

## EVALUATION REPORT

### **Divert Plus**

#### **Pilot Trial report**

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## About the Youth Endowment Fund

The Youth Endowment Fund (YEF) is a charity with a mission that matters. We exist to prevent young people and young people from becoming involved in violence. We do this by finding out what works and building a movement to put this knowledge into practice.

Young people and young people at risk of becoming involved in violence deserve services that give them the best chance of a positive future. To make sure that happens, we'll fund promising projects and then use the very best evaluation to find out what works. Just as we benefit from robust trials in medicine, young people deserve support grounded in the evidence. We'll build that knowledge through our various grant rounds and funding activity.

And just as important is understanding young people and young people's lives. Through our Youth Advisory Board and national network of peer researchers, we'll ensure they influence our work and that we understand and are addressing their needs. But none of this will make a difference if all we do is produce reports that stay on a shelf.

Together, we need to look at the evidence and agree what works, then build a movement to make sure that young people get the very best support possible. Our strategy sets out how we'll do it. At its heart it says that we will fund good work, find what works and work for change. You can read it [here](#).

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## About the evaluator

Cordis Bright was commissioned to undertake an evaluation of Nottinghamshire Violence Reduction Partnership's Divert Plus programme as part of YEF's 'Another Chance'-themed grant round.

Cordis Bright ([www.cordisbright.co.uk](http://www.cordisbright.co.uk)) believes that public sector services can change lives for the better. We work collaboratively with our clients to deliver improved outcomes for service users and their families. We provide research, evaluation, consultancy and advice aimed at improving public services. Our team has a unique combination of consultancy, research and evaluation skills, with previous experience in practice, management, leadership and inspection. Cordis Bright offers a range of research and evaluation services which aim to improve the evidence base from which public services are delivered.

The evaluation team included Caitlin Hogan-Lloyd (Senior Consultant), Dr Stephen Boxford (Director and Head of Research), Professor Darrick Jolliffe (Associate), Kam Kaur (Director and Head of Safeguarding) and Bonnie Butler (Researcher).

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## Glossary

Term	Definition
<b>Study type<sup>1</sup></b>	
<b>Feasibility study</b>	A study for an intervention that is in a very early stage of development and could benefit from further refinement and specificity. This is a study to establish the feasibility of an intervention's core activities, as well as its ability to recruit and retain participants. Feasibility studies aim to ensure that the intervention is ready for piloting.
<b>Pilot trial</b>	A study for a relatively well-specified intervention that is undertaken to determine whether a full efficacy study is feasible. It may also involve testing the feasibility of different designs and methods for a future impact evaluation (e.g. methods for recruiting and randomising participants and collecting outcome data).
<b>Internal pilot trial</b>	A pilot trial which may form the first part of an efficacy study, and the outcome data generated may contribute to the final analyses.
<b>Efficacy study</b>	A study which tests whether an intervention works under ideal conditions.
<b>Evaluation terms<sup>2</sup></b>	
<b>Control/signposting group</b>	Young people who were randomly allocated to this group were signposted by the Divert Plus team to services they would be able to access as part of business as usual and were provided with business-as-usual safeguarding support. The terms 'control' and 'signposting' are used interchangeably throughout this report.
<b>Treatment/Divert Plus group</b>	Young people who were randomly allocated to this group received support from the Divert Plus team. The terms 'treatment' and 'Divert Plus' are used interchangeably throughout this report.

<sup>1</sup> Listed in chronological order – i.e. by which study is usually conducted first. Definitions are those used by YEF. See <https://youthendowmentfund.org.uk/wp-content/uploads/2022/03/3.-YEF-Evaluations-Guidance-Pilot-studies-March-2022.pdf>.

<sup>2</sup> Listed in alphabetical order.

Term	Definition
<b>Programme terms<sup>3</sup></b>	
<b>Case management</b>	A designated case manager is responsible for providing supervision through regular and agreed contact and being accessible to the child (and their parents or carers). Some of their responsibilities include engaging the child and building a positive relationship; ensuring assessments are undertaken, kept up to date and regularly reviewed; and managing closure of the order/contact with the child. <sup>4</sup>
<b>Group offences</b>	An offence involving two or more people as co-defendants.
<b>Mentoring</b>	A mentor is a specially trained practitioner who works with a young person to support their development by focusing on issues such as pro-social relationships, self-esteem, problem-solving and communication skills. Mentoring programmes have been shown to positively impact outcomes which are often associated with later involvement in violence, such as substance misuse, behavioural difficulties and educational outcomes. <sup>5</sup>
<b>Out of court disposal options</b>	Options which can be used when young people have admitted an offence but it is not in the public interest to prosecute, as it is not always appropriate for young people who commit a crime to be sent to court. The range of options include 1) No further action, 2) community resolution, 3) youth caution and 4) youth conditional caution. <sup>6</sup>
<b>Restorative justice (RJ)</b>	A process which brings those harmed by crime or conflict and those responsible for the harm into communication, enabling everyone affected by a particular incident to play a part in repairing the harm and finding a positive way forward. <sup>7</sup> The RJ process provides those involved in an offence with the opportunity to share their thoughts and feelings about the event, with the aim of reducing reoffending and supporting individuals to feel more confident in finding their own way forward which best meets their needs. The RJ process is

<sup>3</sup> Listed in alphabetical order.

<sup>4</sup> See <https://www.gov.uk/guidance/case-management-guidance/how-to-work-with-children>. Last accessed 8 December 2023.

<sup>5</sup> See [https://youthendowmentfund.org.uk/wp-content/uploads/2022/10/Mentoring-Technical-Report\\_Final.pdf](https://youthendowmentfund.org.uk/wp-content/uploads/2022/10/Mentoring-Technical-Report_Final.pdf). Last accessed 8 December 2023.

<sup>6</sup> See <https://yjresourcehub.uk/out-of-court-disposals-and-prevention.html>. Last accessed 8 December 2023.

<sup>7</sup> See <https://restorativejustice.org.uk/what-restorative-justice>. Last accessed 8 December 2023.

Term	Definition
	voluntary and based on ongoing informed consent – everyone has the right to withdraw at any point. <sup>8</sup>
<b>Speech and language therapy and assessment</b>	Speech and language therapists work with children and young people who, for physical or psychological reasons, have problems speaking and communicating. Speech and language therapy can help children with a variety of conditions, including learning difficulties, hearing impairments and developmental language disorders. <sup>9</sup>
<b>Teachable moment</b>	An opportunity for instruction and learning with a view to cognitive or behavioural change.
<b>Voluntary interview</b>	Questioning by the police that takes place at the police station in circumstances where the interviewee is not under arrest. <sup>10</sup>

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<sup>8</sup> See <https://restorativejustice.org.uk/sites/default/files/The%20RJC%27s%20Principles%20of%20Restorative%20Practice.pdf>. Last accessed 8 December 2023.

<sup>9</sup> See <https://www.healthcareers.nhs.uk/explore-roles/allied-health-professionals/roles-allied-health-professions/speech-and-language-therapist>. Last accessed 8 December 2023.

<sup>10</sup> See <https://www.stuartmillersolicitors.co.uk/voluntary-police-interview-what-happens/>. Last accessed 8 December 2023.



## The project

The Divert Plus programme aimed to prevent 10–17-year-olds who have been arrested for violence (or offences with risk factors for future involvement in violence) from offending and reoffending. It aimed to do so by reaching young people at the key moment after arrest, when they may be more open to change and by ensuring that a tailored package of support is then provided. Delivered by Nottingham City and Nottinghamshire Violence Reduction Partnership (VRP), the programme's intended model had six proposed components:

1. A conversation at the key moment of arrest: young people would be offered a conversation (intended to be within the custody suite or within 24 hours at the young person's home). The conversation would aim to reduce the trauma of the arrest, provide information about the process and detail the out of court options available to the young person where there is an admission of the offence.
2. An assessment and personal change plan: this would be delivered in a follow-up meeting; the intention was that a Divert Plus practitioner would conduct a full assessment of the young person. This would support the tailoring of the programme and the development of a personal change plan with the young person.
3. Speech and language assessment and therapy: where assessments identified a speech and language need, the young people would be referred to a speech and language therapist.
4. Mentoring for between three and nine months: this aimed to build on the trusted relationship established during the 'moment' of arrest and to work on a range of issues such as emotional regulation.
5. Restorative justice (RJ): where the young person had made an admission of guilt following the arrest, they could be offered RJ for less serious offences.
6. Out of court disposal (O OCD): young people would be informed about the option to accept an O OCD; this is where the offence is admitted, and the young person does not need to go to court. They could, instead, face no further action, community resolution, a youth caution or youth conditional caution.

The YEF funded a pilot trial evaluation of Divert Plus. The evaluation aimed to ascertain the effectiveness of the trial recruitment, randomisation, retention and data collection processes. It also aimed to establish the sample size that would be required for a future, larger efficacy study and explore whether Divert Plus could effectively recruit enough young people to meet this sample size. The acceptability of the randomised controlled trial (RCT) design to Divert Plus stakeholders was also assessed.

Young people were allocated to a treatment (Divert Plus) or a control group (signposting). Those in the treatment group received Divert Plus, and those in the control group received signposting to other services and safeguarding support. A total of 24 young people (and their parents/carers) gave full written consent to take part in the Trial; 16 were randomised to the Divert Plus group and eight to the control. Quantitative data was compiled from monitoring data on background characteristics, activity and dosage, and outcome measures were collected at baseline and nine months. Outcomes measures included the Strengths and Difficulties Questionnaire (SDQ) and the Self-Reported Delinquency Scale (SRDS). Qualitative methods included interviews with 10 project staff and 12 stakeholders from partner organisations. The trial was conducted from January 2022 to July 2023.

### Key conclusions

It proved very challenging to recruit young people for the trial. Of the 202 potentially eligible young people, only 33 (16%) provided initial consent to participate. Retention of young people in the control group also proved difficult; only 38% completed questionnaires after nine months (5 out of 13 who gave initial consent and were randomised), compared to 80% in the treatment group (16 out of 20).

The outcomes measures used appeared to be reliable, valid and practical. Power calculations suggest that a future efficacy study of Divert Plus would require 338 young people. This suggests that 528 young people would need to be recruited to obtain a sufficient sample size for an efficacy study, accounting for the overall attrition of 36% experienced by the programme so far.
Several elements of the Divert Plus theory of change require clearer definition before a larger trial. When initial conversations take place, the role of case managers, the role of mentors, the speech and language offer and the part played by Restorative Justice all require clarification and greater consistency. A future efficacy study would also require a better process for collecting delivery monitoring and dosage data.
Divert Plus staff members reported that the programme was effectively diverting children away from the criminal justice system via OOCs. They also perceived that the speech and language provision offered to children was helping to better meet their needs. There was not sufficient quantitative data to confirm these outcomes.
Divert Plus is not yet ready to move to a larger efficacy RCT. It requires a clearer definition of the theory of change and further consideration of how to recruit enough young people.

## Interpretation

While recruitment, consent and randomisation processes improved during the trial, it remained challenging to recruit young people. Of the 202 potentially eligible young people, only 33 (16%) provided initial consent to participate. It is difficult to determine from the data available whether the main challenge lies in a lack of capacity amongst case managers to meet all young people or in young people declining to participate. More consistent recording of meetings with eligible young people and rates of consent would help to clarify this. Retention of young people in the control group also proved difficult; only 38% of young people who gave initial consent and were randomised to the control group completed questionnaires after nine months (five out of 13), compared to 80% in the treatment group (16 out of 20). To support retention, stakeholders discussed options, including a shorter timeframe for collecting questionnaires and improved 'keeping-in-touch' strategies, such as more contact with Divert Plus practitioners for the control group.

The outcome measures used appeared to be reliable, valid and practical, with young people being able to complete them. Power calculations suggest that a future efficacy study of Divert Plus would require 338 young people to detect a 15% relative reduction in reoffending. This suggests that the Divert Plus programme would need to recruit and randomise 528 young people to obtain a sufficient sample size in an efficacy study, accounting for the overall attrition of 36% experienced by the programme so far. It seems unlikely that Divert Plus could recruit enough young people to meet this required sample in the time originally suggested for a larger trial. It is also unclear whether the programme would have the capacity to meet this additional demand.

Several elements of the Divert Plus theory of change require clearer definition before a larger trial. When initial conversations take place, the role of case managers, the role of mentors, the speech and language offer and the part played by RJ all require clarification and greater consistency. It is not currently possible, based on the monitoring data provided by case management systems, to ascertain with confidence the activity and dosage delivered as part of the programme. Recording of delivery monitoring and dosage data within case management systems would need to improve if the programme were to progress. Divert Plus staff members reported that the programme was effectively diverting children away from the criminal justice system via OOCs. Staff also perceived that the speech and language provision offered to children better met their needs. There was not sufficient quantitative data to confirm these outcomes.

Those working in or close to the Divert Plus team have become more accepting of and committed to the RCT design over time. There is a shared understanding of the need for the study to generate evidence for the programme. However, some resistance from partners remains. If it is to progress to an efficacy study, the programme will require clear, strong leadership within the Divert Plus team, supported by senior oversight and input from the VRP, local authorities and police, to ensure successful delivery and communication to partners. YEF is not proceeding with further evaluation at this stage, as Divert Plus is not yet ready to move to a larger efficacy RCT. It requires a clearer definition of the theory of change and further consideration of how to recruit enough young people.

## 1. Introduction

This report presents the findings of an internal randomised control trial (RCT) pilot and implementation and process evaluation (IPE) of the Nottinghamshire Violence Reduction Partnership's (VRP) Divert Plus programme.

The Divert Plus programme was designed in response to a recognition that young people who have been arrested are a vulnerable group, and the period immediately following arrest is seen by some to be a crucial window of opportunity to intervene and change young people's trajectories. Engaging young people in support and services at that point may provide the best chance to effect a change in behaviour and reduce the likelihood of future offending behaviour.

The Divert Plus programme aimed to reach young people aged 10–17 who have been arrested for violence or offences with risk factors for violence. It aimed to reach them at the 'moment' of arrest in the custody suite (or within 24 hours at home), when they may be more open to change, and to engage them in a tailored package of support to address common risk factors. The Divert Plus offer to young people aimed to include mentoring, speech and language therapy (SALT), support with out of court disposals (OOCs) and restorative justice (RJ) where appropriate. In so doing, the programme aimed to reduce young people's vulnerabilities and risk of reoffending (more detail on the programme's intended outcomes can be found in Section 1.2.2).

The pilot trial and IPE that this report is based on took place in Nottinghamshire and Nottingham City between January 2022 and July 2023. The fieldwork took place between May 2022 and July 2023. Recruitment for the internal pilot trial took place between May and September 2022. This was the period during which baseline outcomes measures for the internal trial were taken. Recruitment and collection of baseline measures continued until July 2023, with the hope that this data could inform a future full efficacy study. From this point on, we will refer to the internal pilot trial simply as 'the pilot trial'.

Time 2 outcomes measures were taken approximately nine months after baseline measures for young people recruited to the pilot trial. This was because nine months was reported by Divert Plus stakeholders to be the average (mean) length of the intervention during the evaluation scoping phase. Please see Section 2.1.3 for more information about this pilot trial and Section 2.6 for a timeline of the trial.

This section presents information about:

- The policy context, evidence and theoretical and scientific background for Divert Plus
- The rationale for evaluating Divert Plus using an RCT approach

### 1.1 Background

#### 1.1.1 National context

Nationally, Divert Plus was delivered in a context where the UK government's Serious Violence Strategy (HM Gov, 2018) recognised that 'tackling serious violence is not a law enforcement issue alone. It requires a multiple strand approach involving a range of partners'. There was also a recognition of the need for evidence about what works in preventing and/or reducing young people's involvement in offending and violence.

The Divert Plus programme and its evaluation are funded by the Youth Endowment Fund (YEF), which is one of a number of What Works Centres that aim to inform policy by generating robust evidence about the impact of interventions.

The YEF toolkit suggests that, on average, programmes involving mentoring approaches similar to Divert Plus are likely to have a moderate impact on violent crime. It states that mentoring is effective in both reducing crime and the behaviours associated with crime and violence, with research suggesting that, on average, mentoring reduces violence by 21%, all offending by 14% and reoffending by 19%.<sup>11</sup>

The YEF toolkit suggests that we can be moderately confident in the estimates of the average impact on violent crime, meaning that the evidence base needs further development. In line with the YEF toolkit, there is emerging evidence that programmes that include mentoring approaches may support young people to stay out of crime, but more research is needed in this area (Jolliffe and Farrington, 2008).

There is significant interest in the potential value of reaching young people at a ‘teachable moment’ or ‘moment’ when they may be more open to accepting support and changing their behaviour. However, there is currently a lack of rigorous evidence to support the value of the ‘moment’. This study aimed to contribute to knowledge in this area.

### **1.1.2 Why was the Divert Plus programme needed?**

In the UK, there is limited robust evidence about what works to reduce offending among young people. In particular, the evidence is limited for the long-term effectiveness of interventions that work to reduce offending in young people aged 10–17 at risk of involvement in serious youth violence (SYV). As noted above, there is emerging evidence that programmes that include mentoring approaches may support young people to stay out of crime, but more research is needed in this area (Jolliffe and Farrington, 2008; Taussig et al., 2021).

Divert Plus was a relatively new intervention designed by Nottinghamshire VRP and funded initially by the Home Office before beginning YEF-funded delivery in May 2022. It aimed to offer mentoring, SALT and support with OOCs and RJ where appropriate to understand the potential of reaching young people at the ‘moment’ of arrest and providing them with support through these activities to reduce further offending. The YEF commissioned Cordis Bright to conduct an internal pilot RCT to understand whether an efficacy study of the Divert Plus programme would be feasible in order to assess its potential to impact the offending behaviour of participants.

The Divert Plus programme was also designed in response to a local need in Nottingham City and Nottinghamshire and emerging local evidence, discussed in more detail in Section 1.1.3.

### **1.1.3 Divert Plus takes an evidence-based approach**

Divert Plus sought to prevent young people in Nottinghamshire from (re)offending by building on and responding to the following:

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<sup>11</sup> See <https://youthendowmentfund.org.uk/toolkit/mentoring-2/>. Last accessed 7 September 2023.

- Divert Plus stakeholders reported that the point of arrest, prior to charge and court action, is a key ‘moment’ for young people at risk of perpetrating violence, representing a window of opportunity in which positive engagement with the young person can impact swiftly on their pathway through the justice system and also potentially prevent offending in the future. Local evidence for the effectiveness of engaging young people at this ‘moment’ in Nottingham City has come from the U-turn intervention, which local monitoring suggests reduced reoffending. It achieved this through the provision of trained youth workers in custody who provided coaching and mentoring to get young people aged 16–26 into employment.<sup>12</sup> Divert Plus sought to build on this promising evidence of the impact of engaging young people in custody, working with a younger cohort of children (aged 10–17), with the aim of preventing and/or reducing reoffending.
- Local data suggests that more than three-quarters of young people known to the Youth Justice Service (YJS) in Nottinghamshire County and Nottingham City have speech and language needs (Haddon and Dominey-Hill, 2020). If not identified and addressed, the risk of the young person going on to commit violent offences or experience exploitation is increased (NIHR, 2021; Nottingham City Council, 2020). Currently, young people with speech and language needs are not being identified and are not provided with sufficient support to address their needs. Local data gathered in Nottingham City and Nottinghamshire County suggested that 64% of YJS cases are not referred to or discussed with the speech and language team despite having speech and language needs (Haddon and Dominey-Hill, 2020).
- Young people get involved in violence and re-offend for a range of reasons, including:
  - They lack an understanding of the impact of crime on victims (Owen and Fox, 2011).
  - They have difficulties with emotional regulation (Kemp et al., 2017).
  - They experience delays in the swift administration of justice (Ministry of Justice, 2013).
- The propensity for involvement in violence is also increased by low levels of pro-social values, positive relationships (Boxford, 2013; Na and Paternoster, 2019) and self-esteem (Mier and Ladny, 2017).
- Mentoring can have a positive impact on some of the outcomes mentioned above, which are often associated with later involvement in violence in young people. For example, Gaffney, Farrington and White (2022) found that mentoring had a positive impact on substance misuse, behavioural difficulties, educational outcomes, social connections and emotional health. It is suggested that mentoring can reduce the likelihood of offending by providing the young person

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<sup>12</sup> In 2019/20, Nottingham and Nottinghamshire VRP monitoring states that the U Turn programme connected with 133 offenders at custody suites, approximately 80% of which were arrested for violent crime. There was only capacity to support 28 of those offenders with intensive mentoring. However, 100% of these have not re-offended within the 12 months’ timeframe.

with a positive role model with whom they can develop a trusted relationship, which may enhance the young person's engagement with an intervention.<sup>13</sup>

- Taking part in the RJ process can reduce a young person's likelihood of reoffending by 14%.<sup>14</sup>

Divert Plus aimed to respond to this emerging evidence and local need by:

- Engaging young people from the point of arrest in the custody suite or within 24 hours at home, otherwise referred to as the 'moment'
- Offering case management support
- Offering speech and language assessment and support where necessary
- Offering mentoring
- Offering support for OOCs
- Offering RJ opportunities where appropriate

## 1.2 Intervention

This section provides an overview of the intended model of Nottinghamshire VRP's Divert Plus programme. It outlines:

- Who the programme aimed to work with
- What the programme aimed to do and how it intended to achieve its desired impact
- What inputs were required to deliver the programme
- The theory of change of the programme

### 1.2.1 Who does the programme aim to work with?

The target group for the Divert Plus programme and, therefore, the internal pilot RCT was young people who:

1. Were aged 10-17
2. Consented to participate in the programme
3. Had been arrested for violence or offences with risk factors for violence, such as drug dealing or substance use/misuse, gang involvement, weapon carrying, bullying perpetration and aggression

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<sup>13</sup> See <https://www.justiceinspectorates.gov.uk/hmiprobation/research/the-evidence-base-youth-offending-services/general-models-and-principles/Relationship-based-practice-framework/>. Last accessed 11 December 2023.

<sup>14</sup> See [https://restorativejustice.org.uk/sites/default/files/resources/files/kn1b\\_info\\_packs%20%282%29%20yot.pdf](https://restorativejustice.org.uk/sites/default/files/resources/files/kn1b_info_packs%20%282%29%20yot.pdf). Last accessed 11 December 2023.

These eligibility criteria were researched and agreed upon by Nottinghamshire VRP, Cordis Bright and the YEF.

The trial was limited to a focus on sole offenders because of the potential challenges associated with randomising young people arrested for the same crime to different groups (i.e. treatment or control). If Divert Plus were to run outside of a trial environment, group offenders would be included in the programme.

### **1.2.2 What does the programme aim to do, and how does it aim to do it to achieve its desired impact?**

Divert Plus aimed to deliver the range of activities listed below in their original formulation. The extent to which these activities were delivered as intended and the degree of specification of the model is discussed in Section 3.2.7.

#### **1. The 'moment'**

The 'moment'<sup>15</sup> was intended to start with the offer of a conversation with a member of the Divert Plus team, either in the custody suite or within 24 hours at the young person's home. It sought to enable the following to take place:

- Reducing the trauma of the event of arrest and replacing this with constructive thought and dialogue
- Providing information about the process in which the young person is involved in a way that they could engage with. This information could also be of benefit to parents/carers.
- Providing information about out of court options where there was an admission of offence(s) and encouraging this option

#### **2. Assessment and personal change plan**

In a follow-up meeting after the 'moment' and when the young person's consent had been obtained, the intention was that a Divert Plus practitioner would conduct a full assessment of the young person, informed by their social care (where applicable) and education records as well as information provided by the young person.

An assessment tool was developed for use across the Divert Plus teams in both Nottingham City and Nottinghamshire County custody suites. The tool was designed to produce assessments of the young person's risk of serious harm, the likelihood of reoffending and concerns about safety and well-being. Each area would be given a rating of low, medium, high or very high, for which practitioners would have to give a rationale based on their professional judgement. Practitioners would also list known factors for and against the young person's likely desistance from offending as well as considerations for how these would be promoted or addressed. This would assist the Divert Plus practitioner in tailoring the scheme and determining the dosage of the support offered.

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<sup>15</sup> The 'moment' is expected to be more impactful when delivered in custody suites, but where this is not feasible, the team aims to deliver the intervention in the child's home or another suitable location.

The Divert Plus practitioner would then co-develop a personal change plan with the young person based on their needs. The plan aimed to detail the support that the young person would receive from Divert Plus, and both the young person and the Divert Plus practitioner would sign up for it.

### 3. Speech and language assessment and therapy

As outlined in the co-developed Divert Plus theory of change, more than 75% of young people arrested in Nottingham and Nottinghamshire have speech and language needs (Hadden and Dominey-Hill, 2020). If not identified and addressed, there is evidence that the risk of the young person going on to commit violent offences or experience exploitation is increased (NIHR, 2021; Nottingham City Council, 2020).

As a response to this evidence, the initial Divert Plus assessment was designed to include screening for speech and language difficulties. All cases where there was evidence of an issue could, with consent, be referred to the speech and language therapist for a fuller assessment. The speech and language therapist would then provide a report on the young person's communication needs, meaning that the Divert Plus team could work with the young person in an appropriate way and build this knowledge into tailoring the personal plan. This would then enable the young people to engage in and benefit from the mentoring and other Divert Plus activities.

If a young person received a SALT score of 20+ using the AssetPlus speech, language, communication and disability screening tool,<sup>16</sup> the intention was that they would receive SALT for a minimum of three months. If they received a score of 16–20, the Divert Plus practitioner would receive relevant advice on how best to support the young person. If the young person received a score below 16, no speech and language support would be required. Speech and language assessments would be shared with education/training providers of the young people assessed.

### 4. Mentoring schemes

Divert Plus was to include three mentoring schemes across Nottingham City and Nottinghamshire County delivered by two voluntary sector providers (Stronger People and Breaking Barriers Building Bridges) and Nottinghamshire County Council's in-house mentoring project, Remedi. The content of the offer aimed to be as structured and consistent as possible across all three providers. All three organisations would operate to be available when young people needed to access them, which meant meeting with and being contactable in the evenings and over weekends. Discussion on how the mentoring was delivered in practice and the difference between the offers can be found in Section 3.2.7.

Building on the evidence outlined in Section 1.1.3, the mentoring schemes in Divert Plus aimed to have a positive impact on some of the outcomes which are often associated with later involvement in violence among young people, such as behavioural difficulties, educational outcomes and emotional health. The aim of the mentoring was to build on the trusted relationship established during the 'moment' and to work on a range of issues with the young person, such as emotional regulation.

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<sup>16</sup> For more information on this tool please see <https://www.gov.uk/government/publications/assetplus-speech-language-communication-and-neuro-disability-screening-tool> Last accessed 20 March 2024.



The intention was that dosage would be determined by an ongoing review of need but would be in the following range:

- Minimum: one session per week
- Maximum: three sessions per week
- Minimum: three-month period
- Maximum: nine-month period

#### 5. Restorative justice

Where the young person made an admission of guilt to the police following arrest, the intention was that they could be offered RJ for less serious offences (see the glossary for more details about RJ). This would only occur if the victim had indicated a willingness to be involved. If accepted, this would be managed by VictimCARE (embedded in the Team but funded by the Nottinghamshire Police and Crime Commissioner).

The perception of Divert Plus stakeholders in Nottinghamshire is that young people often miss out on this option because they are poorly informed. Divert Plus sought to tackle this by informing young people and parents/carers appropriately of the service and what it means.

#### 6. Out of court disposal

Similarly, young people would have the option to accept an OOC, a process managed by the YJS (see the glossary for more details about the OOC options). The intention was that Divert Plus case managers would inform young people and parents/carers of the service and what it means and would support them to engage in it. This could also include an RJ element, in this case, overseen by the YJS rather than VictimCARE, which might be more likely to identify 'community victims' where there is no identifiable individual victim.

The RJ and OOC elements were both intended to be mechanisms for avoiding young people entering the criminal justice system as well as learning opportunities that work in tandem with the more direct therapeutic elements.

### **1.2.3 What inputs are required to deliver the programme?**

To deliver these activities, Divert Plus required the following inputs:

1. **Funding:** the Home Office and YEF funded the Divert Plus programme, including:
  - £729,366.79 from YEF
  - £346,577.00 from the Home Office
2. **Facilities:** Divert Plus has been delivered in the Nottingham Custody Centre (Nottingham City) and Mansfield Custody Suite (Nottinghamshire County). While the custody suites were intended to be the key location for the 'moment', it was also anticipated that the Divert Plus team would work in a range of other locations, including young people's homes and other appropriate youth, sports and community settings which the team has access to.

3. **Personnel:** the funding has supported the following roles, including the City and County YJS, voluntary sector youth work providers, Victim Care and SALT provision:

- Specialist project manager/team leader
- Qualified case worker (×2)
- Non-qualified<sup>17</sup> case worker (×2)
- Speech and language therapists (×2) full-time equivalent (FTE)
- Sessional youth workers (× 6) FTE (mentors)
- Existing Victim Care provision to deliver RJ funded by Nottinghamshire Police and Crime Commissioner

#### 1.2.4 What is the programme's theory of change?

In line with the Early Intervention Foundation's [10 Steps for Evaluation Success](#), this section presents a summary of information from the Divert Plus programme's theory of change. The theory of change, based on the original draft produced by Nottinghamshire VRP and further developed through a co-design at the start of the trial period, is presented in **Table 1**.

The theory of change would need to be reviewed and amended based on the pilot trial findings if Divert Plus were to progress to an efficacy study. Suggestions for how it might be amended are discussed in Section 3.2.7. The version presented here was co-designed and agreed upon between Cordis Bright, the VRP and the YEF during the scoping phase of the pilot trial.

The co-designed theory of change shows that the Divert Plus programme aimed to achieve the following outcomes:

*Short-term outcomes (areas that Divert Plus practitioners are directly working on with young people)*

- A higher proportion of young people are involved in routes that involve RJ practices and OOC processes.
- Young people have a better understanding of the implications of their behaviour and the impact on victims.
- Young people perceive that they are less likely to commit (further) future offences.

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<sup>17</sup> A Divert Plus stakeholder stated that this model of qualified and non-qualified case workers is in line with the existing employment model used by YJS in Nottingham City and Nottinghamshire. Generally, the qualified case workers complete assessments and support some interventions while the non-qualified case workers focus more on the intervention and supporting engagement with referred/signposted services. The non-qualified case workers also conduct follow-ups with young people as part of the evaluation.

- An increased number of young people report that they have a trusted relationship with a positive role model.
- Young people gain improved skills in emotional regulation.
- Young people show improved consequential thinking and decision-making.
- Young people feel their needs are better understood, and they are accessing support that meets those needs.
- A higher proportion of young people access SALT.
- Young people gain improved speech, language and communication, and engagement skills.

*Medium-term outcomes (experienced within nine months)*

- Young people's behaviour improves.
- Young people's engagement with education, training and employment (ETE) improves.
- Young people engage with more positive role models and have more positive, trusted relationships.
- Young people have fewer contacts with the police.
- Young people demonstrate more pro-social skills and behaviours.
- Young people's recognised risk factors are reduced.

*Long-term outcomes (9–15 months)*

Fewer young people who participate in Divert Plus commit/are involved in:

- Violent criminal offences
- Non-violent offending
- Gangs
- Weapon carrying
- Bullying
- Substance use/misuse
- Aggression

**Table 1: Theory of change for the Divert Plus programme**

Why	Why	Who: participants	How: intervention	What: short-term outcome	What: medium-term outcome	What: long-term outcome
<p>Divert Plus has been designed to address three key areas:</p> <p>1) Too many young people who have been arrested go on to commit (further) offences, including SYV, crime and anti-social behaviour. Specifically, this might include violent criminal offences, gang involvement, bullying, weapons carrying, substance use/misuse, drug offences and aggression.</p> <p>2) The point of arrest, prior to charge and court action, is a key moment<sup>18</sup> for young people at risk of perpetrating SYV<sup>19</sup>.</p> <p>Local evidence for the effectiveness of engaging a young person at the ‘moment’ has come from the existing U-</p>	<p>The point of arrest, prior to charge and court action, is a key moment for young people at risk of SYV – they are more aware of the consequences and have to think about their next steps.</p> <p>Positively engaging with young people at this point can start to build a trusted relationship.</p> <p>Young people with speech and language needs are not being identified and are not provided with sufficient support to address their needs.</p> <p>Young people get involved in SYV despite being arrested because:</p> <ul style="list-style-type: none"> <li>- They lack an understanding of the impact of crime on</li> </ul>	<p>Individuals who have been arrested for violence or offences with risk factors for violence, such as drug dealing or substance use/misuse, gang involvement, weapons carrying, bullying perpetration and aggression <u>and</u> who are young people aged 10–17 (although those aged 10–14 will be a particular focus) <u>and</u> who consent to be involved in Divert Plus.</p> <p>The intervention will have a particular focus on individuals who are in contact with criminal justice services for the first time but will not exclude those arrested previously.</p>	<p><b>Engage with the young person in the custody suite or at home within 24 hours.</b></p> <ul style="list-style-type: none"> <li>- The young person is in need of (and more open to) support and guidance.</li> <li>- The young person gains a better understanding of the implications of arrest.</li> <li>- The young person is supported to have a better understanding of their options, including OOC and RJ.</li> <li>- The young person and worker jointly agree on a personal change plan (which will normally include mentoring).</li> <li>- The young person begins to develop a trusted relationship with an adult.</li> </ul> <p><b>Screen for speech and language needs and provide support to address those needs:</b></p> <ul style="list-style-type: none"> <li>- Increase the identification of young people with speech and language needs.</li> </ul>	<p>A higher proportion of young people are involved in routes that involve RJ practices and OOC.</p> <p>The young person has a better understanding of the implications of their behaviour and the impact on victims.</p> <p>The young person reports they are less likely to commit (further) future offences.</p> <p>An increased number of young people report they have a trusted relationship with a positive role model.</p>	<p>The young person’s behaviour improves.</p> <p>The young person’s engagement with ETE improves.</p> <p>The young person engages with more positive role models and has more positive trusted relationships.</p> <p>The young person has fewer contacts with the police.</p>	<p>Fewer young people who participate in Divert Plus are involved in:</p> <ul style="list-style-type: none"> <li>a) Violent criminal offences</li> <li>b) Non-violent offending</li> <li>c) Gangs</li> <li>d) Weapons carrying</li> <li>e) Bullying</li> <li>f) Substance use/misuse</li> </ul>

<sup>18</sup> The term ‘teachable moment’ has been criticised for taking agency from the young person, so it was agreed that we refer to the ‘Moment’ (implicitly a learning moment)

<sup>19</sup> Young person is commonly very vulnerable at the point of arrest and in custody: this represents a window of opportunity to impact swiftly on their pathway through the justice system and also potentially to prevent offending in the future.

Why	Why	Who: participants	How: intervention	What: short-term outcome	What: medium-term outcome	What: long-term outcome
<p>turn intervention, which has reduced reoffending through the provision of trained youth workers in custody providing wraparound support through effective coaching and mentoring to get young people aged 16–26 into employment<sup>20</sup>.</p> <p>3) More than 75% of young people arrested in Nottingham and Nottinghamshire have speech and language needs (Hadden and Dominey-Hill, 2020). If not identified and addressed, the risk of the young person going on to commit violent offences or experience exploitation is increased (Hadden and Dominey-Hill, 2020; Nottingham City Council, 2020).</p>	<p>victims (Owen and Fox, 2011).</p> <ul style="list-style-type: none"> <li>- They have difficulties with emotional regulation (Kemp et al., 2017).</li> <li>- They experience delays in the swift administration of justice (Ministry of Justice, 2013).</li> </ul> <p>It is known that the propensity for involvement in SYV is also increased by low levels of pro-social skills/values (Boxford, 2013) and self-esteem (Mier and Ladny, 2017) and a lack of positive relationships (Boxford, 2013).</p>	<p>The intervention intends to accept as many of the young people who fit these criteria as possible. Where prioritisation needs to occur, it will be done based on a risk assessment tool.</p> <p>When a young person is released under investigation, this will be included as an additional risk factor within the assessment.</p> <p>Those receiving no further action from the police will be included where capacity allows and where the case suggests intervention may be needed.</p>	<ul style="list-style-type: none"> <li>- Professionals receive tailored advice on how to communicate with the child.</li> <li>- Improve the speech, language and communication skills of the young person, which, in turn, increases their ability to articulate their needs, increases the likelihood of accessing services and support that can address these needs, and improves engagement with education.</li> </ul> <p><b>Provide one-to-one mentoring:</b></p> <ul style="list-style-type: none"> <li>- Encourages the young person to consider options for their future and supports them to make informed, positive choices.</li> <li>- Equips the young person with new skills to help with emotional regulation.</li> <li>- Supports the young person in engaging with (and staying with) services.</li> <li>- Increases the take up of RJ and OOCs.</li> <li>- Increases understanding of the needs of the young person and enables the mentor to act as an</li> </ul>	<p>Improved skills in emotional regulation.</p> <p>Improved consequential thinking and decision-making.</p> <p>The young person feels that their needs are better understood and that they are accessing support that meets those needs.</p> <p>A higher proportion of young people access SALT.</p> <p>Improved speech, language and communication, and engagement skills.</p>	<p>The young person demonstrates more pro-social skills and behaviours.</p> <p>Recognised risk factors are reduced.</p>	<p>e) Aggression</p>

<sup>20</sup> Based on information provided by Nottinghamshire VRP, in 2019/20 U-turn connected with 133 offenders in custody suites, approximately 80% of which were arrested for violent crimes. There was only capacity to support 28 of those offenders with intensive mentoring; however, 100% of those had not re-offended within 12 months. This information has not been independently verified as part of this evaluation.

