



Date: 18<sup>th</sup> June 2018

**INVITATION TO TENDER FOR A RESEARCH PROJECT ENTITLED:  
FURTHER EDUCATION SECTOR REFORM CASE STUDIES**

**DEPARTMENT FOR EDUCATION TENDER NUMBER: DFERPPU 2018/036**

- 1 The Department for Education (DfE) is seeking a contractor to design and deliver a series of detailed case studies across the Further Education (FE) sector. Please be aware that there is no EOI stage for this project, instead you are invited to submit a **full tender** for this work to the specification outlined in the attached documents. Enclosed are:  
  

<b>Annex 1</b>	<b>Research specification;</b>
<b>Annex 2</b>	<b>Tender acceptance/ rejection form; and</b>
<b>Annex 3</b>	<b>Declaration and information form;</b>
<b>Annex 4</b>	<b>Conflict of Interest Form</b>
- 2 Instructions about DfE's research tendering procedures are available on our website: <http://www.education.gov.uk/research/>
- 3 All contracts are let on the basis of the Department's terms and conditions - the latest version is available from our website: <http://www.education.gov.uk/research/>. Please read them before submitting a tender. You should not include your own terms and conditions when submitting a tender or ask that the terms and conditions relating to any framework contract you may have with the Department be used as an alternative.
- 4 After reading the enclosed specification please complete the tender acceptance/rejection form (Annex 2) and email it to [hannah.rhodes@education.gov.uk](mailto:hannah.rhodes@education.gov.uk) by 12pm on 2<sup>nd</sup> July 2018. If you decide not to tender for the project, the reasons for your decision would be appreciated, though you are under no obligation to do so.
- 5 Please send your proposal by email to [Hannah.rhodes@education.gov.uk](mailto:Hannah.rhodes@education.gov.uk) by 5pm on 6<sup>th</sup> July 2018. I will acknowledge the receipt of your tender by email.

For enquiries regarding the research specification, or policy issues you can contact me on 07384456664 or by email: [Hannah.rhodes@education.gov.uk](mailto:Hannah.rhodes@education.gov.uk)

Please note that the deadline for queries is 12pm on 28<sup>th</sup> June 2018.

Yours sincerely

Hannah Rhodes

Encs

## ANNEX ONE - RESEARCH SPECIFICATION

### 1. INTRODUCTION

The Department for Education is seeking a contractor to design and deliver a series of detailed case studies across the Further Education (FE) sector. The primary aim of the research is to provide a process evaluation of the **FE Area Review programme**. This programme sought to improve efficiency in the sector by establishing the best institutional structures for offering high quality provision, based on the current and future needs of learners and employers within local areas.

We anticipate that approximately five area based case studies will be required, involving the collection of data from a range of stakeholders in each location to ensure that a good mix of experiences are explored.

### 2. BACKGROUND

The government's (updated) policy statement '[Reviewing post-16 education and training institutions](#)' sets out the approach to restructuring the further education sector. This was delivered between 2015 and 2017 through a comprehensive national programme of 37 area reviews of post-16 provision.

The aim of the reviews was to create strong and financially resilient colleges which are specialised centres of expertise and that are able to work together to produce the skilled workers that local businesses need. The reviews were undertaken in five waves and reviewed post-16 provision in every area; providing an opportunity for institutions and localities to restructure their provision to ensure it is tailored to the changing context and designed to achieve maximum impact. The review focused upon FE and sixth form colleges but took into account the availability and quality of all post-16 academic and work-based provision in each area.

Every local area was required to undertake a review, led by a steering group of local stakeholders and following a national framework to ensure consistency. The reviews completed in March 2017 and, reflecting their independent status, the governing bodies of individual institutions were required to respond with a decision about whether to accept the recommendations and to agree how they would be implemented. This means that not all recommendations made in Area Reviews have been actioned.

A Restructuring Facility was made available for institutions that were unable to secure their own short-term funding in order to implement the Area Review recommendations. The facility had a stringent approvals process for applications and funds were offered on a repayment basis.

