

DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

Part 1: Letter of Appointment

Department for Work and Pensions
Caxton House
London
SW1H 9DA

Dear Sirs

Letter of Appointment

This letter of Appointment dated 17th March 2021, 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:	Project 23394
From:	Department for Work and Pensions ("Authority ")
To:	Ipsos Mori Ltd ("Contractor")

Effective Date:	19 th March 2021
Expiry Date:	End date of Initial Period 18 th March 2024 End date of Maximum Extension Period 18 th March 2025 Minimum written notice to Supplier in respect of extension: 2 weeks

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 Statement of Requirement attached at Annex Athe Supplier's Proposal attached at Annex B
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Key Individuals:	Ipsos Mori (Contractor) Redacted - Personal Information Section 40 (2) Senior Research Director (Main DWP Contact)
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	<p>Redacted - Personal Information Section 40 (2) Research Director</p> <p>DWP (Authority)</p> <p>Redacted - Personal Information Section 40 (2) DWP Contract Manager</p> <p>Redacted - Personal Information Section 40 (2) DWP Contract Manager</p> <p>Redacted - Personal Information Section 40 (2) DWP Commercial Lead</p>
[Guarantor(s)]	N/A

Contract Charges (including any applicable discount(s), but excluding VAT):	<p>£750,000 per Year (£2,250,000K over 3 years)</p> <p>There is no guaranteed spend on this contract</p>
Insurance Requirements	Sufficient Public Liability insurance. Employer's liability insurance, Professional indemnity insurance and Product liability insurance sufficient to cover all risks in the performance of the Contract.
Liability Requirements	<p>Suppliers limitation of Liability (Clause Error! Reference source not found. of the Contract Terms);</p> <p>18.2</p> <p>Subject always to Clauses 18.1 and 18.3, the maximum amount the Supplier can be liable for in respect of all Defaults shall in no event exceed:</p> <p>18.2.1</p> <p>in relation to any Defaults occurring from the Effective Date to the end of the first Contract Year, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract Charges estimated by the Customer for the first Contract Year;</p> <p>18.2.2</p> <p>in relation to any Defaults occurring in each subsequent Contract Year that commences during the remainder of the Term, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract Charges payable to the Supplier under this Contract in the previous Contract Year; and</p> <p>18.2.3</p> <p>in relation to any Defaults occurring in each Contract year that commences after the end of the Initial Term, the higher of the figure specified in the Letter of Appointment or a sum equal to 125% of the Contract charges payable to the Supplier under</p>

	this Contract in the last Contract Year commencing during the Term.
Authority billing address for invoicing:	Invoices to be submitted to SSCL Via Email to APinvoices-DWP-U@gov.sscl.com . Copy to DWP Contract Manager Redacted - Personal Information Section 40 (2)

GDPR – Security Requirements	In addition to Section 29 of the Framework Terms and Conditions referring to the Suppliers general security obligations to comply with GDPR regulations for this Contract, the Supplier shall comply with the additional security requirement (completion of GSAD) specifically set out in the Statement of Requirement.
Alternative and/or additional provisions (including Schedule 8(Additional clauses)):	The Contractor will be required to complete a DWP Generic Security Assurance Document (GSAD) on a yearly basis to ensure it is up-to-date throughout the contract lifetime. Each GSAD will include tailored assurances based on the type and volume of data which will be collected, processed, transmitted, shared as part of the Contract Requirements. The Contractor will be responsible for following all data security procedures detailed with the SARA form completed by the DWP Project Managers for each project delivered under this agreement. This will be undertaken to ensure that data security procedures for all work delivered via this agreement meet the DWP standards.

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:

Name and Title:

Signature:

Signature:

Date:

Date:



Department
for Work &
Pensions

Attachment 3 – Statement of Requirements

Reference: 23394 – CASS Social Research Contract

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PURPOSE

The Department for Work and Pensions (DWP) would like to invite tenders for a 3-year Central Analysis and Science Strategy (CASS) Social Research Contract (the 'Contract'). The purpose of this Contract is to allow the department to commission projects at short notice to meet the evidence needed by DWP colleagues and Ministers to inform priority policies and timely decision-making.

The Contract will be valued at £750,000 each year, resulting in a total value of £2.25 million. This is a maximum budget rather than an obligation to any spend.

DWP reserves the right to extend the Contract for a further one (1) year. The £2.25m value excludes any extension.

The Contract is intended to provide faster access to contracted research and a quick return of evidence to fulfil new and urgent Ministerial evaluation and research requirements.

