



Department
for Work &
Pensions

ORDER FORM

Social & Economic Research Framework Agreement

FROM

Authority	DWP
Commercial Team Address	Redacted Text Redacted Text 0191 216 2730 Commercial Directorate, Room BP5101, Benton Park View 5, Mail Handling Site A, Wolverhampton, WV98 1ZX.
Invoice Address	DWP SSCL Accounts Payable Team Room 6124, Tomlinson House Norcross Blackpool FY5 3TA
DWP Contact Ref:	Name: Redacted Text Phone: Redacted Text e-mail: Redacted Text
Project Title	Age 18-21 Jobseeker Pilot 2 Evaluation <i>(To be quoted on all correspondence relating to this Order)</i>
Project Reference	UI_DWP_101661 RM5500 SO9405 <i>(To be quoted on all correspondence relating to this Order)</i>
Purchase Order Number	Redacted Text <i>(To be quoted on all correspondence relating to this Order)</i>
Order Date	25/06/2015

TO

Provider:	ICF Consulting Services Ltd
For the attention of:	Redacted Text

E-mail	
Telephone number	Redacted Text Redacted Text
Address	ICF Consulting Services Ltd Floor 2 3 The Crescent Plymouth PL1 3AB

1. SERVICES REQUIREMENTS	
(1.1) Services [and Deliverables] Required:	
<p>The Department for Work and Pensions (DWP) is running, alongside the Department for Business, Innovation and Science (BIS) the 18-21 Work Skills pilot 2 in Kent Jobcentre Plus (JCP) for young Jobseeker's Allowance (JSA) claimants. The pilot started in December 2014 and requires all 18-21 year olds claiming Jobseeker's Allowance for 6 months to participate in a work and/or skills related activity for up to 3 months with up to 1,500 claimants taking part in the pilot.</p> <p>DWP are undertaking this tender to seek bids from research suppliers to conduct JSA claimant research for the evaluation of the pilot. The purpose of the commission is to undertake a qualitative study with participating claimants to understand how the pilot has operated and provide insight into the behavioural impact of the pilot on claimants.</p> <p>The purpose of this contract is to conduct a qualitative study with claimants participating in the 18-21 Work Skills pilot 2, providing the evidence needed to inform policy decisions for young jobseekers at 6 months of claiming.</p> <p>Objectives of the qualitative study with claimants are:</p> <ul style="list-style-type: none"> • Understand the range and strength of factors influencing a) the referral options presented to claimants b) claimants' decision-making and referral choice. • Explore the nature and tone of the referral interview including claimants' immediate responses to referral and impact on the work/skills provision to which claimants choose to be referred. • Capture barriers to employment discussed, or not, between claimants and advisors. • Understand claimants' behavioural responses in the 6 to 9 month period following referral in terms of their engagement with work or skills provision; job-search activity and fulfilment of benefit conditionality. <p>See Annex A for full details</p>	
(1.2) Commencement Date: 15th June 2015	
See Annex B for full timetable	
(1.3) Price Payable by Authority £ 29,900	

See Annex C for full details

(1.4) Completion Date: The contract will commence in June 2015. The contract will expire on acceptance of all deliverables by the Authority. This is expected to be 31st October 2015.

See Annex B for full timetable

2 ADDITIONAL REQUIREMENTS

(2.1) Supplemental Requirements in addition to Call-Off Terms and Conditions:

None

(2.2) Variations to Call-Off Terms and Conditions

None

3. PERFORMANCE OF THE SERVICES [AND DELIVERABLES]

(3.1) Key Personnel of the Provider to be involved in the Services [and deliverables]:

See Annex D for details

(3.2) Performance Standards

As required or see Annex A for full details

(3.3) Location(s) at which the Services are to be provided:

See Annex A for full details

(3.4) Quality Standards

As required or see Annex A for full details

(3.5) Contract Monitoring Arrangements

See Appendix 3 for full details

4. CONFIDENTIAL INFORMATION

(4.1) The following information shall be deemed Commercially Sensitive Information or Confidential Information:-

None or see Appendix 4

(4.2) Duration that the information shall be deemed Commercially Sensitive Information or Confidential Information

None or see Appendix 4

BY SIGNING AND RETURNING THIS ORDER FORM THE PROVIDER AGREES to enter a legally binding contract with the Authority to provide the Service specified in this Order Form together with, where completed and applicable, additional requirements set out in Section 2 of this Order Form. Incorporating the rights and obligations in the Terms and Conditions set out in the Framework Agreement entered into by the Provider and the Authority on 1st July 2013 and any subsequent signed variations to the terms and conditions.

For and on behalf of the Provider:-

Full Name	Redacted Text
Title	Redacted Text
Signature	Redacted Text
Date	Redacted Text

For and on behalf of the Authority-

Full Name	Redacted Text
Title	Redacted Text
Signature	Redacted Text
Date	Redacted Text

SECTION 2

APPENDIX 1 – THE SERVICES

1 General

- 1.1 The following additional documents shall be deemed to be incorporated into this Contract (as appropriate);

Document	Dated
Framework Call-off Terms and Conditions	1 st July 2013
Specification	28 th April 2015
Providers Tender/Proposal	14 th May 2015

2 Recruitment Through Jobcentre Plus

- 2.1 One of the key objectives of the Department for Work and Pensions is to move people from welfare into work. DWP has a Great Britain-wide network of Jobcentre Plus offices that provide job broking services for unemployed people. The Provider is therefore required to notify Jobcentre Plus when recruiting staff for any entry-level job vacancies located within Great Britain, which may arise from the delivery of their contract to the Authority
- 2.2 The Provider is also encouraged to notify Jobcentre Plus of any other vacancies that may arise. The Provider may in addition use other recruitment methods.

3 Appendices

- 3.1 The following annexes form part of this appendix;

Annex A – Specification of Service Required under this Contract
Annex B – Timetable
Annex C – Prices, Rates and Payment Schedule
Annex D – Provider and Sub-contractor Key Staff
Annex E – Approved Sub-contractors
Annex F – List of MI Requirements

ANNEX A - Specification of Service Required under this Contract

AGE 18-21 JOBSEEKER PILOT 2 EVALUATION

PROPOSAL

This section sets out our proposed approach to the evaluation, which we understand will be developed into a full research proposal if commissioned.

