

# DPS Schedule 6 (Order Form Template and Order Schedules)

## Order Form

ORDER REFERENCE: **C247763**

THE BUYER: The Secretary of State for Health and Social Care of acting as part of the Crown

BUYER ADDRESS 39 Victoria Street, London, SW1 0EU

THE SUPPLIER: Ipsos (market research) Limited (trading as Ipsos UK)

SUPPLIER ADDRESS: 3 Thomas More Square, London, E1W 1YW

REGISTRATION NUMBER: 948470

DUNS NUMBER: 227257185

DPS SUPPLIER REGISTRATION SERVICE ID: Unknown

### APPLICABLE DPS CONTRACT

This Order Form is for the provision of the Deliverables and dated 14/02/2024

It's issued under the DPS Contract with the reference number C247763 for the provision of Accelerating Reform – Evaluation Partner

### ORDER INCORPORATED TERMS

The following documents are incorporated into this Order Contract. Where numbers are missing we are not using those schedules. If the documents conflict, the following order of precedence applies:

1. This Order Form including the Order Special Terms and Order Special Schedules.
2. Joint Schedule 1(Definitions and Interpretation) RM6126
3. DPS Special Terms
4. The following Schedules in equal order of precedence:

- Joint Schedules for **RM6126**
  - Joint Schedule 2 (Variation Form)
  - Joint Schedule 3 (Insurance Requirements)
  - Joint Schedule 11 (Processing Data)
- Order Schedules for C247763
  - Order Schedule 5 (Pricing Details)
  - Order Schedule 9 (Security)
  - Order Schedule 20 (Order Specification)

5. CCS Core Terms (DPS version) v1.0.3
6. Joint Schedule 5 (Corporate Social Responsibility) **RM6126**
7. Order Schedule 4 (Order Tender) as long as any parts of the Order Tender that offer a better commercial position for the Buyer (as decided by the Buyer) take precedence over the documents above.

No other Supplier terms are part of the Order Contract. That includes any terms written on the back of, added to this Order Form, or presented at the time of delivery.

#### ORDER SPECIAL TERMS

The following Special Terms are incorporated into this Order Contract:

Special Term 1 - Prior to publishing any deliverables from this research, prior approval must be sought from the Supplier to ensure compliance with their obligations under ESOMAR and the Market Research Society Code of Conduct

ORDER START DATE:

ORDER EXPIRY DATE:

ORDER INITIAL PERIOD:

#### DELIVERABLES

See details in Order Schedule 20 (Order Specification).

#### MAXIMUM LIABILITY

The limitation of liability for this Order Contract is stated in Clause 11.2 of the Core Terms.

The Estimated Year 1 Charges used to calculate liability in the first Contract Year is

#### ORDER CHARGES

See details in Order Schedule 5 (Pricing Details)]

#### REIMBURSABLE EXPENSES

None

#### PAYMENT METHOD

Via BACS within 30 days of receiving a valid invoice

BUYER'S INVOICE ADDRESS:

BUYER'S AUTHORISED REPRESENTATIVE

BUYER'S ENVIRONMENTAL POLICY

**N/A**

BUYER'S SECURITY POLICY

**N/A**

## SUPPLIER'S AUTHORISED REPRESENTATIVE

[REDACTED]

## SUPPLIER'S CONTRACT MANAGER

[REDACTED]

[REDACTED]

[REDACTED]

## PROGRESS REPORT FREQUENCY

As outlined in Order Schedule 20 (Order Specification)

## PROGRESS MEETING FREQUENCY

As outlined in Order Schedule 20 (Order Specification)

## KEY STAFF

[REDACTED] n

## KEY SUBCONTRACTOR(S)

[REDACTED]

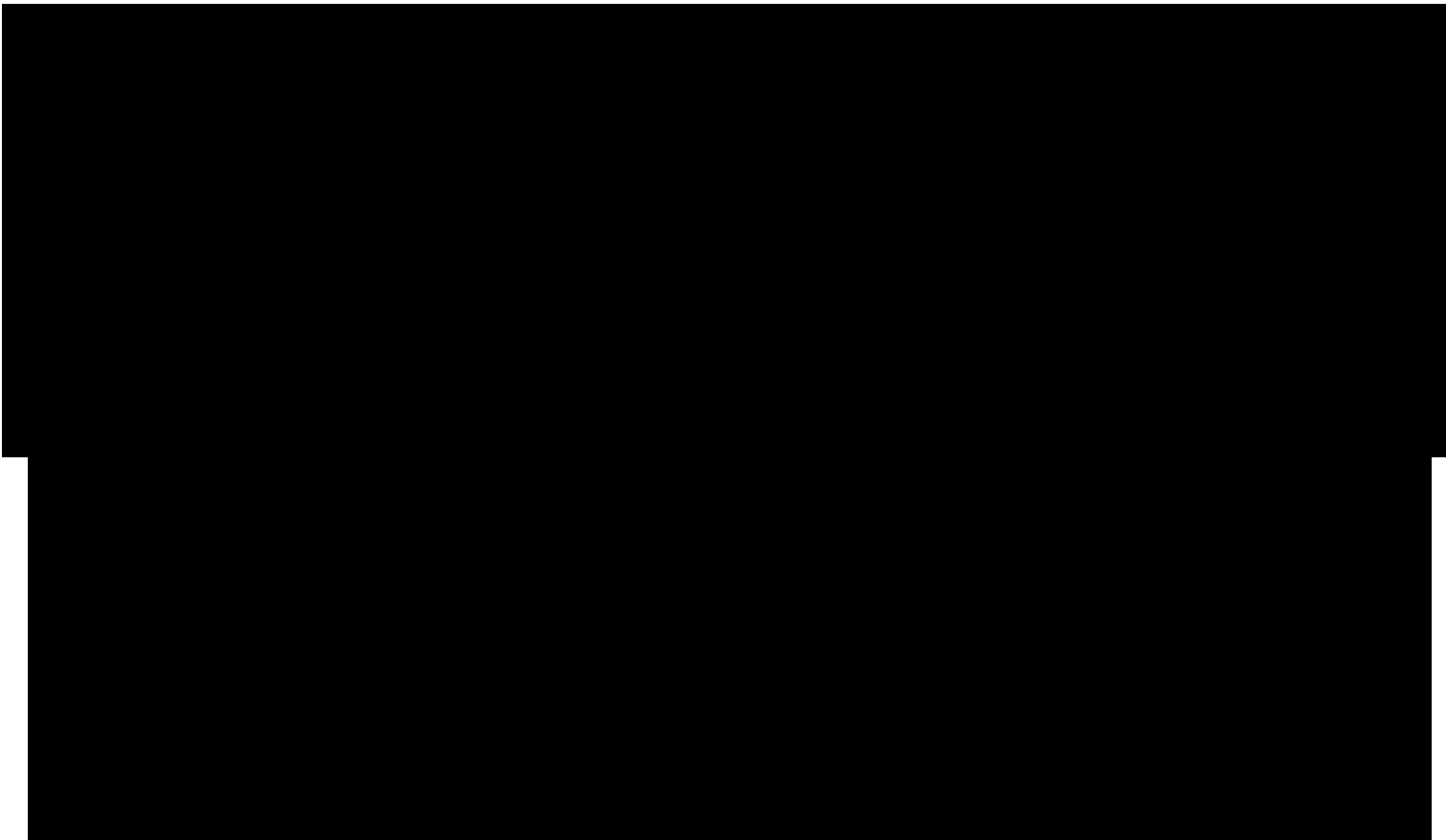
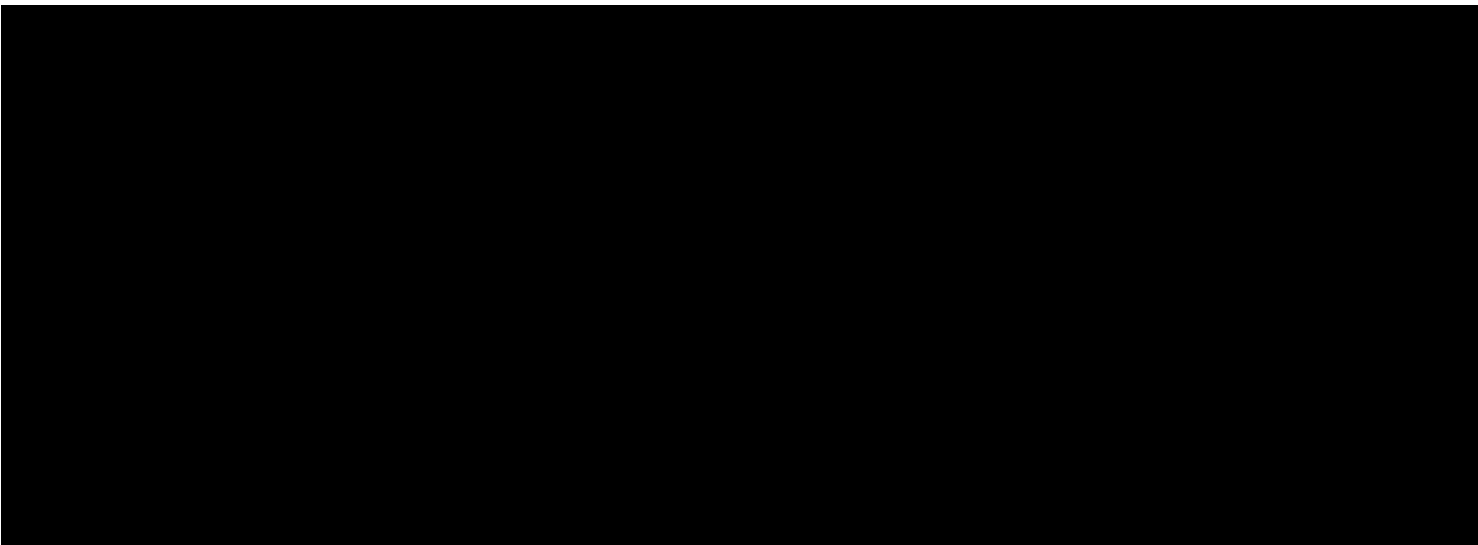
[REDACTED]

## E-AUCTIONS

Not applicable

## COMMERCIALLY SENSITIVE INFORMATION

[REDACTED]



SERVICE CREDITS

Not applicable

ADDITIONAL INSURANCES

Not applicable

GUARANTEE

Not applicable

Type text here

SOCIAL VALUE COMMITMENT

The Supplier agrees, in providing the Deliverables and performing its obligations under the Order Contract, that it will comply with the social value commitments in Order Schedule 4 (Order Tender)]



# Order Schedule 4 (Order Tender)

## AQ1 – Overview

We are delighted to submit this proposal for the evaluation of the Accelerating Reform Fund programme.

The slow adoption of innovations in health and social care is well evidenced, and means outcomes for staff, team and health and care systems are not optimised. Technology has the potential to enhance care experience and accessibility, as seen during the pandemic with remote monitoring in social care. Staff attitudes, resource scarcity, and skill gaps are among the barriers to wider adoption of innovation.

The Innovation and Improvement Unit aims to overcome these challenges through the Accelerating Reform Fund (ARF), focusing on personalised care, supporting unpaid carers, and addressing local needs.

Our evaluation design reflects the varied nature and national scale of the ARF. It will: be theory-driven, underpinned by a theory of innovation adoption in adult social care; include a detailed process evaluation balance the need for a programme-level assessment of impact with system-level depth. A mixed-method approach will be used, drawing on the team's experience in the adult social care sector.

Our approach reflects the staging and methods suggested in the tender, offering extra support to ARF consortia and DHSC in key areas. The evaluation will be conducted in three phases, with each phase involving various data collection and analysis activities.

**Phase 1 (Scoping and Evaluation Design)** will involve inception meetings, stakeholder interviews, and a review of programme documents to gain an understanding of the program's objectives, context, and challenges. Two Theory of Change (ToC) evaluation design workshops will be held to capture the underpinning theory for the ARF and develop an evaluation framework and research tools.

**Phase 2 (Data Collection and Analysis)** will consist of three waves of online surveying targeted at the consortia receiving ARF funding, exploring experiences of accessing and engaging with the Fund, plans to implement innovations, and a summative assessment of the Fund processes. Three waves of interviews with consortia and SCIE representatives will also be conducted, focusing on process evaluation and emerging impacts.

**Phase 3 (Case Study Data Collection and Analysis)** will involve 72 case study-led interviews with stakeholders from at least 12 projects across England, highlighting in-depth project-based examples of successful implication of local innovations.

Ongoing support will be provided to consortia in developing their plans to collect evidence through webinars and one-on-one support sessions.

The evaluation will culminate in two final reports: one detailing the findings from the process evaluation and one summarising cross-system findings related to emerging impacts alongside local impact assessments at a system level. Case study pen portraits of 12 local projects will be drafted. Two presentations of findings will take place, followed by the delivery of the final reports in June 2025.

The project will be conducted to high quality standards throughout the design, implementation and reporting. We will work closely with DHSC throughout the evaluation and keep you informed through regular meetings and reporting. We will agree a project plan, timetable and reporting plan to enable you to plan for sign-off of deliverables, ensuring that the research meets requirements.

# AQ2 – Method Statement and Methodology

## Policy context

The failure to adopt innovations in health and social care is long-standing, complex challenge, limiting potential improvements in care and outcomes for people. Technology can be a catalyst for improved experience and accessibility of care (e.g., the prominent role of remote monitoring in social care during the pandemic), yet widescale uptake remains limited. There is much academic and service-based knowledge setting out the reasons for this. The NASSS framework<sup>1</sup> theorises that staff time and attitudes, lack of resource and skill to make the 'value proposition' for innovation are particular barriers in health and care. The figure in the attached document summarises some enablers and barriers of technology adoption in social care, based on previous [Ipsos research](#).

The new Innovation and Improvement Unit aims to address these barriers through the Accelerating Reform Fund (ARF), enabling local places to embed and scale innovations in personalised care, supporting unpaid carers and responding to the rising needs of local populations.

## Overall approach and justification

Our approach to the evaluation reflects the programme design. ARF's success depends on effective local collaboration, implying that our evaluation design will:

- Be theory-driven (as per Magenta Book) providing the framework for the process and outcomes evaluation. It also reflects the absence of a natural comparison group (given the ARF is available to all LAs).
- Be underpinned by a theory for how innovation adoption happens (or doesn't) in adult social care (the NASSS framework cited is one possibility).
- Include a detailed process evaluation, gathering learning on programme design and delivery; through interim reports, these findings will be formative, influencing DHSC and SCIE delivery.
- Balance the need for a programme-level assessment of impact (important for HMG stakeholders) in a highly varied set of priorities, with local, system-level depth. The evaluation framework design will balance these requirements, potentially through establishing typologies of ARF investment.

A mixed-method approach is necessary; multiple sources of data are needed to form strong conclusions. This plays to our team's deep experience of research with participants in the ASC sector (maximising response rates, robust sampling frames and high-quality interviews). It will be crucial to manage research participant burden, scheduling the fieldwork to align with programme activities (e.g., delivery of SCIE support) or timed around funding distribution.

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<sup>1</sup> The non-adoption, abandonment, scale-up, spread, and sustainability framework ([NASSS](#))

## Alignment of method to research questions

| Method step ·   | Research question area<br>→ | A | B | C |
|---|-----------------------------|---|---|---|
| Six scoping interviews with programme stakeholders and review of programme documents                        |                             | ✓ | ✓ |   |
| Three waves of 8 qualitative interviews with consortia reps   |                             | ✓ | ✓ |   |
| Three survey waves of consortia leads and partners  |                             | ✓ | ✓ |   |
| Three rounds of case studies (24 interviews each) with reps from projects across the 12 national priorities |                             | ✓ | ✓ | ✓ |
| Synthesis of impact assessments (with support offered to improve these)                                     |                             |   |   | ✓ |

## Methodology

### Phase 1: Scoping and evaluation design phase

An inception meeting w/c 19<sup>th</sup> February will provide clarity and background on the Fund and evaluation, and the governance and management of the work. We will clarify the key stakeholders and members of the evaluation working group.

