

DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

Part 1: Letter of Appointment

Dear Sir or Madam

Letter of Appointment - CCSN19A30 - Planning and Preparing for Later Life 2019

This letter of Appointment dated 29th August 2019, is issued in accordance with the provisions of the DPS Agreement (RM6018) between CCS and the Supplier.

Capitalised terms and expressions used in this letter have the same meanings as in the Contract Terms unless the context otherwise requires.

Order Number:	CCSN19A30
From:	Department for Work and Pensions ("Customer")
To:	NatGen Social Research ("Supplier")

Effective Date:	26th September 2019
Expiry Date:	End date of Initial Period 30 th September 2020. End date of Maximum Extension Period 30 th December 2020. Minimum written notice to Supplier in respect of extension: 1 day.

Services required:	Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by: <ul style="list-style-type: none">· the Customer's Project Specification attached at Annex A and the Supplier's Proposal attached at Annex B; and
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Key Individuals:	For the Customer: REDACTED
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	For the Supplier: REDACTED
[Guarantor(s)]	N/A

Contract Charges (including any applicable discount(s), but excluding VAT):	The total contract charge is £656,959.53, excluding VAT but including all expenses. The contract charge is comprised as shown overleaf:
Insurance Requirements	Insurance will operate in accordance with the provisos of Clause 19 of the Contract Terms.
Liability Requirements	Supplier's limitation of Liability (Clause Error! Reference source not found. of the Contract Terms).
Customer billing address for invoicing:	REDACTED Shared Services Helpline: REDACTED

GDPR	Please see: SCHEDULE 7: X, PERSONAL DATA AND DATA SUBJECTS Within the Terms and Conditions of Contract document, provided separately.
Alternative and/or additional provisions (including Schedule 8(Additional clauses)):	N/A

FORMATION OF CONTRACT

BY SIGNING AND RETURNING THIS LETTER OF APPOINTMENT (which may be done by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Services in accordance with the terms of this letter and the Contract Terms.

The Parties hereby acknowledge and agree that they have read this letter and the Contract Terms.

The Parties hereby acknowledge and agree that this Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of this letter from the Supplier within two (2) Working Days from such receipt

For and on behalf of the Supplier:

For and on behalf of the Customer:

Name and Title:

REDACTED

Signature:

REDACTED

Date:

Name and Title:

REDACTED

Signature:

REDACTED

Date:

ANNEX A

Customer Project Specification

1. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

- 1.1 In order to ensure maximum value from a new survey, the Authority commissioned a survey feasibility study, published in February 2019 that proposed a range of costed options detailing relevant implementation methods and sample strategies. The feasibility study considered the benefits and limitations of each design proposed.
- 1.2 The feasibility study included a thorough review of existing survey and administrative data sources against the Authority's evidence needs along with an assessment of possible options to enhance, better utilise or combine these sources. The evidence needs can be categorised into three main policy areas:
- i. **Freedom and choice** – following the introduction of the new pension flexibilities, understanding why people do or do not choose different options for accessing defined contribution pension savings, how these fit into their retirement plans, how they engage with the different products and what the consequences of making these decisions are for the future.
 - ii. **Saving decisions** - better understanding attitudes people have towards saving for retirement. What savings are people already making, how they view them, what plans they have made (if any) for their retirement income and whether they expect it to be sufficient.
 - iii. **Working and retirement decisions** - understanding people's current employment situation, access to flexible working, access to training and retraining, employer support for older workers, age-related discrimination, perceived employer attitudes towards older workers, early retirement and reasons for it, as well as aspirations to work later in life and what motivates people to do it.
- 1.3 This new survey is required to supply timely and relevant quantitative research evidence on the attitudes, behaviours, experience and intentions of a representative sample of the population regarding later life - providing an important evidence base to inform current and future policy.

2. SCOPE OF REQUIREMENT

- 2.1 The Supplier is required:
- 2.1.1 To understand the impact of the new pensions flexibilities on attitudes and behaviours around pension saving and planning for later life.
 - 2.1.2 To provide evidence to support policy development around income adequacy in retirement.

2.1.3 To gather evidence to inform the Fuller Working Lives agenda, specifically its focus on measures that allow and encourage people to stay in work for longer.

