



Scoping an evaluation of the Climate Change Agreements scheme

Tender Reference Number: 985/02/2015

A proposal to the Department of Energy and Climate Change from CAG Consultants, in partnership with the Carbon Trust, Databuild and Imperial College Business School

March 2015

Department of Energy and Climate Change
Scoping an evaluation of the Climate Change Agreements Scheme
Tender Reference Number: 985/02/2015

A proposal by **CAG Consultants**
in partnership with **the Carbon Trust, Databuild and Imperial College Business School**

March 2015

Principal author	Mary Anderson Partner, CAG Consultants	04/03/2015
Approved by	Denny Gray Partner, CAG Consultants	04/03/2015

To contact CAG Consultants:

CAG CONSULTANTS

Gordon House

6 Lissenden Gardens

London NW5 1LX

Tel/fax 020 7482 8882

hq@cagconsult.co.uk

www.cagconsultants.co.uk

For direct enquiries about this proposal:

Mary Anderson

Partner

CAG Consultants

Tel 07896 532194

Skype andersonmary.cag

Email ma@cagconsult.co.uk

Legal notice

© 2015 CAG Consult LLP, trading as CAG Consultants – all rights reserved. The contents of this proposal constitute the sole and exclusive property of CAG Consultants. CAG Consultants retains all right, title and interest, including without limitation copyright, in or to any CAG Consultants trademarks, technologies, methodologies, products, analyses, software and know-how included or arising out of this proposal or used in connection with the preparation of this proposal. No license under any copyright is hereby granted or implied. The contents of this proposal are of a commercially sensitive and confidential nature and intended solely for the review and consideration of the person or entity to which it is addressed. No other use is permitted and the addressee undertakes not to disclose all or part of this proposal to any third party (including but not limited, where applicable, pursuant to the Freedom of Information Act 2000) without the prior written consent of the CAG Consultants.

Contents

1. Understanding the requirement	1
2. Our skills and expertise	4
3. Addressing challenges and risks	7
4. Management and delivery	8
5. Costs	10
Appendix 1: CVs	i
Appendix 2: Project experience	viii
Appendix 3: Tender forms	xii
Appendix 4: Quality assurance system and data protection policies	xvii

1. Understanding the requirement

Key issues affecting this scoping study

[REDACTED]

[REDACTED]

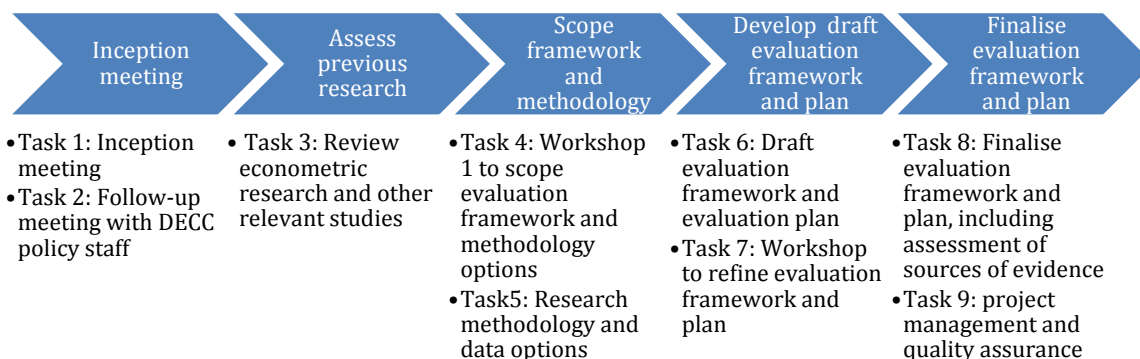
[REDACTED]

[REDACTED]

[REDACTED]

Our methodology

We would take a theory-based approach to scoping this evaluation. Our methodology is summarised in the diagram and set out in more detail below.



Task 1 - Inception meeting: we would seek to meet with DECC in early March to discuss the objectives and scope of the work in more detail. This meeting would identify research to be reviewed, possible sources of evidence and relevant contacts, as well as agree the format and timing of workshops during the project. We would prepare a detailed delivery plan after the inception meeting, including quality assurance proposals.

Task 2 – Follow-up meetings: in mid March, we would hold one or more further meetings with DECC policy staff and/or other relevant stakeholders (e.g. the Environment Agency, the Major Energy Users Council) to develop the objectives of the evaluation in more detail and issues associated with the evaluation. We have allowed for one face to face or three telephone meetings.

Task 3 – Review econometric research and other relevant studies: from mid March to early April we would review and assess previous research on the CCA scheme. This would include review of the econometric studies listed in Annex E to the ITT as well as other research, such as Dr.Martin’s study of the CCL and CCA for ESRC, and any other relevant studies.

Task 4 – Workshop 1 (to scope evaluation framework and methodology options): we propose a participative workshop involving DECC, the consultancy team and a few key external stakeholders (e.g. the MEUC, EMA or IEMA), to brainstorm elements of the evaluation framework and to scope potential methodology options, based on the findings from Task 3. We would produce notes summarising the outputs from the workshop, and use them as the basis for Tasks 5 and 6.

Task 5 – Research methodology and data options: during April, we would assess potential approaches to developing a counterfactual, to enable the impact of the CRC to be assessed, taking account of data availability and timing issues. In developing econometric and quantitative approaches to the counterfactual, we anticipate that the following options might be considered:

- Paired matching of firms within/outside CCAs (including as ‘outside’ those in CCA sectors which have not (yet) signed up for a CCA);
- Comparison of firms/meters in CCA sectors to those in broadly equivalent non-CCA sectors;

- Before/after analysis for firms in the second phase of CCA, contrasting to performance during or prior to the first phase; and
- Comparison of actual consumption to modelled consumption for particular sectors, using economic simulation models and/or the industrial route-map work that DECC has been doing with energy-intensive sectors.

In reviewing data availability and data matching issues, we could consider the availability of data on both energy and industrial performance (e.g. consumption of electricity, gas and other fuels, energy intensity, turnover and employment). As part of Task 5, we would also propose approaches to broader quantitative and qualitative research on both process and impact aspects of the CCA, throughout the life of the scheme, taking into account considerations of respondent burden, the availability of scheme data, previous studies and evidence from other evaluations.

Task 6 – Draft evaluation framework and evaluation plan: in parallel with Task 5, we would develop the evaluation framework including a theory of change, typology or sector analysis, customer journey and assumptions to be tested and refined set of evaluation questions. We would review the types of evidence which could answer the evaluation questions, taking account of emerging findings from Task 5, and would develop an outline evaluation plan for presentation at workshop 2 in Task 7.

Task 7 – Workshop 2 (to refine evaluation framework and plan): in late April we would hold a workshop to discuss the emerging outputs from Tasks 5 and 6, and refine the evaluation framework and proposed evaluation plan, including an outline of potential econometric, quantitative and qualitative research elements. Again, we would recommend that this workshop involves DECC policy leads as well as the project team and external stakeholders.

Task 8 – Finalisation of evaluation framework and plan: following the second workshop, we would finalise the evaluation framework, including elements of the theoretical framework and refined evaluation questions. We would also develop the evaluation plan in more detail, including assessment of the feasibility, timing and potential cost of econometric, quantitative and qualitative research elements, and an assessment of the data and evidence sources that could be used in the evaluation. Our final outputs would include a 2-3 page summary report for eventual bidders on the evaluation.