To broaden our initial understanding of the Fund, progress, local contexts, and pressures on systems that may be acting as barrier to scaling innovation, we will:

- Interview six programme stakeholder interviews (DHSC policymakers, programme leads and the SCIE team) to understand the case for the ARF, its design and early insights from the supported systems;
- Review programme documents (business cases, management information, and funding applications if possible).

We will hold two Theory of Change (ToC) evaluation design workshops. First, at the national/programme level we will capture the underpinning theory for the ARF in a workshop and follow- up draft; then, with a sample of representatives from local systems (consortia leads, Directors of ASC) receiving the Fund to understand plans for local impact assessments.

We will consult our academic adviser and review the relevant literature to inform the ToC. After the workshops, we will produce a finalised ToC, evaluation framework and research tools (survey questionnaire and topic guide for the first wave of fieldwork, and sampling approaches for fieldwork). These will be included in the first deliverable - an evaluation design report (**April 2024**) We will also produce guidance and hold a webinar to support systems/LAs with local impact assessments.

We will update research tools twice between fieldwork waves, in coordination with the evaluation working group:



- August 2024: updated survey questionnaire and interview topic guides before the second wave of fieldwork, focusing on process evaluation objectives as the Fund's offer and support develops, and a light-touch assessment of emerging outcomes.
- February 2025: updated survey questionnaire and interview topic guides before the third wave of fieldwork focusing on the final relevant process evaluation elements, alongside introducing more impact-focussed questions.

We develop research tools at each phase start so that learning to date can be incorporated (rather than developing all tools at scoping).

## Phase 2A: Surveying of consortia

We will conduct three waves of online surveying targeted at the consortia which have applied for ARF funding:

- First survey (**May 2024 to June 2024**): focused on the process evaluation objectives, with questions exploring experiences of accessing and engaging with the Fund and SCIE support offer, alongside plans to implement innovative ways of delivering and improving services.
- Second survey (**September 2024 to October 2024**): remains process-focused, but this time focussed on the receipt of the first payment, the reporting process and the SCIE support offer.
- Third survey (**February 2025 to March 2025**): focussed on a summative assessment of the Fund processes, including a final assessment of the support package. We will include impact- focussed questions, asking sites to identify which innovative approaches are associated with positive outcomes, the mechanisms required for successful implementation and how they were embedded for maximum impact.

The lead representative within each consortium will receive the survey link. Surveys will ensure that multiple responses can be obtained from each consortium, enabling the lead to share invitations with partners (including ICSs, LAs, NHS/ASC providers, VCSE). Surveys will ensure that responses from each consortium can be linked, and that role and organisation type of respondents are identified for analysis. This allows a deeper understanding of the Fund than one response per consortium. It will consist primarily of multiple-choice questions (5 to 10) with around five open-ended questions, taking no more than 15 minutes to complete. We expect contact details to be provided by DHSC and/or SCIE. Based on our experience of surveying this group, we expect to achieve up to 100 responses to each wave from across the consortia receiving the Fund. Surveys will be open for 5-6 weeks depending on response rates.

## Phase 2B: Interviews with consortia and SCIE

We will conduct three interview waves with representatives from consortia and SCIE, allowing an in- depth exploration of the most salient issues:

- 12 interviews (**June 2024 to July 2024**) focussed on process evaluation, exploring experiences of accessing and engaging with the Fund and SCIE support offer, alongside plans to implement and deliver innovative ways of delivering and improving services.
- 12 interviews (**October 2024 to November 2024**) focussed on process evaluation, exploring the receipt of the first payment, the reporting process and the SCIE support offer delivered by that point.
- 12 interviews (**March 2025 to April 2025**) focussed on process evaluation and emerging impacts at a programme level, including which innovative approaches are associated with

positive outcomes, the mechanisms which were required for successful implementation and how they were embedded for maximum impact.

Interviews will be conducted on MTeams, taking 60-90 minutes. Initial contacts will be provided by DHSC and/or SCIE, which we will use to recruit additional contacts for Waves 2 and 3 of fieldwork. Interviews will use the pre-agreed guides but also allow for open discussion. Sample is likely to be based on activities being undertaken, size of grant, and geography.

There will be a longitudinal element to these interviews. We expect around one third of interviews to be with the same stakeholders as in Wave 1, to explore perceptions changing over time as the Fund's support offer develops.

### Phase 3: Case study interviews

We will conduct 72 case study-led interviews over the course of the evaluation, with stakeholders from at least 12 projects from across England who are in receipt of the Fund. These will include representatives from a range of projects across the 12 national priorities (including those specifically to support unpaid carers) and different ICS regions. People with care needs and carers will be included (around one third of the interviews). With six interviews per case study, we will build a rounded picture of local activity.

Case studies will highlight in-depth project-based examples of what enables or hinders successful implication of local innovations. A sampling framework for these case studies will be agreed with the evaluation working group as part of the evaluation design process. We expect it to account for the variety of innovations funded, and local contextual factors. Participants will be recruited via responses to the survey waves, centrally held contacts from DHSC and/or SCIE and coordination with local consortia representatives. A separate topic guide will be used and updated periodically for these interviews.

It is desirable that some case study interviews are longitudinal, to explore ongoing process evaluation themes and in the latter stages, emerging impacts locally – this will be explored in scoping. Timing of case study work will also be finalised in scoping, once we understand burden on sites, and programme timing further.

### Local impact assessments

#### *Ongoing support*

Between **June 2024 and July 2024**, and between **October and November 2024**, we will deliver two webinars to leads of local impact assessments within each consortia offering practical advice on demonstrating impact. We will provide further support to consortia in developing their plans to collect evidence through the offer of one on one, 1.5-hour MS Teams sessions (costing for up to 20 of these). This could include support to develop localised ToCs or setting outcome metrics. The support will dovetail with webinars.

#### *Final collation and synthesis of impact assessments*

Before the final reporting stages We will collate, review and synthesise all finalised local impact assessments once they have been submitted by consortia. This will feed into a final report summarising key findings from across local systems.

## Reporting

### *First interim report*

We will conduct a thematic analysis of survey and qualitative interview data from the first wave of fieldwork. Interim findings will be presented **in July 2024** to the evaluation working group and a wider pool of consortia representatives via webinar. The first interim report will be produced by end of **July 2024**, with summarised findings on the first stages of the funding process.

### *Second interim report*

We will conduct a thematic analysis of survey and qualitative interview data from the second wave of fieldwork. Wave 2 interim findings will be presented **in January 2025** to the evaluation working group and to a wider pool on consortia representatives via a webinar. The second interim report will be produced by end of **January 2024**, with summarised findings on process evaluation objectives (described above), alongside a progress report on local impact assessments.

### *Final reports*

Final analysis will include full triangulation of findings against the research questions, ToC and evaluation framework. Findings will be structured around the research questions providing a final evaluative assessment of the Fund, providing lessons learned for future policy decisions around scaling innovation.

Two final reports will be collated:

- One final 'process evaluation of the Fund' research report detailing the findings from the process evaluation.
- One final 'impact evaluation – local assessments' research report detailing summarised cross- system findings related to emerging impacts alongside local impact assessments at an individual system level.

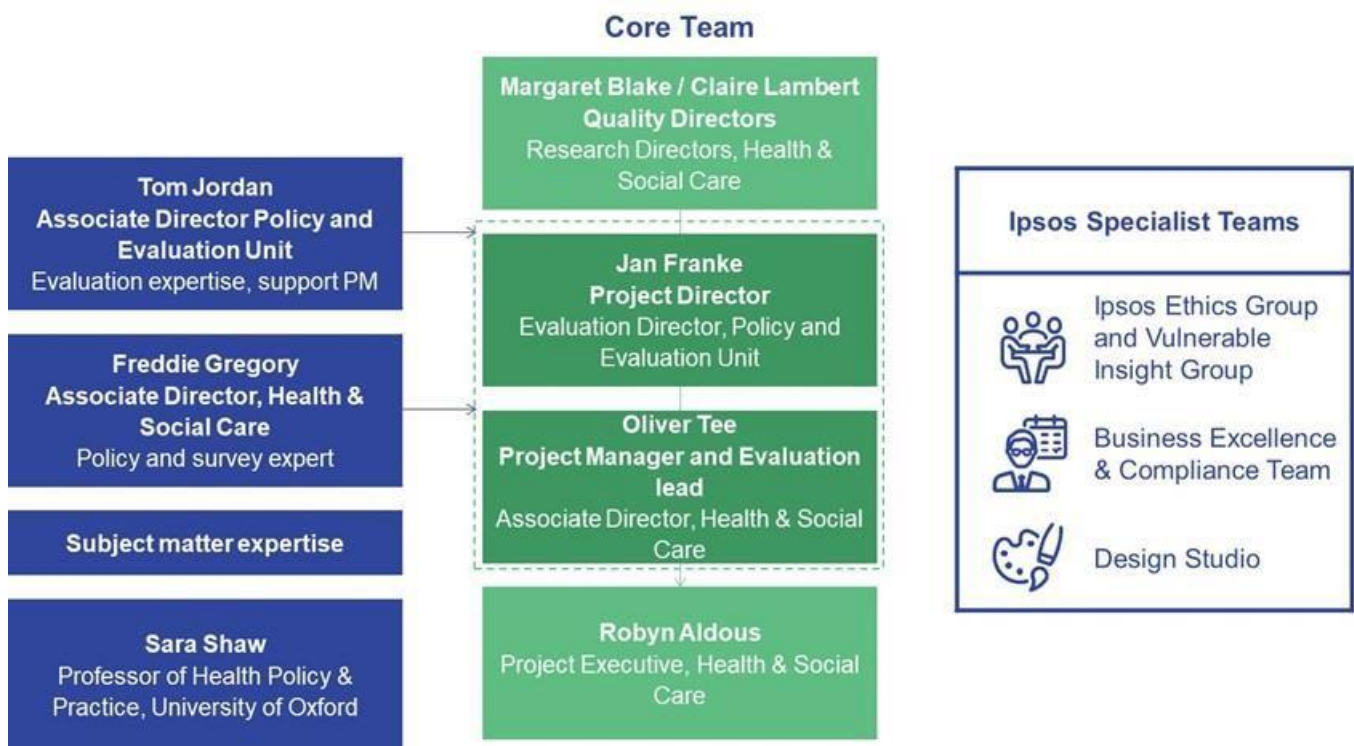
Case study pen portraits of 12 local projects will also be drafted. Two presentations of findings will take place by **in June 2025**: to the evaluation working group and then, after initial feedback, to a wider forum of policy stakeholders, sector representatives and local system representatives who have received the Fund and been involved in the evaluation. The final reports will be delivered by **30<sup>th</sup> June 2025**.

# AQ3 – Project Plan Timetable and Resourcing

## Team overview

This complex study requires a team with proven experience designing and delivering public-facing evaluations using mixed method approaches, tested approaches to working with local authorities and healthcare partners, and deep understanding of adult social care policy.

An overview of the team is presented in the organogram below. Biographies are included in AQ5. We can provide further details about roles or full CVs.



## Roles and responsibilities

Team members have clear roles and responsibilities with senior accountability and a strong focus on risk management. Evaluators within the health and social care team will lead the evaluation. **Jan Franke** (Evaluation Director) will be the **Project Director**, working alongside **Oliver Tee** (Associate Director) who will be the **Project Manager** (with support from Tom Jordan, Associate Director). Together, they will ensure the required oversight is provided.

- Jan will lead on the overall evaluation design, ensuring the necessary resources are available, providing review of all documents before they are sent to you, ensuring you only see high- quality drafts.
- Oliver will be your day-to-day contact. He will drive the study forward, ensuring that delivery is to time and keep you updated on progress.

Given the complexity and high-profile nature of this evaluation, Jan will be supported by **Margaret Blake** (Research Director), who lead the data collection strands (with a focus on delivering a high-quality survey). Claire Lambert will support this role, bringing knowledge of several recent research projects on ASC policy.

**Tom Jordan** (Associate Director) will work with Oliver on the delivery of the study. Freddie Gregory (Associate Director) will contribute his learning from recent social care research studies (including for DHSC).

We will draw on academic advice from **Sara Shaw, Professor of Health Policy & Practice** at the University of Oxford, who will ensure the findings are contextualised in the wider knowledge base.

## Project management to maximise outcomes and efficiencies

To meet the timings for this project, and deliver your objectives, the highest standards of quality and project management are needed. Our approach includes:

- **Inception meeting:** To agree objectives and approach.
- **Weekly internal project management meetings:** To assess progress, address issues that arise and allocate tasks to team members.
- **Fortnightly contract meetings with DHSC:** Teams meeting checking progress against the agreed milestones; traffic-light alerts will flag actions where input from you is required. We will exchange written updates in support of calls.
- **Risk register:** The risk register (below) is owned by the Project Director and will remain under review. The Project Manager will ensure an updated version is shared in advance of each fortnightly contract meeting.
- **A detailed and 'live' timetable:** This will show when key documents (research tools and outputs) will be provided to you for review and sign off and enable the monitoring of project progress against the agreed timetable and contract KPIs. Review periods are built in.
- **A structured core project team:** Our team is experienced, with dedicated time to the project (see resourcing plan). Each team member has a clearly defined job role, and definite time commitments. The proposed project team is drawn from a wider team of 90 researchers and evaluators so if anyone is unexpectedly unavailable there is cover for the role.
- **A systematic approach and quality assurance process:** This includes a clear plan of activities and timelines, documented processes for internal sign-offs, and internal project management meetings. All materials will be signed off by Jan Franke, Oliver Tee, and Margaret Blake/Claire Lambert. Sign off is captured electronically as part of our standard procedures.
- **Company credentials:** We have robust quality assurance processes and accreditations. This system ensures our work is compliant with the Data Protection Act and GDPR.

## Working with the DHSC and SCIE

Given the collaborative efforts of the DHSC and SCIE to administer the Fund and support delivery, we must develop an effective and collaborative working relationship with both organisations. We have **existing relationships** with both the DHSC and SCIE (see projects in AQ5).

Working closely will garner several benefits:

- **Achieve buy in and investment in evaluation findings:** Ensuring key stakeholders from both organisations are bought into our approach from the outset will help build strong relationships. We will achieve this through our initial consultations during evaluation scoping;
- **Effective sampling of consortia:** Both DHSC and SCIE will hold the knowledge and contacts required to enable qualitative stakeholder sampling. Strong working relationships will help us identify the relevant stakeholders at the consortia level;
- **Designing effective interview and survey materials:** We will build in sufficient time to ensure DHSC and SCIE are able to share feedback on these materials.

