



**Department for  
International Trade**

ICF International  
c/o ICF Consulting Services Ltd  
Watling House  
33 Cannon Street  
London  
EC4M 5SB

Our Ref: DN324644  
25th April 2018

FAO: Andrew Jarvis

Dear Andrew

**Research and Evaluation Framework Agreement – Lot 2**

**Provision of Services to Develop an Appraisal, Monitoring and Evaluation Framework for Large Events.**

Thank you for your response to the Specification for the above Commission by the Department for International Trade (the Customer) through the Research and Evaluation Framework dated 2<sup>nd</sup> January 2016 between (1) Secretary of State for Business, Innovation and Skills; and (2) ICF International (the Framework Agreement).

The Department for International Trade accepts your Proposal (Schedule 9), submitted in response to our Specification (Schedule 1).

The Call-Off Terms and Conditions for this Contract are those set out in Schedule 5 to the Framework and are amended as per below:

- SCHEDULE 1 – SERVICES**
- SCHEDULE 2 – PRICING**
- SCHEDULE 3 – GOVERNANCE AND CONTRACT MANAGEMENT**
- SCHEDULE 4 – PERFORMANCE MANAGEMENT FRAMEWORK**
- SCHEDULE 5 – APPROVED SUB-CONTRACTOR'S LIST**
- SCHEDULE 6 – KEY PERSONNEL**
- SCHEDULE 7 – COMMERCIALY SENSITIVE INFORMATION**
- SCHEDULE 8 – TRAVEL AND SUBSISTENCE**
- SCHEDULE 9 – SERVICE PROVIDER'S PROPOSAL**

The agreed total charges are eighty-nine thousand seven hundred and seventy pounds sterling (£89,770) exclusive of VAT which should be added at the prevailing rate. The agreed invoice schedule is as follows:



Department for  
International Trade

Invoice No.	Associated Aims	Deadline	Price GBP
1	Theory of Change AND Evidence review and KPI Spreadsheet	August 2018	
2	Strategic and Economic Appraisal Models	September 2018	
3	Monitoring and Evaluation Toolkits AND Monitoring and Evaluation Report	November 2018	
4	Dubai Proposal	January 2018	
<b>Total Fixed Price</b>			
Are travel and subsistence expenses included in this total fixed price?			N
If no, please provide a fixed travel and subsistence cost for the duration of this contract, in-line with DIT's travel policy			
<b>Total Fixed Price - including Travel and Subsistence</b>			<b>89770</b>

All invoices should be sent to:

UKSBS  
Queensway House  
West Precinct  
Billingham  
TS23 2NF  
Email: [finance@services.ukpbs.co.uk](mailto:finance@services.ukpbs.co.uk)

You are reminded that any Customer Intellectual Property Rights provided in order to perform the Services will remain the property of the Customer. The agreed deliverables are detailed in Schedule 1 of the Call-off Contract.

The Services Commencement Date is 1<sup>st</sup> May 2018.

The Completion date is 31<sup>st</sup> January 2019.

The optional Extension Period is two (2) months, giving a final Completion date of 31<sup>st</sup> March 2019.

The Contract may be terminated for convenience by giving thirty (30) days' notice in accordance with clause 37 of the Call-off Terms and Conditions.

Your invoice(s) for this work must include the following information:  
Commission number: DN324664

The Authorised Representative for this Commission will be Darren Belnikoff who can be contacted at [REDACTED]

Congratulations on your success in being selected to undertake this Commission.



Department for  
International Trade

Yours sincerely

**Authorised to sign for and on behalf of the Customer**

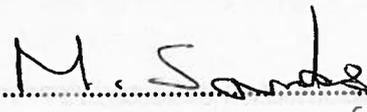
Signature.....

Date.....24/04/2018.....

Name in capitals.....GERRY DUIGNAN.....

BY SIGNING AND RETURNING THIS COMMISSIONING LETTER THE SERVICE PROVIDER AGREES to enter a legally binding contract with the Customer to provide to the Customer the Services specified in this Commissioning Letter and Annexes incorporating the rights and obligations in the Call-off Terms and Conditions set out in the Framework Agreement.

**Authorised to sign for and on behalf of the Service Provider**

Signature.....

Date.....27.4.18.....

Name in capitals.....MICHAEL SANDS.....





**Department for  
International Trade**

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**Call-Off Contract for the Provision of Services to  
Develop an Appraisal, Monitoring and Evaluation  
Framework for Large Events**

(Further Competition under BEIS Research and Evaluation Framework 2017 to 2020 – Lot 2)

**Between**

**Department for International Trade**

**And**

**ICF Consulting Services Ltd**

**Contract Reference: DN324664**

**April 2018**

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## **PARTIES**

- (1) Department for International Trade whose principal place of business is at 3 Whitehall Place, London, SW1A 2AW (**Customer**).
- (2) ICF Consulting Services Ltd incorporated and registered in England and Wales with company number 04161656 whose registered office is at Watling House, 33 Cannon Street, London, EC4M 5SB (**Service Provider**).

## **BACKGROUND**

- (A) The Customer placed a contract notice 111177-2015 on 26<sup>th</sup> March 2015 in the Official Journal of the European Union seeking expressions of interest from potential service providers for the provision of Services (divided into Lots) to Contracting Bodies under a Framework Agreement.
- (B) Following receipt of expressions of interest, the Customer invited potential service providers (including the Service Provider) on 6 July 2015 to tender for the provision of research and evaluation services.
- (C) On the basis of the Service Provider's Tender, the Customer selected the Service Provider to enter a framework agreement to provide services to Contracting Bodies who will place Commissions in accordance with the Framework Agreement.
- (D) The Framework Agreement sets out the procedure for ordering Services, the main terms and conditions for the provision of Services and the obligations of the Service Provider under the framework agreement.
- (E) The Customer is a Contracting Body, as specified in the OJEU Notice. It has selected the Service Provider to provide the Services and the Service Provider is willing and able to provide the Services in accordance with the terms and conditions of this Contract.

## **GENERAL PROVISIONS**

### **1. DEFINITIONS**

In the Contract, unless the context otherwise requires, the following provisions shall have the meanings given to them below:

**Approval:** the prior written approval of the Customer.

**Auditor:** the National Audit Office or an auditor appointed by the Audit Commission as the context requires.

**Authorised Representative:** the persons respectively designated as such by the Customer and the Service Provider in the Commissioning Letter.

**Customer:** Secretary of State for Business, Innovation and Skills, being the contracting Customer that established the Framework Agreement.

**Commission:** the order placed by the Customer to the Service Provider in accordance with the Framework Agreement, which sets out the description of the Services to be supplied including, where appropriate, the Key Personnel, the timeframe, the Deliverables and the Quality Standards.

**Commissioning Letter:** the document used to place a Commission.

**Confidential Information:** means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information which would or would be likely to prejudice the commercial interests of any person, trade secrets, Intellectual Property Rights, know-how of either Party and all personal data and sensitive data within the meaning of the DPA.

**Contract:** the written agreement between the Customer and the Service Provider consisting of the Commissioning Letter and these clauses (except that, for the purposes of clause 44.3 only, reference to "Contract" shall not include the Commissioning Letter).

**Contract Period:** the period from the Service Commencement Date to:

- (a) the date of expiry set out in clause 3;
- (b) following an extension pursuant to clause 4, the date of expiry of the extended period; or
- (c) such earlier date of termination or partial termination of the Contract in accordance with the Law or the provisions of the Contract.

**Contract Price:** the price (exclusive of any applicable VAT), payable to the Service Provider by the Customer under the Contract, as set out in the Commissioning Letter, for the full and proper performance by the Service Provider of its obligations under the Contract.

**Contract Year:** a period of 12 months, commencing on the Service Commencement Date.

**Contracting Customer:** any contracting Customer as defined in regulation 3 of the Public Contracts Regulations 2006 (SI 2006/5) other than the Customer.

**Contracting Body:** a Contracting Customer identified in the contract notice as a potential purchaser of Services under the Framework Agreement.

**Crown:** the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers and government departments and particular bodies, persons, commissions or agencies from time to time carrying out functions on its behalf.

**Data Protection Legislation:** means the Data Protection Act 1998 (DPA), the EU Data Protection Directive 95/46/EC, the Regulation of Investigatory Powers Act 2000, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000, the Electronic Communications Data Protection Directive 2002/58/EC, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all applicable laws and regulations relating to processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner.

**Default:** any breach of the obligations of the relevant Party (including but not limited to fundamental breach or breach of a fundamental term) or any other default, act, omission, negligence or negligent statement of the relevant Party or the Staff in connection with or in relation to the subject matter of the Contract and in respect of which such Party is liable to the other.

**Deliverables:** those deliverables listed in the Commissioning Letter.

**Dispute Resolution Procedure:** the dispute resolution procedure in clause 42.

**Environmental Information Regulations:** the Environmental Information Regulations 2004 (SI 2004/3391), together with any guidance and codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations.

**Fees Regulations:** the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004 (SI 2004/3244).

**FOIA:** the Freedom of Information Act 2000 and any subordinate legislation made under this Act from time to time, together with any guidance and codes of practice issued by the Information Commissioner or relevant government department in relation to such legislation.

**Force Majeure:** any event or occurrence that is outside the reasonable control of the Party concerned and which is not attributable to any act or failure to take preventative action by that Party, including: fire; flood; violent storm; pestilence; explosion; malicious damage; armed conflict; acts of terrorism; nuclear, biological or chemical warfare; or any other disaster, natural or man-made, but excluding:

- (a) any industrial action occurring within the Service Provider's or any Sub-Contractor's organisation; or
- (b) the failure by any Sub-Contractor to perform its obligations under any Sub-Contract.

**Framework Agreement:** the framework agreement for the provision of Research and Evaluation Framework Services between the Customer and the Service Provider dated 2 January 2016.

**Good Industry Practice:** standards, practices, methods and procedures conforming to the Law and the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances.

**Information:** has the meaning given under section 84 of the FOIA.

**Initial Contract Period:** the period set out in clause 3.

**Intellectual Property Rights:** any and all intellectual property rights of any nature anywhere in the world whether registered, registerable or otherwise, including patents, utility models, trademarks, registered designs and domain names, applications for any of the foregoing, trade or business names, goodwill, copyright and rights in the nature of copyright, design rights, rights in databases, moral rights, know-how and any other intellectual property rights which subsist in computer software, computer programs, websites, documents, information, techniques, business methods, drawings, logos, instruction manuals, lists and procedures and particulars of customers, marketing methods and procedures and advertising literature, including the look and feel of any websites, and **Intellectual Property** shall refer to such materials.