Why	Why	Who: participants	How: intervention	What: short-term outcome	What: medium-term outcome	What: long-term outcome
			advocate to access other services that can help them address identified needs (Smith, 2020). <sup>21</sup>			

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<sup>21</sup> The All-Party Parliamentary Group report on Knife Crime and Violence 2020 highlights the unique role youth workers can play in reaching out to vulnerable young people in society, including those who are at risk of or are being exploited.

### 1.3 Research questions

As set out in the pilot trial protocol, which outlines the full design and objectives of the study and can be accessed at <https://youthendowmentfund.org.uk/wp-content/uploads/2022/09/YEF-Divert-Plus-Protocol-FINAL.pdf>,<sup>22</sup> the overarching research question that an efficacy study RCT of the Divert Plus programme would seek to address is:

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*“Do programmes that engage with young people at the point of arrest and offer support with mentoring, speech and language, and criminal justice options reduce the likelihood of participant involvement in serious youth violence and future offending or reoffending in comparison to business as usual?”*

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This pilot trial evaluation’s **objective** was to assess whether:

- RCT approaches are feasible, practical and ethical for evaluating programmes like Divert Plus and for addressing the key evaluation question above.
- Divert Plus can progress to a full efficacy study.

As such, the pilot trial focused on addressing the following key questions:

1. Have the pilot recruitment, randomisation and retention processes been established and embedded effectively, and do they work in practice?
2. Have data collection processes been established and embedded effectively?
3. Are the evaluation tools used during the pilot trial reliable, valid, accurate and practical for the project?
4. What sample size will be required for a future efficacy study, accounting for the utility of data collected during the pilot trial?
5. Is it likely that Divert Plus will recruit and retain enough young people for the evaluation to meet the required sample size for an efficacy study?
6. Has the Divert Plus programme been implemented with fidelity to the codesigned theory of change and the original Divert Plus model?
7. Is Divert Plus showing emerging promise in achieving outcomes for participants over and above business as usual in line with the theory of change?
8. How acceptable is the RCT design to the key Divert Plus programme stakeholders?

To understand whether Divert Plus can achieve outcomes for participants over and above business as usual, young people randomised into the control group in the trial were signposted by the Divert Plus team to services they would be able to access as part of business as usual and were provided with

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<sup>22</sup> Last accessed 7 September 2023.

business-as-usual safeguarding support (this included support which would usually be offered by YJS case managers). This reflects the first priority of ensuring that young people are safe while ensuring that young people are only accessing services they would already be entitled to in order to avoid contamination of the control group. More information on the control group is available in Section 2.1.4.

## 1.4 Success criteria and targets

Cordis Bright co-developed the following success criteria with Divert Plus, Nottinghamshire VRP and YEF stakeholders to help guide whether the pilot RCT study should progress to a full efficacy study. The rationale for the criteria was to help understand:

- The extent to which the evaluation is on track to receive high-quality data and a sufficient sample size to draw robust conclusions. This includes assessing the pace of recruitment to both the treatment and control groups – see criteria 1, 2 and 3 below.
- Whether the Divert Plus programme is being delivered in line with the co-designed theory of change to ascertain that the intervention has not been iterated to such an extent that the overarching efficacy study RCT evaluation question is no longer valid – see criterion 4 below
- Whether all local partners are still bought-in to the RCT and are happy to continue to proceed on this basis – see criterion 5
- Whether the Divert Plus delivery team, and Nottinghamshire VRP more broadly, continues to have the capacity and interest to be involved in the evaluation – see criterion 6
- Whether working relationships between Nottinghamshire VRP, Divert Plus, the YEF and Cordis Bright are sufficiently developed to support the move to an efficacy RCT – see criterion 7

The success criteria are outlined below, and our targets to inform decision-making are presented in **Table 2**.

1. The number of young people recruited to the trial's treatment and control groups (the total intended sample for the pilot trial period) was 100: 50 in the Divert Plus (treatment) group and 50 in the signposting (control) group.
2. The percentage of young people completing the Divert Plus programme, as measured by completed tools at baseline and nine months, and the percentage of young people completing their involvement in the control group, as measured by completed tools at baseline and nine months
3. The completion rate of the evaluation tool and monitoring data (i.e. the amount of missing data) and quality of data for both the treatment and control groups, including (a) impact tools (Strengths and Difficulties Questionnaire [SDQ] and the Self-Reported Delinquency Scale [SRDS]), and (b) monitoring data concerning activity received and dosage
4. The fidelity of delivery to the Divert Plus model of delivery. This will be achieved by benchmarking Divert Plus with the co-designed theory of change. Divert Plus does not currently have a manual against which to benchmark.
5. The realities of randomisation and the extent to which this continues to be acceptable to partners



6. Capacity within the Divert Plus programme delivery team
7. The quality of working relationships between the Divert Plus programme, the YEF and Cordis Bright

**Table 2: Success criteria for progression to an efficacy RCT and associated red, amber, green (RAG-rated) targets**

Criteria	Green (go)	Amber (pause and think)	Red (stop)
1. Numbers of young people recruited into the trial's treatment and control groups.	30 plus in each group (total 60)	10–29 in each group	Fewer than 10 in each group
2. The percentage of young people completing the Divert Plus programme and involvement in the control group, measured by administered questionnaires at nine months.	70%	40–69%	Less than 40%
3. The completion rate of the evaluation tool and monitoring data (i.e. amount of missing data) and quality of data for both the treatment and control groups including (a) impact tools (SRDS and SDQ) and (b) monitoring data concerning activity received and dosage.	70% complete	40–69% complete	Less than 40% complete
4. The fidelity of delivery to the Divert Plus model of delivery. This will be achieved by benchmarking Divert Plus with the co-designed theory of change.	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm with confidence that Divert Plus is being delivered with fidelity to the Divert Plus model.	Some evidence from the IPE and monitoring data suggest that Divert Plus is being delivered with fidelity to the Divert Plus model, but there is not enough evidence for Cordis Bright to confirm this with confidence.	Evidence from the IPE and monitoring data suggest that Divert Plus is not being delivered with fidelity to the Divert Plus model.
5. The reality of randomisation and the extent to which this continues to be acceptable to partners.	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm	Some evidence from the IPE and monitoring data suggest that randomisation is being	Evidence from the IPE and monitoring data suggest that randomisation is not

Criteria	Green (go)	Amber (pause and think)	Red (stop)
	with confidence that randomisation is being carried out with integrity and the approach is acceptable to partners.	carried out with integrity and the approach is acceptable to most partners, but there is not enough evidence for Cordis Bright to confirm this with confidence.	being carried out with integrity and the approach is not acceptable to most partners.
6. Capacity within the Divert Plus programme delivery team.	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm with confidence that the Divert Plus team has capacity to support the number of young people necessary to create a sufficient sample size for an efficacy study.	Some evidence from the IPE and monitoring data suggest that the Divert Plus team has capacity to support the number of young people necessary to create a sufficient sample size for an efficacy study, but there is not enough evidence for Cordis Bright to confirm this with confidence.	Evidence from the IPE and monitoring data suggest that the Divert Plus team does not have capacity to support the number of young people necessary to create a sufficient sample size for an efficacy study.
7. The quality of working relationships between the Divert Plus programme, YEF, and Cordis Bright.	Based on evidence from the IPE, the quality of relationships appears to be good.	Based on evidence from the IPE, it appears that the quality of working relationships could be improved.	Based on evidence from the IPE, it appears that the quality of working relationships is poor.

## 1.5 Ethical review

This section outlines:

- The ethical review that was undertaken before work on the pilot RCT started
- How agreement to participate in the study was obtained

### 1.5.1 Process for obtaining ethical approval

Ethical approval was granted for the study by The University of Greenwich Research Ethics Committee under reference UREC/21.3.7.5. This involved the submission of a detailed application, which was subject to review and scrutiny from the YEF and Divert Plus colleagues.

### 1.5.2 Agreement to participate

In line with our ethics clearance and YEF guidance on participation, young people and their parents/carers were asked for their informed consent for young people to participate in the study. The agreed process for securing consent was in line with the standard process that Nottinghamshire County and Nottingham City YJSs use for the delivery of their statutory services.

The main consideration here was around balancing the need for young people and parents/carers to be given sufficiently detailed information to enable them to give informed consent, particularly to the ongoing use of their data in the YEF archive, with the risk of overwhelming people when in a potentially vulnerable position and discouraging engagement. A two-step consent process was agreed upon to overcome this challenge, providing introductory information in a first meeting to gain initial assent before providing full information in a second meeting where informed consent could be confirmed or withdrawn. The agreed process is explained in detail below.

**When the young person is met in the first instance in the custody suite,** the intended process is as follows:

#### *First meeting in the custody suite*

1. When a young person was brought into either Nottingham City or Nottinghamshire County custody suite alone for violence or associated offences with risk factors for violence, the police would inform the Divert Plus case workers.
2. A Divert Plus case worker would meet the young person and their parent/carer in the custody suite and provide a verbal explanation of the evaluation and what it involved, using a script and supported by training provided by Cordis Bright. Parents/carers were contacted via telephone in the first instance if they were not present in the custody suite. The Divert Plus practitioner would explain:
  - a. The evaluation.
  - b. What an RCT is and why it is important – explaining that, should they consent, young people would be randomly allocated to one of two groups.
  - c. What the two groups would receive – explaining that one would receive a new programme being trialled to see if it works (Divert Plus) and that one would receive signposting to other services that they might need as well as ensuring any safeguarding issues could be identified and addressed.
  - d. That their participation in the programme and evaluation would be entirely voluntary.

- e. That they could only participate in Divert Plus if they and their parents/carers also consent to the young person's involvement in the evaluation.
  - f. What the young people in both groups would be asked to do – to complete the SRDS and SDQ immediately prior to randomisation and then at nine months (and 15 months if the evaluation progresses to efficacy) – explaining that this would be used to see whether the support they get has an impact on their emotions and behaviours.
  - g. That these measures would then be linked to police data on offending and also their background data to see what impact the programme has on offending and whether it works better for certain groups of young people.
  - h. That any information they provide to the research team would not be shared with anyone else, with the exception of YEF data archiving.
  - i. That after the evaluation this data would then be stored in the YEF data archive in pseudonymised form (so young people cannot be identified) and linked to education and offending data to track the long-term impacts of the programme for people.
  - j. That they would be able to withdraw their consent to be a part of the evaluation at any time, but that if they wanted their information to be deleted from the study, they should ask as soon as possible. It would be explained that data deletion may not be possible after two weeks following completion of the second (t2) questionnaire and would not be possible once information had gone to the YEF archive in September 2024.
  - k. That withdrawal from the evaluation would not affect any services they receive and that if they were in the treatment arm, withdrawal from the evaluation would not affect receipt of Divert Plus once the intervention has begun.
3. Young people and parents/carers would also be provided with a flow diagram to illustrate what would happen to their data and would be talked through this.
  4. Young people and parents/carers would also be told that they would have more information provided to them at a later date on information sharing and would have the opportunity to provide confirmatory written consent or withdraw their consent at that stage.
  5. Verbal consent would then be sought from the young person and parents/carers, and this would be recorded by the Divert Plus practitioner on a simple consent form, along with the time and date and the planned date for a follow-up visit. The young person would sign this form, as would the parent/carer if present.
  6. If consent was received, the young person would be randomised into either the treatment or control group using the sequentially numbered, opaque, sealed envelope method. This process is explained in more detail in Section 2.4.
  7. The Divert Plus case worker would then communicate the result to the young person and their parent/carer. This process would be supported by training from Cordis Bright.

If parents/carers were not contactable in the custody suite or home visit, then the Divert Plus case worker could continue with the young person's assent (by administering baseline outcomes measures and randomisation) and seek parental consent in the arranged follow-up meeting.

Three attempts would be made by Divert Plus case workers to reach the parent/carer via home visits. If they could not be contacted or their consent was then not given, the young person's data would be deleted, and they would not participate in the programme/evaluation. The young person's support would not commence until consent from the parent/carer was gained.

## *Follow-up meeting*

It was agreed in the co-design phase for the programme and trial that a follow-up meeting would be conducted with the young person and parent/carer by the Divert Plus case worker within 28 days to obtain written consent.<sup>23</sup> The agreed process of obtaining confirmatory written consent was as follows:

1. Young people and parents/carers would be given a participant information sheet and privacy notice containing full information on what would happen to the young person's data. The information-sharing flow diagram would also be provided again. The caseworker would clarify any issues that were not clear and read out the information if required.
2. Young people and parents/carers would then be given a consent form to read and sign, and the practitioner would read out the consent form if required.
3. If written consent was received, the young person would proceed either to Divert Plus or to receive business-as-usual care (the control group).
4. Those in the treatment group would undergo a full assessment process with the Divert Plus practitioner, including SALT screening, and would co-develop a personal change plan. Those in the control group would be informed that they would receive a further follow-up meeting (or two if the evaluation progresses to efficacy) to check in on how they are doing and complete the Time 2 (T2) and Time 3 (T3) questionnaires as appropriate (the latter if the programme progresses to efficacy study).

**When the young person could not be met in the custody suite,** it was agreed that a home visit would be conducted by the Divert Plus case worker within 24 hours. The evaluation would be explained using the full information sheet alongside the simplified flow diagram, and written consent would be sought in the first instance from the young person and parent/carer before proceeding to baseline data collection, randomisation and the 'moment'. The screening and personal change plan could then take place during the same visit or a follow-up visit.

Information and consent forms and a privacy notice are presented in the Appendix.

## **1.6 Data protection**

This section outlines our approach to data protection for the study.

For this study, Cordis Bright was the controller of personal data throughout as well as a processor of data, as specified in YEF data guidance (available at <https://res.cloudinary.com/yef/images/v1625734275/cdn/YEF-Data-Guidance-Projects-and-Evaluators/YEF-Data-Guidance-Projects-and-Evaluators.pdf><sup>24</sup>). Cordis Bright delivered the evaluation in line with our Data Protection and Information Governance Policy (see

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<sup>23</sup> Following some challenges related to securing the follow up meeting, the process was updated in September 2022 to enable second consent forms to be completed electronically and emailed to the practitioners who could keep a copy for their records and forward a version to Cordis Bright.

<sup>24</sup> Last accessed 8 September 2023.

<https://www.cordisbright.co.uk/news/information-governance-and-data-protection<sup>25</sup>>), which sets out our approach to storing and handling personal data for the evaluation. For more information on the roles of data processors and controllers, please see the Information Commissioner's Office guidance at <https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/controllers-and-processors/>.

We also conducted Data Protection Impact Assessments and developed signed Information Sharing Agreements with both Nottingham City Council and Nottinghamshire County Council. These are available in the appendices.

For this evaluation, we used the following process to comply with the General Data Protection Regulation (GDPR) and the Data Protection Act:

- **A clear legal basis for sharing data, e.g. informed consent/public interest:** in terms of informed consent, participants were informed through the privacy notice of their data protection rights. The young people accessing Divert Plus consented to have their data shared with the evaluator. This consent was recorded in informed consent forms held by the Divert Plus project and uploaded to the secure case management system. Paper copies of these forms were stored in a secure locked cabinet at Nottingham City and Nottinghamshire County YJS premises and destroyed by secure methods once shared securely with Cordis Bright for our records.
- **A robust process to transfer data:** the Divert Plus team transferred monitoring data, scanned versions of paper copies of outcomes measures, and consent forms to Cordis Bright by secure email using Switch Egress and Cryptshare.
- **Secure storage of data:** data was saved on Cordis Bright's secure cloud-based Microsoft 365 servers using the young person's unique identification number. Personal or sensitive data has additional encryption, with access only granted to designated/authorised members of the evaluation team. Participants were informed that all information about them was stored in this way (see appendices). All data was stored separately.
- **Pseudo-anonymisation:** all participants were assigned a unique ID number.
- **Secure deletion of project data:** we will delete the names and other personal data from the data sets we hold after we give the data for data archiving in line with YEF guidance.

Information sheets, consent forms, privacy notices, and information sharing agreements are presented in the appendices.

## 1.7 Project and evaluation team

This section provides information about the Divert Plus project delivery team and the evaluation team from Cordis Bright.

The evaluation was led by Cordis Bright in collaboration with Nottinghamshire VRP, Divert Plus and the YEF.

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<sup>25</sup> Last accessed 8 September 2023.

The Divert Plus programme was designed by Nottinghamshire VRP. During the set-up phase of the evaluation, Cordis Bright provided support to the programme by supporting the refinement of the theory of change.

Details of the Divert Plus delivery and Cordis Bright evaluation team are presented below.

### **Divert Plus delivery team**

- **Alison Donaldson – Portfolio Manager, VRP** – responsible for project management
- **Sonia Burton – Specialist Project Manager/Team Leader** – operational lead oversaw the implementation of the programme, reporting to YJS for operational matters and VRP Portfolio Officer for monitoring outputs and outcomes
- **Qualified youth justice case workers × 2 (FTE)** – responsible for conducting the ‘moment’, initial assessment and then overseeing the cases for young people
- **Non-qualified youth justice case workers × 2 (FTE)** – responsible for conducting the ‘moment’, initial assessment, and then overseeing the cases for young people
- **Sessional youth workers × 6 (FTE)** – responsible for delivering mentoring
- **Speech and language therapists × 2 (FTE)** – responsible for providing speech and language support

### **Evaluation team**

- **Dr Stephen Boxford, Principal Investigator and Project Director** – responsible for ensuring the evaluation was delivered to a high standard and specification
- **Professor Darrick Jolliffe, Royal Holloway, University of London, Co-Principal Investigator** – responsibilities included supporting evaluation design, shaping approaches, designing tools, conducting analyses and quality-assuring evaluation outputs
- **Caitlin Hogan-Lloyd, Co-Principal Investigator and Project Manager** – responsible for overseeing day-to-day project delivery and was the main point of contact for the YEF and the project delivery team
- **Kam Kaur, Head of Safeguarding and Co-Principal Investigator** – responsible for providing expert input on safeguarding and consultation with young people
- **Bonnie Butler, Researcher** – responsible for providing support to the Divert Plus team with the administration of the evaluation tools, conducting fieldwork, drafting analyses, analysing quantitative data and supporting report drafting.
- **Madeleine Morrison, Researcher** – responsible for providing support for report drafting.

Delivery of Divert Plus and the evaluation were funded by the YEF and the Home Office. There are no known conflicts of interest.





## 2. Methods

### 2.1 Trial design

#### 2.1.1 Overview

The Divert Plus programme internal pilot trial was a two-arm, parallel RCT conducted across two custody suites: one in Nottinghamshire County and one in Nottingham City. The trial design is summarised in **Figure 1**.

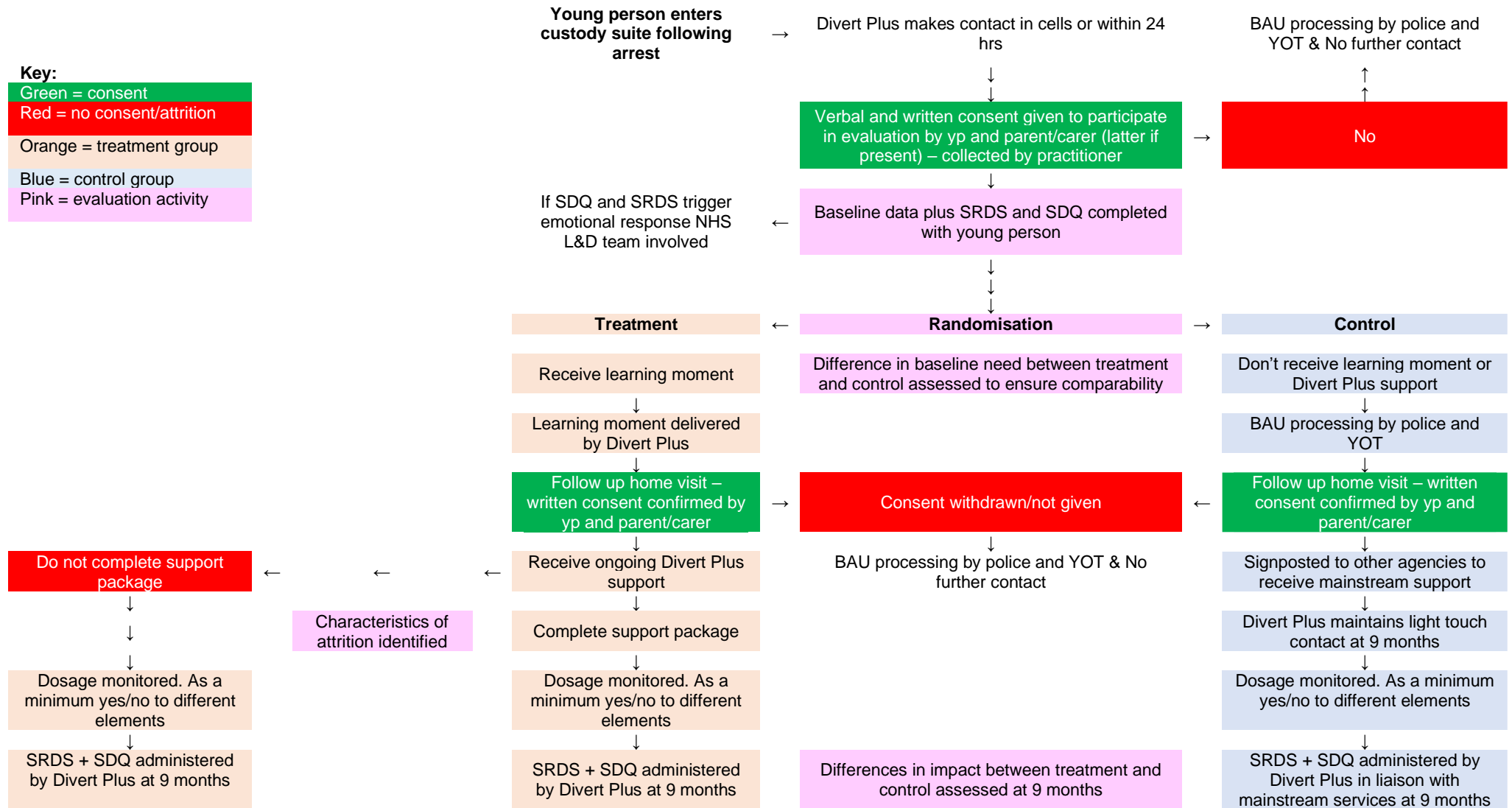
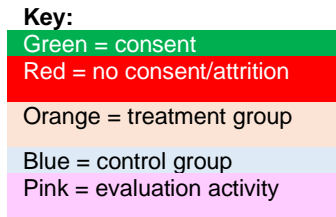
Young people aged 10–17 who were arrested and brought into either the Nottingham City or Nottinghamshire County custody suite and who consented to be part of the evaluation were allocated at random to the treatment or control group in a ratio as close as possible to one-to-one. The rationale for this was so that a close to equal proportion of participants could be allocated to treatment (Divert Plus) or control (signposting). This one-to-one allocation ratio was decided upon, as it was simplest to implement practically, plus it is the most efficient from a statistical perspective, since it requires the fewest number of treatment group participants to achieve a given level of statistical power (Hutchinson and Styles, 2010).

All those young people identified by Divert Plus case managers as fitting the criteria for Divert Plus and who the case managers were able to meet were invited to take part in the intervention.

As noted in Section 1.2.1, group offenders were excluded from the trial. This was due to concerns raised by the Divert Plus team that young people arrested for the same offence or incident but randomised into different groups might experience different outcomes due to one being able to demonstrate engagement with Divert Plus. It was also suggested that young people in the same position receiving different support might create conflict between young people or concern within the community.

No important changes, apart from the refinements to the consent processes discussed above, have been made to the pilot trial design since the pilot trial protocol was published.

**Figure 1: Pilot trial RCT design**



BAU = business as usual, YOT = youth offending team, L&D = liaison and diversion, YP = young person

### 2.1.2 Outcomes measurement

Outcomes data was collected at the level of the individual young person through the administration of questionnaires, with measures obtained at:

- **Baseline** – prior to randomisation and before support from Divert Plus started for those in the treatment group (Time 1 or T1)
- **Nine months** after baseline – for both the treatment and control groups (Time 2 or T2)

Two standardised instruments (questionnaires) were used to measure outcomes: SDQ<sup>26</sup> and SRDS.<sup>27</sup> These tools were selected, as they are YEF core measures and captured Divert Plus's intended medium-term outcomes of improved behaviour and pro-social skills and the long-term outcome of reduced offending. Adding more outcomes tools for young people to complete was not deemed appropriate due to the additional length and time required to complete them. This was seen to be especially important given that young people often had to complete tools at T1 in a custody suite and were likely to have speech and language difficulties.

The nine-month follow-up period was agreed to reflect the average time that the Divert Plus programme was anticipated to support young people and the time in which medium-term outcomes were likely to be achieved. This would mean that young people would complete a T2 questionnaire at around the same time that they would be exiting the programme.

### 2.1.3 An internal pilot trial

This was an internal pilot trial, which would go on to inform a larger efficacy study if the programme progressed. Recruitment into the pilot trial ran from 9 May to 9 September 2022. The pilot trial cohort was limited to young people recruited in this period to ensure that all would be able to receive at least nine months of support by the time the fieldwork was complete and the analysis conducted in August 2023. This pilot trial cohort is the focus of the analysis in this report.

Recruitment continued after the internal pilot trial cut-off point of 9 September 2022 to allow the programme to continue to build a sample which could be used to inform an efficacy study if it progressed. However, these additional young people are not the focus of this pilot trial and are not included in the analysis of demographic characteristics and questionnaires included in Section 3 of this report. All recruitment ended on 31 March 2023 while the future of the programme was decided. However, T2 questionnaires continued to be collected until 31 July 2023.

Continuing to recruit and collect data in this way was necessary to enable an efficacy study to be completed within the timelines, should the decision have been made to progress. While this risked collecting some data which would then not be used, all young people received the intended support from Divert Plus.

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<sup>26</sup> See <https://youthendowmentfund.org.uk/wp-content/uploads/2022/04/18.-YEF-SDQ-guidance-April-2022.pdf>. Last accessed 8 December 2023.

<sup>27</sup> See <https://res.cloudinary.com/yef/images/v1623145465/cdn/19.-YEF-SRDS-guidance/19.-YEF-SRDS-guidance.pdf>. Last accessed December 2023. See <https://res.cloudinary.com/yef/images/v1623145465/cdn/19.-YEF-SRDS-guidance/19.-YEF-SRDS-guidance.pdf>. Last accessed 8 December 2023.

Generally, the internal pilot trial is referred to as the pilot trial throughout this report.

**Table 3** shows a breakdown of the young people recruited at each phase of the trial period. A CONSORT diagram, which shows the flow through the pilot trial, is shown in **Figure 2** in Section 3.1.2.

**Table 3: Young people recruited at each phase of the Trial**

Cohort	Period of recruitment and collection of Time 1 questionnaires	Number recruited <sup>28</sup>			Period of support and collection of Time 2 questionnaires
		Total	Treatment <sup>29</sup>	Control	
<b>Internal pilot trial</b>	9 May to 9 <sup>th</sup> September 2022	33	20	13	9 May 2022 to 31 July 2023
<b>To inform efficacy only</b>	10 September 2022 to 31 March 2023	34	20	14	10 September 2022 to 31 July 2023
<b>Total</b>	9 May 2022 to 31 March 2023	67	40	27	9 May 2022 to 31 July 2023

### 2.1.4 The allocation groups

Young people randomised into the **treatment group** received Divert Plus. Young people randomised into the **control group** received signposting to relevant existing services and had any safeguarding needs identified and addressed by a Divert Plus practitioner. They received support again at a nine-month catch-up meeting with a Divert Plus practitioner, at which time they completed an outcomes measures questionnaire.<sup>30</sup> The Divert Plus practitioner assessed needs, signposted the young person to existing services, and identified any safeguarding concerns. If any safeguarding needs were identified during these meetings, Divert Plus practitioners would refer them to the relevant authorities. This approach is similar to the level of support that would usually be provided by a YJS case worker when a young person is arrested and prioritises keeping the young people safe. The details of the activity received by young people in the signposting group are discussed in Section 3.2.7.

If filling out the SRDS or SDQ triggered an emotional response for the young person, for example, if they were to become visibly upset, or their answers to the SDQ indicated that they might have mental health and wellbeing needs, then the NHS Liaison and Diversion (L&D) team would become involved and

<sup>28</sup> This refers to the number who were recruited, for whom consent was achieved, who completed a baseline questionnaire and who were randomised. Not all of these young people will have gone on to be retained in the study, e.g. they may have withdrawn consent at a later date.

<sup>29</sup> The reason for the imbalance seen between young people in the treatment and control groups is discussed in Section 2.4.

<sup>30</sup> There would also be another similar meeting at 15 months should Divert Plus progress to an efficacy study. This measure was designed to assess the sustained impact of Divert Plus following exit from the programme.

appropriate referrals made. Through involving the L&D Team, Divert Plus sought to ensure that it met its duty of care for young people participating in the programme and the evaluation.

## **2.2 Participant selection**

The target group of young people and associated eligibility and inclusion criteria for the Divert Plus programme are presented in Section 1.2 of this report.

This section outlines:

- How young people were identified and referred for Divert Plus
- How young people were recruited to the trial
- Sample estimation for the trial

### **2.2.1 Identification**

When a young person was brought into either Nottingham City or Nottinghamshire County custody suite alone for violence or associated offences with risk factors for violence, the police would inform the Divert Plus case workers.

### **2.2.2 Recruitment**

The recruitment and consent process agreed upon with the Divert Plus team is outlined in full in Section 1.5. A two-meeting process was agreed upon to enable young people and parents/carers to provide full, informed, written confirmatory consent in a second meeting outside of the custody suite.

The recruitment and consent process was improved during the early stages of the project through a constructive process of refining procedures between the Divert Plus team and Cordis Bright. Divert Plus team members reported that the two-meeting process for obtaining consent had created some challenges, mostly around organising home visits with families from backgrounds commonly referred to as 'hard-to-reach' and/or 'vulnerable'. To mitigate the burden of securing second meetings, it was agreed in September 2022 that second consent forms could be completed electronically and emailed to the practitioners, who would then keep a copy for their records and forward a version to Cordis Bright.<sup>31</sup>

### **2.2.3 Settings and location of data collection**

Baseline (T1) evaluation tools were administered by Divert Plus case workers prior to randomisation within the first meeting with the young person, either in the custody suite or at the young person's home. T2 evaluation tools were completed where case management meetings usually took place in the setting most convenient and appropriate for the young person.

Divert Plus practitioners remained with the young person throughout the data collection process to provide support as appropriate. Both questionnaires were completed on paper copies. Case managers could support young people with the completion of the SDQ, which was then kept by the case manager, scanned and sent

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<sup>31</sup> Cordis Bright will delete all data held once project data has been submitted to the YEF data archive.

to Cordis Bright. While case managers could explain the SRDS to young people before they completed it, the young person had to complete the form independently and seal it in an envelope themselves to return directly to Cordis Bright without being seen by the case manager due to the potentially incriminating and sensitive nature of the content. More details about this process and steps taken to avoid bias are described in Section 2.3.

#### **2.2.4 Rationale for the planned number of participants**

In the pilot trial, the Divert Plus programme aimed to work with 100 young people – 50 in the control and treatment groups, respectively. This was based on modelling by Divert Plus that suggested the programme would have the capacity to accept all young people fitting the inclusion criteria.

Cordis Bright conducted several power analyses to inform the design of the pilot trial and potential efficacy study RCT. These calculations are outlined within the Divert Plus Pilot Trial Protocol (see <https://youthendowmentfund.org.uk/wp-content/uploads/2022/09/YEF-Divert-Plus-Protocol-FINAL.pdf><sup>33</sup>).

We conducted power analysis calculations to determine what overall sample size would be needed to identify a statistically significant result with power = 0.80 ( $p < .05$ , two-tailed), with a 15% reduction in reoffending in the treatment group compared to the control group for an efficacy study. In other words, what sample size would provide an 80% chance of detecting a 15% reduction in reoffending if such an effect exists? In this instance, the required sample size would be 338 (169 per group).<sup>34</sup> Assuming a 20% reduction in reoffending for the treatment group compared to the control group, the required sample size would be 186 (93 in each group).

We conducted modelling based on discussions and information provided by Divert Plus programme stakeholders at the outset of the Trial, which suggested that based on the programme's expected rate of recruitment, Divert Plus would work with around 200 young people. Taking a random allocation approach using a one-to-one basis (i.e. a further 200 young people in the control group), 400 young people could be included in the full efficacy study. This sample would have been enough to detect a 14% relative reduction in reoffending between the treatment and control groups (power = 0.80,  $p < .05$ , two-tailed).

### **2.3 Data collection**

As described earlier in this report, the theory of change for the Divert Plus programme was collaboratively developed by Divert Plus stakeholders, Cordis Bright and the YEF during the evaluation set-up phase. Key elements of developing and refining the theory of change included (a) a review of Divert Plus documentation, (b) an evidence review to root the theory of change in the existing evidence base and (c) a series of development workshops. No major changes to the theory of change were made during the pilot

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<sup>32</sup> Last accessed 8 September 2023.

<sup>33</sup> Last accessed 8 September 2023.

<sup>34</sup> The YEF toolkit indicates that, on average, mentoring reduces reoffending by 19%. Another study completed by Jolliffe and Farrington (2008) suggests that mentoring programmes have a weighted average effect size of 10–11% based on comparisons of 18 studies in a meta-analysis using a random effects model. Fifteen per cent has, therefore, been used as a relatively conservative estimate which falls between these two.

trial study. However, if Divert Plus were to progress to an efficacy study, it would be important to review and update based on the findings in this report.

This section outlines:

- An overview of the methods used in the pilot trial and IPE
- An overview of quantitative methods used in the pilot trial
- An overview of qualitative methods used in the IPE

### **2.3.1 An overview of methods**

**Table 4** provides a summary of the methods used as part of the pilot trial.



**Table 4: Methods overview and the pilot trial research questions they were designed to address**

Research methods	Data collection methods	Participants/data sources	Data analysis methods	Research questions addressed	Theory of change relevance
Quantitative questionnaire data – using the SRDS and the SDQ	<p>Outcomes measure questionnaire at:</p> <ul style="list-style-type: none"> <li>• Baseline (prior to randomisation)</li> <li>• Nine-month follow-up</li> </ul>	<p>N = 24 at baseline (16 in treatment and eight in control)</p> <p>N = 21 at T2 (16 in the treatment group and five in the control group)</p>	Simple descriptive statistics (e.g. univariate statistics, frequencies, means and percentages) for both treatment and control groups.	2, 3	<p>Measures agreed by Cordis Bright, Divert Plus stakeholders and the YEF to measure a) the primary outcomes of the RCT (i.e. self-reported offending) and b) the mechanisms through which Divert Plus works with young people to achieve the primary outcome, i.e. a reduction in offending.</p> <p>Assessing numbers going through Divert Plus in terms of both the treatment and control groups. Assessing the completeness, quality and validity of data received.</p>
Quantitative Divert Plus monitoring data	<p>Collected by Divert Plus practitioners from the young people, as well as their social care and education records.</p> <p>Recorded in Nottingham City and Nottinghamshire County YJS case management systems as well as a joint spreadsheet.</p> <p>Exported and transferred securely to Cordis Bright by Nottingham City YJS and Nottinghamshire County YJS.</p>	<p>Background information for all young people participating in the Divert Plus pilot trial (n = 24), including name, address, gender, date of birth, ethnicity, care status, education engagement status and offending/victimisation history.</p> <p>Activity data for all young people participating in the Divert Plus treatment group (n = 16), including activities/interventions</p>	Simple descriptive statistics (e.g. univariate statistics, frequencies, means and percentages) for both the treatment and control groups.	1, 2, 4, 5, 6	<p>Assessing whether Divert Plus is reaching its intended target cohort and the profile of its target cohort.</p> <p>Assessing fidelity to the model.</p>

Research methods	Data collection methods	Participants/data sources	Data analysis methods	Research questions addressed	Theory of change relevance
		<p>received (mentoring/SALT/RJ/OOCD), duration of support, quantity of support and completion/non-completion of the support offered.</p> <p>Activity data for all those in the control group (n = 8) in relation to support received from the Divert Plus case manager.</p>			
In-depth interviews with project staff (IPE study)	The Cordis Bright team conducted interviews with Divert Plus project staff online/via telephone.	<p>Project staff, including project managers, case managers, mentors and speech and language therapists.</p> <p>N = 10</p>	Thematic analysis	1, 2, 3, 5, 6, 7, 8	<p>Assessing implementation in line with the theory of change and fidelity to the model.</p> <p>Assessing the appetite for RCT and the study design.</p>
In-depth interviews with wider stakeholders (IPE study)	The Cordis Bright team conducted interviews with wider programme stakeholders associated with Divert Plus online/via telephone.	<p>Stakeholders from the police, Nottinghamshire VRP, Nottingham City and Nottinghamshire County YJSs and L&amp;D.</p> <p>N = 12</p>	Thematic analysis	1, 6, 7, 8	<p>Assessing implementation in line with the theory of change and fidelity to the model.</p> <p>Assessing the appetite for RCT and the study design.</p>

### 2.3.2 Quantitative data collection methods

Quantitative data was compiled from three sources:

- **A baseline (T1) self-report questionnaire:** administered as paper copies by a Divert Plus case worker, including both the SDQ and the SRDS. These questionnaires were administered to both treatment and control groups.
- **A follow-up (T2) questionnaire:** administered as paper copies by a Divert Plus case worker, including the SDQ and SRDS. These questionnaires were administered to both the treatment and control groups.
- **Monitoring data:** collected by Divert Plus practitioners, including young people's background characteristics, offending history and activity and dosage data

More information about the SDQ and SRDS is provided below.