2.1.4 To develop the evidence base around the self-employed and planning for later life.

2.2 The table below outlines the key research objectives and research questions underlining these:

Research objective		Research questions
1	To understand the impact of the new pensions flexibilities on attitudes and behaviours around pension saving and planning for later life.	<p>How do people use the new pension flexibilities (freedom and choice) and what implications does this have on their future financial circumstances and life in retirement?</p> <p>Why do people choose different options for accessing defined contribution pension savings? How does this fit into retirement plans?</p> <p>Do the pension flexibilities facilitate continued labour market attachment, or are they used to support early labour market exit?</p> <p>What are the key decision making points and the role of information, advice and guidance?</p>
2	To provide evidence to support policy development around income adequacy in retirement.	<p>What attitudes do people have towards saving for retirement and how do these relate to actual behaviour?</p> <p>What savings do people have, what plans have they made for their retirement and do they expect these to be sufficient?</p>
3	To gather evidence to inform the Fuller Working Lives agenda, specifically its focus on measures that allow and encourage people to stay in work for longer.	<p>What are the processes in place when taking the decision to retire?</p> <p>What are the reasons that underlie this decision and which factors would have allowed people to stay in work for longer?</p> <p>How does an individual's current employment situation affect their view of work and retirement?</p> <p>What is the influence of access to flexible work, training/retraining and employer support for older workers?</p>

		<p>To what extent does age-related discrimination and perceived employer attitudes towards older workers play a role?</p> <p>What are peoples' aspirations to work later in life and what motivates them to do it?</p>
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- 2.2.1 The Supplier will ensure research questions are considered for differences in responses by demographic and other characteristics (particularly the self-employed).

3. THE REQUIREMENT

3.1 Methodology

- 3.1.1 Innovative means of achieving the aims of the project are welcome however in order to meet the aims and objectives of this research, we envisage that this initial procurement of a Planning and Preparing for Later Life project will comprise a cross sectional social survey of an achieved sample of 2000 individuals aged 40-75. The suggested mode, based on considerations raised in the published feasibility study is face-to-face interviews with individuals. An additional boost of 300 self-employed people will strengthen the utility of the sample regarding a key topic of interest to policy.
- 3.1.2 The average optimal interview length is envisaged at approximately 45 minutes. The Supplier should give careful consideration to how survey response rates can be maximised.
- 3.1.3 A pilot stage and cognitive testing should be scheduled to test questions new to this survey, which may include some probing questions to test understanding of a small number of key concepts.
- 3.1.4 The sample source for the survey will be respondents to the Family Resource Survey (FRS) 2017/18 who have agreed to be re-contacted.
- 3.1.5 A benefit of utilising the FRS as a sample source is that detailed financial and demographic data has already been collected for participants, maximising interview time. However, proposals should clarify the proposed means to ensure collected information is up to date and relevant without taking significant time away from the topics of key interest from the PPLL questionnaire.
- 3.1.6 Proposals should set out how the work will be conducted to facilitate future repeat cross-sectional Planning and Preparing for Later Life surveys at intervals in later years.

3.2 Fieldwork timetable

- 3.2.1 Upon completion of the tender exercise, we anticipate the project beginning in September 2019, with fieldwork taking place between February 2020 and the June 2020. Given the importance of the survey findings, the Authority expects thorough quality assurance of the findings report and survey dataset. We therefore anticipate publication of written outputs in 2020.

3.3 Sampling

3.3.1 The sample source will be the Authority's Family Resources Survey (FRS). The sample will be drawn from those who have consented to be re-contacted for additional surveys.

The sample design should, in combination with fieldwork design and appropriate weighting, enable analysis and findings which are representative of the general GB population aged 40 – 75 years old, including an even gender split and representative income distribution. Proposals should set out how the survey design will take account of other key variables likely to have an influence on planning and preparing for later life. Reference should be made to relevant national statistics regarding the current characteristics and circumstances of the sub-groups of interest, to ensure the research design minimises any risk of producing misleading findings. As a minimum, these other key variables should include:

- Housing tenure (own outright; owning with a mortgage; renting).
- Household type (notably singles vs. co-habiting couples).
- Geographical location. The interviews should cover Great Britain (England, Scotland and Wales) although we assume the majority of interviews will be in England. Careful consideration should be given to regional coverage, given likely variations in many of the factors which influence planning and preparing for later life.