Overview of approach

Our approach reflects the requirements of the evaluation and the key elements of the requirement as provided in the ITT. Consequently our approach comprises three stages:

Stage 1: Inception and Preparation – a series of tasks to familiarise the team with the pilot, develop and implement an appropriate sampling strategy, and prepare and agree fieldwork tools.

Stage 2: Fieldwork – a programme of interviews with a sample of young claimants across the following sub-groups referred to the pilot:

Those referred to the pilot/receiving a Work Coach interview within the previous month;

Those participating in the pilot for three months or more, including:

- Those completing their individual programmes of activity;
- Those starting, but not completing, a programme; and
- Those referred but not starting a programme.

In addition, interviews will also take place with:

A group of young claimants from another Jobcentre District, to allow their outcomes to be compared to those participating in the pilot; and

Work Coaches and Jobcentre leads for the pilot – to understand the local ‘offer’ and inform the interviews with participants, undertaken during a series of Jobcentre visits.

Stage 3: Analysis and Reporting – the analysis of the qualitative data collected using NVIVO, presentation of the early findings in a workshop event for DWP/Jobcentre Plus staff, and the production of draft and final study reports.

The majority of the interviews will be undertaken on a face to face basis, across a sample of five of the 17 Kent Jobcentres participating in pilot 2. However to ensure the target numbers of interviews are achieved, and cost effectiveness maximised by minimising the impact of fail to attends, we propose to use telephone interviews with those completing but no longer claiming benefit, those who started but did not complete, and those referred but not starting. Telephone interviews will also provide the flexibility to allow individuals who have found work to be interviewed outside working hours.

Data collection method, mode and interview numbers

Data will be collected through a programme of qualitative interviews with the sub-groups of young claimants who:

Recently recruited to the pilot – to ensure that their recollections of their Work Coach interview and the topics discussed will remain fresh. Here we suggest recruiting claimants who have joined the pilot within the preceding month.

Were **referred to the pilot three months or more ago**, where experiences of delivery and outcomes can be explored and including:

Those **completing their programmes of activity** – to explore their experiences of provision and the subsequent effects on their skills and worksearch behaviour;

Those **starting, but not completing**, a programme of activity – to identify the reasons for not completing (both positive and negative), any benefits gained, and what they are doing now; and

Those **referred but not starting** a programme – to identify why they did not start once referred, what happened next, and what might have made them consider participation in a similar programme in the future.

In addition, interviews will also take place with young JSA claimants in a Jobcentre District where the pilot is not operating, to act as a '**qualitative comparison group**' against which the experiences and outcomes for the pilot 2 participants can be compared.

Mode of interview

The ITT describes a preference for the interviews to be undertaken on a face to face basis, to allow topics to be probed in-depth and for a richer level of engagement to be achieved between interviewee and interviewer. However this introduces an element of risk in terms of high fail to attend rates, and our experience suggests that telephone interviews, when undertaken by skilled and experienced researchers, can provide a similar level of detail as those conducted face to face¹. Our experience also suggests that individuals in certain of the proposed sub-groups are likely to pose particular challenges in terms of engaging and securing interviews – primarily those starting but not completing and those referred but not starting their pilot programmes of activity, and whom are no longer claiming benefit, and are likely to be less willing to participate in the research.

It may also be the case that some potential interviewees are unable to participate in interviews during the working day (for example if they have progressed into full-time employment), and so telephone interviews in the early evening may be the most practicable means of securing interviews.

Consequently we propose to use a **combination of face to face and telephone interview approaches**, as follows

Individuals in the '**new starter**' and '**completer**' groups will be interviewed face to face (where the latter are known to be continuing to claim benefits) – as below preferably at their home Jobcentre – accounting for the majority of the interviews proposed;

Individuals in the '**started the pilot but not completed**' and '**referred but not started**' groups will be interviewed either **face to face** during the Jobcentre visits (if continuing to claim benefits) or by **telephone** if they are no longer claiming;

Individuals from the '**completer**' group **no longer claiming benefits**, will be interviewed by **telephone**; and

All interviews with the **comparison group will take place on a face to face basis** during visits to the comparator Jobcentres. However, should difficulties be experienced in securing access to Jobcentre Plus premises for the comparison group interviews, a telephone approach could be considered.

We consider that this mixed methods approach represents a practicable balance of ensuring the target numbers of interviews are achieved within the timeframe and budget allocated to the study, while also allowing engaging those unable to participate during the working day.

Interview numbers

Table 1.1 below sets out how the 52 interviews with claimants are distributed across the participant sub-groups and the comparison group. The distribution is intended to emphasise the importance of collecting data from the recent recruits and completers, while also ensuring the other proposed sub-groups are represented.

¹ This was the case in our qualitative evaluation of the Universal Credit Pathfinders, where those progressing to work were interviewed by telephone to ensure their experiences and outcomes were captured.

Proposed Achieved Interview Numbers by Sub-Group

Interview Group	No. Interviews
Work Coach interview in last month	Redacted Text
6-9 month participants:	Redacted Text
▪ Completing their programme of activities	Redacted Text
▪ Started on pilot but not completing	Redacted Text
▪ Referred to programme but not starting	Redacted Text
Comparison group	Redacted Text
Total	Redacted Text

A sample size of 10 achieved interviews is proposed for the comparison group, sufficient in terms of comparability with the 15 completers, who will also be sampled at the six to nine month points in their claims.

Location of interviews

Our preference is to undertake the interviews **at the Jobcentre Plus offices** where individual pilot participants are registered. There are several reasons for this – the Jobcentre is a known location for the interviewees, current participants and completers (if still claiming benefit) will have programmed meeting dates with their Work Coaches, and as travel to interview time for the researcher is reduced the impact of any failures to attend are minimised. However, this relies upon the willingness, and private space being available, to host the interviews at individual sites, and for Jobcentre staff assist with the appointment setting process.

Setting the majority of interviews in Jobcentres also allows short **interviews to be undertaken with the office pilot leads and/or staff involved in its delivery**. These will provide the opportunity to share any information specific to the local area/pilot offer – for example common ‘brand names’ for specific provision that will be familiar to participants.

We propose to visit **five of the Kent Jobcentres participating in pilot 2**. Assuming each Jobcentre recruits an average of 200 young people to the pilot, this should be sufficient to secure the intended numbers of interviews. The Jobcentres will be selected on the basis of:

The number of claimants recruited to the pilot to date – to ensure we have a sufficiently large population to draw upon;

The wider labour market characteristics of the areas served – for example selecting Jobcentres serving rural and more urban catchments;

The availability of private space for the claimant interviews; and

The willingness of the Jobcentre to host the researchers for up to three days during the fieldwork period.