#### *The SDQ*

The SDQ is a core YEF measure. More information is available at [18.-YEF-SDQ-guidance-April-2022.pdf \(youthendowmentfund.org.uk\)](https://www.youthendowmentfund.org.uk/18.-YEF-SDQ-guidance-April-2022.pdf).<sup>35</sup> It is a 25-item questionnaire measuring behaviours, emotions and relationships in 4–17-year-olds. The questionnaire measures intermediate risk and protective factors for offending (i.e. internalising and externalising problems) and has been shown to predict consistent behavioural problems (Wilson et al., 2012).

The scale includes five subscales that measure:

- Emotional symptoms
- Conduct problems
- Hyperactivity/inattention
- Peer problems
- Prosocial behaviour

Each item is scored on a 3-point Likert scale (0, 1 and 2), and for each of the five subscales, the score can range from 0 to 10.

'Somewhat True' is always scored as 1, while the scoring of 'Not True' and 'Certainly True' varies based on the item. For the emotional, conduct problems, peer problems and hyperactivity subscales, a higher score indicates more difficulty. For the prosocial subscale, a lower score indicates less prosocial behaviour and, therefore, more difficulty.

In addition to the 25 items, an impact supplement is available, which was also used in the Divert Plus trial. This supplement asks whether the respondent thinks they have a problem and if so, asks additional questions about chronicity, distress, social impairment and burden to others.

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<sup>35</sup> Last accessed 2 November 2023.

The standard version of the SDQ, used at baseline in the Divert Plus trial, asks about the young person’s behaviour over the preceding six months, and the follow-up version, used at Time 2 in the trial, asks about their behaviour over the preceding month.

In addition to the subscales, the SDQ can be aggregated to produce other scores, as outlined in **Table 5**.

**Table 5: SDQ scores**

Score	Score generation
Total difficulties score	Ranges from 0 to 40 and is generated by summing scores from all the subscales except the prosocial subscale.
Externalising score	Ranges from 0 to 20 and is generated by summing the scores of the conduct and hyperactivity subscales.
Internalising score	Ranges from 0 to 20 and is generated by summing the emotional and peer problems subscales.
Impact score	The items in the impact supplement on overall distress and impairment can be summed to generate an impact score that ranges from 0 to 10.

The self-report version of the scale was used in this study. All versions of the SDQ show good psychometric properties and are rated as 4/5 stars in [EEF’s spectrum database](#), meaning that they are an appropriate outcome measure for use in studies of this nature.

The peer problems subscale in the self-report version is the only one with a Cronbach’s alpha <0.60, indicating that items are not sufficiently correlated with one another. This can lead to some issues with consistency (Pote et al., 2013). This may not be a problem for analysis because Cronbach’s Alpha is based on both how well the items ‘hold together’ (i.e. the reliability of the scale) and the number of items in the scale. This SDQ subscale may have a low alpha coefficient because it has only five items.<sup>36</sup>

The SDQ shows good test–retest reliability and long-term stability (Achenbach et al., 2008).

The reliability and validity of the SDQ in the context of this study are assessed in Section 3.2.4.

*The SRDS*

The SRDS is a 19-item measure covering a range of both antisocial and offending behaviours. It is a YEF core measure. More details about it can be viewed at <https://res.cloudinary.com/yef/images/v1623145465/cdn/19.-YEF-SRDS-guidance/19.-YEF-SRDS-guidance.pdf>.<sup>37</sup>

The scale was first used in the [Edinburgh Study of Youth Transitions and Crime](#), which began in 1998. The SRDS is Section 4 of the questionnaire used in Sweep 3 of the study (when children were aged 14) – ‘things

<sup>36</sup> See for more information: (PDF) [Advice on Reliability Analysis with Small Samples \(researchgate.net\)](#)

<sup>37</sup> Last accessed 2 November 2023.

you might have done’. The scale has been validated for use with young people in the UK and has been used with those aged between 10 and 17.

For each item, the respondent is given a choice of ‘yes’ or ‘no’. If they answer ‘yes’, the respondent is asked how many times they took part in this behaviour and whether they got in trouble for doing so.

This produces two scores:

- Variety of delinquency score: the number of different offending behaviours the respondent reports having been involved in
- Volume of delinquency score: the estimated minimum number of offending behaviours of all types committed

**Table 6: SRDS score generation**

Score	Score generation
Variety of delinquency score	Sum the number of items the respondent answered ‘yes’ to <ul style="list-style-type: none"> <li>• Yes = 1</li> <li>• No = 0</li> </ul> to produce a score in the range 0–19.
Volume of delinquency score	Sum the point values assigned to the answer given in sub-question ‘i.’ for each question (How many times did you do this during the last year?). Point values are assigned as follows: <ul style="list-style-type: none"> <li>• Once = 1</li> <li>• Twice = 2</li> <li>• Three times = 3</li> <li>• Four times = 4</li> <li>• Five times = 5</li> <li>• Between six and 10 times = 6</li> <li>• More than 10 times = 11</li> </ul>

The SRDS demonstrates good psychometric properties, with high internal consistency (Fonagy et al., 2018; Humayun et al., 2017) and correlation with official police arrests (McAra and McVie, 2005).

The reliability and validity of the SRDS in the context of this study are assessed in Section 3.2.4 below.

*How were the T1 and T2 questionnaires piloted and monitored?*

The T1 questionnaire, comprising the SDQ and SRDS, was piloted by Divert Plus practitioners in March 2022, i.e. before the trial fieldwork started. This piloting was reviewed and discussed with Divert Plus stakeholders and the YEF, and the decision was taken to use them in the trial. During the first months of the trial, Cordis Bright conducted an audit of data quality based on the first 26 baseline questionnaires received. Overall, the data quality of the baseline questionnaires analysed was good. From the data, it was possible to calculate young people’s scores, or estimated scores, for the SDQ and the SRDS in the majority of instances. This

indicated that most young people were satisfactorily completing the baseline questionnaires, suggesting they were accessible for most young people.<sup>38</sup>

Following this initial audit, Cordis Bright continued to monitor questionnaire completion, highlighting to practitioners the need for timely updates on consent forms and questionnaires completed in addition to continuing to encourage young people to complete all questionnaire items and both questionnaires.

*How was bias in the completion of T1 and T2 questionnaires limited?*

Cordis Bright sought to ensure that young people received appropriate support from Divert Plus case managers to complete the questionnaires well and ensure a high response rate while at the same time avoiding influence from practitioners and resulting bias in answers. It was particularly important to avoid this bias as Divert Plus case managers were delivering support to young people, as well as supporting them with the completion of questionnaires.

Cordis Bright co-developed a practitioner evaluation handbook with Divert Plus stakeholders and provided training which outlined dos and don'ts concerning questionnaire administration to help ensure young people completed the questionnaires independently. This included:

- Providing practitioners with example scripts to introduce the questionnaires as well as examples of how to respond to young people in situations so as not to influence questionnaire completion
- Encouraging practitioners to give young people the space and time to complete the questionnaire. For example, if a young person gets distressed while completing a questionnaire, working with them to calm them and then asking them to continue. However, there was an understanding that the young people's welfare came first, so practitioners were to use professional judgement.
- Encouraging practitioners to be guided by young people's needs. For example, for **the SDQ only**:
  - Reading out questions word-for-word for the young person if this would help them
  - Explaining what a word meant if the young person was unsure
  - Making sure young people were engaging with the questions, i.e. encouraging them to complete the questionnaire properly and to the best of their ability
  - Not changing the wording of questionnaires unless absolutely necessary when helping young people, for example, if young people were struggling to understand certain terms.
- Being clear that the **SRDS was to be completed by young people on their own** due to the sensitivity of the information being disclosed. This meant the practitioner could talk the young person through the questions in advance but then had to leave them to complete them. Young

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<sup>38</sup> In order to calculate the total scores or estimated total scores, young people needed to complete over 50% of the questions which make up the total score. The 25 items of the SDQ comprise five subscales of five items each. These are the emotional problems subscale, conduct problems subscale, hyperactivity subscale, peer problems subscale and prosocial subscale. The total difficulties score is generated by summing the scores from all the subscales except the prosocial subscale (so 20 out of 25 items). A total variety of delinquency score is generated for the SRDS out of 19 items.

people would then place completed questionnaires into sealed envelopes which were sent directly to Cordis Bright without being seen by Divert Plus case managers.

#### *How was monitoring data collection established?*

Monitoring data collection took two forms:

- **A flow recording spreadsheet:** Cordis Bright designed a template spreadsheet for Divert Plus case managers to use to record the young people who consented to participate in Divert Plus, the group they were randomised to, the offence they were arrested for and the status of their consent and completion of T1 and T2 questionnaires. This was shared regularly with Cordis Bright and used to keep track of recruitment rates and to check randomisation was being implemented correctly and full consent had been obtained for each young person.
- **Case management data:** data relating to the young people's background characteristics, offending history and activity received as part of Divert Plus was collected in line with the business-as-usual practice of both Nottingham City and Nottinghamshire County YJS within their respective case management systems. Extracts from these case management systems were provided to Cordis Bright.

#### **2.3.4 Qualitative data collection methods**

As part of the IPE, in-depth interviews were conducted with:

- Divert Plus staff (n=10)
- Wider Divert Plus stakeholders (n=12)

Interview topic guides were designed by Cordis Bright and discussed and refined with the Divert Plus team and YEF colleagues before use in the field. All interviews were conducted by the Cordis Bright evaluation team over Microsoft Teams/telephone in December 2022–January 2023. Interviews with young people were not in the remit of the IPE for the pilot trial.

#### **2.4 Randomisation**

The process for randomisation used in the pilot trial was in line with that outlined in the Divert Plus programme Pilot Trial Protocol, with some small amendments made to the process of allocation to meet operational needs. The approach we used is summarised below.

The initial process of randomisation and sequence allocation for referrals into Divert Plus (completed by Cordis Bright) was carried out in two batches: one for the Nottingham City custody suite and one for the Nottinghamshire County custody suite. The process included the following steps, following good practice set out in Nesta guidance (Edoald and Firpo, 2016):

1. We generated a random sequence using 'sealed envelope' software,<sup>39</sup> allocating treatment or control for the maximum possible number of young people. The sequence consisted of blocks of

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<sup>39</sup> See <https://sealedenvelope.com/>. Last accessed 24 August 2023.

size four in which there were an equal number of treatment and control group allocations. The sequence within each block varied randomly.

2. We prepared randomisation allocation slips: either 'Divert Plus' or 'signposting' (in accordance with the randomly generated sequence) was written on a standard-sized piece of paper and folded.
3. Envelopes were prepared using the sequentially numbered, opaque, sealed envelopes method using carbon paper.
4. Evaluation IDs were written on the front of the envelopes in ascending order, matching the randomisation sequence (CB1 for the 1<sup>st</sup>, CB2 for the 2<sup>nd</sup>, etc).
5. Envelopes were stacked in numerical order, with CB1 at the top, and placed in a sealed container.
6. The container was couriered to the custody suites and stored securely.

Divert Plus practitioners were given training and access to continuing support from Cordis Bright on how to implement the process of randomising young people, as well as on how to communicate the randomisation result to the young person and their parents/carers so as to avoid the feeling of winning or losing depending on the outcome.

The randomisation process was monitored regularly during the pilot trial to ensure the integrity of the randomisation sequence was maintained. This included checking that the allocation of young people matched the sequence held by Cordis Bright using envelope numbers. Practitioners had to write the name of the young person on the envelope and sign it before opening it (transferring this information using carbonless paper onto the card inside) to avoid the possibility of their opening envelopes in advance and allocating them to young people based on their perceived suitability for Divert Plus.

No blinding of allocation was possible in this process. Divert Plus practitioners, who acted as data collectors, needed to be aware of which group the young person had been allocated to so that they could administer support accordingly. Young people were informed of what the treatment and control groups entailed prior to randomisation so that they could give their informed consent.

The process of allocating the young person to treatment/control group in the custody suite included the following steps:

1. The young person entered the custody suite.
2. A Divert Plus worker met the young person and explained the evaluation and trial.
3. The young person and parent/carer gave consent to be involved in the trial.
4. Baseline questionnaires were conducted.
5. The Divert Plus worker collected a box of envelopes from a secure location (e.g. a locked cupboard).
6. The Divert Plus worker selected the next sequentially numbered envelope from the box (i.e. the lowest available number), which was at the top of the pile.



7. The Divert Plus worker wrote the name of the young person, the worker's name and the date and time on the front of the envelope and signed it (which was transferred to the front of the folded allocation card inside).
8. The Divert Plus worker opened the envelope, and 'Divert Plus' or 'Signposting' was printed on the folded allocation card. They communicated the result to the young person and their parent/carer.
9. The envelope and card were put into a prepaid envelope, which was sent back to Cordis Bright.
10. The allocation of the young person (treatment/control) and their envelope number were inputted into a spreadsheet and case management system as soon as possible and also communicated to Cordis Bright.
11. The 'moment' (treatment group) or signposting (control group) took place with the young person.

When a young person was met at home in the first instance, the process was similar, but the Divert Plus worker would need to bring an envelope with them to the meeting. The envelope and allocation card were then taken back to the custody suite after the meeting, and the results were recorded as soon as possible.

#### *Changes made to the randomisation process*

At the outset of the pilot trial, there was one Divert Plus case manager conducting randomisation processes in each site (two in total: one in Nottingham City and one in Nottinghamshire County). An additional case manager was then recruited to each site after the pilot trial had launched. This created challenges with the original randomisation process, as practitioners were using the same sequence, meaning that if one took an envelope on a home visit to a young person who did not then consent and the other practitioner took the next envelope in the sequence in the meantime, the envelopes could be allocated out of order.

The first attempt to rectify this problem was making practitioners allocate an envelope to every young person whom they were notified of by the police. If the young person consented, the envelope would be used; if the young person did not consent, the envelope would be discarded. This proved not to be an effective solution, as it meant a large number of envelopes were wasted, and the sequence did not follow the one-to-one ratio, which the use of blocking had been intended to create (as some envelopes within each block of four could be discarded).

The time during which this system was in place means that there is an imbalance in the number of young people randomised into each group: 20 young people who gave initial consent were randomised into the Divert Plus group, and 13 were randomised into the signposting group, a ratio of 1.5:1.

The second iteration of this approach saw a separate sequence allocated to each of the Divert Plus case managers. For those 46 young people allocated using the new system, as recruitment continued beyond the pilot trial period, the ratio of allocation was 1.3:1 Divert Plus to signposting. This remaining imbalance is due to recruitment ending in the middle of a 'block' of four for each of the four sequences, creating a small imbalance in each sequence, which, when combined, created a more significant imbalance for the total cohort.

If recruitment were to be continued and a larger sample size randomised, this imbalance would likely be reduced.

## 2.5 Analysis

**Table 4** in Section 2.3 outlines the data collection methods and participants or data sources used to answer each of the research questions. Qualitative data was triangulated with the quantitative data to answer the research questions. **Table 7** outlines in more detail the data analysis methods and focus for each dataset.

### 2.5.1 Quantitative analysis

The analysis conducted varied slightly from the plan outlined in the Pilot Trial Protocol due to the smaller-than-expected sample size. Only 33 young people gave informed consent and were recruited to the pilot trial, rather than the expected 100. Of these, 24 gave and maintained full written consent to participate in the trial and so can be included in this analysis. This small sample size meant we have not been able to do the following exploratory analyses:

- Assess the impact of Divert Plus on outcomes compared to business as usual (control group). Those in the control group were provided a meeting with a Divert Plus practitioner, where their safeguarding needs were assessed and addressed as appropriate. They were also signposted/referred to existing services, which they may have accessed as part of business as usual, i.e. would have likely been received if Divert Plus did not exist.
- Draw comparisons (e.g. measures of association, effect sizes and statistical significance) between the treatment and control groups.
- Explore relationships between activity and dosage and outcomes.

### 2.5.2 Qualitative analysis

The IPE consisted of semi-structured interviews with a) a mixture of Divert Plus programme staff, including project managers, case managers, mentors and speech and language therapists and b) stakeholders from partners, including the police, Nottinghamshire VRP, Nottingham City and Nottinghamshire County YJSs, and L&D. **Table 7** provides more information about the samples interviewed. The stakeholder groups and individuals to be consulted were agreed upon in partnership with the Divert Plus project manager and colleagues in the VRP as a representative sample of those who have worked with the programme.

Qualitative data was recorded in a matrix by team members who had conducted IPE interviews. Responses were mapped against the eight evaluation questions, and open coding was deployed to identify additional themes and issues falling outside of the evaluation questions.

The analysis was an iterative process. Once the key overarching themes were established, the data within each theme was coded. This allowed for constant comparison of the themes and ensured that any theories or judgements were closely linked to the data that they developed from.

Whole team meetings were held to interrogate and quality assure the analysis, ensuring that the full breadth of findings were fairly presented and that any potential bias on the part of individual researchers would be mitigated.

Qualitative data was also triangulated with quantitative administrative data to ensure findings were well supported.

**Table 7: Overview of quantitative and qualitative analysis methods**

Data collection method	Sample included in the analysis	Analysis method	What did the analysis examine?
<p>Quantitative outcomes measure questionnaires at:</p> <ul style="list-style-type: none"> <li>• Baseline (T1) (prior to randomisation)</li> <li>• Nine-month follow-up (T2)</li> </ul>	<p>N = 24 at baseline (16 in the treatment group and eight in the control)            N = 21 at T2 (16 in the treatment group and five in the control)</p>	<p>Simple descriptive statistics (e.g. univariate statistics, frequencies, means and percentages) for both the treatment and control groups</p>	<ul style="list-style-type: none"> <li>• Whether outcomes measure questionnaire processes have been set up and embedded effectively</li> <li>• Numbers who completed the questionnaires</li> <li>• Completion rates and quality of completion of evaluation tools</li> <li>• Validity and reliability of evaluation tools</li> </ul>
<p>Quantitative Divert Plus monitoring data</p>	<p>Background information for all young people participating in the Divert Plus pilot trial (n = 24).</p> <p>Activity data for all young people participating in the Divert Plus treatment group (n = 16)</p> <p>Activity data for all those in the control group (n = 8) in relation to the support received from the Divert Plus case manager</p>	<p>Simple descriptive statistics (e.g. univariate statistics, frequencies, means and percentages) for both the treatment and control groups</p>	<ul style="list-style-type: none"> <li>• Whether monitoring data processes have been set up and implemented effectively</li> <li>• Flow through the programme</li> <li>• Activities and dosage of Divert Plus received by young people in the intervention group</li> <li>• Demographic characteristics of young people who started Divert Plus</li> </ul>
<p>In-depth telephone/online interviews with Divert Plus staff and wider programme stakeholders</p>	<p>Project staff, including project managers, case managers, mentors and speech and language therapists.</p> <p>N = 10</p> <p>Stakeholders from the police, Nottinghamshire VRP, Nottingham City and Nottinghamshire County YJSs, and L&amp;D</p> <p>N = 12</p>	<p>Thematic qualitative analysis.</p>	<ul style="list-style-type: none"> <li>• How the pilot recruitment, randomisation and retention processes have been established and embedded and how they work in practice</li> <li>• Whether data collection processes have been established and embedded effectively</li> <li>• Demand for the intervention in the local area, how this is reflected in referral rates and expectations for future referral rates</li> <li>• How the Divert Plus model has been implemented and whether it has</li> </ul>

Data collection method	Sample included in the analysis	Analysis method	What did the analysis examine?
			<p>maintained fidelity with the co-designed theory of change</p> <ul style="list-style-type: none"> <li>• The acceptability of the RCT design to key Divert Plus programme stakeholders</li> </ul>

## 2.6 Timeline

**Table 8** provides a detailed timeline of the pilot trial. The trial has been delivered in line with this timeline.

**Table 8: Evaluation timeline**

Date	Activity	Staff responsible/leading
January 2022	<ul style="list-style-type: none"> <li>Pilot trial commenced.</li> </ul>	Cordis Bright and Divert Plus
February 2022	<ul style="list-style-type: none"> <li>Ethics application submitted to the University of Greenwich Research Ethics Committee</li> <li>Data Protection Impact Assessment and Information Sharing Agreement discussions begun</li> <li>Review of programme design and delivery completed</li> </ul>	Cordis Bright and Divert Plus
March 2022	<ul style="list-style-type: none"> <li>Trial research tools piloted</li> <li>Trial research tools were finalised</li> <li>Divert Plus approach to recording monitoring data agreed upon and finalised</li> <li>Randomisation approach finalised and agreed upon</li> <li>Scripts and guidance created for Divert Plus practitioners</li> <li>Pilot Trial Evaluation Protocol delivered</li> </ul>	Cordis Bright and Divert Plus
April 2022	<ul style="list-style-type: none"> <li>Ethics clearance achieved from the University of Greenwich Research Ethics Committee</li> <li>Data Protection Impact Assessment and Information Sharing Agreement implemented</li> <li>Training and support in rolling out research tools received by Divert Plus practitioners</li> <li>Recruitment and baseline data collection begun</li> </ul>	Cordis Bright and Divert Plus
May 2022– July 2023	<ul style="list-style-type: none"> <li>Baseline and nine-month (exit) data collection progress for both the treatment and control groups</li> </ul>	Cordis Bright and Divert Plus
October– December 2022	<ul style="list-style-type: none"> <li>IPE (including interviews with stakeholders and project staff)</li> </ul>	Cordis Bright with support from Divert Plus
July 2023	<ul style="list-style-type: none"> <li>Pilot trial data completed</li> </ul>	Divert Plus with support from Cordis Bright
July– September 2023	<ul style="list-style-type: none"> <li>Analysis and reporting</li> </ul>	Cordis Bright
September 2023	<ul style="list-style-type: none"> <li>Trial report completed</li> </ul>	Cordis Bright and Divert Plus

## 3. Findings

### 3.1 Participants

This section provides:

- An overview of the Pilot Trial research questions, methods and number of participants that have informed the findings in relation to each research question

- The flow of participants through each stage of the evaluation
- An overview of the baseline characteristics of young people in the trial

### 3.1.1 Overview of the pilot trial research questions, methods and numbers of participants

**Table 9** shows the research questions for the pilot trial and the number of participants involved in each method that informed the findings. The data sources comprise:

- Twenty-four baseline outcomes measures questionnaires (T1) completed by young people for whom full written consent from the young person and parent/carer had been obtained. As of 31 July 2023, we had received 22 T2 SDQ questionnaires and 21 T2 SRDS questionnaires. Only three young people did not complete both sets of T2 questionnaires once they had received nine months of support.
- Monitoring data for 24 young people who had been recruited to the pilot trial and completed baseline (T1) questionnaires at the cut-off point for the pilot trial, as of 9 September 2022 (four months of recruitment), and for whom full written consent from the young person and parent/carer had been obtained
- Ten in-depth interviews with Divert Plus programme staff
- Twelve in-depth interviews with wider Divert Plus programme stakeholders

**Table 9: Research questions, methods and participants**

Research question	Methods/data sources	Number of participants included in the analysis
1) Have the pilot recruitment, randomisation and retention processes been established and embedded effectively, and do they work in practice?	Divert Plus monitoring data	24
	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12
2) Have data collection processes been established and embedded effectively?	Outcomes questionnaire responses	24
	Divert Plus monitoring data	24
	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12
3) Are the evaluation tools used during the pilot trial reliable, valid, accurate and practical for the project?	Outcomes questionnaire responses	24
	In-depth interviews with project staff	10
4) What sample size will be required for a future efficacy study, accounting for the utility of data	Outcomes questionnaire responses	24
	Divert Plus monitoring data	24

Research question	Methods/data sources	Number of participants included in the analysis
collected during the pilot trial?		
5) Is it likely that Divert Plus will recruit and retain enough young people to meet the required sample size to progress to an efficacy study?	Outcomes questionnaire responses	24
	Divert Plus monitoring data	24
	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12
6) Has the Divert Plus programme been implemented with fidelity to the co-designed theory of change and the original Divert Plus model?	Divert Plus monitoring data	24
	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12
7) Is Divert Plus showing emerging promise in achieving outcomes for participants over and above business as usual, in line with the theory of change?	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12
8) How acceptable is the RCT design to the Divert Plus programme stakeholders?	In-depth interviews with project staff	10
	In-depth interviews with wider programme stakeholders	12

### 3.1.2 Flow through the Divert Plus programme

**Figure 2** summarises the flow through the Divert Plus programme during the pilot trial period. This focuses on those young people included in the pilot trial, which consisted of those recruited in the first four months of the programme's operation (9 May–9 September 2022) and for whom data was collected up until 31 July 2023. As previously noted, recruitment continued after 9 September, with the aim of continuing to build a sample which could be used to inform an efficacy study if it progressed (see Section 2.1 for more details).

Based on spreadsheets used by the Divert Plus team to record cases they are notified of, Divert Plus was notified by the police of 344 young people between 9 May and 9 September 2022. Of these, it appears that 202 young people may have been eligible for the programme. Within the Divert Plus team's spreadsheets, we were able to identify with confidence 142 young people excluded as a result of being group offenders, living out of the area or being over 18 (i.e.  $344 - 142 = 202$ ).

The number of 202 eligible young people may be an overestimate. This is because the recording of eligibility was not always clear or implemented consistently in the spreadsheets, so some of the 202 remaining young people may also have been ineligible.



Of the 202 potentially eligible young people, 33 gave initial informed consent, were randomised and completed baseline measures during the pilot trial period (20 in the Divert Plus group and 13 in the signposting group). Please see Section 2.4 for a discussion of the reasons for this allocation imbalance and steps taken to address it.

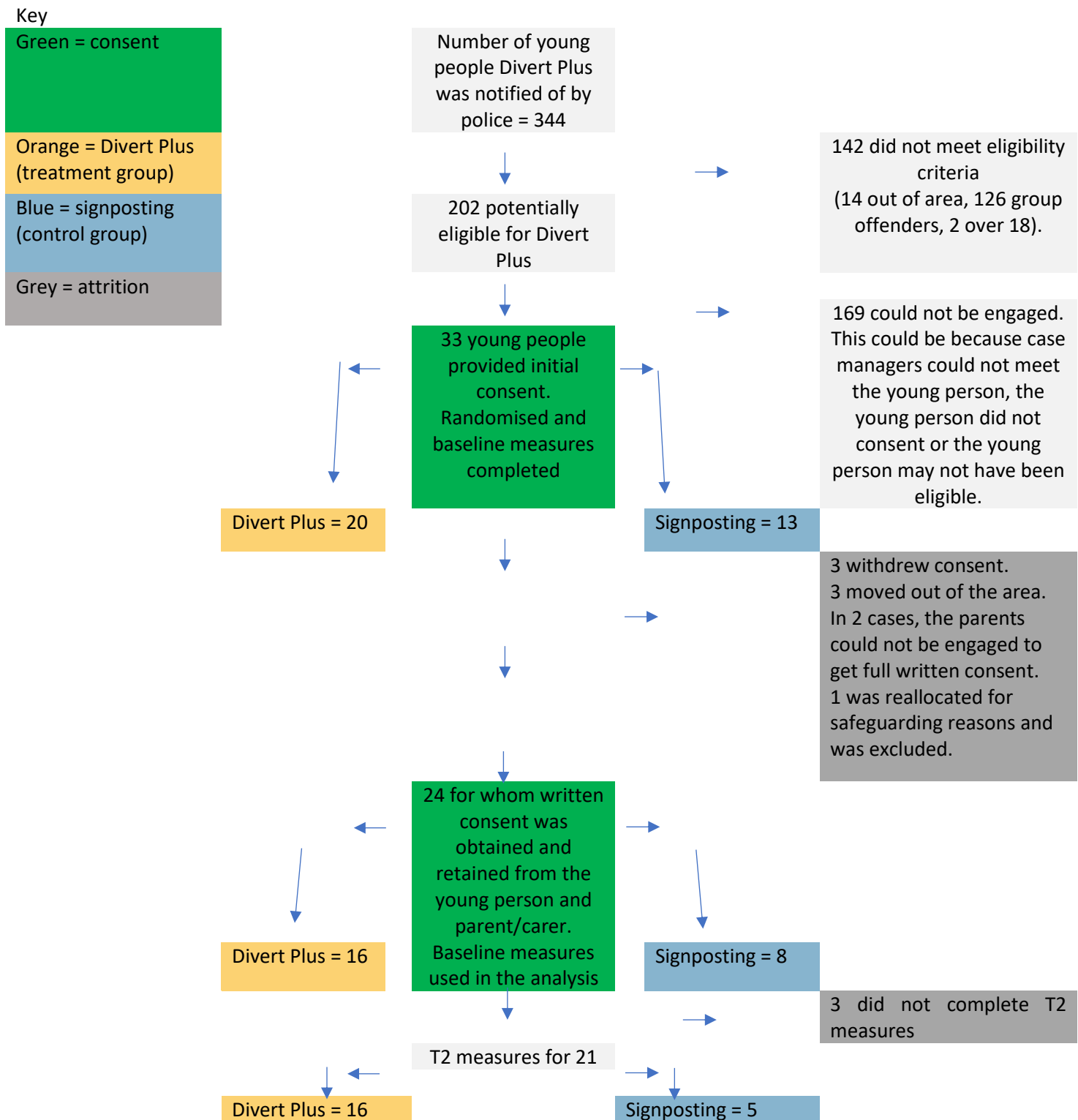
The gap between the number of potentially eligible young people and those who consented to participate in the programme (n = 169) may be explained in part by the challenges of reaching young people once they had left the custody suite. Case managers were meant to conduct home visits within 24 hours of an eligible young person's arrest, but this proved challenging, particularly in Nottinghamshire due to the large size of the area. Based on the monitoring spreadsheets, we were not able to confirm how many young people the Divert Plus case managers met with.

Of the 33 young people for whom initial consent was obtained, baseline outcome measures are only included in this analysis for 24 young people, as nine young people withdrew consent or were excluded from the study (four in the treatment group and five in the signposting group). Of these:

- Three young people withdrew consent or declined to provide full written consent.
- Three young people moved out of the area, so they were no longer eligible to participate in the intervention.
- For two young people, practitioners were unable to secure written consent from their parents/carers due to a lack of engagement.
- One young person was reallocated from the control group to the treatment group due to Divert Plus practitioners' concerns about the extent of their safeguarding needs. This was a departure from the agreed evaluation protocol, was discussed with the Divert Plus team and was not repeated. The young person was excluded from the study. In addition, this case demonstrated that the approach taken to ensure the integrity of the randomisation approach was working, i.e. this case was picked up through our monitoring approach.

More details about referral rates, completion rates and referral-to-consent conversion rates are available in Section 3.2.

**Figure 2: Participant flow through Divert Plus**



### 3.1.3 Who is Divert Plus working with?

#### *Demographic characteristics of the cohort*

Analysis of monitoring data collected by the Divert Plus programme provides an overview of the demographic characteristics of the 24 young people included in the Divert Plus pilot trial.

Because of the small sample size, we have not divided this analysis by Nottingham City and Nottinghamshire County or attempted to compare the demographic breakdown to that of each local authority. Differences of one or two young people could lead to the proportions of certain demographic characteristics becoming higher or lower than in the local population, which could give a misleading indication of the representativeness of the Divert Plus cohort.

**Table 10** and

Tables 10-11 show:

- Eighteen young people (75%) participating in Divert Plus were male and six (25%) were female.
- The largest age group was 16–17, consisting of 12 young people, or 50% of the Divert Plus cohort, followed by eight 14–15-year-olds making up one-third of the cohort.
- Eighteen young people (75%) were of White British ethnic background, and six young people (25%) were from ethnic minority backgrounds.
- Four young people (17%) had a recorded special educational need or disability (SEND). Two of those four young people had an education, health and care plan, and the other two young people had a student support plan. Two young people had diagnoses of autism spectrum disorder; one young person had social, emotional and mental health needs; and one young person had speech, language and communication needs (SLCN). The proportion of young people with SLCN appears to be low, given the programme’s focus on this need. However, it may be that some young people were only diagnosed after joining the programme, and this was not recorded in the case management system.
- Eleven young people (46%) lived in Nottingham City when they were referred to Divert Plus, compared to 13 young people (54%) in Nottinghamshire.
- Sixteen young people (67%) had recorded involvement with children’s social care – either having been on a child in need (CIN), on a child protection plan or a child looked after (CLA) or having experienced a combination of the three.
- Seventeen young people (71%) were in school at the outset of their involvement in the programme, while seven (29%) were not in education, employment or training.

Data on young people’s background characteristics had a 100% completion rate, i.e. we were not missing any demographic data presented in this section for any of the young people.

Table 10: Key background information for those participating in the Divert Plus programme (n = 24)

Gender	Age	Involvement in children's social care																																																															
<table border="1"> <thead> <tr> <th>Gender</th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Female</td> <td>6</td> <td>25</td> </tr> <tr> <td>Male</td> <td>18</td> <td>75</td> </tr> <tr> <td>Non-binary</td> <td>0</td> <td>0</td> </tr> <tr> <td>Missing</td> <td>0</td> <td>0</td> </tr> <tr> <td><b>Total</b></td> <td><b>24</b></td> <td><b>100</b></td> </tr> </tbody> </table>	Gender	Number	%	Female	6	25	Male	18	75	Non-binary	0	0	Missing	0	0	<b>Total</b>	<b>24</b>	<b>100</b>	<table border="1"> <thead> <tr> <th>Age</th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>10–11</td> <td>1</td> <td>4</td> </tr> <tr> <td>12–13</td> <td>2</td> <td>8</td> </tr> <tr> <td>14–15</td> <td>8</td> <td>33</td> </tr> <tr> <td>16–17</td> <td>12</td> <td>50</td> </tr> <tr> <td>18</td> <td>1</td> <td>4</td> </tr> <tr> <td><b>Total</b></td> <td><b>24</b></td> <td><b>100</b></td> </tr> </tbody> </table>	Age	Number	%	10–11	1	4	12–13	2	8	14–15	8	33	16–17	12	50	18	1	4	<b>Total</b>	<b>24</b>	<b>100</b>	<table border="1"> <thead> <tr> <th>Experience of CIN/CP/CLA<sup>40</sup></th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Ever been CIN</td> <td>15</td> <td>63</td> </tr> <tr> <td>Ever been CP</td> <td>6</td> <td>25</td> </tr> <tr> <td>Ever been CLA</td> <td>5</td> <td>21</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Children's social care involvement</th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Ever been one or more of CIN/CP/CLA</td> <td>16</td> <td>67</td> </tr> <tr> <td>Never been CIN/CP/CLA</td> <td>8</td> <td>33</td> </tr> <tr> <td><b>Total</b></td> <td><b>24</b></td> <td><b>100</b></td> </tr> </tbody> </table>	Experience of CIN/CP/CLA <sup>40</sup>	Number	%	Ever been CIN	15	63	Ever been CP	6	25	Ever been CLA	5	21	Children's social care involvement	Number	%	Ever been one or more of CIN/CP/CLA	16	67	Never been CIN/CP/CLA	8	33	<b>Total</b>	<b>24</b>	<b>100</b>
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<sup>40</sup> These categories are not mutually exclusive – i.e. children may have experienced more than one of these positions.

Table 11: Ethnic background of young people participating in the Divert Plus programme (n = 24)

Ethnic group	Number	%	Ethnic group	Number	%
<b>White</b>			<b>Black/African/Caribbean/Black British</b>		
English/Welsh/Scottish/Northern Irish/British	18	75	African	1	4
Irish	0	0	Caribbean	0	0
Gypsy or Irish Traveller	0	0	Any other Black/African/Caribbean background	0	0
Any other white background	0	0			
<b>Mixed/multiple ethnic groups</b>			<b>Other ethnic group</b>		
White and Black Caribbean	1	4	Arab	0	0
White and Black African	1	4	Any other ethnic group	0	0
White and Asian	1	4			
Any other Mixed/multiple ethnic background	1	4			
<b>Asian/Asian British</b>					
Indian	0	0	<b>Declined</b>	0	0
Pakistani	1	4	<b>Not asked</b>	0	0
Bangladeshi	0	0	<b>Missing</b>	0	0
Chinese	0	0			
Any other Asian background	0	0	<b>Total</b>	<b>24</b>	<b>100</b>

## Offending behaviour of the cohort

The offences that Divert Plus participants were arrested for, triggering their first meeting with a Divert Plus case manager, are shown in **Table 12**. This data was recorded by Divert Plus case managers within an RCT flow recording spreadsheet developed by Cordis Bright.

Offence types were grouped into violence (e.g. affray, assault and common assault), possession of weapons (e.g. knife, bladed article and replica firearm), drug offences (e.g. possession with intent to supply), sexual offences (e.g. rape and sexual activity with a child), criminal damage and theft.

The most common offence type was possession of a weapon (10 young people or 42% of the cohort), followed by violence (seven young people or 29% of the cohort). This suggests that Divert Plus was mostly reaching its intended target audience of young people arrested for violence or offences with risk factors for violence.

Three young people (13% of the cohort) were arrested for sexual offences. It is less clear whether this group of young people fits directly within Divert Plus's intended cohort, i.e. in line with its theory of change. The theory of change does not suggest the programme originally aimed to work with young people who were arrested for sexual offences. As such, it may be useful to reflect and review whether Divert Plus provides the right packages of support for young people committing serious sexual offences and to then revise the theory of change and model as appropriate if the project were to progress to an efficacy study.

**Table 12: Offences Divert Plus participants arrested for (n=24)**

Offence Type	Number	%
Possession of weapon	10	42
Violence	7	29
Sexual offences	3	13
Drug offences	2	8
Criminal damage	1	4
Theft	1	4
<b>Total</b>	<b>24</b>	<b>100</b>

Data extracted from Nottingham City and Nottinghamshire County YJS case management systems relating to young people's offending history was also provided to Cordis Bright. This data was incomplete. Seven of the Divert Plus young people were not recorded as having committed any offences, despite the fact that they would have had to do so to qualify for the programme and that the offence for which they had been arrested was recorded in the Divert Plus team's RCT flow recording spreadsheet. We have, therefore, not reported this offending history data here to avoid giving a misleading picture of the cohort's offending behaviour before and after their participation in the pilot RCT.

