure that at all times throughout the term of this Outcome Agreement it maintains in place a signed Government Agency Agreement.

Framework Terms and Conditions – Future Differences

If the Framework Terms and Conditions posted on www.business.govt.nz for future general use, are ever different to those that apply when this Outcome Agreement is entered into (**Updated Framework Terms and Conditions**), then:

- (a) Any future Outcome Agreement which the Provider enters into with the Purchasing Agency (or another Purchasing Agency), after the date which the Updated Framework Terms and Conditions are publically posted on www.business.govt.nz will incorporate (or have appended to it) the Updated Framework Terms and Conditions; and
- (b) If the Provider and Purchasing Agency agree to it, the Updated Framework Terms and Conditions will also apply to this Outcome Agreement from an agreed date, and any Framework Terms and Conditions already incorporated into (or appended to) this Outcome Agreement will be deemed to be removed and replaced by those publically posted Updated Framework Terms and Conditions.

1 Relationship between this Outcome Agreement and the Framework Terms and Conditions

- 1.1 This Outcome Agreement is deemed to incorporate all the Framework Terms and Conditions. Accordingly, the Framework Terms and Conditions apply to the Service/s under this Outcome Agreement.
- 1.2 Unless the context otherwise requires, all terms defined in the Framework Terms and Conditions have the same meaning in this Outcome Agreement.
- 1.3 The Introduction above forms part of this Outcome Agreement.

2 Not an Integrated Outcome Agreement

- 2.1 This Outcome Agreement is not suitable for situations where more than one Purchasing Agency wants to contract with the Provider in a single Outcome Agreement.

3 Term of this Outcome Agreement

- 3.1 This Outcome Agreement will commence on 1 July 2016 and end on 30 June 2017 unless extended pursuant to clause 3.2, or terminated earlier in accordance with the Framework Terms and Conditions or as otherwise allowed at Law.
- 3.2 The Purchasing Agency may extend the term of this Outcome Agreement for further periods by giving the Provider notice it wishes to extend the term, at least 30 days before the date when the term would otherwise expire.

4 Services, Outcome(s) and Performance Measures

- 4.1 The Provider will provide the Service/s set out in Appendix 1 to satisfy the performance measures set out in the Provider Return Report/s attached as Appendix 12, Appendix 13 and Appendix 14 or provided electronically by the Purchasing Agency (amend dependant on how the reports are to be provided). The performance measures in the Provider Return Report/s attached as Appendix 12, Appendix 13 and Appendix 14 or provided electronically by the Purchasing Agency (amend dependant on how the reports are to be provided) for the Service/s will be used to determine whether the Provider has been successful in delivering the Service/s in accordance with this Outcome Agreement, so as to contribute toward achieving the Outcome linked to the Service/s.
- 4.2 In providing the Service/s the Provider must follow the reasonable directions of the Purchasing Agency. Such directions must be consistent with the terms of this Outcome Agreement.

5 Monitoring by the Purchasing Agency

- 5.1 The Purchasing Agency will undertake and maintain the scheduled monitoring activities at the times and frequencies set out in Appendix 2.

6 Regular Reporting by the Provider

- 6.1 In providing the Service/s, the Provider will provide the Purchasing Agency with reports that include the details specified, at the times and frequency set out in Appendix 3.

7 Regular Audits of the Provider

- 7.1 The Purchasing Agency is currently required or permitted by Law to conduct the audit or review of the Provider during the term of this Outcome Agreement as set out in Appendix 4, with those audits or reviews being conducted on or around the times specified in Appendix 4.

8 Payment

- 8.1 Subject to the Purchasing Agency's rights under clause 13.1 to 13.3 of the Framework Terms and Conditions (Recovery, Reduction or Suspension of Payment/s), the Purchasing Agency will pay the Provider the amounts specified for the Service/s, at the time/s and subject to any pre-conditions set out in Appendix 5.

9 Conditions

- 9.1 The Provider must satisfy or comply with the Special Terms and Conditions as set out in Appendix 6.
- 9.2 If the Provider fails to satisfy or comply with any of the conditions it is responsible for:

- (a) the Provider must notify the Purchasing Agency of that failure as soon as reasonably practicable; and
- (b) the applicable consequence set out in Appendix 6 will apply and, if none are specified for that condition, the consequence will be that the Purchasing Agency may do any one or more of the following:
 - (i) require a Remedy Plan to be agreed (if appropriate) and require the Provider to perform all actions recorded in the Remedy Plan;
 - (ii) suspend some or all of the Service/s (and suspend payment for those Service/s) on giving written notice to the Provider;
 - (iii) exercise its rights under clause 13.1 to 13.3 of the Framework Terms and Conditions (Recovery, Reduction or Suspension of Payment/s); or
 - (iv) exercise its termination rights described in the Framework Terms and Conditions.

9.3 The Purchasing Agency must satisfy or comply with any of the conditions within the timeframes set out in Appendix 7.

9.4 If the Purchasing Agency fails to satisfy or comply with any conditions it is responsible for:

- (a) the Purchasing Agency will notify the Provider of that failure; and
- (b) the applicable consequence set out in Appendix 7 will apply and, if none are specified for that condition, the consequence will be that the Purchasing Agency and the Provider will discuss with each other what an appropriate response should be.

9.5 If the Purchasing Agency or the Provider fails to satisfy any condition that is required to be satisfied before the Outcome Agreement comes into full effect, the consequence will be that the Purchasing Agency and the Provider will discuss with each other what an appropriate response should be.

10 Incentives

10.1 If the Provider satisfies the criteria set out in Appendix 8, the Purchasing Agency will provide the Provider with the incentive set out in Appendix 8.

11 Permitted Information Disclosure

11.1 Despite clause 10 of the Framework Terms and Conditions relating to confidentiality, the Purchasing Agency may disclose any information described in Appendix 9 to the persons named in that Appendix, provided that in no circumstances will the Purchasing Agency disclose any personal information about an identifiable individual without the consent of that individual first being obtained.

12 New Intellectual Property

12.1 Without limiting the intellectual property clauses in the Framework Terms and Conditions, any new Intellectual Property Rights (**New IP**) that will be created by

the Provider in connection with the Service/s and described in Appendix 10, will be owned (including the proportion by the Party identified in Appendix 10) and will be licensed to the other Party or Parties in accordance with clause 11.3 of the Framework Terms and Conditions.

13 Contact Details (remove any brackets around phone numbers and remove this instruction)

13.1 Each Party's initial postal address, physical address, email address, phone number and Relationship Manager details is set out below:

Purchasing Agency:

Community Investment

Relationship Manager:	Firstname Surname
Designation:	[add title]
Address:	Postal Address
Phone:	Phone No
Mobile Phone:	Mobile No
Email:	Email

Work and Income

Relationship Manager:	Firstname Surname
Designation:	[add title]
Address:	Postal Address
Phone:	Phone No
Mobile Phone:	Mobile No
Email:	Email

Provider:

Contact:	Contact Name
Designation:	[add title]
Address:	Postal Address
Phone:	Phone
Mobile Phone:	Phone Other
Email:	Email

14 Further Terms

14.1 The Purchasing Agency and the Provider also agree that the further terms set out in Appendix 11 form part of this Outcome Agreement. The Purchasing Agency and the Provider each acknowledge that:

- (a) any further terms must be read and applied in a way which preserves the greatest degree of consistency and compliance with the Framework Terms and Conditions; and
- (b) before including a further term that adds to, or departs from, the arrangements described in the Framework Terms and Conditions, the Purchasing Agency and the Provider have both discussed and agreed that the addition or departure is necessary to address a matter that is both novel and specific to the Provider or the Service/s, and which (for clearly identified reasons) is not otherwise adequately or appropriately provided for under the Framework Terms and Conditions.