It is therefore expected that projects contracted through this Contract will cover a range of subject areas, reflecting DWP Ministerial policy areas (see Section 3.1 and 5.3). In addition to covering a wide range of subject areas, we expect the projects put through the Contract to be of a varied nature in terms of scope, timescales, cost and research methodologies.

BACKGROUND TO THE CONTRACTING AUTHORITY

The Department for Work and Pensions is the Contracting Authority (the 'Authority').

The Authority is responsible for welfare, pensions and child maintenance policy. As UK's biggest public service department, it administers the State Pension and a range of working age, disability and ill health benefits to over 22 million customers.

Background to requirement/OVERVIEW of requirement

The Department for Work and Pensions is responsible for multiple functions, into which research and analysis will occur. These functions are:

- Social security (this includes benefits, grants, loans, pensions and Housing Benefit);
- Child maintenance;
- The investigation or prosecution of offences relating to tax credits and benefits;
- Prevention and detection of fraud, and protecting public funds;
- Employment and training;

- Promoting financial planning for retirement;
- Policy relating to occupational and personal pension schemes.

The DWP Analytical Function plays an essential role in supporting evidence based policy making, fulfilling evidence gaps and driving key Strategic and Ministerial decisions.

The Central Analysis and Science Strategy (CASS) Unit will manage the Contract on behalf of DWP, including all financial management. Individual project managers will lead on specific projects let through this Contract and liaise with the supplier(s) as needed. CASS will regularly review the progress of the Contract throughout its lifetime with both the project manager and the supplier(s).

definitions

Expression or Acronym	Definition
DWP	Means Department for Work and Pensions
CASS	Means Central Analysis and Scientific Strategy Unit

scope of requirement

The Authority will need to respond to emerging evidence requirements identified during policy development. The Contract is designed to have flexibility to allow the Authority to commission work as requests and priorities develop over the expected 3-year duration of the project (with a possible 1-year extension).

The Contract will involve projects which involve research into a range of DWP Ministerial policy areas. The DWP research objectives, as outlined in the DWP Areas of Research Interest 2019¹, provide an overview of key areas and we would encourage you to engage with this document. The Potential Provider is expected to demonstrate a breadth of specialist knowledge and experience on the majority of DWP policy areas and ensure expertise is accessible where necessary.

The Contract is likely to involve a number of projects which will involve a range of methods depending upon the individual project need. These projects will largely be high-priority in nature and may require fast results. The Potential Provider is expected to have experience of a range of methodologies and the expertise to suggest new and innovative methodologies where they will increase the efficiency and effectiveness of research. This is especially important in the current COVID-19 situation.

The types of research methodologies the Authority expects the Contract to be used for will include some of the following:

¹ DWP Areas of Research Interest 2019, <https://www.gov.uk/government/publications/dwp-areas-of-research-interest-2019>

- quantitative surveys (potentially telephone or online) with individuals, claimants, employers, professionals and/or employees;
- qualitative research (potentially including in-depth interviews and focus groups) with individuals, claimants, employers, professionals and/or employees;
- case studies;
- evidence/literature reviews;
- economic analysis, including cost-benefit analysis;
- thematic analysis;
- workshops;
- innovative methods such as ethnographically-informed approaches and social media analysis;

The requirement

In order to fulfil the Contract, the Authority would anticipate the Potential Provider to have all of the resource and skills in house or can demonstrate the ability to partner with other suitable organisations.

As part of the bid submission the Potential Provider is required to:

- Provide evidence of previous technical expertise and experience in conducting mixed method research on majority DWP Ministerial policy areas, as outlined in section 5.3.
- Provide evidence of previous technical expertise and experience in designing, managing and conducting survey with participant groups that are relevant to DWP policy areas.
- Provide evidence of technical experience in quantitative and qualitative research, evidence reviews, use of theoretical and/or behavioural frameworks, and a description of particular strengths of their organisation. This will include a CV for the account manager and names and brief qualifications of their proposed research team.
- Assess the key risks to the Contract. They should identify the most significant risks to the Contract and the successful completion of potential projects, assess the degree of risk (likelihood and impact) and set out strategies for minimising these risks and managing the consequences if problems occur.
- The Authority would expect providers to demonstrate value for money for each project commissioned under the Contract.

The Potential Provider will:

- Appoint a dedicated account manager with named deputy/alternative contact who will ensure the smooth running of the Contract. The dedicated manager will be expected to attend quarterly virtual meetings with the CASS lead to discuss progress and any issues.
- Undertake to respond to all queries within 48 hours of receipt.
- Each Project will be called off as a separate standalone programme with agreed project milestones. Payment will be made on completion of these staged milestones.
- Ensure senior analyst oversight of projects.