Task 9 – Project management and quality assurance: our project manager would liaise closely with DECC throughout the study, and would provide weekly updates by email or telephone, as agreed. Outputs would be peer reviewed by members of the project review team throughout the study. Final outputs would be quality assured by an independent partner within CAG Consultants who had not been involved in the project.

2. Our skills and expertise

Our organisations' expertise

CAG Consultants

Founded in 1983, CAG Consultants is an independent, employee-owned co-operative. We have 8 partners and a network of well-trusted associates. We provide evaluations, policy advice, support, facilitation and training in a wide range of fields relating to energy efficiency, climate change, sustainable development and stakeholder & community involvement. We deliver high quality, innovative and thoughtful work for our clients, including DECC, Defra, CLG, the Environment Agency, local authorities, housing associations, public agencies and businesses across the UK. We pride ourselves on our strong ethical approach and our commitment to social justice and improving and protecting the environment. For more information, see www.cagconsultants.co.uk

The Carbon Trust

The Carbon Trust is a not-for-dividend company with a mission to accelerate the move to a sustainable, low carbon economy. We provide specialist support to business and the public sector to help cut carbon emissions, save energy and commercialise low carbon technologies. For over a decade we were the UK's principle non-domestic energy efficiency advisory and delivery body, and in that time worked with tens of thousands of organisations, helping them save energy and carbon. Together with our ongoing work on energy efficiency policy and programmes around the world, this experience has given us an unrivalled depth of knowledge in the challenges and opportunities of energy efficiency in the business sector.

Databuild

Databuild Research and Solutions is a research-based consultancy offering the full range of research activities, including sampling and survey design, collection and analysis of data and reporting. Databuild has over 20 years' experience of researching policies and programmes designed to improve energy efficiency in the non-domestic and domestic sectors. We have conducted evaluations for a wide range of clients including Department of Energy and Climate Change (DECC) Department for Business, Innovation and Skills (BIS), Department for Environment Food, Rural Affairs (Defra) and HM Revenue & Customs. We are a company of 20 permanent staff, with up to 50 researchers (at our offices in Birmingham, we have 50 CATI (Computer Aided Telephone Interviewing) stations which enable us to conduct over two thousand interviews per week.

Imperial College Business School

Imperial College embodies and delivers world-class scholarship, education and research in science, engineering and medicine, and is ranked third in Europe and fifth university in the world for science. The Imperial College Business School combines teaching and top-class research with a particular focus on innovation, entrepreneurship, healthcare management and quantitative finance. The Business School's internationally excellent research also includes work by economists on company performance, innovation and climate change.

Our team and their skills

Team member	Experience/skills	Role in project
Mary Anderson, Partner, CAG Consultants	Mary is an economist with extensive experience of evaluating complex programmes for DECC and Defra. She led the same consortium in evaluating the CRC energy efficiency programme in 2014/15. Mary has 20 years' consultancy experience, with strong analytical, report writing and project management skills, and wide knowledge of non-domestic energy efficiency schemes.	Mary would be project manager, responsible for project outputs, report writing, client liaison, workshop facilitation and other elements of the study.
Denny Gray, Partner, CAG Consultants	Denny is a highly experienced policy and programme evaluation practitioner, having led CAG's input to a number of recent DECC evaluations, including CERT/CESP and RHPP1. He is currently contributing to the EDR and HNDU evaluations, and has particular expertise in in-depth qualitative research.	Denny would be project supporter, providing peer review and continuity, and leading on qualitative elements of the evaluation plan.
Bill Kirkup, Partner, CAG Consultants	Bill is a highly experienced project manager and evaluator. He was project supporter for the CRC evaluation and is currently leading CAG's evaluation of HNDU for DECC. Bill has over twenty years' experience of working within the environmental sector, with wide knowledge of energy efficiency practice and policy.	Bill would provide independent quality assurance of project outputs.
James Rawlins, Director, Carbon Trust	James is an experienced project director and manager and leads projects helping government and institutional clients develop and design low carbon policy and programme interventions. His recent clients include DECC, DFID, FCO, the Scottish Government and the World Bank. His work has covered energy efficiency in the UK and abroad, including several projects to help DECC develop energy efficiency policies. James has also led the Carbon Trust's contribution in the evaluations of the CRC and EDR Pilot for DECC.	James would provide high-level policy advice to the consultancy team and would help to identify relevant literature on the CCA, as well as contacts with external stakeholders where needed.
Charles Michaelis, Databuild Chairman	Charles has more than 20 years' evaluation experience and is an expert in the development of research and evaluation methods. He has a long track record of working with senior government clients including Defra, WRAP, DECC, Department for Transport and HMRC. His passions are the use of research to inform and develop policy, the development of research methodologies to achieve this and coaching Databuild's team.	Charles would lead on development of the evaluation framework and would co-facilitate the workshops with Mary.
Karl King, Databuild Associate Director	Karl has worked at Databuild for over eight years and is an experienced evaluator of government programmes and activities. During this time he has been responsible for developing methodologies for and overseeing the delivery and reporting on findings for a number of complex, large scale quantitative research projects involving interviews with large organisations. This has included work for DECC (including the CRC evaluation), Zero Waste Scotland and WRAP.	Karl would lead on the quantitative research elements in the evaluation plan, including sampling and costings.
Ralf Martin, Imperial College Business School	Ralf is Assistant Professor of Economics at Imperial College Business School and Senior Research Associate at LSE's Centre for Economic Performance. He is a leading academic studying the impact of climate and industrial policies on business.	Ralf would lead the review of previous econometric studies and specification of econometric elements of the evaluation plan.

Our experience and track record

Our experience is summarised in the table below, against the headings set out in the ITT. Further details of these assignments are presented in Appendix 2.

Assignments and the track record they demonstrate	Organisation	Collaborative working	Designing econometric/quantitative research	Designing qualitative research	Familiarity with industrial energy efficiency policies	Use of admin data sets, data access and matching	Strong communication and project management	Developing evaluation questions and evaluative plans
Evaluation of CRC phase 1, DECC (2014/15)	All	✓	✓	✓	✓	✓	✓	✓
Evaluation of local flood risk mgmt, Defra (2014/15)	CAG DB	✓	✓	✓			✓	✓
EDR pilot evaluation, DECC (ongoing)	DB, CAG	✓	✓	✓	✓	✓	✓	✓
Evaluation of HNDU, DECC (ongoing)	CAG	✓	✓	✓	✓		✓	✓
Final evaluation of CERT and CESP, DECC (2011)	CAG	✓		✓		✓	✓	✓
Non-domestic meta evaluation, DECC (ongoing)	DB	✓			✓		✓	✓
Industrial energy efficiency rapid evidence assessment, DECC	DB	✓			✓	✓	✓	
Non-domestic evidence base research for DECC (2012-13)	DB	✓		✓		✓		
Exploring the design of energy efficiency incentives for DECC (2012)	CT	✓		✓	✓		✓	
Technology Innovation Needs Assessment programme for DECC (2010-15)	CT	✓	✓	✓	✓		✓	
Breaking Through: Harnessing energy efficiency to cut costs and carbon emissions	CT	✓	✓	✓	✓		✓	
Econometric evaluation of CCL and CCAs (ESRC)	IC	✓	✓		✓	✓		
Literature review on the impact of EUETS on manufacturing firms (DECC)	IC	✓			✓		✓	
ENTRACTE: On-going research to evaluate the impact of the EU ETS	IC	✓	✓		✓	✓	✓	

3. Addressing challenges and risks

The table below sets out our response to the challenges identified in the ITT.