Signatures (Please ensure all signatories are on the same page with text (you may have to page break to bring 14.1 b over on to the next page) all contracts are to be signed by their usual signatory, across service line contracts are signed by the leads signatory on behalf of the Ministry)

Ministry of Social Development

Signed by	Moira Underdown	Regional Manager Southern Community Investment
Signed by	Peter Waru	Regional Manager Midlands Community Investment
Signed by	Iria Pene	Regional Manager Central Community Investment
Signed by	Nicole Devereux	Regional Manager Te Tai Tokerau Community Investment
Signed by	Ken Allen	Regional Manager Auckland Community Investment
Signed by	Gordon McKenzie	Manager Planning and Performance Community Investment
Signed by	Susan Kosmala	General Manager Community Outcomes and Services Community Investment
Signed by	Murray Edridge	Deputy Chief Executive Community Investment
Signed by	W&I Mark Henderson	General Manager Contracts Work and Income
Signed by	MYD Nic Blakeley	Deputy Chief Executive Social Policy Ministry of Youth Development
Signed by	Devidas Patel	Manager Youth Services Ministry of Youth Development

I have a delegation under section 41 of the State Sector Act 1988 to sign for the Ministry of Social Development.

Signed

Date

Contact Legal Name

Signed by Name

Designation

I have authority to sign for Contact Legal Name and confirm this agreement has not been altered from what was last provided by the Purchasing Agency.

Signed

Date

Signed by Name

Designation

I have authority to sign for Contact Legal Name and confirm this agreement has not been altered from what was last provided by the Purchasing Agency.

Signed

Date

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Appendix 1 – Services, Outcome(s) to be Achieved, and Performance Measures

Outcome (Population)

The Service/s in this Outcome Agreement provided by the Provider are to contribute towards the Purchasing Agency's purpose:

*We help New Zealanders to help themselves to be safe, strong and independent.
Ko ta mātou he whakamana tangata kia tū haumarū, kia tū kaha, kia tū motuhake.*

By providing the Service/s under this Outcome Agreement, the Provider will be contributing towards the Purchasing Agency's outcomes:

Work and Income outcomes of:

- (a) Sustainable Employment;
- (b) Supporting more New Zealanders into work; and
- (c) Social Connectedness and Inclusion.

1. Aims of the Service

The aim of the Work to Wellness service is to support clients with diagnosed mental health conditions to gain work and achieve sustainable employment. This will be achieved through the delivery of employment focussed case management.

The Work to Wellness service is intended to focus on assisting clients to find employment or returning clients to employment as quickly as possible.

2. Selection Group

The target group for this service is Work and Income main beneficiaries that have a willingness to work, but are limited in their capacity to look for, or be available to work because of a diagnosed mental health condition(s), that can be treated effectively in a primary care setting.

Work and Income reserves the right to waiver or alter the target group criteria at any time during the agreement period.

3. Referral of Clients

Work and Income identified referrals

Recruitment is the process of engagement between the Provider and Work and Income Service Centres/Community Links to facilitate referrals. Recruitment of clients to this service is the responsibility of the Provider. This includes marketing and promotion conducted in a productive and proactive manner with Work and Income staff to ensure a managed approach to referrals is implemented. The Provider will need to control participation volumes, including the acceptance of referrals.

Referral is the process of identifying a client as a potential participant and providing appropriate information to the client and service Provider. The Provider will ensure that all participants attending the service are referred to them from a Work and Income Service Centre/Community Link through the SORT Tool. Once the Ministry

has referred the client to the service, it is the Provider's responsibility to ensure that all accepted clients remain on the service.

Provider identified referrals

Providers may identify suitable Work and Income clients to participate in the Work to Wellness service either through marketing and promotion, client self-referrals, relationships with general practitioners or other health support providers. The Provider is responsible for providing appropriate information to the client about the service.

Where the client agrees to participate, the Provider will identify and refer the client through SORT (or a mutually agreed reporting process). The Ministry will confirm the client's eligibility to participate in the Work to Wellness service. Where a client is approved by the Ministry the provider can continue the enrolment process with the client. Where the client is declined by the Ministry, the Provider is responsible to advise the client of this referral outcome.

4. Service Content/Services Summary

The Provider will deliver the following services under this Agreement:

Core Functions

The Provider will be responsible for the wrap around case management of participants to support them to achieve and sustain employment outcomes that align with their individual goals and benefit obligations.

Upon the Providers acceptance of a referral, Work and Income will supply the Provider with the client's relevant medical, health, and employment information.

The Provider will carry out an assessment for each client, to identify their goals, strengths, skills and challenges. Once the client's enrolment is complete they will become a participant of the Work to Wellness service. In conjunction with the participant, the Provider will develop a plan to staircase the participant into sustainable employment.

The Provider will develop and maintain positive working relationships with existing services and organisations, including government agencies, community organisations, health and disability support providers, family and whanau, and will facilitate access to other services that can provide support for participants to successfully achieve and retain employment.

The Provider will support and mentor participants by;

- discussing and promoting the benefits of employment
- increasing motivation and building confidence
- building resilience
- developing self-awareness and self-management

The Provider will actively assist participants to find work quickly by;

- supporting job search activities
- identifying employment opportunities
- brokering suitable employment through their employment networks
- assisting in the negotiation of any appropriate flexible working arrangements and training required, with employers

Once a participant has secured employment, the Provider will support the participant and their employer to ensure successful integration into the workplace. The Provider will ensure that the degree of engagement and support is appropriately tailored to the needs of the participant, their skills and preferences.

The service will be delivered in an environment that is positive, respectful and encourages the participant to take responsibility for their actions and builds their capacity for achieving realistic goals.

The Provider will be responsible for marketing the Work to Wellness service to local general practitioners and health support providers to encourage working relationships with the health and disability supports of participants.

Information Capture and Reporting

The Provider will capture and actively maintain client information within the Service Outcome Reporting Tool (SORT), including the client enrolment and assessment information, client employment plan and activity management, and achievement of the service milestones and outcomes. This information will be used to generate the reports required under Appendix 3 – Regular reporting by the provider.

5. Service Delivery

The Service will be delivered between 01 July 2016 to 30 June 2017.

The Provider will deliver the service in the following location(s): XX

The Services will be delivered to clients within normal business hours, Monday to Friday. Services may also be provided outside of these times with the client agreement.

Commencement of Services and Enrolment

The Service will deem to begin for a client when the client's enrolment is completed in SORT. A client's enrolment will be deemed to be complete once the Provider has:

- had an initial meeting with the client and confirmed their suitability to participate in the Service; and
- requested, where required, the clients consent to contact and share information with their general practitioner and health and support providers
- carried out an assessment and developed an initial employment plan with the client.

At the completion of the enrolment a client will be considered a participant on the Work to Wellness service.

Cessation of Services and Enrolment

Services to a participant will be deemed to have ceased 12 (twelve) months after the participant's initial placement into fulltime employment under this Service, or prior to this where the:

- provider has been unable to achieve an employment outcome for the participant within six (6) months of their enrolment; or
- a client placed into an employment, exits employment and is unable to achieve another employment outcome within the clients six (6) month enrolment period; or
- the participant is placed into part time employment and not able to achieve fulltime employment within twelve (12) weeks of the employment start date

- (where the participant has completed their six (6) months service duration); or
- the Ministry declines a request to extend the participants duration to achieve a fulltime employment outcome after six (6) months initial service; or
- the Provider wishes to withdraw offering service to that participant; or
- participant is deceased or has permanently left the area that the Provider delivers services
- the Ministry has withdrawn the participant from the service
- the client advises that they no longer wish to participate.