**Key Personnel:** any individual identified in the Commissioning Letter as being key personnel.

**Law:** any applicable Act of Parliament, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, exercise of the royal prerogative, enforceable community right within the meaning of section 2 of the European Communities Act 1972, regulatory policy, guidance or industry code, judgment of a relevant court of law, or directives or requirements of any Regulatory Body of which the Service Provider is bound to comply.

**Management Information:** the management information specified in the Commissioning Letter.

**Month:** calendar month.

**Parent Company:** any company which is the ultimate Holding Company of the Service Provider or any other company of which the ultimate Holding Company of the Service Provider is also the ultimate Holding Company and which is either responsible directly or indirectly for the business activities of the Service Provider or which is engaged by the same or similar business to the Service Provider. The term **Holding Company** shall have the meaning ascribed in section 1159 of the Companies Act 2006 or any statutory re-enactment or amendment thereto.

**Party:** the Service Provider or the Customer and Parties shall mean both the Service Provider and the Customer.

**Prohibited Act:** the following constitute Prohibited Acts:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the Customer a financial or other advantage to:
  - (i) induce that person to perform improperly a relevant function or activity; or
  - (ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with this Contract;
- (c) committing any offence:
  - (i) under the Bribery Act 2010;
  - (ii) under legislation creating offences concerning fraudulent acts;
  - (iii) at common law concerning fraudulent acts relating to this Contract or any other contract with the Customer; or
- (d) defrauding, attempting to defraud or conspiring to defraud the Customer.

**Property:** the property, other than real property, issued or made available to the Service Provider by the Customer in connection with the Contract.

**Quality Standards:** the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation or other reputable or equivalent body (and their successor bodies), that a skilled and experienced operator in the same type of industry or business sector as the Service Provider would reasonably and ordinarily be expected to comply with (as may be further detailed in

the Commissioning Letter) and any other quality standards set out in the Commissioning Letter.

**Regulatory Bodies:** those government departments and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in the Contract or any other affairs of the Customer.

**Replacement Service Provider:** any third party service provider appointed by the Customer to supply any services that are substantially the same as or similar to any of the Services and which the Customer receives in substitution for any of the Services following the expiry, termination or partial termination of the Contract.

**Request for Information:** shall have the meaning set out in the FOIA or the Environmental Information Regulations as relevant (where the meaning set out for the term "request" shall apply).

**RFI Response:** the response to the pre-qualification questionnaire issued by the Customer and submitted by the Service Provider on 8 May 2015.

**Service Commencement Date:** the service commencement date set out in the Commissioning Letter.

**Services:** the research services to be supplied as specified in the Commissioning Letter.

**Staff:** all persons employed by the Service Provider to perform its obligations under the Contract together with the Service Provider's agents, Service Providers and Sub-Contractors used in the performance of its obligations under the Contract.

**Sub-Contract:** any contract between the Service Provider and a third party under which the Service Provider agrees to source the provision of any of the Services from that third party.

**Sub-Contractor:** the Contractors or service providers that enter into a Sub-Contract with the Service Provider.

**Tender:** the document(s) submitted by the Service Provider to the Customer for admission onto the Framework Agreement as supplemented by the documents submitted to the Customer in response to the Customer's Commission, including the Service Provider's Supplemental Tender.

**Variation:** has the meaning given to it in clause 29.

**VAT:** value added tax in accordance with the provisions of the Value Added Tax Act 1994.

**Working Day:** any day other than a Saturday or Sunday or public holiday in England and Wales.

## 2. INTERPRETATION

The interpretation and construction of the Contract shall be subject to the following provisions:

- (a) words importing the singular meaning include where the context so admits the plural meaning and vice versa;
- (b) words importing the masculine include the feminine and the neuter;

- (c) reference to a clause is a reference to the whole of that clause unless stated otherwise;
- (d) references to any statute, enactment, order, regulation or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as amended by any subsequent enactment, modification, order, regulation or instrument as subsequently amended or re-enacted;
- (e) references to any person shall include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind and however constituted and their successors and permitted assigns or transferees;
- (f) the words "include", "includes" and "including" are to be construed as if they were immediately followed by the words "without limitation";
- (g) headings are included in the Contract for ease of reference only and shall not affect the interpretation or construction of the Contract;
- (h) the Schedules form part of the Contract and shall have effect as if set out in full in the body of the Contract and any reference to the Contract shall include the Schedules;
- (i) references in the Contract to any clause or sub-clause or Schedule without further designation shall be construed as a reference to the clause or sub-clause or Schedule to the Contract so numbered; and
- (j) references in the Contract to any paragraph or sub-paragraph without further designation shall be construed as a reference to the paragraph or sub-paragraph of the relevant Schedule to the Contract so numbered.

### **3. INITIAL CONTRACT PERIOD**

The Contract shall take effect on the Service Commencement Date and shall expire automatically on the date set out in the Commissioning Letter, unless it is otherwise terminated in accordance with the provisions of the Contract.

### **4. EXTENSION OF INITIAL CONTRACT PERIOD**

The Customer may, by giving written notice to the Service Provider not less than 14 days before the last day of the Initial Contract Period, extend the Contract for any further period or periods specified in the Commissioning Letter. The provisions of the Contract will apply throughout any such extended period.

### **5. SERVICE PROVIDER'S STATUS**

At all times during the Contract Period the Service Provider shall be an independent service provider and nothing in the Contract shall create a contract of employment, a relationship of agency or partnership or a joint venture between the Parties and, accordingly, neither Party shall be authorised to act in the name of, or on behalf of, or otherwise bind the other Party except as expressly permitted by the terms of the Contract.

## **6. CUSTOMER'S OBLIGATIONS**

Except as otherwise expressly provided, the obligations of the Customer under the Contract are obligations of the Customer in its capacity as a contracting counterparty and nothing in the Contract shall operate as an obligation on, or in any other way fetter or constrain, the Customer in any other capacity, nor shall the exercise by the Customer of its duties and powers in any other capacity lead to any liability under the Contract (howsoever arising) on the part of the Customer to the Service Provider.

## **7. MISTAKES IN INFORMATION**

The Service Provider shall be responsible for the accuracy of all documents and information supplied to the Customer by the Service Provider in connection with the supply of the Services and shall pay the Customer any extra costs occasioned by any discrepancies, errors or omissions therein.

## **SUPPLY OF SERVICES**

### **8. SERVICES**

- 8.1 The Service Provider shall supply the Services during the Contract Period in accordance with the Customer's requirements as set out in the Contract in consideration for the payment of the Contract Price.
- 8.2 The Service Provider acknowledges that it has made its own enquiries to satisfy itself as to the accuracy and adequacy of any information supplied to it by or on behalf of the Customer before submitting its Tender so as to be satisfied in relation to all matters connected with the performance of its obligations under the Contract.
- 8.3 The Service Provider shall:
- (a) at all times comply with the Quality Standards, and, where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body;
  - (b) to the extent that the standard of Services has not been specified in the Contract, agree the relevant standard of the Services with the Customer before the supply of the Services; and
  - (c) at all times perform its obligations under the Contract in accordance with the Law and Good Industry Practice.
- 8.4 The Service Provider shall ensure that all Staff supplying the Services shall do so with all due skill, care and diligence and shall possess such qualifications, skills and experience as are necessary for the proper supply of the Services.

- 8.5 Subject to the Customer providing Approval in accordance with clause 9, timely supply of the Services shall be of the essence of the Contract, including in relation to commencing the supply of the Services within the time agreed or on a specified date.

## **STAFFING**

### **9. KEY PERSONNEL**

- 9.1 The Parties have agreed to the appointment of the Key Personnel. The Service Provider shall, and shall procure that any Sub-Contractor shall, obtain the prior Approval of the Customer before removing or replacing any Key Personnel during the Contract Period, and, where possible, at least one Months' written notice must be provided by the Service Provider of its intention to replace Key Personnel.
- 9.2 The Customer shall not unreasonably delay or withhold its consent to the appointment of a replacement for any relevant Key Personnel by the Service Provider or Sub-Contractor, but the Customer may interview the candidates for Key Personnel positions before they are appointed.
- 9.3 The Service Provider acknowledges that the Key Personnel are essential to the proper provision of the Services to the Customer. The Service Provider shall ensure that the role of any Key Personnel is not vacant for any longer than ten Working Days and that any replacement shall have suitable qualifications and experience and be fully competent to carry out the tasks assigned to the Key Personnel whom he or she has replaced.
- 9.4 The Customer may also require the Service Provider to remove any Key Personnel that the Customer considers in any respect unsatisfactory. The Customer shall not be liable for the cost of replacing any Key Personnel.

### **10. TAX ARRANGEMENTS OF STAFF AND SUB-CONTRACTORS**

- 10.1 The Service Provider shall ensure that any contract with Service Provider's Staff and/or procure that any Sub-Contractor arrangements with any individual or organisation engaged in the performance of the Services shall contain and comply with the provisions set out in Annex C of this Contract.
- 10.2 The Service Provider shall provide to the Customer, within 10 Working Days of a written request, information to UKTI's satisfaction to demonstrate the Service Provider's, the Service Provider's Personnel's and Sub-Contractors' compliance with Procurement Policy Note – Tax Arrangements of Public Appointees as required under paragraphs 1 and 2 of Annex C.

## **PAYMENT AND CONTRACT PRICE**

## **11. CONTRACT PRICE**

- 11.1 In consideration of the Service Provider's performance of its obligations under the Contract, the Customer shall pay the Contract Price in accordance with clause 12.
- 11.2 The Customer shall, in addition to the Contract Price and following evidence of a valid VAT invoice, pay the Service Provider a sum equal to the VAT chargeable on the value of the Services supplied in accordance with the Contract.