The Potential Provider may not begin work, or incur any costs, on any particular research unless and until the Potential Provider receives from the Authority the following upfront and in writing prior to the commencement of work on that research project:

- Written authorisation from the Authority that it is content for work on a particular research project to begin;
- A research proposal for the work;
- Confirmation of agreed timelines and payment milestones for the research. All prices are to be submitted should exclude VAT.

Prior to the commencement of each piece of authorised research, the Potential Provider must provide the Authority with a research proposal containing the following information:

- A detailed project timeline;
- Proposed costings broken down in detail and based on the lesser of either: framework rates set out in the proposal; or discounted rates submitted in response to this invite to tender as outlined in section 13. The breakdowns should cover:
 - Staff costs - day rates for each of the project team members and the number of days' staff are allocated to each project task;
 - Costs by project component - to include a breakdown of costs for research design, fieldwork, analysis and reporting.
- A proposed payment schedule which must be tied to the achievement of key milestones.

The Contract will terminate 3 years from signing the Contract or after 4 years if the 1-year extension has been put in place.

The Authority will reserve the right to vary the Contract to accommodate additional analytical work across DWP areas, should policy direction dictate. Any variation to deliverables will be intrinsically linked to the overarching Contract and will not result in a material change to the Contract.

The DWP commissions a range of research from a number of providers. The Potential Provider is expected to engage with other research organisations commissioned to undertake related research on behalf of the DWP, as appropriate.

key milestones

The Authority will agree timelines and milestones between the department/project managers and the Contractor for each project commissioned through the Contract.

authority's responsibilities

The Authority will keep the Potential Provider informed about current plans and decisions for which projects will be suitable to commission under this Contract, through regular catch up meetings. The catch up meetings would be used to flag potential projects and indicative timelines for delivery.

The Potential Provider will ensure that all reports are produced in line with the DWP Style Guide

<https://www.gov.uk/government/publications/dwp-research-reports-style-guide/dwp-research-reports-guidance>

reporting

The Potential Provider (as represented by a senior research manager, associate director or equivalent) will report directly to the Authority's Contract Manager at regular update meetings, and further report to individual project managers on a project-by-project basis.

The Potential Provider and DWP will agree research outputs to include a minimum of:

9.2.1 For each project:

- Fieldwork materials to be signed off by DWP
- Regular (e.g. fortnightly) reporting of key findings to the DWP, throughout the fieldwork period, including feedback following piloting
- A summary of preliminary findings from each project in the format to be agreed but will likely include short evidence notes, slide packs.

- Presentation of findings
- Reports containing the full findings written to DWP standards (as set out in the DWP style guide) with drafts as necessary.
- A standalone summary of the research report

9.2.2 Where applicable, the following outputs should also be included:

- A dummy dataset, to enable the preparation of code and analysis within DWP
- A fully documented, cleaned and weighted final dataset (in SPSS and SAS) and syntax, for use within DWP
- A data dictionary or variable list to accompany the final dataset
- 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

volumes

The Authority anticipates the Potential Provider to deliver a flexible programme of research. This requirement is for a 3-year period (plus a possible 1-year extension) and the projects allocated to the Potential Provider will be on an ad hoc basis. Volumes of work are not guaranteed.

continuous improvement

The Potential Provider will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.

The Potential Provider should present new ways of working with the Authority during quarterly Contract review meetings.

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.

quality

The Potential Provider will adhere to the current Social and Market Research and Data Protection standards.

PRICE

The Contract will be used by the department to provide quicker access to externally commissioned research. For the purpose of this Invitation to Tender we have

developed an example research requirement, to show the range of the research methods, subjects and outputs that may be commissioned by the Authority and has been designed only for the purpose of evaluating proposals for this Contract.

To manage the flexibility needed for this project and allow for a fair assessment of bids, bidders are invited to price the example requirement as set out in paragraph 13.4, and, a further set of indicative scenarios set out in para 13.5.

In pricing these projects, bidders should be aware that:

- All projects outlined are examples of the types of projects that might be required.
- The number of research projects supported under the Contract may be fewer than described
- Research projects taken forward may differ in size and require varying levels of resource.

There is a scenario project to be costed as part of the price evaluation:

Mixed Method Programme of research to evaluate the delivery of an initiative to support UC claimants back into work

This is a process evaluation focussing on claimants, providers' and employers' experiences of a new initiative delivered in 10 Local Authority areas across the UK. The initiative is delivered by a third-party organisation, through a combination of fortnightly face-to-face or virtual meetings. A JCP work coach refers claimants, who have been out of work for 10 months or more, on to the programme. The initiative will last 24 months and involves multiple short work placements. The aim of the initiative is to help claimants develop new skills, build confidence and gain work experience in a number of sectors to enable them to enter the job-market.