The Provider will be expected to have extensive local networks with support services including health, counselling and budgeting services, employers, industry groups and training providers.

In providing the service, Providers must not make any statements about Flexi-Wage Subsidies or similar to employers. Providers must notify the Work and Income Service Centre/Community Link liaison through SORT should an employer indicate that they would like a subsidy, so that the Service Centre/Community Link can arrange for any appropriate negotiations in that regard.

Final placements into employment for participants on this service, including employment starts, must be made on or before 30 June each financial year, with respect to the financial year in which participation commenced.

6. Service Volume

The service will be delivered to a maximum of XX participants during the term of the agreement.

Where the Provider exceeds the agreed maximum number of participants the Ministry will be under no obligation to make payment for the additional clients serviced, unless this has been previously agreed by the parties in writing. It is the responsibility of the provider to manage their activity in accordance with agreed levels of service.

The Ministry will be under no obligation to make payment for clients who have not been approved to participate in the service.

The Ministry does not guarantee the number of referrals for any contracted volume. The Ministry will endeavour to refer appropriate clients and volumes to the service.

7. Expected Service Outcomes

As a result of their participation in the Work to Wellness service:

- 30% of participants will exit benefit as a result of employment

Of which;

- 90% of participants remain in employment and off benefit for 31 days
- 60% of participants placed into fulltime employment or exit from benefit due to employment will achieve 365 days in employment

Of those clients who do not achieve a benefit exit as a result of employment;

- 30% of participants will exit the service with an increased work-readiness capacity

Increased work-readiness capacity is assessed by the number of participants that achieve other employment. Other employment is defined as less than 15 hours per

week, employment 15-29 hours per week, paid or unpaid employment. This may include work-trials, casual, seasonal, temping agencies employment positions. The period of other employment must be more than 31 Days.

Employment resulting in an exit from benefit may include casual, seasonal, contract positions, temping agencies and self-employment. Positions that are not permanent and fulltime but result in an exit from main benefit may impact on the Provider's retention rates, which are a measurement within the performance targets. Vacancies within the Provider's organisation, labour hire placement and commission positions are not acceptable employment placements by the Provider unless otherwise approved by the Regional Contracts Manager. All placements and employment start dates must occur within the term of the Agreement.

8. Programme Fund

The Programme Fund is a flexible payment that will enable Providers to help participants achieve (or staircase them closer to) their employment goals in 'out of the box' and innovative ways to increase the participant's competitiveness in the labour market.

The guiding principles when applying this include:

- Maximum available value per participant is \$500.00 (GST excl) to cover actual and reasonable participant expenses.
- Does the payment:
 - help the participant become work ready, or allow them to start work by reducing barriers to their employment; or
 - staircase the participant closer to employment, or
 - improve a participant's competitiveness in the labour market?
- Have all other forms of assistance been 'reasonably exhausted'? 'Reasonably exhausted' means there may be other options available, however they may not be the best option for the participant, for example when using the other form of assistance will worsen a participant's financial position to the point where it could impact on the likelihood of achieving their employment goals.
- What are the potential risks of not making this payment? i.e. is this payment the difference between a participant achieving their employment goal, or not achieving their goal?
- Is this payment required to maintain the participant's progress toward achieving their employment goals?
- Is the need or barrier to be addressed recommended by a specialist or expert?
- Is the need or barrier to be addressed noted in the participant's activity log as something that is needed to achieve their employment goals?
- Have you consulted your Regional Contracts Manager (where appropriate)

All of the guiding principles should be considered when applying this fund. Where the guiding principles do not directly relate to employment, these must be discussed with your Regional Contracts Manager.

9. Operating Guidelines

A separate Work to Wellness Operational Guidelines document will provide further guidance for Providers on a range of delivery requirements. A copy of the Work to Wellness Operational Guidelines will be held by both Parties.

The Work to Wellness Operational Guidelines document may be amended as necessary through the period of this Agreement without materially affecting the provisions of the Contract.

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Appendix 2 – Monitoring by the Purchasing Agency

Service/s	Financial Year of Visit	Monitoring or Support Visit Due Date
Work to Wellness	Fiscal Year	31 December 2016 or as otherwise agreed between the Parties.

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Appendix 3 – Regular reporting by the Provider

The Provider shall provide the Purchasing Agency Relationship Manager with the following reports (report templates provided electronically by the Purchasing Agency) and information according to the requirements specified in the Service Specifications.

These reports will be generated by the Provider using standardised reporting templates within the Service Outcome Reporting Tool (SORT). The Provider is responsible for ensuring the information contained in the reports accurately reflects the services provided and current status of its clients, prior to submitting these reports to the Ministry.

Where SORT is unavailable the Ministry will provide reporting templates to the Provider.

Date Due	Report Type	Reporting Required
Each Monday of the week	Weekly Referral Report	A weekly referral report detailing any client self-referrals, GP initiated referrals or Provider identified referrals (known as manual referrals) for approval by the Regional Contracts Manager.
10 working days of the end of each month	Monthly Enrolment Report	Monthly programme report detailing clients that have completed enrolment, clients ceasing participation in the service, clients that had been enrolled but had not completed the enrolment, any declined referrals and any clients not accepted.
10 working days of the end of each month	Monthly Participation Report	Monthly programme report detailing clients that have actively participated in the service.
10 working days of the end of each month	Monthly Outcome Report	Any outcome fees being claimed for clients gaining employment within the month including, client details, employment details and confirmation of the employment period. This report will also include any outcome reporting for clients that meet the 6 months and 12 month continuous employment outcomes.
10 working days after the client completion of the programme	Non- Employment Placement Report	Individual client report showing skills gained and employment options
With invoice for reimbursement	Programme Costs	Details of participant costs met by the Provider

Appendix 4 – Regular Audits of the Provider

Audit and Corresponding Legal Requirement	Anticipated Timeframe for Conducting the Audit
Right of review to ensure Provider is maintaining its Ministry of Social Development Approval Level.	At the Purchasing Agency's discretion.

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Appendix 5 – Payment for Service/s

The Purchasing Agency will pay the Provider for satisfactory completion of the services in accordance with the terms of this Agreement where conditions for payment have been met.

All payments shall be made subject to the receipt from the Provider of the relevant reports, and a valid tax invoice. The Purchasing Agency will verify any claimed off benefit outcomes against its own records prior to payment being made.

All costs associated with the services are included in the funding paid by the Purchasing Agency and the Provider shall not charge participants for any of the services provided under this Agreement.

Payment Type	Conditions	Instalment Amount
Enrolment Fee	A one off-enrolment fee payable for each participant whom it is confirmed that their enrolment has been completed and a Tax invoice has been provided.	\$500.00 per participant
Participation Fee	Payable monthly in arrears on receipt of verification of a client's active participation in the service and a Tax invoice has been provided.	\$250.00 per participant per month. Up to a maximum of \$1,500.00 per participant
Where an enrolled participant is placed into employment one of the following outcome payments can be claimed		
31 Day Fulltime Employment Placement Fee	Payable after 31 Days for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$2,000.00 per participant
31 Day Part-time Employment Placement Fee 15-29hrs	Payable after 31 Days for each participant placed into part-time employment defined as 15-29 hours per week. Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$1,000.00 per participant
31 Day Other Employment Placement Fee – less than 15 hours	Payable after 31 Days for each participant placed into other employment defined as less than 15 hours per week for a period of 31 days. Payable in arrears on receipt of verification of an employment placement and a Tax Invoice.	A maximum of \$300.00 per participant

Payment Type	Conditions	Instalment Amount
Where an enrolled participant is placed into employment resulting in an exit from benefit one of the following outcome payments can be claimed		
Continuous Employment Fee – 182 Days	Payable after 182 Days continuous employment for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of continuous employment of a participant and a Tax Invoice.	A maximum of \$2,000.00 per participant
Continuous Employment Fee – 365 Days	Payable after 365 Days continuous employment for each participant placed into employment resulting in an exit from benefit or fulltime employment (defined as 30 hours per week). Payable in arrears on receipt of verification of continuous employment of a participant and a Tax Invoice.	A maximum of \$3,000.00 per participant
Reimbursement to a Provider for participant costs related to service delivery, wrap-around case management and upskilling. Payable only for participants enrolled in the Work to Wellness Service.		
Programme Fund	Payable quarterly on receipt of confirmation of participant costs on agreement with the Relationship Manager and a Tax Invoice has been provided.	Actual and reasonable costs up to a maximum of \$500.00 per participant

Please note these payments exclude GST. However, payments for GST registered providers will have GST added subject to the terms and conditions of this Agreement.