3.3.2 The FRS is a household survey. Proposals should discuss the cost benefits on the survey data of interviewing multiple respondents in a single household.

3.4 Analysis and reporting

3.4.1 Analysis will utilise the wide range of data collected by the FRS and the Planning and Preparing for Later Life survey, and key break variables for analysis will include:

- Age bracket – in 5 or 10-year age ranges.
- Gender.
- Income – proposals should suggest relevant breakdown of income brackets.
- Household tenure.
- Self-employed v employees.

3.4.2 The exact content of the report, and the information the Authority requires to be delivered regularly will be discussed throughout the project.

3.5 Outputs required

- 3.5.1 A full proposal for the research, agreed with and signed off by the Authority.
- 3.5.2 Fieldwork materials signed off by the Authority (including pilot and main stage questionnaire(s), advance letter and data capture material).
- 3.5.3 Regular (e.g. fortnightly) reporting of key findings to the Authority, throughout the fieldwork period, including feedback following piloting of the survey.
- 3.5.4 Presentations of interim and full findings.
- 3.5.5 An acceptable report containing the full findings written to the Authority's standards (as set out in the [DWP style guide](#)) with drafts as necessary.
- 3.5.6 A separate technical/methodological report.
- 3.5.7 A standalone summary of the research report.
- 3.5.8 Set of cross-tabulations setting out findings by main sub-groups of interest.
- 3.5.9 A fully documented, cleaned and weighted final dataset (in SPSS and SAS) and Syntax, for use within the Authority and possibly more widely.
- 3.5.10 A data dictionary or variable list to accompany the final dataset.
- 3.5.11 A full list of validation procedures, grossing, imputation procedures, syntax for the publication of tables and charts, and the specification of derived variables for each dataset.

4. KEY MILESTONES AND DELIVERABLES

- 4.1 The following Contract milestones shall apply:

Milestone	Description	Timeframe
1	Set-up meeting	September 2019
2	Questionnaire development	September – November 2019
3	Cognitive testing and piloting	November 2019 – January 2020
4	Mainstage fieldwork	February 2020 – May 2020
5	Data cleaning	May 2020 – June 2020
6	Analysis	June 2020 – July 2020
7	Presentation of early findings	July 2020
8	Delivery of full dataset	July 2020
9	Presentation of full findings	August 2020
10	First draft of written report	August 2020
11	Final draft of report agreed	September 2020

5. MANAGEMENT INFORMATION/REPORTING

- 5.1 The Authority shall provide a named project manager to liaise with the Supplier upon award.
- 5.2 As a minimum, reporting during the contract period will consist of the processes described in paragraphs 12.2.1 and 18.1 of this document.

6. VOLUMES

- 6.1 The Authority cannot provide any assurances regarding volumes of work.

7. CONTINUOUS IMPROVEMENT

- 7.1 The Supplier will be expected to continually improve the way in which the required Services are to be delivered throughout the contract duration.
- 7.2 Changes to the way in which the Services are to be delivered must be brought to the Authority's attention and agreed prior to any changes being implemented.

8. SUSTAINABILITY

- 8.1 The Authority does not anticipate any sustainability considerations that the Supplier must comply with under contract.

9. QUALITY

- 9.1 Please refer to guidance on quality assurance set out in Section 16 on Service Levels and Performance.
- 9.2 The Supplier shall have sound processes for quality assurance in place and should demonstrate their internal procedures to assure and control quality in all aspects of the study within their proposal. This includes:

- 9.2.1 Specified and clearly defined procedures for working closely with the Authority through weekly updates.
 - 9.2.2 Specified and clearly defined procedures for quality assuring methodological design proposals.
 - 9.2.3 Interview quality control procedures, including details of how interviewers are trained and briefed, how response rates are maximised, and how interviewer and respondent error is managed.
 - 9.2.4 Specified and clearly defined procedures in place for handling complaints from potential and actual respondents.
- 9.3 The Supplier shall assess the key risks to the project. The Supplier shall identify the most significant risks to successful completion of the programme of work, assess the degree of risk (likelihood and impact) and set out strategies for minimising these risks and managing the consequences if problems occur, including revising methodologies where appropriate. Ethical issues should also be considered (see the guidelines on [Ethical Assurance for Social Research in Government](#)).