### 3. PURPOSE/OBJECTIVES

The proposed case studies form one strand of a wider evaluation strategy for the Area Review programme, which also includes plans for data monitoring and economic assessment of the costs and benefits. The analytical work for both these strands is being delivered in-house by DfE staff and will provide a macro-level picture of change since the implementation of the Area Review policy. The proposed case studies are intended to complement this work by gathering valuable micro-level insights about the experiences of a sample of institutions that were reviewed and their key stakeholders.

We would like the case studies to cover a good mix of:

- Area Review locations (probably one per wave);
- Recommendations (example recommendations included for institutions to restructure their provision; create partnerships or academies; establish joint working or shared service arrangements);
- Provider types (e.g. FE Colleges, Sixth Form Colleges, Independent Training Providers and Local Authority Providers)

The case studies should gather insights in the following key areas:

- Exploration of the enablers and barriers for meeting the Area Review recommendations;
- Perceptions of the success of institutional restructuring;
- The effects of restructuring on perceived 'quality' in a local area;
- The role of Area Reviews in enabling providers to understand and respond to changing local needs;
- Strength of leadership and management and ability to handle change within FE providers;
- The role of Area Reviews in enabling colleges to be well equipped to respond to the reform and expansion of the apprenticeship programme;
- Experiences and perceptions of the Restructuring Facility, its success and any sector-wide effects.
- Experiences and perceptions of whether Area Reviews have either helped improve, or set things in place to improve the financial resilience and solvency of providers, including whether any efficiencies have been/are set to be achieved through greater economies of scale.

Evidence gathered through the case studies will be used to assess the success of the Area Reviews 'on the ground', from the viewpoint of those involved in shaping and responding to the recommendations. In particular we would like to use the case studies to identify lessons learnt about the successes and challenges associated with the process, and what might be done differently if a similar programme were to be repeated elsewhere in government.

Building upon the Area Reviews, the Department is continuing its assessment of the financial health and stability of the FE sector ahead of the next Spending Review, which is expected to take place in 2019. This includes a specific focus upon understanding how Area Reviews and particularly the recommendations for restructuring FE providers, are affecting the quantity and quality of provision in local areas, and how effective mergers and other forms of restructuring have been in improving the resilience of providers. Evidence from these case studies will provide valuable insights to feed into this work so we would like to ensure that this focus is built into the research design and topic guide coverage.

These questions are largely already within scope of the Area Review process evaluation, therefore ensuring that these issues are explored systematically through the interviews should have minimal impact on the research design. However, the need for early findings to inform thinking in support of the Spending Review has implications for the timetable for this project as findings from the first one or two case studies are required by early October. Bidders are invited to suggest how they can meet this initial request for information and be clear about what they can provide by this time. We recognise it may not be possible to provide comprehensive findings within this timeframe but we are keen to invite creative proposals for working flexibly with the Department to meet this need.

#### 4. SAMPLING AND METHODOLOGY

We are proposing **five area-based case studies** in total, comprising one from each wave of the Area Reviews<sup>1</sup>, which took place as follows:

- Wave 1 - September to November 2015
- Wave 2 - January to July 2016
- Wave 3 - April to October 2016
- Wave 4 - started in September 2016
- Wave 5 - started in November 2016

The department has published reports covering all five waves of area reviews, which are available online: <https://www.gov.uk/government/collections/post-16-education-and-training-area-reviews#area-review-reports>. In addition, the successful contractor will be provided with a full list of the summarised recommendations from each Area Review.