The Provider may claim a Fulltime Employment Placement for participants that progress from a Part Time Employment outcome. This progressive outcome must occur within the participant's service duration or extension period of twelve (12 weeks). In such cases, payment will be made at 31 days from the commencement of the progressive outcome. The payment will be equivalent to appropriate payment rate, less any outcome payment made for that participant within this service.

Appendix 6 – Conditions the Provider is Responsible for

Condition	Consequence if not Satisfied or Complied with	Before Services Provided	On-going
The Provider must maintain its Approval Level as designated by MSD Approvals and accord with the relevant Approval and Accreditation Standards. The Provider shall suitably criminally vet its personnel and ensure that it has suitable personnel. The Provider will be assessed against Social Sector Accreditation Standards and MSD specific accreditation standards and MSD will determine the appropriate Approval Level.	Suspension of Approval may result in the whole or part of this Outcome Agreement being suspended. Revocation of Approval may result in the whole or part of this Outcome Agreement being Terminated without notice.	Yes	Yes
If the Purchasing Agency requests a review in relation to the Provider's Approval Level, the Provider shall cooperate fully and allow the Purchasing Agency or its authorised agents access to: (a) The Provider's and any of its subcontractor's premises where Services are delivered or records are kept; (b) staff, subcontractors or other personnel involved in providing the Services; (c) records and information about the Services or any payments made under this Outcome Agreement	Termination under clause 12.2(a) of the Framework Terms and Conditions.	No	Yes
The Provider shall ensure it follows the terms of the Outcome Agreement and Framework Terms and Conditions, including any incorporated service specifications or attachments.	Termination under clause 12.2(a) of the Framework Terms and Conditions.	No	Yes
The Provider shall ensure that neither it nor its personnel, including contractors commit any serious criminal act(s) or dishonest behaviour that may bring the Purchasing Agency's reputation into disrepute.	Termination under clause 12.2(a) of the Framework Terms and Conditions.	Yes	Yes
The Provider shall ensure that it remains financially solvent.	Termination under clause 12.2(a) of the Framework Terms and Conditions.	Yes	Yes

Appendix 7 – Conditions the Purchasing Agency is Responsible for

Condition	Consequence if not Satisfied or Complied with	Before Services Provided	On-going
The Purchasing Agency must make payments to the Provider in accordance with Appendix 5.	Termination under clause 12.2(a) of the Framework Terms and Conditions.	Yes	Yes

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Appendix 8 – Incentives (if applicable delete the Nil below or if not applicable delete the below table and remove the yellowing from Nil)

Criteria	Incentive

Nil.

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Appendix 9 – Permitted Information Disclosure

Service	Information to be Published	Audience
All Services	The Provider shall ensure it is listed on the Ministry of Social Development Family Services Directory (http://www.familyservices.govt.nz/directory) and that necessary information is updated when required, unless the Service/s being provided is/are exempt.	General Public.
All Services	The Provider agrees that the Purchasing Agency may make information about this Outcome Agreement such as the Provider's name, level of funding and the nature of the Services including the region where the Services will be delivered, available to the public through the online mapping tool.	General Public.
All Services	Any confidential information. (Despite clause 11.1, personal information may be disclosed without the consent of the individual if that disclosure accords with the Privacy Act 1993.)	May be shared with the Government, including other departments and Ministers.

Appendix 10 – Ownership of New Intellectual Property (IP) (if applicable delete the Nil below or if not applicable delete the below table and remove the yellowing from Nil)

Service	New IP	Owner of the New IP (specify if alone or jointly)

Nil.

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Appendix 11 – Further Terms

Further Term	Consequence (specific and additional to those in the Framework Terms and Conditions)
<p>The Provider accepts that the Purchasing Agency is acting on behalf of the Government and must implement Government instructions.</p> <p>If there is a change of Government policy or a new Government instruction that materially affects the Parties' rights and obligations under this Outcome Agreement, then the Parties will endeavour to agree between them how to vary this Outcome Agreement.</p>	<p>If agreement cannot be reached, the Purchasing Agency may terminate with 30 days written notice.</p>
<p>The Outcome Agreement and individual Services are conditional on receiving the relevant Government appropriation.</p>	<p>Termination of part or whole of this Outcome Agreement without notice.</p>
<p>Where the Provider is supplying Children's Services, as defined in the Vulnerable Children Act 2014, the Provider must adopt, as soon as practicable, a child protection policy. The Provider must ensure that the child protection policy accords with the requirements of section 19 of the Vulnerable Children Act 2014 and review this policy at three year intervals from its first adoption.</p>	<p>Termination of part or whole of this Outcome Agreement without notice.</p>
<p>At the Purchasing Agency's request, the Provider will transfer all specified client information to either the Ministry or another designated provider in accordance with that request. The Provider, when it first enrolls a client, will ensure that it obtains suitable authorisation from him or her to allow a possible future transfer of client files.</p>	<p>Termination of part or whole of this Outcome Agreement without notice.</p>

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FINAL DRAFT



**MINISTRY OF SOCIAL
DEVELOPMENT**

TE MANATŪ WHAKAHIATO ORA

**EFFECTIVENESS OF
CONTRACTED CASE
MANAGEMENT SERVICES ON
OFF BENEFIT OUTCOMES:
MID-TRIAL REPORT**



Authors

Research and Evaluation, Insights MSD

EDRMS id

A8170575

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Acronyms

CCMS	Contracted Case Management Service
GCM	General Case Management
HCD	Health Condition or Disability
LLTBR	Likelihood of Long Term Benefit Receipt (statistical risk model)
MHES	Mental Health Employment Service
MSD	Ministry of Social Development
NSDM	New Service Delivery Model
RCT	Randomised Control Trial
SDM	Service Delivery Model
SPES	Sole Parent Employment Service
WFCM	Work Focused Case Management
WFCM Gen	Work Focused Case Management General
WFCM HCD	Work Focused Case Management Health Condition or Disability
WFCM IS	Work Focused Case Management Integrated Service
WSS	Work Search Support
YP	Youth Payment
YPP	Young Parent Payment

Sources

2015_Trial_CT_analysis.xlsx

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modelling\2015_CntrPlc_Trials

1. Overview

This report summarises the impact of two externally contracted case management services, the Mental Health Employment Service (MHES) and the Sole Parent Employment Service (SPES). This report considers outcomes for the first 18 months of the services to 31 March 2015.¹ In particular, this report considers whether being in either of these case management services changed, on average, the amount of time clients spent off main benefit compared to internally provided case management services.