## 3.2 Evaluation feasibility

### 3.2.1 Key messages

This section provides a summary of the findings related to the feasibility and practicality of progressing to an efficacy study. These findings are based on a thematic analysis of the data from the IPE (interviews with Divert Plus staff and wider programme stakeholders) and on a quantitative analysis of monitoring data and outcomes data collected as part of the pilot trial.

Analysis was structured around the following themes linked to the seven pilot trial research questions. These themes included (1) the processes of trial recruitment, randomisation and retention, (2) the processes of data collection, (3) the acceptability, reliability and validity of evaluation tools and the data collected, (4) the likelihood of achieving the necessary sample size, (5) the fidelity of the delivery of the model, (6) the emerging evidence of promise in relation to outcomes and (7) the acceptability of the trial to key stakeholders.

Overall, findings indicated that while the Divert Plus programme has shown some promise of evaluability, an efficacy study at this time is unlikely to be feasible. Key messages from the analysis included:

- **Recruitment processes:** Recruitment, consent and randomisation procedures have improved over the course of the pilot trial and are now well established.
- **Understanding uptake:** More consistent reporting of meetings with eligible young people and rates of consent will be necessary to understand how many young people decline support and why. Divert Plus team recordings suggest that 202 young people may have been eligible for support during the pilot trial period (9 May to 9 September 2022), but we cannot be confident due to some inconsistencies in reporting. Of this potentially eligible cohort, only 33 or 16% consented to participate in the programme. We do not know whether this is due to a lack of capacity among case managers to meet all young people or young people not consenting. It may also be that some of these 202 young people were ineligible, but this was not recorded.
- **Retention rates:** Retention was reasonable in the Divert Plus cohort but has proved a challenge for young people in the signposting (control) group, with only five out of 13 or 38% of the cohort who gave initial consent going on to provide full consent and completing T2 questionnaires. The overall rate of retention across the treatment and control groups was 64%, with 21 out of the 33 young people who provided initial consent going on to provide full consent and completing T2 questionnaires. This might suggest the need for a shorter timeframe for collecting T2 questionnaires and/or more robust keeping-in-touch processes with Divert Plus practitioners and/or evaluators. Ensuring that young people in the signposting group are given equal priority for follow-up visits to obtain full written consent will also be important. Caution should be applied when interpreting this data due to the low numbers.
- **Projected sample size:** Based on current rates of recruitment and retention, it seems unlikely that Divert Plus will recruit and retain the 338 young people that our power calculations suggest would be a sufficient sample size in the time period originally suggested for an efficacy study. Even if young people invited to voluntary interviews were included in the cohort and the programme recruited 25% of them each month (around 17), on top of the average of six young people recruited per month already, the sample size by November 2023 (the anticipated end point of baseline recruitment for an efficacy study) would be 252. This is 48% of the 528 required to obtain a sufficient sample size of 338 at follow-up, assuming that the retention rate of 64% between baseline and completion of T2 questionnaires is continued.
- **Outcomes questionnaires:** Despite some concerns about collecting questionnaires in the custody suite, processes for collecting outcomes questionnaires have been established and embedded effectively. T1 and T2 questionnaires were completed to good standards for both scales. The T2



SRDS completion rate of 63% (15 out of the 24 young people who completed baseline questionnaires) was the only outcome questionnaire which did not exceed the progression criteria target completion rate of 70%.

Analysis of outcomes questionnaire data also suggests that questionnaires appear to be reliable, valid and practical.

- **Monitoring data:** Monitoring of activity and dosage relied on recording data in YJS case management systems, which differed between Nottingham City and Nottinghamshire. This was mostly fit for purpose in City, although there appears to have been some underreporting. However, data extracted from the County case management system was not sufficiently codified to allow for analysis. Improvements in the consistency of recording contacts with young people between the sites would be necessary, as would more consistent reporting of offending history and associated outcomes if the programme were to progress to an efficacy study. This may be challenging, given that monitoring data is reliant on recording within case management systems, which cannot be easily changed. Alternative solutions may be needed, which would likely add recording burdens to Divert Plus team members and have resource implications.
- **Programme model:** Some elements of the Divert Plus model could benefit from being defined more clearly in a revised version of the theory of change, including the 'moment', the role of case managers and mentors and how these relate to one another, the aim of the SALT offer and the role of RJ. The programme could also be supported by defining and documenting the pathways through the programme, the criteria for determining the support a young person receives and when they can safely exit the programme. It may be that the programme would benefit from a further feasibility study period to allow time to define the intervention more clearly.
- **Stakeholder buy-in:** Those working in or close to the Divert Plus team have become more accepting of the RCT design over time. However, if it is to progress to an efficacy study, the programme will require strong leadership within the Divert Plus team, supported by senior oversight and input from the VRP, local authorities and the police to ensure successful delivery and communication of the RCT approach to partners.

### **3.2.2 Q1: have the pilot recruitment, randomisation and retention processes been established and embedded effectively, and do they work in practice?**

#### *Recruitment processes*

While recruitment processes have improved since the early stages of the project, recruitment has proved to be one of the more challenging elements of establishing and embedding the pilot trial. The two key challenges with recruitment procedures centred around 1) identifying young people and 2) securing informed consent from parents/carers and young people.

In terms of identifying young people to take part in the evaluation, Divert Plus practitioners reported having experienced issues with receiving timely notifications from the police when a young person enters custody. There was a belief among stakeholders that this could improve as Divert Plus becomes more embedded and staff in custody suites become more familiar with the Divert Plus team and procedures.

There were also concerns about identifying whether a young person was eligible for Divert Plus, as this information was not always available before the practitioners met with the young person. This was a particular challenge for group offenders.

Of the 344 young people about whom Divert Plus was notified by police between 9 May and 9 September 2022 (the pilot trial recruitment period), only 202 may have been eligible for Divert Plus (based on monitoring in Divert Plus case managers' spreadsheets). One hundred forty-two were recorded as ineligible, of which 126 were group offenders, 14 lived out of the area and two were over 18. This might be an underestimate of the true number of ineligible young people due to some issues around clarity in the reporting of cases within the Divert Plus case managers' spreadsheet (discussed in Section 3.1). This suggests that Divert Plus case managers may have spent a significant amount of time meeting young people who turned out to be ineligible.

Of the 202 who were potentially eligible, 33 (16%) provided initial informed consent and were randomised.

Two challenges with the process of obtaining consent, reported by practitioners, may go some way to explaining this gap between the number of potentially eligible young people and the number consenting to participate in the trial.

1. **The volume of administration practitioners need to complete during the first meeting:** practitioners reported that the effectiveness of the recruitment procedures was hampered to some extent by the volume of information Divert Plus caseworkers had to explain to the young person in the first meeting, as well as the need to complete the randomisation process and questionnaires. They highlighted that this was particularly pertinent in cases where the young person, or their parent or carer, had learning needs. There were questions about whether this 'diluted' the power of the 'moment' and whether this may have impacted the likelihood of a young person choosing to participate in Divert Plus (discussed further in answer to RQ5 in Section 3.2.6). One Divert Plus team member stated:

*"Because of the RCT, it's not really a teachable moment – It's been diluted because we have to go in with the assessment..."*

Stakeholders provided suggestions around streamlining the process, such as using an iPad to make the process more accessible and user-friendly and reducing the administrative aspects of recruitment. However, during the trial RCT, it was understood by stakeholders that the use of digital devices and access to the internet within the custody suite was not feasible.

2. **The need to secure a second meeting to gain formal written consent:** the two-meeting process was suggested by Divert Plus team members and originally agreed upon to allow young people some time to process the consent information outside of the custody environment and discuss the offer with their parents or carers before coming to a final decision about participating. Stakeholders reported that this method of recruitment had created some challenges for the Divert Plus team, mostly around organising home visits with families from backgrounds commonly referred to as 'hard-to-reach' and/or vulnerable.

Stakeholders acknowledged that this has had a greater impact on the Nottinghamshire County team, which covers a larger geographical area than the Nottingham City team. The process was amended in September 2022 so that second consent forms could be completed electronically to mitigate the burden of organising a second meeting.

This challenge does not arise when the first meeting happens outside the custody suite, as in this case, both the first and second consent forms can be signed in the first meeting.

While these challenges may go some way to explaining the significant gap between the number of potentially eligible young people identified to Divert Plus by police and the number who gave initial informed consent to participate in the programme, it is difficult to provide a definitive explanation. We were unable to ascertain from the Divert Plus monitoring spreadsheet how many of the 202 potentially eligible young people were actually met by a case manager. This data would help to give a better indication of whether the key challenge lies in a lack of capacity among case managers to meet all young people or in young people and parents/carers not providing informed consent.

Overall, stakeholders viewed these challenges with the consent procedures as ‘teething issues’ common with new procedures, which they felt had improved over time. This was supported by the positive experiences of the first meeting reported by young people in the feedback which was collected by Divert Plus practitioners and shared with the evaluation team.

### *Randomisation processes*

The randomisation process experienced some initial challenges. With time and a slight adaptation to processes, the scale of the challenges seems to have been reduced. Challenges mostly centred around the practitioner’s ability to explain the process to young people and their families and some issues with the practicalities of the process.

Stakeholders involved in the randomisation process reported initially feeling uncomfortable when explaining it to young people but said that they had developed their ‘sales pitch’ over time. One Divert Plus team member reported:

*‘It is a struggle sometimes, particularly for me, because we are trying to sell them a service. I’ve learnt my sales pitch for the RCT – “there’s other things, and [we] can signpost you to other services” – I think it’s clear’.*

As discussed in Section 2.4, practical difficulties with the original randomisation process arose from the move from one to two case managers in each of the Divert Plus sites. This created challenges, as multiple practitioners were using the same sequence, meaning that envelopes could be allocated out of order (see Section 2.4 for further explanation).

The first attempt to rectify this problem was to make practitioners allocate an envelope to every young person whom they were notified of by the police and then discard the envelope if the young person did not consent. This proved not to be an effective solution, as it meant envelopes were wasted, and the sequence did not follow the one-to-one ratio which the use of blocking had been meant to create (as some envelopes within each block of four could be discarded).

The time during which this system was in place means that there is an imbalance in the number of young people randomised into each group. Twenty young people who gave initial consent were randomised into the Divert Plus group, and 13 were randomised into the signposting group, a ratio of 1.5:1.

The second iteration of this approach saw a separate sequence allocated to each of the Divert Plus case managers. For those 46 young people allocated using the new system, including some recruited beyond the pilot trial recruitment period (after 9 September 2022), the ratio of allocation was 1.3:1 Divert Plus to signposting. This remaining imbalance is due to recruitment ending in the middle of a 'block' of four for each of the four sequences, creating a small imbalance in each sequence, which, when combined, created a more significant imbalance for the total cohort. If recruitment were to be continued and a larger sample size randomised, this imbalance would likely be reduced.

Overall, it appears that the randomisation process was carried out with integrity by practitioners during the pilot trial and that 'teething difficulties' were largely overcome. Cordis Bright regularly checked the allocation of each young person against the centrally held sequence, and these all matched, bar the one reallocation from the signposting group to Divert Plus, which was a departure from protocol and not repeated (see Section 2.4 for more details).

### *Retention*

Practitioners reported that for young people in the Divert Plus treatment group, good levels of retention in the programme were maintained through the process of having regular check-ins with the case manager.

Of the 20 young people who gave initial consent and were randomised to the Divert Plus treatment group, 16 (80%) were retained in the study and completed T2 questionnaires. This exceeds the target of 70% of young people completing the programme included within the progression to efficacy study criteria agreed upon during the development of the Pilot Trial Protocol. Two young people disengaged, and two moved out of the area, meaning that they could not complete their involvement in the study and complete T2 questionnaires.

Of the 13 young people who gave initial consent and were allocated to the signposting (control) group, eight (62%) provided full written consent to participate in the study and are included in the analysis of background characteristics data in this report (shown in Section 3.1). Two could not be engaged to obtain full written consent, one did not live with their parents (and did not have anyone else in a position of formal parental responsibility), so they could not obtain parental consent, and another moved out of the area. One was excluded from the trial due to having been reallocated to the treatment group by practitioners due to their perception that the severity of the young person's safeguarding needs required more intensive support offered by Divert Plus. As noted in Section 3.1, this was a departure from protocol and was not repeated.

Only five young people in the signposting group could then be reached to complete both T2 questionnaires – 38% of the original cohort, substantially below the 70% target.

Practitioners had always been more concerned about the likelihood of retaining young people in the signposting group in the study due to the extended gap between the first meeting and the nine-month check-in. This would likely be even more challenging when securing the 15-month questionnaires if the programme were to progress to an efficacy study. This suggests that it may have been beneficial if the timeframes for collecting these questionnaires and holding the second meeting with the signposting group had been shorter. Nine months was chosen during the co-design process with the YEF, Nottinghamshire VRP and Divert Plus colleagues, as this was to match the length of the average intervention.

There may also be opportunities for improved methods of keeping in touch and maintaining engagement with young people in the signposting group, for example, using financial or other incentives and having more check-ins with practitioners.

Ensuring that young people in the signposting group are given equal priority as Divert Plus treatment group young people when conducting follow-up visits to promptly obtain full written consent will also be important to ensure sufficient rates of retention in the signposting group.

### **3.2.3 RQ2: have data collection processes been established and embedded effectively?**

Data was gathered for the pilot trial through (1) outcomes questionnaires and (2) monitoring data.

#### *Outcomes questionnaires*

The ability or willingness of young people to complete the questionnaires within the custody suite was identified as a key risk in the scoping stage of the pilot trial. Particular concern was expressed about the SRDS.

In interviews, practitioners reported that young people were happy to answer the SDQ, but views were more mixed about the SRDS. Some suggested the nature of the questions meant this questionnaire was not as well-received by young people. Others were more positive, stating that young people were filling in the questionnaire and even appreciated the opportunity to reflect on their behaviour without any input from professionals.

Analysis of the completeness of outcomes questionnaires shows that **baseline (T1) and time two (T2) questionnaires have been completed to good standards for both scales**. Both the SRDS and SDQ at T1 and T2 saw completion rates exceeding the target of 70% outlined in the co-developed progression criteria (see Section 1.4 for more details on progression criteria). This success is due to the work of the Divert Plus case managers in encouraging young people to complete the forms and making them feel comfortable enough to do so.

**SDQ completion:** at T1, all items in the SDQ (part one of the questionnaire) had a completion rate of 100%. At T2, all items had a completion rate of 91% (20 out of 22) or higher.

The SDQ impact supplement was equally well completed. Twenty-three out of the 24 respondents (96%) completed it at baseline, with only one young person missing it in its entirety. At T2, all 22 respondents (100%) responded to most questions of the SDQ impact supplement. Response rates varied depending on the type of question.

A full breakdown of response patterns for the SDQ can be found in Appendix B.

**SRDS completion:** the SRDS was completed well by participants. Using the SRDS 'variety score', 92% (22 out of 24) or more participants at T1 and 86% (18 out of 21) or more at T2 completed the questions. Looking at the questionnaires overall, at T1, 18 out of 24 young people fully completed the SRDS (75%). Six young people (25%) missed one or more questions, but half of them (12.5% or three young people) missed only one question. Most often, young people appear to have missed questions on an ad hoc basis. At T2, this rate was similar; 15 out of 21 young people who completed T2 questionnaires (71%) fully completed the SRDS.

Nine young people (43%) missed one or more questions. Of these nine, most young people missed only one or two questions (n = 2 or 10% for both).

Across both the T1 and T2 SRDS, there does not appear to be any evidence of young people consistently ticking the same box for each question. When they responded to the open-text questions, the answers submitted were all relevant to the questions. Additionally, there does not appear to be any over-reporting of behaviours or offending, with no young person selecting the same timespan for each behaviour or reporting that they had engaged in every single behaviour. At T1, however, there may have been some under-reporting of behaviour, as four individuals reported that they had not committed any of the SRDS offences. But this may also be because the SRDS did not cover the offence for which they were arrested at T1. Unfortunately, the monitoring data we have access to does not enable us to do a comparative analysis between self-reported offending and data held on the case management system in relation to offending.

A full breakdown of the response pattern for the SRDS can be found in Appendix C.

### *Monitoring data*

As Divert Plus has progressed, the project management meetings were used as a forum to discuss and review data collection processes.

The Divert Plus team completed 'flow recording spreadsheets', which recorded each young person consenting to be involved in the study and the group they were allocated to, as well as the completion of T1 and T2 questionnaires and consent forms. These were shared with Cordis Bright on a monthly basis. This allowed Cordis Bright to monitor recruitment into the programme and ensure that the randomisation process was being carried out with integrity.

Further information on the young people in Divert Plus was recorded in the Nottingham City and Nottinghamshire County YJS case management systems. The Divert Plus team agreed to provide Cordis Bright with the following data extracted from these systems:

- Background information relating to each young person, including demographics, their care history, offending history, SEND and ETE status
- What activities a young person received, including mentoring, SALT, OOC, RJ or any other elements of Divert Plus
- How long each activity was received for, including the dates started and ended and the points in between
- How much of each activity a young person received (the dosage), using a quantitative record of each supportive interaction

While most of the background data was well recorded in the case management systems, with little missing data, the recording of offence history (discussed in Section 3.1) was more limited, with significant missing data, meaning that no offences were recorded for seven young people. Practitioners suggested that this could have been due to business support staff not uploading this information to the system.

Activity data was recorded differently by Nottingham City and Nottinghamshire County, which use different case management systems. Both captured the details of work conducted with and regarding young people

within fields called ‘contacts’ or ‘events’. In Nottingham City, a mutually exclusive set of options was used within a drop-down list, whereas in Nottinghamshire County, this was recorded as open text. This has allowed us to analyse the support received by young people in Nottingham City but not in Nottinghamshire, as contacts were not recorded consistently enough to be coded.

The analysis of activity data recorded in Nottingham City is provided in Section 3.2.7. It appears that there might still have been some challenges with recording within this system, as the number of young people receiving some core Divert Plus elements is lower than anticipated.

Both sites transitioned to new case management systems during the Pilot Trial period. This will have contributed to issues with missing data and inconsistent recording.

These challenges highlight the limitations of relying on statutory sector case management systems for recording activity and dosage data for both treatment and control groups for interventions as complex as Divert Plus. However, establishing a parallel reporting system using a spreadsheet or other medium would have been impractical, duplicating effort and creating an additional administrative burden for case managers who would have had to continue to record within their case management systems. It may have been possible to agree on a limited set of ‘contacts’ which County case managers could add to the case management system to match those used in City. An arrangement of this kind would likely be optimal if the Divert Plus programme were to progress to an efficacy study.

### **3.2.4 RQ3: are the evaluation tools used during the pilot trial reliable, valid, accurate and practical for the project?**

To explore the reliability and validity of the measures, we analysed the number of valid responses (see Section 3.2.3) and looked at the nature of the responses of the SDQ and SRDS to see if they were in line with what we would expect.

It should be noted that while we have presented data on the T1 and T2 questionnaires here, this should not be used to assess change over time in outcomes for young people. Sample sizes were too small to use the questionnaire data for this purpose. See Section 3.3 for more details.

#### *SDQ*

As noted in Section 2.3.2, the SDQ comprises five different subscales. In addition to the total difficulties score, which is calculated from the sum of all except the Prosocial subscale, the measure produces scores for externalising and internalising behaviours. The Externalising score is derived from the sum of the Conduct Problems subscale and the Hyperactivity subscale, and the Internalising score is the sum of the Emotional Problems subscale and the Peer Problems subscale.

Analysis of T1 and T2 SDQ responses show that young people submitted a sufficient number of valid responses to the SDQ for scores to be analysed.

**Table 13** shows the number of T1 SDQ scales completed by young people (out of 24) which had a sufficient number of valid responses to be scored, along with the average (mean scores) and the Cronbach's Alpha<sup>41</sup> of the scale. Overall, the Externalising and SDQ total scores had acceptably high levels of reliability (the threshold is considered to be a score of above 0.7). Although the reliability of some of the subscales was low, especially Emotional Problems (alpha = .45) and Peer Problems (alpha = .31), this may not be of concern. This is because Cronbach's Alpha is based on both how well the items 'hold together' (i.e. the reliability of the scale) and the number of items in the scale. These SDQ subscales may have low alpha coefficients because they are only five items.<sup>42</sup>

**Table 13** also shows the same analysis for T2. The reliability of many of the subscales was low, especially Emotional Problems (alpha = .45), Peer Problems (alpha = .41) and Prosocial (alpha = .45). Again, this is likely because alpha is a function of the number of items as well as a measure of how well the items 'hold together'. The Externalising, Internalising and SDQ total difficulties scores had what would be traditionally considered low levels of reliability. This could be due to a number of reasons, which can be read about in Tavakol and Dennick (2011).

**Table 13: Valid scales, average scores and Cronbach's alpha of SDQ subscales in baseline outcomes questionnaires (n = 24) and T2 questionnaires (n = 22)**

SDQ scale	T1			T2		
	N valid (%)	M (sd)	Alpha	N valid (%)	M (sd)	Alpha
Emotional Problems	24 (100%)	3.6 (1.9)	.45	22 (100%)	3.6 (1.8)	.41
Conduct Problems	24 (100%)	4.5 (2.1)	.66	21 (95%)	3.5 (1.8)	.57
Hyperactivity	24 (100%)	7.0 (1.9)	.56	21 (95%)	6.2 (2.0)	.73
Peer Problems	24 (100%)	4.6 (1.4)	.31	21 (95%)	4.2 (1.5)	.41
Prosocial	24 (100%)	6.7 (1.8)	.68	21 (95%)	7.8 (1.6)	.45
<b>Externalising</b>	<b>24 (100%)</b>	<b>11.5 (3.6)</b>	<b>.76</b>	<b>21 (95%)</b>	<b>9.7 (3.0)</b>	<b>.66</b>
<b>Internalising</b>	<b>24 (100%)</b>	<b>8.2 (2.8)</b>	<b>.54</b>	<b>21 (95%)</b>	<b>8.0 (2.7)</b>	<b>.56</b>
<b>Total difficulties score</b>	<b>24 (100%)</b>	<b>19.8 (5.2)</b>	<b>.74</b>	<b>21 (95%)</b>	<b>17.7 (4.5)</b>	<b>.56</b>

To understand whether SDQ responses were completed well, we have looked at the following:

- Correlations between related subscales within the SDQ and between SDQ subscales and the SRDS variety score
- SDQ scores grouped by a four-fold categorisation of level of need (i.e. close to average, slightly raised, high and very high) to understand whether this is what we would expect for the Divert Plus cohort

Analysis of the correlation of SDQ subscales at T1 suggests they were completed well.

<sup>41</sup> Cronbach's alpha is a measure of internal consistency used to assess the reliability of a set of scales or test items. It is a way measuring the strength of the consistency of any given measurement or concept.

<sup>42</sup> See for more information: [\(PDF\) Advice on Reliability Analysis with Small Samples \(researchgate.net\)](#)



**Table 14** shows that at T1, the strongest correlation was observed between Conduct Problems and Hyperactivity ( $r = .61, p < .05$ ), followed by Emotional Problems and Hyperactivity ( $r = .42, p < .05$ ). Other correlations were present (e.g. Hyperactivity and Peer Problems ( $r = .38$ )) but were not significant, likely because of the low numbers.

Overall, the analysis shows that the Internalising and Externalising subscales were not significantly correlated ( $r = .31, n.s.$ ).

**Table 14** also shows that the correlation between SRDS Variety and SDQ Hyperactivity was significant at T1 ( $r = .56, p < .05$ ).

The analysis also shows that the SRDS Variety score correlated significantly with the Externalising subscale ( $r = .50, p < .05$ ) and with the total SDQ score ( $r = .55, p < .05$ ) but not with the Internalising subscale ( $r = .19, n.s.$ ).

**Table 14: Correlation between SDQ subscales in T1 outcomes questionnaire responses and the SRDS Variety score (n = 24)**

	Emotional Problems	Conduct Problems	Hyper-activity	Peer Problems	Prosocial	SRDS Variety score
Emotional Problems	X	-.03	.42*	.34	.30	-.04
Conduct Problems	X	X	.61*	.20	-.12	.35
Hyperactivity	X	X	X	.38	.02	.56*
Peer Problem	X	X	X	X	.35	.12
Prosocial	X	X	X	X	X	.24
SRDS Variety score	X	X	X	X	X	X

\* Denotes statistical significance level  $p < 0.05$

The analysis of the correlation of SDQ subscales completed at **T2** also suggests they were completed reasonably well. **Table 15** shows the correlation between the subscales of the SDQ at T2. The strongest correlation was observed between Emotional Problems and Peer Problems ( $r = .47, p < .05$ ). The next strongest correlation was Conduct Problems negatively related to the Prosocial subscale, although this was not significant ( $r = -.38, n.s.$ ). The Internalising and Externalising subscales were not significantly correlated ( $r = .25, n.s.$ ).

**Table 15** also shows the correlation between the SDQ subscales and the SRDS Variety score. None of the correlations between SRDS Variety and the SDQ subscales were significant. The SRDS Variety score was not significantly correlated with the total SDQ score ( $r = .12, n.s.$ ). This is likely explained by the small sample sizes involved.

The analysis also shows that the SRDS Variety score was not significantly correlated with the Externalising subscale ( $r = .28, n.s.$ ) or the Internalising subscale ( $r = -.15, n.s.$ ).

**Table 15: Correlation between SDQ subscales in T2 outcomes questionnaire responses and the SRDS Variety score (n = 22)**

	Emotional Problems	Conduct Problems	Hyper-activity	Peer Problems	Prosocial	SRDS Variety score
Emotional Problems	X	-.14	.14	.47*	.04	-.26
Conduct Problems	X	X	.27	.32	-.38	.28
Hyperactivity	X	X	X	.36	-.04	.19
Peer Problem	X	X	X	X	.25	-.04
Prosocial	X	X	X	X	X	-.23
SRDS Variety score	X	X	X	X	X	X

\* Denotes statistical significance level  $p < 0.05$

The SDQ total difficulties scores recorded by young people at T1 are consistent with the expected needs of the Divert Plus target cohort, further suggesting that the SDQ is valid and reliable.

**Table 16** shows the results of the categorisation of the T1 SDQ total scores based on the four-fold categorisation for the 24 young people. The most prevalent category was 'Very High' (54%).

**Table 16** also shows the distribution of the impact supplement score of young people responding to the SDQ impact supplement at T1. Of the 24 young people who completed the baseline questionnaires, 21 answered

the questions about their difficulties in one or more areas (impact supplement question 1). Of these, all 21 indicated the level of their difficulties. Of these 21, 18 completed all items, so the Impact Supplement score could be calculated. The most prevalent category was 'Very High' (12 [67%]).

**Table 16: SDQ total score grouped at T1 (n = 24) and impact supplement score groups at T1 (n = 21)**

SDQ scores grouped	Total SDQ score		Impact supplement score	
	Frequency	Proportion	Frequency	Proportion
Close to average	5	21%	4	22%
Slightly raised	2	8%	1	6%
High	4	17%	1	6%
Very high	13	54%	12	67%
<b>Valid total</b>	<b>24</b>	<b>100%</b>	<b>18</b>	<b>100%</b>
Missing	0		3	
<b>Total</b>	<b>24</b>		<b>21</b>	

**Table 17** shows the results of the categorisation of the SDQ total difficulties scores recorded at T2 based on the fourfold categorisation for the 21 young people (out of 22 who completed the T2 SDQ) who provided sufficient data to be analysed. The most prevalent category was 'Slightly Raised' (43%), followed by 'Very High' (33%).

**Table 17** also shows the distribution of impact supplement scores for young people completing the SDQ at T2. All 22 young people who completed a T2 SDQ questionnaire answered the questions about their difficulties in one or more areas (SDQ impact supplement question 1). Of these, 15 indicated the level of their difficulties. Of these 15, three were missing one item, so an impact supplement score could be calculated for 12. Of these, 33% (four out of 12) scored a 'High' or 'Very High' score on the SDQ impact supplement.

**Table 17: SDQ total score grouped at T2 (n = 22) and impact supplement score grouped at T2 (n = 15)**

SDQ total scores grouped	Total SDQ score		Impact supplement score	
	Frequency	Proportion	Frequency	Proportion
Close to average	4	19%	5	42%
Slightly raised	9	43%	3	25%
High	1	5%	1	8%
Very high	7	33%	3	25%
<b>Valid total</b>	<b>21</b>	<b>100%</b>	<b>12</b>	<b>100%</b>
Missing	1		3	
<b>Total</b>	<b>22</b>		<b>15</b>	

## SRDS

The SRDS at T1 had a high response rate from participants. In addition, an analysis of the responses suggested that the SRDS has been completed reliably and validly.

It was possible to calculate the total variety of delinquency scores (or the young peoples' estimated scores) for 23 of the 24 young people who completed baseline questionnaires (96%).<sup>43</sup> **Table 18** shows that 19 out of the 23 young people (83%) reported that they had committed at least one behaviour or offence. This table could be viewed as inconsistent with what would be expected for the target cohort of Divert Plus, i.e. young people at risk of involvement in SYV, organised crime, violence and gangs.

There are various possible reasons for this. For example, young people may have intentionally underreported the types of offences they had committed. Alternatively, this table may reflect the fact that these young people have been involved in the youth justice system, so there would have been fewer opportunities to engage in criminal behaviour. Young people may also have been arrested for a crime that they do not think they committed, and the SRDS did not ask about the offences that they had been arrested for.

**Table 18: Number of behaviours and offences (grouped) as reported in the SRDS at T1 (n = 24)**

Number of behaviours and offences (grouped)	Frequency	Proportion (%)
0	4	17%
1–4	7	30%
5–9	10	43%
10–14	2	9%
15–19	0	0%
<b>Valid total</b>	<b>23</b>	<b>100%</b>
Missing	1	-
<b>Total</b>	<b>24</b>	

The SRDS at T2 generally had a similarly high completion rate to T1. It was possible to calculate the total variety of delinquency scores (or the young peoples' estimated scores) for all 21 young people who completed the T2 SRDS questionnaire.<sup>44</sup>

**Table 19** shows that of the 19 behaviours and offences listed in the SRDS, approximately 86% (n = 18) of the young people reported that they had, in the last 12 months, committed fewer than five of the behaviours and offences, with all reporting that they had committed fewer than 15 of the offences and behaviours.

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<sup>43</sup> One young person completing the SRDS at T1 missed 11 items so could not have a total variety score calculated.

<sup>44</sup> Three young people did not complete the T2 SRDS questionnaire so were missing all 19 items and could not have a variety score calculated.

**Table 19: Number of behaviours and offences (grouped) as reported in the SRDS at T2 (n = 21)**

Number of behaviours and offences (grouped)	Frequency	Proportion (%)
0	2	10%
1-4	16	76%
5-9	2	10%
10-14	1	5%
15-19	0	0%
<b>Valid total</b>	<b>21</b>	<b>100</b>
Missing	0	
<b>Total</b>	<b>21</b>	

**3.2.5 RQ4: what sample size will be required for a future efficacy study, accounting for the utility of data collected during the pilot trial?**

Overall, the Divert Plus trial saw attrition of 12 (36%) young people initially recruited and randomised who completed T1 questionnaires (n = 33) and those who completed both T1 and T2 questionnaires, indicating completion of the Divert Plus/signposting pathways (n = 21).

As outlined in Section 2.2.4, our power calculations<sup>45</sup> show that Divert Plus would need to retain around 338 young people in the full efficacy study to detect a 15% relative reduction in reoffending in the treatment group compared to the control group (power = 0.80, p < .05, two-tailed).

This suggests that the Divert Plus programme would need to recruit and randomise 528 young people in order to obtain a sufficient sample size of 338 in a future efficacy study, accounting for attrition of 36%.

As stated in Section 3.2.2, we believe that based on the improved ratio achieved after a change in approach during the pilot trial (1.5:1 ratio of treatment to control pre-change in the approach to 1.3:1 post-change in the approach), a close to 1:1 allocation ratio between participants in the treatment and control groups would have been achieved in an efficacy study. We also note that attrition between the signposting and control groups was similar based on the small numbers, with five out of 13 (38%) young people not completing T2 questionnaires in the control group compared to four out of 10 (40%) in the Divert Plus group. Taken together, based on the data we have, it is not possible to draw any clear conclusions about whether this has implications for future power calculations.

**3.2.6 RQ5: is it likely that Divert Plus will recruit and retain enough young people to meet the required sample size to progress to an efficacy study?**

Recruitment rates into the Divert Plus programme have been much lower than anticipated. Only 33 young people were recruited to the programme during the pilot trial recruitment period (9 May–9 September 2022). This is one-third of the target of 100 young people for this period.

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<sup>45</sup> See <https://youthendowmentfund.org.uk/wp-content/uploads/2022/09/YEF-Divert-Plus-Protocol-FINAL.pdf>. Last accessed 15 September 2023.

Recruitment continued after this period to inform the potential future efficacy study, meaning that by the end of March 2023, when all recruitment was paused while the future of the programme was decided, the total number of young people recruited to the study was 68 against a target of 275 for this stage.

#### *Possible causes of low recruitment rates*

Stakeholders suggested the cause of the programme's low recruitment rates to be two-fold:

- Challenges with recruitment processes, which may have discouraged young people from consenting to participate in the trial, and limited case manager capacity for engaging these young people
- Limits on the pool of eligible young people, namely through the exclusion of group offenders and voluntary interviews

Only 33 (16%) of the 202 potentially eligible young people of whom Divert Plus was notified gave initial informed consent to participate in the study. As noted in response to RQ1 in Section 3.2.2, 202 may be an overestimate of the number of eligible young people, as recording of eligibility was not always clear. We were also unable to ascertain how many young people were met with by the Divert Plus case managers, which would help to understand how many of these young people actually declined support, as opposed to not having been met with.

It appears likely that Divert Plus case managers will have been able to meet with more than 33 young people in this period, suggesting that a significant number may have declined to participate in the Divert Plus programme. While it is difficult to know why a young person has declined support, practitioners reported two key challenges which they suggested may have discouraged some young people from engaging:

1. **The content of the first meeting**, including the quantity of information explained, the randomisation element and the need to complete two questionnaires (i.e. the SDQ and the SRDS) was seen by some as a potential barrier to recruitment for some young people. However, some practitioners did not agree that these processes were acting as barriers. This is supported by mostly positive comments in the journey maps completed by young people with Divert Plus team members, in which young people reported they were happy to be offered support and that the practitioners were helpful in explaining the process to them.
2. **The timing of the first meeting**: practitioners in Nottinghamshire County have sometimes struggled to engage with young people within 24 hours of their arrest, given the size of the area they cover. Stakeholders suggested that young people might be less likely to engage in cases with a long gap between arrest and the offer of Divert Plus. Based on the Divert Plus team's records, 15 of the 33 young people who gave initial consent to join the study and were randomised were seen within 24 hours of their arrest. For those 17 who were seen later, the time elapsed ranged from two to 106 days, with a mean of 30 days. We do not have data on the length of time between arrest and the first meeting with a Divert Plus case manager for those who did not consent to participate in the study. However, it is possible that the length of time elapsed between arrest and the first meeting may have reduced the likelihood of some young people consenting, as the 'moment' may have passed.

Regarding the eligible cohort, the exclusion of the following groups of young people was reported to have limited the programme's recruitment:

- **Young people arrested for group offences:** this posed a particular challenge for recruitment in Nottingham City, where group offences are more common. Divert Plus was notified of 126 young people who then turned out to be group offenders/co-accused – 80 of whom were in Nottingham City.
- **Young people invited to voluntary interviews:** Divert Plus stakeholders reported that young people attending voluntary interviews shared many similarities with the Divert Plus cohort and would also benefit from the support of the programme. Young people coming into contact with the criminal justice system for the first time are increasingly being invited to voluntary interviews rather than being arrested.<sup>46</sup> The inclusion of this group might have supported the programme in reaching more first-time offenders. Monitoring conducted by the Divert Plus team suggests that an average of 70 young people are invited to voluntary interviews across Nottingham City and Nottinghamshire County per month.

#### *Modelling recruitment rates and capacity required to reach a sufficient sample size*

While including young people invited to voluntary interviews would be likely to increase recruitment rates for the programme, it is unclear whether the programme would have the capacity to meet this demand. Divert Plus case managers were already reporting capacity challenges due to the need to secure second meetings with young people and parents/carers and the administration associated with the RCT processes. The Nottinghamshire County mentoring provision consists of one mentor with a caseload of six, and the SALT team expressed concern about whether their capacity would be sufficient if recruitment rates increased. A very significant increase in recruitment would be necessary to reach the total cohort of 528 young people needed to achieve the estimated sample size of 338 for an efficacy study, which is likely to put a severe strain on the Divert Plus team.

All recruitment and baseline data collection for a potential efficacy study would need to be completed by the end of November 2023 to allow for nine months of support and the completion of T2 questionnaires before project funding would end at the end of August 2024. Cordis Bright conducted modelling in March 2023 to understand whether the addition of young people who participate in a voluntary interview from April 2023 would enable the programme to recruit a sufficient number of young people in this period.

Assuming that the programme was able to recruit 25% of voluntary interview young people (around 17 per month) on top of the average of six young people recruited per month already, the number of young people recruited by the end of November 2023 would be 252, or around 48% of the required 528. This is summarised in **Table 20**. On this basis, it seems clear that even with the adaptation to include young people participating in voluntary interviews, the Divert Plus programme would not be able to recruit enough young people to meet the required sample size for an efficacy study in the originally anticipated timescale.

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<sup>46</sup> For policy context, please see [Concordat on Children in Custody \(publishing.service.gov.uk\)](https://publishing.service.gov.uk). Last accessed 13 December 2023.