Challenges and risks identified in the ITT	Our response
Developing familiarity with the policy and evaluation requirement in a tight timeframe	Across the team we have extensive knowledge of the non-domestic policy landscape, including CCAs, CRC, EU ETS, EDR and ESOS, and have previously used relevant NEED and ONS datasets. This, combined with our understanding of DECC's evaluation requirements from previous assignments, will enable us to meet the timeframe for this evaluation.
Effective joint working with CCA policy team and analysts	Our approach to this evaluation is highly collaborative, allowing for several meetings with the CCA policy team and analysts, and for participative workshops at key points in the project process.
Impact evaluation – development of counterfactual	Our methodology, as described in section 1, sets out four different options for development of the counterfactual, including the use of control groups within or outside CCA sectors, the use of before/after approaches or the use of sector model provide comparisons with actual performance (in terms of both energy use and industrial performance). We would advise on the feasibility of these approaches and make recommendations as to the preferred way forward, if more than one appears feasible.
Impact evaluation - limited data, and delay in data availability	We would consider the availability of data from DECC, both in terms of CCA scheme data and non-domestic NEED datasets (including meter point data, building characteristics and Experian data). If there are issues in making some of this data available in a timely manner, we would consider alternatives using data from the ONS, made available via the SDS.
Impact: timing of target review in 2016	Our evaluation plan would take account of the target review in 2016, both in terms of how this would affect the timing of research and the potential for differential impacts before and after the review.
Impact: crowded policy landscape	As described in section 1, the policy landscape is crowded which creates challenges for determining the theoretical framework and in particular impact evaluation (described above). We will address this challenge by: <ul style="list-style-type: none"> • Working closely with DECC colleagues in development of the framework and alongside the non-domestic meta-evaluation project; • Testing the theoretical framework with external stakeholders • Using our experience of the consideration of other policies in the design of other DECC evaluations (e.g. CRC, EDR) and ensuring consistency where possible; and • Researching the availability of data that can distinguish between firms, sites or buildings that have been 'treated' by different combinations of policies.
Impact: other influences outside CCAs	We would consider this issue in our recommendations on development of the counterfactual, through recommending either use of control groups (which would also be subject to these other influences) or use of simulation models (which explicitly model these other influences on particular sectors).
Data and burden on business	As described in section 1, we understand the need to reduce burden on businesses needs careful consideration within the project. We will address this challenge by: <ul style="list-style-type: none"> • Considering the outputs of the non-domestic evaluation project and other DECC activities to mitigate burden on businesses. This will mean: <ul style="list-style-type: none"> ○ Maximising use of existing data; and ○ Focusing on utilising existing points of contact with the market within the evaluation design. For example, considering undertaking interviews at events where industry is already discussing CCA issues; • Ensuring the design considers other projects which will engage with the industrial sector within the timescales for this evaluation
Risk of bias/lobbying	There are always risks of bias and lobbying in any research or evaluation projects. Within the design, we will ensure there is consideration of approaches which can mitigate risk of bias, such as: <ul style="list-style-type: none"> • Using methods which deliver high response rates – which help mitigate potential sample bias;

Challenges and risks identified in the ITT	Our response
	<ul style="list-style-type: none"> Ensuring consideration of which respondents participate, and considering multiple respondents to mitigate potential for bias (e.g. trade associations and their members, perspectives from different respondents within one organisation, independent sector experts); and Utilising methods which do not encourage lobbying – e.g. in-depth interviews (as opposed to open forum workshops)
Policy change and uncertainty on CCAs	We would take into account policy change and uncertainty in developing the evaluation framework and theory of change, and would test these with external stakeholders through the participative workshops. We would work flexibly and collaboratively with DECC to take account of any policy changes emerging during the project.

Our management strategy for each risk is set out above. We would maintain and update this risk register as the project proceeded. We would alert DECC to any changes in risk management in the weekly update call and agree appropriate management strategies with DECC.

4. Management and delivery

The GANTT chart below sets out our timetable for delivery of the scoping study.

Stage 1	Delivery Lead	09-Mar	16-Mar	23-Mar	30-Mar	06-Apr	13-Apr	20-Apr	27-Apr	04-May	11-May	18-May
1) Inception meeting	CAG											
2) Follow-up meetings	CAG/ Databuild											
3) Assessment of previous CCA research	IC/CT											
4) Workshop 1 – scope evaluation framework and methodology options	CAG/ Databuild											
5) Assess methodological and data options	CAG/IC											
6) Develop draft evaluation framework and plan	CAG/ Databuild											
7) Workshop 2 – review draft framework and plan	CAG/ Databuild											
8) Finalise evaluation framework, plan and summary report	CAG/IC Databuild											
9) Project mgmt and quality assurance	CAG											

The roles of individual team members are set out in section 2 above, and their inputs are specified in section 5 on costs. Outputs from the study would comprise:

- An evaluation framework**, including refined evaluation questions on CCA process and impact, in addition to a theory of change, customer journey and assumptions to be tested by the evaluation;
- A critical review of methodological approaches** that have been taken in past CCA research and their appropriateness for evaluation of the present scheme;

- **An outline evaluation plan**, with broadly costed proposals for econometric, quantitative and/or qualitative research, setting out how each would contribute to analysis of the evaluation questions and provide insight into the counterfactual;
- **An assessment of the sources of evidence** that would be used within the evaluation plan, including previous evaluations, scheme data, NEED and ONS data sources, and primary evidence from evaluation research, and the skills that would be needed for evaluation research; and
- **A 2-3 page summary** summarising learning from the scoping study, for the benefit of bidders for an the eventual evaluation.

Quality assurance

CAG Consultants is committed to the highest quality standards and to stringent quality control. The main components of our quality control are provided below; a full copy of CAG and its partners' policies are available on request. Specific points for this research are that:

- A detailed project delivery plan would be developed by the Project Manager after the inception meeting, reviewed by the Project Supporter, and agreed with DECC;
- Details of workshop participation and structure would be reviewed at Partner/Director-level within the project team and agreed with DECC prior to the research commencing;
- Details of literature and data sources to be reviewed during the research would be agreed with DECC in advance by the Project Manager, as well as the criteria against which they should be reviewed;
- The scope and structure of the evaluation framework would be agreed with DECC, as would the format and level of detail required in the evaluation plan, and the proposed content of the summary report;
- Our procedures provide for secure data transfer and storage;
- This project will comply with the DECC Code of Practice for Research; and
- Project outputs and reports will be quality assured by Bill Kirkup, a Partner at CAG Consultants.

Liaison and project management

As Project Manager, Mary Anderson will be responsible for day-to-day liaison with DECC. Denny Gray, as Project Supporter, will provide an alternative point of contact for DECC should Mary not be contactable. Each partner organisation will have a project lead who will be responsible for day-to-day liaison with CAG: this will be James Rawlins for the Carbon Trust, Charles Michaelis for Databuild and Ralf Martin for Imperial College Business School.