Externally contracted case management services

Service	Regions	Target group for evaluation
SPES	Auckland, Bay of Plenty, Canterbury, East Coast, Nelson, Taranaki, Wellington	Clients receiving Jobseeker Support benefit with full-time work obligations, ¹ not in a relationship and with a youngest child aged 14-17
MHES	Auckland, Canterbury, Southern, Waikato	Clients receiving Jobseeker Support benefit with part-time or deferred work obligations and any depression or stress medical incapacity ²

Note 1: the evaluation results exclude sole parents with part-time work obligations

Note 2: the evaluation results exclude clients who participated in the MHES after 9 June 2014

Randomised control treatment design

The impact evaluation is based on a randomised control treatment design. For each service, clients who volunteer to participate in a service are randomly assigned to a treatment or control group. The treatment group are referred to a provider, while the control group remain in the internal case management service. The control group represents a counterfactual scenario, what would have happened to the treatment group in the absence of the contracted service.

1.1 Summary of findings

Impact of MHES and SPES on time off main benefit

This analysis considers whether MHES or SPES increased, on average, the total time spent off main benefit in the 12 months after clients started each service compared with similar clients in an internal case management service (WFCM, WSS or GCM).

Note, this analysis does not differentiate between reason for benefit exit (e.g. to employment, migration or prison).

¹ Both the MHES and SPES were introduced in September 2013.

The control group receives active case management assistance as well

Before discussing the results of the evaluation, readers need to understand what we are comparing SPES and MHES against. In both trials, the control group receive a mix of internally run case management services. However, there are significant differences between the two trials in the amount of active case management assistance the control groups received.

Table 1: Number of weeks spent on active service

	Treatment	Control
MHES	22	9
SPES	38	33

Table 1 shows the number of weeks that clients in each of the participant and control groups for the contracted case management services spent on average in active service, either in the external services or in an internal service (i.e. WFCM or WSS).

The key message from Table 1 is that the control group for the SPES spend considerable time in intensive case management services. In other words, for the SPES trial we are comparing external to internal case management models. In contrast, for the MHES trial, the control group spends relatively little time on active case management. In this case, we are comparing contracted case management to a lower intensity service on average. These differences have implications on how we interpret the findings for each trial.

SPES shows a positive impact on time off main benefit

The results show that SPES was successful in increasing the average time off main benefit. We estimate that in the first 52 weeks after a client is referred to SPES, on average, they spend 8 (± 1.8) fewer days on a main benefit than clients in the control group. Recall from the previous section, that this impact is over and above the impact of internally run case management services received by the control group.²

MHES does not show a positive impact on time off main benefit

Our analysis shows that MHES was unsuccessful in increasing the average time off main benefit. Instead, we estimate that in the first 52 weeks after a client is referred to the service, they spend on average 1 (± 1.4) more days on a main benefit than the clients in the control group. We cannot attribute the lack of impact to the control group receiving a high level of case management support.

² MSD (2015) Effectiveness of intensive case management services (WFCM and WSS) on off benefit outcomes at one year: initial results (version1), Ministry of Social Development

We do not think the lack of impact is necessarily related to the contracted out nature of the case management. The evaluation of internal case management services for clients with health conditions and disabilities also show comparatively modest impacts.³

Duration in contracted services

One important reason for the absence of an impact from MHES is the relatively short time the treatment group spend on the service. We found a high dropout rate for the treatment group. For MHES, 48% of referred clients ended the services within 8 weeks after starting. For the SPES the proportion was 35% (refer Figure 5). Changing the operating model for each service to increase the time participants spend with the external provider may help to improve the effectiveness of each service.

1.2 Next steps

We plan to report on the impacts of the SPES and MHES at the end of the trial i.e. the three year mark. At that point we intend to carry out the following additional analysis:

- calculate the cost-effectiveness (Return on Investment) of SPES and MHES
- address the issue of incomparability between the SPES and MHES due to different counterfactual groups

Additional analysis that could be completed at that time (dependent on resourcing and priorities) are:

- examine whether the impact of services differ across providers
- look at other outcomes, such as employment and earnings as well as income support expenditure
- examine the impact of MHES and SPES on sustained exits from benefit

³ MSD (2015) Effectiveness of intensive case management services (WFCM and WSS) on off benefit outcomes at one year: initial results (version1), Ministry of Social Development

1.3 Limitations of the analysis

Readers should take into account the following limitations of this analysis.

- **Overall effectiveness of contracted case management:** The emphasis in this evaluation is on the difference externally contracted case management makes over and above internal case management. What we did not test is the effectiveness of case management in general.
- **Time off main benefit:** We confine our analysis to the impact of SPES and MHES on the time spent off main benefit (excluding temporary suspensions to benefit entitlement). We do not know whether this reduction is because of increased employment or other, less desirable, outcomes.
- **Non-participant effects:** We were unable to examine whether the impacts on SPES clients came at the expense of other groups. In particular, we do not know whether equivalent clients in internal services spent longer on benefit because of the assistance given to clients in SPES (i.e. crowding out effects). If these non-participant effects occur, then they would offset the impacts reported here.
- **Different providers:** We have tested MHES and SPES as homogenous services. In practice there may be significant variation between providers and there may be some providers who are more or less effective than others.
- **Changes to the services from June 2014:**
 - In June 2014 the SPES was extended to include clients on a Sole Parent Support benefit with a youngest child aged 5-13 years. These clients have not been included in the evaluation, and we are unable to assess the effectiveness of SPES for this client group.
 - From June 2014, no new clients were added to the MHES control group for evaluation purposes. As such, the evaluation of the MHES service only includes outcomes for clients who participated in the service from inception to 9 June 2014.
- **The impact of the SPES and MHES are not comparable:** The counterfactual group for SPES and MHES are not equivalent and therefore the impact for the two services cannot be compared with each other. The majority of the SPES control group have been in the Work Focused Case Management internal service, whereas the majority of the MHES control group have been in the General Case Management internal service (see discussion of results, section 3.1).

2. Background

In this background section, we provide a short outline of the two externally contracted case management services, the broad eligibility criteria for the services, the method used to allocate clients to services and how the effectiveness of each service was evaluated.

2.1 Outline of externally contracted case management services

From September 2013, Work and Income began to trial two contracted case management services (CCMS) for clients with specific needs. These were the Mental Health Employment Service (MHES), for clients with mild to moderate mental health issues, and the Sole Parent Employment Service (SPES) for Jobseeker Support benefit clients with a youngest child aged 14-17 years.

In order to learn from the services, each was set up as randomised control trial (RCT) so that the outcomes of clients in the trials could be compared to the outcomes of similar clients in Work and Income's internal case management services (WFCM, WSS and GCM).

- **Sole Parent Employment Service (SPES):** The SPES service was originally provided for clients on a Jobseeker Support benefit with full-time work obligations who are single and whose youngest child is aged 14-17 years. The service is provided in the Auckland, Bay of Plenty, Canterbury, East Coast, Nelson, Taranaki and Wellington regions.

In June 2014 the SPES was extended to include clients on a Sole Parent Support benefit with a youngest child aged 5-13 years. These clients have not been included in the evaluation, and we are unable to assess the effectiveness of SPES for this client group.

- **Mental Health Employment Service (MHES):** The MHES service is provided for clients who are on a Jobseeker Support benefit with part-time or deferred work obligations, with a recorded incapacity of depression or stress. The service is provided in the Auckland, Canterbury, Southern and Waikato regions.

From June 2014, although clients continued to be referred to providers, no new clients were added to the MHES control group for evaluation purposes. As such, the evaluation of the MHES service only includes outcomes for clients who participated in the service from inception to 9 June 2014.