We suggest that a preliminary stage of qualitative data collection (face to face depth interviews or focus group/s) with (5 to 10) internal DfE representatives involved in the Area Review programme will be required to help the successful bidder understand the context further and gather insights about how local areas responded to the reviews and recommendations. This information will be important for informing the selection of the case study locations. We then expect each case study to follow a two-stage process of data collection:

##### **Stage 1:**

- For each case study location, an initial stage of data collection at a local level will focus on getting an overarching view through face to face depth interviews (5 to 10) and possibly a short online survey with members of the local Area Review Steering Group (typical steering groups had approx. 20-30 members).
- The successful contractor may also wish to consider other available data across all institutions within the selected local areas, such as Ofsted ratings, learner outcomes<sup>2</sup> and institutional level financial data, alongside the primary data collected.
- The information gathered at this stage will inform the mix of providers to be sampled within each case study location at Stage 2.

##### **Stage 2:**

- A selection of local providers within each case study location will be interviewed (approximately 10 to 15 face to face depth interviews / focus groups per case study location) to get the provider-level picture.
- The provider selection will need to cover a mix of provider types and take account of other factors such as how they are impacted by the recommendations, how they have responded to them and their progress with implementation.
- In addition, the Department has developed a typology of 6 provider clusters that should also be factored in to the selection of providers at Stage 2. The typology is based upon their legal structure and characteristics including:
  - **Scale:** The number of learners enrolled with the provider

---

<sup>1</sup> [Waves 1 - 5](#)

<sup>2</sup> Such as Qualification Achievement Rates (<https://www.gov.uk/government/publications/sfa-qualification-achievement-rates-2016-to-2017>) and Outcome-Based Success Measures available (<https://www.gov.uk/government/collections/statistics-outcome-based-success-measures>)

- **Breadth of provision:** The number of different Sector Subject Areas offered by the provider
- **Level of provision offered:** For example the number of study programmes and qualifications at below Level 3, Level 3, Level 4+
- **Type of provision offered:** For example, Apprenticeships, Vocational Qualifications, A levels and GCSEs.
- **Additional learning needs:** The prevalence of learners with additional learning needs or disability.
- **Learner age** – For example, under 16, 16-18, 18-24, 25+
- **Distance travelled to learn** – Based on the average distance between learner home postcode and delivery location postcode
- **Job density** - number of jobs per working age resident
- **Deprivation:** Based on the Index of Multiple Deprivation (IMD)

This type of staged approach covering national and local levels is based broadly upon the approach that was used in two preliminary Wave 1 case studies undertaken in 2016<sup>3</sup>, which successfully used mixed methods and gathered data from national and local level stakeholders to explore the early implementation of the Area Review process.

We expect that fieldwork will be largely qualitative in nature; using depth interviews and possibly focus groups (60-90 minutes) at each stage to generate rich insights from key stakeholders. We have also suggested using an online survey at Stage 1 to capture high-level views from a broader range of local steering group members.

However, we welcome alternative suggestions from potential bidders about how to approach the fieldwork to meet our objectives, providing that the approach ensures coverage across the 5 Area Review waves, and a good mix of recommendations and provide types.

It is expected that only high-quality, trained and briefed interviewers will be used for this research. Bidders should describe how they propose to keep DfE updated on fieldwork progress and what quality indicators they will monitor and include in their updates.

Potential suppliers should also provide details of their proposed approach to qualitative data coding and analysis, including details of specific techniques and software packages proposed.

## 5. OUTPUTS

All topic guides must be developed in collaboration with DfE, allowing for two rounds of comments before they are signed off.

We require an initial findings report from the first one or two case studies in early October, either in the form of a written summary report or presentation with accompanying slide deck. In addition we will require a full presentation with slides and a final written report for publication as final deliverables.

Please allow for two rounds of comments on all outputs.