The partners will work closely together to ensure that the project meets DECC's needs, as well as those of relevant stakeholders. We recognise that is not always possible to determine exactly what is required from a project in advance, therefore we will be flexible in our approach. We work collaboratively with our clients and believe that a close relationship is necessary to ensure that the client gets what they want out of the research. To facilitate this the Project Manager will provide DECC with weekly progress updates and be available for additional phone or email catch-ups as requested.

Good project management will be essential for the smooth running of the project. Mary Anderson will be responsible for overall project management and co-ordination of

resources. The project lead for each partner in the team will be responsible for allocating additional resources to the project if required to meet the objectives within the project timetable. If problems were to arise we would address these promptly and openly. DECC would be informed immediately with a description of the problem, its cause and suggestions to rectify it. We would then agree actions to put the work back on course and a review date.

Databuild's project management systems are certified to **ISO20252** and their training and development systems are recognised by **Investors in People**. They are committed to training project staff, believing that a strong understanding of our client's objectives at field level engenders high quality research and reliable outputs. Databuild are also a **Market Research Society Company Partner**. Among their staff they have a full member of the Market Research Society, and one fellow and three affiliate members of the Chartered Institute of Marketing.

CAG are institutional members of the UK Evaluation Society. Further details of our quality assurance system and data protection can be found in Appendix 4.

5. Costs

The total cost of our proposal would be [REDACTED] excluding VAT. A detailed breakdown of inputs, by member of staff and organisation, is presented below and in the cost schedule in Appendix 3. CAG Consultants would sub-contact 63% of the total budget.

TASK	TOTAL	MA	DG	BK	CM	KK	JR	RM
	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
1. Inception meeting	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
2. Follow-up meetings	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
3. Assessment of previous CCA research	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
4. Workshop 1 - scope evaluation framework and methodology options	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
5. Assessment of methodological and data options	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
6. Develop draft evaluation framework and plan	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
7. Workshop 2 - review draft framework and plan	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
8. Finalise evaluation framework and plan	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
9. Project management and QA	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Expenses	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Total days	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Total cost	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Appendix 1: CVs

Mary Anderson, BA (Hons), MSc – CAG Consultants



Relevant experience

- Partner at CAG Consultants, joined 1995
 - Economist with extensive experience of monitoring, evaluation and impact assessment
 - Strong quantitative and analytical skills, as well as skills in report writing and facilitation
 - Experienced project manager with wide knowledge of energy efficiency and wider climate change/sustainability issues
-
- Mary has led the evaluation of the CRC Energy Efficiency Scheme on behalf of DECC. Her role included overall project management, client liaison, report writing, qualitative research and facilitation.
 - Mary is also leading CAG's contribution to the EDR evaluation for DECC, led by DNVGL, with Databuild, Carbon Trust and Ives. She is contributing to the theoretical framework and qualitative research.
 - She is contributing to CAG's evaluation of the Heat Networks Development Unit, and led a workshop to develop the theoretical framework with external stakeholders.
 - Mary is contributing to CAG's evaluation of the Local Flood Risk Management for Defra. She facilitated a workshop to develop the theoretical framework, with external stakeholders, and has undertaken case study research with local authorities and partners.
 - Mary also contributed to evaluation of the Community Resilience Pathfinder project for Northamptonshire County Council, as part of the Defra funded Pathfinder programme.
 - Mary was Project Supporter for CAG's final evaluation of CERT and CESP, in partnership with Ipsos MORI and UCL. She also managed CAG's input to the interim evaluations of CERT and contributed to the interim evaluation of CESP for DECC in 2010/11,

Qualifications and Professional history

Mary has a BA in Mathematics from Cambridge University and an MSc in Economics from Birkbeck College, University of London. She has experience of working as an econometrician and commercial analyst for BP and an economic consultant for Coopers and Lybrand management consultancy. She was posted to Papua New Guinea as a Fellow of the Overseas Development Institute in the Department of Minerals and Energy. Before joining CAG, she worked for IT Transport on the monitoring and evaluation of overseas development projects for the ILO, World Bank and UN agencies.

Denny Gray, BA (Hons), MA – CAG Consultants



- Partner at CAG Consultants, joined 2009
- Experienced policy and programme evaluation practitioner
- Expertise in in-depth qualitative research
- Expertise in energy efficiency and sustainable energy
- Strong analytical and problem solving abilities

Relevant experience

- Currently providing project management support for an evaluation of the Heat Network Delivery Unit for DECC. This is a theory-based evaluation involving both qualitative and quantitative research.
- Project manager for an evaluation of Northamptonshire County Council's Community Flood Resilience Pathfinder scheme (just completed).
- Currently a member of the qualitative research team on the DNV-GL led evaluation of the EDR Pilot for DECC
- Currently a key part of the research team for a CAG-led evaluation of the Flood and Water Management Act for Defra.
- Project manager of CAG's team for the evaluation of CERT and CESP for DECC, which is being delivered by Ipsos MORI, CAG, UCL and EST. CAG led the process evaluation, focusing on qualitative research with national stakeholders and delivery partners in seven case study areas.
- Project manager for a small-scale evaluation of RHPP Phase 1, delivered by CAG and Verco. The project has involved qualitative research with householders, installers and policy officials, as well as quantitative analysis of monitoring data.
- Project management supporter on a process evaluation of the Commission for a Sustainable London 2012. The project explored the effectiveness of the Commission as an independent advisor and assurance body to the Olympic delivery bodies.
- Denny managed or played a central role in the interim evaluations of CESP and CERT and the evaluation of the Low Carbon Buildings Programme, all for DECC.

Qualifications and Professional history

Denny has been a Director and Partner at CAG since January 2009 and has over ten years' experience working in the field of sustainability. Prior to joining CAG as a policy advisor at the Sustainable Development Commission, providing advice and support to government departments and agencies on sustainable development governance and delivery. He has expertise in energy efficiency and renewable energy; policy and programme evaluation; stakeholder engagement; and qualitative research.

Bill Kirkup, BSc Env Sci, CEnv – CAG Consultants



- Partner at CAG Consultants since 2012
- Experienced project and programme manager
- Experienced policy and programme evaluator
- Wide knowledge and experience of energy efficiency, renewable energy and wider climate change/sustainability issues

Relevant experience

- Leading the CAG consortia team undertaking the evaluation of the HNDU for DECC. (current).
- Leading a four year evaluation of the Scottish Government's Land Use Strategy pilots (on-going).
- Providing project management support to the CAG lead on the CAG led evaluation of the Flood and Water Management Act (Defra) (on-going).
- Providing project management support on the CAG led evaluation of the CRC Energy Efficiency scheme (DECC) (ongoing)
- Provided project management support and quality assurance for the CAG led evaluation of one of Defra's community flood resilience Pathfinders (Northamptonshire County Council) (just completed).
- Member of the qualitative research team on the DNG led evaluation of the EDR pilot (DECC) (ongoing)
- Member of the CAG team that undertook an evaluation of the Commission for Sustainable London (2014)

Qualifications and Professional history

Bill has worked in the sustainable development sector for over twenty years and has been involved in projects at local, regional and national scale. He has a degree in environmental science and is currently studying for an MSc in Corporate Environmental Management at the University of Surrey. Prior to joining CAG he worked for the North East Improvement and Efficiency Partnership (NEIEP) as their Low Carbon and Sustainability lead where he managed a project budget circa £1million. In addition to being a Partner at CAG Bill is an Associate of APSE Energy, a director of the County Durham Community Energy CiC and a member of the Water Efficiency Networks technical committee for People and Communities.