We also recognise that for some pilot participants interviews at the Jobcentre will not be feasible – i.e. those who are no longer claiming benefit at the time of interview – and **telephone interviews** are proposed. This is most likely to apply to those completing their provision and securing employment, and those who did not complete their programme or were referred but did not start.

Sampling matrix and fieldwork schedule

Sampling matrix

Our proposed approach to sampling is to produce a sample which reflects the characteristics of the population of participants in pilot 2, stratified by the sub-groups to be interviewed.

Although the detail of the sampling approach can only be confirmed when more is known about the data collected to monitor the pilot, the following steps will be followed:

Data will be provided by DWP on the participants in the pilot to date, which will allow the size and characteristics of the population to be determined. Key variables upon which the samples will be based, in addition to their new starter/completer and headline sub-group status are expected to include:

Age;

Gender;

Labour market history (i.e. if worked before, or previously claiming benefit);

Indicators of disadvantage – e.g. disability or limiting health condition, homelessness, etc.

The sampling approach will aim to ensure that the characteristics of the sample reflect that of the wider population of participants in the pilot. Consequently we will also consider the mode of participation – i.e. between skills and work-related activities – to ensure this is also reflected in the sample.

The distribution of participation by Jobcentre office will also be established. This analysis will also determine the shares of participants who have: completed their programme of activities, started but not completed, and referred but not started. For the each group it will also determine whether or not they are continuing to claim benefit, and if available their destinations on completion. The number and distribution of young people recruited to the programme within the last four weeks will also be determined.

Following this analysis, five Jobcentre offices will be proposed, and contacted in collaboration with the Department to explore their willingness and ability to host the researchers for the claimant interviews. A reserve list of Jobcentres will also be developed should they be required.

Once agreement on the Jobcentres to be visited is reached, a sample frame will be developed:

At the pilot population level – to provide data on the distribution of claimants by characteristic, stage of involvement, etc.

At the selected Jobcentre level – setting out the number of interviews to be achieved by sub-group, and by individual characteristic

The sample frame will then be populated for each Jobcentre to provide a sample of individuals to be contacted by sub-group. In each case first and reserve lists will be developed.

Based on the information available to us at this point, a summary of the proposed sampling frame and associated variables is provided below. Attention will also be paid to the share of the population featuring 'hard to reach' characteristics, to ensure that they are represented across the final interview samples.

The detail of the sampling approach and the precise variables to be considered will be produced, once more detail is known on pilot monitoring procedures and data collected, and included in the full project proposal.

Fieldwork schedule

Our timetable for the delivery of the study is provided in our Programme Delivery Support and Account Management response. See timetable for the fieldwork schedule .

This means that all the Jobcentre visits and claimant interviews must be completed within a four week period, so preparations will need to be made as soon as possible in the sample development process. We have included sufficient staff in the research team to allow multiple Jobcentres to be visited at the same time, which will be a necessity if the numbers of interviews are to be achieved.

In terms of implementing the fieldwork with claimants, we propose to schedule and undertake the Jobcentre visits first, following which any outstanding interviews (fail to attend, those requiring interviews outside of office hours) in each area will be completed.

Sampling methodology and strategy for ensuring clear recall and participation in skills/work activity

The section above set out our proposed approach to sampling in as much detail as possible without information on the data variables collected as part of the pilot monitoring process. Within this, and central to the nature of the proposed sub-groups, are the requirements to explore:

Pilot participants' experiences of the referral and initial engagement process – including how the pilot was introduced to them, the needs assessment process, the degree of choice offered around activities, claimant understanding of mandation and the potential for sanctions and their expectations of the benefits of participation. *To ensure that these recollections are fresh, we intend to conduct interviews with young people **approximately one month after receiving their Work Coach interview**. This should be sufficient time for an offer of skills or work-related activity to have been made and considered by the young person.*

Pilot participants' experiences of delivery and the outcomes resulting – including views of the provision received (quality, appropriateness etc), the outcomes resulting, and subsequent steps taken/changes in their behaviour to secure employment or further training opportunities. *Here we intend to interview those completing their provision **approximately three months after completing their provision**, to allow sufficient recollection of the provision received and their initial expectations of it, while allowing time for their experience to be built upon or an employment/training outcome secured.*

Individuals' recollection will also be aided by providing a clear introduction to the study (including locally-appropriate 'brand names' and providers to describe the provision offered), as well as being familiar with the details of the provision received by the individual interviewee (particularly the timings of start and completion to support recollection).

Sampling non-pilot 18-21 year old claimants

In addition to the sample of claimants in the pilot area, a sample of claimants aged 18-21 must also be developed to provide a comparison group. Here we propose to:

Focus attentions on two Jobcentre Plus offices, and develop a sample of young people from DWP data who are aged 18-21 and have been claiming JSA for six months or more (and whose headline characteristics broadly match those in the pilot Jobcentres, e.g. gender, previous employment history, etc).

Two Jobcentre offices will be selected to broadly match the characteristics of the pilot Jobcentres in terms of numbers of young people on the register, off-flow rates for young people, etc. and in collaboration with the Department contacted to secure their commitment to participate.

Once this is secured a sample of young people will be drawn to match the broad characteristics established in the pilot sample frame. Again first choice and reserve lists will be developed to ensure the target interview numbers are achieved.

Ensuring sample achieved includes hard to reach and claimant sub-groups

The sample development approach has been designed to ensure that the interviewees are representative of the individuals participating in the pilot. Consequently those with 'hard to reach' characteristics, which may include those not completing or not starting the pilot, will be included in the sample developed. The proposed quota approach to recruitment will also help ensure all relevant groups are covered.

An additional consideration is ensuring that all 'hard to reach' groups are given the opportunity to participate fully – i.e. where language skills, disability or limiting health conditions may influence the most appropriate means of engagement. Again the sampling process will ensure that individuals facing labour market disadvantage, as can be determined from the pilot MI, are included in the study.

Measures to overcome social desirability bias

The potential for a social desirability bias, where interviewee responses are influenced by what they consider is expected of them, is considerable in research around benefit issues. Experienced qualitative interviews have established techniques both for identifying topics where bias is most likely (e.g. compliance requirements) and conducting interviews where opinions and views are expressed can be tested.