## **12. PAYMENT AND VAT**

- 12.1 The Customer shall pay all sums due to the Service Provider within 30 days of receipt of a valid invoice, submitted in accordance with the payment profile and deliverables set out in the Commissioning Letter.
- 12.2 The Service Provider shall ensure that each invoice contains all appropriate references and a detailed breakdown of the Services supplied and that it is supported by any other documents reasonably required by the Customer to substantiate the invoice.
- 12.3 Where the Service Provider enters into a Sub-Contract for the purpose of performing its obligations under the Contract, it shall ensure that a provision is included in such a Sub-Contract which requires payment to be made of all sums due by the Service Provider to the Sub-Contractor within a specified period not exceeding 30 days from the receipt of a valid invoice.
- 12.4 The Service Provider shall add VAT to the Contract Price at the prevailing rate as applicable.
- 12.5 The Service Provider shall indemnify the Customer on a continuing basis against any liability, including any interest, penalties or costs incurred, which is levied, demanded or assessed on the Customer at any time in respect of the Service Provider's failure to account for or to pay any VAT relating to payments made to the Service Provider under the Contract. Any amounts due under this clause 12.5 shall be paid by the Service Provider to the Customer not less than five Working Days before the date on which the tax or other liability is payable by the Customer.
- 12.6 The Service Provider shall not suspend the supply of the Services unless the Service Provider is entitled to terminate the Contract under clause 37 for failure to pay undisputed sums of money.

## **13. RECOVERY OF SUMS DUE**

- 13.1 Wherever under the Contract any sum of money is recoverable from or payable by the Service Provider (including any sum which the Service Provider is liable to pay to the Customer in respect of any breach of the Contract), the Customer may unilaterally deduct

that sum from any sum then due, or which at any later time may become due to the Service Provider under the Contract or under any other agreement or contract with the Customer.

- 13.2 Any overpayment by either Party, whether of the Contract Price or of VAT or otherwise, shall be a sum of money recoverable by the Party who made the overpayment from the Party in receipt of the overpayment.
- 13.3 The Service Provider shall make any payments due to the Customer without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Service Provider has a valid court order requiring an amount equal to such deduction to be paid by the Customer to the Service Provider.
- 13.4 All payments due shall be made within a reasonable time unless otherwise specified in the Contract, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.

#### **STATUTORY OBLIGATIONS AND REGULATIONS**

#### **14. CONFLICTS OF INTEREST**

- 14.1 The Service Provider shall take appropriate steps to ensure that neither the Service Provider nor any Staff are placed in a position where (in the reasonable opinion of the Customer), there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Service Provider or Staff and the duties owed to the Customer under the provisions of the Contract.
- 14.2 The Service Provider shall promptly notify the Customer (and provide full particulars to the Customer) if any conflict referred to in clause 14.1 above arises or is reasonably foreseeable.
- 14.3 The Customer reserves the right to terminate the Contract immediately by giving notice in writing to the Service Provider and/or to take such other steps it deems necessary where, in the reasonable opinion of the Customer, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Service Provider and the duties owed to the Customer under the provisions of the Contract. The actions of the Customer under this clause shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Customer.

#### **15. PREVENTION OF BRIBERY**

- 15.1 The Service Provider:
- (a) shall not, and shall procure that the Staff and all Sub-Contractor personnel shall not, in connection with this Contract commit a Prohibited Act; and
  - (b) warrants, represents and undertakes that it is not aware of any financial or other advantage being given to any person working for or engaged by the Customer, or

that an agreement has been reached to that effect, in connection with the execution of this Contract, excluding any arrangement of which full details have been disclosed in writing to the Customer before execution of this Contract.

15.2 The Service Provider shall:

- (a) if requested, provide the Customer with any reasonable assistance, at the Customer's reasonable cost, to enable the Customer to perform any activity required by any relevant government or agency in any relevant jurisdiction for the purpose of compliance with the Bribery Act 2010; and
- (b) within 20 Working Days of the Commencement Date, and annually thereafter, certify to the Customer in writing (such certification to be signed by an officer of the Service Provider) compliance with this clause 15 by the Service Provider and all persons associated with it or other persons who are supplying goods or services in connection with this Contract. The Service Provider shall provide such supporting evidence of compliance as the Customer may reasonably request.

15.3 The Service Provider shall have an anti-bribery policy (which shall be disclosed to the Customer) to prevent any Staff or Sub-Contractors from committing a Prohibited Act and shall enforce it where appropriate.

15.4 If any breach of clause 15.1 is suspected or known, the Service Provider must notify the Customer immediately.

15.5 If the Service Provider notifies the Customer that it suspects or knows that there may be a breach of clause 15.1, the Service Provider must respond promptly to the Customer's enquiries, co-operate with any investigation, and allow the Customer to audit books, records and any other relevant documents. This obligation shall continue for 6 years following the expiry or termination of this Contract.

15.6 The Customer may terminate this Contract by written notice with immediate effect if the Service Provider, its Staff or Sub-Contractors (in all cases whether or not acting with the Service Provider's knowledge) breaches clause 15.1.

15.7 Any notice of termination under clause 15.6 must specify:

- (a) the nature of the Prohibited Act;
- (b) the identity of the party whom the Customer believes has committed the Prohibited Act; and
- (c) the date on which this Contract will terminate.

15.8 Despite clause 42, any dispute relating to:

- (a) the interpretation of clause 15; or
- (b) the amount or value of any gift, consideration or commission,

shall be determined by the Customer and its decision shall be final and conclusive.

- 15.9 Any termination under clause 15 will be without prejudice to any right or remedy which has already accrued or subsequently accrues to the Customer.

**16. DISCRIMINATION**

- 16.1 The Service Provider shall not unlawfully discriminate within the meaning and scope of any law, enactment, order or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation, age or otherwise).

- 16.2 The Service Provider shall take all reasonable steps to secure the observance of clause 16 by all servants, employees or agents of the Service Provider and all Service Providers and Sub-Contractors employed in the execution of the Contract.

**INFORMATION**

**17. CONFIDENTIALITY**

- 17.1 Subject to clause 17, the parties shall keep confidential the Confidential Information of the other Party and shall use all reasonable endeavours to prevent their representatives from making any disclosure to any person of any matters relating hereto.

- 17.2 Clause **Error! Reference source not found.** shall not apply to any disclosure of information:

- (a) required by any applicable law, provided that clause 19 shall apply to any disclosures required under the FOIA or the Environmental Information Regulations;
- (b) that is reasonably required by persons engaged by a Party in the performance of such Party's obligations under this Contract;
- (c) that is reasonably required by the Customer;
- (d) where a party can demonstrate that such information is already generally available and in the public domain otherwise than as a result of a breach of clause **Error! Reference source not found.**;
- (e) by the Customer of any document to which it is a party and which the parties to this Contract have agreed contains no Confidential Information;
- (f) to enable a determination to be made under clause 42;
- (g) which is already lawfully in the possession of the receiving party, before its disclosure by the disclosing party, and the disclosing party is not under any obligation of confidence in respect of that information;
- (h) by the Customer to any other department, office or agency of the government, provided that the Customer informs the recipient of any duty of confidence owed in respect of the Confidential Information; and

- (i) by the Customer relating to this Contract and in respect of which the Service Provider has given its prior written consent to disclosure and which was independently developed by the receiving party – independently of information disclosed to it by the independent party.

17.3 On or before the expiry of the Contract, the Service Provider shall ensure that all documents and/or computer records in its possession, custody or control which contain Confidential Information or relate to personal information of the Authorities' employees, rate-payers or service users, are delivered up to the Customer or securely destroyed.

## **18. DATA PROTECTION ACT**

18.1 The Service Provider shall, and shall procure that any of its Staff involved in the provision of the Contract shall, comply with any notification requirements under the Data Protection Legislation and both Parties shall duly observe all their obligations under the Data Protection Legislation, which arise in connection with the Contract.

18.2 Notwithstanding the general obligation in which the Service Provider is processing personal data as a data processor for the Customer, within the meaning of the Data Protection Act 1998 (DPA), the Service Provider shall ensure that it has in place appropriate technical and contractual measures to ensure the security of the Personal Data (and to guard against unauthorised or unlawful processing of the Personal Data and against accidental loss or destruction of, or damage to, the Personal Data), as required under the Seventh Data Protection Principle in Schedule 1 to the DPA and:

- (a) provide the Customer with such information as the Customer may reasonably require to satisfy itself that the Service Provider is complying with its obligations under the DPA;
- (b) promptly notify the Customer of any breach of the security measures required to be put in place under clause 18.2; and
- (c) ensure it does not knowingly or negligently do or omit to do anything which places the Customer in breach of the Customer's obligations under the DPA.

18.3 Where specified in the Commission, the Service Provider shall enter into a data sharing agreement in the form provided by the Customer.

## **19. FREEDOM OF INFORMATION**

19.1 The Service Provider acknowledges that the Customer is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and co-operate with the Customer (at the Service Provider's expense) to enable the Customer to comply with these information disclosure requirements.

19.2 The Service Provider shall and shall procure that its Sub-Contractors shall:

- (a) transfer the Request for Information to the Customer as soon as practicable after receipt and in any event within three Working Days of receiving a Request for Information;
- (b) provide the Customer with a copy of all Information in its possession or power in the form that the Customer requires within five Working Days (or such other period as the Customer may specify) of the Customer requesting that Information; and
- (c) provide all necessary assistance as reasonably requested by the Customer to enable the Customer to respond to a Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the Environmental Information Regulations.

19.3 In no event shall the Service Provider respond directly to a Request for Information unless expressly authorised to do so by the Customer.

19.4 The Service Provider acknowledges that the Customer may, acting in accordance with the Secretary of State for Constitutional Affairs' Code of Practice on the discharge of public authorities' functions under Part 1 of FOIA (issued under section 45 of the FOIA, November 2004) (**Code**), be obliged under the FOIA or the Environmental Information Regulations to disclose Information:

- (a) without consulting with the Service Provider; or
- (b) following consultation with the Service Provider and having taken its views into account,

provided always that where clause 19.4(b) applies the Customer shall, in accordance with any recommendations of the Code, take reasonable steps, where appropriate, to give the Service Provider advanced notice, or failing that, to draw the disclosure to the Service Provider's attention after any such disclosure.

19.5 The Service Provider shall ensure that all Information produced in the course of the Contract or relating to the Contract is retained for disclosure and shall permit the Customer to inspect such records as requested from time to time.