10. STAFF AND CUSTOMER SERVICE

- 10.1 The Supplier shall provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service.
- 10.2 The Supplier's staff assigned to the Contract shall have the relevant qualifications and experience to deliver the Contract to the required standard. Specifically this should be:
 - 10.2.1 Staff qualified and experienced at designing and conducting quantitative surveys with individuals and households.
 - 10.2.2 Staff qualified and experienced at conducting quantitative analysis of survey data and writing clear and succinct analytical research reports.
 - 10.2.3 Experience of delivering research related to the subject area would be advantageous, but not essential.
- 10.3 The Supplier shall ensure its staff understand the Authority's vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

11. SERVICE LEVELS AND PERFORMANCE

- 11.1 The Authority will measure the quality of the Supplier's delivery by:

KPI/SLA	Service Area	KPI/SLA description	Target
1	Service Delivery	Adherence to the Milestones.	100%
2	Project Management	Attendance at all meetings as detailed in the Milestones.	100%
3	Report Delivery	Delivery of Final Report as detailed in the Milestones.	100%

- 11.2 In the event of poor performance through the failure to deliver KPIs to time and of appropriate quality, the Authority shall meet with the Supplier to understand the root causes of the issue. The Supplier shall formulate a Performance Improvement Plan to rectify these issues and meet the requirements in this Statement of Requirements.
- 11.3 The Authority may, without prejudice to any other rights and remedies under this Contract, withhold or reduce payments in the event of unsatisfactory performance.
- 11.4 If poor performance continues, following formal written warnings, early termination of the Contract will also be considered.
- 11.4.1 The Authority will monitor the work of the Supplier throughout the Research Project through regular contact between the Supplier and The Authority's day-to-day contact.
- 11.4.2 The Authority will manage poor performance by the Supplier as set out in section 15 and in line with the terms and conditions of the resultant Contract.

12. SECURITY AND CONFIDENTIALITY REQUIREMENTS

- 12.1 The Supplier will be required to complete a Generic Security Assurance Document to provide assurances that data security procedures meet the Authority's standards upon award.
- 12.2 All transfers of personal data to and from the Authority must meet the Authority's security standards as agreed in the Generic Security Assurance Document.
- 12.3 Any transfers of data to and from the Supplier and any sub-contractor must meet the Authority's security standards, using PGP encryption software or equivalent.
- 12.4 Data must be processed in the United Kingdom.
- 12.5 The Supplier must destroy personal data (e.g. sample files) relating to the project within one month of data collection completion, and provide a data destruction certificate to the Authority as confirmation.
- 12.6 The Supplier must destroy all other data relating to this project (including any interview recordings) at the end of project or when instructed to do so by the DWP Project Manager, and provide a data destruction certificate to the Authority as confirmation.
- 12.7 The Authority will own and retain all Intellectual Property Rights arising from this Research Project.
- 12.8 Outcomes of this research will be published by the Authority under Crown Copyright.

13. PAYMENT AND INVOICING

- 13.1 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
- 13.2 The Authority's project manager will agree an invoice schedule based on the milestones in 7.1 and confirm the payment process with the appointed Supplier upon award of the Contract.
- 13.3 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.
- 13.4 All invoices must include the appropriate purchase order number and shall be sent by post to the following address (in addition to emailing a digital copy to the Authority's Project Manager, whose details will be provided):

REDACTED

Shared Services Helpline: REDACTED

- 13.5 Payment will be made within 30 calendar days following receipt of a correctly submitted invoice as specified above.

14. CONTRACT MANAGEMENT

- 14.1 The appointed Supplier will be expected to provide regular (e.g. fortnightly) reporting of key findings to the Authority, throughout the fieldwork period, including feedback following piloting of the survey, and present interim and full findings at the Authority's premises.
- 14.2 Attendance at these meetings shall be at the Supplier's own expense.

15. LOCATION

- 15.1 The Services will be delivered from the Supplier's own premises and the homes or places chosen by the interviewees to be interviewed.

ANNEX B
Supplier Proposal

REDACTED

Part 2: Contract Terms

Please refer to copy of Terms and Conditions of Contract provided separately.