In our experience, several factors can reduce the likelihood of such bias, including:

Clearly explaining the purpose of the interview and the study it is part of; and

Emphasising that the interview is confidential, that the interviewee cannot be identified by Department/Jobcentre or in any reporting, and that participation (or otherwise) will have no influence on current or future benefit claims.

Approach to analysis

Given the scale of the interview programme we propose to use **NVIVO analytical software** to analyse the responses received. In summary, the topic guides produced for use in the study will be designed with NVIVO analysis in mind, with an initial coding frame being developed to reflect the key areas of investigation and the themes expected to emerge.

Following the first week of interviews, each write-up produced will be reviewed and the coding framework revised on the basis the interviews completed to date. This will extend the coding options, providing a further level of granularity and so detail to the subsequent analysis.

Once the NVIVO coding has been completed and initial analyses undertaken, an '**emerging findings' workshop** will take place. The ICF Project Director and Project Manager will present the emerging findings of the study, and early draft conclusions and recommendations, for discussion with an audience of Department and Jobcentre Plus staff.

This approach has been followed in several of our previous projects for the Department, and allows findings to be shared with colleagues as soon as they are available. The process also helps inform plans for the draft final report, by identifying areas of particular interest or emphasis for the client.

Experience

Redacted Text

Programme Delivery Support and Account Management

This section introduces the proposed study team, an assessment of the risks associated with the study, and a timetable for its delivery. First we introduce our approach to project management.

Project management and quality assurance

Redacted Text.

Ensuring high quality research design, data collection and analysis, and deliverables

To ensure our work meets our standards and clients' expectations, all projects have a Project Manager and Director responsible for project oversight and quality assurance, a designated project team, with variations being subject to prior agreement by the client; and an agreed workplan and timetable.

Quality assurance processes across different study stages include:

Data collection and handling: ensuring data collection tools are piloted before use; providing thorough briefings prior to fieldwork; and reviewing initial fieldwork write-ups with subsequent write-ups reviewed by random selection.

Data analysis: debrief sessions to discuss findings; establishing data analysis specifications/frameworks; applying appropriate analytical techniques; subjecting all analyses to our quality control procedures.

Report production: reviewed by the Project Manager, and the Project Director, before submission - for accuracy, timeliness, adequacy of information, addressing study requirements and presentation.

Data security

ICF's data security arrangements meet the DWP Social and Economic Research Framework requirements, and we have a current GSAD in place. Our data security arrangements include:

All sensitive electronic data being stored on secure servers, in folders accessible only to team members, and sensitive hard copy data being stored in lockable filing cabinets;

Using laptops protected by encryption software (PGP);

Recording fieldwork interviews using 256 bit encrypted voice recorders; and

Ensuring all data files are destroyed on completion, using cross cut shredders for hard copy data.

Our contracts of employment require staff to abide by the principles of the Data Protection Act. Our induction processes include comprehensive briefings on data security and systems. Our staff must meet the requirements of the Baseline Personnel Security Standard (BPSS), which involve verifying identity; nationality and immigration status; recent employment history and criminal record. All staff have current CRB/DBS clearance to work with young people and vulnerable adults.

The study team

Redacted Text

ANNEX B – Timetable

The project will commence in June 2015 and is expected to be completed by 31st October 2015 subject to acceptance of all deliverables by the Authority.

Week commencing	15-Jun	22-Jun	29-Jun	06-Jul	13-Jul	20-Jul	27-Jul	03-Aug	10-Aug	17-Aug	24-Aug	31-Aug	07-Sep	14-Sep	21-Sep	28-Sep	05-Oct	12-Oct	19-Oct	26-Oct
Stage 1 - Inception and Preparation																				
Inception meeting and briefing																				
Document review																				
Development of fieldwork tools																				
Sample development:																				
<i>Initial sample frame received</i>			by 3/7																	
<i>Sample cases selected by ICF</i>				by 8/7																
<i>DWP add contact details, return to ICF</i>					16-Jul															
<i>Opt out exercise</i>					17-Jul			07-Aug												
<i>Opt out completed and recruitment start</i>																				
Engagement with Jobcentres																				
Steering meeting																				
Stage 2 – Fieldwork																				
Visits to 5 Jobcentres, interviews with staff, new starts and completers continuing to claim benefits																				
Interview with claimants starting but not completing, referrals not starting, and completers no longer claiming benefits																				
Visits to two comparator Jobcentres - interviews with 5 young people in each (10 in total)																				
Stage 3 - Analysis and Reporting																				
Coding and analysis of data – NVIVO																				
Emerging findings workshop																				
Draft final report production																				
Steering meeting and presentation																				
Final report submission																				

ANNEX C – Prices, Rates And Payment Schedule

1 General

- 1.1 For the performance of the Services, the Provider shall be paid the Contract Price calculated using the prices and rates entered in this Appendix.

Tasks	Total days for Consultants							Total Capped Price for each Task (£ exc VAT)
	Trainee	Junior Cons.	Cons.	Senior	Principal	Managing	Partner/Director	
example task descriptions - please expand/provide detail as required								
Full Research Proposal - at no charge. Costs for inception meeting, fieldwork tools etc								Redacted Text
Fieldwork								Redacted Text
Draft Report								Redacted Text
Full Report								Redacted Text
								Redacted Text
Other Costs / Expenses								Redacted Text
Total capped Price (£ exc VAT)								29,900

Payment Schedule

Invoice number	Date	Requirement	Cost (excl. VAT)
Invoice 1	w/c 21 st Sept 15	50% on completion of fieldwork and emerging findings workshop	Redacted Text
Invoice 2	w/c 26 th October	50% on submission of final report	Redacted Text
Total			£29,900

Annex D – Provider and Sub-contractor Key Staff

Name	Position Held	Period of involvement in the Contract*
Redacted Text	Project Director	Throughout
Redacted Text	Project Manager	Throughout
Redacted Text	Consultant	Throughout
Redacted Text	Consultant	Throughout
Redacted Text	Consultant	Throughout

* To denote Staff dedicated full-time to the project.