## Resourcing

| Team member (and job title)   | Role in project                           | No. of days | Responsibilities  |
|---|---|-------------|---|
| <b>Core team</b>  |   |             |   |
| <b>Jan Franke (Evaluation Director)</b>   | Project Director                          | 31          | <ul style="list-style-type: none"> <li>Steering evaluation, analysis and recommendation development.</li> <li>Ensuring study meets Magenta, Green and Aqua Book standards.</li> <li>Alongside Margaret/Claire, will have ultimate responsibility for quality assurance, signing off the design and deliverables.</li> <li>Leading impact assessment support.</li> </ul> |
| <b>Dr Margaret Blake/ Claire Lambert (Research Directors)</b>                         | Quality Director(s)                       | 20+12       | <ul style="list-style-type: none"> <li>Quality assurance of research methods and analysis (to GSR standards).</li> <li>Sign off research materials and outputs</li> </ul>   |
| <b>Oliver Tee (Associate Director) – supported by Tom Jordan (Associate Director)</b> | Project Manager and Evaluation Lead       | 81+39       | <ul style="list-style-type: none"> <li>DHSC's main day-to-day contact</li> <li>Responsible for ensuring smooth day-to-day project running.</li> <li>Drafting materials and deliverables, lead on fieldwork, impact assessment support</li> <li>Undertake fieldwork.</li> </ul>  |
| <b>Joanna Scott (Senior consultant)</b>   | Evaluation support                        | 89          | <ul style="list-style-type: none"> <li>Support with evaluation design, impact assessment support, case studies and reporting</li> </ul>   |
| <b>Robyn Aldous, (Senior Research Executive)</b>                                      | Project executive                         | 69          | <ul style="list-style-type: none"> <li>Support in delivery and day-to-day project running.</li> <li>Assistance in drafting materials and outputs, management of fieldwork.</li> <li>Undertake qualitative fieldwork.</li> <li>Administrative support</li> </ul>   |
| <b>Freddie Gregory (Associate Director)</b>   | Policy and survey expert                  | 2           | <ul style="list-style-type: none"> <li>Methodological expert for survey design.</li> </ul>  |
| <b>Professor Sara Shaw</b>  | Health Policy & Practice - expert partner | 12          | <ul style="list-style-type: none"> <li>Advice to leadership team at key points (inc. scoping and analysis phases)</li> <li>Review and input into key outputs</li> </ul>   |
| <b>Wider team</b>   |   |             |   |
| <b>Marina Leoni</b>   | Senior Consultant                         | 10          | <ul style="list-style-type: none"> <li>Undertake qualitative fieldwork (senior interviewees)</li> </ul>   |
| <b>Senior Consultants/Senior research executives/ Project executives</b>              |   | 74          | <ul style="list-style-type: none"> <li>Support in delivery and day-to-day project running.</li> <li>Undertake fieldwork.</li> <li>Analysis.</li> <li>Administrative support</li> </ul>  |

## Risk register

| Theme             | Risk  | Impact | Likelihood | Mitigation   | Residual impact | Residual likelihood |
|-------------------|---|--------|------------|--|-----------------|---------------------|
| Management        | Unexpected non-availability of a team member  | High   | Low        | <ul style="list-style-type: none"> <li>Capacity considered during bid development.</li> <li>Substitute team members from Health &amp; Social Care (50 people) and Evaluation (40 people).</li> </ul>   | Low             | Low                 |
| Evaluation design | Local consortia lack the skill or resource to conduct high quality impact assessments. This strand of the evaluation is consequently weakened meaning the assessments of the Fund's outcomes is highly caveated   | Medium | High       | <ul style="list-style-type: none"> <li>Provide webinar, direct support to consortia based on diagnostic work from scoping</li> <li>Identify likely challenges in information collection</li> <li>Synthesise material with an assessment of evidential quality</li> <li>Interpret findings based on quality assessment</li> </ul>   | Medium          | Medium              |
|                   | Evaluation design does not address the key outcomes of importance to stakeholders   | Medium | Low        | <ul style="list-style-type: none"> <li>Collaborative agreement of evaluation design with stakeholders to ensure it is appropriate and feasible.</li> </ul>   | Low             | Low                 |
| Delivery          | Given the capacity pressures many consortium representatives currently face, we may experience challenges in recruiting the requisite stakeholders to participate in qualitative interviews (e.g. Directors of Integrated Commissioning / Integrated Care; Transformation; Adult Social Services) | High   | Medium     | <ul style="list-style-type: none"> <li>Design evaluation activities to minimise burden, maximise value for consortia</li> <li>Use experience in engaging local authorities, stakeholders in similar studies</li> <li>Emphasise independence, flexibility in timings/methods, and benefits of participation</li> <li>If stakeholder can't participate, will ask for suitable deputy nomination</li> </ul> | Medium          | Low                 |



|  |   |        |        |   |   |     |
|--|---|--------|--------|---|---|-----|
|  | We experience a high level of participant drop-off between the three survey and interview waves | Medium | Medium | <ul style="list-style-type: none"><li>Request permission to recontact participants during initial survey/interview</li><li>Clarify purpose, timing, and nature of recontacting</li><li>Aim to increase buy-in for follow-up surveys/interviews</li><li>Provide generous survey fieldwork windows for respondent flexibility</li></ul> | <ul style="list-style-type: none"><li>Low</li></ul> | Low |
|--|---|--------|--------|---|---|-----|



| Theme                      | Risk   | Impact | Likelihood | Mitigation   | Residual impact | Residual likelihood |
|----------------------------|--|--------|------------|--|-----------------|---------------------|
|                            |  |        |            | <ul style="list-style-type: none"> <li>Offer flexible interview dates/times, including lunchtime slots</li> </ul>  |                 |                     |
|                            | Winter pressures result in a low survey response rate  | Medium | Medium     | <ul style="list-style-type: none"> <li>Plan to conduct surveys avoiding winter pressures</li> <li>Monitor responses closely, flexibility to extend fieldwork if needed</li> <li>Aim for high response rate through various measures</li> <li>Questionnaire to be short (15 minutes)</li> <li>Develop clear communications explaining the survey's purpose</li> <li>Collaborate with partners for survey distribution</li> <li>Fieldwork timing to be finalised in scoping</li> </ul>   | Low             | Low                 |
|                            | Consortia do not report data in a timely way against expected timeframes, creating knock-on impacts on evaluation reporting timeframes   | Medium | Low        | <ul style="list-style-type: none"> <li>Ensure all data sharing requirements are agreed with the consortia at the outset.</li> <li>In the unlikely event that the consortia are unable to share reports or data at the expected dates as agreed, we will discuss with DHSC delaying outputs until data available.</li> </ul>  | Low             | Low                 |
| Local Authority engagement | We do not build sufficiently strong/effective relationships with consortia representatives, risking i) sampling and brokering introductions to local systems; ii) design and delivering of data collection e.g. survey | High   | Medium     | <ul style="list-style-type: none"> <li>Consultation with consortia about plans and evaluation design at evaluation outset</li> <li>Assess consortia's abilities to integrate data collection into activities</li> <li>Building strong relationships and monitoring potential risks from outset</li> <li>Openness and flexibility to adapt approach in conversation with DHSC</li> <li>Communications for consortia engagement developed</li> <li>Updates on evaluation progress disseminated to consortia representatives</li> </ul> | Medium          | Low                 |

## Project timeline

24-002183 | Version 1 | Internal Use Only | This work will be carried out in accordance with the requirements of the international quality standard for Market Research, ISO 20252, and with the Ipsos Terms and Conditions which can be found at <https://ipsos.uk/terms>. © Ipsos 2024

## AQ4 – Deliverables and Quality of Outputs

Our **comprehensive reporting plan** consists of formal outputs tied to evaluation milestones and informal opportunities to **discuss emerging findings via fortnightly catch ups**. The design, content and dissemination plan for each output will be influenced by a stakeholder mapping exercise. Working with DHSC, SCIE and other programme stakeholders, we will set out the main audiences for this evaluation, their specific information requirements, and their preferred mode of communication. These audiences will include:

- **Policy makers within DHSC**, looking for insights into which of the projects and priority themes are showing promise, and the conditions which appear amenable to wider adoption of these ideas.
- **Programme management and delivery**, looking for regular feedback on programme delivery, what is working, and how local authorities and their partners can be better supported. The SCIE is a crucial stakeholder in this context, with the findings likely to be relevant to their delivery plans.
- **The local authorities, and their partners**, who will benefit from an independent assessment of their own progress and cross-cutting analysis of what works in wider adoption of innovation.
- **Wider partners**, including ICBs (and other stakeholders in the NHS), who will be crucial to the wider adoption of the recommendations and so will be interested in the findings on emerging outcomes, and the processes used to get there.

We find such stakeholder mapping exercises to be a valuable input to complex, multi-partner evaluations where numerous parties have an interest in the findings.

## Outputs

### Scoping report (referred to as a Theory of Change document in the specification) – April 2024

This will **set out the evaluation framework including a narrative theory of change for the Programme and how each of the research questions will be addressed**. We will also critically review the existing research questions and develop additional questions to fill gaps (working in collaboration with you). The report will outline the **findings from the scoping interviews** and initial **review of KPI and MI data**. The stakeholder map, set out above, will be included, informing the final plan for reporting. A detailed plan for the survey, including first draft of the survey tool, and plan for disseminating this will be included. A **draft topic guide and sampling approach** for the first phase of qualitative interviews will also be provided, as well as an **updated timetable, risk register, and project management plan**.

### First interim report – July 2024

Following completion of the Phase 1 fieldwork, we will provide an **interim report detailing the findings from the first wave of surveys of local authorities and follow-up interviews**, and any further documents and management information (MI) made available following the scoping report. This report will provide initial process evaluation findings, including on the context and rationale for the Fund, and evaluative insights gathered about its start-up. We will **present the findings from this report** to the DHSC working group ahead of finalising the report and sending to you for review. We are also able to provide a short summary of the findings for review by the local authority teams (if suitable), and can host a webinar to further aid dissemination and uptake of findings.

## Second interim report – January 2025

This report will follow Phase 2 fieldwork, and include findings from the second survey wave, and follow-up interviews, case study findings, and analysis of MI. The report will include process evaluation findings, including a fuller assessment of sites' delivery against their plans. We will also include an initial assessment of the outcome data made available to the evaluation team. As with most evaluations, our understanding of the programme and sites will develop as we progress and multiple data sources become available. We therefore expect the analysis, and therefore our confidence in conclusions and recommendations, to strengthen as the study progresses. Again, we will **present a summary of the findings** ahead of sending the finalised report. As with the first interim report, we are able to present in written and webinar form to wider groups, including local authority teams; the multi-phase structure of this evaluation provides an opportunity to share findings widely in an iterative and formative fashion.

At this stage we will **review our learnings so far**, as a high-quality evaluation should evolve to reflect new insights. This may include making alterations to the plans for the final phase, and adjusting the programme ToC to reflect our evolving understanding of the programme.

## Final report – June 2025

The final report will set out our findings to each objective, and a full evaluative assessment of the programme structured by the TOC and evaluation framework. It will draw on thematic analysis of all qualitative data (interviews and case studies), analysis of survey data and triangulation of all work completed to date. This process of triangulation is a crucial step in evaluations, which typically draw on multiple sources of data. By bringing different sources together, we can check whether they provide similar, complementary insights (or potentially contradict each other). It is a crucial step in making sense of the various sources, as well as a crucial part of quality assurance. This report will also build on the narratives established in the preceding two interim reports (the feedback from which will be used to shape this report to your satisfaction).

This report will include a fuller assessment of the outcomes of the Programme compared to earlier reports; this reflects the increasing maturity of the interventions in question, and the common time-lag in data availability (meaning outcomes data can only become available later in the study). The final report will conclude with evidence-supported recommendations for the Programme team and wider sector stakeholders. The report will also include examples from the case studies and an annex detailing the survey methodology, and approach to analysis of KPI and programme management information. We will include a **comprehensive executive summary** that provides a high-level overview of evaluation findings and recommendations to share with your stakeholders.

The report will be drafted to the high standards of the Department, written in Plain English, and to be published and reviewed by a wider audience. Before beginning writing the report, and to ensure an efficient process, we will work closely with you to agree a structure and style guide for the final report to ensure it meets your needs. We anticipate that the document will be in Word format and 50-60 page in length (excluding appendices).

Demonstrating our ability to meet your Departmental standards for publication (as well as the standards of our other customers across Government), our research and evaluation reports are routinely published. There are several with relevance to this study: the [NHSX technology and digital skills reviews](#), the [evaluation](#) of the remote monitoring scaling plan, a [deliberative project](#) exploring views of potential social care funding reforms, and the [moving healthcare professionals evaluation](#). Recent gov.uk publications for central Whitehall departments include evaluations of policies on [migration](#), [taxation](#), and [road reform](#).

## Quality assurance

Ipsos takes its professional standards and quality assurance very seriously and have processes in place to ensure quality of delivery and outputs. The quality of our outputs is underpinned by rigorous quality assurance throughout the design and delivery of the research as well as quality assurance of the outputs themselves. **All deliverables undergo a rigorous, systematic process of review and quality assurance led by senior members of the team with** at least two stages of review for each output. We are experienced in delivering evaluation in line with the *Treasury's Aqua book* and our processes reflect our commitment to this.

The quality assurance process starts with our team working closely with you to understand your expectations for reporting. While this is an independent evaluation, we recognise the importance of understanding our clients' needs and keeping you informed of the emerging findings on an ongoing basis. This engagement will be led by senior team members at our **fortnightly catch ups, and analysis and reporting meetings ahead of drafting interim presentations and reports.**

We will prepare an internal plan and agree a timetable with you for all deliverables. This plan will account for each phase of the analysis process ensuring the necessary review points and sufficient time are included for both Ipsos and the client. It also ensures that the most appropriate staff are involved at the right time. Our **regular project updates** will also provide reminders of documents to be reviewed and signed off, to help you plan and seek input from colleagues. **Materials for comment and sign-off** include privacy notices, data flow, topic guides and recruitment quotas, survey invitation, questionnaire, survey communication plan, specification for tables, and report structures.

Given the significance of this evaluation, there are two senior directors responsible for final quality assurance. **Margaret Blake**, who leads our adult social care research work, **will oversee and quality assure all aspects of the research**, ensuring the methods, delivery, analysis and writing is to our expected standards. **Jan Franke**, who leads our health and care innovation portfolio will assure the quality of the evaluation (including its **direction, methodological robustness, and interpretation of analysis to develop recommendations**).

## AQ5 – Experience and Expertise

Ipsos UK, with advice from Prof. Sara Shaw, will deliver this evaluation. We are the UK's leading supplier of evaluation and social research for the UK Government and NHS.

### Project team

**Jan Franke, Evaluation Director.** Jan has extensive experiencing directing complex evaluations and at the heart of his work is a deep understanding of the drivers and barriers of technology adoption. He has over ten years' experience leading impact and process evaluations of programmes and is currently directing studies on [technology-enabled innovation in adult social care](#) for the Health Foundation and Innovate UK. He previously led on an evaluation of the [Regional Scale Programme for NHSX](#).

*Key qualifiers: leads our health and social care innovation team; experienced evaluator and economist; leads major policy evaluations for HMG and NHS clients.*

**Dr Margaret Blake, Research Director** has 25 years' experience in social research, and leads Ipsos research in ASC. She has directed many projects of this scale and in this policy area, including the Evaluation of the [Streamlining LA Assessment Grant](#) for DHSC as well as all the projects for DHSC listed below. Claire Lambert will support and deputise for Margaret in this role as necessary, drawing on significant experience in ASC research.

*Key qualifiers: expert in ASC policy and sector, mixed-method research, engaging with stakeholders, LAs and the workforce.*

**Oliver Tee, Evaluation Lead** has ten years of evaluation experience, including leading evaluations across a range of health, social care and housing settings. He currently manages the **Evaluation of the [Streamlining LA Assessment Grant](#)** and has recently begun the Evaluation of the [Better Care Fund Support programme](#) for DHSC.