19.6 The Service Provider acknowledges that any lists or Schedules provided by it outlining Confidential Information are of indicative value only and that the Customer may nevertheless be obliged to disclose Confidential Information in accordance with clause 19.4.

## **20. PUBLICITY, MEDIA AND OFFICIAL ENQUIRIES**

20.1 The Service Provider shall not make any press announcements or publicise the Contract in any way without the Customer's prior written Approval.

20.2 The Customer shall be entitled to publicise the Contract in accordance with any legal obligation on the Customer, including any examination of the Contract by the Auditor.

20.3 The Service Provider shall not do anything, or cause anything to be done, which may damage the reputation of the Customer or bring the Customer into disrepute.

## **21. INTELLECTUAL PROPERTY RIGHTS**

21.1 All Intellectual Property Rights in the output from the Contract Services shall vest in the Service Provider who shall grant to the Customer a non-exclusive, unlimited, irrevocable licence to use the Intellectual Property Rights for any purpose relating to the exercise of the business or function of the Customer provided in each case that such rights shall not extend to the commercial exploitation of the Intellectual Property. This licence shall, during its term, include the right to sub-licence to a third party (including, for the avoidance of doubt, any replacement service provider or other third party invited by the Customer to participate in a tendering process for the award of a contract to deliver replacement services).

21.2 Subject to Clause 21.1 and save as expressly granted elsewhere under the Contract, the Customer shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Service Provider or its licensors and the Service Provider shall not acquire any right, title or interest in or to the Intellectual Property Rights of the Customer or its licensors.

21.3 The Service Provider shall on demand fully indemnify and keep fully indemnified and hold the Customer and the Crown harmless from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the Customer and or the Crown may suffer or incur as a result of any claim that the performance by the Service Provider of the Contract Services infringes or allegedly infringes a third party's Intellectual Property Rights (any such claim being a "Claim").

21.4 If a Claim arises, the Customer shall notify the Service Provider in writing of the Claim and the Customer shall not make any admissions which may be prejudicial to the defence or settlement of the Claim. The Service Provider shall at its own expense conduct all negotiations and any litigation arising in connection with the Claim provided always that the Service Provider:

- (a) shall consult the Customer on all substantive issues which arise during the conduct of such litigation and negotiations;
- (b) shall take due and proper account of the interests of the Customer;
- (c) shall consider and defend the Claim diligently using competent counsel and in such a way as not to bring the reputation of the Customer into disrepute; and
- (d) shall not settle or compromise the Claim without the prior written approval of the Customer (not to be unreasonably withheld or delayed).

21.5 The Service Provider shall have no rights to use any of the Customer's names, logos or trademarks without the prior written approval of the Customer.

## **22. RECORDS AND AUDIT ACCESS**

- 22.1 The Service Provider shall keep and maintain until six years after the end of the Contract Period (or as long a period as may be agreed between the Parties), full and accurate records and accounts of the operation of the Contract including the Services provided under it, the Contracts entered into with the Customer and the amounts paid by the Customer.
- 22.2 The Service Provider shall keep the records and accounts referred to in clause 22.1 above in accordance with good accountancy practice.
- 22.3 The Service Provider shall on request afford the Customer, the Customer's representatives and/or the Auditor such access to such records and accounts as may be required by the Customer from time to time.
- 22.4 The Service Provider shall provide such records and accounts (together with copies of the Service Provider's published accounts) during the Contract Period and for a period of 6 years after the expiry of the Contract Period to the Customer and the Auditor.
- 22.5 The Customer shall use reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Service Provider or delay the provision of the Services, except insofar as the Service Provider accepts and acknowledges that control over the conduct of audits carried out by the Auditor is outside of the control of the Customer.
- 22.6 Subject to the Customer's rights of confidentiality, the Service Provider shall on demand provide the Auditor with all reasonable co-operation and assistance in relation to each audit, including:
- (a) all information requested by the Customer within the scope of the audit;
  - (b) reasonable access to sites controlled by the Service Provider and to Equipment used in the provision of the Services; and
  - (c) access to Staff.
- 22.7 The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under this clause 22, unless the audit reveals a material Default by the Service Provider in which case the Service Provider shall reimburse the Customer for the Customer's reasonable costs incurred in relation to the audit.

## **23. REPLACEMENT OF CORRUPTED DATA**

If, through any Default of the Service Provider, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Service Provider shall be liable for the cost of reconstitution of that data and shall reimburse the Customer in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

## **CONTROL OF THE CONTRACT**

### **24. MONITORING OF CONTRACT PERFORMANCE**

The Service Provider shall comply with the monitoring arrangements set out in the Commissioning Letter including, but not limited to, providing such data and information as the Service Provider may be required to produce under the Contract.

### **25. REMEDIES IN THE EVENT OF INADEQUATE PERFORMANCE**

- 25.1 Where a complaint is received about the standard of Services or about the manner in which any Services have been supplied or work has been performed or about the materials or procedures used or about any other matter connected with the performance of the Service Provider's obligations under the Contract, then the Customer shall take reasonable steps to investigate the complaint. The Customer may, in its sole discretion, uphold the complaint, and may, acting reasonably:
- (a) Subject to clause 25.4, withhold a sum; or
  - (b) deduct a sum,
- in each case equal to a maximum of ten % of the Contract Price payable in respect of the Month in which the complaint arose.
- 25.2 The parties agree that a deduction made pursuant to clause 25.1(b) represents a genuine pre-estimate of the loss likely to be suffered by the Customer.
- 25.3 Where the Customer withholds a sum pursuant to clause 25.1(a) then that sum shall be paid to the Service Provider when, in the reasonable opinion of the Customer, the matters complained of have been rectified
- 25.4 If the Customer is of the reasonable opinion that there has been a material breach of the Contract by the Service Provider, then the Customer may, without prejudice to its rights under clause 37, do any of the following:
- (a) without terminating the Contract, itself supply or procure the supply of all or part of the Services until such time as the Service Provider shall have demonstrated to the reasonable satisfaction of the Customer that the Service Provider will once more be able to supply all or such part of the Services in accordance with the Contract;
  - (b) without terminating the whole of the Contract, terminate the Contract in respect of part of the Services only (whereupon a corresponding reduction in the Contract Price shall be made) and thereafter itself supply or procure a third party to supply such part of the Services; and/or
  - (c) charge the Service Provider for and the Service Provider shall pay any costs reasonably incurred by the Customer (including any reasonable administration costs) in respect of the supply of any part of the Services by the Customer or a third

party to the extent that such costs exceed the payment which would otherwise have been payable to the Service Provider for such part of the Services and provided that the Customer uses its reasonable endeavours to mitigate any additional expenditure in obtaining replacement Services.

25.5 If the Service Provider fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the Customer shall instruct the Service Provider to remedy the failure and the Service Provider shall at its own cost and expense remedy such failure (and any damage resulting from such failure) within [ten] Working Days of the Customer's instructions or such other period of time as the Customer may direct.

25.6 If the Service Provider:

- (a) fails to comply with clause 25.5 above and the failure is materially adverse to the interests of the Customer or prevents the Customer from discharging a statutory duty; or
- (b) persistently fails to comply with clause 25.5 above,

the Customer may terminate the Contract with immediate effect by giving the Service Provider notice in writing.

## **26. RIGHTS AND REMEDIES**

The rights and remedies provided under this Contract are in addition to, and not exclusive of, any rights or remedies provided by law.

## **27. TRANSFER AND SUB-CONTRACTING**

27.1 The Service Provider shall not assign, novate, sub-contract or in any other way dispose of the Contract or any part of it without prior Approval. Sub-contracting any part of the Contract shall not relieve the Service Provider of any of its obligations or duties under the Contract.

27.2 The Service Provider shall be responsible for the acts and omissions of its Sub-Contractors as though they are its own.

27.3 Where the Customer has consented to the placing of Sub-Contracts, copies of each Sub-Contract shall, at the request of the Customer, be sent by the Service Provider to the Customer as soon as reasonably practicable.

27.4 The Customer may assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof to:

- (a) any Contracting Customer;

- (b) any other body established by the Crown or under statute to substantially perform any of the functions that had previously been performed by the Customer; or
- (c) any private sector body which substantially performs the functions of the Customer,

provided that any such assignment, novation or other disposal shall not increase the burden of the Service Provider's obligations under the Contract.

## **28. WAIVER**

- 28.1 A waiver of any right or remedy under this Contract or by law is only effective if given in writing and shall not be deemed a waiver of any subsequent breach or default.
- 28.2 A failure or delay by a party to exercise any right or remedy provided under this Contract or by law shall not constitute a waiver of that or any other right or remedy, nor shall it prevent or restrict any further exercise of that or any other right or remedy. No single or partial exercise of any right or remedy provided under this Contract or by law shall prevent or restrict the further exercise of that or any other right or remedy.

## **29. VARIATION**

- 29.1 Subject to the provisions of this clause 29, the Customer may request a variation to the Services ordered provided that such variation does not amount to a material change to the Commission. Such a change is hereinafter called a "Variation".
- 29.2 The Customer may request a Variation by completing and sending the Variation form attached at Annex A (the **Variation Form**) to the Service Provider, giving sufficient information for the Service Provider to assess the extent of the Variation and any additional cost that may be incurred. The Service Provider shall respond to a request for a Variation within the time limits specified in the Variation Form. Such time limits shall be reasonable having regard to the nature of the Commission.
- 29.3 If the Service Provider is unable to provide the Variation to the Services or where the Parties are unable to agree a change to the Contract Price, the Customer may:
  - (a) agree that the Parties continue to perform their obligations under the Contract without the Variation; or
  - (b) terminate the Contract with immediate effect, except where the Service Provider has already delivered part or all of the Commission in accordance with the Commissioning Letter or where the Service Provider can show evidence of substantial work being carried out to fulfil the Commission, and in such a case the Parties shall attempt to agree on a resolution to the matter. Where a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution Procedure.

29.4 If the Parties agree the Variation and any variation in the Contract Price, the Service Provider shall carry out such Variation and be bound by the same provisions so far as is applicable, as though such Variation was stated in the Contract.

### **30. THE CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

30.1 A person who is not a party to this Contract shall not have any rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Contract.

### **31. SEVERANCE**

31.1 If any provision or part-provision of this Contract is or becomes invalid, illegal or unenforceable, it shall be deemed modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision under this clause shall not affect the validity and enforceability of the rest of this Contract.