Annex E – Approved Sub-contractors

None Allocated

Name of Sub Contractor	Nature of the Services being Sub Contracted	Anticipated Value £

Annex F – List of Management Information (MI) Requirements

The Provider shall supply information listed below relevant to the delivery of the Services to the Authority, using formats and to timescales as specified by the Authority, covering areas such as (but not limited to)

Management Information Required	Frequency/Date Required
Submit copy of Board Minutes for Parent Company where PCG has been signed	On or about the effective date (and in any event no later than the first Commencement Date)
Full and final Security Plan in accordance with Appendix [6]	Within twenty (20) Working Days after the Commencement Date of the Call-Off contract and reviewed at least annually thereafter.
Sustainable Development Policy Statement & Sustainable Development Plan in accordance with Appendix [7]	Within six (6) Months of contract start date and at least annually thereafter.
Diversity & Equality Delivery Plan in accordance with Appendix [8]	Within six (6) Months of contract start date and at least annually thereafter.
Workforce Monitoring Declaration in accordance with Appendix [8]	Within six (6) Months of contract start date and at least annually thereafter.
Apprenticeships & Skills Report in accordance with Appendix [10]	Within six [6] Months of the contract start date and written updates on a [quarterly] basis thereafter.
HMG Baseline Personnel Security Standard - Provider's Declaration see HMG Baseline Personnel Security Standard - A Guide for DWP Contractors	Within four (4) weeks of contract start date and submitted for each calendar year thereafter within one Month of the end of each calendar year (i.e. by 31 st January for year ending 31 st December)

APPENDIX 2 – ADMINISTRATION REQUIREMENTS

1 *Authority's Authorisation*

- 1.1 The following person is the Authority's Representative and is authorised to act on behalf of the Secretary of State for Work and Pensions on all matters relating to the Contract, contact details are shown in the Schedule 4 (Order Form) of the Framework Agreement.

Name: **Redacted Text**
Title: Authority's Representative

- 1.2 The Authority's Representative may approve deputy Authority's Representatives to exercise on his / her behalf such powers as are contained in this Contract.

2 *Provider's Authorisation*

- 2.1 The following person is the Provider's Representative and is authorised to act on behalf of the Provider on all matters relating to the Contract, contact details are shown in Schedule the (Order Form) of the Framework Agreement.

Name: **Redacted Text**
Title: Provider's Representative

- 2.2 The following person is the Provider's Contract Manager and is authorised to act on behalf of the Provider on all matters relating to the Contract;

Name: **Redacted Text**
Title: Contract Manager]

3 *Payment Information*

- 3.1 The Authority shall issue a purchase order to the Provider prior to commencement of the Service.
- 3.2 All invoices payable in compliance with the requirements of clause C2 of the call-off terms and conditions, must include the appropriate purchase order number and shall be sent to the following address;

DWP
SSCL Accounts Payable Team
Room 6124, Tomlinson House
Norcross
Blackpool
FY5 3TA

Shared Services Helpline: 0845 602 8244

- 3.3 Any additional information required independently of the invoice will be detailed in the Order Form at Call-off stage.

Disputed Claims

- 4.1 Notwithstanding paragraph 4.5 of this Appendix, payment by the Authority of all or any part of any invoice rendered or other claim for payment by the Provider shall not signify approval of such invoice/claim. The Authority reserves the right to verify invoices/claims after the date of payment and subsequently to recover any sums which have been overpaid.
- 4.2 If any part of a claim rendered by the Provider is disputed or subject to question by the Authority either before or after payment then the Authority may call for the Provider to provide such further documentary and oral evidence as it may reasonably require to verify its liability to pay the amount which is disputed or subject to question and the Provider shall promptly provide such evidence in a form satisfactory to the Authority.

- 4.3 If any part of a claim rendered by the Provider is disputed or subject to question by the Authority, the Authority shall not withhold payment of the remainder.
- 4.4 If any invoice rendered by the Provider is paid but any part of it is disputed or subject to question by the Authority and such part is subsequently agreed or determined not to have been properly payable then the Provider shall forthwith repay such part to the Authority.
- 4.5 The Authority shall be entitled to deduct from sums due to the Provider by way of set-off any amounts owed to it or which are in dispute or subject to question either in respect of the invoice for which payment is being made or any previous invoice.

5 *Final Claims*

- 5.1 Provided all previous claims have been paid, the authority shall have no further liability to make payment of any kind to the Provider once the final claims have been paid.

APPENDIX 3 – MONITORING REQUIREMENTS

This Appendix sets out the contract management requirements which are applicable to the delivery of the Services.

1 *Reviewing Contract Performance*

- 1.1 The Provider shall work with the Authority to establish and maintain an effective and beneficial working relationship to ensure the Contract is delivered to at least the minimum required standard as specified in the Appendix (The Services).
- 1.2 The Provider shall work with the Authority to establish suitable administrative arrangements for the effective management and performance monitoring of the Contract and shall provide information as requested to monitor and evaluate the success of the Contract and the Provider's management and delivery of it.
- 1.3 The Provider shall supply information requested relevant to the delivery of the Services to the Authority, using formats and to timescales specified by the Authority in Appendix 1, annex D.
- 1.4 The Authority intends, wherever it can, to capture and collate information through its IT system(s). However, the Authority does reserve the right to make reasonable requests for information (at no additional charge) from the Provider including ad-hoc requests for information from time to time.
- 1.5 Any additional requests for information shall be considered in consultation with the Provider as shall the process of defining the methods of collection.
- 1.6 Where an ongoing, short-term or one-off requirement is agreed, both Parties agree that it shall be included, or deemed to be included within this Appendix.
- 1.7 Review meetings between the Authority and the Provider shall also cover, as appropriate, resolving disputes and/or dealing with contractual breaches in accordance with the terms and conditions of this Contract. Roles and responsibilities will be documented and the personnel involved in managing the relationship identified and suitably empowered.
- 1.8 The Authority may undertake spot checks at any time to ensure that the Provider is complying with its obligations under this Contract and the Provider shall co-operate fully, at its own cost, with the Authority.
- 1.9 The Provider will be responsible for managing and reporting on any sub-contractual arrangements. Arrangements shall include mechanisms for the provision of management information, including feedback to and from customers, stakeholders, change control procedures and the prompt resolution of any problems. The Authority will agree with the Provider day-to-day relationship management, contact points, communication flows and escalation procedures.
- 1.10 The Provider will be expected to continuously improve the quality of the provision including that delivered by Sub-contractors. Where quality falls below acceptable levels the Provider will be expected to have suitable escalation procedures in place and, in respect of sub-contracted provision, take action where necessary to terminate the contract.