We are proposing that this is approached using the following methods.

- Online survey of eligible claimants. 1,500 achieved respondents.
- Follow-up face-to-face interviews with claimants to explore in more detail about their motivations about take-up, experiences of the provision and employment outcomes, and, any other detailed issues emerging from the survey. 30 interviews, to last 45 minutes.
- Qualitative research with initiative Providers, Jobcentre Plus staff referring claimants to the initiative and work placement employers – 30 in-depth telephone interviews to last one hour.

Attachment 4 – Pricing Schedule (submitted via the e-Sourcing suite) will require the Potential Provider's day rates and resource allocation for your team structure. The Authority will use this information to conduct the price evaluation.

The Authority is seeking high quality bids, which make use of a range of methodologies and fieldwork techniques. Suggested methods are set out, however, the use of alternative and innovative methods is encouraged.

Prices are to be submitted via the e-Sourcing Suite on Attachment 4 (excluding VAT).

STAFF AND CUSTOMER SERVICE

The following should be covered as part of your bid:

The Authority requires the Potential Provider to provide a sufficient level of resource throughout the duration of this Contract in order to consistently deliver a quality service to all Parties, especially when concurrent research projects are authorised.

Potential Provider's staff assigned to this Contract shall have the relevant qualifications and experience to deliver the Contract. Staff should be able to demonstrate their relevant qualifications and/or experience for each authorised project.

The Potential Provider shall ensure that staff understand the Authority's vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

service levels and performance

The Authority will measure the quality of the Potential Provider's delivery by completion of specified project outputs to a publishable standard and to the specified timescales. The Potential Provider will appoint a lead liaison representative who will work with the over-arching research project manager and the individual subject matter research project managers to deliver the agreed work schedules.

Progress and sign-off of products will be assessed by a Steering Group chaired by the DWP project lead and with representation including the DWP project managers, policy professionals and policy analysts from across Ministerial policy areas.

The Authority will publish all of the commissioned work as per the department's publication protocols. It is likely that a small number of publications will be issued at timely points during the lifetime of the Contract.

The Potential Provider must 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. The Authority will measure the quality of the Potential Provider's delivery against the table below:

KPI/SLA	Service Area	KPI/SLA description
#1	Project management and capacity	<p>Specified and clearly defined procedures for working closely with DWP through regular updates.</p> <p>Take clear steps to manage the resource demands concurrent projects, ensuring the necessary capacity, resource and expertise.</p>
#2	Quality assurance	<p>Specified and clearly defined procedures for quality assuring methodological design proposals.</p> <p>Take clear steps to ensure all analysis is quality assured and suitable for informing policy decisions and publications.</p>
#3	Relevant Expertise	<p>Specified and clearly defined procedures to ensure sufficient levels of relevant expertise, including policy areas and/or methodologies, for all potential projects.</p> <p>Take clear steps to ensure specific expertise is available on all specialist policy areas so that research requirements are sufficiently met.</p>
#4	Analysis and reporting	<p>Clear quality control procedures in place to ensure accuracy and high quality with findings reports. Clear steps to ensure the accuracy and quality does not suffer as a result of concurrent projects and high work volumes.</p>

Security requirements

The Potential Provider will be required to complete a Generic Security Assurance Document (GSAD) before award of this Contract to provide assurances that data security procedures meet DWP standards. Should the Potential Provider have a current and valid GSAD in place then this may be acceptable in order for projects to

commence. The Authority reserves the right to request an updated GSAD at any point during this Contract.

All transfers of personal data to and from the Department must meet DWP security standards.

Any transfers of data to and from the Potential Provider and a sub-contractor must meet DWP security standards, using PGP encryption software or equivalent.

Data must be processed in the United Kingdom. All servers must be located within the United Kingdom.

intellectual property rights (ipr)

All IPR conditions are outlined in Terms and Conditions in Attachment 5

payment

Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs. All invoices should be sent to the nominated DWP project manager in the first instance.

additional information

The Authority is keen to encourage sub-Contracting bids given the range of capabilities required.

Location

The Potential Provider will be based in their offices and will be expected to attend Project Management meetings, including, should the COVID-19 situation allow, travel to DWP Offices (London, Leeds or Sheffield).

The Potential Provider will be required to undertake research activity in Great Britain.

ANNEX B

Supplier Proposal

To be determined at Call for Competition stage

Redacted Commercially Sensitive Section 43

COSTS

Rate Card

Redacted Commercially Sensitive Section 43

Part 2: Contract Terms

DPS Research Framework T&C - RM6018