31.2 If any provision or part-provision of this Contract is invalid, illegal or unenforceable, the parties shall negotiate in good faith to amend such provision so that, as amended, it is legal, valid and enforceable, and, to the greatest extent possible, achieves the intended commercial result of the original provision.

## **LIABILITIES**

### **32. LIABILITY, INDEMNITY AND INSURANCE**

32.1 Nothing in the Contract shall be construed to limit or exclude either Party's liability for:

- (a) death or personal injury caused by its negligence;
- (b) Fraud or fraudulent misrepresentation;
- (c) any claim under clause 12.5;
- (d) any claim under clause 34; or
- (e) any claim under the indemnity in clause 21.3.

32.2 Subject to clause 32.1 and clause 32.4, the Service Provider shall indemnify and keep indemnified the Customer in full from and against all claims, proceedings, actions, damages, costs, expenses and any other liabilities which may arise out of, or in consequence of, the supply, or late or purported supply, of the Services or the performance or non-performance by the Service Provider of its obligations under the Contract, including in respect of any death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Service Provider, or any other loss which is caused directly or indirectly by any act or omission of the Service Provider. The Service Provider shall not be responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused

by the negligence or wilful misconduct of the Customer or by breach by the Customer of its obligations under the Contract.

**32.3** Subject always to clause 32.1 and clause 32.4,

the annual aggregate liability under the Contract of either Party for all Defaults shall in no event exceed the greater of £2,000,000 or 150% of the Contract Price payable by the Customer to the Service Provider in the Contract Year in which the liability arises unless specified otherwise in the Commissioning Letter.

**32.4** Subject to clause 32.1, in no event shall either Party be liable to the other for any:

- (a) loss of profits;
- (b) loss of business;
- (c) loss of revenue;
- (d) loss of or damage to goodwill; and
- (e) any indirect or consequential loss or damage.

**32.5** The Customer may, among other things, recover as a direct loss:

- (a) any additional operational and/or administrative expenses arising from the Service Provider's Default;
- (b) any wasted expenditure or charges rendered unnecessary and/or incurred by the Customer arising from the Service Provider's Default; and
- (c) the additional cost of any replacement services for the remainder of the Contract Period following termination of the Contract as a result of a Default by the Service Provider.

**32.6** Nothing in the Contract shall impose any liability on the Customer in respect of any liability incurred by the Service Provider to any other person, but this shall not be taken to exclude or limit any liability of the Customer to the Service Provider that may arise by virtue of either a breach of the Contract or by negligence on the part of the Customer, or the Customer's employees, servants or agents.

### **33. INSURANCES**

**33.1** The Service Provider shall at its own cost effect and maintain with a reputable insurance company a policy or policies of insurance providing as a minimum the following levels of cover:

- (a) public liability insurance with a limit of indemnity of not less than £2 million in relation to any one claim or series of claims;
- (b) employer's liability insurance in accordance with any legal requirement for the time being in force in relation to any one claim or series of claims;

- (c) professional indemnity insurance with a limit of indemnity of not less than £2 million in relation to any one claim or series of claims and shall ensure that all professional consultants or Sub-Contractors involved in the provision of the Services hold and maintain appropriate cover;

(the **Required Insurances**). The cover shall be in respect of all risks which may be incurred by the Service Provider, arising out of the Service Provider's performance of the Contract, including death or personal injury, loss of or damage to property or any other loss. Such policies shall include cover in respect of any financial loss arising from any advice given or omitted to be given by the Service Provider.

- 33.2 The Service Provider shall give the Customer, on request, copies of all insurance policies referred to in this clause or a broker's verification of insurance to demonstrate that the Required Insurances are in place, together with receipts or other evidence of payment of the latest premiums due under those policies.
- 33.3 If, for whatever reason, the Service Provider fails to give effect to and maintain the Required Insurances, the Customer may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Service Provider.
- 33.4 The terms of any insurance or the amount of cover shall not relieve the Service Provider of any liabilities under the Contract.
- 33.5 The Service Provider shall hold and maintain the Required Insurances for a minimum of six years following the expiry or earlier termination of the Contract.

#### **34. TAXATION, NATIONAL INSURANCE AND EMPLOYMENT LIABILITY**

The Parties acknowledge and agree that the Contract constitutes a contract for the provision of Services and not a contract of employment. The Service Provider shall at all times indemnify the Customer and keep the Customer indemnified in full from and against all claims, proceedings, actions, damages, costs, expenses, liabilities and demands whatsoever and howsoever arising by reason of any circumstances whereby the Customer is alleged or determined to have been assumed or imposed with the liability or responsibility for the Staff (or any of them) as an employer of the Staff and/or any liability or responsibility to HM Revenue or Customs as an employer of the Staff whether during the Contract Period or arising from termination or expiry of the Contract.

#### **35. WARRANTIES AND REPRESENTATIONS**

The Service Provider warrants and represents that:

- (a) it has full capacity and Customer and all necessary consents (including where its procedures so require, the consent of its Parent Company) to enter into and perform its obligations under the Contract;

- (b) the Contract is executed by a duly authorised representative of the Service Provider;
- (c) in entering the Contract it has not committed any Prohibited Act;
- (d) as at the Service Commencement Date, all information, statements and representations contained in the Tender and the PQQ Response for the Services are true, accurate and not misleading except as may have been specifically disclosed in writing to the Customer before execution of the Contract and it will advise the Customer of any fact, matter or circumstance of which it may become aware during the Contract Period which would render any such information, statement or representation to be false or misleading;
- (e) no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or its assets which will or might affect its ability to perform its obligations under the Contract;
- (f) it is not subject to any contractual obligation, compliance with which is likely to have an adverse effect on its ability to perform its obligations under the Contract;
- (g) no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Service Provider or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Service Provider's assets or revenue;
- (h) it owns, has obtained or is able to obtain, valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract;
- (i) the Services shall be provided and carried out by appropriately experienced, qualified and trained Staff with all due skill, care and diligence;

#### **DEFAULT, DISRUPTION AND TERMINATION**

#### **36. TERMINATION ON INSOLVENCY AND CHANGE OF CONTROL**

36.1 Without affecting any other right or remedy available to it, the Customer may terminate this Contract with immediate effect by giving [written] notice to the Service Provider if:

- (a) the Service Provider suspends, or threatens to suspend, payment of its debts or is unable to pay its debts as they fall due or admits inability to pay its debts or (being a company or limited liability partnership) is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- (b) the Service Provider commences negotiations with all or any class of its creditors with a view to rescheduling any of its debts, or makes a proposal for or enters into any compromise or arrangement with its creditors other than (being a company) for the sole purpose of a scheme for a solvent amalgamation of Service Provider with one or more other companies or the solvent reconstruction of the Service Provider;
- (c) a petition is filed, a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of the Service Provider (being a company) other than for the sole purpose of a scheme for a solvent amalgamation of the Service

Provider with one or more other companies or the solvent reconstruction of the Service Provider;

- (d) an application is made to court, or an order is made, for the appointment of an administrator, or if a notice of intention to appoint an administrator is given or if an administrator is appointed, over the Service Provider (being a company);
- (e) the holder of a qualifying floating charge over the assets of the Service Provider (being a company) has become entitled to appoint or has appointed an administrative receiver;
- (f) a person becomes entitled to appoint a receiver over the assets of the Service Provider or a receiver is appointed over the assets of the Service Provider;
- (g) a creditor or encumbrancer of the Service Provider attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Service Provider's assets and such attachment or process is not discharged within 14 days;
- (h) any event occurs, or proceeding is taken, with respect to the Service Provider in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in clause 36.1(a) to clause 36.1(g) (inclusive); or
- (i) the Service Provider suspends or ceases, or threatens to suspend or cease, carrying on all or a substantial part of its business;

36.2 The Service Provider shall notify the Customer immediately if the Service Provider undergoes a change of control within the meaning of section 1124 of the Corporation Tax Act 2010 (**Change of Control**). The Customer may terminate the Contract by notice in writing with immediate effect within six Months of:

- (a) being notified that a Change of Control has occurred; or
- (b) where no notification has been made, the date that the Customer becomes aware of the Change of Control,

but shall not be permitted to terminate where an Approval was granted before the Change of Control.

## 37. TERMINATION ON DEFAULT

37.1 The Customer may terminate the Contract by giving written notice to the Service Provider with immediate effect if the Service Provider commits a material breach and if:

- (a) the Service Provider has not remedied the material breach to the satisfaction of the Customer within 20 Working Days, or such other period as may be specified by the Customer, after issue of a written notice specifying the material breach and requesting it to be remedied; or
- (b) the material breach is not, in the opinion of the Customer, capable of remedy.

37.2 For the purposes of clause 37.1, **material breach** means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the Customer would otherwise derive from:

- (a) a substantial portion of this Contract; or
- (b) any of the obligations set out in clauses 8, 16 and 17.

In deciding whether any breach is material no regard shall be had to whether it occurs by some accident, mishap, mistake or misunderstanding.

37.3 The Customer may terminate the Contract by giving written notice to the Service Provider with immediate effect if:

- (a) The Service Provider repeatedly breaches any of the terms of this Contract in such a manner as to reasonably justify the opinion that its conduct is inconsistent with it having the intention or ability to give effect to the terms of this Contract
- (b) If any of the provisions of Regulation 73(1) of the Public Contracts Regulations 2015 apply;
- (c) Any warranty given by the Service Provider in clause 35 of this Contract is found to be untrue or misleading.

37.4 If the Customer fails to pay the Service Provider undisputed sums of money when due, the Service Provider shall notify the Customer in writing of such failure to pay. If the Customer fails to pay such undisputed sums within 60 Working Days of the date of such written notice, the Service Provider may terminate the Contract in writing with immediate effect, except that such right of termination shall not apply where the failure to pay is due to the Customer exercising its rights under clause 13.

### 38. TERMINATION FOR CONVENIENCE

The Customer may terminate this Contract at any time by giving written notice to the Service Provider in accordance with the Commissioning Letter.

### 39. CONSEQUENCES OF TERMINATION OR EXPIRY

39.1 Where the Customer terminates the Contract under clause 37 and then makes other arrangements for the supply of Services, the Customer may recover from the Service Provider the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Customer throughout the remainder of the Contract Period. The Customer shall take all reasonable steps to mitigate such additional expenditure. Where the Contract is terminated under clause 37, no further payments shall be payable by the Customer to the Service Provider until the Customer has established the final cost of making those other arrangements.