*Key qualifiers: expert in ASC policy and sector, mixed-method research, engaging with stakeholders, LAs and the workforce.*

**Tom Jordan, Evaluation support**, is an Associate Director. Tom joined Ipsos in August 2023 from NHS England. He has over eight years' experience across government departments, the NAO, and the NHS, leading on research projects that directly contributed to each organisation's strategy and policy. At Ipsos he is leading advisory work for the Health Foundation (on their [Networked Datalab](#) programme), and the [Healthy Ageing programme](#) evaluation for Innovate UK.

*Key qualifiers: expert in health innovation; health economics expertise; deep understanding of policy making process from time at NHS England and the National Audit Office.*

We will be advised throughout by **Prof. Sara Shaw, Professor of Health Policy & Practice at the University of Oxford**. Sara leads work on the development, adoption and spread of technology and innovation in health and social care. She has significant experience in mixed methods research and evaluation including recent work supporting rapid spread and scale up of remote care during the Covid-19 pandemic. Sara leads a new NIHR-funded centre for rapid evaluation focused on technology-enabled remote monitoring in health and social care. Sara will make inputs to the study during scoping (shaping the evaluation framework), steering the major research tasks, and supporting analysis and recommendation development at each stage.

For a project of this scale, we will draw on a large team, including, **Freddie Gregory** (Associate Director, with a focus on the survey with LAs and local systems), **Joanna Scott** (Senior Consultant, with expertise in evaluating technology-based innovation programmes), **Robyn Aldous** (Senior Research Executive) with experience in survey and qualitative research and involved in **Evaluation of the [Streamlining LA Assessment Grant](#)**. **Marina Leoni** (Senior Consultant) and research executives will be brought in to support with fieldwork and other activities.

## Project experience

Ipsos UK has specialist capabilities and experience in relation to the two headline requirements for this study:

- Deep topic expertise, ensuring evaluation findings are contextualised within the wider evidence base; and
- A large, ASC-experienced fieldwork capacity with multiple examples of successfully researching similar issues with local systems and the busy audiences that this project would target.

**Our leading health and social care innovation practice has evaluated some of the major innovation programmes of recent years.**

This includes:

- Process and impact [evaluation of the National Innovation Collaborative and the Regional Scale Plans](#) programmes, and the support offered by NHSX to sites adopting the technologies to allow more care at home during the pandemic.
- Evaluation design and developmental evaluation of the [Tech for Better Care programme](#) for the Health Foundation (current).
- The evaluation of the local health care records (LHCRs) programme for NHSX examined an ambitious programme which sought to support local systems to develop longitudinal care records.
- Developing a benefits register and theory of change for the digital social care records programme, to serve as a blueprint for the capturing of benefits generated by the programme.

Our wider health and care evaluation team has delivered studies directly applicable to many of the themes within the programme. This includes person centred care in the community (*evaluation of neighbourhood nursing programme for Guy's and St Thomas' Trust*); numerous studies of integration initiatives (such as *the children and young people's integration programme*); schemes to support innovative practices during the pandemic (including *supporting NHSE to collect examples of innovative practice in primary care*).

**We have led several large studies of social care policy in recent years**

This includes:

- The evaluation of [Streamlining Local Authority ASC Assessments Grant](#) (current). Includes the development of an evaluation framework, an online survey with local authorities, 12 case studies with a range of LAs and local systems, and scoping interviews to inform the ToC.
- The ASCS and SACE discovery (2022), and Paying for Care (2022-23) projects, which included a rapid evidence review, interviews with stakeholders including local authorities and partners, and an options appraisal.



- Delivering [two large reviews in Adult Social Care for NHSX](#), one on the adoption and scalability of digital technology and one on digital skills.
- Large-scale ASC workforce survey (current) on wellbeing and work-related quality of life, a project on ASC cyber security (current), and one on Section 18(3) of the Care Act.
- Our recent appointment to evaluate the Better Care Fund support programme which will inform our understanding of conducting research with local authority leads.

## AQ6 – Quality Assurance

Ipsos provides high quality research and evaluation services to the UK Government, the NHS and social care sector. We are committed to continuous improvement and the highest quality standards. Ipsos is a Market Research Society (MRS) company partner, so the industry's professional Code of Conduct is applied to our work.

**At Ipsos, we follow tried and tested practices.** We have implemented an integrated quality, compliance and information security management system – our 'Business Excellence System' (BES). We are certified to international standards for quality (ISO 9001), market research (ISO 20252) and Information security (ISO 27001). Our BES processes incorporate the requirements of these standards as well as **the requirements of GDPR and the UK Data Protection Act 2018**. We support clients to comply with their own Data Protection policies and to complete Data Protection Impact Assessments. For this study, we will prepare a data flow showing the processing of personal data collected during the study.

Ipsos' BES system includes a programme of audits, and spot checks. All Ipsos staff receive BES training to ensure that they are aware of their responsibilities.

**The principles of the Government's Aqua Book, the technical evaluation requirements set out in the Magenta and Green Books, and the ONS Statistical Output Quality framework** guide our holistic approach to quality assurance within evaluation and research projects. We recognise the three roles presented in the Aqua Book:

- We work with you in the **commissioner role** to ensure the evaluation is appropriate and fit-for-purpose through an in-depth scoping phase designed to familiarise us with the policy/ programme, and surrounding context. Together we identify the most appropriate methodology to meet your objectives, understand the risks associated with the approach and develop an appropriate quality assurance plan (included in the scoping report).
- The **analytical assurance role** is carried out through ensuring the project director has oversight of the analytics plan and runs through the quality assurance checks undertaken by the project and Data Processing teams, for all evidence sources. This involves analysis meetings and the consistent write up of findings in an analysis sheet to identify themes, enabling the project director to ensure these are accurately reflected in the outputs. For the survey, this involves the project director and evaluation director signing off the questionnaire, online script, quotas and sample, and data outputs.
- The **delivering analysis role** includes data sourcing, cleaning, and preparation prior to the analysis. Any issues encountered at these stages (e.g. insufficient evidence collected to answer some of your research questions) are discussed to ensure appropriate remedial actions. Close collaboration also helps to develop an evaluation which is repeatable, grounded in reality and objective, as per the Aqua book. Our reports set out the limitations of our methods and analysis. We are explicit about the uncertainties inherent in our evaluation findings. A crucial step here is triangulating data from different sources to 'check' they are consistent. Reports and presentations are signed off by the project directors.



We will regularly **send you materials for comments and sign-off**, including the ToC model, evaluation framework, recruitment quotas and topic guides, survey questionnaire, analysis frameworks, and structure for outputs. We will agree a timetable which allows enough time for wider review and sign-off of documents by DHSC.

Ipsos' work is underpinned by **ethical good practices**:

- Two Research Directors were members of the Social Care Research Ethics Committee at the Health Research Authority for ten years, focused on good ethical practices, embedding them within Ipsos;
- Ipsos internal Ethics Group review and input into research projects raising ethical issues. The project team would complete Ipsos' ethics checklist which draws on [GSR professional guidance](#), [SRA Research Ethics guidance](#), MRS Code of Conduct and ESRC Research Ethics Framework. This would be reviewed by our Ethics Group and shared with you;
- We have a disclosure of harm policy and our internal Disclosure Board, made up of senior and experienced staff members who review fieldwork incidents and decide the course of action when a participant reports a risk of harm or illegal activities.

The main ethical considerations raised by this evaluation include:

- **A risk of identification of individual local systems or staff** in the reports. For instance, we expect there to be ethical and confidentiality considerations related to the case studies; this methodology, applied within an evaluation, requires participants from different organisations to contribute, with their views triangulated.
- This could impact on what participants say during the interviews and case studies. The approach we adopt will **determine the wording of our confidentiality promise** for participants. The information sheet for staff will explain the risk of identification and steps we are taking to mitigate this. It will also set out our plans for protecting the identity of local systems in the published report. This is essential for **ensuring participants provide truly informed consent**.
- Whether participation in the evaluation is **voluntary**. While we would expect senior stakeholders to take part, other members of staff should have the option to decline taking part if they can be replaced.
- Ethical issues surrounding inclusion of people with care and support needs and carers in the case studies including informed consent and appropriate support– we have considerable experience of research with these groups.
- **The risk of identification of survey respondents when conducting sub-group analysis**. The survey will be aimed at local system leaders and partner organisations and it may be possible to identify those who took part if some sub-groups (e.g. job role) have a small number of responses. We would carefully manage this risk when preparing data outputs.
- **Whether the evaluation requires ethical approval from the HRA**. Using [the HRA decision tool](#) and [GAfREC](#), the decision relates to whether this is classified as evaluation or research and the extent to which the findings would be transferable and generalisable. As a process evaluation in which interventions and local context are important, our view at this stage is that REC approval should not be needed.

# Social value

## Company-wide support for health and wellbeing

Supporting the health and wellbeing of staff is a key tenet of the Ipsos staff experience **Action Plan**. This aims to:

- Normalise the conversation around wellbeing and embed it into everything Ipsos does;
- Maintain and enhance our culture and sense of community at Ipsos, helping our people stay connected;
- Begin this at recruitment with inclusive processes deployed to make opportunities accessible;
- Empower managers and leaders to have good conversations and support their teams;
- Empower people to take ownership, and engage with the resources they need, when they need them; and
- Support people in our move towards a blended working environment.

The Action Plan is updated annually following the annual Ipsos employee satisfaction survey. This enables staff to have a say on wellbeing and work-life balance issues and measures important workforce wellbeing indicators. Results of the survey are shared internally, including feedback on progress against the previous action plan. Follow-up qualitative work is undertaken to build a deeper understanding of issues and how to address them. Ipsos shares information about activities related to staff wellbeing in an external annual 'Extra-financial performance statement' which includes findings from the annual staff survey.

Our commitment to wellbeing, and the six standards set out in **The Mental Health at Work Commitment**, is underpinned by policies, actions and initiatives which will be in effect throughout this contract, including:

- Ipsos' wellbeing hub, which has useful materials, videos and blogs in one accessible place.
- Encouraging people to take ownership of their wellbeing through open conversations with line managers/ project leads and completing Wellness Action Plans.
- A fortnightly Step Back café, providing an online mental health safe space.
- Fully trained Mental Health First Aiders who are available for advice, support and guidance.
- A free, confidential Employee Assistance Programme.
- An External Occupational Health and Neurodiversity assessment provider.
- People-led activities, including: meditation classes; WAVE, and the monthly grief and bereavement peer support platform.
- A health and wellbeing guest speaker schedule, based on the needs of staff.
- Wellbeing Fortnight (June) and World Mental Health Day (October), marked with activities to raise awareness and support staff.
- Embedding our Work-Life Policies and providing accessible guidance to help employees do their best work and achieve a better work-life balance.
- Belong – Ipsos' diversity and inclusion programme is developing a range of policies and initiatives in recruitment, reward, training, progression, and culture. There are networks, including for neurodiversity, carers, menopause, LGBTQ+, and ethnic minorities which assist the organisation in ensuring support is appropriate across the workforce.
- Success is celebrated through project and team social activities and updates.

Ipsos supports the physical health of staff through:

- Wellbeing walk routes (15-45 minutes from the office).
- Guide on desk based Pilates.
- Exercise and yoga videos on our staff portal.
- Clubs for a range of activities including climbing and bouldering, football, netball and yoga.
- Physical healthcare support through free flu jabs, eyecare support and menopause information.

Ipsos contributes to public knowledge on mental and physical health and provision of health services in the UK and globally, through blogs, webinars and publication of reports.

#### Method statement

We propose three objectives to embed the elements of the Wellbeing Action Plan to support the wellbeing of the team working on this contract.

| Objectives, actions and activities  | How implemented and when   | Monitoring approach   |
|---|--|---|
| <b>The project team are aware of, and encouraged to make use of, health and wellbeing opportunities available to them during this contract.</b> | <p>The project director will signpost and encourage the team to engage with support, training and events around supporting health and wellbeing.</p> <p>Internal inception meeting (and ongoing), with team wellbeing as the first agenda item.</p>  | <p><b>Monitoring:</b> line manager weekly check-ins, project team wellbeing check-ins.</p> <p><b>Metrics:</b> project team engagement with staff surveys, team members report awareness of health and wellbeing opportunities.</p>  |
| <b>The project team have a positive work-life balance when working on this contract.</b>  | <p>Ipsos has a flexible working policy that allows for part-time working, alternative hours, and working from home for up to 60% of the week. We will ensure that key project meetings are scheduled with the teams' hybrid working hours in mind (e.g. on office anchor days, so the team can meet in person, and not at lunch time).</p> <p>Ipsos has a policy allowing staff to finish work at 4pm on Fridays. The project manager will review timeframes at each internal team meeting to ensure major project deadlines are not on a Friday or a Monday, to allow staff to take</p> | <p><b>Monitoring:</b> project team wellbeing check ins; line manager weekly check-ins; project directors and line managers reviewing timesheets to identify whether hours on this project adversely impact on work-life balance.</p> <p><b>Metrics:</b> number of hours worked on this project, team member feedback on work-life balance and hours worked.</p> |

**DPS Schedule 6 (Order Form Template and Order Schedules)**

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|   |  |   |
|---|--|---|
|   | advantage of this policy and avoid weekend working.  |   |
| <b>The project team are achieving personal development goals by working on this contract.</b> | <p>Project directors will have wellbeing and development discussions with team members and line managers to see how project activities can support personal development goals.</p> <p>Senior team members will coach and mentor junior colleagues on the project to achieve their goals. This is monitored in annual Personal Development Reviews (PDRs) between staff and their line managers, who will seek feedback from the project team.</p> <p>PDs will have regular catch-ups with line managers of staff members on their development.</p> | <p><b>Monitoring:</b> project team wellbeing check-ins; line manager check-ins (following PDR review); self-reported PDR progress.</p> <p><b>Metrics:</b> team member progression against goals in relation to this project, team member feedback on progression in relation to this project.</p> |

Throughout the contract lifecycle, any issues that are flagged following this monitoring will be addressed as a priority by the project director, working with the individual's line manager to rectify the issue providing additional support as needed. Where applicable, this will be escalated to the relevant members of the Senior Management Team within the Public Affairs division.