2.2 How are clients allocated to the services?

The evaluation team within Insights MSD (IMSD) randomly generates a call list each week of those clients who meet the eligibility criteria for either the MHES or SPES. These clients are contacted by telephone during the week and asked a

question which is designed to gauge the client's willingness to participate in the CCMS.

Once a client is gauged willing to participate, they are randomised into either a 'treatment' group (i.e. they participate in the service) or 'control' group (i.e. they continue with Work and Income services). For every two clients assigned to the treatment group, one client is assigned to the control group. The clients in the treatment group are referred to the contracted provider in their area and the clients in the control group remain in an internal Work and Income case management service.

This method of allocation enabled Insights MSD to evaluate in a robust manner the effectiveness of the external services compared to the internal services.

2.3 How do clients exit the services?

In practice, clients who are referred to a provider are able to exit from the provider's case management and return to Work and Income case management voluntarily. Providers are also able to exit clients from the service where they felt they would be unable to achieve positive outcomes with that client.

Clients who have been with a provider for six months and have been unable to achieve an exit into employment in that time are exited back into the internal Work and Income case management service.

Clients who are assigned to the treatment group for a particular service and who subsequently exit the service for whatever reason, are still included in the treatment group for evaluation purposes. The implications of this approach are discussed in section 2.5 below.

2.4 How have we evaluated the effectiveness of the MHES and SPES?

Built into service allocation is a randomised control trial (RCT) design. The RCT ensures that for clients assigned to a service (the treatment group), a smaller but equivalent⁴ group of clients are not assigned (the control group). Once a client is randomly assigned to the control group for an external service, they remain in their current internal case management service (e.g. GCM, WSS or WFCM). However, they are still able to be selected for other internal case management services for which they are eligible. For example, a MHES control group client in GCM at the time of assignment can still be selected to a WFCM service they are eligible for at any future time.

The combination of control group, nationally defined eligibility rules and evaluation administered service allocation enabled iMSD to provide robust estimates of the impact of MHES and SPES on client off-benefit outcomes.

⁴ Equivalent means they are eligible for referral to the service, have indicated a willingness to participate and are registered at the same Service Centre.

2.5 Clients who exit the service and remain in the treatment group

As discussed earlier, clients who are assigned to the treatment group for a particular service and who subsequently exit the service at any time, for whatever reason, remain in the treatment group for evaluation purposes. This approach was taken for the following reasons.

- 1) The aim of the trial is to identify what difference a voluntary contracted case management service will have on the outcomes of those clients who agree to participate. The impact results of the RCT, combined with the proportion of the eligible population who volunteer to participate, will tell us:
 - the likely overall impact of each service if it is rolled out nationally
 - the required number of spaces for the service, given a realistic take up rate, and the time participants spend in the service.
- 2) The RCT was designed to estimate the impact on clients willing to participate in each of the contracted services (often referred to as an "intention to treat" design). Any difference in the outcomes between the control and treatment group will reflect both the *design* of the service as well as how well each service operated in *practice*. In particular, if a high proportion of clients referred to the provider spend only a short time on the service and return to Service Delivery, this would cause the average impact (also known as the average treatment effect) for the service to be underestimated at the point of referral.
- 3) Clients exiting from a service may introduce unobserved selection effects.⁵ To avoid introducing unobserved selection effects through exits, we continue to include clients who exited from the CCMS service⁶ in our evaluation. In essence, we are testing the impact on off-benefit outcomes for those clients who are referred to the service whether or not they received a different form of case management from the contracted providers.

Impact on participants who remain with the service is not known

The current RCT design cannot answer the question of what impact the service had solely on those clients who spent time in the service (commonly referred to as "treatment on the treated" or TOT). The reason is that these participants are a sub-group of those referred to service (i.e. treatment group) and we expect they would differ in important ways from those who are referred and did not participate. A TOT estimate is essentially seeking to disregard those in the treatment group who did not "properly" take part, considering only those who were exposed to the intervention as intended. Theoretically, we cannot estimate the TOT because we cannot determine which of the control group are valid

⁵ Selection effects are where individuals are selected for a trial in a way which is not random and therefore introduces some bias. In this case the likelihood that a client would exit the trial is not a random characteristic and so cannot be used as a determinant for involvement in the evaluation.

⁶ Including clients who voluntarily exited and those who were exited by the provider.

counterparts to the remaining treatment group⁷ i.e. we cannot know who within the control group would also not have “properly” taken part (if given the opportunity to do so).

2.6 Participants excluded from this analysis

We have excluded a number of participants in the CCMS from the evaluation. These participants were selected for participation in the services (treatment group) but no corresponding control group was set up. As a result, the impact of the services on them cannot be evaluated.

- **Part-time work obligated SPES clients:** In June 2014, the SPES service was extended to sole parents with part-time work obligations. The original eligibility was limited to clients with full-time work obligations. These clients have not been included in this evaluation.
- **MHES clients after June 2014:** Following June 2014 the control group was discontinued for MHES in order to increase the number of referrals to providers of this service. As a result, clients who participated in the MHES from 9 June 2014 are not included in this evaluation. However, a sufficient number of clients participated in the service prior to this date to provide a sense of how the service performs compared to internal case management. The number of clients who are allocated through the RCT determine the accuracy with which we can determine the impact of the service. If more clients had been allocated, the confidence intervals seen in Figure 4 would be much narrower, and we could say with more confidence what the average impact of MHES is.

⁷ CSRE (2012) Good Practice Guide: Experimental Design, Malatest International

3. Analysis

At this initial stage of the evaluation, we look only at the impact of MHES and SPES on the total time clients spend off main benefit.

3.1 Impact on the time clients spend off main benefit

SPES increased the time participants spend off main benefit

Figure 1 shows the cumulative time off main benefit for clients assigned to SPES compared to the off benefit outcomes of similar clients in internal case management. For example, at 52 weeks after starting SPES, we estimate that SPES participants would have spent an average of 14.4 weeks off benefit, compared to control group clients who spent an average of 13.2 weeks off benefit.

Figure 1: Estimated time off main benefit for SPES compared to internal case management