**Table 20: Modelling of Divert Plus recruitment, including voluntary interview young people**

	9 May 2022–31 March 2023	1 April 2023–31 November 2023
	Actual recruitment figures	Projected recruitment figures based on recruiting 25% of the monthly cohort of voluntary interview young people (17) on top of the baseline recruitment rate of six per month
<b>Monthly recruitment (average)</b>	Six per month	Approx. 23 per month
<b>Recruited within time period</b>	68	Approx. 184
<b>Cumulative T1 sample at end of time period</b>	68	Approx. 252

**3.2.7 RQ6: has the Divert Plus programme been implemented with fidelity to the co-designed theory of change and the original Divert Plus model?**

Reports from stakeholders suggest that Divert Plus is broadly maintaining fidelity to the activities outlined in the theory of change but that the following areas of programme activity could benefit from being defined more clearly in a revised version of the theory of change:

- **The ‘moment’:** a broader definition of the ‘moment’ might be required, or, alternatively, confirmation of the original definition and a redoubling of efforts to reach all young people within 24 hours and in custody where possible.
- **The role of the case managers:** fully outlining the role of the case manager would be beneficial, including their role in providing support to families through person-centred budgets, the support provided with OOC options and how the role differs from that of the mentors. Further delineation of the role may support case managers with challenges around capacity.
- **The role of the mentors:** defining and documenting the approach to mentoring offered by each provider would be helpful, including the range of activities and sessions offered, the activities and dosage of this support and the criteria used to determine this.
- **The speech and language offer:** revisiting the aims of SALT provision would be useful to reflect the fact that it seeks to improve the understanding of the young person and the professionals around them of the young person’s speech and language needs, as opposed to improving the speech and language skills of the young person directly, which was outlined in the co-developed theory of change presented in **Table 1** in Section 1.2.
- **Restorative justice:** revisiting the role of RJ is necessary to reflect the fact that it has not been delivered within the programme.

These findings show that further specification of the Divert Plus model and pathways will be required before its impact can be tested by an efficacy study. Potentially, a feasibility study period using the findings of this evaluation would enable time to define the intervention more clearly. Each of the areas summarised above is discussed in more detail below.

*Decision-making and pathways*

Decisions about what support young people receive as part of Divert Plus have been made on the basis of professional judgement, informed by a series of assessments conducted by case managers, speech and language therapists and mentors. This means there is not currently a documented decision-making pathway to determine what specific SALT support a young person receives, the type of mentoring provider they are referred to or the specific mentoring activities they receive. However, stakeholders reported that these decisions have all been recorded on their respective case management systems.

This data was reported to have been captured in case notes and so was not accessible for analysis to Cordis Bright. This, combined with the challenges around consistency and codification of recording data around activity and dosage in both sites, makes it difficult to determine whether these decisions are being made consistently.

The Divert Plus programme could be supported by defining and documenting the pathways through the programme and the criteria for determining the support a young person receives and when they can safely exit the programme. This would allow Divert Plus to be better documented, protocolised and ultimately manualised, enabling it to be scaled and spread more widely should it be found to be effective. It would also be useful to ensure that a consistently codified approach is taken to recording decision-making by Divert Plus practitioners on their respective case management systems.

#### *Length of support and exit criteria*

It was possible to calculate the number of days of support received by four young people (out of the 24), as these were the only individuals whose cases were closed on the systems. All of these young people were in the Divert Plus group and supported by the Nottinghamshire County team. For these young people, the mean number of days of support was 297.5 (sd = 133.0), with a range from 161 days to 465 days. This average is approximately in line with the nine months of support anticipated by the programme. However, the range suggests substantial variation and that young people are receiving quite different levels of intervention. Given that the sample for this analysis is just four people, caution should be applied when interpreting these findings.

It was possible to estimate the number of days of support for the remaining 20 individuals. This estimate was made by counting the number of days from first contact to the date that this data was collected (19 July 2023). The average number of days of support was 366.4 (sd = 33.2), with a range from 320 to 435. Out of these 20 ongoing cases, there was no statistically significant difference in the number of days of support between those 12 who received Divert Plus (366.3) and those eight in signposting (336.5,  $t = .01$ , n.s.). This is, on average, around three months longer than the nine months that Divert Plus anticipated working with young people.

Practitioners reported that decisions about when a young person exited support have been based largely on professional judgement. The process may involve discussions with the young person and other professionals supporting them and an assessment of risk and work completed against the originally identified plan. Case managers reported the use of a review document to support this process, which includes an assessment of the young person, a review of the risk of serious harm and the likelihood of reoffending, their safety and wellbeing, and progress made against actions identified in the intervention plan.

Practitioners across all elements of the Divert Plus provision reported that they had recorded decision-making about when and why a young person exited their support on their respective case management systems. Again, this data is captured in case notes, so it was not accessible to Cordis Bright. This, combined with the low number of young people who are reported to have exited the programme, suggests that the programme does not have clearly defined exit criteria, and the exit process is likely to have differed between participants.

*Overview of activity delivered*

Across both sites, all young people had contacts recorded on the case management systems. The number of contacts ranged from seven to 116, with an average of about 39 contacts, a median of 19.5 and a mode of 12. Those receiving Divert Plus received significantly more contacts than those in signposting ( $t = 2.4, p < .05$ ), which is to be expected. This allows some confidence that young people in the signposting group did not receive significantly more intensive support than they would have received as part of business as usual. We cannot say this with certainty, however, as we are unable to compare the contacts received by those in the signposting group with those accessing business as usual who were not part of the study.

**Table 21: Contacts received by young people in the Divert Plus and signposting groups (n = 24)**

	Number of young people	Mean	Std. deviation	Std. error mean
<b>Divert Plus</b>	16	49.31	35.487	8.872
<b>Signposting</b>	8	17.13	15.132	5.350

Those in Nottinghamshire County appeared to receive more contacts than those in Nottingham City, but this difference was not statistically significant, likely because of the small numbers ( $t = 1.5, n.s.$ ).

**Table 22: Contacts received by young people in Nottingham City and Nottinghamshire County (n = 24)**

	Number of young people	Mean	Std. deviation	Std. error mean
<b>Nottingham City</b>	11	27.27	24.191	7.294
<b>Nottinghamshire County</b>	13	48.15	38.262	10.612

Data relating to the specific activities delivered to participants in the Divert Plus pilot trial was only analysable for Nottingham City, where contacts with young people were recorded consistently using a mutually exclusive dropdown list within the case management system. In Nottinghamshire County, contact types were recorded using open-text responses, so they could not be codified in order to conduct this analysis.

**Table 23** shows the types of activity recorded on the Nottingham City case management system for young people in the **Divert Plus treatment group**. This indicates that the core elements of the Divert Plus programme – case manager home visits, mentoring and speech and language contacts – were delivered to

some young people. The numbers appear low in places. For example, the expectation was that mentoring would be received by all young people, but it is only recorded for five of the seven. This suggests that there may be some underreporting or, potentially, that not all young people were offered or took up the mentoring support. RJ contact was not recorded.

**Table 23: Activity received by young people in the Divert Plus treatment group in Nottingham City (n = 7)**

Intended areas of support	Support delivered?	No. receiving support	% receiving support	Min.	Max.	Total no. recorded	Mean no. per person
<b>Initial interactions</b>							
Custody welfare visit	✓	2	29%	1	1	2	1
Assessment meeting	✓	1	14%	2	2	2	2
<b>Core Divert Plus elements</b>							
Case manager home visits	✓	2	29%	1	3	4	2
Mentoring support	✓	5	71%	2	51	77	15.4
Speech and language assessment	✓	1	14%	2	2	2	2
Speech and language contact	✓	5	71%	1	20	38	7.6
RJ	X	-	-	-	-	-	-
<b>Other elements of direct support</b>							
Parenting work	✓	6	86%	1	4	11	1.8
Social and emotional interventions	✓	1	14%	1	1	1	1
Health contact	✓	1	14%	2	2	2	2
Group work session	✓	2	29%	1	2	3	1.5
<b>Casework</b>							
Bail support sessions	✓	2	29%	1	1	2	1
Young person protection conferences	✓	1	14%	1	1	1	1
Contact/interview	✓	4	57%	1	7	10	2.5
Core group meeting	✓	1	14%	2	2	2	2
Court appearance	✓	1	14%	1	1	1	1

Intended areas of support	Support delivered?	No. receiving support	% receiving support	Min.	Max.	Total no. recorded	Mean no. per person
CP/CIN meetings	✓	2	29%	1	1	2	1
Discussion (external agency)	✓	3	43%	1	1	3	1
Letter out to subject	✓	2	29%	1	1	2	1
Letter/email in	✓	1	14%	1	1	1	1
Letter/email out	✓	4	57%	1	6	14	3.5
Other	✓	2	29%	1	1	2	1
Referrals	X	0	0%	0	0	0	N/A
Strategy meetings	✓	1	14%	1	1	1	1
Supervision sessions (stat order)	✓	1	14%	1	1	1	1
Telephone in	✓	1	14%	1	1	1	1
Telephone out	✓	5	71%	1	10	5	1

**Table 24** shows the activity recorded on the Nottingham City case management system for young people in the **Divert Plus signposting group**. This indicates that, as expected, the signposting group did not receive most of the core elements of Divert Plus support, bar some contact from case managers.

**Table 24: Activity delivered to young people in the signposting (control) group in Nottingham City (n = 4)**

Intended areas of support	Support delivered?	No. receiving support	% receiving support	Min.	Max.	Total no. recorded	Mean no. per person
Initial interactions							
Custody welfare visit	✓	2	50%	1	1	2	1
Assessment meeting	✓	2	50%	3	3	6	3
Core Divert Plus elements							
Case manager home visits	✓	1	25%	1	1	1	1
Mentoring support	X	-	-	-	-	-	-
Speech and language assessment	X	-	-	-	-	-	-

Intended areas of support	Support delivered?	No. receiving support	% receiving support	Min.	Max.	Total no. recorded	Mean no. per person
Speech and language contact	X	-	-	-	-	-	-
RJ	X	-	-	-	-	-	-
Other elements of direct support							
Parenting work	✓	2	50%	1	1	2	1
Social and emotional interventions	X	-	-	-	-	-	-
Health contact	X	-	-	-	-	-	-
Group work session	X	-	-	-	-	-	-
Casework							
Bail support sessions	X	-	-	-	-	-	-
Young person protection conferences	X	-	-	-	-	-	-
Contact/interview	✓	1	25%	2	2	2	2
Core group meeting	X	-	-	-	-	-	-
Court appearance	X	-	-	-	-	-	-
CP/CIN meetings	X	-	-	-	-	-	-
Discussion (external agency)	X	-	-	-	-	-	-
Letter out to subject	✓	2	50%	1	1	2	1
Letter/email in	X	-	-	-	-	-	-
Letter/email out	✓	2	50%	1	1	2	1
Other	X	-	-	-	-	-	-
Referrals	✓	2	50%	1	1	2	1
Strategy meetings	X	-	-	-	-	-	-
Supervision sessions (stat order)	X	-	-	-	-	-	-
Telephone in	X	-	-	-	-	-	-
Telephone out	✓	3	75%	1	4	6	2

*Delivery of the 'moment' by Divert Plus case managers*

Nottingham City's case management data suggests that four out of the 24 young people in the Divert Plus study (two in the treatment and two in the control group) received custody welfare visits, and three (one in the treatment and two in the control group) received an assessment meeting. This low figure suggests that these meetings may not have been recorded reliably within the case management system.

Based on the Divert Plus team's flow recording sheet, 15 of the 33 young people who gave initial consent to join the trial were seen within 24 hours of their arrest. For those 17 who were seen later, the time elapsed ranged from two days to 106 days, with a mean of 30 days.

This indicates that the Divert Plus team was often unable to reach young people at the 'moment' as defined by the theory of change (in the custody suite or at home within 24 hours). Practitioners suggested that this had not hindered their ability to engage young people. They reported that the key to the success of the 'moment' was the 'who' and 'how' rather than the 'when'. They felt the 'moment' was most likely to be successful when a sincere offer of support was made from an experienced, friendly and non-judgemental practitioner (the case manager), even if this offer was not made in the custody suite. This is perhaps supported by the fact that more than half of the cohort of young people who gave initial consent to join the Trial were reached after more than 24 hours.

The theory of change may need to be revisited and a decision made about whether to broaden this definition of the 'moment'. A unique aspect of Divert Plus, as theorised, was reaching young people at a time when they were most likely open to change. Moving away from the 'when' would be a significant departure from the original theory of change. The 'moment' should also ideally be delivered as consistently as possible.

#### *Delivery of casework and support by Divert Plus case managers*

The role of the Divert Plus case managers has gone beyond the involvement in the 'moment', assessment and planning outlined in the original theory of change to providing an intensive model of wraparound support. This is illustrated by the range of case management activity recorded in Nottingham City's case management system. The theory of change may need to be revisited to redefine the scope of the role. A clearer and more limited role for case managers might have helped reduce capacity challenges reported by case managers and also facilitated a greater flow of young people into and through the programme.

Stakeholders reported that the quantity and type of support provided by the case managers vary depending on the young person's level of need and their willingness to engage with the programme, with some young people being harder to engage, so requiring more intensive outreach. For example, case managers have joined mentors on initial home visits to encourage the young person to engage with the mentoring service. County case managers have also conducted some informal mentoring themselves when they were without a mentor in the area.

The case managers are also now working to a 'hierarchy of needs' model, which might involve providing support to a young person's family. In some cases, this has involved utilising 'person-centred budgets' to provide a young person and their family with warm clothes or access to a foodbank; in others, case managers have signposted families to additional support. Stakeholders reported that young people would be better able to reflect on their behaviours when they feel safe and secure at home and that the requirements for this would differ on a case-by-case basis. Six out of seven of the young people in the Divert Plus programme in Nottingham City were also recorded as receiving 'parenting work'. This was not specified in the theory of change and may benefit from being codified in the theory of change and the Divert Plus model of delivery.

Some stakeholders expressed concern about the overlap between the role of the mentor and the case manager, which has perhaps become more pressing because of the more intensive model of case management support that has evolved. Revisiting the theory of change to better define the roles in relation to one another may help to resolve this. Codifying the roles more clearly will be key if the programme is to progress to an efficacy study to ensure that it is clear what is being evaluated. This process will also be important for potentially replicating, scaling and spreading good practice.

#### *Delivery of support with out of court diversions by Divert Plus case managers*

The Divert Plus model of support around OOCs is not well defined in the original theory of change. Understanding of OOCs is only included as one element or aim of the 'moment' within the original theory of change. In practice, there are two elements to the OOC work conducted by case managers:

- Case managers explain the options available to the young person to persuade them to plead guilty and pursue an OOC rather than going to court.
- Case managers provide evidence to courts or OOC panels that make a diversionary outcome more likely.

Supporting young people to a) take up the OOC option and b) receive a favourable outcome through an OOC panel are crucial elements of the case management support delivered through Divert Plus. The theory of change should be revisited to clearly outline this element of the programme.

In particular, to support an efficacy study, it will be necessary to document what activities are undertaken as part of this approach over and above business as usual, e.g. is a common, consistent, systematic approach being undertaken by all case managers delivering Divert Plus?

Support with OOCs was not recorded on the case management systems as a distinct activity, meaning we could not assess how many young people had received this kind of support, what form it had taken and how it differed for the control group.

#### *Delivery of mentoring*

Five of the seven young people allocated to the treatment group in Nottingham City, or around 70%, were recorded as having received mentoring input. This suggests possible underrecording or that the intervention was not delivered as intended, as all Divert Plus young people should have been offered mentoring in line with the theory of change.

Stakeholders emphasised the flexibility in the mentors' approach to delivery. While some standard topics were reported to be covered, such as mental well-being and healthy relationships, the content and form of sessions were said to vary based on the needs of the individual young person. A range of activities were offered by each mentoring provider, but stakeholders suggested that:

- Remedi (County) offered a range of activities, including boxing and arts and crafts.
- Stronger people (City) emphasised sports-based activities, such as boxing and gym sessions.
- Building Bridges Breaking Barriers (City) focused on music-based activities.



The young-person-led, flexible approach means that dosage was reported to differ in each case. However, the way that this dosage has been determined also appears to vary by provider and individual mentor. For example, one mentoring provider used risk assessments conducted with other professionals as the basis for the intensity of the mentoring provision. Another mentoring service offered three to four visits per week for as long as the young person needed it, with a view to gradually reducing this over time.

This variety is shown in the number of mentoring sessions recorded within Nottingham City's case management system. The number of sessions recorded per young person receiving mentoring varied from two to 51, with a mean of 15. This data could not be extracted for Nottinghamshire County.

There is an opportunity for the programme to further define the mentoring model and the pathways within it, as well as the role of the mentor in relation to that of the case manager, to support the programme in moving towards manualisation. Ensuring a consistent, manualised mentoring offer would help support a future efficacy study of Divert Plus.

#### *Delivery of speech and language therapy*

Only one of the seven young people allocated to the treatment group in Nottingham City had a speech and language assessment recorded on the case management system, perhaps suggesting underrecording. Five young people (or around 70%) were reported as having speech and language contact. The number of speech and language contacts recorded varied from one to 20 per young person, with a mean of 7.6.

Many stakeholders identified SALT as the most impactful element of Divert Plus for young people. The theory of change may need to be revisited to reflect that SALT aims to improve the understanding of a young person's speech and language needs by the young person and professionals around them, as opposed to improving the speech and language skills of the young person directly.

#### *Delivery of restorative justice*

Stakeholders reported that at the time of the IPE (November–December 2022), no Divert Plus young people had been referred to RJ. No data relating to this activity was recorded on the sites' case management systems.

Overall, RJ appears not to have been delivered as part of the Divert Plus provision, and the theory of change may need to be updated to reflect this.

### **3.2.8 RQ7: is Divert Plus showing emerging promise in achieving outcomes for participants over and above business as usual in line with the theory of change?**

Only 21 young people completed both T1 and T2 SRDS questionnaires (16 Divert Plus and five signposting), and 22 completed both T1 and T2 SDQs (16 Divert Plus and six signposting). Despite the fact that these questionnaires were completed well (see responses to RQ2 and RQ3 in Sections 3.2.3 and 3.2.4), the sample sizes are too small to conduct meaningful analysis which could indicate emerging evidence of impact.

The possible reasons for this smaller-than-expected sample are discussed in response to RQ1 and RQ5 in Sections 3.2.2 and 3.2.6. It does not appear likely that the Divert Plus programme would be able to address these challenges in order to achieve a sufficient sample size to make analysis of outcomes possible within the agreed timescales for an efficacy study. The programme would also need to improve recording of activity

and dosage across both sites if relationships between activity and dosage and outcomes were to be explored as part of an efficacy study.

We are therefore not able to confirm as part of this pilot trial whether Divert Plus is showing emerging promise in achieving outcomes for participants over and above business as usual. However, the views of the programme stakeholders about the impact the programme is having and how this is being achieved are discussed in Section 3.3. Qualitative consultation with young people was not part of the remit of the pilot trial and IPE.

### **3.2.9 RQ8: how acceptable is the RCT design to the key Divert Plus programme stakeholders?**

#### *The Divert Plus team*

Initially, some of those within the Divert Plus team who work more closely with young people than other stakeholders felt uncomfortable with the RCT design. In particular, stakeholders reported there was some frustration with young people who they felt would benefit from Divert Plus receiving signposting. This may have contributed to a reallocation of one young person from the signposting to the treatment group due to the extent of their safeguarding risk, which was a departure from the randomisation protocol and not repeated (this young person was excluded from the study).

However, most of the team was accepting of the need for the approach to generate evidence of what works for young people. One practitioner reported:

*‘Day to day, when looking at a young person with needs who’s put in the other group [signposting], it’s a hard decision to accept. It wouldn’t sit well with me if it was a long-term way of working, but it’s part of [the] bigger picture to move towards a better way of working’.*

Some suggested that if the study were to be repeated, removing the Divert Plus case managers from the randomising process might make it easier for them to accept the outcome, as it would not feel like ‘their decision’. For example, one stakeholder suggested using an independent professional to randomise the young person. Nonetheless, there are questions about how this would work in practice, for example, how this would impact the ‘moment’.

Strong leadership of the Divert Plus team will be important to ensure that all members buy into the RCT and consistently implement the randomisation process with integrity if the programme is to progress to an efficacy study. Divert Plus is a complicated intervention delivered within a complex system, and to drive through innovation of this kind requires well-resourced leadership across partners.

#### *Strategic stakeholders*

Strategic stakeholders sitting on the Divert Plus programme board and involved in its commissioning reported a pragmatic approach to the RCT design. They shared an understanding that the research was necessary to provide an evidence base to secure funding for similar programmes in the future. Some strategic stakeholders also had previous experience with RCTs, which provided them with an understanding of the rationale for it. One stakeholder reported:

*'The way I see it is that 50% are getting Divert Plus and 50% are getting business as usual, so still more are getting Divert Plus than before. It's not taking it away from anyone; it's just not open to everyone at this point'.*

While there is acceptance of the RCT approach, it was not clear whether there is sufficient senior strategic commitment to ensuring the programme is delivered successfully. It may be that stronger involvement and oversight from VRP, the local authority and police leaders will be necessary to oversee the delivery of the programme if it is to progress to an efficacy study.

#### *Wider partners*

Stakeholders reported that wider partners, such as those within youth justice and social care, were not always comfortable with the RCT design. This pushback was particularly influenced by the decision not to include codefendants and young people attending voluntary interviews because wider partners believed the programme should be open to all.

Divert Plus stakeholders have therefore spent a lot of time explaining the principles and potential benefits of the research to partners in attempts to improve buy-in, stressing the increased number of young people who will be able to access programmes of this nature in the future as a result of the study if it progresses to an efficacy RCT and shows positive outcomes.

Overall, stakeholders reported that buy-in from partners had improved by the time the IPE was conducted (October–December 2022) and that any remaining resistance was not having a significant impact on the delivery of the programme and the study. These efforts will need to continue if the programme is to progress to an efficacy study, including ensuring effective cooperation with the police.

### **3.3 Evidence of promise**

The Divert Plus programme has achieved a considerable amount since launching in May 2022. Developing and embedding innovative programmes, particularly in the context of an RCT, is challenging and can take time. In this context, the fact that the Divert Plus programme was able to embed a fully operational team delivering work with more than 50 young people can be considered an achievement.

Divert Plus team members reported that the programme was showing evidence of promise in improving outcomes for young people, but there was not sufficient quantitative data available to conduct analyses to confirm this (see the response to RQ7 in Section 3.2.3).

Stakeholders provided some examples of the positive impact they felt that the Divert Plus programme was having on participants. For example, one mentoring team member noted:

*'Some young people are going into education, training or employment; some have not reoffended during their entire time with us; others have had a step down in social care cases. Some of the outcomes can be as simple as improved engagement with statutory services; they've completed an order and engaged with a social worker'.*

Stakeholders provided evidence of emerging outcomes in two main areas:

- **OOCD outcomes:** currently, the most tangible evidence of outcomes for young people reported by stakeholders is in the OCD outcomes. Young people in the Divert Plus cohort have reportedly

received Outcome 22s, which diverts them away from the criminal justice system. This supports the following outcomes detailed in the theory of change:

A higher proportion of young people involved in routes that involve RJ practices and OOC

- **SALT outcomes:** stakeholders highlighted the impact of the SALT provision on outcomes for young people. For example, the report produced by the speech and language therapists has been used in one case as evidence to secure an education, health and care plan, which increases the support the young person receives within their school and, in another, to prevent an exclusion. This may support the following outcomes detailed in the theory of change:

Young people feel their needs are better understood and that they are accessing support to meet those needs.

Young people's engagement with ETE improves.

Both of these reported outcomes can be seen as a result of **embedding 'young person first principles' across the system in Nottingham City and Nottinghamshire through information sharing**. The case managers and SALT team are successfully informing partners in police, social care and education about young peoples' communication needs and circumstances. This enables these partners to communicate with the young people appropriately and has reportedly allowed more young people to receive diversionary outcomes than may have been the case compared to business as usual. Speech and language therapists have also produced accessible versions of bail guidelines, as well as other outputs, which can be used by police for all young people and which will be a lasting legacy of the Divert Plus programme.

Unfortunately, due to missing data in the reporting of young people's offending and outcome histories in the case management systems, we have not been able to track the outcomes received by young people accessing Divert Plus to confirm whether more young people are receiving diversionary outcomes.

Divert Plus would need to improve the consistency of the recording of this outcomes data if it were to progress to an efficacy study, but the bigger issue remains the sample size. It does not appear likely that the Divert Plus programme would be able to achieve a sufficient sample size to make analysis of outcomes possible within the agreed timescales for an efficacy study.

### 3.4 Readiness for trial

**Key findings:** the Pilot Trial was successful against some of the pre-agreed progression criteria, including the rate of completion of questionnaires. However, the rate of recruitment and flow of young people through the programme is unlikely to be sufficient to support progress to an efficacy study within the agreed timeframe. Additional work is also needed to define the Divert Plus model, which has evolved since the theory of change was developed.

This section assesses the pilot trial's success against the progression criteria outlined in the Pilot Trial Protocol.<sup>47</sup> These criteria were co-developed and agreed upon with Divert Plus and the YEF before the pilot trial started.

**Table 25** provides a summary of the progress of Divert Plus against these progression criteria. The criteria are rated as 'red' (stop), 'amber' (pause and think) or 'green' (go). The pilot trial achieved mostly amber ratings against each criterion.

The ratings show that a reasonable proportion of young people were retained in the Trial, and T1 and T2 questionnaires were completed well. However, recruitment rates during the pilot trial period were low and have remained low since, meaning that based on modelling conducted in March 2023 and shown in Section 3.2.6 in response to RQ5, it is unlikely that Divert Plus will be able to recruit a sufficient sample size for an efficacy study. Even if it were able to do so, the capacity challenges already experienced by some parts of the programme suggest that it would struggle to meet a significant increase in demand. More would also need to be done to codify the Divert Plus model, including refining the theory of change, if it were to progress to an efficacy study.

Qualitative data from the IPE also suggests that some elements of the Divert Plus model have evolved since they were outlined in the theory of change and need to be revisited and further defined. This includes the definition of the 'moment', the role of the case managers, the aim of SALT, the mentoring model and the inclusion of RJ (see response to RQ6 in Section 3.2.7 for more detail). This suggests that there may not currently be enough clarity around the Divert Plus model to allow for fidelity to be assessed with confidence within an efficacy study.

It is promising that monitoring data related to activity and dosage provided by Nottingham City was mostly fit for purpose, albeit with some possible underreporting. The use of different case management systems across the two sites makes reliance on this monitoring data to measure fidelity to the model challenging. If the programme were to progress to an efficacy study, solutions would need to be found, which may add more burden on practitioners in terms of recording data so that model fidelity could be assessed using quantitative data.

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<sup>47</sup> See <https://youthendowmentfund.org.uk/wp-content/uploads/2022/09/YEF-Divert-Plus-Protocol-FINAL.pdf>. Last accessed 19 September 2023.

**Table 25: Progress of Divert Plus against progression criteria**

Criteria	RAG rating			Status	Commentary
	Green (Go)	Amber (Pause and think)	Red (Stop)		
1. Numbers of young people recruited to the trial's treatment and control groups	30 plus in each group (total of 60)	10–29 in each group	Fewer than 10 in each group	Amber/red	<p>Thirty-three young people were recruited during the pilot trial period – 20 in the Divert Plus group and 13 in signposting. Of these, 24 had baseline questionnaires which could be included in analyses (73%).</p> <p>This sample size technically places the programme in the amber category. However, continuing low rates of recruitment since the pilot trial period mean that based on modelling completed in March 2023 and shown in response to RQ5 in Section 3.2.6, it will not be possible for Divert Plus to reach a sufficient sample size for an efficacy study. We have therefore categorised this as amber/red.</p>
2. The percentage of young people completing the Divert Plus programme and involvement in the control group measured by administered questionnaires at nine months	Over 70%	40–69%	Less than 40%	Amber	<p>Sixty-three per cent of the total cohort that gave initial consent and were randomised completed T2 questionnaires. Sixteen of the 20 Divert Plus young people (80%) and five of the 13 young people in the signposting group (38%).</p> <p>This places the project in the amber category. Retention in the signposting group would need to be improved within an efficacy study, particularly as it would represent a larger proportion of the total cohort. This might be achieved through a shorter follow-up period or improved keeping-in-touch mechanisms. Ensuring that young people in the signposting group are given equal priority for follow-up visits to obtain full written consent will also be important.</p>
3. Overall completion rate of all evaluation tools and monitoring data (i.e. amount of missing data) and quality of data for both	70%	40–69% completion	Less than 40% complete	Amber	<p>Analysis of the completeness of outcomes questionnaires shows that T1 and T2 questionnaires have been completed to good standards for both scales. Both the SRDS and SDQ at T1 and T2 saw completion rates exceeding the target of 70% outlined in the co-developed progression criteria.</p>

Criteria	RAG rating			Status	Commentary
	Green (Go)	Amber (Pause and think)	Red (Stop)		
the treatment and control groups, including (a) impact tools (SRDS and SDQ) and (b) monitoring data concerning activity received and dosage					The processes for collecting monitoring data would need to be improved if the evaluation was to progress to an efficacy study. Monitoring of activity and dosage relied on recording on case management systems. This was mostly fit for purpose in Nottingham City, although there appears to have been some underreporting. Data extracted from the Nottinghamshire County case management system was not sufficiently codified to allow for analysis. Improvements in the consistency of recording contacts with young people between the sites would be necessary, as would more consistent reporting of offending history and associated outcomes across both sites. This may be challenging, given that monitoring data is reliant on recording within case management systems, which cannot be easily changed. Alternative solutions may be needed, which would likely add recording burdens on Divert Plus team members.
4. Fidelity of delivery to the Divert Plus model of delivery: this will be achieved by benchmarking Divert Plus with the co-designed theory of change.	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm with confidence that Divert Plus is being delivered with fidelity to the Divert Plus model.	Some evidence from the IPE and monitoring data suggests that Divert Plus is being delivered with fidelity to the Divert Plus model, but there is not enough evidence for Cordis Bright to confirm this with confidence.	Evidence from the IPE and monitoring data suggests that Divert Plus is not being delivered with fidelity to the Divert Plus model.	Red	<p>Cordis Bright is not currently able to confirm with confidence that Divert Plus is being delivered with fidelity to the theory of change because:</p> <ul style="list-style-type: none"> <li>Challenges with recording monitoring data on case management systems mean it is difficult to determine the activity and dosage that young people have received.</li> <li>Evidence from the IPE suggests that some aspects of the model may have been delivered differently to the theory of change and may benefit from clarification. This includes the definition of the 'moment' role of the case managers, the aim of SALT, the mentoring model and RJ (see response to RQ6 in Section 3.2.7 for more details). This suggests either that these elements were not delivered as originally intended or that the theory of change did not accurately reflect the intended delivery model for the</li> </ul>

Criteria	RAG rating			Status	Commentary
	Green (Go)	Amber (Pause and think)	Red (Stop)		
					programme. Either way, further specification of the model is required.
5. Realities of randomisation and the extent to which this continues to be acceptable to partners	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm with confidence that randomisation is being carried out with integrity and that the approach is acceptable to partners.	Some evidence from the IPE and monitoring data suggests that randomisation is being carried out with integrity and that the approach is acceptable to most partners, but there is not enough evidence for Cordis Bright to confirm this with confidence.	Evidence from the IPE and monitoring data suggests that randomisation is not being carried out with integrity and that the approach is not acceptable to most partners.	Amber	<p>Cordis Bright has monitored the implementation of the randomisation process during the pilot trial and, bar the one re-allocation of a young person from the signposting to the treatment group for safeguarding reasons, which was a departure from protocol and not repeated, can confirm that it has been carried out with integrity. See the response to RQ1 in Section 3.2.2 for more detail.</p> <p>The acceptability of the RCT approach to partners is harder to confirm with confidence. Members of the Divert Plus team and partners expressed initial concern about the fairness of the approach, although most reported an understanding of its necessity. Strong leadership, both within the Divert Plus team and at the VRP, local authority and police levels, will be necessary to ensure consistent buy-in to and successful implementation of the programme and evaluation if it is to progress to an efficacy study. See the response to RQ8 in Section 3.2.9 for more detail.</p>
6. Capacity within the Divert Plus programme delivery team	Based on evidence from the IPE and monitoring data, Cordis Bright can confirm with confidence that the Divert Plus team has capacity to support the number of young people necessary to create a sufficient	Some evidence from the IPE and monitoring data suggests that the Divert Plus team has capacity to support the number of young people necessary to create a sufficient sample size for an efficacy study, but	Evidence from the IPE and monitoring data suggests that the Divert Plus team does not have capacity to support the number of young people necessary to create a sufficient sample size for an efficacy study.	Red	<p>A very significant increase in recruitment would be necessary to reach the total cohort of 528 young people needed to achieve a sample of 338 for an efficacy study (see Section 3.2.6).</p> <p>Even if this increase were possible within the available time, it is unlikely that the Divert Plus team would have capacity to meet the demand based on the following evidence from the IPE:</p> <ul style="list-style-type: none"> <li>• Case managers have struggled with capacity to secure meetings with young people and parents/carers.</li> <li>• The County mentoring provision consists of one mentor with a caseload capacity of six young people.</li> </ul>



Criteria	RAG rating			Status	Commentary
	Green (Go)	Amber (Pause and think)	Red (Stop)		
	sample size for an efficacy study.	there is not enough evidence for Cordis Bright to confirm this with confidence.			<ul style="list-style-type: none"> <li>SALT team members reported concern that their capacity would not be sufficient to meet any increased demand.</li> </ul>
7. Quality of working relationships between the Divert Plus programme, the YEF and Cordis Bright	Based on evidence from the IPE, the quality of relationships appears to be good.	Based on evidence from the IPE, it appears that the quality of working relationships could be improved.	Based on evidence from the IPE, it appears that the quality of working relationships is poor.	Green	The quality of working relationships between the Divert Plus team, the YEF and Cordis Bright have been constructive and good. Continued positive leadership of the Divert Plus team, supported by clear oversight from the VRP, local authority and police, would be necessary to ensure constructive relationships are maintained between all parties within an efficacy study.

## 4. Conclusion

This section summarises our judgement of efficacy study feasibility and discusses the findings from the pilot trial of Divert Plus in relation to the research questions, evidence base and the theory of change. It explores the limitations of the pilot trial and points of learning from the implementation of the project and evaluation.

**Table 26** summarises the findings from the pilot trial of Divert Plus for each of the co-developed research questions.