James Rawlins, BA (Hons) – The Carbon Trust



- Director in the Carbon Trust's Policy & Markets team, joined in 2011
- Leads projects advising government and institutional clients on the policies and interventions they can deploy to stimulate energy efficiency, carbon reduction and technology innovation
- An experienced project director and project manager, with particular strengths in designing and leading complex analyses, and in synthesising the results and communicating them effectively to clients to help them implement interventions
- Broad expertise across the low carbon arena with a focus on energy efficiency and deployment of low carbon technologies. Recent clients include DECC, DFID, FCO, the Scottish Government, and the World Bank

Relevant projects led by James

- Leading the Carbon Trust team in a consortium project to evaluate the CRC. In particular, James worked on the development of the theory of change and customer journey, and synthesis of findings across several workstreams for the final report. James is also leading the Carbon Trust's work on the EDR Pilot evaluation (both 2014-15).
- Advising DECC on the potential for financial incentives to increase the uptake of energy efficiency measures in the industrial and commercial sectors, based on the synthesised findings of a programme of qualitative social research (2012)
- Undertaking a landscape review for DFID in South Africa and proposing and developing the funding case for a new energy efficiency programme to provide support to industrial and commercial businesses. This programme has received funding of £9m from the UK's International Climate Fund (2013)
- Working collaboratively with DECC's Energy Innovation team to synthesise the findings of the Technology Innovation Needs Assessment Programme and to support the development of the Low Carbon Innovation Co-ordination Group's strategy for UK public spending in low carbon innovation (2012-15)

Qualifications and Professional history

James has a BA degree from Oxford University. He has worked for a leading management consultancy, undertaking analytical projects in a wide range of sectors; for a start-up business in the food sector; and as a climate change diplomat based in China, for the Foreign & Commonwealth Office. At the Carbon Trust he has also served as a board director of a number of group businesses focussing on energy efficiency finance and technology deployment, corporate sustainability strategy, and environmental certification

Karl King, BSc, MScR – Databuild



- Associate Director / senior consultant at Databuild, joined 2005
- Experienced evaluator of government programmes and activities
- Strong quantitative analytical and report writing skills
- Expertise in the development of innovative research methodologies, including models to enable clients to quantify the impact of a variety of different delivery activities
- Research expertise in both sustainability and programmes designed to influence business behaviour and support small businesses.

Relevant experience

- Karl was lead consultant on all of the impact assessments of businesslink.gov.uk along with a series of associated ad hoc projects including **large business and sector-specific research**.
- For Databuild's research into the effects of R&D tax credits for HMRC, Karl was responsible for managing this project; developing the methodology and topic guides for the work, liaising with HMRC throughout the project to discuss progress and insights coming out of the research, and contributing to the analysis and reporting.
- Karl was responsible for managing both our studies of the influence of HES guidance for business directors, developing the methodology, writing the questionnaire, analysing the data and presenting and communicating the results to HSE and its stakeholders.
- Karl has been instrumental in the creation and development of a model to quantify the impact of all of WRAP's delivery activities and in leading and coordinating all elements of the associated impact assessment research.

Qualifications and Professional history

- Karl has a BSc Joint Hons (1st) Computer and Business Studies and a MSc (Distinction) Computer Science by Research, both from the University of Warwick (2007 and 2004 respectively). Karl has led a number of publications, including 'Harmonising impact assessment across delivery organisations'; published in *The Evaluator* (the magazine of the UK Evaluation Society) in Spring 2011.

Charles Michaelis, BA (Hons), MBA – Databuild



- Databuild Chairman
- Charles is responsible for the company's overall strategic direction and focus, and is closely involved in the work of Databuild's project directors and consultants to ensure robust research methodology, analysis and interpretation of data to assist clients in gaining insight from the research.
- Charles has worked with a wide range of government and public sector bodies to assist them to develop strategies, assess the impact of their programmes, and understand audience attitudes, needs and concerns about government support and programmes.
- Charles' research has covered local government, SMEs, larger businesses, voluntary organisations and the education and health sectors. He has particular expertise in environmental and energy issues and in the topic of improving business productivity.

Relevant experience

- Development of an economic impact model for Waste Resource Action Programme (WRAP) to quantify the impact of resource efficiency delivery activities in England
- Supporting the development of the Green Deal through research into the Pay as You Save consumer pilots and the small and medium size business sector
- Evaluation of transport programmes including Freight Best Practice, Green Fleet Review and the Energy Saving Trust's Consumer Transport Advice
- Working with businesslink.gov.uk to develop and implement their evaluation methodology and test a wide range of potential service developments
- Evaluation of programmes to influence business behaviour in a range of areas including energy consumption, health and safety, resource efficiency, research and development and environmental compliance.

Qualifications and professional history

- Charles has a BA Hons from Oxford University, Politics, Philosophy and Economics (1982), an MBA from Cranfield University (1986), is a Fellow of the Chartered Institute of Marketing, and was co-chair of the International Energy Programme Evaluation Conference (Rome 2012)
 - Charles joined Databuild after working in finance and as a marketing consultant. His research has covered local government, SMEs, larger businesses, voluntary organisations and the education and health sectors. He has a particular expertise in environmental and energy issues and in the topic of improving business productivity.
-

Ralf Martin, PhD – Imperial College Business School



- Assistant Professor of Economics at Imperial College Business School
- Senior Research Associate at LSE's Centre for Economic Performance.
- Leading academic studying the impact of climate and industrial policies on business
- Extensive experience in working closely with UK government departments

Relevant experience

- Conducted a study on permit allocation in the EU ETS based on a large scale interviewing exercise with managers in almost 800 manufacturing firms in 6 EU countries
- Conducted the first business level evaluation of the Climate Levy and the Climate Change Agreement
- Expert reviewer of the DECC CRC Evaluation Feasibility Study and recently undertook econometric research to evaluate phase 1 of the CRC using NEED and ONS data
- Conducted evidence review on the impact of the EU ETS on manufacturing firms for DECC
- Conducted an evaluation of a wide range of business support schemes for the Department of Trade and Industry (now BIS)
- Ralf is currently involved in an FP7 funded pan European project to study the impact of the EU ETS on the business sector.

Qualifications and Professional history

Ralf has a PhD in Economics and an MSc in Mathematical Economics and Econometrics from the London School of Economics. Before joining Imperial College he worked as research fellow at the Centre for Economic Performance. Ralf's research has appeared in top academic journals such as the American Economic Review, the Journal of Political Economy, the Review of Economics and Statistics and the Economic Journal. He is a pioneer of using of confidential government business data for economic research in the UK. He originally developed the databases that form the core of the ONS business data that is now being made available to the academic community through the Secure Data Service.