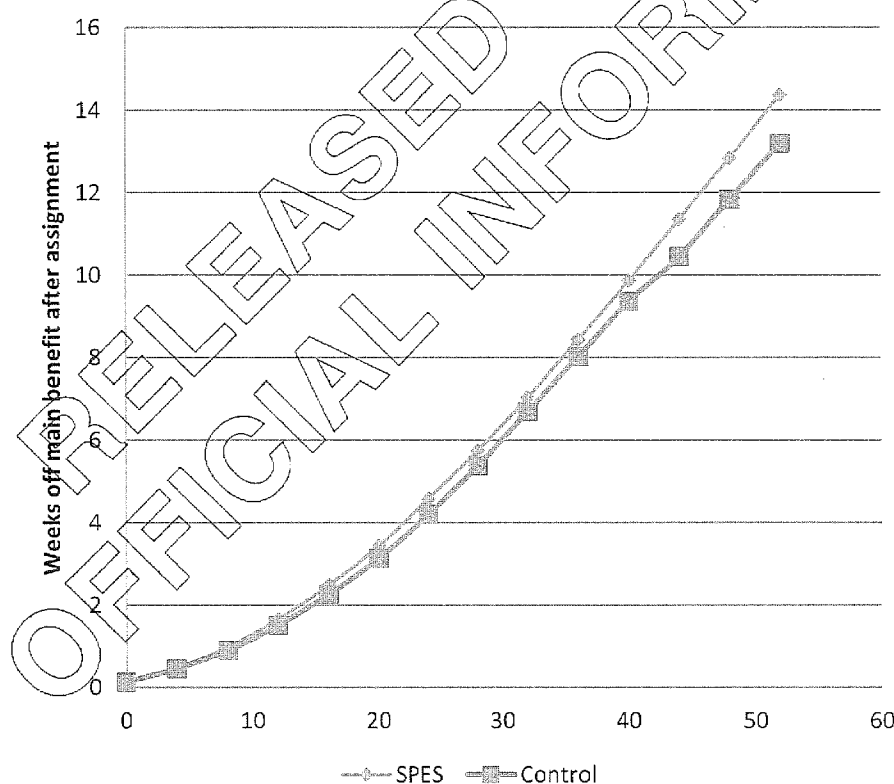
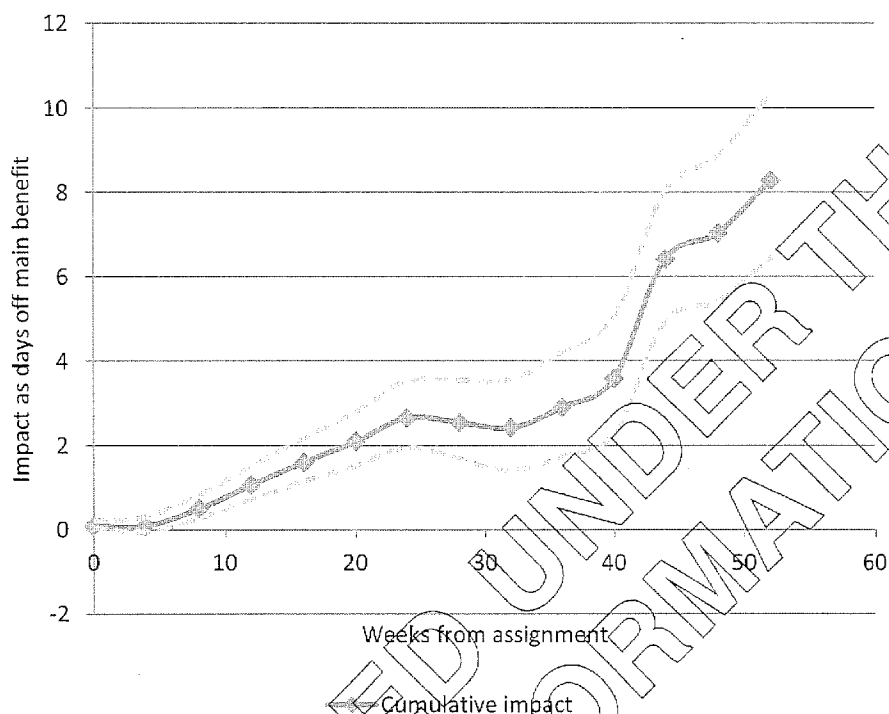


Figure 2 shows the difference in time off main benefit between the control and treatment group and represents the estimated impact of SPES on participants' cumulative time off main benefit. We see a steady increase in the cumulative time off main benefit if clients are in SPES compared to being assigned to

internal case management. After 52 weeks, we estimate that SPES had on average increased the time off main benefit by 8 (± 1.8) days relative to being in internal case management.

Figure 2: Estimated impact of SPES over being in internal case management



1: Increase in time off main benefit from assignment.

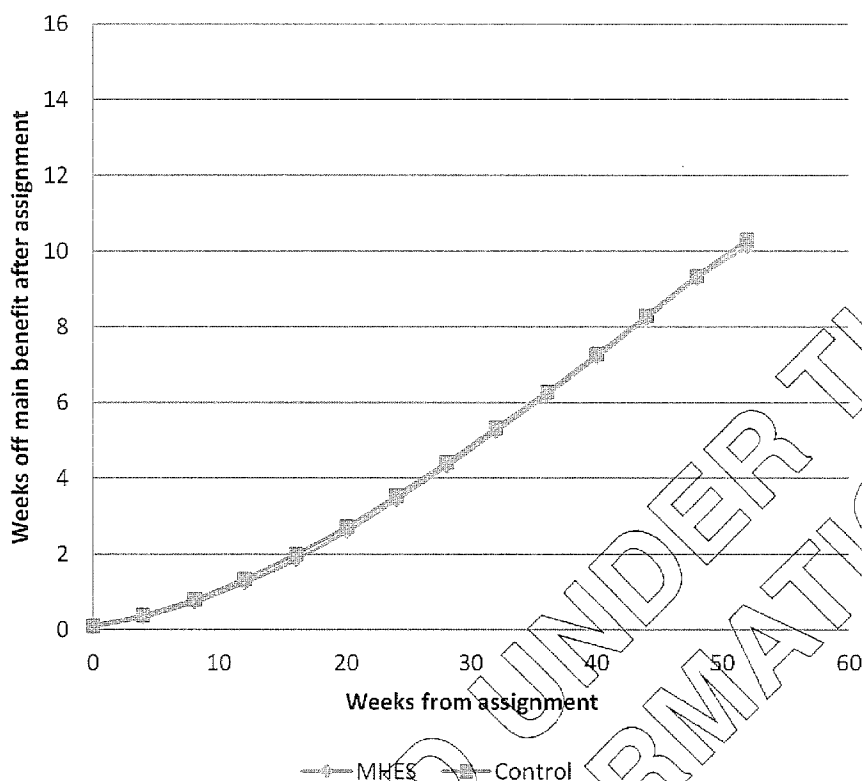
Dotted lines indicate the 95% confidence interval for the impact of the service

Note: Results from 52 weeks have been suppressed because the sample size of either the treatment group or control group is too small to reliably report on outcomes over longer periods. In subsequent updates to this analysis we will be able to extend this follow-up period.

MHES does not increase the time clients spend off main benefit

Figure 3 shows the time off main benefit for clients assigned to MHES compared to the off benefit outcomes of similar clients in internal case management. For example, at 52 weeks after starting MHES, we estimate that both MHES participants and control clients would have spent an average of 10 weeks off benefit.

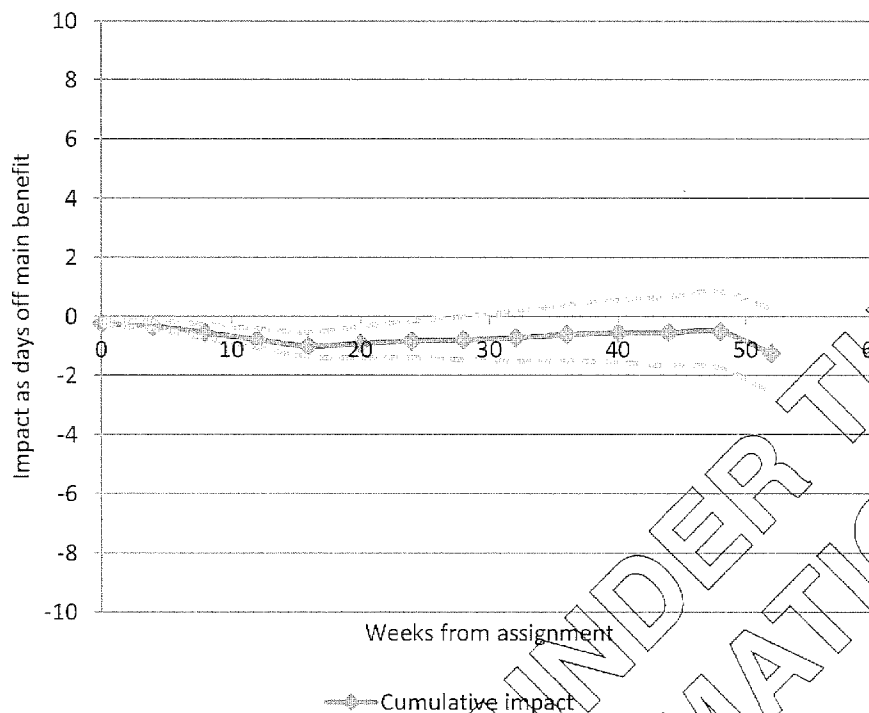
Figure 3: Estimated time off main benefit for MHES compared to internal case management



We can see from Figure 3 that off benefit outcomes are very similar for both the MHES participants and clients who are case managed internally.