## Order Schedule 5 (Pricing Details)

| Activity   | Total costs     | Year 1          | Year 2          |
|--|-----------------|-----------------|-----------------|
| Scoping and design (excluding local impact assessment guidance)                            | £59,862         | £59,862         |                 |
| Wave 1   | £79,566         | £79,566         |                 |
| Wave 2   | £74,801         | £74,801         |                 |
| Wave 3   | £58,225         |                 | £58,225         |
| Local impact assessment (scoping guidance, support, collation and synthesis and reporting) | £86,450         | £43,225         | £43,225         |
| Case studies (including reporting)   | £72,646         | £36,323         | £36,323         |
| Final reporting (process and presentation)   | £38,450         |                 | £38,450         |
| <b>Total including impact assessment meetings</b>  | <b>£470,000</b> | <b>£293,777</b> | <b>£176,223</b> |

Table 2

| Grade                               | Cost per day | No. of Days | Total    |
|-------------------------------------|--------------|-------------|----------|
| Director                            | £1,400       | 63          | £88,200  |
| Associate Director                  | £1,000       | 122         | £122,000 |
| Senior Consultant/ Research manager | £800         | 99          | £79,200  |

# **DPS Schedule 6 (Order Form Template and Order Schedules)**

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|                             |        |            |                 |
|-----------------------------|--------|------------|-----------------|
| Senior Research Executive   | £750   | 69         | £51,750         |
| Research Executive          | £600   | 74         | £44,400         |
| Oxford University - advisor | £1,200 | 12         | £14,400         |
| <b>TOTAL STAFF</b>          |        | <b>439</b> | <b>£399,950</b> |

Please provide an itemised breakdown of costs and grade for staff who will be allocated to deliver the activities related to this contract.

| Grade  | Cost per day | Inception/scoping | Wave 1 | Wave 2 | Wave 3 | Case studies | Final Report | No. of Days | Total           |
|--|--------------|-------------------|--------|--------|--------|--------------|--------------|-------------|-----------------|
| Jan Franke (Evaluation Director)             | £1,400       | 6                 | 5      | 6      | 4      | 0            | 10           | 31          | £43,400         |
| Margaret Blake (Research Director)           | £1,400       | 4                 | 1      | 4      | 3      | 0            | 8            | 20          | £28,000         |
| Claire Lambert (Research Director)           | £1,400       | 2                 | 5      | 2      | 1      |              | 2            | 12          | £16,800         |
| Oliver Tee (Associate Director - Evaluation) | £1,000       | 16                | 13     | 16     | 13     | 9            | 15           | 81          | £81,000         |
| Tom Jordan (Associate Director - Evaluation) | £1,000       | 5                 | 7      | 9      | 4      | 8            | 7            | 39          | £39,000         |
| Joanna Scott (Senior Consultant)             | £800         | 17                | 19     | 17     | 14     | 9            | 13           | 89          | £71,200         |
| Marina Leoni (Senior Consultant)             | £800         | 0                 | 3      | 3      | 2      | 2            | 0            | 10          | £8,000          |
| Freddie Gregory (Associate Director)         | £1,000       | 0                 | 2      | 0      | 0      | 0            | 0            | 2           | £2,000          |
| Robyn Aldous (SRE)                           | £750         | 11                | 13     | 13     | 11     | 9            | 12           | 69          | £51,750         |
| Research Executive                           | £600         | 7                 | 19     | 16     | 15     | 6            | 12           | 74          | £44,400         |
| Sara Davis (Oxford University - advisor)     | £1,200       | 3                 | 1      | 2      | 1      | 1            | 5            | 12          | £14,400         |
| <b>TOTAL STAFF</b>                           |              |                   |        |        |        |              |              | <b>439</b>  | <b>£399,950</b> |

RM6126 - Research & Insights DPS

Project Version: v1.0

Model Version: v1.3

**DPS Schedule 6 (Order Form Template and Order Schedules)**

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|                            |  |  |  |  |  |  |  |  |                |
|----------------------------|--|--|--|--|--|--|--|--|----------------|
|                            |  |  |  |  |  |  |  |  |                |
|                            |  |  |  |  |  |  |  |  |                |
| <b>Direct costs</b>        |  |  |  |  |  |  |  |  |                |
| Survey                     |  |  |  |  |  |  |  |  | £39,760        |
| Recruitment and incentives |  |  |  |  |  |  |  |  | £16,380        |
| Travel and accommodation   |  |  |  |  |  |  |  |  | £4,430         |
| Transcription              |  |  |  |  |  |  |  |  | £9,480         |
| <b>Total direct costs</b>  |  |  |  |  |  |  |  |  | <b>£70,050</b> |

## Order Schedule 9 (Security)

### Part A: Short Form Security Requirements

#### Definitions

In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

|                                   |   |
|-----------------------------------|---|
| <b>"Breach of Security"</b>       | <p>the occurrence of:</p> <ul style="list-style-type: none"><li>any unauthorised access to or use of the Deliverables, the Sites and/or any Information and Communication Technology ("ICT"), information or data (including the Confidential Information and the Government Data) used by the Buyer and/or the Supplier in connection with this Contract; and/or</li><li>the loss and/or unauthorised disclosure of any information or data (including the Confidential Information and the Government Data), including any copies of such information or data, used by the Buyer and/or the Supplier in connection with this Contract,</li><li>in either case as more particularly set out in the Security Policy where the Buyer has required compliance therewith in accordance with paragraph 2.2;</li></ul> |
| <b>"Security Management Plan"</b> | <p>the Supplier's security management plan prepared pursuant to this Schedule, a draft of which has been provided by the Supplier to the Buyer and as updated from time to time;</p>  |

#### Complying with security requirements and updates to them

The Buyer and the Supplier recognise that, where specified in DPS Schedule 4 (DPS Management), CCS shall have the right to enforce the Buyer's rights under this Schedule.



The Supplier shall comply with the requirements in this Schedule in respect of the Security Management Plan. Where specified by a Buyer that has undertaken a Further Competition it shall also comply with the Security Policy and shall ensure that the Security Management Plan produced by the Supplier fully complies with the Security Policy.

Where the Security Policy applies the Buyer shall notify the Supplier of any changes or proposed changes to the Security Policy.

If the Supplier believes that a change or proposed change to the Security Policy will have a material and unavoidable cost implication to the provision of the Deliverables it may propose a Variation to the Buyer. In doing so, the Supplier must support its request by providing evidence of the cause of any increased costs and the steps that it has taken to mitigate those costs. Any change to the Charges shall be subject to the Variation Procedure.

Until and/or unless a change to the Charges is agreed by the Buyer pursuant to the Variation Procedure the Supplier shall continue to provide the Deliverables in accordance with its existing obligations.

## **Security Standards**

The Supplier acknowledges that the Buyer places great emphasis on the reliability of the performance of the Deliverables, confidentiality, integrity and availability of information and consequently on security.

The Supplier shall be responsible for the effective performance of its security obligations and shall at all times provide a level of security which:

is in accordance with the Law and this Contract;

as a minimum demonstrates Good Industry Practice;

meets any specific security threats of immediate relevance to the Deliverables and/or the Government Data; and

where specified by the Buyer in accordance with paragraph 2.2 complies with the Security Policy and the ICT Policy.

The references to standards, guidance and policies contained or set out in Paragraph 0 shall be deemed to be references to such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, as notified to the Supplier from time to time.

In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Buyer's Representative of such inconsistency immediately upon becoming aware of the same, and the Buyer's Representative shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.

## Security Management Plan

### Introduction

The Supplier shall develop and maintain a Security Management Plan in accordance with this Schedule. The Supplier shall thereafter comply with its obligations set out in the Security Management Plan.

### Content of the Security Management Plan

The Security Management Plan shall:

- comply with the principles of security set out in Paragraph **Error! Reference source not found.** and any other provisions of this Contract relevant to security;
- identify the necessary delegated organisational roles for those responsible for ensuring it is complied with by the Supplier;
- detail the process for managing any security risks from Subcontractors and third parties authorised by the Buyer with access to the Deliverables, processes associated with the provision of the Deliverables, the Buyer Premises, the Sites and any ICT, Information and data (including the Buyer's Confidential Information and the Government Data) and any system that could directly or indirectly have an impact on that Information, data and/or the Deliverables;
- be developed to protect all aspects of the Deliverables and all processes associated with the provision of the Deliverables, including the Buyer Premises, the Sites, and any ICT, Information and data (including the Buyer's Confidential Information and the Government Data) to the extent used by the Buyer or the Supplier in connection with this Contract or in connection with any system that could directly or indirectly have an impact on that Information, data and/or the Deliverables;
- set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Deliverables and all processes associated with the provision of the Goods and/or Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Deliverables comply with the provisions of this Contract;
- set out the plans for transitioning all security arrangements and responsibilities for the Supplier to meet the full obligations of the security requirements set out in this Contract and, where necessary in accordance with paragraph 2.2 the Security Policy; and

be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Buyer engaged in the provision of the Deliverables and shall only reference documents which are in the possession of the Parties or whose location is otherwise specified in this Schedule.

### **Development of the Security Management Plan**

Within twenty (20) Working Days after the Start Date and in accordance with Paragraph 0, the Supplier shall prepare and deliver to the Buyer for Approval a fully complete and up to date Security Management Plan which will be based on the draft Security Management Plan.

If the Security Management Plan submitted to the Buyer in accordance with Paragraph 0, or any subsequent revision to it in accordance with Paragraph 0, is Approved it will be adopted immediately and will replace the previous version of the Security Management Plan and thereafter operated and maintained in accordance with this Schedule. If the Security Management Plan is not Approved, the Supplier shall amend it within ten (10) Working Days of a notice of non-approval from the Buyer and re-submit to the Buyer for Approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days from the date of its first submission to the Buyer. If the Buyer does not approve the Security Management Plan following its resubmission, the matter will be resolved in accordance with the Dispute Resolution Procedure.

The Buyer shall not unreasonably withhold or delay its decision to Approve or not the Security Management Plan pursuant to Paragraph 0. However a refusal by the Buyer to Approve the Security Management Plan on the grounds that it does not comply with the requirements set out in Paragraph 0 shall be deemed to be reasonable.

Approval by the Buyer of the Security Management Plan pursuant to Paragraph 0 or of any change to the Security Management Plan in accordance with Paragraph 0 shall not relieve the Supplier of its obligations under this Schedule.

### **Amendment of the Security Management Plan**

The Security Management Plan shall be fully reviewed and updated by the Supplier at least annually to reflect:

emerging changes in Good Industry Practice;

any change or proposed change to the Deliverables and/or associated processes;

where necessary in accordance with paragraph 2.2, any change to the Security Policy;

any new perceived or changed security threats; and

any reasonable change in requirements requested by the Buyer.

The Supplier shall provide the Buyer with the results of such reviews as soon as reasonably practicable after their completion and amendment of the Security Management Plan at no additional cost to the Buyer. The results of the review shall include, without limitation:

suggested improvements to the effectiveness of the Security Management Plan;

updates to the risk assessments; and

suggested improvements in measuring the effectiveness of controls.

Subject to Paragraph 0, any change or amendment which the Supplier proposes to make to the Security Management Plan (as a result of a review carried out in accordance with Paragraph 0, a request by the Buyer or otherwise) shall be subject to the Variation Procedure.

The Buyer may, acting reasonably, Approve and require changes or amendments to the Security Management Plan to be implemented on timescales faster than set out in the Variation Procedure but, without prejudice to their effectiveness, all such changes and amendments shall thereafter be subject to the Variation Procedure for the purposes of formalising and documenting the relevant change or amendment.

## **Security breach**

Either Party shall notify the other in accordance with the agreed security incident management process (as detailed in the Security Management Plan) upon becoming aware of any Breach of Security or any potential or attempted Breach of Security.

Without prejudice to the security incident management process, upon becoming aware of any of the circumstances referred to in Paragraph 0, the Supplier shall:

immediately take all reasonable steps (which shall include any action or changes reasonably required by the Buyer) necessary to:

minimise the extent of actual or potential harm caused by any Breach of Security;

remedy such Breach of Security to the extent possible and protect the integrity of the Buyer and the provision of the Goods and/or Services to the extent within its control

against any such Breach of Security or attempted Breach of Security;

prevent an equivalent breach in the future exploiting the same cause failure; and

as soon as reasonably practicable provide to the Buyer, where the Buyer so requests, full details (using the reporting mechanism defined by the Security Management Plan) of the Breach of Security or attempted Breach of Security, including a cause analysis where required by the Buyer.

In the event that any action is taken in response to a Breach of Security or potential or attempted Breach of Security that demonstrates non-compliance of the Security Management Plan with the Security Policy (where relevant in accordance with paragraph 2.2) or the requirements of this Schedule, then any required change to the Security Management Plan shall be at no cost to the Buyer.

## Joint Schedule 11 (Processing Data)

### Definitions

1. In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

**“Processor Personnel”** all directors, officers, employees, agents, consultants and suppliers of the Processor and/or of any Subprocessor engaged in the performance of its obligations under a Contract;

### Status of the Controller

2. The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under a Contract dictates the status of each party under the DPA 2018. A Party may act as:

- (a) “Controller” in respect of the other Party who is “Processor”;
- (b) “Processor” in respect of the other Party who is “Controller”;
- (c) “Joint Controller” with the other Party;
- (d) “Independent Controller” of the Personal Data where the other Party is also “Controller”,

in respect of certain Personal Data under a Contract and shall specify in Annex 1 (*Processing Personal Data*) which scenario they think shall apply in each situation.

### Where one Party is Controller and the other Party its Processor

3. Where a Party is a Processor, the only Processing that it is authorised to do is listed in Annex 1 (*Processing Personal Data*) by the Controller.
4. The Processor shall notify the Controller immediately if it considers that any of the Controller’s instructions infringe the Data Protection Legislation.
5. The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing

any Processing. Such assistance may, at the discretion of the Controller, include:

- (a) a systematic description of the envisaged Processing and the purpose of the Processing;
  - (b) an assessment of the necessity and proportionality of the Processing in relation to the Deliverables;
  - (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
  - (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
6. The Processor shall, in relation to any Personal Data Processed in connection with its obligations under the Contract:
- (a) Process that Personal Data only in accordance with Annex 1 (*Processing Personal Data*), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall notify the Controller before Processing the Personal Data unless prohibited by Law;
  - (b) ensure that it has in place Protective Measures, including in the case of the Supplier the measures set out in Clause 14.3 of the Core Terms, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:
    - (i) nature of the data to be protected;
    - (ii) harm that might result from a Personal Data Breach;
    - (iii) state of technological development; and
    - (iv) cost of implementing any measures;
  - (c) ensure that :
    - (i) the Processor Personnel do not Process Personal Data except in accordance with the Contract (and in particular Annex 1 (*Processing Personal Data*));
    - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
      - (A) are aware of and comply with the Processor's duties under this Joint Schedule 11, Clauses 14 (*Data protection*), 15 (*What you must keep confidential*) and 16 (*When you can share information*);

- (B) are subject to appropriate confidentiality undertakings with the Processor or any Subprocessor;
    - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Controller or as otherwise permitted by the Contract; and
    - (D) have undergone adequate training in the use, care, protection and handling of Personal Data;
  - (d) not transfer Personal Data outside of the UK or EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:
    - (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with UK GDPR Article 46 or LED Article 37) as determined by the Controller;
    - (ii) the Data Subject has enforceable rights and effective legal remedies;
    - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
    - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
  - (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.
7. Subject to paragraph 7 of this Joint Schedule 11, the Processor shall notify the Controller immediately if in relation to it Processing Personal Data under or in connection with the Contract it:
- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
  - (b) receives a request to rectify, block or erase any Personal Data;
  - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;



- (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Contract;
  - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
  - (f) becomes aware of a Personal Data Breach.
8. The Processor's obligation to notify under paragraph 6 of this Joint Schedule 11 shall include the provision of further information to the Controller, as details become available.
9. Taking into account the nature of the Processing, the Processor shall provide the Controller with assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under paragraph 6 of this Joint Schedule 11 (and insofar as possible within the timescales reasonably required by the Controller) including by immediately providing:
- (a) the Controller with full details and copies of the complaint, communication or request;
  - (b) such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
  - (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
  - (d) assistance as requested by the Controller following any Personal Data Breach; and/or
  - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
10. The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Joint Schedule 11. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- (a) the Controller determines that the Processing is not occasional;
  - (b) the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the UK GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the UK GDPR; or

- (c) the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 11. The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 12. The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
- 13. Before allowing any Subprocessor to Process any Personal Data related to the Contract, the Processor must:
  - (a) notify the Controller in writing of the intended Subprocessor and Processing;
  - (b) obtain the written consent of the Controller;
  - (c) enter into a written agreement with the Subprocessor which give effect to the terms set out in this Joint Schedule 11 such that they apply to the Subprocessor; and
  - (d) provide the Controller with such information regarding the Subprocessor as the Controller may reasonably require.
- 14. The Processor shall remain fully liable for all acts or omissions of any of its Subprocessors.
- 15. The Relevant Authority may, at any time on not less than thirty (30) Working Days' notice, revise this Joint Schedule 11 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to the Contract).
- 16. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Relevant Authority may on not less than thirty (30) Working Days' notice to the Supplier amend the Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

**Where the Parties are Joint Controllers of Personal Data**

- 17. In the event that the Parties are Joint Controllers in respect of Personal Data under the Contract, the Parties shall implement paragraphs that are necessary to comply with UK GDPR Article 26 based on the terms set out in Annex 2 to this Joint Schedule 11.