39.2 Subject to clause 32, where the Customer terminates the Contract under clause 37.4, the Customer shall indemnify the Service Provider against any reasonable commitments, liabilities or expenditure which would otherwise represent an unavoidable loss by the Service Provider by reason of the termination of the Contract, provided that the Service Provider takes all reasonable steps to mitigate such loss. Where the Service Provider holds insurance, the Service Provider shall reduce its unavoidable costs by any insurance sums available. The Service Provider shall submit a fully itemised and costed list of such loss, with supporting evidence, of losses reasonably and actually incurred by the Service Provider as a result of termination under clause 37.4.

39.3 The Customer shall not be liable under clause 39.2 to pay any sum that:

- (a) was claimable under insurance held by the Service Provider, and the Service Provider has failed to make a claim on its insurance, or has failed to make a claim in accordance with the procedural requirements of the insurance policy; or
- (b) when added to any sums paid or due to the Service Provider under the Contract, exceeds the total sum that would have been payable to the Service Provider if the Contract had not been terminated before the expiry of the Contract Period.

39.4 Except as otherwise expressly provided in the Contract:

- (a) termination or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract before termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and
- (b) termination of the Contract shall not affect the continuing rights, remedies or obligations of the Customer or the Service Provider under clause 11 (Contract Price), clause 12 (Payment and VAT), clause 13 (Recovery of Sums Due), clause 14 (Conflicts of Interest), clause 17 (Confidentiality), clause 18 (Data Protection Act), clause 19 (Freedom of Information), clause 21 (Intellectual Property Rights), clause 22 (Records and Audit Access), clause 26 (Rights and Remedies), clause 32 (Liability, indemnity and insurance), clause 33 (Insurances), clause 34 (Taxation, National Insurance and employment liability), clause 39 (Consequences of termination or expiry), clause 41 (Recovery on termination), and clause 46 (Governing law and Jurisdiction).

#### **40. DISRUPTION**

40.1 The Service Provider shall take reasonable care to ensure that in the performance of its obligations under the Contract it does not disrupt the operations of the Customer, its employees or any other Service Provider employed by the Customer.

40.2 The Service Provider shall immediately inform the Customer of any actual or potential industrial action, whether such action be by their own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.

40.3 In the event of industrial action by the Staff, the Service Provider shall seek the Customer's Approval to its proposals for the continuance of the supply of the Services in accordance with its obligations under the Contract.

40.4 If the Service Provider's proposals referred to in clause 40.3 are considered insufficient or unacceptable by the Customer acting reasonably then the Customer may:

- (a) require the Service Provider to provide alternative proposals; or
- (b) undertake the services itself and recover from the Service Provider the additional costs incurred in the process.

Subject to clause 40.5, nothing in this clause shall release the Service Provider from the proper performance of its obligations under the Contract.

40.5 If the Service Provider is temporarily unable to fulfil the requirements of the Contract owing to disruption of normal business by direction of the Customer, an appropriate allowance by way of extension of time will be approved by the Customer. In addition, the Customer will reimburse any additional expense reasonably incurred by the Service Provider as a direct result of such disruption.

#### **41. RECOVERY ON TERMINATION**

41.1 On the termination of the Contract for any reason, the Service Provider shall:

- (a) immediately return to the Customer all Confidential Information, Personal Data and Customer's Intellectual Property in its possession or in the possession or under the control of any permitted Service Providers or Sub-Contractors, which was obtained or produced in the course of providing the Services;
- (b) assist and co-operate with the Customer to ensure an orderly transition of the provision of the Services to any Replacement Service Provider and/or the completion of any work in progress; and
- (c) promptly provide all information concerning the provision of the Services which may reasonably be requested by the Customer for the purposes of adequately understanding the manner in which the Services have been provided or for the purpose of allowing the Customer or the Replacement Service Provider to conduct due diligence.

41.2 If the Service Provider fails to comply with clause 41.1(a), the Customer may recover possession thereof and the Service Provider grants a licence to the Customer or its appointed agents to enter (for the purposes of such recovery) any premises of the Service Provider or its permitted Service Providers or Sub-Contractors where any such items may be held.

41.3 Where the end of the Contract Period arises due to the Service Provider's Default, the Service Provider shall provide all assistance under clause 41.1(b) and clause 41.1(c) free of charge.

Otherwise, the Customer shall pay the Service Provider's reasonable costs of providing the assistance and the Service Provider shall take all reasonable steps to mitigate such costs.

## **42. DISPUTE RESOLUTION**

42.1 If a dispute arises out of or in connection with this Contract or the performance, validity or enforceability of it (Dispute) then the parties shall follow the procedure set out in this clause:

- (a) either party shall give to the other written notice of the Dispute, setting out its nature and full particulars (Dispute Notice), together with relevant supporting documents. On service of the Dispute Notice, the Contract Manager of the Customer and Project Director of the Service Provider shall attempt in good faith to resolve the Dispute;
- (b) if the Contract Manager of The Customer and Project Director of the Service Provider are for any reason unable to resolve the Dispute within 30 days of service of the Dispute Notice, the Dispute shall be referred to the Commercial Manager of the Customer and Project Director of the Service Provider who shall attempt in good faith to resolve it; and
- (c) if the Commercial Manager of the Customer and Project Director of the Service Provider are for any reason unable to resolve the Dispute within 30 days of it being referred to them, the parties will attempt to settle it by mediation in accordance with the CEDR Model Mediation Procedure. Unless otherwise agreed between the parties, the mediator shall be nominated by CEDR Solve. To initiate the mediation, a party must serve notice in writing (ADR notice) to the other party to the Dispute, requesting a mediation. A copy of the ADR notice should be sent to CEDR Solve. The mediation will start not later than 10 days after the date of the ADR notice.

42.2 No party may commence any proceedings under clause 46 in relation to the whole or part of the Dispute until 20 days after service of the ADR notice, provided that the right to issue proceedings is not prejudiced by a delay.

42.3 If the Dispute is not resolved within 30 days after service of the ADR notice, or either party fails to participate or to continue to participate in the mediation before the expiration of the said period of 30 days, or the mediation terminates before the expiration of the said period of 30 days, the Dispute shall be finally resolved by the courts of England and Wales in accordance with clause 46 in this Contract.

## **43. FORCE MAJEURE**

Neither party shall be in breach of this Contract nor liable for delay in performing, or failure to perform, any of its obligations under this Contract if such delay or failure result from events, circumstances or causes beyond its reasonable control. In such circumstances the affected party shall be entitled to a reasonable extension of the time for performing such obligations. If the period of delay or non-performance continues for 2 weeks, the party not affected may terminate this Contract by giving 14 days' written notice to the affected party.

#### **44. ENTIRE AGREEMENT**

- 44.1 This Contract constitutes the entire agreement between the parties and supersedes and extinguishes all previous agreements, promises, assurances, warranties, representations and understandings between them, whether written or oral, relating to its subject matter.
- 44.2 Each party agrees that it shall have no remedies in respect of any statement, representation, assurance or warranty (whether made innocently or negligently) that is not set out in this Contract. Each party agrees that it shall have no claim for innocent or negligent misrepresentation or negligent misstatement based on any statement in this Contract, provided that nothing in this clause 44 shall operate to exclude any liability for fraud.
- 44.3 In the event of and only to the extent of any conflict between the Commissioning Letter, the clauses of the Contract and any document referred to in those clauses, the conflict shall be resolved in accordance with the following order of precedence:
- (a) the clauses of the Contract;
  - (b) the Commissioning Letter except Appendices B (Service Provider's Tender) and C (Supplemental Tender) to the Commissioning Letter;
  - (c) the terms of the Framework Agreement, the Schedules to the Framework Agreement and the appendices to the Commissioning Letter, except Schedule 1, part 2, Appendix B (the Service Provider's Tender), and Appendix C to the Commissioning Letter (Supplemental Tender);
  - (d) any other document referred to in the clauses of the Contract; and
  - (e) Schedule 1, part 2 of the Framework Agreement and Appendix B to the Commissioning Letter (the Service Provider's Tender), and Appendix C to the Commissioning Letter (Supplemental Tender).
- 44.4 This Contract may be executed in any number of counterparts, each of which when executed shall constitute a duplicate original, but all the counterparts shall together constitute the one agreement.

#### **45. NOTICES**

- 45.1 Except as otherwise expressly provided within the Contract, no notice or other communication from one Party to the other shall have any validity under the Contract unless made in writing by or on behalf of the Party sending the communication.
- 45.2 Any notice or other communication which is to be given by either Party to the other shall be given by letter (sent by hand, post, registered post or by the recorded delivery service) or by e-mail. Such letters shall be addressed to the other Party in the manner referred to in clause 45.3. Provided the relevant communication is not returned as undelivered, the notice or communication shall be deemed to have been given two Working Days after the day on

**Authorised to sign for and on behalf of the Customer**

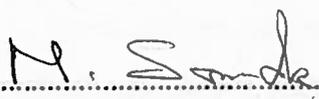
Signature  .....

Date 24/04/2018 .....

Name in capitals GERRY DUGGAN .....

Address DEPARTMENT FOR INTERNATIONAL TRADE, 3 WHITEHALL PLACE  
LONDON SW1A 2AW .....

**Authorised to sign for and on behalf of the Service Provider**

Signature  .....

Date 21.4.18 .....

Name in capitals MICHAEL SANDS .....

Address 33 CANNON STREET LONDON EC4A 3DF  
.....

which the letter was posted, or four hours in the case of e-mail, or sooner where the other Party acknowledges receipt of such letters, or e-mail.

- 45.3 For the purposes of clause 45.2 the address of each Party shall be:
- (a) for the Customer: the address set out in the Commissioning Letter.
  - (b) for the Service Provider: the address set out in the Commissioning Letter.
- 45.4 Either Party may change its address for service by serving a notice in accordance with this clause.

**46. GOVERNING LAW AND JURISDICTION**

- 46.1 This Contract and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the law of England and Wales.
- 46.2 Each party irrevocably agrees that the courts of England and Wales shall have exclusive jurisdiction to settle any dispute or claim arising out of or in connection with this Contract or its subject matter or formation (including non-contractual disputes or claims).