**Table 26: Summary of pilot trial findings**

Research question	Finding
RQ1: have the pilot recruitment, randomisation and retention processes been established and embedded effectively, and do they work in practice?	<p>Recruitment, consent and randomisation procedures have improved over the course of the trial and are now well-established and embedded.</p> <p>However, during the pilot trial period (baseline randomisation and recruitment ran between May and September 2022), only 33 (16%) of the 202 potentially eligible young people of whom Divert Plus was notified by police were recruited and gave initial informed consent to participate in the study. While 202 may be an overestimate of the number of eligible young people, as the recording of eligibility was not always clear, this still indicates a challenge in recruitment.</p> <p>It is difficult to determine from the data available whether the main challenge lies in a lack of capacity amongst case managers to meet all young people or in young people declining to participate. It is, therefore, hard to judge how this would best be addressed within an efficacy study, but more consistent recording of meetings with eligible young people and rates of consent would help to clarify this.</p> <p>The retention of young people in the signposting (control) group was more challenging than the Divert Plus treatment group (38% completing T2 questionnaires compared with 80%, respectively). To support retention, stakeholders discussed options, including a shorter timeframe for collecting T2 questionnaires and improved keeping-in-touch strategies, such as financial incentives and more case worker contacts for the control group. Ensuring that young people in the signposting group are given equal priority for follow-up visits to obtain full written consent will also be important.</p>
RQ2: have data collection processes been established and embedded effectively?	<p>Processes for collecting outcomes questionnaires have been established and embedded effectively. T1 and T2 questionnaires were completed to good standards for both scales. Both the SRDS and SDQ at T1 and T2 saw completion rates exceeding the target of 70% outlined in the co-developed progression criteria.</p> <p>The processes for collecting monitoring data around activity and dosage would need to be improved if the evaluation was to progress to an efficacy study. Monitoring relied on recording on YJS case management systems, which differed between Nottingham City and Nottinghamshire. This was mostly fit for purpose in City, although there appears to have been some underreporting. However, data extracted from the County case management system was not sufficiently codified to allow for analysis. It would be necessary to agree upon a limited set of 'contacts' which County case managers could add to the case management system to match those used in City if the programme were to progress to an efficacy study. This would rely on</p>

Research question	Finding
	<p>practitioners implementing this system consistently, as it would not be possible to change the system. This would require significant buy-in from Divert Plus team members and partners and would have resource implications.</p>
<p>RQ3: are the evaluation tools used during the pilot trial reliable, valid, accurate and practical for the project?</p>	<p>Analysis of outcomes questionnaire data shows that questionnaires were completed with high response rates and appear to be reliable, valid and practical.</p> <p>The reliability of most subscales of the SDQ at T1 and T2 was acceptable. Analysis of the correlation of SDQ subscales completed at T1 and T2 also suggests they have been completed reasonably well, and the scores recorded by young people are consistent with the expected needs of the Divert Plus target cohort.</p> <p>The SRDS had an acceptably high response rate, and analysis of responses suggests that it was completed reliably and validly, allowing for Variety scores to be calculated.</p>
<p>RQ4: what sample size will be required for a future efficacy study, accounting for the utility of data collected during the pilot trial?</p>	<p>Our power calculations show that Divert Plus would need to retain around 338 young people in the full efficacy study to detect a 15% relative reduction in reoffending (power = 0.80, <math>p &lt; .05</math>, two-tailed). This suggests that the Divert Plus programme would need to recruit and randomise 528 young people in order to obtain a sufficient sample size in an efficacy study, accounting for the overall attrition of 36% experienced by the programme so far. This would be based on the assumption of a one-to-one allocation ratio between the treatment and control groups.</p>
<p>RQ5: is it likely that Divert Plus will recruit and retain enough young people to meet the required sample size to progress to an efficacy study?</p>	<p>Based on current recruitment and referral processes, predicted future referral rates from Divert Plus and power calculations for an efficacy study, it seems unlikely that Divert Plus will recruit and retain enough young people to meet the required sample size in the time period originally suggested for an efficacy study.</p> <p>The decision was made to exclude group offenders and voluntary interview young people from the trial, which limited the pool of eligible young people. However, perhaps the bigger challenge was around the low conversion rate to the programme, as noted in RQ1 – 16% of potentially eligible young people gave initial consent. While some of these young people will not have been met with due to capacity challenges, a significant number will not have consented. It is challenging to determine why this is, but practitioners suggested this could be due to the amount of administration required in the first meeting or, sometimes, the length of time elapsed between the arrest and the first meeting.</p>
<p>RQ6: has the Divert Plus programme been implemented with fidelity to the co-designed theory of change and the original Divert Plus model?</p>	<p>Reports from stakeholders suggest that the Divert Plus programme could benefit from being defined more clearly in a revised version of the theory of change. Elements to review include the 'moment', the role of case managers and mentors, and the aim of the SALT offer. This suggests either that these elements were not delivered as originally intended or that the theory of change did not accurately reflect the intended delivery model for the programme. The model will require further specification to be tested within an efficacy study. It may be that the programme would benefit from a further feasibility study period to allow time to define the intervention more clearly.</p>

Research question	Finding
	It is not currently possible, based on the monitoring data from the case management systems, to ascertain with confidence the activity and dosage delivered as part of the Divert Plus programme or to confirm the reports of programme stakeholders about what was delivered and how. As noted above, the recording of activity and dosage data within the case management systems would need to improve if the programme were to progress to an efficacy study.
RQ7: is Divert Plus showing emerging promise in achieving outcomes for participants over and above business as usual in line with the theory of change?	Divert Plus team members reported in the IPE that the programme was showing evidence of promise in improving outcomes for young people, but there was not sufficient quantitative data available to confirm this due to small sample sizes.
RQ8: how acceptable is the RCT design to the key Divert Plus programme stakeholders?	<p>Those working in or close to the Divert Plus team have become more accepting of and committed to the RCT design over time. There is a shared understanding of the need for the study to generate evidence for the programme. However, some resistance from partners remains.</p> <p>If it is to progress to an efficacy study, the programme will require clear, strong leadership within the Divert Plus team supported by senior oversight and input from the VRP, local authorities and police to ensure successful delivery and communication of the RCT approach to partners.</p>

## 4.1 Evaluator judgement of evaluation feasibility

Based on the evidence in this report and the co-developed progression criteria, we conclude that Divert Plus is not ready to move towards an efficacy study. While the project has scored ‘amber’ against most of the progression criteria (see Section 3.4) and has made positive progress in embedding itself in the local system, two key challenges remain which mean it will not be possible for Divert Plus to progress. These are determining whether Divert Plus is sufficiently well-defined to be delivered in an efficacy study (discussed in answer to RQ6 in Section 3.2.7) and attaining a sufficient sample size (discussed in answer to RQ5 in Section 3.2.6).

## 4.2 Interpretation

### 4.2.1 Strengths of the pilot trial approach

This study has contributed to knowledge by providing evidence that an RCT approach may work to evaluate a custody diversion programme of this kind, including within a custody suite. It has also generated points of learning which can be put in place in future trials to increase the chances of success, as discussed in Section 4.2.2.

Strengths and achievements of the Divert Plus study include:

- Implementation of randomisation procedures with integrity

- A good standard of completion of outcomes questionnaires
- Reasonable rates of retention, with the potential for these to be improved

**Randomisation procedures were largely implemented with integrity by case managers with no previous experience with this approach.** There is an inherent challenge in relying on practitioners who are responsible for delivering support to young people to carry out randomisation processes. The Divert Plus case managers were not researchers and did not have previous experience with studies of this kind. All of them had some concerns about the RCT approach and its fairness. However, with training and continuing support and monitoring from Cordis Bright, the practitioners were able to carry out randomisation processes effectively.

All team members engaged in a constructive process to refine procedures, overcoming initial practical challenges to create a system which worked (using a separate sequence for each of the four case managers). While an imbalance of allocation remained between Divert Plus and signposting in the new system (see Section 1.3:1), this can largely be explained by the small sample sizes and the fact that small imbalances in each of the four sequences (due to recruitment ending in the middle of a block of four allocations) combined to create a more significant imbalance overall. We are confident that had recruitment continued, this allocation ratio would have balanced out.

Some Divert Plus stakeholders did suggest that it might be preferable for randomisation to be conducted by administrative staff rather than case managers to free up capacity and reduce the strain of feeling that young people had been allocated to the ‘wrong’ group. This does not appear to have been necessary, however, and would have had implications for the delivery of the ‘moment’.

**Outcomes questionnaires were completed well, even within the custody setting.** The ability or willingness of young people to complete the questionnaires within the custody suite was identified as a key risk in the scoping stage of the pilot trial. Particular concern was expressed about the SRDS due to the challenge inherent in asking young people to report offending behaviour when they have been recently arrested. However, the T1 and T2 questionnaires were completed to good standards for both scales. Both the SRDS and SDQ at T1 and T2 saw completion rates exceeding the target of 70% outlined in the co-developed progression criteria (see Section 1.4 for more detail on progression criteria). This success indicates that the Divert Plus case managers were able to effectively encourage young people to complete the forms and make them feel comfortable enough to do so.

The process agreed upon with the Divert Plus team involved young people completing the SRDS alone, putting it into a prepaid envelope, sealing it and returning it to a Divert Plus practitioner to send directly to Cordis Bright. It also appears to have worked well, mitigating the challenge associated with the sensitivity of the content of the questionnaire.

**The programme was able to achieve a reasonable rate of retention, with the potential for this to be improved for the signposting group with a shorter T2 period.** Retention rates in the Divert Plus treatment group were good: of the 20 young people who gave initial consent and were randomised to the Divert Plus treatment group, 16 were retained in the study and completed T2 questionnaires – around 80%. This exceeds the target of 70% of young people completing the programme included within the co-developed progression criteria. Practitioners reported that these good levels of retention in the programme were maintained through the process of having regular check-ins with the case manager.

Retention rates in the signposting group were not as good: of the 13 young people who gave initial consent and were allocated to the signposting group, only five completed both T2 questionnaires – around 38%. There is the potential to improve this rate of retention for the control group in future trials by reducing the timeframe for collecting these questionnaires, meaning that a check-in meeting could be held earlier. There may also be opportunities for improved methods of keeping in touch and maintaining engagement with young people in the signposting group, for example, using financial or other incentives and having a member of the Divert Plus team check in more regularly. These options would have additional resource implications. Ensuring that signposting young people are given equal priority for follow-up visits to obtain full written consent will also be important.

#### 4.2.2 Limitations of this study and learning for the delivery of future pilot trials

Based on the evidence outlined above, it appears that the methods used to inform this pilot trial could be applied in other settings. If this were to be attempted, the following points of learning, which acted as limitations within the Divert Plus trial, should be considered.

**Table 27: Points of learning and recommendations for future trials**

Success factor	Recommendation
<b>1. Ensure a clear understanding of how many young people are declining support and why</b>	<p>Ensure meetings with all eligible young people are recorded, including when they do not consent, to allow for an accurate conversion rate to the programme to be calculated.</p> <p>Design a very short verbal survey to be used by practitioners with young people who do not consent to capture reasons for their not consenting.</p>
<b>2. Limit practical challenges around obtaining consent</b>	<p>Limit the number of meetings required with young people and parents/carers to obtain consent while still allowing the opportunity for young people to reflect on and confirm their decision to participate when outside of the custody setting. Allowing confirmatory written consent to be obtained via email, particularly for parents/carers, appears to be a good way to provide this opportunity for reflection while limiting the number of visits required, thereby freeing up case manager capacity. Exploring the acceptability of reliance on verbal consent may also be an option to consider.</p>
<b>3. Ensure the programme has sufficient capacity to meet projected demand</b>	<p>Conduct rigorous modelling at the outset of the programme to understand how programme capacity can meet demand. This will also help to ensure that the projected demand is realistic.</p>

Success factor	Recommendation
<p><b>4. Ensure the programme has a sufficiently well-defined model to allow for measurement within an RCT</b></p>	<p>Spend time at the outset of the trial defining and documenting the roles of key programme personnel, pathways through the programme and criteria for determining the support a young person receives and their exit from the programme. Revisit these at regular intervals throughout the delivery of the programme to make sure they remain accurate. This activity will also support accurate capacity modelling, ensuring that team members have the capacity to deliver their defined activities with the projected number of young people passing through the programme. Ideally, from the outset, the programme will be well documented, protocolised and manualised. This would also support replication, scale and spread if the model was demonstrated to be effective.</p>
<p><b>5. Ensure that activity and dosage can be accurately recorded</b></p>	<p>Agree on a consistent process of recording activity and dosage data at the outset of the trial, particularly where it is being conducted across multiple sites. Where possible, ensure that a mutually exclusive list of activity types is being used within a dropdown list rather than open text. This process would need to be led by the project team to ensure positive buy-in among practitioners and partners who will be responsible for implementing it.</p>

### 4.3 Future research and publications

We do not suggest that Divert Plus progresses to an efficacy study. This means that no further research or publications are planned at this stage.

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Appendix A: Meeting 1 – young person information sheet and consent form

**Divert Plus: Information for young people**

**1. About Divert Plus**

Divert Plus is a new programme which can help you to get extra support and attend a wide range of activities.

We are doing a study with researchers called Cordis Bright to see whether Divert Plus helps people.



**2. What will you get?**

You will **either be:**

- 1. Offered support which could include mentoring and other activities.

**Or be:**

- 2. Given advice and told about places to find other support that might be helpful. You will also have two check-in sessions to make sure you are safe and to assess your needs.

You will be selected at random to get 1 or 2 above. This is so we can see differences between how well 1 and 2 work.

**3. What will you need to do?**

If you take part in Divert Plus, we will ask you some today, and in 9 and 15 months' time.



questions

**4. How will we use your information?**

The researchers will use the information to find out how Divert Plus has helped people. The picture on page 3 shows what will happen to your information after this.

## 5. How will we keep you safe?

If you feel upset by any of the questions, you should tell your parent or carer or Divert Plus worker.

Your answers will be kept secret between us and the researchers unless we think that you or someone else might be at risk of harm.

## 6. Do you want to take part in the Divert Plus study?

You do not have to take part in the Divert Plus study – it is up to you.

If you decide not to take part, you can still get all the support you would normally get. However, **you will not be able to take part in Divert Plus.**



We will also talk to your parent or the person who cares for you about this.

## 7. What happens if you change your mind?

You can change your mind about taking part in the study of Divert Plus at any time before it ends in September 2024.

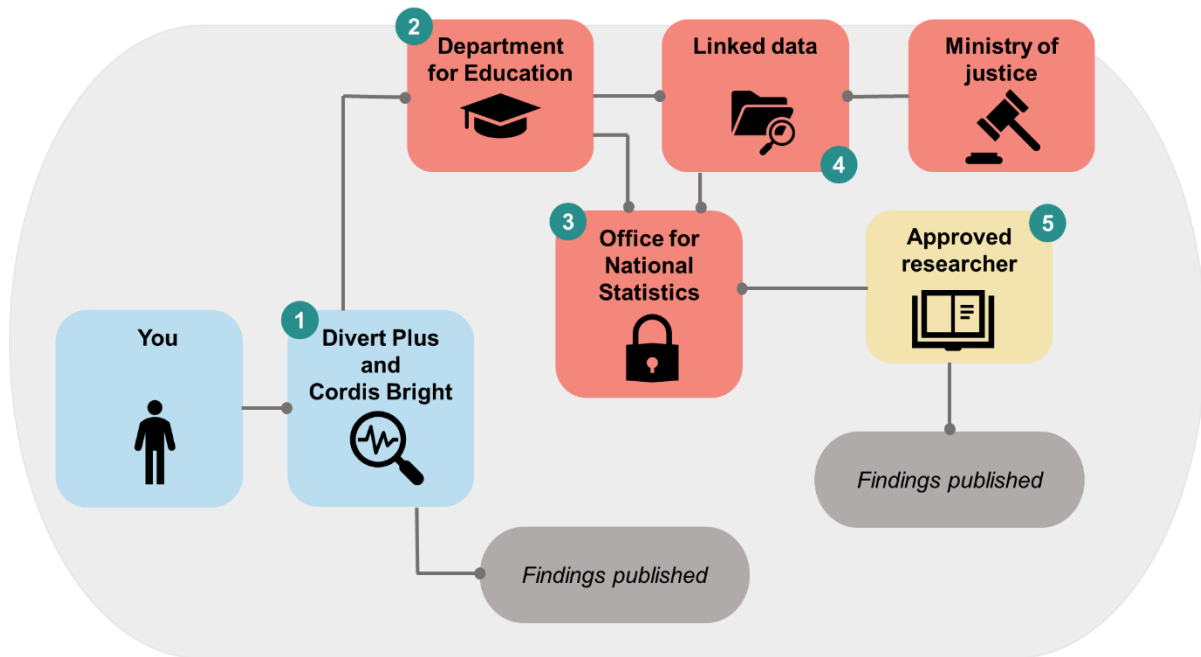
You will also have another meeting with your Divert Plus worker within 14 days when you can say whether or not you are happy to continue taking part.

## 8. Privacy statement

We will use the information you provide for the purposes stated in this form or in pursuance of any other legitimate interest held by the Council. Your personal information may also be processed to facilitate the provision of services in respect of any of the Council's activities or for the prevention and detection of crime and fraud. Under the Data Protection Act 1998 Nottingham City Council is a Data Controller for the information you have given us. For more information visit

<http://www.nottinghamcity.gov.uk/privacystatement>

## How your information will be used



1. Information is collected from you and other young people as part of the study to see if Divert Plus is helping you.
2. Personal information (like your name or date of birth) is removed from your records and replaced with an identification number. After this, no one will be able to know who you are when looking at the information.
3. The information will then be held in a safe place called the YEF archive by the Office for National Statistics (ONS). No one can access it without approval.
4. The Department for Education and the Ministry of Justice will put together information about you that they already hold. This will be sent to the ONS to safely match to your information in the YEF archive.
5. Only approved researchers that YEF works with will be allowed to safely access your information to see if Divert Plus helped people.

## Support & intervention agreement

*I understand that I have been invited to take part in the Divert Plus study.*

*I understand the information in this form.*

*I understand that I will have another meeting where I will get more information and can say whether or not I am happy to continue taking part in the study*

*Based on the above I agree to take part in the Divert Plus study.*

Young person print name: .....

Verbal consent given to take part in Divert Plus (Y/N): .....

Young person's signature: .....

Time: ..... Date: .....

Divert Plus case manager print name: .....

Divert Plus case manager signature: .....

**For Divert Plus case manager to copy and keep.**

## Appendix B: Meeting 1 - parent/carer information sheet and consent form

### Meeting 1 - Divert Plus Study: Information for parents and carers

#### 1. What are we doing?

Divert Plus is a new programme designed to help young people with their wellbeing and behaviour, and to prevent offending or re-offending.

We are doing a study as part of Divert Plus with an independent research organisation called Cordis Bright to see whether Divert Plus helps young people.

#### 2. What will your child/the child you care for get?

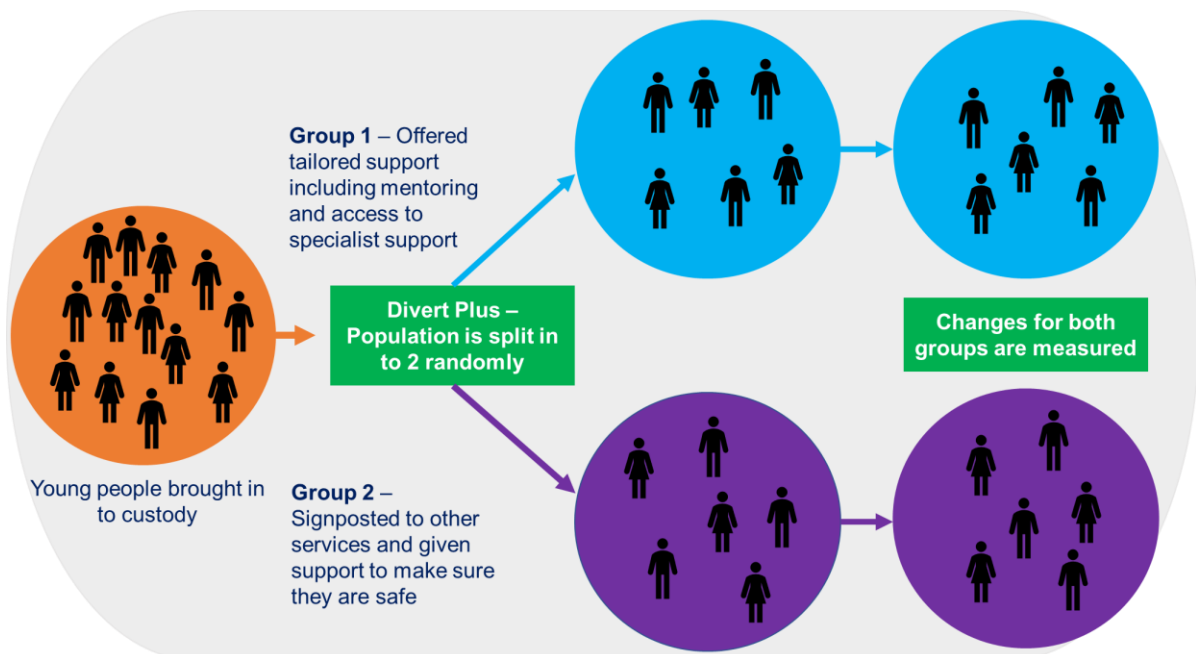
If you agree to your child/the child you care for taking part in Divert Plus and the Divert Plus study, they will **either be**:

- (1) Assessed for a tailored supportive personal plan. This plan could include mentoring, speech and language therapy and/or other specialist support.

**Or be:**

- (2) Signposted to other services and given support to make sure they are safe. This will consist of two check-in sessions (one in 9 months and one in 15 months' time) which will include an assessment of needs.

Your child/the child you care for will be allocated **randomly** to either receive (1) or (2) above. This is so that we can see if there are any differences based on the support young people receive. See the picture below which explains this.



### 3. Do they have to take part in the Divert Plus study?

No - if you do not want your child/the child you care for to take part in the Divert Plus study, they do not have to. It is a decision you may want to take together.

We would like as many young people as possible to take part to improve our understanding about what makes a difference for young people.

If your child/the child you care for chooses not to take part in the part of Divert Plus, all the usual services provided by this local authority will continue to be available.

However, **Divert Plus will not be available** to them.



in the Divert Plus study

to improve our

understanding of what makes a difference for young people

### 4. What happens if your child/the child you care for takes part?

Your child/the child you care for will be asked some questions about their wellbeing and behaviour.

They will be asked these questions at the start of the study before they are randomly allocated to support group (1) or (2) and before they receive any support.

They will then be asked similar questions again in around 9 months and 15 months, to see if anything has changed. This will help us to understand the difference Divert Plus is making to young peoples' lives.

### 5. How do we keep your child/the child you care for safe?

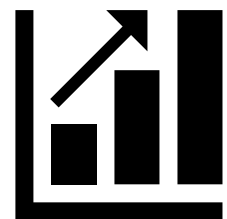
If you or your child/the child you care for feel upset by any of the questions they are asked as part of this study, you should tell the person from Divert Plus that your child is working with.

The answers your child/the child you care for give will be kept secret between us and the researchers. However, if they tell us something that makes us concerned about them or others being at risk of harm we will report this to the relevant authorities. If this happens then we will try to discuss the issue with them first.

### 6. How will we use the personal information that we collect?

The research organisation will use the information your child/the child in your care and other children provide to work out whether Divert Plus is helping young people.

The picture at the end of this sheet shows what will happen to their information after this.



### 7. What happens if you change your mind about being involved in the Divert Plus study?

You and your child/the child you care for can withdraw from the study at any time before the study comes to an end in September 2024.

You will also have another meeting with your child/the child in your care and their Divert Plus worker within 14 days, when you can say whether or not you are happy for them to continue taking part in the Divert Plus study.

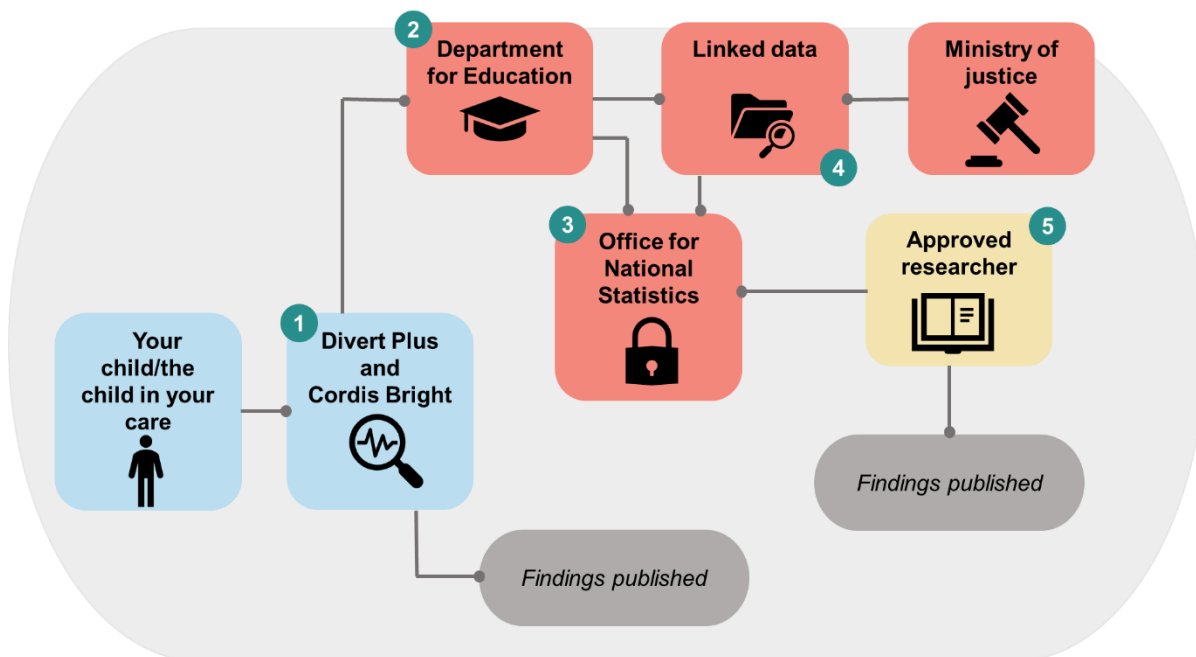
## 8. Privacy notice

We will use the information you provide for the purposes stated in this form or in pursuance of any other legitimate interest held by the Council. Your personal information may also be processed to facilitate the provision of services in respect of any of the Council's activities or for the prevention and detection of crime and fraud. Under the Data Protection Act 1998 Nottingham City Council is a Data Controller for the information you have given us. For more information visit <http://www.nottinghamcity.gov.uk/privacystatement>.

## 9. How do I find out more about the study and support offered?

You can contact the Divert Plus case manager who spoke to your child /the child in your care whilst they were in the police cell or who called to visit you today (see contact details on page 5).

### How your child/the child in your care's information will be used



1. Information is collected from your child/the child in your care and other young people as part of the study to see if Divert Plus is helping them.
2. Personal information (like their name or date of birth) is removed from your child/the child in your care's records and replaced with a unique reference number. After this, no one will be able to know who they are when looking at the information.
3. The information will then be held in a safe place called the YEF archive by the Office for National Statistics (ONS). No one can access it without approval.
4. The Department for Education and the Ministry of Justice will link together information on education and crime records that they already hold. This will be sent to the ONS to safely match to your child/the child in your care's information in the YEF archive.
5. Only approved researchers will be allowed to safely access your child/the child in your care's information to see if Divert Plus helped people in the long term.



## Divert Plus - Next meeting

Today my child/the child in my care met .....  
from Divert Plus.

I can contact them by ringing this number: .....

I will see them again on:

Date:.....

Time:.....

Where:.....

### Support & Intervention Agreement – Parent/Carer

By signing this form, you are agreeing that you wish to access support with the aim and purpose of diverting your child/young person from criminal behaviour.

You are confirming that you understand that you will be contacted with an offer of support aimed at providing tailored intervention for your child.

*I understand the information in this sheet.*

*I have had the opportunity to ask questions about how personal information is used in this study.*

*I understand that I will have another meeting where I will get more information and say whether or not I am happy to continue taking part in the study.*

*Based on the above I agree to my child / the child I care for taking part in the Divert Plus study.*

Parent/carers print name: .....

Relation to young person: .....

Verbal consent given? (Y/N) .....

Telephone number used (if verbal consent): .....

Written consent given? (Y/N) .....

Parent/carers signature (if written consent): .....

Time: ..... Date: .....

Divert Plus case manager print name: .....

Divert Plus case manager signature: .....

Time: ..... Date: .....

**For Divert Plus case manager to copy and keep.**

# Appendix C: Meeting 2 – young person information sheet and consent form

## Meeting 2 - Divert Plus: Information for young people

### 1. What we are doing

Divert Plus is designed to help young people like you. It is being funded by the Youth Endowment Fund (YEF).



by the Youth

It can help you if you are worried or if you are struggling with things like writing.

reading and

It can help you to get extra support and attend a wide range of activities.

We are doing a study to see whether Divert Plus helps young people and how it could be improved.

### 2. What you are getting

You have been randomly selected **either to be:**

1. Offered support including mentoring and other support that might be helpful.

**Or to be:**

2. Given advice and told about places to find other support that might be helpful. You will also have two check-in sessions to make sure you are safe and to assess your needs.

The selection was done randomly so that we can see if there are any differences based on the support young people receive. This means it cannot be changed.

### 3. Who we are

We are part of Cordis Bright, a research organisation. Cordis Bright is called a ‘controller’ because it looks after your information. Contact details of team members are below.

#### Contact details:

**Project Manager:** Caitlin Hogan-Lloyd, Email: [Caitlinhoganlloyd@cordisbright.co.uk](mailto:Caitlinhoganlloyd@cordisbright.co.uk) Tel: 020 7330 9170



**Data Protection Officer:** Colin Horswell, Email: [Colinhorswell@cordisbright.co.uk](mailto:Colinhorswell@cordisbright.co.uk) Tel: 020 7330 9170



### 4. What you will need to do

You will already have been asked some questions about your behaviour by the person from Divert Plus you are

They will ask you these questions again around 9 months months later.



yourself and working with.

and 15

### 5. Information we collect

If you agree, Divert Plus will give us some information about you, like your name and your date of birth.

They will also give us information about how you are feeling and things you have done in the past.

Divert Plus will also give us some information about the support you receive.

## 6. How we keep you safe

If you feel upset by any of the questions you were asked, you should tell your parent or carer or the person from Divert Plus that you are working with.

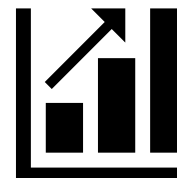
The answers you give will be kept secret between us and the researchers unless we think that you or someone else might be at risk of harm. If this happens then we will try to talk to you first about why we want to tell another person or organisation about what you told us.

## 7. How we use your information

We will use the information you and other young people give us to find out how much Divert Plus has helped people.

We will write a report about what we find. The report will not include your name or any other information that could identify you.

The report will go on the YEF's website and anyone will be able to read it. We might also use the report on our website or in articles and presentations.



## 8. How we comply with the law

We will only use your information if the law says it's ok. Because this study is interesting and important to lots of people, the law says we can use your information.

We will always keep your information safe. During the study, we only let our research team look at your information.

## 9. After the study finishes

When we finish the study, we'll give your information to the YEF and they will become the 'controller' of it.

They will keep your information in a safe place called the YEF archive.

The picture on page 5 of this sheet explains more about what will happen to your information. You can ask the person you are discussing this with about this and the picture.

You can also see more information in the Privacy Notice that has been given to your parent/the person who cares for you.

## 10. Do you want to take part?

You can decide whether or not you are happy to keep taking part in the study.

We want lots of people to take part because this helps us to understand a difference for young people.

You do not have to take part in the study – it is up to you. If you do not part, tell your parent or guardian, or the person from Divert Plus you are working with.

If you decide not to take part, we will delete the information you have already given us and it will not be used in the study.

If you decide not to take part, you can still get all the support you would normally get. However, you won't be able to take part in Divert Plus.



Divert Plus

what makes

want to take

We will also talk to your parent or the person who cares for you, so they know we have checked in with you and to ask for their permission to let you take part.

## **11. What happens if you change your mind in the future?**

You can change your mind about taking part in the study part of the Divert Plus programme (and having your information sent to the YEF archive) at any time before the study comes to an end in September 2024.

If you change your mind, tell your parent or guardian, the person from Divert Plus you are working with, or contact Caitlin the project manager.

You will still be allowed to take part in Divert Plus if you have already started to receive support.

We will ask you if you are happy for us to keep the information that we already have about you. If you do not want us to keep this information, we will delete it.

If you are having second thoughts, you should tell someone as soon as possible.

Once information goes into the YEF archive after September 2024, we can no longer delete it. You will need to apply to the YEF, who will review applications for deletion on an individual basis. Their contact details and more information can be found here:

<https://res.cloudinary.com/yef/images/v1625734531/cdn/YEF-Data-Guidance-Participants/YEF-Data-Guidance-Participants.pdf>

## **12. How long will we keep your information?**

After we have given the information to YEF, we will take all names and other personal details out of the information held by Cordis Bright so no one will be able to know who took part in the study. We will keep this information for six years after we have finished the report.



Information will be kept safely in the YEF archive for as long as it is needed for future research.

### 13. Your legal rights

The law gives you rights over how we can use your information. You can find full details of these rights in the information sheet the Divert Plus practitioner has given to your parent or carer and in YEF's archive privacy notice: [YEF Data Guidance Participants Nov2020.pdf \(youthendowmentfund.org.uk\)](#).

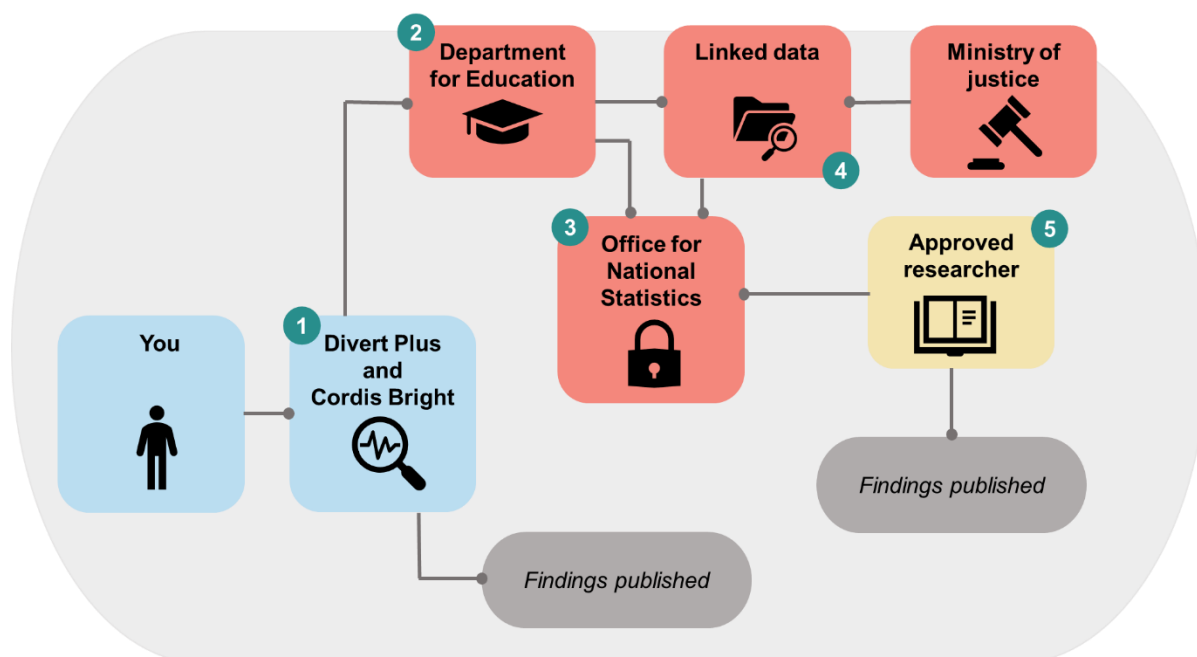
### 14. Questions?

If you have any questions about how we use your information, or if you want to complain, you can contact our Project Manager, Caitlin or our Data Protection Officer, Colin. Their contact details are in the box on the first page.

You also have the right to make a complaint to the Information Commissioner's Office (ICO). You can find more information about the ICO and how to make complain to them on their website <https://ico.org.uk/make-a-complaint/>.



## How your information will be used



1. Information is collected from you and other young people as part of the study to see if Divert Plus is helping you.
2. Personal information (like your name or date of birth) is removed from your records and replaced with an identification number. After this, no one will be able to know who you are when looking at the information.
3. The information will then be held in a safe place called the YEF archive by the Office for National Statistics (ONS). No one can access it without approval.
4. The Department for Education and the Ministry of Justice will put together information about you that they already hold. This will be sent to the ONS to safely match to your information in the YEF archive.
5. Only approved researchers that YEF works with will be allowed to safely access your information to see if Divert Plus helped people in the long term.

**An evaluation of Divert Plus. Confirmation statement for children and young people**

<p>I confirm that:          I understand the information sheet for children and young people          I have had an opportunity to ask questions about how personal information is used in the study          I have enough information to make a decision about whether to take part in the study          I understand that I am free to withdraw from the study at any point.</p>	
Signed (participant)	Date
Name in block capitals (participant)	
Signature of Divert Plus practitioner	Date
<p>Divert Plus practitioner          Name in block capitals          Tel:          Email:</p>	

## Appendix D: Meeting 2 - parent/carer information sheet and consent form

### Meeting 2 - Divert Plus Study: Information for Parents and Carers

#### 1. What are we doing?

We are doing a study of young people taking part in Divert Plus to find out how it might help young people with their wellbeing and behaviour, and to prevent re-offending. The study is being funded by the Youth Endowment Fund more information see: <https://youthendowmentfund.org.uk/> .



how it might offending or (YEF), for

This information sheet contains information about who we are, what we are doing, and why we are doing it. It also explains how we will use your child's/the child you care for's personal information if you agree for them to take part in this study.

#### 2. Who are we?

This study is being organised by an independent research organisation Cordis Bright. You can find more information on Cordis Bright by visiting the website [www.cordisbright.co.uk](http://www.cordisbright.co.uk) .

When we collect and use your child/the child you care for's personal information as part of the study, we are the **controllers** of the personal information. This means we decide what personal information to collect and how it is used. Contact details of team members are below.

##### Contact details:

**Project Manager: Caitlin Hogan-Lloyd, Email:**  
[caitlinhoganlloyd@cordisbright.co.uk](mailto:caitlinhoganlloyd@cordisbright.co.uk) Tel: 020 7330 9170



**Data Protection Officer: Colin Horswell, Email:**  
[colinhorswell@cordisbright.co.uk](mailto:colinhorswell@cordisbright.co.uk) Tel: 020 7330 9170



#### 3. What is your child/the child you care for getting?

Your child/the child you care for has been randomly selected **either to be:**

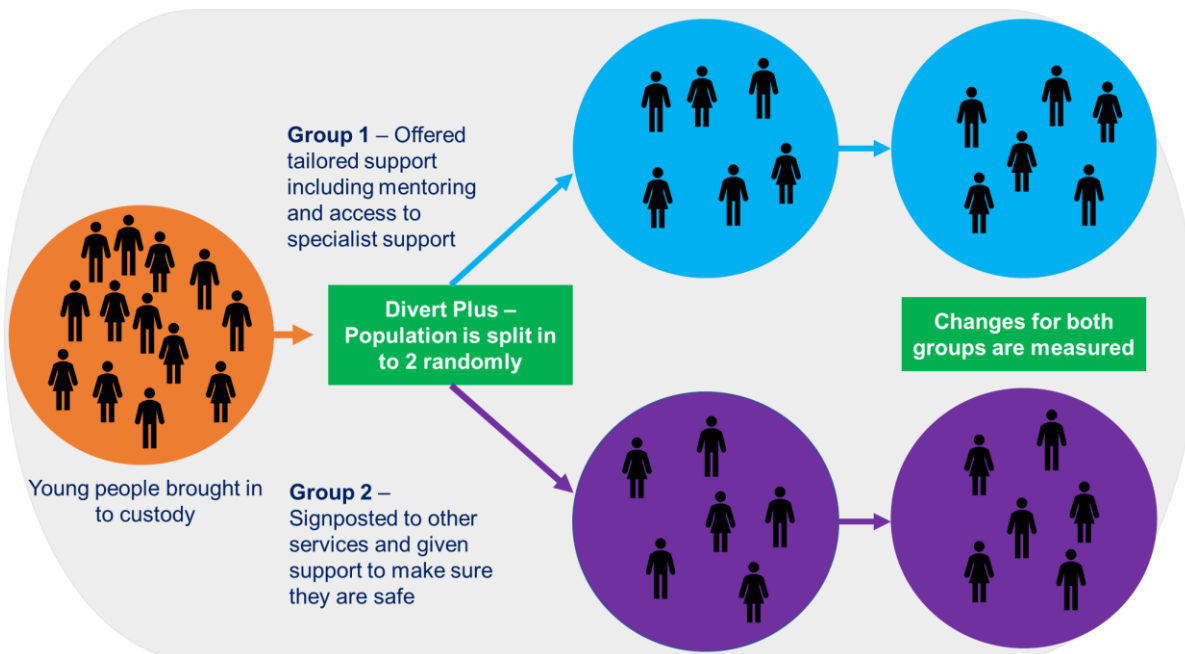
- (3) Assessed for a tailored supportive personal plan. This could include mentoring, speech and language therapy and/or other specialist support as appropriate.