## **Independent Controllers of Personal Data**

18. With respect to Personal Data provided by one Party to another Party for which each Party acts as Controller but which is not under the Joint Control of the Parties, each Party undertakes to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Controller.
19. Each Party shall Process the Personal Data in compliance with its obligations under the Data Protection Legislation and not do anything to cause the other Party to be in breach of it.
20. Where a Party has provided Personal Data to the other Party in accordance with paragraph 8 of this Joint Schedule 11 above, the recipient of the Personal Data will provide all such relevant documents and information relating to its data protection policies and procedures as the other Party may reasonably require.
21. The Parties shall be responsible for their own compliance with Articles 13 and 14 UK GDPR in respect of the Processing of Personal Data for the purposes of the Contract.
22. The Parties shall only provide Personal Data to each other:
  - (a) to the extent necessary to perform their respective obligations under the Contract;
  - (b) in compliance with the Data Protection Legislation (including by ensuring all required data privacy information has been given to affected Data Subjects to meet the requirements of Articles 13 and 14 of the UK GDPR); and
  - (c) where it has recorded it in Annex 1 (*Processing Personal Data*).
23. Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, each Party shall, with respect to its Processing of Personal Data as Independent Controller, implement and maintain appropriate technical and organisational measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the UK GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the UK GDPR.
24. A Party Processing Personal Data for the purposes of the Contract shall maintain a record of its Processing activities in accordance with Article 30 UK

GDPR and shall make the record available to the other Party upon reasonable request.

25. Where a Party receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data provided to it by the other Party pursuant to the Contract (**“Request Recipient”**):
- (a) the other Party shall provide any information and/or assistance as reasonably requested by the Request Recipient to help it respond to the request or correspondence, at the cost of the Request Recipient; or
  - (b) where the request or correspondence is directed to the other Party and/or relates to that other Party's Processing of the Personal Data, the Request Recipient will:
    - (i) promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
    - (ii) provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
26. Each Party shall promptly notify the other Party upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to the Contract and shall:
- (a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Personal Data Breach;
  - (b) implement any measures necessary to restore the security of any compromised Personal Data;
  - (c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
  - (d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.

27. Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under the Contract as specified in Annex 1 (*Processing Personal Data*).
28. Personal Data shall not be retained or processed for longer than is necessary to perform each Party's respective obligations under the Contract which is specified in Annex 1 (*Processing Personal Data*).
29. Notwithstanding the general application of paragraphs 2 to 16 of this Joint Schedule 11 to Personal Data, where the Supplier is required to exercise its regulatory and/or legal obligations in respect of Personal Data, it shall act as an Independent Controller of Personal Data in accordance with paragraphs 18 to 27 of this Joint Schedule 11.

Schedule - Processing, Personal Data and Data Subjects

**Annex 1 – Processing Personal Data**

1. The contact details of the Controllers' Data Protection Officers are:

Lee Cramp, DPO for DHSC, [lee.cramp@dhsc.gov.uk](mailto:lee.cramp@dhsc.gov.uk)

1.2 The contact details of the Supplier's Data Protection Officer are:

Catherine Bolton, DPO for Ipsos, [DPO.UnitedKingdom@Ipsos.com](mailto:DPO.UnitedKingdom@Ipsos.com)

| Description   | Details  |
|---|--|
| Identity of Controller for each Category of Personal Data | <p><b>The Relevant Authority is Controller and Supplier is the Processor</b></p> <p>The Parties acknowledge that the Relevant Authority is the Controller and the Supplier is the Processor of the following Personal Data:</p> <ul style="list-style-type: none"><li>• Sample of participants provided by the Relevant Authority;</li><li>• Documents provided by the Relevant Authority in relation to this research which contain personal data (e.g. names of responsible staff, contact details).</li></ul> <p><b>The Parties are Joint Controllers</b></p> <p>The Parties acknowledge that they are Joint Controllers for the purposes of the Data Protection Legislation in respect of:</p> <ul style="list-style-type: none"><li>• The data to be collected from individuals (the "Responses"), which will be agreed by both parties with DHSC being able to exercise its discretion to decide not to collect specific data items if it feels they are not justified or relevant</li></ul> |

|                                       |   |
|---------------------------------------|---|
| Subject matter of the processing      | <p>Ipsos (the supplier) is carrying out an evaluation of the Accelerating Reform Fund (ARF) for DHSC (Relevant Authority). The Accelerating Reform Fund, announced on 24 October 2023, will support local places to embed and scale new approaches to providing care and support to local citizens. The evaluation will inform local and national understanding and decision-making around the commissioning and scaling of innovative care and support services, including those for unpaid carers.</p> <p>The evaluation aims to address the following questions:</p> <ul style="list-style-type: none"> <li>• Has the Fund supported local areas to overcome barriers and created conditions for the embedding and scaling of innovations in adult social care?</li> <li>• Has the SCIE support offer helped local areas to overcome barriers and to embed and scale innovation in adult social care?</li> <li>• What are the impacts of embedding and scaling innovative approaches to delivering care and supporting unpaid carers?</li> </ul> |
| Duration of the processing            | <p>Data will need to be processed for the entirety of the evaluation/the contract. The evaluation will begin in March 2024 and is due to be completed by 31st July 2025. Publication of outputs expected by September 2025. Source data to be retained for an additional 2 years strictly for disaster recovery purposes only and to be deleted or fully anonymised after this time.</p>  |
| Nature and purposes of the processing | <p>These elements of the research will involve processing personal data:</p> <ul style="list-style-type: none"> <li>• Scoping interviews (6 stakeholders)</li> <li>• Surveys with consortia (3 waves)</li> <li>• Interviews with consortia and SCIE (3 waves of 12 interviews each)</li> <li>• Case study interviews (72 interviews across at least 12 projects).</li> </ul> <p>Participants will include representatives from the projects and people with care and support needs and carers.</p>  |

|  |  |
|--|--|
|  | <ul style="list-style-type: none"> <li>• Local impact assessments (webinar invitations and arranging individual meetings)</li> <li>• Potentially analysis of data or information provided by consortia, SCIE or DHSC. The data could include assessment or user data, waiting times, of may include the names of staff/ person responsible for collating.</li> </ul> <p>Personal data will be processed:</p> <ul style="list-style-type: none"> <li>• to identify and contact eligible participants</li> <li>• in the course of interviews/ survey responses may contain personal data</li> <li>• for analysis of data gathered from local consortia.</li> </ul> <p>The Supplier and its subcontractors will have access to personal data:</p> <ul style="list-style-type: none"> <li>• Sara Shaw at Oxford University</li> <li>• Paton Williamson Limited (Recruiter)</li> <li>• The Transcription agency</li> <li>• Verbit Go (formerly Take note) (transcription)</li> <li>• Rackspace (UK-based hosting of the Supplier's servers and storage)</li> </ul> <p>The Supplier will not share identifiable information and findings with DHSC— we will not name local consortia, systems or individuals. However, there is a risk of the LAs or individuals being identified because of prior knowledge held by DHSC, as a result, it is agreed that the Parties will be Independent Controllers of this Personal Data. Participants will be informed of this and explicit consent will be sought from participants in order for them to take part.</p> |
|--|--|



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|                                       |  |
|---------------------------------------|--|
| Type of Personal Data being Processed | <p>Name</p> <p>Contact details (phone/ mobile number, email address)</p> <p>Age (case study interviews with people with care and support needs and carers only)</p> <p>Sex (case study interviews with people with care and support needs and carers only)</p> <p>IP Address (for survey participants)</p> <p>Geographical location of employment (and of home for people with care and support needs and carers)</p> <p>Job Title</p> <p>Voice recording (by consent only)</p> <p>Health data (as a by product of conducting interviews with those with care needs)</p>             |
| Categories of Data Subject            | <p>All participants will be over the age of 18 years</p> <p>DHSC staff and other stakeholders for the programme (scoping interviews)</p> <p>Adults with care and support needs and carers (some case study interviews)</p> <p>Representatives of consortia receiving ARF and those involved in projects being funded</p>   |
| Lawful Basis for Processing           | <p>Article 6(1)(e) - processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>This is in line with the Secretary of State's duties in relation to the promotion and provision of the health service in England (including public health functions), as outlined in Part 1 of the NHS Act 2006 (as amended by the Health &amp; Social Care 2012).</p> <p>The legal basis for processing survey and interview data by the Supplier is 6(1a) Consent of the Data Subject.</p> |

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|  |  |
|--|--|
| Processing conditions for special category data  | <p>Article 9(2)(h) – processing is necessary for the management of health or social care systems and services on the basis of Domestic Law.</p> <p>Relevant condition under Schedule of the Data Protection Act 2018:<br/>(2) “Health or social care purposes”</p> <p>Article 9(2)(j) - processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Domestic Law which shall be proportionate to the aim pursued, respect the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.</p> <p>Relevant condition under Schedule of the Data Protection Act 2018:<br/>(4) “Research”</p> <p>The legal basis for processing special category survey and interview data by the Supplier is 9(a) Explicit consent and 9(j) Archiving, research and statistics.</p> |
| <p>Plan for return and destruction of the data once the processing is complete</p> <p>UNLESS requirement under union or member state law to preserve that type of data</p> | <p>Personal data will be retained until publication of outputs which is expected to be before the end of September 2025, with a further retention period of 2 years permitted for disaster recovery purposes only.</p> <p>At the end of this period, Ipsos will destroy or fully anonymise the data.</p>   |

## **Annex 2 – Joint Controller Agreement**

### **Joint Controller Status and Allocation of Responsibilities**

1.1 With respect to Personal Data for which the Parties are Joint Controllers, the Parties envisage that they shall each be a Data Controller in respect of that Personal Data in accordance with the terms of this Annex 1 (Joint Controller Agreement) in replacement of Clause 17.2-17.15 (Where one Party is Controller and the other Party is Processor) and 17.17-17.27 (Independent Controllers of Personal Data). Accordingly, the Parties each undertake to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Data Controllers.

1.2 The Parties agree that Ipsos:

- (a) is the main point of contact for Data Subjects and is responsible for all steps necessary to comply with the GDPR regarding the exercise by Data Subjects of their rights under the GDPR;
- (b) shall direct Data Subjects to its Data Protection Officer or suitable alternative in connection with the exercise of their rights as Data Subjects and for any enquiries concerning their Personal Data or privacy;
- (c) is responsible for the Parties' compliance with all reasonable duties to provide information to Data Subjects under Articles 13 and 14 of the GDPR;
- (d) is responsible for obtaining the informed consent of Data Subjects, in accordance with the GDPR, for Processing in connection with the Services where consent is the relevant legal basis for that Processing; and
- (e) shall make available to Data Subjects the essence of this Joint Controller Agreement (and notify them of any changes to it) concerning the allocation of responsibilities as Joint Controller and its role as exclusive point of contact, the Parties having used their best endeavours to agree the terms of that essence. This must be outlined in DHSC's privacy policy (which must be readily available by hyperlink or otherwise on all of its public facing services and marketing).

1.3 Notwithstanding the terms of paragraph 1.2, the Parties acknowledge that a Data Subject has the right to exercise their legal rights under the Data Protection Legislation as against the relevant Party as Data Controller.

## **2. Undertakings of both Parties**

2.1 The Contractor and the Authority each undertake that they shall:

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- (a) report where applicable to the Services and Joint Controllership to the other Party:
  - (i) the volume of Data Subject Access Requests (or purported Data Subject Access Requests) from Data Subjects (or third parties on their behalf);
  - (ii) the volume of requests from Data Subjects (or third parties on their behalf) to rectify, block or erase any Personal Data;
  - (iii) any other requests, complaints or communications from Data Subjects (or third parties on their behalf) relating to the other Party's obligations under applicable Data Protection Legislation;
  - (iv) any communications from the Information Commissioner or any other regulatory authority in connection with Personal Data; and
  - (v) any requests from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; that it has received in relation to the subject matter of the Agreement during that period;
- (b) notify each other in a timely manner (which does not cause the other party to breach its Data Protection obligations) if it receives any request, complaint or communication made as referred to in Paragraphs 2.1(a)(i) to (v); and
- (c) provide the other Party with full cooperation and assistance in relation to any request, complaint or communication made as referred to in Paragraphs 2.1(a)(iii) to (v) to enable the other Party to comply with the relevant timescales set out in the Data Protection Legislation.
- (d) not disclose or transfer the Personal Data to any third party unless necessary for the provision of the Services and, for any disclosure or transfer of Personal Data to any third party, save where such disclosure or transfer is specifically authorised under this Agreement or is required by Law). For the avoidance of doubt to which Personal Data is transferred must be subject to equivalent obligations which are no less onerous than those set out in this Annex.
- (e) request from the Data Subject only the minimum information necessary to provide the Services and treat such extracted information as Confidential Information.
- (f) ensure that at all times it has in place appropriate Protective Measures to guard against unauthorised or unlawful processing of the Personal Data and/or accidental loss, destruction or damage to the Personal Data and unauthorised or unlawful disclosure of or access to the Personal Data
- (g) take all reasonable steps to ensure the reliability and integrity of any of its Personnel who have access to the Personal Data and ensure that its Personnel:

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- (i) are aware of and comply with their duties under this Annex 1 (Joint Controller Agreement) and those in respect of Confidential Information
- (ii) are informed of the confidential nature of the Personal Data, are subject to appropriate obligations of confidentiality and do not publish, disclose or divulge any of the Personal Data to any third party where the that Party would not be permitted to do so;
- (iii) have undergone adequate training in the use, care, protection and handling of personal data as required by the applicable Data Protection Legislation;
- (h) ensure that it has in place Protective Measures as appropriate to protect against a Data Loss Event having taken account of the:
  - (i) nature of the data to be protected;
  - (ii) harm that might result from a Data Loss Event;
  - (iii) state of technological development; and
  - (iv) cost of implementing any measures.
- (i) ensure that it has the capability (whether technological or otherwise), to the extent required by Data Protection Legislation, to provide or correct or delete at the request of a Data Subject all the Personal Data relating to that Data Subject that the Contractor holds; and
- (j) ensure that it notifies the other Party as soon as it becomes aware of a Data Loss Event applicable to the Services in relation to its duties as a Joint Controller, and in any event, no later than 24 hours.
- (k) For the purposes of this Joint Controller Agreement **“Personnel”** means all directors, officers, employees, agents, consultants and suppliers of the Parties and/or of any Sub-Processor engaged in the performance of its obligations under this Contract;

2.2 Each Joint Controller shall use its reasonable endeavours to assist the other Controller to comply with any obligations under applicable Data Protection Legislation and shall not perform its obligations under this Annex in such a way as to cause the other Joint Controller to breach any of its' obligations under applicable Data Protection Legislation to the extent it is aware, or ought reasonably to have been aware, that the same would be a breach of such obligations.