Figure 4 shows the impact of MHES relative to internal case management (i.e. the difference between MHES and internal case management outcomes in Figure 3). At 52 weeks we estimate that MHES decreased the cumulative time off main benefit by an average of 1 (± 1.4) days. We can also see from Figure 4 that the impact of the MHES is slightly negative on average for all periods up to 52 weeks following assignment.

Figure 4: Estimated impact of MHES over being in internal case management



1: Increase in time off main benefit from assignment.

Dotted lines indicate the 95% confidence interval for the impact of the service

Note: Results from 52 weeks have been suppressed because the sample size of either the treatment group or control group is too small to reliably report on outcomes over longer periods. In subsequent updates to this analysis we will be able to extend this follow-up period.

Duration in intensive case management services

Analysis of the time that clients spend in intensive case management services

At the point of being assigned to the control group, the control group for the SPES trial was predominantly made up of clients in WFCM-Gen (WFCM-Gen (63%), GCM (9%) and WSS (27%)). The proportions at the time of assignment have remained fairly constant over the 18 month period.⁸ As such, the evaluation is comparing the SPES service predominantly with medium to high intensity Work and Income services.

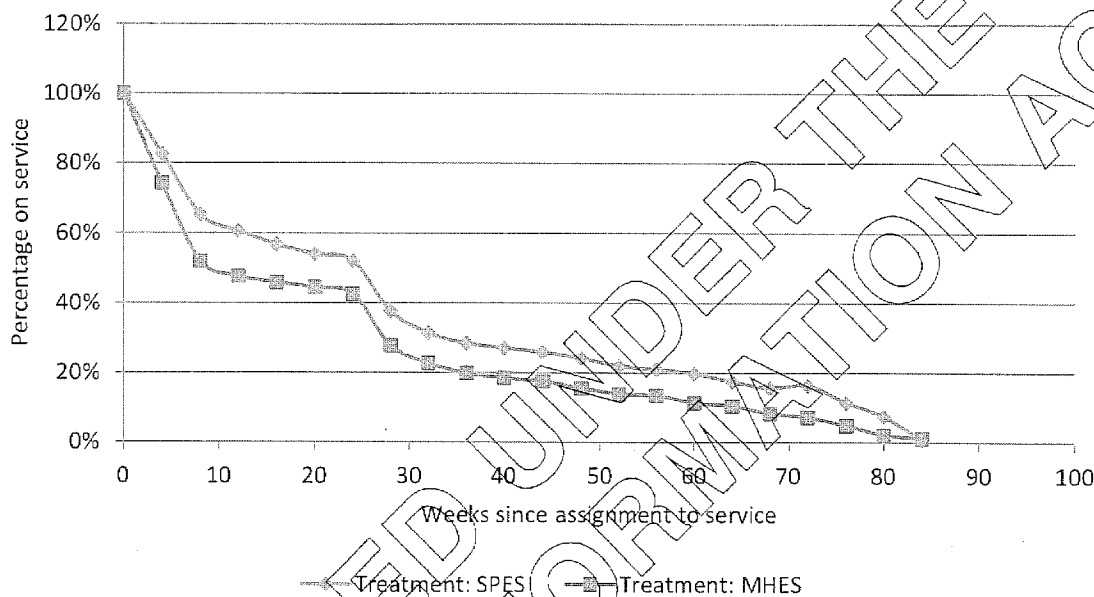
At the point of being assigned to the control group, the control group for the MHES trial was predominantly made up of clients in GCM (GCM (82%), WFCM-Gen and WFCM-HCD (18%)). The proportions at the time of assignment have remained fairly constant over the 18 month period. The evaluation is comparing the MHES service predominantly with the lowest intensity Work and Income service.

⁸ Clients in the control group move between various internal services as eligibility allows.

Survival of treatment group clients on Contracted Case Management service

Clients exited from both CCMS services in large proportions in the weeks following referral. In the case of SPES 35% of clients exited in the first eight weeks. In the case of MHES 48% of clients exited in this period. These clients will have received very little provider support. However they are still included in the treatment group for our analysis (see discussion in section 2.5).

Figure 5: Survival of clients remaining in CCMS



Discussion of results

SPES

We do not know the reason SPES is achieving significantly better outcomes than the internal Work and Income services, especially given the comparison group for SPES is already experiencing an effective service.⁹ The impact of the SPES is over and above this effect. A qualitative evaluation of the SPES would potentially be able to answer the 'how' and 'why' type questions behind these results e.g. how practices differ between providers and internal case management, and why client behaviours differ between the two.

MHES

⁹ MSD (2015) Effectiveness of intensive case management services (WFCM and WSS) on off benefit outcomes at one year: initial results (version1), Ministry of Social Development

One possibility for the outcomes from the MHES is the fact that a large proportion of clients who were referred to the service exited before the provider had much (if any) time to work with them (see Figure 5). These exited clients remain part of the treatment group (see discussion in section 2.5), but they actually received an internal Work and Income service for the majority of the time.

In addition, we note that the assessment of the impact of the Service Delivery Model at one year also showed no significant difference for the more intensive WFCM HCD service (for clients with a health condition or disability with deferred work obligations) or the WFCM Gen service (for clients with a health condition or disability with part-time work obligations) over and above outcomes for GCM, although both were trending in a positive direction.¹⁰

As discussed earlier in the report, this analysis excludes clients who participated in the MHES after 9 June 2014. As such, any changes providers or Work and Income made to their services after that date will not be taken into account in these results.

The impact of the SPES and MHES cannot be compared with each other

The counterfactual group for SPES and MHES are not equivalent and therefore the impact of the two services cannot be compared with each other. The majority of the SPES control group have been in the Work Focused Case Management internal service, whereas the majority of the MHES control group have been in the General Case Management internal service. Adjusting the counterfactual group for time spent in each internal service is a complex task. This issue will be addressed in the three year evaluation analysis.

¹⁰ MSD (2015) Effectiveness of intensive case management services (WFCM and WSS) on off benefit outcomes at one year: initial results (version1), Ministry of Social Development

Appendix

The following monitoring data is as at 1 April 2015

SPES	Count	Percentage
Placed on call list	15,568	
Able to be contacted	10,146	65.2%
Unable to be contacted	5,422	34.8%
Of those who were able to be contacted: (10,146)		
Opted into the service	4,916	48.5%
Opted out of the service	3,622	35.7%
Unable or unwilling to answer the amenability question	1,608	15.9%
Of those who opted into the service: (4,916)		
Referred to service	3,560	72.4%
Of the referred group: (3,562)		
Declined by provider	164	4.6%
Exited from service	2,152	60.4%
Currently enrolled	1,246	35%

MHES	Count	Percentage
Placed on call list	14,660	
Able to be contacted	11,732	80%
Unable to be contacted	2,928	20%
Of those who were able to be contacted: (11,732)		
Opted into the service	5,186	44.2%
Opted out of the service	4,498	38.3%
Unable or unwilling to answer the amenability question	2,048	17.5%
Of those who opted into the service: (5,186)		
Referred to service	3,730	71.9%
Of the referred group: (3,730)		
Declined by provider	48	1.3%
Exited from service	2,672	71.6%
Currently enrolled	1,010	27.1%