Appendix 2: Project experience

Evaluation of CRC phase 1, DECC (2014/15): CAG Consultants, Databuild, Carbon Trust and Imperial College Business School undertook an evaluation of CRC phase 1 on behalf of DECC. The scoping stage included a review of potential approaches to developing comparison groups, as well as the development of a theory of change and refinement of the evaluation questions. The main research stage comprised three main strands: econometric research of CRC behaviour compared to control group behaviour using meter data, NEED data and ONS datasets accessed via the SDS secure datalab; a quantitative survey of 900 non-domestic organisations within and outside the CRC and qualitative research with 70 energy managers and senior managers within and outside the CRC. The overlap between the CRC and CCA scheme required the team to develop a good understanding of both schemes and the interactions between them. Organisations with full exemptions from CRC owing to CCA and EU ETS participation formed one of the comparison groups in the research. Final synthesis of the evaluation findings is nearly complete.

Evaluation of local flood risk management, Defra (2014/15): CAG Consultants is leading a consortium, with RoyalHaskoningDHV and Databuild, to evaluate the impact of the Flood and Water Management Act 2010 on local flood risk management. CAG led the development of a theoretical framework for this evaluation, involving a workshop with a range of external stakeholders. RoyalHaskoningDHV have led a review of strategies prepared in response to the Act, while Databuild have undertaken a telephone survey of all Lead Local Flood Risk Authorities in England and Wales. CAG Consultants are now undertaking a series of case studies at local level, to explore the impact of the Act on local flood risk arrangements in more depth.

EDR Pilot Scheme Evaluation, DECC (2014/16): Databuild and CAG Consultants are both contributing to the current evaluation of DECC Electricity Demand Reduction (EDR) Pilot scheme, led by DNV-GL. Databuild is leading on qualitative research with a range of participants and non-participants to understand the barriers to, and incentives for, participation and investment in energy efficiency measures. In January 2015 we presented Phase 1 Lessons Learned to DECC, which provided analysis of the organisations involved in this scheme, their involvement in other energy-related schemes, and recommendations for how to encourage greater participation.

HNDU evaluation, DECC (2014/16): CAG Consultants are leading a theory-based evaluation of the Heat Network Delivery Unit, in partnership with NAREC. After an initial scoping phase, this evaluation comprises two waves of research, in 2015 and 2016. Each wave of research will involve a review of feasibility studies supported by HNDU funding, and research with both HNDU and non-HNDU supported local authorities, to assess the impact of the unit's support on heat network development.

Final evaluation of CERT and CESP, DECC (2013/14): Ipsos MORI, CAG Consultants and BRE undertook the final evaluation of CESP and CERT, with CAG leading the process evaluation element. The evaluation reviewed the extent to which the programmes met their objectives, as well as examining other important issues such as the costs of delivery to scheme participants, key lessons on delivery and how the programmes engaged with vulnerable customers. The evaluation methods include a mix of qualitative and quantitative research as well as detailed investigation of administrative cost data. The work involved engagement with householders, numerous elements of the supply chain, the energy companies, the regulator, policy makers and officials, and NGOs and other external stakeholders.

Evaluation of the interactions, cumulative and individual impacts of DECC's non-domestic policies (2015): This is a meta-evaluation analysing a range of DECC's non-domestic policy interventions (including EDR, CRC, ESOS and others) which are designed to bring about greater energy efficiency through organisational behaviour change. The evaluation will provide evidence DECC will use to understand programme-level impact of these policies, their interrelationships and interdependencies, and consider what can be done to improve the policy landscape so that DECC achieve greater energy efficiency in the future. Databuild is currently delivering a series of workshops for DECC colleagues on early analysis and findings.

DECC feasibility study on improving the evidence base for industrial energy efficiency: Databuild, along with delivery partners Verco, were commissioned to appraise available evidence on energy efficiency opportunities in the industrial sector. A Rapid Evidence Assessment (REA) was conducted to identify appropriate datasets and determine their value, and identified gaps in data. The study assisted DECC's industrial energy efficiency policy teams to identify and prioritise future research to fill evidence gaps to inform the future direction of industrial energy efficiency policy.

Non-domestic evidence base research for DECC (2012-13): This project was the first phase of a programme of work initiated by DECC to update the evidence base for the UK non-domestic buildings sector. The key overarching driver was the need for reliable data about energy use and abatement opportunities in the non-domestic sector. Our work – which focused upon the food and drink sector – enabled:

- Updating and deepening of insight on the way food and mixed retailers use energy and the abatement options open to them;
- Evaluation of different survey methodologies for gathering information on the use of energy and abatement opportunities; and
- Design and proposal of a survey methodology that could be scaled up and applied to the non-domestic building stock as a whole, including recommendations around obtaining data from large organisations.

862 interviews were conducted with independent and medium multi-site (2-99 sites) organisations and eight in-depth qualitative interviews were conducted with large food/mixed retailers (100+ sites).

Exploring the design of policies to increase efficiency of electricity use within the industrial and commercial sectors (2012): The Carbon Trust undertook this research for DECC to inform the early stages of the policy development process, with a particular objective to build the evidence base on incentive policies, and to explore which types of incentive schemes would most effectively address the barriers to the implementation of energy efficiency measures, within the industrial and commercial sectors. The project involved interviewing c. 40 businesses (and also holding several focus groups) and analysing the responses to provide DECC with a clear summary of businesses' views on potential incentive schemes. We provided DECC with policy advice based on the project and also produced a research report that was published in November 2012 alongside the Electricity Demand Reduction consultation.

Technology Innovation Needs Assessment programme (2010-14): The Carbon Trust has been leading the TINA programme for several years to help DECC and other key bodies prioritise their support for low carbon technology innovation in the UK. We have undertaken comprehensive assessments of 11 technology areas, using research with industry and economic modelling to identify their innovation needs and quantify the benefits (energy system cost savings and economic value creation) of successful delivery of that innovation. In addition to leading the creation of each TINA report, the Carbon Trust has been working collaboratively with DECC's Energy Innovation team to summarise and synthesise the reports published to date and to use the results to inform the development of Comprehensive Spending Review bids, and to develop a published strategy for UK public spending in low carbon innovation.

Breaking Through: Harnessing energy efficiency to cut costs and carbon emissions in business and the public sector (2010): The purpose of this study, delivered by the Carbon Trust, was to identify ways to ensure greater uptake of energy efficient technologies and practices. We drew on the Carbon Trust's extensive record of working with thousands of organisations since 2001 and used this experience to assess the size of the energy efficiency opportunity from the bottom up across four major sectors of the UK economy – the public, services, retail, and chemicals sectors. We then analysed which carbon-saving actions are most and least frequently taken up, and made use of in-depth interviews with our customers to further explore the factors that accelerate or hold back the implementation of energy efficiency. Where we identified strong barriers or weak drivers to the uptake of energy efficiency, we assessed whether current policy was providing organisations all the help and support they needed to overcome the issue. We also suggested possible approaches for addressing gaps in current energy efficiency policy to help businesses and public sector organisations to implement much more of the untapped energy efficiency opportunity.

Evaluation of the CCL/CCA: Funded by a grant from the ESRC, Imperial College Business School conducted the first evaluation of the UK Climate Change Levy using representative firm level data from the Office of National Statistics. This project is very similar to what is required for the CRC evaluation. We had to match data on policy exposure to official business micro data and devise a framework for robust causal inference. Further details under <http://www.nber.org/papers/w17446>

Evaluation of the allocation practice in Phase 3 of the EU ETS: For this project we built and trained a team of Master's level students to interview almost 800 managers in as many manufacturing firms across 8 European countries. One important objective was to be able to combine the detail of an interview approach with the rigor and representativeness of an econometric approach. Further details under <http://www.nber.org/papers/w19097>. This research is forthcoming in the American Economic Review.