2 *Access*

- 2.1 In all instances, the Provider shall co-operate and provide such reasonable assistance as may be necessary to facilitate such monitoring. Failure to provide such reasonable assistance shall be deemed a "Serious Breach" for the purposes of clause H2 (Termination on Default).

3 *Sustainable Development*

- 3.1 The Authority will review the Provider's Sustainable Development Policy Statement and Sustainable Development Plan submitted by the Provider in accordance with the Appendix (Sustainable Development Requirements) and then at least annually thereafter.

3.2 Sustainable Procurement Risk Assessment Methodology (SPRAM) is a tool used by the Authority to identify and mitigate any potential risks to sustainability in contracts. The process requires that each Contract be assessed for its potential social, economic and environmental risks, throughout the various stages of its lifetime. Where risks are identified, appropriate mitigation action is required to reduce or eliminate the risk to sustainability. The Authority may at times require input from the Provider in order to ensure that this process is given the required levels of consideration.

4 Diversity and Equality

4.1 The Authority will review the Provider's Diversity and Equality Delivery Plan and completed workforce monitoring data template when submitted in accordance with the Appendix (Diversity and Equality Requirements) and then annually thereafter. The Authority can request full policy/procedure documents at any time throughout the Contract.

5 Apprenticeships and Skills

5.1 The Authority will review the Provider's Apprenticeships and Skills Report when submitted by the Provider in accordance with the Appendix (Apprenticeships and Skills Requirements) and then annually thereafter.

6 Security Requirements

6.1 The Authority will review the Provider's Security Plan when submitted by the Provider in accordance with the Appendix (Security Requirements and Plan) and at least annually thereafter.

7 HMG Baseline Personnel Security Standards

7.1 The authority will review the Provider's HMG Baseline Personnel Security Standards Declaration in accordance with HMG Baseline Personnel Security Standard – A Guide For DWP Contractors.

8 Health and Safety Responsibilities of the Authority Visiting Officers

8.1 The Authority representatives visit Providers and its Sub-contractors for a variety of reasons. In the course of their normal duties such representatives of the Authority shall adopt an 'eyes and ears' approach to monitoring health and safety. In doing this the Authority representatives shall not be conducting a health and safety inspection, nor shall they be in a position to offer advice on whether something is safe or not. Instead they shall approach this from the position of any lay person. If, however, the Authority representative does notice something on which they require assurance or clarification, they shall raise this with the Provider or the Sub-contractor's representative at the location where they are visiting. In no event are the Authority representatives to be seen as offering professional advice on health and safety matters and as such, shall not be liable for any advice or comments or otherwise given to the Provider or its Sub-contractors or any omission to give such advice, comments or otherwise.

APPENDIX 4 – COMMERCIALLY SENSITIVE INFORMATION

- 1 The Authority acknowledges that the Provider has requested that the following information be treated as Commercially Sensitive Information;

Document	Page Number	Section	Condition paragraph number	Explanation of harm which may result from disclosure and time period applicable to any sensitivity

- 2 The Authority will consult with the Provider on any request for information, identified as Commercially Sensitive, under the FOIA.
- 3 The Authority reserves the right to disclose any Commercially Sensitive Information held within this Contract in response to a request under the FOIA as set out at clause E5 of this Contract.
- 4 The Authority will automatically publish all information provided by the Provider **not** identified in this Appendix as constituting Commercially Sensitive Information provided that it satisfies the requirements of the FOIA.
- 5 The Authority reserves the right to determine whether any information provided in this Appendix does constitute Commercially Sensitive Information prior to publication.

APPENDIX 5 – SECURITY REQUIREMENTS AND PLAN

A condition of any call off will be that the original Annex E Security Plan will need to be updated as necessary and resubmitted with a bid unless the decision has been taken in advance that a Generic Security Accreditation Document (GSAD) will be appropriate. Information regarding GSADs will be made available if applicable to the call off contract.

DWP will work with suppliers to achieve compliance in this process during the call off phase.

INSERT DRAFT SECURITY PLAN/GSAD HERE.

APPENDIX 6 – SUSTAINABLE DEVELOPMENT REQUIREMENTS

This appendix sets out the Sustainable Development requirements which are applicable to the provision of the Services.

1. General

1.1 The Provider acknowledges that the Authority must at all times be seen to be actively promoting Sustainable Development.

1.2 In delivering the Services, the Provider shall and shall procure that its Sub-contractors assist and cooperate with the Authority, by fully complying with the requirements of this Appendix.

2. Compliance

2.1 The Provider shall produce a Sustainable Development Policy Statement and Sustainable Development Plan in accordance with paragraphs 2.2 and 2.3 of this Appendix, within six (6) Months of the Commencement Date and annually thereafter. The Sustainable Development Policy Statement and Sustainable Development Plan must be specific to the Contract and include all Sub-contractors involved in delivery of the Contract. The Provider must obtain the required information from Sub-contractors and then collate and submit as stated above.

2.2 In delivering the Services, the Provider shall prepare a Sustainable Development Policy Statement giving, for each organisation involved in delivery of the contract:

- a) full assurance of waste disposal by a registered waste collector in accordance with current government regulations; and
- b) full assurance of the observation of Waste Electrical and Electronic Equipment (WEEE) regulations.

2.3 In delivering the Services, the Provider shall prepare a Sustainable Development Plan which as a minimum, detail how each organisation involved in delivery of the contract will:

- a) minimise waste produced and promote recycling;
- b) minimise energy consumption;
- c) minimise use of transport and promote use of public transport where transport is unavoidable.

Also required for each organisation are:

- d) baseline assessment of current position in terms of waste minimisation, recycling and energy consumption (energy consumption only required if current energy usage is available to organisations);
- e) annual estimates of the progress of Sustainable Development actions;
- f) details of how Staff awareness of sustainability will be increased in line with the Sustainable Development Plan.

APPENDIX 7 – DIVERSITY AND EQUALITY REQUIREMENTS

1. General

- 1.1 The Provider acknowledges that the Authority has a ‘duty to promote’ equality and must at all times be seen to be actively promoting equality of opportunity for, and good relations between, all persons, irrespective of their race, gender, gender reassignment, disability, age, sexual orientation or religion/belief or in terms of pregnancy and maternity or marriage and civil partnership. The Provider must ensure that each of its Sub-contractors involved in delivery of the contract are aware of, and acknowledge, that the Authority has a ‘duty to promote’ equality.
- 1.2 In delivering the Services, the Provider shall, and shall procure that its Sub-contractors, assist and cooperate with the Authority in satisfying equality duties by fully complying with the requirements of this Appendix.