---

<sup>3</sup> [Area Review Wave 1 Process Evaluation Report](#) (2018)

## 6. PROJECT MANAGEMENT

DfE analysts will manage the project with input from a core project steering group, comprising 3 or 4 key policy stakeholders from the Area Review programme and associated Spending Review work. The successful contractor should allow for attendance at approximately four steering group meetings at the following key project milestones:

- 1) Inception meeting (late July)
- 2) A meeting towards the end of the development stage, to discuss topic guide and sample decisions.
- 3) Interim findings presentation (October 2018)
- 4) Final results presentation (April 2019)

## 7. TIMESCALES

### **The deadline for bids is 5pm on Friday 6<sup>th</sup> July 2018**

Potential suppliers are invited to suggest an appropriate detailed timetable for the work, providing that it meets the following:

- Inception meeting to be held no later than w/c 23<sup>rd</sup> July
- Interim deadline: We require insights from the first one or two case studies to be delivered during w/c 8<sup>th</sup> October 2018. This could be an interim presentation and/or summary report (for internal use only).
- Final deadline: We require publishable findings from all the case studies by end of April 2019.

Potential suppliers will need to propose creative solutions for maximising participation (particularly from FE providers) during the summer months.

## 8. FORMAT OF PROPOSAL

Your proposal should be in the following format.

Section 1 Table of Contents

Section 2 Summary of Proposal

Section 3 Meeting the Specification:

- Aims;
- Objectives;
- Methodology and sampling;
- Project management approach;
- Approach to analysis and proposed outputs;
- Proposed timeline;
- Staffing (including the roles of individuals in the project team);

Section 4	Risk Management
Section 5	Data Security
Section 6	Cost and Charging Arrangements
Section 7	References and Experience

## 9. COSTS

Your tender should provide a detailed breakdown of costs including the following:

- Project management and professional time for members of the proposed project team;
- Topic guides development (allowing for 2 rounds of DfE comments)
- Sample development and recruitment;
- Fieldwork costs. Please provide costs for the following:
  - Minimum 5 x 60 minute face to face interviews with DfE internal stakeholders (please also provide price per additional interview up to a maximum of 10)
  - Minimum 5 x 60 minute face to face interviews **per case study location** with local Area Review Steering Group members (please also provide price per additional interview up to a maximum of 10)
  - Online Survey for local steering group members (maximum sample size 200)
  - Minimum 10 x face to face provider interviews **per case study location** (please also provide price per additional interview up to a maximum of 15 per location)
- Please provide separate costing for focus groups if that is your preferred mode of data collection
- Data handling and analysis
- Reporting (please provide separate costs for the proposed interim output; the final presentation and the final written report for publication, plus any other proposed outputs)
- Secretarial and administrative costs, including travel and subsistence (please allow for four face to face meetings at key milestones to be held at DfE's London office)

We reserve the right to extend this contract over and above the services specified in this Invitation to Tender (ITT) for up to the same contract duration and for up to 50 per cent of the original contract cost for further work that is fully within scope of that covered in this ITT.

**All costs should be quoted exclusive of VAT but please indicate if the project will attract VAT.**

**If your proposal includes costs for sub-contractors these costs must be shown inclusive of any VAT element (e.g. sub-contractor's costs to you are £10,000 plus VAT, your proposal should show sub-contractors costs as £12,000 inclusive of VAT @ 20%).**

### Not Declaring the Budget

Because the Department has specified this project's scope, methodology and outputs

tightly we have decided not to declare the project's budget.

## 10. TENDER EVALUATION CRITERIA

The following criteria and weighting will be used to evaluate the proposals:

1	<b>Policy context:</b> Evidence that potential suppliers understand the Further Education landscape, current policy issues and the Area Review policy and programme	20%
2	<b>Methodological approach:</b> Evidence of potential suppliers' experience and expertise in: <ul style="list-style-type: none"> <li>- Designing and delivering process evaluations;</li> <li>- Developing topic guides for depth interviews and/or focus groups;</li> <li>- Purposive sampling with relevant/similar populations;</li> <li>- Expertise in qualitative research design, data collection and analysis.</li> </ul>	40%
3	<b>Suitability of the proposed project team:</b> Evidence that the members of the proposed project team have the required knowledge and skills to deliver the project to a high standard.	20%
4	<b>Project management, planning and timescales:</b> <ul style="list-style-type: none"> <li>- Evidence of managing research projects of similar methodology;</li> <li>- Having the ability to meet the timeframes specified;</li> <li>- Risk identification, mitigation and contingency planning for potential problems;</li> <li>- Suitability of outputs proposed;</li> <li>- Ethical assessment.</li> </ul>	20%
5	Overall <b>value for money</b> of the proposal	Assessed separately