Literature Review on EUETS impact: In 2012 Imperial College Business School were commissioned by DECC to conduct a literature review on the impact of the EU ETS on manufacturing firms available here:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/48449/5725-an-evidence-review-of-the-eu-emissions-trading-sys.pdf

A follow up version of this review is forthcoming in the Review of Environmental Economics and Policy

Evaluation of ETS: Imperial College Business School are currently involved in an evaluation of the ETS using business micro data from several countries (UK, France, Germany). This research is funded by ENTRACTE, a consortium funded by the EU's FP7 scheme.

Evaluation of the Regional Selective Assistance (RSA): This piece of academic research by Imperial College Business School emerged from an earlier DTI (now BIS) funded study on a range of business support schemes. The RSA – which is now replaced by similar schemes – was the biggest direct support scheme for companies. Further details here: <http://www.nber.org/papers/w17842>

Appendix 3: Tender forms

Annex A - Pricing Schedule

<u>*Grade/level of staff</u>	<u>Daily rate (ex VAT)</u>	<u>No. days offered over course of contract</u>	<u>Total price offered per staff member</u>
Mary Anderson, CAG Partner			
Denny Gray, CAG Partner			
Bill Kirkup, CAG Partner			
Charles Michaelis, Chairman, Databuild			
Karl King, Associate Director, Databuild			
James Rawlins, Director, Carbon Trust			
Dr.Ralf Martin, Associate Professor, Imperial College Business School			

[*This should include both the main bidder's staff and sub-contractors]

Part B – Non-staff/project team charges

<u>Item</u>	<u>No. of items</u>	<u>Price per item (ex VAT)</u>	<u>Total price per offered</u>
Travel/subsistence: Tunbridge Wells – London return.			
Travel/ subsistence: Stratford upon Avon to London return.			
Sub-total			

Part C – Full price offered to include all expenses

TOTAL excluding VAT	

Total Prices quoted in the table above will be treated by DECC as final unless DECC specifically later authorises any deviation from the quoted figures. Written justification for any deviation will be required from applicants in such a scenario.

Annex B – Declaration forms

Declaration 1: Conflict of Interest

Please complete this form and return this with your ITT documentation - Nil returns **are** required. 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.

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.

Signed

Name

Position

OR

2. **I wish to declare** the following current or potential interest or conflict of interest in relation to this research:

- X
- X

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

- X
- X

Signed

Name

Position

If your situation changes during the project in terms of interests or conflicts, you must notify DECC straight away.

Declaration 2: Statement of non-collusion

To: The Department of Energy and Climate Change

1. We recognise that the essence of competitive tendering is that the Department will receive a bona fide competitive tender from all persons tendering. We therefore certify that this is a bona fide tender and that we have not fixed or adjusted the amount of the tender or our rates and prices included therein by or in accordance with any agreement or arrangement with any other person.

2. We also certify that we have not done and undertake not to do at any time before the hour and date specified for the return of this tender any of the following acts:

- (a) communicate to any person other than the Department the amount or approximate amount of our proposed tender, except where the disclosure, in confidence, of the approximate amount is necessary to obtain any insurance premium quotation required for the preparation of the tender;
- (b) enter into any agreement or arrangement with any other person that he shall refrain for submitting a tender or as to the amount included in the tender;
- (c) offer or pay or give or agree to pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person doing or having done or causing or having caused to be done, in relation to any other actual or proposed tender for the contract any act, omission or thing of the kind described above.

3. In this certificate, the word "person" shall include any person, body or association, corporate or unincorporated; and "any agreement or arrangement" includes any such information, formal or informal, whether legally binding or not.

.....
Signature (duly authorised on behalf of the tenderer)

.....
Print name

.....
On behalf of (organisation name)

.....
Date

Declaration 3: Form of Tender

To: The Department of Energy and Climate Change

1. Having considered the invitation to tender and all accompanying documents (including without limitation, the terms and conditions of contract and the Specification) we confirm that we are fully satisfied as to our experience and ability to deliver the goods/services in all respects in accordance with the requirements of this invitation to tender.
2. We hereby tender and undertake to provide and complete all the services required to be performed in accordance with the terms and conditions of contract and the Specification for the amount set out in the Pricing Schedule.
3. We agree that any insertion by us of any conditions qualifying this tender or any unauthorised alteration to any of the terms and conditions of contract made by us may result in the rejection of this tender.
4. We agree that this tender shall remain open to be accepted by the Department for 8 weeks from the date below.
5. We understand that if we are a subsidiary (within the meaning of section 1159 of (and schedule 6 to) the Companies Act 2006) if requested by the Department we may be required to secure a Deed of Guarantee in favour of the Department from our holding company or ultimate holding company, as determined by the Department in their discretion.
6. We understand that the Department is not bound to accept the lowest or any tender it may receive.
7. We certify that this is a bona fide tender.

.....
Signature (duly authorised on behalf of the tenderer)

.....
Print name

.....
On behalf of (organisation name)

.....
Date

Appendix 4: Quality assurance system and data protection policies

Quality assurance and training

CAG Consultants strives to produce high quality work for all our clients. Our quality assurance system is outlined below.

Objective	How we do this	Measure
Produce work that meets our clients' requirements	<ul style="list-style-type: none"> Designate a project manager for each job Undertake a set up meeting with the client to agree objectives and approach Provide draft material wherever a contract allows to ensure clients have an opportunity to review material prior to any reports being finalised Ensure that clients have an opportunity to feedback at the end of a job via a client satisfaction questionnaire, and often through a 'closing' meeting 	Results of annual quality review and client feedback forms.
Establish good communications and feedback loops with clients so that objectives, timescales and approach can be responsive to needs	<ul style="list-style-type: none"> Work with the client to agree management and communication processes for the contract and adapting out approach to meet the clients' needs Provide one point of contact for each client. This point of contact changes only in exceptional circumstances and with the prior agreement of the client 	As above
Provide well thought out, accurate and honest proposals for each contract	<ul style="list-style-type: none"> Ensure that proposals are reviewed and signed off by another member of staff 	Results of internal audit
Produce work that meets any legal or regulatory requirements	<ul style="list-style-type: none"> Project manager identifies any requirements at the beginning of a project and includes them in the project objectives. Where appropriate a quality assurance checklist will be used. 	Use of quality assurance checklist in SAs.
Produce work that is well presented, free from error, and written in appropriate language	<ul style="list-style-type: none"> Provide an internal 'Project Supporter' and/or Quality Assurance Partner for each project whose role is to check quality of approach and written material 	Results of annual quality review and client feedback forms.
Produce work that accords with our values	<ul style="list-style-type: none"> As above and through inclusion of environmental statement in relevant reports, as required by our EMS 	EMS review of environmental statements Results of internal audit

Objective	How we do this	Measure
Ensure that our associates understand and are committed to our quality policy and objectives	<ul style="list-style-type: none"> • Ensure that our quality approach is reflected in our contracts with Associates and Partners 	Results of internal audit

All our work is undertaken following procedures for ensuring interview quality and data accuracy. We are committed to delivering complete customer satisfaction.