##### Or to be:

- (4) Signposted to other services and given support to make sure they are safe. This will consist of two check-in sessions (one in 9 months and one in 15 months' time) which will include an assessment of needs.

Your child/the child you care was allocated **randomly** to either receive (1) or (2) above so that we can see if there are any differences based on the support young people receive. This means the allocation cannot be changed. See the picture on page 2 which explains this





#### 4. Who has reviewed this study?

This study has been reviewed and approved by the University of Greenwich Research Ethics Committee. The approval ID is: UREC/21.3.7.5.

#### 5. Why has your child/the child you care for been invited to take part?

Your child/the child you care for has been asked to take part in this study because they are eligible to take part in Divert Plus.

#### 6. Do they have to take part in the Divert Plus study?

No - If you do not want them to take part in the study, they do not have to. It is a decision you may want to take together.

We would like as many young people as possible to take part to improve our understanding about what makes a difference for young people.

If your child/the child you care for chooses not to take part in the study, all the usual services provided by this local authority will continue to be available to them.

However, **Divert Plus will not be available** to them.

#### 7. What happens if your child/the child you care for takes part?

Your child/the child you care for will already have been asked to answer some questions about their wellbeing and behaviour Plus case manager. This should have taken about 30-40

They will ask your child/the child you care to answer these again in around 9 months and 15 months, to see if anything

Their Divert Plus case manager will help support your you care for to answer the questions where appropriate.



asked to by their Divert minutes.

questions has changed.

child/the child

If you agree for your child/the child you care for to take part in this study, we will also access records collected by their Divert Plus case manager e.g., information about their background and what support they have received.

## 8. How do we keep your child/the child you care for safe?

Occasionally, someone may feel upset about a question or issue that arises during the study. If you or your child/the child you care for feel upset by any of the questions they are asked as part of this study, you should tell their Divert Plus case manager, our study manager Caitlin (see box above for contact details) or our safeguarding lead Kam Kaur, who is contactable at [kamkaur@cordisbright.co.uk](mailto:kamkaur@cordisbright.co.uk) or on 020 7330 9170.

If you or your child/the child you care for do not feel able to ask us for help, we encourage you to make contact with an external support service such as The Samaritans (Tel. 116 123, [www.samaritans.org](http://www.samaritans.org)) or Childline (Tel. 0800 1111, [www.childline.org.uk](http://www.childline.org.uk)).

We will keep the information that your child/the child you care for shares with us secret. However, if they tell us something that makes us think they or others might be at risk of harm we will report this to the relevant authorities. If this happens then we will try to discuss it with them first.

You can find more information in our Safeguarding Policy. Please contact Caitlin the study manager if you would like a copy.

## 9. How will we use the personal information that we collect?

We will use the information that your child/the child you care for gives out how well Divert Plus has worked and to write a report about our

The **Privacy Notice** provided along with this sheet provides more about what will happen to this information after the study. This is also in a picture on page 5 of this sheet.



us to find findings.  
information summarised

## 10. What happens if you change your mind?

You and your child/the child you care for can change your minds about whether they take part in the study (and have their information sent to the YEF archive) at any time before the study comes to an end in September 2024.

To withdraw from the study, contact Caitlin, the Project Manager using the details provided in the box at the start of this information sheet. You do not have to give a reason.

Your child/the child you care for will still be allowed to take part in Divert Plus if they have already started to receive support.

We will ask you and your child/the child you care for whether you are happy for us to keep the information that we already have about them. If you do not want us to keep this information, we will delete it.

If you decide to withdraw, you should tell us as soon as possible. After two weeks following completion of the second set of questions (at around 9 months) it might no longer be possible to delete the personal information we have already collected from your child/the child you care for. This is because we might have used their information, along with all of the information we have gathered from the other participants, to carry out part of the study and to write a report. If it is too late to delete the information already collected from your child/the child you care for from the study, they can still withdraw from the rest of the study (answering any more questions) and from the YEF archive.

Once information goes into the YEF archive after September 2024 it can no longer be deleted as that would affect the quality of the archived data for use in future research.

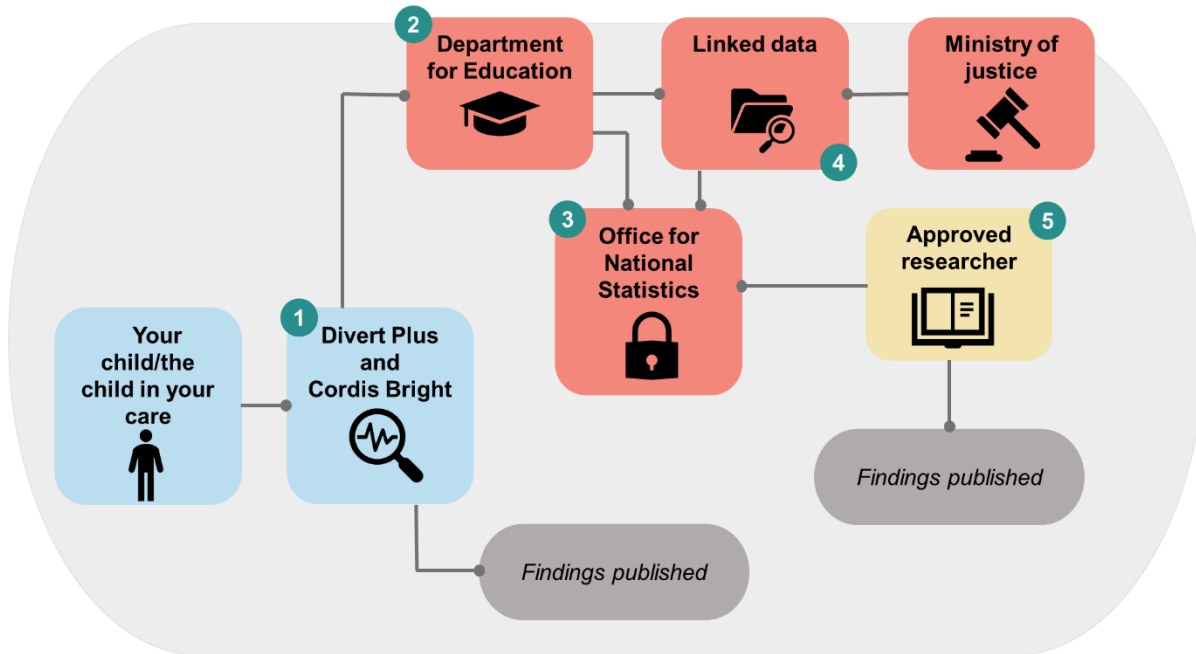
## 11. Feedback, queries or complaints

If you have any feedback or questions about how we use personal information, or if you want to make a complaint, you can contact Colin our Data Protection Officer using the details provided in the box at the start of this information sheet.

We always encourage you to speak to us first, but if you remain unsatisfied you also have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues: <https://ico.org.uk/make-a-complaint/> .



## How your child/the child you care for's information will be used



6. Information is collected from your child/the child you care for and other young people as part of the study to see if Divert Plus is helping them.
7. Personal information (like their name or date of birth) is removed from your child/the child you care for's records and replaced with a unique identification number. After this, no one will be able to know who they are when looking at the information.
8. The information will then be held in a safe place called the YEF archive by the Office for National Statistics (ONS). No one can access it without approval.
9. The Department for Education and the Ministry of Justice will link together information on education and crime records that they already hold. This will be sent to the ONS to safely match to your child/the child you care for's information in the YEF archive.
10. Only approved researchers will be allowed to safely access your child/the child you care for's information to see if Divert Plus helped people in the long term.

**CONFIRMATION STATEMENT FOR PARENTS AND GUARDIANS ON BEHALF OF THE CHILDREN IN THEIR CARE**

**I confirm that:**

- **I understand the information sheet for parents and guardians.**
- **I have had an opportunity to ask questions about how personal information is used in a study.**
- **I have enough information to make a decision about whether my child/the child I care for can take part in the study.**
- **I understand that they are free to withdraw from the study at any point**

**I agree [my child/the child I care for] can take part in this study.**

Name of participant/child (block capitals)

Signed (adult on behalf of participant)

Date

Name of adult (block capitals)

Signature of practitioner

Date

Practitioner's contact details

Practitioners named (block capitals)

Tel:

Email:

## Appendix E: Meeting 2 - privacy notice

### Meeting 2 - Divert Plus Study - Privacy Notice

We are carrying out a study of people taking part in the Divert Plus programme to try to find out how the service might help young people in the future. The study is being funded by the Youth Endowment Fund (YEF).

This study is being organised by an independent research organisation Cordis Bright. You can find more information on Cordis Bright by visiting the website [www.cordisbright.co.uk](http://www.cordisbright.co.uk).

When we collect and use participants' personal information as part of the study, we are the **controllers** of the personal information, which means we decide what personal information to collect and how it is used.

This Privacy Notice explains how we will use and protect the personal information we collect from your child/the child you care for. Key research team members contact details are below.

<a href="mailto:caitlinhoganlloyd@cordisbright.co.uk">caitlinhoganlloyd@cordisbright.co.uk</a>	
<a href="mailto:Colinhorswell@cordisbright.co.uk">Colinhorswell@cordisbright.co.uk</a>	

#### 1. How will we use the personal information that we collect?

Data protection laws require us to have a valid reason to use your child's/the child you care for's personal information. This is referred to as our 'lawful basis'. We rely on the public interest lawful basis to use their personal information. This means we will only use more sensitive information (such as information about their health, ethnic background, or any criminal offence information) if it is necessary for research purposes which are in the public interest.



We will use the information that your child/the child you care for gives us to find out how well Divert Plus has worked and to write reports about our findings.

The reports will not contain any personal information about your child/the child you care for and no one will be able to identify them from the reports. The reports will be published on the YEF's website and we might also use the reports on our website. We may also include findings from the reports in articles that we write or in presentations.

Any personal information that your child/the child you care for gives us will be stored securely and kept secret.

The only time we may share this personal information with another person or organisation is if your child/the child you care for says something that makes us concerned about them or about someone else. Our Safeguarding Policy has more information about steps that we might take if this happens. Our Safeguarding Policy is available from the Project Manager, Caitlin whose contact details are above.

#### 2. What happens to the personal information after the study?

Once we have finished the study, we will do the following:

- Share all of the information we have gathered about everyone who has taken part with the Department for Education (DfE). The DfE will replace all information that could identify the young

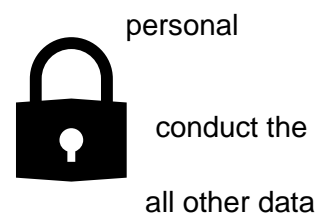
people (their name, gender, date of birth, home address) with an identification number<sup>48</sup>. Once this has been done, it is no longer possible to identify any individual young person from the study data. This process is called **pseudonymisation**.

- Once information is transferred to the DfE, we hand over control to the YEF for protecting your personal information. The DfE will transfer the pseudonymised information to the YEF archive<sup>49</sup>. The YEF is the 'controller' of the information in the YEF archive. By maintaining the archive and allowing approved researchers to access the information in the archive, the YEF is performing a task in the public interest, and this gives the YEF a lawful basis to use personal information.
- Information in the YEF archive can only be used by approved researchers to explore whether Divert Plus, and other programmes funded by YEF, had an impact over a longer period of time. Using the unique identification numbers added to the data by the DfE it will be possible to link the records held in the YEF archive to other information held by the Department for Education and Ministry of Justice. This will help approved researchers to understand the long-term impact of Divert Plus because they can find out, for example, whether it reduces a child's likelihood of being excluded from school or becoming involved in criminal activity.

### 3. How will we protect your child/the child you care for's information?

We will do a number of things to protect your child's/the child you care for's information during the study, including:

- Limiting access to a few researchers who need the information to study.
- Keeping personal details such as name and address separate from all other data and linking these using a unique number.
- Keeping information on a secure safe server and making sure information is regularly backed up so it isn't lost.



We will not transfer personal data outside the UK.

### 4. How is information in the YEF archive protected?

The YEF has strong measures to protect the information in their archive. The YEF archive is protected by the Office for National Statistics' 'Five Safes' framework. The information can only be accessed by YEF approved researchers in safe settings and there are strict rules about how the information can be used. All proposals must be approved by an ethics panel. Information in the YEF archive cannot be used by the police or the Home Office for immigration enforcement purposes.



You can find more information about the YEF archive and the Five Safes on the YEF's website <https://youthendowmentfund.org.uk/evaluation-data-archive/>. YEF's data archive privacy statement is also available here: [https://youthendowmentfund.org.uk/wp-content/uploads/2020/11/YEF\\_Data\\_Guidance\\_Participants\\_Nov2020.pdf](https://youthendowmentfund.org.uk/wp-content/uploads/2020/11/YEF_Data_Guidance_Participants_Nov2020.pdf). We encourage all young people, parents and carers to read the YEF's guidance for participants before deciding to take part in this study.

### 5. How long will the information be kept for?

After we have given the information to YEF, we will take all names and other personal details out of the dataset held by Cordis Bright so no one will be able to know who took part in the study. We will keep this information for six years after we have finished the report.



<sup>48</sup> The young person's unique Pupil Matching Reference number in the DfE's National Pupil Database.

<sup>49</sup> The YEF archive is stored safely in the Office for National Statistics Secure Research Service.

The YEF will keep information in the YEF archive for as long as it is needed for research purposes. This is allowed under data protection laws because it is in the public interest. The YEF will carry out a review every five years to see whether it is likely that the information will be used for future research and to see whether it still makes sense to keep the information in the archive.

## **6. What are your data protection rights?**

You and the child you care for have the right to:

- ask for access to the personal information that we hold about them;
- ask us to correct any personal information that we hold about them which is incorrect, incomplete or inaccurate.

In certain circumstances, you also have the right to:

- ask us to erase the personal information where there is no good reason for us continuing to hold it – please read the information in section 7 below about the time limits for requesting deletion of personal information;
- object to us using the personal information for public task purposes;
- ask us to limit or pause the use of the personal information, for example, if you want us to establish its accuracy or our reasons for using it.

If you would like to do any of the above during the study period, please contact Caitlin, our Project Manager, or Colin our Data Protection Officer using the details provided earlier. We will usually respond within one month of receiving your request.

If you would like to do any of the above after the study has finished, please contact the YEF. Further information and their contact details are available in YEF's guidance for participant which can be accessed here: <https://res.cloudinary.com/yef/images/v1625734531/cdn/YEF-Data-Guidance-Participants/YEF-Data-Guidance-Participants.pdf> .

If you ask us to do any of the above, we may need to ask for more information to help us confirm the identity of your child/the child you care for. This makes sure that personal information is not shared with a person who has no right to receive it. We may also ask you for more information to make sure we can respond more quickly.



## 7. Time limits

If you decide that you would like us to delete your child/the child you care for's information from the study, you should tell us as soon as possible.

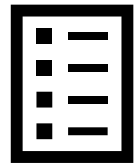
After two weeks following completion of the second set of questions (at around 9 months – see the information sheet for parents/carers for more information) it might no longer be possible to delete the personal information we have already collected from your child/the child you care for. This is because we might have used their information, along with all of the information we have gathered from the other participants, to carry out part of our study and to write a report.

Once information goes into the YEF archive after September 2024 we can no longer delete it. You will need to apply to the YEF (see contact details in Section 6 above), who will review applications for deletion on an individual basis.

## 8. Other privacy information

Categories of personal information we will collect include:

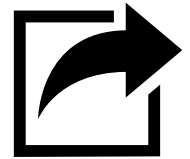
- First name
- Surname
- Date of Birth
- Home address
- Alternative address (if appropriate)
- Telephone number
- Email address



## 9. What personal information will be shared?

We only ever use your child's/the child you care for's personal information if we are satisfied that it is lawful and fair to do so.

Section 2 above explains how we share data with the Department for Education and the YEF.



We may also share personal information with the police so that they can tell us what information they have about the young person from the year before they took part in the study and up to 15 months after they agreed to take part in the study.

## 10. What if I have any questions, feedback, or complaints?

If you have any feedback or questions about how we use personal information, or if you want to make a complaint, you can contact Caitlin the Project Manager or Colin the Data Protection Officer using the details provided earlier.

We always encourage you to speak to us first, but if you remain unsatisfied you also have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues: <https://ico.org.uk/make-a-complaint/> .



## Appendix F: Information sharing agreement with Nottingham City Council

### Information Sharing Agreement

#### Document Control

<b>Version</b>	<b>V1.0</b>
Document owner	Sonia Burton
Document author	Jeremy Lyn-Cook, Information Policy Specialist Jeremy.lyncook@nottinghamcity.gov.uk
Document agreed date	11/07/22
Document distribution	All the Parties listed in Part A below
Next document review date	To be decided
Restrictions	

#### PART A. The parties' details

<b>Name of party</b>	<b>NOTTINGHAM CITY COUNCIL (THE "COUNCIL")</b>
Party's address	LOXLEY HOUSE, STATION STREET, NOTTINGHAM, NG2 3NG

<b>Name of party</b>	<b>CORDIS BRIGHT</b>
Party's address	23-24 SMITHFIELD STREET, LONDON, EC1A 9LF

## PART B. TERMS

### 1. Definitions & Interpretation

1.1 In this Information Sharing Agreement (ISA), unless the context requires otherwise, the following terms shall have the following meanings:

“Criminal Conviction Data”	has the meaning given in UK GDPR Art 10, DPA 2018 s.10 and Schedule 1;
“Data Controller”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“Data Protection Legislation”	the Data Protection Act 2018, the UK General Data Protection Regulation, the Regulation of Investigatory Powers Act 2000, The Investigatory Powers Act 2016, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner’s Office, in each case as amended or substituted from time to time;
“Data Subject”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“DPA”	the Data Protection Act 2018 as amended by The Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019 and any other and subsequent amendments;
“DPIA”	the Data Privacy Impact Assessment referred to in clause 8.1;
“ISA”	this information sharing agreement comprising Parts A (The parties’ details), B ( Terms) ) and C (Information Sharing Annexes);
“Information Sharing Annex”	means an information sharing annex in the form of template 1 and/or template 2 at Part C to this ISA which details the information sharing activities and the process for sharing information between the Parties;

“Joint Controllers”	under the UK GDPR, Part 1 of the DPA and Part 3 of the DPA means where two or more controllers jointly determine the purposes and means of processing, they shall be joint controllers; As defined under Part 3 of the DPA; processing for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security by a competent authority
“Law Enforcement Purposes”	
“Parties”	means the organisations set out at Part A (‘The parties’ details)
“Personal Data”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“Shared Information”	the information shared in accordance with this ISA and detailed under heading 2 (What information is being shared) of an Information Sharing annex in Part C to this ISA;
“Special Categories of Personal Data”	means the categories of personal data referred to the Data Protection Act 2018 and in Article 9(1) of the UK GDPR;
“Sensitive processing”	processing for Law Enforcement Purposes that involves <ul style="list-style-type: none"> <li>(a) the processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership;</li> <li>(b) the processing of genetic data, or of biometric data, for the purpose of uniquely identifying an individual;</li> <li>(c) the processing of data concerning health;</li> <li>(d) the processing of data concerning an individual’s sex life or sexual orientation</li> </ul>
“Purpose”	the purpose for which the Shared Information will be shared in accordance with this ISA and set out under heading 1 (Why is the information being shared?) of the relevant Information Sharing Schedule in Part C to this ISA.
“UK GDPR”	Means Regulation (EU) 2016/679 of the European Parliament and of the Council of 27th April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation) as it forms part of the law of England and Wales, Scotland and Northern Ireland by virtue of section 3 of the European Union (Withdrawal) Act 2018, as amended by The Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019 and any other and subsequent amendments
“Working Day”	means a day other than a Saturday, Sunday or public holiday in England.

- 1.2 Unless the context otherwise requires, words in the singular shall include the plural and in the plural shall include the singular.
- 1.3 Clause, schedule and paragraph headings shall not affect the interpretation of this ISA.
- 1.4 A reference to a statute or statutory provision shall include all subordinate legislation made from time to time under that statute or statutory provision.

## 2. Introduction

- 2.1. The Divert Plus is a project funded by The Youth Endowment Fund (YEF) (through the Nottinghamshire Violence Reduction Unit). Divert Plus aims to successfully turn 10 to 17 year olds away from the Criminal Justice System before court action is taken, ensuring they do not become involved in crime or violence in the future.
- 2.2. If a young person agrees to involvement with Divert Plus, they will go through an assessment and planning discussion that focuses on their needs.
- 2.3. The Youth Endowment Fund has commissioned Cordis Bright (YEF's processor) to undertake an evaluation of the project to assess its effectiveness. The evaluation and any subsequent published papers will contain only anonymised, non-person identifiable information.
- 2.4. In order to deliver the evaluation NCC staff will collate specific data from existing systems (as set out in Annex 1) and share the information in excel format via encrypted email with Cordis Bright. It will be password protected with the password sent via a different medium. Cordis Bright will apply appropriate technical and administrative measures to protect the security of the disclosed data.
- 2.5. This Information Sharing Agreement ("**ISA**") sets out the arrangements for sharing information between the Parties to, amongst other things, demonstrate compliance with the Data Protection Legislation. It consists of the Parties to the ISA as identified in Part A, the Terms in this Part B and the completed Information Sharing Annex, in the annex of the relevant template in Part C.
- 2.6. Any additional party who wishes to be part of this information sharing agreement shall complete and submit a data sharing request form, as set out in the relevant template Information Sharing Annex. Each Party must then complete and submit a data sharing decision form, as set out in the relevant template Information Sharing Annex. The consent of each Party is required in order for the additional party to be included into this ISA. The relevant Information Sharing Annex must be completed by the party initiating the new information sharing approved and signed by all Parties before any information sharing takes place.
- 2.7. In the event that a Party withdraws from the ISA (in accordance with clause 10.1) or a new party joins the ISA (in accordance with clause 2.3), an amended and updated version of this ISA must be drafted as soon as practicable and circulated to all Parties for signature and dating.
- 2.8. Electronic exchange - All information transmitted across public networks within the UK or across any networks overseas must be sent by secure email which meets UK central government's connection standards or be encrypted using appropriate software (e.g. Microsoft 365, Egress Switch, Cryptshare, etc.)
  - Passwords must be sent separately to the information exchanged and must provide the correct level of security taking all factors into account, including the nature of the data being shared. Passwords must be changed regularly and the Parties respective password arrangements will include provisions to avoid the use of weak or predictable passwords.
  - Personal exchange of materials for meetings - Information may be hand delivered or taken in hard copy providing it is securely contained within a blue locked bag or similar locked bag or container.

## 3. Purpose of the information sharing

The information is being shared for the purpose set out under heading 1 ("Why is the information is being shared") of the relevant Information Sharing Annex in Part C.

#### 4. Information to be shared

The information that may be shared between the Parties under this ISA is listed under **'What information is being shared?'** heading of the relevant Information Sharing Annex.

#### 5. Legal Basis for sharing

- 5.1. The lawful basis of processing and information sharing under this ISA is set out in clauses 5.2 and/or 5.3 with additional lawful bases detailed under the **'What are the additional legal bases for sharing the information?'** heading of the relevant Information Sharing Annex in part C.
- 5.2. The Council will share personal information with Cordis Bright on the basis that it is the carrying out of a public task in the public interest under Section 8 DPA 2018 and Article 6(1)(e). It will share special category data on the basis of substantial public interest under Article 9(2)(g) UK GDPR and other following legislation:
- The Children Act 2004 (the Act), as amended by the Children and Social Work Act 2017
  - Local Government Act 1972
  - Localism 2011, s1
- 5.3. To the extent that the information being shared includes any Personal Data, the Parties shall ensure that the Shared Information is processed in accordance with the Data Protection Legislation.

#### 6. Access to data and individuals' rights

- 6.1. A Party shall contact the other Party within 2 (two) Working Days if it receives a subject access request (or purported subject access request) under the Data Protection Act 2018 or a request for access to personal data or information under Article 15 of the UK GDPR and/or a request for information under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004 in relation to the Shared Information. The other Parties shall provide reasonable cooperation and assistance to the Party in respect of any such request.
- 6.2. A Party shall notify the other Party within 2 (two) Working Days of any request by an individual for rectification or erasure of Shared Information or restriction of processing carried out in respect of the Shared Information in accordance with Article 16 (right to rectification), Article 17(1) (right to erasure) and Article 18 (right of restriction of processing) of the UK GDPR. The other Party shall provide reasonable cooperation and assistance to the Party in respect of any such request.
- 6.3. Any request by an individual made in relation to data held for Law Enforcement Purposes will be dealt with by the Party who is the relevant competent authority in respect of the data. The Party who is the relevant competent authority may determine that the request is not subject to Part 3 of the DPA and the request is to be dealt with in accordance with clauses 6.1 and 6.2 above.
- 6.4. Parties will respond to any notice from the Information Commissioner that imposes requirements to cease or change the way in which data is processed.
- 6.5. Data Subjects have the right to object to processing. How the Data Subject makes such objections shall be detailed in each Party's Privacy Notice. It is the responsibility of all Parties to produce and maintain their own Privacy Notice.

## **7. Information governance**

- 7.1. Before starting any information sharing activity detailed in an Information Sharing Annex, each Party will consider whether or not to carry out a Data Privacy Impact Assessment as required under Data Protection Legislation to minimise any data protection risks of the information sharing being contemplated and to establish that the proposed information sharing complies with the Parties' data protection obligations.
- 7.2. Each Party intending to share data shall be responsible for identifying whether the completion of a Data Privacy Impact Assessment (DPIA) is required, and if it is, will be responsible for completing the DPIA. Each Party will be responsible for considering, adopting and relying upon the Data Privacy Impact Assessment for their own compliance with the Data Protection Legislation.
- 7.3. The Shared Information may not be used by the Parties for any other purposes than those set out in the relevant Information Sharing Annex. If any Party wishes to use the Shared Information for another purpose, that Party will consider the views of all the other Parties as to whether the new purpose is incompatible with the purpose(s) set out under heading 1 of the relevant Information Sharing Annex, whether they need to complete a new DPIA and the Information Sharing Agreement will be updated and signed by all Parties.
- 7.4. In accordance with the principle of data minimisation, each Party shall ensure that only information which is necessary to the purpose set out under heading 2 of the Information Sharing annex will be shared and that only staff for whom it is necessary to access the information for such purpose, have access to the information. No irrelevant or excessive information will be disclosed by one Party to the other Parties.
- 7.5. Where possible and to the extent that it does not conflict with any of the other provisions set out in this ISA, each Party shall ensure that any Personal Data, Sensitive Personal Data and Special Categories of Personal Data and Criminal Conviction Data contained within the Shared Information is anonymised.
- 7.6. In accordance with its own data protection policy, each Party shall implement appropriate technical and organisational measures to maintain the quality and integrity of the Shared Information held by it, having regard to any specific requirements set out under the heading "Additional Information" of the relevant Information Sharing Annex.
- 7.7. Parties will have procedures in place to report misuse, loss, destruction, damage or unauthorised access, suspected or otherwise, of information. The Party originally supplying the information must be notified of any breach of confidentiality or incident involving a risk or breach of the security of information shared under this ISA.
- 7.8. Where possible, the Parties shall ensure that the information is shared using compatible datasets and that any Shared Information is recorded in the same way by each Party.
- 7.9. Each Party shall ensure that the Shared Information is processed securely and, as a minimum, shall adhere to its own internal information security policy and the "security requirements" set out in the relevant Information Sharing Annex.
- 7.10. Parties must ensure that they have appropriate measures in place to ensure the secure storage of all information disclosed under this ISA as follows:
  - (a) Information provided must be held in a lockable storage area, office or cabinet.
  - (b) Electronic files must be protected against illicit internal use or intrusion by external parties through the use of appropriate security measures.



- (c) Any information shared in accordance with this ISA must only be retained for as long as strictly necessary for the purposes of the sharing set out in the relevant Information Sharing Annex. In accordance with their respective retention policies, each Party shall regularly review Shared Information held by it to ensure that retention of the Shared Information is still required for the Purpose; any information that no longer needs to be retained, if requested by the Party providing the information, shall be returned to that Party or, securely deleted, destroyed or erased (including all copies whether paper or electronic).
- (d) All electronic data must be destroyed in an appropriate manner which renders it irretrievable. This could be logically, physically, digitally or magnetically destroyed.
- (e) All paper documents should be immediately strip shredded or incinerated.

- 7.11 Where Parties rely on consent as the condition for processing personal data then withdrawal of consent means that the condition for processing will no longer apply. Withdrawal of consent shall be communicated to the other Party and processing must cease as soon as possible.
- 7.12 This ISA does not give licence for unrestricted access to information the other Party may hold. It sets out the parameters for the safe and secure sharing of information for a justifiable need to know purpose.
- 7.13 No Party shall process or otherwise transfer any of the Shared Information outside of the European Economic Area without the written approval of the original owner of the information (the original owner being the party who collected the information).
- 7.14 It is the responsibility of each Party to ensure that its staff with authorised access to any Personal Data covered by this ISA, are aware of their obligations under the Data Protection Legislation to safeguard that information. Staff must be aware that breach of the controls contained within this ISA could be a matter for internal disciplinary action. It may also provide grounds for a complaint under the Data Protection Legislation against them personally which may result in criminal or civil action.
- 7.15 Parties will not allow access to systems or information of another data controller in contravention of this ISA.
- 7.16 In the event of any information security breach in respect of Shared Information, the Party that is responsible for the security of that particular information will immediately take steps to contain the breach once it has been identified. If that Party decides that the Information Commissioner's Office should be notified of the breach under Article 33(1) UK GDPR, the Party will also notify the other Party as part of that process. Each Party shall provide reasonable cooperation and assistance to the Party in respect of any information security breach.
- 7.17 Once the breach referred to in Clause 7.16 above has been contained, the relevant Party will launch an investigation to establish the reasons behind the breach and will share the outcome of the investigation with the other Parties.

## **8 Review of this ISA**

- 8.1 The Parties shall regularly review the ISA to ascertain whether it is still required. If the ISA is no longer required, the Parties may exercise their rights under Clause 9 to terminate the ISA.
- 8.2 If the information sharing is no longer required, any Party may exercise their rights under Clause 9 to withdraw from this ISA.

- 8.3 This ISA will be reviewed 6 months after the Commencement Date then yearly thereafter.
- 8.4 This review is the joint responsibility of the Parties and should be carried out by the SPoC for each Party.

## **9 Withdrawal or termination from ISA**

- 9.1 If any Party wishes to withdraw from this ISA, it must give at least six (6) weeks' written notice to the other Parties.
- 9.2 The withdrawing Party shall ensure that all Shared Information held by it is reviewed and, where possible, securely deleted without delay. Where it is not possible to securely delete the Shared Information in this way, the withdrawing Party shall retain and securely delete the Shared Information in accordance with its own data retention policy.
- 9.3 The Parties may at any time mutually agree to terminate this ISA on a date to be agreed between the Parties. In such event, all Parties shall ensure that all Shared Information held by it is reviewed and, where possible, securely deleted without delay. Where it is not possible to securely delete the Shared Information on termination of this ISA, each Party shall retain and securely delete the Shared Information in accordance with its own data retention policy.
- 9.4 If a Party finds or reasonably suspects that any other Party may not be complying with this ISA it reserves the right to refuse to provide Shared Personal Data to that other Party whilst resolving any dispute between the Parties in accordance with Clause 13.5 below.
- 9.5 Information quality needs to be of a standard fit for the purpose information is to be used for, be complete, accurate and as up to date as required for the purposes for which it is being shared. Parties must ensure that the Personal Data, Special/Sensitive Personal Data and Criminal Conviction Data that they hold are processed in accordance with DPA principles: this includes ensuring that the Data is accurate, complete and up-to-date and is not kept any longer than is necessary.
- 9.6 Parties undertake that information meets a reasonable quality level for the proposed purposes for which it is being shared and are able to evidence this.
- 9.7 Parties' employees processing information shared under this ISA will be trained to a level that enables them to undertake their duties confidently, efficiently and lawfully. This is an obligation on Parties and responsibility for it cannot be assigned to another organisation, although delivery of training can be with that third party's consent.
- 9.8 Parties may collaborate in the development and delivery of training.
- 9.9 Refresher training shall be undertaken annually, to include a DP update and any necessary system training updates.

## **10 Suspension**

- 10.1 Either Party can suspend this ISA immediately by notice in writing for a period of up to 45 days if it reasonably believes that security has been seriously breached. A notice of suspension must be in writing to all the other Parties and state the reasons for believing there has been a serious breach of the ISA and the period of the suspension. During the period of suspension, a risk assessment will be undertaken and a resolution meeting convened, the panel of which will be made up of the signatories to this ISA or their nominated representative. This meeting will take place within 14 days of the suspension.

## **11 Contact details for key members of staff**

- 11.1 Any notices, communications or complaints in respect of this ISA must be in writing and shall be addressed to the relevant Party's Single Point of Contact.

## **12 Audit**

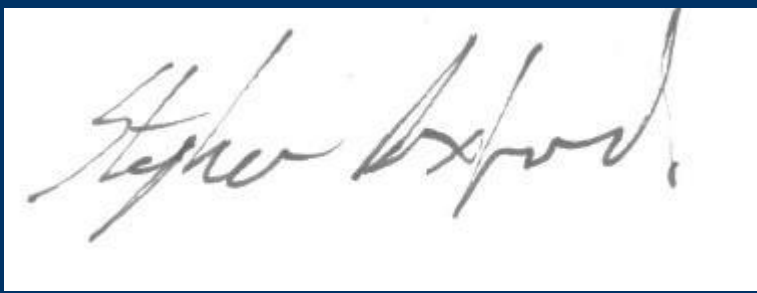
- 12.1 Any Party has the power to audit any other Party to ensure compliance with the provisions of this ISA.
- 12.2 The Party conducting the audit shall:
- provide at least 5 Working Days' notice of its intention to conduct an audit, unless prevented from providing such notice by Law;
  - comply with security, sites and facilities operating procedures applicable to any sites or information being audited;
  - use reasonable endeavours to ensure that the conduct of the audit does not unreasonably disrupt the other Party; and
  - bear its own respective costs and expenses incurred in respect of the audit
- 12.3 The Party who is the subject of the audit shall:
- grant to the Party conducting the audit and their respective authorised agents the right of reasonable access to relevant records, sites and materials and shall provide all reasonable co-operation and assistance; and
  - shall bear their own respective costs and expenses incurred in respect of compliance with its obligations under this clause.

## **13 General**

- 13.1 This ISA shall begin on the Commencement Date and shall continue until terminated in accordance with Clause 9.
- 13.2 No variation to the terms of this ISA shall be effective unless in writing and signed by an authorised signatory of each of the Parties.

- 13.3 Each Party shall take reasonable steps to ensure the reliability of their respective employees, agents or contractors who may have access to the Shared Personal Data, ensuring in each case that access is strictly limited to those individuals who need to know / access the relevant Shared Personal Data, as strictly necessary for the Stated Purpose, and to comply with applicable laws in the context of that individual's duties to the relevant Party, ensuring that all such individuals are subject to confidentiality undertakings and a processing agreement where appropriate.
- 13.4 Nothing under this ISA shall create, or be deemed to create, a partnership or the relationship of employer and employee between the Parties.
- 13.5 In the event that any dispute arises between the Parties in connection with this ISA, the Parties shall, in the first instance, use their reasonable endeavours to resolve it amicably between them. If the dispute is not resolved between each Party's representatives within twenty eight (28) days of the Party raising the dispute gives written notification to the other Party or all the other Parties with whom the Party is in the dispute, the matter shall be referred to a meeting of each Party's relevant senior officers or chief executives for resolution.
- 13.6 Each Party shall remain liable for any losses or liabilities incurred due to their own or their employee's actions and neither Party intends that any other Party shall be liable for any losses or liabilities incurred as a result of the defaulting Party's breach of this ISA.
- 13.7 This ISA is not intended to be legally binding, and no legal obligations or legal rights shall arise between the Parties from this ISA. The Parties enter into the ISA intending to honour all their obligations.

Signed by For and on behalf of <b>NOTTINGHAM CITY COUNCIL</b>	
[INSERT NAME & ROLE]	DATE:

Signed by For and on behalf of <b>CORDIS BRIGHT</b>	
	Stephen Boxford – Director and Head of Research
DATE: 11/07/2022	

### Part C - Information Sharing Annex

**Title of initiative:** Divert Plus Evaluation

#### Particulars of the information sharing initiative

1. Why is the information being shared?
---

See 2. 'Introduction' on page 4 above for a description of the reasons for sharing information

**2. What information is being shared? (Tick as appropriate)**

Personal Data	Special Category Data	Criminal conviction or allegations data
Unique ID ✓	Racial or ethnic origin ✓	<input checked="" type="checkbox"/> If you tick this, also complete Part C3 below:
Data as in the attached Annex 1 ✓	Political opinions	
	Religious or philosophical beliefs	
	Trade union membership	
	genetic	
	biometric	
	health	
	Sex life or sexual orientation	

**3. What is the legal basis for sharing the information (additional to Clause 5 of the ISA)?**

The lawful basis for processing and sharing the information is set out in Clause 5.