Each criterion will be given a score from 0 to 4:

Mark	Description
0	Totally fails to meet the requirement
1	Meets some of the requirement, with limited supporting information
2	Meets some of the requirement, with reasonable explanation
3	Fully meets the requirement, with detailed explanation/evidence in support
4	Exceeds the requirement, with detailed explanation/ evidence in support

## 11. RISK MANAGEMENT

Tenderers should submit as part of their proposal a one-page summary on what they believe will be the key risks to delivering the project and what contingencies they will

put in place to deal with them.

A risk is any factor that may delay, disrupt or prevent the full achievement of a project objective. All risks should be identified. For each risk, the one-page summary should assess its likelihood (high, medium or low) and specify its possible impact on the project objectives (again rated high, medium or low). The assessment should also identify appropriate actions that would reduce or eliminate each risk or its impact.

Typical areas of risk for a research project might include staffing, resource constraints, technical constraints, data access, timing, management and operational issues, but this is not an exhaustive list.

## **12. DEPENDENCIES**

You should indicate if you are reliant on any third party with any information, data or undertaking any of the work specified.

## **13. MONITORING TECHNIQUES**

You should indicate how you will monitor the project to ensure it is delivered in terms of quality, timeliness and cost.

## **14. DATA COLLECTION**

Researchers will be expected to clear any data collection tools with the Department before engaging in field work. Researchers should include Data Privacy Notices for research participants via respondent documentation and/or interviewer briefing notes, and clearly state what the data is being collected for and on behalf of the Department and that no reference is made, implied or otherwise, to the data being used solely by or available only to the Contractor. The Researchers should establish with the Department the legal basis for data processing under the General Data Protection Regulation and the Data Protection Act 2018.

The respondent documentation and/or interviewer shall ensure that the respondent clearly understands (before they give their consent to be interviewed) the purpose of the interview, that the information they provide will only be used for research purposes and, in the case of interviews (telephone or face-to-face), that they have the right to withdraw from the interview at any time. Where consent is used as the legal basis for data processing, consent procedures should ensure compliance with the General Data Protection Regulation and the Data Protection Act 2018.

The Department seeks to minimise the burdens on schools and Local Authorities (LAs) taking part in surveys. It is therefore important that tenders should set out how the proposed methodology will minimise the burden on schools and/or LAs and a justification for the proposed sample size.

When assessing the relative merits of data collection methods the following issues should be considered:

- only data essential to the project shall be collected;
- data should be collected electronically where appropriate and where schools and/or LAs prefer this;
- questionnaires should be pre-populated wherever possible and appropriate;

- schools must be given at least four working weeks to respond to the exercise from the date they receive the request; and
- LAs should receive at least two weeks, unless they need to approach schools in which case they too should receive 4 weeks to respond.

The Contractor shall clear any data collection tools with the Department before engaging in field work.

Researchers shall check with the Department whether any of the information that they are requesting from schools can be provided centrally from information already held.

## **15. CONSENT ARRANGEMENTS**

The Department and the successful contractor shall agree in advance of any survey activity taking place the consent arrangements that shall apply for each of the participant groups. All participants should be informed of the purpose of the research, that the Contractor is acting on behalf of the Department and that they have the option to refuse to participate (opt out). Where opt-in consent is used, the approach should be compliant with the General Data Protection Regulation and Data Protection Act 2018. Contact details should be provided including a contact person at the Department. Children who are 16 or over will usually be able to give their own consent but even where this is so, the Contractor, in consultation with the Department, should consider whether it is also appropriate for parents, guardians or other appropriate gatekeepers (e.g. schools, Local Authorities) to be informed when a child has been invited to participate in research.