**Annex A. Variation Form**

**Variation Letter**

**Call-off terms and conditions for services**

[NAME OF LOT]

.....  
**Commission Number being varied:**.....

**Variation Form No:**.....

**BETWEEN:**

The Department for International Trade (**the Customer**)

and

ICF Consulting Services Ltd (**the Service Provider**)

1. The Commission is varied as follows:

[TIMELINE: Following the original timeline agreed for the above project, this is to confirm the updated end date for this project is XXX.

The reason for the extended timeline is XXX

This update does not have any financial implication; therefore charges will remain as agreed in the original commissioning letter for this project.]

[FINANCIAL: Charges for this assignment were agreed at £XXX (exclusive of VAT) as per the commissioning letter dated XXX.

In addition to the above costs, the following funding has been agreed:

**INSERT SENTENCE / PARAGRAPH TO EXPLAIN REASON FOR ADDITIONAL COSTS**

This will total **£XXX** (exclusive of VAT which should be added at the prevailing rate)

The total agreed charges for this assignment are now **£XXX**, exclusive of VAT, which should be added at the prevailing rate.

The outstanding balance for this project is **£XXX** (exclusive of VAT) taking into account the additional costs as specified above.

Terms of payment for the balance of **£XXX** (exclusive of VAT) will be:

**INSERT INVOICE SCHEDULE]**

[LIST ANY OTHER DETAILS OF THE VARIATION].

2. Words and expressions in this Variation shall have the meanings given to them in the Contract.

3. The Contract, including any previous Variations, shall remain effective and unaltered except as amended by this Variation.

**Authorised to sign for and on behalf of the Customer**

Signature.....

Date.....

Name in capitals.....

Address.....  
.....

**Authorised to sign for and on behalf of the Service Provider**

Signature.....

Date.....

Name in capitals.....

Address.....  
.....

## **Annex B. Tax Arrangements of Staff and Sub-Contractors**

1. Where a member of Staff is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.
2. Where a member of Staff is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to NICs in respect of that consideration.
3. Service Provider may, at any time during the term of this contract, request [Worker] to provide information which demonstrates how a member of Staff complies with paragraphs 1 and 2 above or why those paragraphs do not apply to it.
4. A request under paragraph 3 above may specify the information which a member of Staff must provide and the period within which that information must be provided.
5. Service Provider may terminate this contract if-
  - (a) in the case of a request mentioned in paragraph 3 above-
    - (i) a member of Staff fails to provide information in response to the request within a reasonable time, or
    - (ii) a member of Staff provides information which is inadequate to demonstrate either how [Worker] complies with paragraphs 1 and 2 above or why those paragraphs do not apply to it;
  - (b) in the case of a request mentioned in paragraph 4 above, a member of Staff fails to provide the specified information within the specified period, or
  - (c) it receives information which demonstrates that, at any time when paragraphs 1 and 2 apply to a member of Staff, a member of Staff is not complying with those paragraphs.
6. The Customer may supply any information which it receives under paragraph 3 to the Secretary of State for Business, Innovation and Skills and to the Commissioners of Her Majesty's Revenue & Customs for the purpose of the collection and management of revenue for which they are responsible.

## **Framework Agreement Variation Procedure**

### **1. INTRODUCTION**

- 1.1 0 details the scope of the variations permitted and the process to be followed where the Customer proposes a variation to the Framework Agreement.
- 1.2 The Customer may propose a variation to the Framework Agreement under 0 only where the variation does not amount to a material change in the Framework Agreement or the Services.

### **2. PROCEDURE FOR PROPOSING A VARIATION**

- 2.1 Except where paragraph 5 applies, the Customer may propose a variation using the procedure contained in this paragraph 2.
- 2.2 In order to propose a variation, the Customer shall serve each Framework Provider with written notice of the proposal to vary the Framework Agreement (**Notice of Variation**, as per Schedule 5 Annex B).
- 2.3 The Notice of Variation shall:
  - (a) contain details of the proposed variation providing sufficient information to allow each Framework Provider to assess the variation and consider whether any changes to the prices set out in its Pricing Matrices are necessary; and
  - (b) require each Framework Provider to notify the Customer within 14 days of any proposed changes to the prices set out in its Pricing Matrices.
- 2.4 On receipt of the Notice of Variation, each Framework Provider has 14 days to respond in writing with any objections to the variation.
- 2.5 Where the Customer does not receive any written objections to the variation within the timescales detailed in paragraph 2.4, the Customer may then serve each Framework Provider with a written agreement detailing the variation to be signed and returned by each Framework Provider within 14 days of receipt.
- 2.6 On receipt of a signed agreement from each Framework Provider, the Customer shall notify all Framework Providers in writing of the commencement date of the variation.

### **3. OBJECTIONS TO A VARIATION**

In the event that the Customer receives one or more written objections to a variation, the Customer may:

- (a) withdraw the proposed variation; or

- (b) propose an amendment to the variation.

#### **4. CHANGES TO THE PRICING MATRICES**

- 4.1 Where a Framework Provider can demonstrate that a variation would result in a change to the prices set out in its Pricing Matrices, the Customer may require further evidence from the Framework Provider that any additional costs to the Framework Provider will be kept to a minimum.
- 4.2 The Customer may require the Framework Provider to meet and discuss any proposed changes to the Pricing Matrices that would result from a variation.
- 4.3 Where a change to a Framework Provider's Pricing Matrices is agreed by the Customer, the Customer shall notify its acceptance of the change to the Framework Provider in writing.
- 4.4 In the event that the Customer and the Framework Provider cannot agree to the changes to the Pricing Matrices, the Customer may:
  - (a) withdraw the variation; or
  - (b) propose an amendment to the variation.

#### **5. VARIATIONS THAT ARE NOT PERMITTED**

In addition to the provisions contained in paragraph 1.2, the Customer may not propose any variation that:

- (a) may prevent one or more of the Framework Providers from performing its obligations under the Framework Agreement; or
- (b) is in contravention of any Law.

## **SCHEDULE 1 – SERVICES**

This Schedule sets out the Customer's Specification of Requirements.

### **1 BACKGROUND**

The Services are to develop an appraisal, monitoring and evaluation framework for large events, using Expo 2020 Dubai as an example event. The Department for International Trade (DIT) needs to refresh its analytical approach to make decisions on which events the UK must have a presence at, and following on from this, how much funding to direct towards these events. This approach will need to support the Live Marketing team in preparing business cases covering both the Strategic and Economic Case. Due to the size of large events, they should be monitored and evaluated in their own right, rather than considered an activity as part of a broader campaign like regular, smaller events might be.

This project will enable comparability across events; the measurement of value for money; and secure accountability and learning.

### **2 OVERVIEW OF REQUIREMENTS AND OUTLINE AIMS**

The Service Provider is required:

1. To develop a logic model/theory of change model that captures how events work;
2. To identify a comprehensive list of key performance indicators to assess the economic impacts associated with these events, and propose an approach to establishing a baseline;
3. Refresh its analytical approach to help DIT come to a decision on which events the UK must have a presence at, and following on from this, how much funding to direct towards these events. This approach will need to support the Events team in preparing business cases covering both the Strategic and Economic Case (ex-ante analysis), in line with HMT Green Book Principles. This will need to include:
  - a. A framework to consistently assess the strategic case for event attendance
  - b. Developing an ex-ante appraisal model to derive a cost benefit analysis
  - c. Build a toolkit e.g. spreadsheet to run the analysis in future;
4. Develop a Monitoring and Evaluation toolkit for large events. A toolkit should include suggested before and after measures based on a review of the available methodological

approaches for assessing what works and is feasible for events to allow for a formative evaluation of events;

5. Review and assess the available methodological approaches for assessing such impacts and additionality (ex-poste);
6. Review and assess the available methodological approaches for an overall economic evaluation which would build strongly on the impact evaluation;
7. Based on aims 1-6, write a proposal for the evaluation of Dubai Expo 2020.

### 3 OBJECTIVES AND REQUIREMENTS IN DETAIL

**Objective:** To develop a comprehensive appraisal, monitoring and evaluation framework and toolkit for large events such as Expo 2020 Dubai, where the UK has a presence delivered by the Events Team at DIT. Enable comparability across events, secure accountability and learning as well as the measurement of value for money.

The project breaks down into four (4) distinct stages that align with each aim. The objective and deliverables that link to each stage have also been indicated:

Stage	Aims (*these refer to Aims in Part 2 above)	Key tasks	Objective in detail (see below)	Deliverable (*these refer to Part 4 below)	Timeline
1. Understanding the environment	1. To develop a logic model/theory of change	Theory of change	i	a	May – June 2018
	2. To identify a comprehensive list of key performance indicators	Evidence review, KPI identification	ii, iii	b, c	
2. Appraisal	3. Develop of a framework for appraising event participation options	Framework for appraisals of the strategic case and economic case, development of appraisal model.	iv	d, e, f, g	July – September 2018
3. Monitoring & Evaluation	4. Develop an M&E toolkit and review methods for a formative evaluation.	Recommendations for data collection: before, during and after event measures and recommendations	v, vi	h	September – December 2018

		for a formative evaluation.			
	5. Review methods for an impact evaluation	Scoping study for an impact evaluation.	vi	i, j	
	6. Review methods for an economic evaluation	Scoping study for an overall economic evaluation including a VfM assessment.	vii		
4. Dubai proposal	7. Write a proposal for evaluation of Expo 2020 Dubai	Write proposal for evaluation of Dubai Expo, refine calculators/models post-2020.	viii	k	January 2018

Stages 1 to 3 describe the development of a framework and toolkit for appraisal, monitoring and evaluation, and stage 4 shows how this toolkit can be implemented with specific reference to Dubai Expo 2020.