2. Compliance

- 2.1 The Provider acknowledges the provisions of the equality legislation set out in clause D2 (Discrimination).
- 2.2 The Provider shall produce a Diversity and Equality Delivery Plan in accordance with paragraph 2.5 (and sub paragraphs) and paragraph 2.6 (and sub paragraphs) of this Appendix, within six (6) Months of the Commencement Date, and annually thereafter. The Diversity and Equality Delivery Plan must be specific to the Contract and include details for all Sub-contractors involved in delivery of the Contract.
- 2.3 The Provider will provide workforce monitoring data in accordance with paragraph 3 (and sub paragraphs) of this Appendix, within six (6) Months of the Commencement Date and annually thereafter.
- 2.4 The Authority will consider and agree the submissions made by the Provider when complying with paragraph 2 (and sub paragraphs of paragraph 2) and paragraph 3 (and sub paragraphs of paragraph 3) of this Appendix. Any issues will be raised with the Provider by the Contract Manager acting on behalf of the Authority. If an issue relates to a Sub-contractor, the Provider must raise and resolve the issue with the Sub-contractor. Once submissions are agreed by the Authority the Provider will formally review, revise and resubmit all information required in paragraph 2.2 and paragraph 2.3 on an annual basis. Diversity and equality aspects will also be discussed jointly by the Authority and the Provider as an ongoing item at the Contract review meetings.
- 2.5 In delivering the Services, the Provider shall prepare the Diversity and Equality Delivery Plan which as a minimum includes:
 - a) an overview of Provider and any Sub-contractor’s policy/policies and procedures for preventing unlawful discrimination and promoting equality of opportunity in respect of:
 - i) Race
 - ii) Gender
 - iii) Gender reassignment
 - iv) Disability
 - v) Age
 - vi) Sexual orientation
 - vii) Religion/Belief
 - viii) Pregnancy and Maternity
 - ix) Marriage and Civil Partnerships;
 - b) An overview of Provider and any Sub-contractor’s policy/policies and procedures covering:
 - i) Harassment
 - ii) Bullying
 - iii) Victimisation
 - iv) Recruitment procedures
 - v) Staff training and developmentFull policy documents must be made available to the Authority on request;
 - c) Details of the way in which the above policy/policies and procedures are, or will be (and by when), communicated to the Staff;

- d) Details of what general diversity and equality related training has been, or will be delivered (and by when), to Staff;
- e) Details of what structure is already in place, or will be in place (and by when) and what resources are, or will be (and by when), directed towards diversity and equality within the Provider and any Sub-contractor's organisation; and
- f) Details of any diversity and equality cases and tribunals (including volumes and outcomes) relating to the Provider and any Sub-contractors.

2.6 In delivering the Services, the Provider shall provide evidence, as required below, within the Diversity and Equality Delivery Plan as detailed at paragraph 2.2 of this Appendix:

- a) Where a Provider is delivering Services to customers on behalf of the Authority or Services to the Authority's staff, the Provider must provide written evidence that:
 - i) Equality Analysis have been carried out in conjunction with the Authority prior to the Services being delivered and will be carried out in the event of any changes to the Services, in accordance with equality legislation;
 - ii) reasonable adjustments are made, as required by equality legislation to make those Services accessible to disabled people and that in the case of Information Technology services, those services are in accordance with the Authority's standards;
 - iii) all Staff have had appropriate training so that they understand the duties required by equality legislation, and where Services are being delivered on behalf of the Authority, the Provider shall provide evidence that Staff understand the duties not to discriminate and to promote equality, in accordance with equality legislation.

2.7 The Authority may request further information and assurance relating to diversity and equality at any point during the duration of the Contract.

3. Monitoring and Reporting

3.1 The Provider shall provide workforce monitoring data as detailed in paragraph 3.2 of this Appendix. A template for data collected in paragraphs 3.2, 3.3 and 3.4 will be provided by the Authority. Completed templates for the Provider and each Sub-contractor will be submitted by the Provider with the Diversity and Equality Delivery Plan within six (6) Months of the Commencement Date and annually thereafter. Providers are required to provide workforce monitoring data for the workforce involved in delivery of the Contract. Data relating to the wider Provider workforce and wider Sub-contractors workforce would however be well received by the Authority. Providers and any Sub-contractors are required to submit percentage figures only in response to paragraphs 3.2(a), 3.2(b) and 3.2(c).

3.2 The Provider and Sub-contractors will each provide separate information detailing:

- a) the proportion of employees who are:
 - i) female; and/or
 - ii) disabled
 - iii) those who prefer not to state gender and/or disability

- b) the proportion of Staff who in terms of ethnicity are:

White

- i) white British;
- ii) white Irish;
- iii) of any other white background

Mixed

- iv) white and black Caribbean;
- v) white and black African;
- vi) white and Asian;
- vii) of any other mixed background

Asian or Asian British

- viii) Indian;
- ix) Pakistani;
- x) Bangladeshi;

- xi) of any other Asian background
Black or Black British
- xii) Caribbean;
- xiii) African;
- xiv) of any other Black background
Chinese or other ethnic group
- xv) Chinese;
- xvi) of any other ethnic group
Prefer not to state
- xvii) Prefer not to state ethnicity

For the avoidance of doubt, the seventeen (17) percentage figures submitted under categories i) to xvii) of this paragraph 3.2(b) (in each template in respect of the Provider's employees and each Sub-contractors employees) should total one hundred percent (100%).

- c) The Provider will provide details of the proportion of its Sub-contractors that are:
- i) small to medium sized enterprises (meaning enterprises with less than two hundred and fifty (250) employees and a maximum annual turnover of forty (40) million pounds);
 - ii) ethnic minority enterprises (in each case meaning an enterprise fifty one percent (51%) or more of which is owned by members of one (1) or more ethnic minority groups, or, if there are few owners, where at least fifty percent (50%) of the owners are members of one (1) or more ethnic minority groups). For this purpose, ethnic minority groups means ethnic groups other than White as referred to at paragraph 3.2(b) of this Appendix: and
 - iii) black ethnic minority enterprises (in each case meaning an enterprise fifty one percent (51%) or more of which is owned by members of the Black or Black British ethnic group, or, if there are few owners, where at least fifty percent (50%) of the owners are members of the Black or Black British ethnic group). For this purpose, the Black or Black British ethnic group has the meaning referred to at categories xii) to xiv) in paragraph 3.2(b) of this Appendix.