## **16. THE USE OF INCENTIVES**

With some important exceptions, the Department believes that the routine use of respondent incentives in surveys is, in general, not justified as they are rarely cost effective in either increasing participation or reducing non-response biases. If you are proposing the use of respondent incentives in your tender proposal you must set out why you feel they are necessary, why it is not possible to achieve the required sample sizes or response rates without the use of incentives, how and to what extent they will raise the overall response rate, how you will mitigate any specific biases that could be introduced, and provide a cost comparison with non-incentive methods. Your arguments should be supported by empirical evidence from past use. The exceptions are payment for participation in group discussions or in-depth qualitative interviews, payment to cover respondent expenses e.g. travel and childcare costs, and compensation for excessive demand on respondents, e.g. taking basic skills tests, diary keeping, panel maintenance and compensating schools for the respondent's time. If you wish to use a prize draw incentive then you must also set out in your tender how you will comply with all relevant legislation and codes of practice (e.g. the British Code of Advertising and Sales Promotion), state that you shall be solely liable for any breach of these and that you shall indemnify the Department against any claims that may be made under them.

## **17. GENERAL DATA PROTECTION REGULATION AND THE DATA PROTECTION ACT 2018.**

If the project will involve the collection of personal data please state how you will ensure compliance with processing under the General Data Protection Regulation and the Data Protection Act 2018.

## **18. FREEDOM OF INFORMATION**

The Department is committed to open government and to meeting their responsibilities under the Freedom of Information Act 2005. Accordingly, all information submitted to the Department may need to be disclosed in response to a request under the Act. If you consider that any of the information included in your tender is commercially sensitive, please identify it and explain (in broad terms) what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity. You should be aware that, even where you have indicated that information is commercially sensitive, we may still be required to disclose it under the Act if a request is received. Please also note that the receipt of any material marked 'confidential' or equivalent by the Department should not be taken to mean that we accept any duty of confidence by virtue of that marking. If a request is received, we may also be required to disclose details of unsuccessful tenders.

**ANNEX TWO**

**ACCEPTANCE/REJECTION FORM**

**RESEARCH PROJECT TITLE:**

**PROJECT REFERENCE NUMBER:**

Please complete and sign this form and return it to me by email:  
[Hannah.Rhodes@education.gov.uk](mailto:Hannah.Rhodes@education.gov.uk) **by 5pm on Friday 6<sup>th</sup> July 2018.** If this form is not returned by this date we will assume your organisation will not be submitting a proposal.

---

*(Please tick the appropriate box)*

**ACCEPTANCE OF INVITATION TO TENDER**

We will be submitting a tender proposal and accept the Department's terms and conditions, copies of which are available here:  
<http://www.education.gov.uk/research/>

---

**REJECTION OF INVITATION TO TENDER**

We will not be submitting tender proposal

---

**ORGANISATION:**

.....

**NAME IN CAPITALS:**

.....

**TEL:**.....

**DATE:** .....

**THE DEPARTMENT’S REFERENCE NO:**

**DECLARATIONS AND INFORMATION TO BE PROVIDED BY THE TENDERER**

Declarations

- 1 ..... (Name of tenderer)  
declare that we accept the Department’s standard terms and conditions as the basis of the contract; and
- 2 declare that we have not communicated to any other party the amount or approximate amount of the tender price other than in confidence and for the express purpose of obtaining insurances or a bond in connection with this tender. The tender price has not been fixed nor adjusted in collusion with any third party, and
- 3 declare that the tender will remain valid until (insert date here) and that we are not entitled to claim from the Department any costs or expenses incurred in preparing the tender or subsequent negotiations whether or not the tender is successful.

Signed on behalf of the Tenderer  
.....

Please print full name.....

Date.....