In addition, the lawful basis for processing special category data is: (Tick as appropriate)

Explicit consent	Not for profit body	Substantial public interest ✓
Employment social security, social protection	Made public by the data subject	Medicine, Employee capacity, medical diagnosis, health or social care
Vital interests	Legal claims and judicial function	Archiving, research or statistical ✓

If relying on 'Substantial Public Interest' for processing special category data, the condition(s) for doing this are: (Tick as appropriate)

Confirm Appropriate Policy Document in place for:	
Nottingham City Council (Party A)	✓
Cordis Bright	✓

Statutory and Government Purposes	
Administration of justice and parliamentary purposes	

Equality of opportunity or treatment	
Racial and ethnic diversity at senior levels of organisations	
Preventing or detecting unlawful acts	
Protecting the public against dishonesty	
Regulatory requirements relating to unlawful acts and dishonesty	
Journalism, academic purposes, artistic purposes and literary purposes in connection with unlawful acts and dishonesty	
Preventing fraud	
Suspicion of terrorist financing or money laundering	
Support for individuals with a particular disability or medical condition	
Counselling	
Safeguarding of children and individuals at risk	
Safeguarding of economic well-being of certain individuals	
Insurance	
Occupational pensions	
Political parties	
Elected representatives responding to requests	
Disclosure to elected representatives	
Informing elected representatives about prisoners	
Publication of legal judgments	
Anti-doping in sport	
Standards of behaviour in sport	

**The lawful basis for processing criminal conviction and allegation data is:**

S 10(4) and (5) provides all the conditions in Parts 1, 2 and 3 of Schedule 1; 33 conditions in all. Another 10 are provided by virtue of paragraph 36 which allows reliance on all the substantial public interest conditions in Part 2 without the substantial public interest. Another 2 are provided by paragraph 37.

S.10(4) and (5) DPA 2018	Paragraph 36 "... but for an express requirement .. of substantial public interest"	Paragraph 37
Employment social security and social protection	Statutory	Insurance with substantial public interest requirement
Health and Social Care	Preventing and detecting unlawful acts	Insurance without substantial public interest requirement
Public Health	Protecting public against dishonesty	
Research ✓	Investigating regulatory compliance	

Statutory	Journalism	
Justice and parliamentary	Not for profit disability and medical conditions bodies	
Equality	Counselling	
Diversity at senior levels	Safeguarding children and adults at risk ✓	
Preventing or detecting unlawful acts	Safeguarding economic well-being of those at economic risk	
Protecting public from dishonesty	Standards of behaviour in sport	
Investigating regulatory compliance		
Journalism		
Preventing fraud		
Terrorist financing or money laundering		
Not for profit disability or medical body		
Counselling		
Safeguarding children and adults at risk ✓		
Safeguarding economic well-being of those at economic risk		
Occupational pension		
Political parties		
Elected Representatives		
Disclosure to elected representatives		
Informing elected representatives about prisoners		
Publication of legal judgments		
Anti-doping in Sport		
Standards of behaviour in sport		
Consent		
Vital interests		

Not for profit political, philosophical religious or trade union bodies solely for members		
Made public by data subject		
Legal claims		
Judicial acts		

**4. Security Requirements**

Cordis Bright will establish and maintain through their processor, Protective Measures that may be reviewed and approved (by the Council) from time to time to ensure security. Such measures to protect against unauthorised or unlawful processing of Personal Data and against accidental loss or destruction of or damage to Personal Data (such measures having taken into regard the nature of the data to be protected, the state of technological development and the cost of implementation).

**5. Single Point of Contact (SPoC)**

NOTTINGHAM CITY COUNCIL	SONIA BURTON
	SONIA.BURTON@NOTTINGHAMCITY.GOV.UK
CORDIS BRIGHT	STEPHEN BOXFORD
	STEPHENBOXFORD@CORDISBRIGHT.CO.UK

**6. Status of Parties (data controllers, processors)**

NOTTINGHAM CITY COUNCIL	DATA CONTROLLER
CORDIS BRIGHT	DATA CONTROLLER

**Additional Information:**

This Information Sharing Annex must be completed, formally approved and signed by the Parties before any information sharing takes place. The terms that apply to this information sharing are those set out in Part B to the ISA.

Signed for and on behalf of Nottingham City Council

.....

Authorised Signatory

Name:

Position:



Date:

Signed for and on behalf of Cordis Bright

A handwritten signature in black ink, appearing to read "Stephen Boxford". The signature is written in a cursive style with a large, sweeping initial 'S'.

.....

Authorised Signatory

Name: Dr Stephen Boxford

Position: Director and Head of Research

Date: 11/07/2022

**Part C. – The Information Sharing Schedule**

**FOR USE WHERE THE PARTIES ARE SHARING INFORMATION SUBJECT TO PART 3 OF THE DPA 2018 I.E. LAW ENFORCEMENT PURPOSES**

**Title of initiative:** Divert Plus Evaluation

**Particulars of the information sharing initiative**

<p><b>1. Why is the information being shared?</b>                  S.31 DPA 2018 - prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security.</p>																			
<p>See 2. 'Introduction' on page 4 above for a description of the reasons for sharing information.</p>																			
<p><b>2. Who the information relates to?</b>                  S.38(3) DPA 2018                  (a) persons suspected of having committed or being about to commit a criminal offence;                  (b) persons convicted of a criminal offence;                  (c) persons who are or may be victims of a criminal offence;                  (d) witnesses or other persons with information about offences</p>																			
<p>(a) Children suspected of having committed or being about to commit a criminal offence, who have agreed to have their details shared with Cordis Bright as part of the Divert Plus Evaluation.</p>																			
<p><b>3. What information is being shared?</b></p>																			
<table border="1"> <thead> <tr> <th>Personal data</th> <th>Sensitive Processing Data</th> </tr> </thead> <tbody> <tr> <td>Unique ID ✓</td> <td>Racial or ethnic origin ✓</td> </tr> <tr> <td>Data as in the attached Annex 1 ✓</td> <td>Political opinions</td> </tr> <tr> <td></td> <td>Religious or philosophical beliefs</td> </tr> <tr> <td></td> <td>Trade Union membership</td> </tr> <tr> <td></td> <td>Genetic</td> </tr> <tr> <td></td> <td>Biometric</td> </tr> <tr> <td></td> <td>Health</td> </tr> <tr> <td></td> <td>Sex life or sexual orientation</td> </tr> </tbody> </table>		Personal data	Sensitive Processing Data	Unique ID ✓	Racial or ethnic origin ✓	Data as in the attached Annex 1 ✓	Political opinions		Religious or philosophical beliefs		Trade Union membership		Genetic		Biometric		Health		Sex life or sexual orientation
Personal data	Sensitive Processing Data																		
Unique ID ✓	Racial or ethnic origin ✓																		
Data as in the attached Annex 1 ✓	Political opinions																		
	Religious or philosophical beliefs																		
	Trade Union membership																		
	Genetic																		
	Biometric																		
	Health																		
	Sex life or sexual orientation																		
<p><b>4. Basis for processing</b>                  S.35(2) DPA 2018                  (a) the data subject has given consent to the processing for that purpose, or</p>																			

(b) the processing is necessary for the performance of a task carried out for that purpose by a competent authority.

(b) the processing is necessary for the performance of a task carried out for that purpose by a competent authority

**5. Basis for sensitive processing**

S35(5)

(a) the processing is strictly necessary for the law enforcement purpose,

(b) the processing meets at least one of the conditions in Schedule 8, and

(c) at the time when the processing is carried out, the controller has an appropriate policy document in place (see section 42).

Confirm Appropriate Policy Document in place ✓	Consent (of all data subjects)	
	Sharing necessary for law enforcement purpose	Schedule 8 Condition
		<b>Statutory and in the public interest</b>
		Administration of justice
		Vital interests
		Safeguarding children and adults at risk ✓
		Data already in public domain
		Legal claims
		Judicial acts
		Preventing fraud
		Archiving, research or statistical purposes ✓

**6. Security requirements N/a**

Cordis Bright will establish and maintain through their processor, Protective Measures that may be reviewed and approved (by the Council) from time to time to ensure security. Such measures to protect against unauthorised or unlawful processing of Personal Data and against accidental loss or destruction of or damage to Personal Data (such measures having taken into regard the nature of the data to be protected, the state of technological development and the cost of implementation).

**7. The form and process to request information**

N/a.

**8. The form and process to disclose information**

The Council's Youth Justice Service will provide the data set out in Annex 1 to Cordis Bright who are commissioned by Youth Endowment Fund to conduct an evaluation of the project.

<b>9. The status of the Parties (competent authority, processor, joint controller)</b>	
The shared information shall be held by the parties as: Nottingham City Council      Data Controller and Competent Authority Cordis Bright                      Data Controller	
<b>10. Single Point of Contact N/a</b>	
Sonia Burton	Nottingham City Council, Clinical Lead: Trauma Informed Practice sonia.burton@nottinghamcity.gov.uk
Stephen Boxford	Cordis Bright, Director and Head of Research Stephenboxford@cordisbright.co.uk
<b>11. Additional Information N/a</b>	

This Information Sharing Annex must be completed, formally approved and signed by the Parties before any information sharing takes place. The terms that apply to this information sharing are those set out in Part B to the ISA.

Signed for and on behalf of Nottingham City Council

.....

Authorised Signatory

Name:

Position:

Date:

Signed for and on behalf of Cordis Bright

A handwritten signature in black ink, appearing to read "Stephen Boxford". The signature is written in a cursive, flowing style.

.....

Authorised Signatory

Name: Dr Stephen Boxford

Position: Director and Head of Research

Date: 11/07/2022

## Annex 1

For the following, data will be received for the time of the arrest only (i.e. address at time of arrest):

- Personal identifiable/demographic data: address, name of young person, gender, date of birth, ethnicity, postcode live in, unique ID (randomisation number).
- SEND type
- EET status (where available)

For the following, historic data will be received:

- Data on offending (and potentially victimisation) histories
- Data re LAC, CIN and CP status

The following will also be received:

- Activity data: what activities received (mentoring/SALT/RJ/OOCD), how long it was received for (dates started, ended and points in between), and how much of it was received (so a quantitative record of each supportive interaction).
- The strength and difficulties questionnaire (SDQ), to be sent as a scanned copy via secure email.
- Consent forms signed by young people and parents/carers, to be sent as a scanned copy via secure email.
- Randomisation envelopes (including young people's names) – sent via tracked post.

## Appendix G: Information sharing agreement with Nottinghamshire County Council

### Information Sharing Agreement

#### Document Control

<b>Version</b>	<b>0.1</b>
Document owner	Nottinghamshire County Council
Document author	Brendan Jennings, Information Governance Advisor
Document agreed date	
Document distribution	All the Parties listed in Part A below
Next document review date	
Restrictions	

#### PART A. The parties' details

Name of party	<b>NOTTINGHAMSHIRE COUNTY COUNCIL (THE "COUNCIL")</b>
Party's address	COUNTY HALL, LOUGHBOROUGH ROAD, WEST BRIDGFORD, NOTTINGHAM, NG2 7QP

Name of party	<b>CORDIS BRIGHT</b>
Party's address	23-24 SMITHFIELD STREET, LONDON, EC1A 9LF

#### PART B. TERMS

##### 8. Definitions & Interpretation

1.1 In this Information Sharing Agreement (ISA), unless the context requires otherwise, the following terms shall have the following meanings:

“Criminal Conviction Data”	has the meaning given in UK GDPR Art 10, DPA 2018 s.10 and Schedule 1;
“Data Controller”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“Data Protection Legislation”	the Data Protection Act 2018, the UK General Data Protection Regulation, the Regulation of Investigatory Powers Act 2000, The Investigatory Powers Act 2016, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 (SI 2000/2699, as amended by Privacy and Electronic Communications (EC Directive) Regulations 2003/2426), the Electronic Communications Data Protection Directive 2002/58/EC, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner’s Office;
“Data Subject”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“DPA”	the Data Protection Act 2018;
“DPIA”	the Data Privacy Impact Assessment referred to in clause 8.1;
“ISA”	this information sharing agreement comprising Parts A (The parties’ details), B ( Terms) ) and C (Information Sharing Annexes);
“Information Sharing Annex”	means an information sharing annex in the form of template 1 and/or template 2 at Part C to this ISA which details the information sharing activities and the process for sharing information between the Parties;
“Joint Controllers”	under the UK GDPR, Part 1 of the DPA and Part 3 of the DPA means where two or more controllers jointly determine the purposes and means of processing, they shall be joint controllers; under Part 3 of the DPA, the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal



“Law Enforcement Purposes”	penalties, including the safeguarding against and the prevention of threats to public security.
“Parties”	means the organisations set out at Part A (‘The parties’ details)
“Personal Data”	has the meaning given in the Data Protection Act 2018 and the UK GDPR;
“Shared Information”	the information shared in accordance with this ISA and detailed under heading 2 (What information is being shared) of an Information Sharing annex in Part C to this ISA;
“Special Categories of Personal Data”	means the categories of personal data referred to the Data Protection Act 2018 and in Article 9(1) of the UK GDPR;
“Sensitive processing”	processing for Law Enforcement Purposes that involves <ul style="list-style-type: none"> <li>(a) the processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership;</li> <li>(b) the processing of genetic data, or of biometric data, for the purpose of uniquely identifying an individual;</li> <li>(c) the processing of data concerning health;</li> <li>(d) the processing of data concerning an individual’s sex life or sexual orientation</li> </ul>
“Purpose”	the purpose for which the Shared Information will be shared in accordance with this ISA and set out under heading 1 (Why is the information being shared?) of the relevant Information Sharing Schedule in Part C to this ISA.
“UK GDPR”	UK General Data Protection Regulation (EU General Data Protection Regulation 2016/679) as amended by the Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019 and any equivalent legislation amending or replacing the UK GDPR.
“Working Day”	means a day other than a Saturday, Sunday or public holiday in England.
1.2	Unless the context otherwise requires, words in the singular shall include the plural and in the plural shall include the singular.
1.3	Clause, schedule and paragraph headings shall not affect the interpretation of this ISA.
1.4	A reference to a statute or statutory provision shall include all subordinate legislation made from time to time under that statute or statutory provision.



## 9. Introduction

- 9.1. Information is being shared by Nottinghamshire County Council with Cordis Bright to complete an evaluation of the success of the Divert Plus programme. Divert Plus is a Nottingham and Nottinghamshire Violence Reduction Unit (VRU) led collaboration between them, and the City and County Councils, which aims to offer support and advice to young people at a critical moment in their lives when they are most open to change.
- 9.2. This Information Sharing Agreement (“ISA”) sets out the arrangements for sharing information between the Parties to, amongst other things, demonstrate compliance with the Data Protection Legislation. It consists of the Parties to the ISA as identified in Part A, the Terms in this Part B and the completed Information Sharing Annex, in the annex of the relevant template in Part C.
- 9.3. Any additional party who wishes to be part of this information sharing agreement shall complete and submit a data sharing request form, as set out in the relevant template Information Sharing Annex. Each Party must then complete and submit a data sharing decision form, as set out in the relevant template Information Sharing Annex. The consent of every Party is required in order for the additional party to be included into this ISA. The relevant Information Sharing Annex must be completed by the party initiating the new information sharing approved and signed by all Parties before any information sharing takes place.
- 9.4. In the event that a Party withdraws from the ISA (in accordance with clause 10.1) or a new party joins the ISA (in accordance with clause 2.3), an amended and updated version of this ISA must be drafted as soon as practicable and circulated to all Parties for signature and dating.
- 9.5. Electronic exchange - All information transmitted across public networks within the UK or across any networks overseas must be sent by secure email which meets UK central government’s connection standards or be encrypted using appropriate software (e.g. Microsoft 365, Egress Switch, Cryptshare, etc.)
- Passwords must be sent separately to the information exchanged and must provide the correct level of security taking all factors into account, including the nature of the data being shared. Passwords must be changed regularly and the Parties respective password arrangements will include provisions to avoid the use of weak or predictable passwords.
  - Personal exchange of materials for meetings - Information may be hand delivered or taken in hard copy providing it is securely contained within a blue locked bag or similar locked bag or container..

## 10. Purpose of the information sharing

The information is being shared for the purpose set out under heading 1 (“Why is the information being shared”) of the relevant Information Sharing Annex in Part C.

## 11. Information to be shared

The information that may be shared between the Parties under this ISA is listed under ‘**What information is being shared?**’ heading of the relevant Information Sharing Annex.

## 12. Legal Basis for sharing

- 12.1. The lawful basis of processing and information sharing under this ISA is set out in clauses 5.2 and/or 5.3 with additional lawful bases detailed under the ‘**What are the additional legal bases for sharing the information?**’ heading of the relevant Information Sharing Annex in part C.
- 12.2. The Parties are processing personal data for the purposes of carrying out a task in the public interest under Section 8 DPA 2018 and Article 6(1)e UK GDPR.

- 12.3. ICO guidance [\[link\]](#) states that the public task basis can be used by any organisation carrying out a specific task in the public interest, and it is not restricted to public authorities – the focus is on the nature of the function, not the nature of the organisation. On this basis, work carried out by grantees and evaluators as part of the YEF project can be a task carried out in the public interest.
- 12.4. Nottinghamshire County Council will share special category data on the basis of substantial public interest under Article 9(2)(g) UK GDPR, for the purposes of Safeguarding Children and Adults at Risk, based on Schedule 1, Part 1, Paragraph 18 of DPA 2018.
- 12.5. Cordis Bright will process special category data under Article 9(2)(j) of the GDPR – processing necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes.
- 12.6. Processing of criminal offence data meets the requirements in Article 10 of the GDPR if it meets a condition in Part 1, 2 or 3 of Schedule 1 to the DPA. The most appropriate basis is the research condition in paragraph 4 of Part 1 to Schedule 1 of the DPA 2018.
- 12.7. To the extent that the information being shared includes any Personal Data, the Parties shall ensure that the Shared Information is processed in accordance with the Data Protection Legislation.

### **13. Access to data and individuals' rights**

- 13.1. A Party shall contact the other Parties' within 2 (two) Working Days if it receives a subject access request (or purported subject access request) under the Data Protection Act 2018 or a request for access to personal data or information under Article 15 of the UK GDPR and/or a request for information under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004 in relation to the Shared Information. The other Parties shall provide reasonable cooperation and assistance to the Party in respect of any such request.
- 13.2. A Party shall notify the other Parties' within 2 (two) Working Days of any request by an individual for rectification or erasure of Shared Information or restriction of processing carried out in respect of the Shared Information in accordance with Article 16 (right to rectification), Article 17(1) (right to erasure) and Article 18 (right of restriction of processing) of the UK GDPR. The other Parties shall provide reasonable cooperation and assistance to the Party in respect of any such request.
- 13.3. Any request by an individual made in relation to data held for Law Enforcement Purposes will be dealt with by the Party who is the relevant competent authority in respect of the data. The Party who is the relevant competent authority may determine that the request is not subject to Part 3 of the DPA and the request is to be dealt with in accordance with clauses 6.1 and 6.2 above.
- 13.4. Parties will respond to any notice from the Information Commissioner that imposes requirements to cease or change the way in which data is processed.
- 13.5. Data Subjects have the right to object to processing. How the Data Subject makes such objections shall be detailed in each Partner's Privacy Notice. It is the responsibility of all Parties to produce and maintain their own Privacy Notice.

### **14. Information governance**

- 14.1. Before starting any information sharing activity detailed in an Information Sharing Annex, each Party will consider whether or not to carry out a Data Privacy Impact Assessment as required under Data Protection Legislation to minimise any data protection risks of the information sharing being contemplated and to establish that the proposed information sharing complies with the Parties' data protection obligations.
- 14.2. Each Party intending to share data shall be responsible for identifying whether the completion of a Data Privacy Impact Assessment (DPIA) is required, and if it is, will be responsible for completing

- the DPIA. Each Party will be responsible for considering, adopting and relying upon the Data Privacy Impact Assessment for their own compliance with the Data Protection Legislation.
- 14.3. The Shared Information may not be used by the Parties for any other purposes than those set out in the relevant Information Sharing Annex. If any Party wishes to use the Shared Information for another purpose, that Party will consider the views of all the other Parties as to whether the new purpose is incompatible with the purpose(s) set out under heading 1 of the relevant Information Sharing Annex, whether they need to complete a new DPIA and the Information Sharing Agreement will be updated and signed by all Parties.
- 14.4. In accordance with the principle of data minimisation, each Party shall ensure that only information which is necessary to the purpose set out under heading 2 of the Information Sharing annex will be shared and that only staff for whom it is necessary to access the information for such purpose, have access to the information. No irrelevant or excessive information will be disclosed by one Party to the other Parties.
- 14.5. Where possible and to the extent that it does not conflict with any of the other provisions set out in this ISA, each Party shall ensure that any Personal Data, Sensitive Personal Data and Special Categories of Personal Data and Criminal Conviction Data contained within the Shared Information is anonymised.
- 14.6. In accordance with its own data protection policy, each Party shall implement appropriate technical and organisational measures to maintain the quality and integrity of the Shared Information held by it, having regard to any specific requirements set out under the heading "Additional Information" of the relevant Information Sharing Annex.
- 14.7. Parties will have procedures in place to report misuse, loss, destruction, damage or unauthorised access, suspected or otherwise, of information. The Party originally supplying the information must be notified of any breach of confidentiality or incident involving a risk or breach of the security of information shared under this ISA.
- 14.8. Where possible, the Parties shall ensure that the information is shared using compatible datasets and that any Shared Information is recorded in the same way by each Party.
- 14.9. Each Party shall ensure that the Shared Information is processed securely and, as a minimum, shall adhere to its own internal information security policy and the "security requirements" set out in the relevant Information Sharing Annex.
- 14.10. Parties must ensure that they have appropriate measures in place to ensure the secure storage of all information disclosed under this ISA as follows:
- (a) Information provided must be held in a lockable storage area, office or cabinet.
  - (b) Electronic files must be protected against illicit internal use or intrusion by external parties through the use of appropriate security measures.
  - (c) Any information shared in accordance with this ISA must only be retained for as long as strictly necessary for the purposes of the sharing set out in the relevant Information Sharing Annex. In accordance with their respective retention policies, each Party shall regularly review Shared Information held by it to ensure that retention of the Shared Information is still required for the Purpose; any information that no longer needs to be retained, if requested by the Party providing the information, shall be returned to that Party or, securely deleted, destroyed or erased (including all copies whether paper or electronic).
  - (d) All electronic data must be destroyed in an appropriate manner which renders it irretrievable. This could be logically, physically, digitally or magnetically destroyed.
  - (e) All paper documents should be immediately strip shredded or incinerated.

- 7.11 Where Parties rely on consent as the condition for processing personal data then withdrawal of consent means that the condition for processing will no longer apply. Withdrawal of consent shall be communicated to the other Parties and processing must cease as soon as possible.
- 7.12 This ISA does not give licence for unrestricted access to information another Partner may hold. It sets out the parameters for the safe and secure sharing of information for a justifiable need to know purpose.
- 7.18 No Party shall process or otherwise transfer any of the Shared Information outside of the United Kingdom and European Economic Area without the written approval of the original owner of the information (the original owner being the party who collected the information).
- 7.19 It is the responsibility of each Party to ensure that its staff with authorised access to any Personal Data covered by this ISA, are aware of their obligations under the Data Protection Legislation to safeguard that information. Staff must be aware that breach of the controls contained within this ISA could be a matter for internal disciplinary action. It may also provide grounds for a complaint under the Data Protection Legislation against them personally which may result in criminal or civil action.
- 7.20 Parties will not allow access to systems or information of another data controller in contravention of this ISA.
- 7.21 In the event of any information security breach in respect of Shared Information, the Party that is responsible for the security of that particular information will immediately take steps to contain the breach once it has been identified. If that Party decides that the Information Commissioner's Office should be notified of the breach under Article 33(1) UK GDPR, the Party will also notify the other Parties as part of that process. Each Party shall provide reasonable cooperation and assistance to the Party in respect of any information security breach.
- 7.22 Once the breach referred to in Clause 7.16 above has been contained, the relevant Party will launch an investigation to establish the reasons behind the breach and will share the outcome of the investigation with the other Parties it determined are relevant.

## **8 Review of this ISA**

- 9.1 The Parties shall regularly review the ISA to ascertain whether it is still required. If the ISA is no longer required, the Parties may exercise their rights under Clause 10 to terminate the ISA.
- 9.2 If the information sharing is no longer required, any Party may exercise their rights under Clause 10 to withdraw from this ISA.
- 9.3 This ISA will be reviewed 12 months after the Commencement Date then yearly thereafter.
- 9.4 This review is the joint responsibility of the Parties and should be carried out by the SPoC for each Party.

## **10 Withdrawal or termination from ISA**

- 9.10 If any Party wishes to withdraw from this ISA, it must give at least six (6) weeks' written notice to the other Parties.
- 9.11 The withdrawing Party shall ensure that all Shared Information held by it is reviewed and, where possible, securely deleted without delay. Where it is not possible to securely delete the Shared Information in this way, the withdrawing Party shall retain and securely delete the Shared Information in accordance with its own data retention policy.
- 9.12 The Parties may at any time mutually agree to terminate this ISA on a date to be agreed between the Parties. In such event, all Parties shall ensure that all Shared Information held by it is reviewed and, where possible, securely deleted without delay. Where it is not possible to securely delete the Shared Information on termination of this ISA, each Party shall retain and securely delete the Shared Information in accordance with its own data retention policy.

- 9.13 If a Party finds or reasonably suspects that any other Party may not be complying with this ISA it reserves the right to refuse to provide Shared Personal Data to that other Party whilst resolving any dispute between the Parties in accordance with Clause 13.5 below.
- 9.14 Information quality needs to be of a standard fit for the purpose information is to be used for, be complete, accurate and as up to date as required for the purposes for which it is being shared. Parties must ensure that the Personal Data, Special/Sensitive Personal Data and Criminal Conviction Data that they hold are processed in accordance with DPA principles: this includes ensuring that the Data is accurate, complete and up-to-date and is not kept any longer than is necessary.
- 9.15 Parties undertake that information meets a reasonable quality level for the proposed purposes for which it is being shared and are able to evidence this.
- 9.16 Parties' employees processing information shared under this ISA will be trained to a level that enables them to undertake their duties confidently, efficiently and lawfully. This is an obligation on Parties and responsibility for it cannot be assigned to another organisation, although delivery of training can be with that third party's consent.
- 9.17 Parties may collaborate in the development and delivery of training.
- 9.18 Refresher training shall be undertaken annually, to include a DP update and any necessary system training updates.

## **14 Suspension**

- 14.1 Any Partner can suspend this ISA immediately by notice in writing for a period of up to 45 days if it reasonably believes that security has been seriously breached. A notice of suspension must be in writing to all the other Parties and state the reasons for believing there has been a serious breach of the ISA and the period of the suspension. During the period of suspension, a risk assessment will be undertaken and a resolution meeting convened, the panel of which will be made up of the signatories to this ISA or their nominated representative. This meeting will take place within 14 days of the suspension.

## **15 Contact details for key members of staff**

- 15.1 Any notices, communications or complaints in respect of this ISA must be in writing and shall be addressed to the relevant Party's Single Point of Contact.

## **16 Audit**

- 16.1 Any Party has the power to audit any other Party to ensure compliance with the provisions of this ISA.
- 16.2 The Party conducting the audit shall:
- provide at least 5 Working Days' notice of its intention to conduct an audit, unless prevented from providing such notice by Law;
  - comply with security, sites and facilities operating procedures applicable to any sites or information being audited;
  - use reasonable endeavours to ensure that the conduct of the audit does not unreasonably disrupt the other Party; and
  - bear its own respective costs and expenses incurred in respect of the audit
- 12.3 The Party who is the subject of the audit shall:
- grant to the Party conducting the audit and their respective authorised agents the right of reasonable access to relevant records, sites and materials and shall provide all reasonable co-operation and assistance; and

- shall bear their own respective costs and expenses incurred in respect of compliance with its obligations under this clause.

**17 General**

- 17.1 This ISA shall begin on the Commencement Date and shall continue until terminated in accordance with Clause 9.
- 17.2 No variation to the terms of this ISA shall be effective unless in writing and signed by an authorised signatory of each of the Parties.
- 17.3 Each Party shall take reasonable steps to ensure the reliability of their respective employees, agents or contractors who may have access to the Shared Personal Data, ensuring in each case that access is strictly limited to those individuals who need to know / access the relevant Shared Personal Data, as strictly necessary for the Stated Purpose, and to comply with applicable laws in the context of that individual's duties to the relevant Party, ensuring that all such individuals are subject to confidentiality undertakings and a processing agreement where appropriate.
- 17.4 Nothing under this ISA shall create, or be deemed to create, a partnership or the relationship of employer and employee between the Parties.
- 17.5 In the event that any dispute arises between the Parties in connection with this ISA, the Parties shall, in the first instance, use their reasonable endeavours to resolve it amicably between them. If the dispute is not resolved between each Party's representatives within twenty eight (28) days of the Party raising the dispute gives written notification to the other Party or all the other Parties with whom the Party is in the dispute , the matter shall be referred to a meeting of each Party's relevant senior officers or chief executives for resolution.
- 17.6 Each Party shall remain liable for any losses or liabilities incurred due to their own or their employee's actions and neither Party intends that any other Party shall be liable for any losses or liabilities incurred as a result of the defaulting Party's breach of this ISA.
- 17.7 This ISA is not intended to be legally binding, and no legal obligations or legal rights shall arise between the Parties from this ISA. The Parties enter into the ISA intending to honour all their obligations

<b>Signed by</b>	
<b>For and on behalf of NOTTINGHAMSHIRE COUNTY COUNCIL</b>	
Rachel Miller, Group Manager Youth & Families	DATE:

<b>Signed by</b>	
<b>For and on behalf of CORDIS BRIGHT</b>	
<b>Dr Stephen Boxford, Director and Head of Research</b>	<b>DATE: 30/08/22</b>



## Part C - Information Sharing Annex

**[TEMPLATE 1: FOR USE WHERE THE PARTIES ARE SHARING INFORMATION SUBJECT TO THE UK GDPR AND PARTS 1 & 2 OF THE DPA 2018 ]**

**Title of initiative:** Divert Plus Evaluation

### Particulars of the information sharing initiative

7. Why is the information being shared?		
<p>There is limited robust evidence for what works to reduce offending among young people. In particular, the evidence is limited for the long-term effectiveness of interventions that work to reduce offending in young people aged 10-17 at risk of involvement in serious youth violence. There is emerging evidence that programmes that include mentoring approaches may support young people to stay out of crime, but more research is needed in this area.</p> <p>Evaluation of the Divert Plus programme, which involves the offer of mentoring, speech and language therapy, and support with out of court disposals and restorative justice where appropriate, will provide greater understanding of the potential of reaching young people at the 'moment' of arrest in reducing further offending.</p> <p>The evaluation will make a significant contribution to knowledge in understanding both whether randomised control trial approaches are feasible for programmes like Divert Plus, as well as improve understanding of whether reaching young people at the 'moment' of arrest combined with mentoring approaches with access to additional specialist services are an effective approach for engagement and reducing offending for a vulnerable cohort of young people.</p>		
8. What information is being shared? (Tick as appropriate)		
<b>Personal Data</b>	<b>Special Category Data</b>	<b>Criminal conviction or allegations data</b>
Name <input checked="" type="checkbox"/>	Racial or ethnic origin <input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> If you tick this, also complete Part C3 below:
Address <input checked="" type="checkbox"/>	Political opinions	
Date of Birth <input checked="" type="checkbox"/>	Religious or philosophical beliefs	
Gender <input checked="" type="checkbox"/>	Health	

EET Status <input checked="" type="checkbox"/>		
Care Status <input checked="" type="checkbox"/>		
Postcode lived in <input checked="" type="checkbox"/>		
Unique ID (randomisation number) <input checked="" type="checkbox"/>		
SEND type <input checked="" type="checkbox"/>		

9. What is the legal basis for sharing the information (additional to Clause 5 of the ISA)?  
(Tick as appropriate)

The lawful basis for processing and sharing the information is set out in Clause 5.

In addition, the lawful basis for processing special category data is: (Tick as appropriate)

Explicit consent	Not for profit body	Substantial public interest <input checked="" type="checkbox"/>
Employment social security, social protection	Made public by the data subject	Medicine, Employee capacity, medical diagnosis, health or social care
Vital interests	Legal claims and judicial function	Archiving, research or statistical <input checked="" type="checkbox"/>

Please provide an explanation why you are choosing that gateway for processing special category data:

The sharing of data is to allow for an evaluation of a success of the Divert Plus project.

If relying on 'Substantial Public Interest' for processing special category data, the condition(s) for doing this are: (Tick as appropriate)

Confirm Appropriate Policy Document in place for:	
Nottingham County Council (Party A)	<input checked="" type="checkbox"/>
Cordis Bright	<input checked="" type="checkbox"/>

Statutory and Government Purposes	
Administration of justice and parliamentary purposes	
Equality of opportunity or treatment	
Racial and ethnic diversity at senior levels of organisations	
Preventing or detecting unlawful acts	
Protecting the public against dishonesty	
Regulatory requirements relating to unlawful acts and dishonesty	

Journalism, academic purposes, artistic purposes and literary purposes in connection with unlawful acts and dishonesty	
Preventing fraud	
Suspicion of terrorist financing or money laundering	
Support for individuals with a particular disability or medical condition	
Counselling	
Safeguarding of children and individuals at risk	✓
Safeguarding of economic well-being of certain individuals	
Insurance	
Occupational pensions	
Political parties	
Elected representatives responding to requests	
Disclosure to elected representatives	
Informing elected representatives about prisoners	
Publication of legal judgments	
Anti-doping in sport	
Standards of behaviour in sport	

**The lawful basis for processing criminal conviction and allegation data is:**

S 10(4) and (5) provides all the conditions in Parts 1, 2 and 3 of Schedule 1; 33 conditions in all. Another 10 are provided by virtue of paragraph 36 which allows reliance on all the substantial public interest conditions in Part 2 without the substantial public interest. Another 2 are provided by paragraph 37.

S.10(4) and (5) DPA 2018	Paragraph 36 "... but for an express requirement .. of substantial public interest"	Paragraph 37
Employment social security and social protection	Statutory	Insurance with substantial public interest requirement
Health and Social Care	Preventing and detecting unlawful acts	Insurance without substantial public interest requirement
Public Health	Protecting public against dishonesty	
Research <input checked="" type="checkbox"/>	Investigating regulatory compliance	
Statutory	Journalism	
Justice and parliamentary	Not for profit disability and medical conditions bodies	
Equality	Counselling	
Diversity at senior levels	Safeguarding children and adults at risk <input checked="" type="checkbox"/>	

Preventing or detecting unlawful acts	Safeguarding economic well-being of those at economic risk	
Protecting public from dishonesty	Standards of behaviour in sport	
Investigating regulatory compliance		
Journalism		
Preventing fraud		
Terrorist financing or money laundering		
Not for profit disability or medical body		
Counselling		
Safeguarding children and adults at risk <input checked="" type="checkbox"/>		
Safeguarding economic well-being of those at economic risk		
Occupational pension		
Political parties		
Elected Representatives		
Disclosure to elected representatives		
Informing elected representatives about prisoners		
Publication of legal judgments		
Anti-doping in Sport		
Standards of behaviour in sport		
Consent		
Vital interests		
Not for profit political, philosophical religious or trade union bodies solely for members		
Made public by data subject		
Legal claims		
Judicial acts		

<b>10. Security Requirements</b>		
Parties will have in place and maintain, Protective Measures that may be reviewed and approved (by either Party) from time to time to ensure security. Such measures to protect against unauthorised or unlawful processing of Personal Data and against accidental loss or destruction of or damage to Personal Data (such measures having taken into regard the nature of the data to be protected, the state of technological development and the cost of implementation).		
<b>11. Single Point of Contact (SPoC)</b>		
NOTTINGHAM COUNTY COUNCIL Shareen Bashir, <a href="mailto:shareen.bashir@nottscc.gov.uk">shareen.bashir@nottscc.gov.uk</a> CORDIS BRIGHT Stephen Boxford, <a href="mailto:stephenboxford@cordisbright.co.uk">stephenboxford@cordisbright.co.uk</a>		
<b>12. Status of Parties (joint controllers, processors)</b>		
NOTTINGHAM COUNTY COUNCIL DATA CONTROLLER CORDIS BRIGHT DATA CONTROLLER		
Additional Information:		

This Information Sharing Annex must be completed, formally approved and signed by the Parties before any information sharing takes place. The terms that apply to this information sharing are those set out in Part B to the ISA.

Signed for and on behalf of

Nottinghamshire County Council

.....

Authorised Signatory

Name:

Position:

Date:

Signed for and on behalf of

Cordis Bright



.....  
Authorised Signatory

Name: Dr Stephen Boxford

Position: Director and Head of Research

Date: 30/08/2022

Annex 1

For the following, data will be received for the time of the arrest only (i.e. address at time of arrest):

- Personal identifiable/demographic data: address, name of young person, gender, date of birth, ethnicity, postcode live in, unique ID (randomisation number).
- SEND type
- EET status (where available)

For the following, historic data will be received:

- Data on offending (and potentially victimisation) histories
- Data re LAC, CIN and CP status

The following will also be received:

- Activity data: what activities received (mentoring/SALT/RJ/OOCD), how long it was received for (dates started, ended and points in between), and how much of it was received (so a quantitative record of each supportive interaction).
- The strength and difficulties questionnaire (SDQ), to be sent as a scanned copy via secure email.
- Consent forms signed by young people and parents/carers, to be sent as a scanned copy via secure email.
- Randomisation envelopes (including young people's names) – sent via tracked post.