### 3. Data Protection Breach

3.1 Without prejudice to Paragraph 3.2, each Party shall notify the other Party promptly and without undue delay, and in any event within 24 hours, upon becoming aware of any Personal Data Breach or circumstances that are likely to give rise to a Personal Data Breach relating to the data under Joint Controllorship, providing the other Party and its advisors with:

- (i) as much information as is known at that point in time and in a timescale which allows the other Party to meet any obligations to report a Personal Data Breach under the Data Protection Legislation;
- (ii) all reasonable assistance, including:
  - (a) co-operation with the other Party and the Information Commissioner investigating the Personal Data Breach and its cause, containing and recovering the compromised Personal Data and compliance with the applicable guidance;
  - (b) co-operation with the other Party including taking such reasonable steps as are directed by the Authority to assist in the investigation, mitigation and remediation of a Personal Data Breach;
  - (c) co-ordination with the other Party regarding the management of public relations and public statements relating to the Personal Data Breach;
  - (d) providing the other Party and to the extent instructed by the other Party to do so, and/or the Information Commissioner investigating the Personal Data Breach, with complete information relating to the Personal Data Breach, including, without limitation, the information set out in Paragraph 3.2.

3.2 Each Party shall take all steps to restore, re-constitute and/or reconstruct any Personal Data where it has lost, damaged, destroyed, altered or corrupted as a result of a Personal Data Breach as if it was that Party's own data at its own cost with all possible speed and shall provide the other Party with all reasonable assistance in respect of any such Personal Data Breach, including providing the other Party, as soon as possible and within 48 hours of the Personal Data Breach relating to the Personal Data Breach, in particular:

- (i) the nature of the Personal Data Breach;
- (ii) the nature of Personal Data affected;
- (iii) the categories and number of Data Subjects concerned;
- (iv) the name and contact details of the Contractor's Data Protection Officer or other relevant contact from whom more information may be obtained;
- (v) measures taken or proposed to be taken to address the Personal Data Breach; and

- (vi) describe the likely consequences of the Personal Data Breach.

#### **4. Audit**

4.1 The Contractor shall permit:

(a) the Authority, or a third-party auditor acting under the Authority's direction, to conduct, at the Authority's cost, data privacy and security audits, assessments and inspections concerning the Contractor's data security and privacy procedures relating to the relevant Personal Data where the parties are Joint Controllers and/or the Relevant Authority is a Controller, its compliance with this Annex 1 and the Data Protection Legislation.

(b) the Authority, or a third-party auditor acting under the Authority's direction, access to premises at which the relevant Personal Data where the parties are Joint Controllers and/or the Relevant Authority is a Controller is accessible or at which it is able to inspect any relevant records, including the record maintained under Article 30 of the GDPR by the Contractor so far as relevant to the Agreement, and procedures, including premises under the control of any third party appointed by the Contractor to assist in the provision of the Services.

4.2 The Authority may, in its sole discretion, require the Contractor to provide evidence of the Contractor's compliance with Paragraph 4.1 in lieu of conducting such an audit, assessment or inspection.

(a) Any audit or inspection permitted hereunder is not intended to include (i) any information related to the Supplier's provision of services to other clients or other client data residing on Supplier's computer systems or (ii) Supplier's general operating costs, overhead costs, or salary, timecards or other employee, personnel, and/or individual compensation records, or Supplier's profit and loss reports or other corporate financial records of Supplier; provided however, that if the Relevant Authority pays the Supplier on a time and materials basis, the audit shall include relevant timecards. The Relevant Authority agrees that any audit or access to Supplier's premises will be in a manner that minimises interference with the Supplier's business operations, and that any request by the Relevant Authority for an audit or access to the Supplier's premises may not be granted by the Supplier more than once in any 12 month period unless an audit is requested as a result of a data protection and/or security breach.

#### **5. Impact Assessments**

5.1 The Parties shall:

- (a) provide all reasonable assistance to each other to prepare any Data Protection Impact Assessment as may be required (including provision of detailed information and assessments in relation to processing operations, risks and measures);
- (b) maintain full and complete records of all Processing carried out in respect of the Personal Data in connection with this Agreement, in accordance with the terms of Article 30 of the GDPR.

## **6. ICO Guidance**

The Parties agree to take account of any guidance issued by the Information Commissioner and/or any relevant Central Government Body. The Authority may on not less than thirty (30) Working Days' notice to the Contractor amend this Agreement to ensure that it complies with any guidance issued by the Information Commissioner and/or any relevant Central Government Body.

## **7. Liabilities for Data Protection Breach**

7.1 If financial penalties are imposed by the Information Commissioner on either the Authority or the Contractor for a Personal Data Breach ("**Financial Penalties**") then the following shall occur:

- a) If in the view of the Information Commissioner, the Authority is responsible for the Personal Data Breach, in that it is caused as a result of the actions or inaction of the Authority, its employees, agents, contractors (other than the Contractor) or systems and procedures controlled by the Authority, then the Authority shall be responsible for the payment of such Financial Penalties. In this case, the Authority will conduct an internal audit and engage at its reasonable cost when necessary, an independent third party to conduct an audit of any such data incident. The Contractor shall provide to the Authority and its third party investigators and auditors, on request and at the Contractor's reasonable cost, full cooperation and access to conduct a thorough audit of such data incident;
- b) If in the view of the Information Commissioner, the Contractor is responsible for the Personal Data Breach, in that it is not a breach that the Authority is responsible for, then the Contractor shall be responsible for the payment of these Financial Penalties. The Contractor will provide to the Authority and its auditors, on request and at the Contractor's sole cost, full cooperation and access to conduct a thorough audit of such data incident.
- c) If no view as to responsibility is expressed by the Information Commissioner, then the Authority and the Contractor shall work together to investigate the relevant data incident and allocate responsibility for any Financial Penalties as outlined above, or by agreement to split any financial penalties equally if no responsibility for the Personal Data Breach can be apportioned. In



the event that the Parties do not agree such apportionment then such Dispute shall be referred to the Dispute Resolution Procedure set out in Schedule 8.3 (Dispute Resolution Procedure).

7.2 If either the Authority or the Contractor is the defendant in a legal claim brought before a court of competent jurisdiction (“**Court**”) by a third party in respect of a Personal Data Breach, then unless the Parties otherwise agree, the Party that is determined by the final decision of the court to be responsible for the Personal Data Breach shall be liable for the losses arising from such breach. Where both Parties are liable, the liability will be apportioned between the Parties in accordance with the decision of the Court.

7.3 In respect of any losses, cost claims or expenses incurred by either Party as a result of a Personal Data Breach (the “Claim Losses”):

- a) if the Authority is responsible for the relevant breach, then the Authority shall be responsible for the Claim Losses;
- b) if the Contractor is responsible for the relevant breach, then the Contractor shall be responsible for the Claim Losses: and
- c) if responsibility is unclear, then the Authority and the Contractor shall be responsible for the Claim Losses equally.

7.4 Nothing in Paragraphs 7.2-7.3 shall preclude the Authority and the Contractor reaching any other agreement, including by way of compromise with a third party complainant or claimant, as to the apportionment of financial responsibility for any Claim Losses as a result of a Personal Data Breach, having regard to all the circumstances of the breach and the legal and financial obligations of the Authority.

## **8. Termination**

If the Contractor is in material Default under any of its obligations under this Annex 1 (Joint Control Agreement), the Authority shall be entitled to terminate this Agreement by issuing a Termination Notice to the Contractor in accordance with Clause 23 (Termination on Default).

## **9. Sub-Processing**

9.1 In respect of any Processing of Personal performed by a third party on behalf of a Party, that Party shall:

(i) carry out adequate due diligence on such third party to ensure that it is capable of providing the level of protection for the Personal Data as is required by this Agreement, and provide evidence of such due diligence to the other Party where reasonably requested; and

(ii) ensure that a suitable agreement is in place with the third party as required under applicable Data Protection Legislation.

## **10. Data Retention**

The Parties agree to erase the relevant Personal Data for which the parties are Joint Controllers and/or the Relevant Authority is a Controller from any computers, storage devices and storage media that are to be retained as soon as practicable after it has ceased to be necessary for them to retain such Personal Data under applicable Data Protection Legislation and their privacy policy (save to the extent (and for the limited period) that such information needs to be retained by a Party for statutory compliance purposes or as otherwise required by this Agreement), and taking all further actions as may be necessary to ensure its compliance with Data Protection Legislation and its privacy policy.

## Order Schedule 20 (Order Specification)

### Background and scope

- 1.1 [The Accelerating Reform Fund](#), announced on 24 October 2023, will **support local places to embed and scale new approaches to providing care and support to local citizens**. The main aims of the Fund are to drive innovative ways of delivering services and kickstart a change for improved services for unpaid carers. The Fund is designed to promote partnership working across local areas, as well as the sharing of learning and best practice nationally.
- 1.2 **Local authorities, working collaboratively with local authorities and other partners in their Integrated Care System (ICS) geographies, including the NHS, care providers, and voluntary and community sector groups, will be able to take forward projects relevant to their local contexts**. Decision-making by local areas on how to spend the funding will be guided by a [published list](#) of priorities, which includes illustrative innovative interventions ripe for scaling. The purpose of the ARF is to support at least two projects in each area, with at least one having a particular focus on unpaid carers. The Fund is intended to act as seed funding to cover some core project start-up and ongoing programme costs.
- 1.3 **A support offer provided by the Social Care Institute for Excellence (SCIE) will help local areas develop partnerships, refine proposals and deliver projects, ensuring participants benefit from valuable shared learnings, peer support and expert insights**. SCIE will help identify issues and challenges, galvanising co-production and ensuring people who need care and unpaid carers are at the heart of the programme, giving support through the lifespan of projects until the end of March 2025. The support offer is intended to maximise participation in and successful delivery of the fund.

- 1.4 **The Fund is being split into two payments to local authorities.** The first payment will be made in March 2024 for 2023 to 2024, with a further payment to be made in 2024 to 2025 (date not yet determined but scheduled for around early Autumn 24/25). The second tranche of grant payments in 2024 to 2025 will be conditional on completion of mid-grant progress reporting by local areas to DHSC. As the Fund is non-ringfenced, the funding can be rolled over into 2025/26.
- 1.5 **The Department of Health and Social Care (DHSC) ('The Authority') is commissioning an evaluation to inform local and national understanding and decision-making around the commissioning and scaling of innovative care and support services, including those for unpaid carers.** This will involve a process evaluation of the Fund that provides insight into how local areas can be best supported to embed and scale new approaches to providing care and support to local citizens. It will also require the collation of locally led assessments of impact of funded innovations to build the evidence base and support future uptake of innovative approaches to the delivery and improvement of care services, and those for unpaid carers.
- 1.6 **The Authority requires a Supplier with large fieldwork capacity and appropriate topic expertise.** Ideally, they will have relevant experience designing and delivering public-facing evaluations, working with local authorities, a good understanding of adult social care policy, and are able to choose and apply a mixture of analytical approaches. The Supplier must be able to clearly report and present data, share findings and consider the policy implications of the evaluation.
- 1.7 **The Authority requires the Supplier to complete both quantitative and qualitative analysis for different stages of the research and then be able to interpret the findings for the data which is collected.** The Authority welcomes Bidders to suggest the methods they may use for this step of the research.

## 2. Aims and research questions

2.1 Evidence is required to evaluate the Accelerating Reform Fund (ARF). The evaluation has two workstreams:

- (a) The process evaluation will evidence whether the Fund and SCIE's support offer has supported local areas to overcome barriers and created the conditions for innovations in adult social care to be embedded and scaled up.
- (b) The collation of locally led assessments of impact will seek to improve the evidence base of funded innovations to support the future uptake of innovative approaches to the delivery and improvement of care services, and those for unpaid carers.

2.2 The Authority requires the evaluation to address the following general research questions:

- (a) **Has the Fund supported local areas to overcome barriers and created conditions for the embedding and scaling of innovations in adult social care?** The following sub-questions have been identified for this question:
  - (i) What are the main barriers to scaling innovation?
  - (ii) What enables local areas to overcome barriers to embed and scale innovations?
  - (iii) What aspects of the Fund enable local areas to overcome the barriers and create conditions for the embedding and scaling of innovations?
  - (iv) Has the Fund increased collaboration between local authorities, local care providers and local health and community organisations?
  - (v) Did the choice to allocate funding via consortiums within ICS footprints affect the extent to which the Fund was impactful?

- (vi) Was the department's setting of 12 national priorities effective (see definitions in Annex) in local areas embedding and scaling innovation?
- (vii) What is needed for local areas to be able to deliver innovative approaches in a sustainable and lasting way post-delivery of the Fund?
- (b) **Has the SCIE support offer helped local areas to overcome barriers and to embed and scale innovation in adult social care?** The following sub-questions have been identified for this question.
  - (i) Has the support offer gathered evidence on how to embed and scale innovation and overcome barriers?
  - (ii) Has the support offer helped local areas to identify challenges and opportunities for scaling?
  - (iii) Has the support offer helped facilitate partnership building between local authorities and care providers?
  - (iv) Has the support offer helped local areas to co-produce projects with people with lived experience and carers?
  - (v) Has the support offer helped facilitate peer learning, sharing and support?
  - (vi) Has the support offer helped local areas effectively collate, report and capture their project progress, outputs and outcomes?
- (c) **What are the impacts of embedding and scaling innovative approaches to delivering care and supporting unpaid carers?** The following sub-questions have been identified for this question.
  - (i) What are the different outcomes, short-term and long-term, that are being measured as part of the scaling of innovative approaches?

- (ii) What specific innovations deliver positive or negative outcomes and for whom, and can these outcomes be found across multiple local areas?
- (iii) What contextual factors (e.g., local leadership, engagement from local people, extra capacity) influence the successful implementation and positive outcomes associated with different interventions?
- (iv) Have any of the innovative approaches had an impact on the wider health and care system (e.g., workforce changes or reduction in demand for NHS services)?

### 3. Suggested research methodology

- 3.1 The Authority proposes that this evaluation will involve a multi-year qualitative process evaluation involving interviews with stakeholders from relevant local systems across adult social care services and the support and collation of locally led assessments of impact across the lifetime of the Fund. Timelines for deliverables are detailed in the timetable section.
- 3.2 Bidders are welcome to suggest further research questions as well as alternative or additional methodologies to deliver the outputs. Any alternatives or additional methodologies will need to be adequately justified as fulfilling the Authority's research aims. The methodological approach put forward by the bidder should be as non-burdensome as possible to local areas.
- 3.3 **The Authority expects the Supplier to lead on, with input from the Authority:**
- (a) Development of an evaluation framework and a theory of change.
  - (b) Survey (three waves) of the consortia's experiences of accessing and engaging with the Fund and SCIE support offer.
  - (c) Interviews (three waves) to provide more detailed insights about access and engagement with the Fund and SCIE support offer.
  - (d) Development of case studies which highlight the different funded innovations.
- 3.4 **The process evaluation is expected to include the development of an evaluation framework and a theory of change for the Fund.** This should involve:
- (a) a review of the key policy documentation.
  - (b) scoping interviews with DHSC policymakers who have been involved in the development of the Fund.



- 3.5 **The process evaluation is expected to include a survey that captures the broad range of experiences that consortia have when accessing and engaging with the Fund and the SCIE support offer.** Three surveys are expected to be required across the lifetime of the Fund to ensure evidence is gathered on experiences of accessing the Fund (e.g., the EoI process) and subsequent experiences following each tranche of funding.
- 3.6 Each survey is expected to provide insight from a range of different innovation priorities, geographical regions, sizes of ICSs and levels of funding. The successful evaluator will work with the Authority and SCIE to identify and contact the relevant representatives from the consortia. The Authority welcomes the Supplier's views on how they might want to engage with the consortia for the purpose of the survey.
- 3.7 The Authority proposes that the survey is completed online and be short in length to minimise the burden on local areas. The successful evaluator would be responsible for designing and analysing the survey results.
- 3.8 **The Authority are interested in capturing the range of experiences of accessing and using the Fund and the SCIE support offer so require the process evaluation to deliver three waves of interviews** between May 2024 and June 2025, across the lifetime of the Fund.
- 3.9 The first interview wave is expected to provide insight into experiences of accessing the Fund, the second wave will provide insight into experiences of local authorities using the fund after the first payment has been received and the third wave will provide insights into experiences of local authorities after both payments have been made.
- 3.10 There should be a minimum of 6 interviews for each wave of the evaluation (18 interviews in total across the three waves). At least 5 of these interviews should include representatives of consortia across England (e.g., the Senior Responsible Officer). At least 1 interview with a representative from SCIE to gain insight into their views of the support offer is also required.