**Undertaking**

The Department requires all tenderers to make full and frank disclosure to the Department in the form of a signed undertaking in respect of any or all of the following:

- a) any state of bankruptcy, insolvency, compulsory winding up, administration, receivership composition with creditors or any analogous state of relevant proceedings;
- b) any convictions for a criminal offence committed by the tenderer (or being a company, by its officers or any representative of the company);
- c) any acts of grave misconduct committed by the tenderer (or being a company, by its officers or any representative of the company) in the course of their business or profession/the company's business;
- d) any failure by the tenderer (or being a company, by its officers or any representative of the company) to fulfil their obligations relating to payment of Social Security contributions; and
- e) any failure by the tenderer (or being a company, by its officers or any representative of the company) to fulfil their obligations relating to payment of taxes.

## ANNEX FOUR

For research and analysis, **conflict of interest** is defined the presence of an interest or involvement of the contractor, subcontractor (or consortia member) which could affect the actual or perceived impartiality of the research or analysis.

*A conflict of interest for this project would include the circumstance in which a contractor, sub-contractor or member of a consortia has had prior involvement with the scheme which is being evaluated, either through governance or delivery of services.*

Where there may be a potential conflict of interest, it is suggested that the consortia or organisation designs working arrangements such that the findings cannot be influenced (or perceived to be influenced) by the organisation which is the owner of a potential conflict of interest. For example, consideration should be given to the different roles which organisations play in the research or analysis, and how these can be structured to ensure an impartial approach to the project is maintained.

The process by which this is managed in the procurement process is as follows:

1. **During the bidding process, organisations may contact DfE to discuss whether or not their proposed arrangement is likely to yield a conflict of interest.** Any responses given to individual organisations or consortia will be shared with all tendering organisations (in a form which does not reveal the questioner's identity).
2. **Contractors are asked to sign and return Annex 4 to indicate whether or not any conflict of interest may be, or be perceived to be, an issue.** If this is the case, the contractor or consortium should give a full account of the actions or processes that it will use to ensure that conflict of interest is avoided. In any statement of mitigating actions, contractors are expected to outline how they propose to achieve a robust, impartial and credible approach to the research.
3. **When tenders are scored, this declaration will be subject to a pass/fail score,** according to whether, on the basis of the information in the proposal and declaration, there remains a conflict of interest which may affect the impartiality of the research.

Potential conflicts of interest may include (but are not restricted to);

- For evaluation projects, a close working, governance, or commercial involvement in the project under evaluation
- A professional or personal interest in the outcome of this research
- Current or past employment with relevant organisations
- Payment (cash or other) received or likely to be received from relevant organisations for goods or services provided (including consulting or advisory fees)
- Gifts or entertainment received from relevant organisations
- Shareholdings (excluding those within unit trusts, pension funds etc) in relevant organisations
- Close personal relationship or friendships with individuals employed by or otherwise closely associated with relevant organisations

## Conflict of Interest Declaration Form

Organisations **must** complete either part 1 or 2. Please return this form with your ITT documentation.

*A declaration of interest will not necessarily mean the individual or organisation cannot work on the project; but it is vital that any interest or conflict is declared so it can be considered openly.*

*Failure to declare or avoid conflict of interest at this or a later stage may result in exclusion from the procurement competition, or in DfE exercising its right to terminate any contract awarded.*

### Part 1

I have nothing to declare with respect to any current or potential interest or conflict in relation to this research (or any potential providers who may be subcontracted to deliver this work, their advisers or other related parties). By conflict of interest, I mean, anything which could be reasonably perceived to affect the impartiality of this research, or to indicate a professional or personal interest in the outcomes from this research.

If my situation or that of my organisation changes during the project in terms of interests or conflicts, I will notify DfE immediately.

Signed .....

Name .....

Position .....

OR

### Part 2

I wish to declare the following with respect to personal or professional interests related to relevant organisations (insert name(s) below):

- .....
- .....

Where a potential conflict of interest has been declared for an individual or organisation within a consortia, please clearly outline in your tender the role which this individual or organisation will play in the proposed project and how any conflict of interest has or will be mitigated.

If my situation or that of my organisation changes during the project in terms of interests or conflicts, I will notify DfE immediately.

Signed .....

Name .....

Position .....