CAG Consultants - Data protection policy – June 2014

Data Definitions

CAG Consultants may collect and make use of 'personal' data and 'commercial' data that may be 'confidential information'.

'Personal' data is defined as data which relate to a living individual who can be identified –

- a) from those data, or
- b) from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller,

and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.

'Sensitive' personal data is defined as personal data consisting of information as to -

- (a) the racial or ethnic origin of the data subject,
- (b) his/her political opinions,
- (c) his/her religious beliefs or other beliefs of a similar nature,
- (d) whether he/she is a member of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992),
- (e) his/her physical or mental health or condition,
- (f) his/her sexual life,
- (g) the commission or alleged commission by him/her of any offence, or
- (h) any proceedings for any offence committed or alleged to have been committed by him/her, the disposal of such proceedings or the sentence of any court in such proceedings.

Confidential information that is 'commercial' in nature is hereafter termed '**commercially confidential**' data.

CAG Consultants – data protection and data security procedures

The following section outlines the appropriate technical and organisational measures which ensure that CAG Consultants will:

- store data securely
- restrict access to and unauthorised processing of personal and commercially confidential data
- prevent accidental loss or destruction of, or damage to, personal and commercially confidential data
- share and transfer data securely.

CAG Consultants complies with the requirements of the Data Protection Act (DPA) 1998. In compliance with the DPA, CAG Consultants is registered with the Information Commissioner's Office as a data controller - Registration Number: ZA004802. The DPA requirements relate to personal and sensitive data, as defined above.

In the course of our work, we draw on a variety of administrative and primary research data, including personal and commercially confidential information that must be kept secure, handled sensitively, and used for proper purposes. Where we are granted access to such data, both legal and data supplier access requirements will be complied with, including provisions relating to presumed consent and potential risk of disclosure of sensitive information.

Our general approach to collecting confidential research data are that:

- Unless prior consent is granted, the identities and records of those participating in research will be kept confidential, whether or not an explicit pledge of confidentiality has been given. Methods for preserving anonymity will be used, including the removal of identifiers, the use of pseudonyms and other technical means for breaking the link between data and identifiable individuals, unless otherwise agreed with the respondent;
- Appropriate technical and other measures will be taken to prevent unauthorised or unlawful processing or accidental loss or destruction of, or damage to, personal and commercially confidential information. This will include encryption of all sensitive personal data and commercially confidential data;
- Care will be taken to prevent data being published or released in a form that would permit the identification of research participants without prior written consent of the participants;
- All data suppliers will be made aware of all potential uses of their data; and
- Data suppliers will be approached for fresh consent for any new focus of enquiry of the data that is likely to go beyond the permitted use.

In addition, CAG adopts the following routine procedures:

- Storage of all important data (including personal and commercially confidential data) on central systems with automatic back-up, in encrypted form where necessary;
- Full daily back-ups of all other locally-held data to external hard drives;
- Use of automatically updated virus software and firewalls on all machines – software varies according to machine and operating system in use;
- Sensitive and commercially confidential data permanently removed from our systems via a suitable secure erasure data product after completion of its intended use;
- Secure destruction of physical copies of sensitive data;
- All computer equipment or digital media due for disposal is treated as if it contains restricted information regardless of what is known about its data contents or history. If the computer is to be recycled, then a secure method of data deletion is used before the unit is redeployed;
- All files containing sensitive or commercially confidential data are stored in encrypted volumes (minimum 128-bit AES);
- All personal data stored on backup or removable media must be in a suitably encrypted format (minimum 128-bit AES);

- No personal or commercially confidential data to be stored on laptops or removable media unless authorized by IT staff and suitably encrypted;
- All laptops are password protected;
- All 'personal' or commercially confidential paper documentation containing personal details such as names and addresses must be locked away when not attended; clear desk policies must be observed;
- All 'personal' or commercially confidential paper documentation must be sent using a trackable method if not delivered by hand. Specific handling arrangements for paper documents must be agreed with CAG in advance;
- Strict control exercised over access to data ensuring that only authorised people gain access;
- A register of named individuals authorised to access 'personal' and commercially confidential data will be maintained;
- Appropriate measures are taken to ensure physical security of premises;
- A Data Protection Officer is appointed, with specific responsibility for ensuring compliance with Data Protection;
- All partners and sub-contractors understand that they are contractually responsible for following good data protection practice;
- All staff are aware that a breach of the rules and procedures identified in this policy may lead to disciplinary action being taken against them;
- All staff are appropriately trained to follow the requirements of the Data Protection Act and the requirements of this policy; and
- This policy will be updated as necessary to reflect best practice in data management, security and control and to ensure compliance with any changes or amendments made to the Data Protection Act 1998.

In case of any queries or questions in relation to this policy please contact CAG Consultants' Data Protection Officer: Tim Maiden, tm@cagconsult.co.uk, 01539 528929 / 07961 541281.

Databuild – quality assurance and information security

Databuild complies with, and all staff are trained on, all aspects of the relevant Industry Codes of Practice:

- The Market Research Society Code of Conduct – one of the main principles of the code is that market researchers will never allow personal data they collect in a market research project to be used for any purpose other than market research.
- We are certified to ISO20252 – we are audited annually against this standard.
- We are registered with the Information Commissioner and comply with the Data Protection Act.

A written declaration is signed by all employees that their work will be carried out in accordance with the Code. This is discussed during appraisals and employees sign the

declaration again during this process. It is the responsibility of the project manager to ensure that all data collected in the source of the project are secure. A copy of our information security policy is available on request.

Information security policy

Databuild has a comprehensive Information Security Policy, covering all data and information held by the company. Selected key points from this policy are provided here; a full copy is available on request.

- **Data access and backup;** Data is backed up on a daily basis and back-up hard drives are kept in a fire proof box and off site. Staff use a unique password to log on to a computer; only the Project director and the IT representative have access to these passwords.
- **Software and hardware;** Databuild uses Kaspersky Antivirus which is automatically updated. All files imported or exported to the file server and computer network are virus checked. All inbound and outbound emails and attachments are scanned for viruses. The network is protected by a firewall.
- **Hardware;** When laptops are taken off site all precaution measures should be taken to avoid theft.
- **E-mail;** confidential and sensitive information should not be transmitted by e-mail.
- **Data protection**
 - All personal data stored on backup or removable media must be in a suitable encrypted format.
 - No personal data to be stored on laptops or removable media unless authorized by the IT and Systems Assistant and suitably encrypted.
 - Personal data is not to be transmitted via email unless in a suitable encrypted format.
 - Personal data must be permanently removed from the server via a suitable secure erasure data product after completion of its intended use.
 - All documents, materials, databases etc. provided by clients must be treated confidentially and stored securely on our password protected network which is only accessible to authorised staff.
 - Transfer of documents containing confidential information should be transferred using 128 bit AES encryption or PGP encryption.
- **Record retention**
 - All computer files, including project folders/files, are retained indefinitely (including as archived media).
 - Hard copy project records are retained for three years.
 - Hard copy personnel records are retained for six years.
 - At the end of retention periods hard copies are disposed of in a secure manner.