- 3.11 The evaluation is also expected to capture the views and experiences of any consortia who have not applied for funding. At least 2 interviews with any relevant consortia is expected.
- 3.12 Interviews should include consortia which cover a range of geographical areas, sizes of ICSs and received different levels of funding. The Authority are also interested in capturing the experiences of local areas who must choose between joining two different consortia. The successful Supplier is expected to work with the Authority and SCIE to identify and contact the relevant representatives from the consortia.
- 3.13 The Authority proposes that the interviews be completed online. The Authority expects interviews to take approx. 1-1.5 hours to complete. The number, method and approach for completing the interviews can be proposed, and is open to change if there is appropriate justification by the Supplier for doing so.
- 3.14 **The successful Supplier are expected to work closely with SCIE to support the ongoing development / refinement of their support offer.** Findings from the process evaluation should be shared with SCIE on an iterative basis to support their internal reviews of the support offer, currently scheduled for October 2024 and February 2025.
- 3.15 **The Supplier expected to lead on the collation of local assessments of impact to support the future uptake of innovative approaches to the delivery and improvement of care services, and those for unpaid carers.**
- 3.16 This will involve providing recommendations on evaluation materials shared with local areas at the beginning, mid-point and endpoint of the evaluation. It will also include providing guidance to local areas on how to complete high quality evaluation reports. Bidders can propose creative ways by which they might disseminate knowledge to local areas, such as a best practice guide or delivering a webinar on conducting an effective assessment of impact. With any method chosen, the Supplier would be required to produce a separate Q&A document, answering commonly asked questions from local areas.

- 3.17 The Authority requires a Supplier who can understand the complexity of the evaluation, and thus recognise the impact this will have on the evaluation framework that is selected and the extent to which impacts can be learned by July 2025. The Authority anticipates that there will be a wide variety of projects funded by the ARF, and consortia will be assessing a wide range of potential outcomes in their assessments of impact. Furthermore, some projects will be in the early-stages of implementation, while others will have been running for some time. There will be limitations to what outcomes can be found after only 12 months of receiving the funding, particularly for the newer innovations.
- 3.18 The Authority will be responsible for the collection of locally led assessments of impact through mid and end grant progress reports, with the successful Supplier leading on the collation and analysis of locally led assessments of impact. This is likely to include high-level analysis of any reported qualitative and quantitative impacts of local innovations to identify any patterns and trends that can enable conclusions to be drawn about the effectiveness of funded innovations.
- 3.19 Bidders should consider how they will work closely with SCIE and the Authority (DHSC) to ensure that the collation and analysis of locally led assessments of impact does not duplicate any data / information collected from local areas by SCIE to tailor their support offer and does not place undue burden on local authorities.
- 3.20 **The Supplier is expected to develop a range of case studies that considers the context (e.g., geographical, cultural and socio-economic factors) in which innovations are being delivered.** These case studies should seek to provide further insight into the factors that shape the successful implementation and outcomes of an innovation delivered within a local area.
- 3.21 Case studies should cover a range of projects across the 12 national priorities (including those specifically to support unpaid carers) and different ICS regions. They should also include innovations that deliver a range of outcomes, and those which have not been successfully embedded and scaled. When the contract has commenced, the Supplier

will have the opportunity to meet with policy colleagues to discuss the selection of case studies.

- 3.22 These case studies are expected to include interviews with relevant stakeholders in the local area, including bringing in views of people who draw on support and their carers. Bidders should highlight how they might capture these perspectives in the case studies to inform DHSC and SCIE's understanding of outcomes and impacts of the innovations on these groups of interest.

## 4. Outputs

- 4.1 **The main output shall be a final research report summarising the findings from the independent process evaluation of the Fund and the SCIE support offer.** The final report should be delivered by July 2025. This should draw conclusions about the main research questions and provide a final assessment of the Fund. It should cover all processes of the Fund, detailed [here](#). The report should also comment on lessons learned to be considered for future policy decisions around scaling innovation. This should include a non-technical executive summary for policymakers and a technical report for analysts, setting out the methodology, analysis, and quality assurance processes of the evaluation. Limitations and caveats of the evaluation should also be communicated clearly throughout the report. The final report should also recommend any potential next steps for the Fund, that have been suggested by the collected evidence.
- 4.2 **Throughout the delivery of the Fund, the Supplier is expected to deliver two interim reports following the first two waves of the process evaluation to provide iterative feedback to DHSC and SCIE about the Fund's delivery.** The first report will focus on the first stages of the funding process. This should cover the forming of a consortium, completing the expression of interest form and signing the memorandum of understanding. The second report will focus on the receipt of the first payment, the reporting process and the SCIE support offer delivered by that point. This will help the Authority understand if anything may require adjustment in the delivery of the support offer between the first and second set of funding being delivered.
- 4.3 **Once the Supplier has been agreed and the process evaluation begins, the Authority would recommend the Supplier produces an evaluation framework which sets out the approach of the process evaluation.** This should detail how the proposed methods included in the process evaluation will address the evaluation questions.
- 4.4 **As part of the beginning stage of the process evaluation, the Supplier should produce a Theory of Change document to understand how the Fund will achieve its intended outcomes.** This

would be shared with the different stakeholders and unify understanding across the groups.

- 4.5 **The Supplier would be expected to deliver a separate report to summarise the reported impacts of the different innovations.** This document would provide a high-level summary of any emerging findings from the local assessments of impact. It would consider which innovative approaches are associated with positive outcomes, the mechanisms which were required for successful implementation and how they were embedded for maximum impact. This would include a technical report detailing the findings to DHSC, and an accessible and digestible output for local authorities, highlighting any best practice. The Authority welcomes suggestions on the format for how these collated assessments can be presented. Limitations and caveats of the local assessments of impact should also be communicated clearly throughout the report.
- 4.6 Following the submission of the mid-grant progress reports, the Supplier should provide a policy briefing, highlighting, where relevant, any emerging, short-term trends from the assessments of impact.
- 4.7 The Authority requires any data to be transferred to us in an agreed GDPR adherent format.
- 4.8 **Timelines for deliverables are detailed in the timetable section.** Bidders are invited to suggest other relevant outputs of the research project which may add value while still working within the budget and required key project milestones.
- 4.9 The Supplier shall ensure that appropriate quality assurance processes are built into their methodology and that analysis adheres to the standards outlined in [the Aqua book](#)<sup>1</sup>. The DHSC project team must have sight of all research instruments, sampling plans and any other key documentation prior to use for quality assurance purposes. Bidders should build in appropriate time into their project plan for sign off from DHSC.
- 4.10 The Authority requires regular contact and progress updates outside of the outputs described in this section. A communication plan shall be agreed with the successful bidder at contract award and will be updated through contract.

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<sup>1</sup> The Aqua Book, HM Treasury, 2015.  
RM6126 - Research & Insights DPS  
Project Version: v1.0  
Model Version: v1.3

- 4.11 Reports must adhere to departmental style guides and accessibility requirements. Draft reports must be submitted to the Authority project team for feedback.
- 4.12 The Supplier shall deliver a project plan at the beginning of the contract which will require the Authority's approval.
- 4.13 **The Supplier will be subject to the following Key Performance Indicators categories (KPIs):**
  - (a) Report and output quality, and actioning of feedback
  - (b) Communication Plan
  - (c) Schedule

Further KPI details are available in the Annex.

## 5. Project management and ethics

### Ethical issues

- 5.1 The contractor is expected to obtain the relevant ethical clearance for the research and adhere to the requirements of the [Ethical Assurance for Social Research in Government](#)<sup>2</sup> and the [Social Research Association](#)<sup>3</sup>.

### Data protection

- 5.2 The data collected during the project will potentially be sensitive. The Supplier shall comply with GDPR and departmental data protection policy.
- 5.3 The Supplier will share all data with us in a GDPR compliant manner. The Supplier is expected to have a plan about how they will handle the data collected in compliance with GDPR and departmental data protection policy.

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<sup>2</sup> GSR Professional Guidance: Ethical Assurance for Social and Behavioural Research in Government, GSR, 2021.

<sup>3</sup> Research Ethics Guidance, Social Research Association, 2021.



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| KPI'S   |  |   |  |   |   |   |
|---------|--|---|--|---|---|---|
| KPI No. | KPI Name   | KPI Description   | Lead Time  | Failing   | Approaching   | Achieved  |
| 1       | Report and output quality, and actioning of feedback | <p>The Supplier shall deliver the interim reports and final outputs promptly at Authority agreed points in the contract.</p> <p>The Authority shall provide feedback on drafts for the supplier to address before the final report is due. The Supplier shall respond to all feedback from the Authority, as per the Authority's instructions. The Supplier and the Authority shall come to</p> | <p>As agreed within the project timetable with the Authority at the start of the contract.</p> <p>10 (ten) Business days after Feedback from Authority is received of draft report. - The updated report should be delivered to the Authority representatives 10 (ten) business days</p> | <p>The Supplier has addressed less than three-quarters of the feedback (less than 75% of recommendations from the Authority) to the satisfaction of the Authority and/or has been addressed as per the agreement between the Authorities policy representatives and the Supplier.</p> | <p>The Supplier has addressed most of the feedback (between 75% -100% of recommendations from the Authority) to the satisfaction of the Authority and/or has been addressed as per the agreement between the Authorities policy representatives and the Supplier.</p> | <p>The Supplier has addressed all feedback to the satisfaction of the Authority and/or has been addressed as per the agreement between the Authorities policy representatives and the Supplier.</p> |

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|  |  | <p>an agreement on whether the feedback has been addressed appropriately.</p> <p>The reports and outputs will be appropriately quality assured to a standard agreed with the Authority.</p> <p>The final project report will be delivered to GSR publication standards and in the appropriate templates agreed with DHSC.</p> | <p>after feedback is received of draft report, unless otherwise agreed by the Authority.</p> |  |  |  |
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| 2 | Communication Plan | <p>Weekly (or fortnightly where agreed) meetings with the Authorities' Operational Contract manager, to discuss the progress of the project and to provide updates to the Authority. Weekly meeting must include representatives from Supplier and the Authority.</p> <p>The Authority and Supplier may come to an agreement to postpone the weekly meeting or replace the weekly meeting with a written update, both parties must agree.</p> | <p>Agreement to postpone or change the weekly meeting shall be sought 5 (five) working days before the scheduled meeting.</p> <p>The supplier shall inform the Authority of any risk or issue arising during the contract within 2 (two) Business days of the Supplier becoming aware of the issue.</p> <p>The Supplier shall acknowledge receipt of formal queries and</p> | <p>The Supplier, and/or other required attendees, have attended less than 75% weekly meetings with the Authorities' Operational Contract manager, to discuss the progress of the project and to provide updates to the Authority, unless a written update is otherwise agreed by the Authority.</p> <p>AND/OR</p> <p>The Supplier has updated the risk register and communicated issues within more than 5 (five) days of the supplier</p> | <p>The Supplier, and/or other required attendees, have attended between 75% - 100% of weekly meetings with the Authorities' Operational Contract manager, to discuss the progress of the project and to provide updates to the Authority, unless a written update is otherwise agreed by the Authority.</p> <p>AND/OR</p> <p>The Supplier has updated the risk register and communicated issues within 5 (five) business days of the supplier</p> | <p>The Supplier, and/or other required attendees, have attended all weekly meetings with the Authorities' Operational Contract manager, to discuss the progress of the project and to provide updates to the Authority, unless a written update is otherwise agreed by the Authority.</p> <p>AND/OR</p> <p>The Supplier has updated the risk register and</p> |
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**DPS Schedule 6 (Order Form Template and Order Schedules)**

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|  |  | <p>The Supplier shall update a Risk Register in advance of the weekly meeting with the Authority.</p> <p>The Supplier shall inform the Authority of issues arising during the contract which could impact timelines/outcomes of reports. The Supplier shall make the Authority aware of the risk and the mitigating actions that shall be taken in response as well as the impact that the risk could have on the project.</p> <p>The Supplier shall respond to the Authority's formal queries</p> | <p>requests from the Authority within 2 (two) business days of receiving.</p> | <p>becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has given receipt of a formal query or request from the Authority within 10 (ten) business days of receiving.</p> | <p>becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has given receipt of a formal query or request from the Authority within 5 (five) business days of receiving.</p> | <p>communicated issues within 2 (two) business days of the supplier becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has given receipt of a formal query or request from the Authority within 2 (two) business days of receiving.</p> |
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**DPS Schedule 6 (Order Form Template and Order Schedules)**

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|   |          | and requests in a timely manner.   |   |  |   |  |
| 3 | Schedule | <p>The Supplier will make the Authority aware of possible delays to the schedule in a timely manner and reflect these in a Risk Register.</p> <p>The Supplier will complete project milestones in a timely manner consistent with the timetable as agreed in the final contract, unless otherwise agreed with the Authority.</p> | <p>The Supplier shall inform the Authority of any possible delay arising during the contract within 2 Business days of the supplier becoming aware of the issue.</p> <p>The Supplier has completed project milestones as set out in the schedule, unless otherwise agreed with the Authority.</p> | <p>The Supplier has informed the Authority of a possible delay arising during the contract more than 5 (five) Business days of the supplier becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has completed each project milestone within 15 (fifteen) business days of</p> | <p>The Supplier has informed the Authority of a possible delay arising during the contract within 5 (five) Business days of the supplier becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has completed each project milestone within 10 (ten) business days of the</p> | <p>The Supplier has informed the Authority of a possible delay arising during the contract within 2 (two) Business days of the supplier becoming aware of the issue.</p> <p>AND/OR</p> <p>The Supplier has completed each project milestone within dates</p> |

# **DPS Schedule 6 (Order Form Template and Order Schedules)**

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|  |  | The Supplier shall deliver a draft final report, to GSR publication standard, to the Authority representatives at the completion of the project analysis, at a date agreed in the final contract. Final reports and outputs will cover the details specified within the final contract unless otherwise agreed in writing by the Authority' | 10 (ten) Business days after Feedback from Authority is received of draft report. - The updated report should be delivered to the Authority representatives 10 (ten) business days after feedback is received of draft report, unless otherwise agreed by the Authority. | the projected end date within the schedule, unless otherwise agreed with the Authority.<br><br>AND/OR<br><br>The Supplier has delivered an updated report over 16 (sixteen) business days of the Authority issuing feedback of draft report, unless otherwise agreed by the Authority. | projected end date within the schedule, unless otherwise agreed with the Authority.<br><br>AND/OR<br><br>The Supplier has delivered an updated report between 11 (eleven) and 15 (fifteen) business days of the Authority issuing feedback of draft report, unless otherwise agreed by the Authority. | agreed in the schedule, unless otherwise agreed with the Authority.<br><br>AND/OR<br><br>The Supplier has delivered an updated report within 10 (ten) business days of the Authority issuing of draft report feedback, unless otherwise agreed by the Authority. |
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