For the avoidance of doubt, any given Sub-contractor may fall into one (1), two (2) or all of the categories i) to iii) listed in paragraph 3.2(c) of this Appendix, depending on its composition.

- 3.3 The Provider and any Sub-contractors will compare their figures, in all categories listed in paragraphs 3.2(a), 3.2(b) and 3.2(c) of this Appendix, and provide (where possible) comparisons against any official national/regional statistics that are publicly available.
- 3.4 The Provider and any Sub-contractors will provide evidence of activities undertaken, or planned, in order to try and improve their current position in the categories detailed in paragraphs 3.2(a), 3.2(b) and 3.2(c) of this Appendix.
- 3.5 The Provider shall, and shall procure that its Sub-contractors will ensure at all times that they comply with the requirements of the DPA in the collection and reporting of the information to the Authority.

APPENDIX 8 – WELSH LANGUAGE SCHEME

This Appendix sets out the Provider's obligations which are applicable to the provision of the Services in Wales.

1 General

- 1.1 The Provider acknowledges that in relation to the operation of its Services which are delivered in Wales, the Authority must at all times be seen to be actively promoting the equality of the English and Welsh languages, in accordance with the Welsh Language Act 1993.
- 1.2 In the performance of the Contract, the Provider shall ensure that it cooperates with the Authority wherever possible in satisfying this duty, by fully complying with the requirements of this Appendix.

2 The Department for Work and Pensions Welsh Language Scheme

- 2.1 The DWP Welsh Language Scheme can be found at:
<http://www.dwp.gov.uk/publications/corporate-publications/welsh-language-scheme/>
- 2.2 The Provider shall, in the delivery of the Services, ensure that it complies with the Department for Work and Pensions Welsh Language Scheme and such instructions as the Authority may issue from time to time in respect of promoting the equality of the English and Welsh languages.

3 Delivery of Services Through the Medium of Welsh

- 3.1 The Provider undertakes that those who have dealings with them are able to do so in English or Welsh.
- 3.2 The Provider will ensure that:
 - a) Those who want, or are required, to correspond with the Provider will be able to do so in English or Welsh;
 - b) Those who are known to prefer corresponding through the medium of Welsh will have correspondence initiated in Welsh;
 - c) Any correspondence received in Welsh will be answered in Welsh within the same timescales and standards as those written in English;
 - d) Staff who are in Wales will greet any telephone callers in English and Welsh until the caller's preferred language can be ascertained;
 - e) Any answer phones in the Provider's offices in Wales will have a pre-recorded bilingual message;
 - f) All people who participate in the Services are able to contribute through the medium of English or Welsh;
 - g) All material published and printed in Wales shall be available in English and Welsh. The standard of bilingual or Welsh material shall be of equal quality to those produced solely in English;
 - h) All forms and explanatory material be available in both English and Welsh; and
 - i) Any complaints or grievance procedure should be provided in both English and Welsh.

APPENDIX 9 – APPRENTICESHIPS AND SKILLS REQUIREMENTS

This Appendix sets out the Apprenticeships and Skills Requirements which are applicable to the provision of the Contract.

1. General

- 1.1 Government is committed to addressing skills issues and promoting training opportunities through procurement, to maximise the potential for improvements provided by its considerable spend.
- 1.2 In order to support and drive economic growth, the Government announced that it has prioritised the key policy agendas to be promoted through public procurement. Supporting apprenticeships, skills and the fight against youth unemployment is one of these 'Policy through Procurement' priorities on which Departments must now focus.
- 1.3 The Provider acknowledges that the Authority is required to support the above apprenticeships and skills aims and targets.
- 1.4 In delivering the Services, the Provider shall, and shall procure that its Sub-contractors assist and cooperate with the Authority by fully complying with the requirements of this Appendix.

2. Compliance

- 2.1 The Provider shall and shall procure that its Sub-contractors take all reasonable steps to employ apprentices, and report to the Authority the numbers of apprentices employed and wider skills training provided, during delivery of the Services.
- 2.2 The Provider shall and shall procure that its Sub-contractors shall take all reasonable steps to ensure that five percent (5%) of their employees are on a formal apprenticeship programme. This can include administration and support staff.
- 2.3 The Provider shall and shall procure that its Sub-contractors make available to employees information about the Government's Apprenticeship Programme and wider skills opportunities.
- 2.4 The Provider shall and shall procure that its Sub-contractors provide any appropriate further skills training opportunities for employees involved in delivery of the Contract.
- 2.5 The Provider will produce an Apprenticeships and Skills Report in accordance with paragraph 3 (and sub-paragraphs) of this Appendix.

3. Monitoring and reporting

- 3.1 The Provider shall provide an Apprenticeships and Skills Report within six (6) Months of the Commencement Date and annually thereafter. The Apprenticeships and Skills Report must be specific to the Contract and include details for all Sub-contractors involved in delivery of the Contract. The Provider must obtain the required information from Sub-contractors and collate and submit an Apprenticeships and Skills Report that relates specifically to the Contract.

The Apprenticeships and Skills Report will include:

- a) the number of Staff during the reporting period involved in delivery of the Contract, including administration and support staff;
- b) the number of existing apprentices involved in the delivery of the Contract;
- c) the number of new starts on apprenticeships initiated as a result of delivery of the Contract;
- d) if applicable, a robust explanation as to why it is not possible to meet the five percent (5%) target. (It may be that use of apprentices is not possible or appropriate in delivery of the Services);

- e) action being taken to improve the take up of apprenticeships. These could include issuing leaflets on apprenticeships to eligible existing staff, advertising apprenticeship vacancies with local Jobcentre Plus, schools and colleges, offering apprenticeships in administration/support roles or seeking advice from the National Apprenticeship Service; and
- f) other training/skills development being undertaken by staff involved in delivery of the Contract including:
 - i) Work experience placements for 14 to 16 year olds
 - ii) Work experience/work trial placements for other ages
 - iii) Student sandwich/gap year placements
 - iv) Graduate placements
 - v) Vocational training
 - vi) Basic skills training
 - vii) On site training provision/facilities.

3.2 The Provider shall, and shall procure that its Sub-contractors will ensure at all times that they comply with the requirements of the DPA in the collection and reporting of the information to the Authority.