### Objective in detail

This objective breaks down into the following steps:

- i. **Theory of Change:** To draw up a comprehensive theory of change – including unforeseen effects and integrate non-monetised benefits. Events have outcomes rooted in the UK and DIT's broader ambitions for prosperity, stability and security. This breaks down into various economic measure such as exports, investment leads and confirmed projects, in addition to outcomes associated with 'soft power'. These include post-Brexit perception of the UK, tourism, education (overseas student numbers), and improved relationship and demonstration of commitment to key markets (for example the GCC region for the Dubai Expo, although this will vary significantly between events). The winning Service Provider will be required to demonstrate their Theory of Change model to DIT colleagues via a one-day workshop in order to validate it. In order to construct this effectively step (i) should be run alongside step (ii) and (iii).
- ii. **Data collection:** To propose a methodology to secure robust baseline and monitoring of inputs, activities and direct outputs as set up in the theory of change. The Service Provider will need to address the following issues:
  - o What are the data collection mechanisms that need to be put in place?
  - o What data can we collect before the event?
  - o What data can we generate baselines for?
  - o What data can be consistently produced during the event in order to monitor performance?
  - o What data can be produced after the event in order to evaluate performance?
  - o What are the 'must have' indicators that need to be generated for all large events, in order to calculate the ROI?
  - o What are their recommendations for data collection that all large events should have, for example surveys, qualitative work, management information?
  - o Discussion of sampling approaches available and questionnaire model recommended if a survey is suggested.
  - o Include the development of a cost model.

iii. A review of evidence and literature around appraisal, monitoring and evaluation of large events, and evidence surrounding the performance and impact of large events. This will also include:

- **Discussion of appraisal, monitoring and evaluation approaches and coverage.** DIT requires a detailed international comparison of the approaches that DIT, other government departments and other countries have taken in order to appraise options for attending events, and their plans for monitoring and evaluation, for example for the Dubai Expo. This will involve speaking with DIT colleagues, government departments and other trade promotion organisations<sup>1</sup> - including private sector organisations, discussing the strengths and weaknesses of the approaches found for both the strategic and economic case for participation, and establishing a view on what is best practice and how this is an improvement on the existing DIT mechanisms for event A&ME. This should be based on what has worked for other countries and what the literature has found on inputs through to impacts. This will link to the first step (i); building a theory of change.
- **Issues and challenges of measuring outcomes and economic impact.** Consider the potential outcomes and economic impacts, and the different ways they could be measured. Discuss how to integrate non-monetized benefits when measuring economic impact. Consider the dependencies within and outside of DIT's control, such as predictions for visitor attendance by Dubai Expo.
- **Establishing a counterfactual.** Discuss possible ways of establishing a counterfactual, and how to deal with the issue of measuring the impact of multi-plant firms and affiliates which may result in impacts or outcomes showing up in different ways across different geographies. Also discuss how issues of displacement, spillover effects, supply chain effect, and multiplier effect could be accounted for.

iv. Strategic and Economic Appraisal of Large Events: Informed by the above work streams to develop an approach to decide when a large event should be supported (as part of the strategic case) and if so how much money to allocate to a large event (as part of the economic case). This will be based on the Theory of Change model, and will need to include non-monetised benefits. The Service Provider will need to:

- Build a framework to consistently assess the strategic and economic case for event participation.
- Develop a toolkit to run this analysis (this will need to be flexible to apply to a range of large events).<sup>2</sup> The toolkit should comprise of a cost-benefit and cost-effectiveness model that can be used to appraise event attendance options.
- Deliver an economic appraisal of a large event (written economic case, and populated toolkit). DIT recommend using Expo 2020 Dubai as the example event.
- Discuss how to factor in the strategic case for event attendance that would precede any economic case so that this can also be standardised in the way it is assessed.
- Consider whether there is a critical minimum investment required for attending large events, or an amount above which further investment is subject to diminishing returns. This amount will vary by event so the model will need to be flexible in order to calculate this.

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<sup>1</sup> Trade organisations could include New Zealand, who published their business case for Dubai 2020, the USA and preferably a European competitor such as France or Germany. Other departments such as the British Council may also be a source of insight.

<sup>2</sup> Bidders should also consider the ongoing work within DIT to establish a value for money calculator for export promotion services. This work links with the large events appraisal, monitoring and evaluation but does not cover investment, students, tourism or 'soft power' benefits such as reputational factors.

- v. **Monitoring:** Informed by the above, provide recommendations for before and after measures that should be put in place. This will also be informed by the review of all data and evidence available to DIT, including the Client Survey, the export support value for money framework and management information from DIT events systems (a component of step iii).
- vi. **Scoping Evaluation Studies:**
- **Formative evaluations:** To propose formative evaluation to secure learning: propose a methodology to understand what is feasible for large events and what is working/not working for them.
  - **Economic impact:** To propose an approach for the measurement of the different outcomes and the counterfactual (if feasible). Ideally a method that would allow for the identification of a credible counterfactual would allow us to move beyond outcome evaluation (a simple before and after comparison) to gather insights about the impact of the event once it has concluded (identifying outputs and outcomes that were achieved as result of the event), and including a value for money assessment<sup>3</sup>. The geographical boundaries for claiming any impacts should be considered (i.e. which countries were targeted by each event), and what the 'impact window' is after the event. For example how early can export wins following an event be attributed to the event itself. We are seeking innovative methodological approaches for achieving this.
- vii. To write a comprehensive proposal for the appraisal, monitoring and evaluation of the UK presence at Expo Dubai 2020. This will provide details on all of the above elements and will include a comprehensive timetable with detailed timings of all outputs, when they will be available and how they will feed into the decision making process. Subject to the review of the quality of the outputs above, DIT will then decide to either extend the contract and the selected Service Providers begin the monitoring and evaluation for Dubai, or will decide to recontract.
- viii. Once the evaluation is completed to refine the calculator post 2020 based on the evidence for appraisal of future large events.

#### 4 DELIVERABLES

Deliverable to be provided by Service Provider:

- a. **GCS Cabinet Office compatible Theory of Change.** Consistent with cross government evaluation guidance principles (Magenta Book and Green Book), the DIT Monitoring and Evaluation Framework<sup>3</sup>, aligned to Expo 2020 Dubai objectives, and key performance indicators (KPIs) derived. Key inputs, outputs, out-takes, outcomes and impacts for each.
- b. **Spreadsheet listing each KPI and options for measurement.** KPIs identified in the theory of change, with options for measurement and any benefits or drawbacks associated with each option. This should include comments on which KPIs are essential to have, current evidence gaps and limitations of existing data.
- c. **Report summarising the findings of the evidence review around how best to appraise, monitor and evaluate participation in large events and the impact of large events.** Including drawing conclusions on what is considered best practice regarding event AM&E, and with a focus on the costs and benefits for UK and overseas businesses for attending events.

<sup>3</sup> The DIT Monitoring and Evaluation Framework for export promotion and support services will be shared with the Service Provider, and is work that is ongoing within DIT.

- d. **A framework outlining how to consistently assess the strategic case for event attendance.**
- e. **An easy to use, scalable and flexible economic appraisal model to look at event participation options.** The model will allow users to input different options, and produce metrics that allow for an initial assessment for each specified option. For example, appraising the overall value of participating at an event to determining which option should be pursued within an event (cost/benefits for investing more, or less, at an event).
- f. **Methodological report, outlining the approach taken to the economic appraisal model, any assumptions and limitations.**
- g. **A workshop for DIT customers to explain the model options to events experts.** Make final methodological choices based on feedback and the subsequent sign off of an expert group from within DIT.
- h. **Monitoring and Evaluation toolkit** including recommendations for data collection before, during and after the event, formative evaluation recommendations.
- i. **Analytical report outlining the new monitoring and evaluation framework for deriving the impact and ROI for large events, and recommendations for next steps.** This should include conclusions drawn from the formative evaluation and, impact evaluation and VfM assessment, issues and challenges of the work undertaken, along with any underlying assumptions or drawbacks of the final products.
- j. **Recommendations on how to approach calculating events ROI and options for strengthening data collection to support this.**
- k. **Proposal for the monitoring and evaluation for Expo 2020 Dubai.** Clear proposal based on the findings from the above, for a M&E plan specific to the Expo.
- l. **Attend at least 4 further meetings** in addition to the workshop to monitor the progress of the project, including an inception meeting, and meetings with other Service Providers working with DIT when necessary.

## 5 PROJECT TIMELINES

The key work objectives and timelines are detailed below. If bidders believe these timelines are too tight for them to guarantee delivery against we would encourage them to bid despite this, and provide an alternative project plan with rationale for any differences.

Invoice No.	Aim No. / Title	Description	Target date
1	1. Theory of Change	Theory of Change for events from appraisal through to participation and evaluation	July 2018
1	2. Evidence review and KPI spreadsheet	Report summarising the findings of the evidence review	August 2018
2	3. Strategic and Economic Appraisal models	An economic appraisal model incorporating cost-benefit analysis of event participation options	September 2018
3	4. Monitoring and Evaluation toolkits	Set of tools that complement the M&E framework produced by the Service Provider	November 2018

3	5 and 6. Monitoring and Evaluation report	Analytical report outlining the new M&E framework proposed for deriving impact, and ROI for large events	November 2018
4	7. Dubai Proposal	Written proposal	January 2019

## 6 THE REVIEW PROCESS

Two groups will oversee this project and provide constructive criticism and feedback throughout the process. One group will be a strategic steering group, made up of event delivery professionals and stakeholders working on the UK's participation in Expo 2020 Dubai and other large events. The second group will be a technical working group made up of analytical experts from across government who will scrutinize the project from a technical perspective. The successful Service Provider should therefore expect their work to be subject to external scrutiny and be able to attend meetings between DIT, themselves and the reviewers.

## 7 DEPENDENCIES

This requirement will be closely linked with the ongoing work internally on the value for money of export promotion services. Interim findings for this product will be available from April 2018, and the Service Provider should note that they will need to ensure the work does not contradict the value for money findings and explains any differences found. The effective monitoring and evaluation of large events is dependent on the successful delivery of this project.

## 8 EXIT ACTIVITIES

The Service Provider is required to forward all content and images (both draft and final copies) produced to the Customer's Project Manager within two (2) weeks of the Contract Expiry Date, at no extra cost to the Customer. All outputs sign-off on publications will be owned by DIT.

## 9 TRAVEL AND SUBSISTENCE

The Service Provider is required to adhere to the Customer's travel and subsistence policy, as detailed in Schedule 8.



TOTAL	25525	4475
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Invoice Number 2						
Role	Role description	Anticipated number of Days	Max. Day Rate on Framework	Max. Day Rate Offered	Total Price	Savings

Invoice Number 3						
Role	Role description	Anticipated number of Days	Max. Day Rate on Framework	Max. Day Rate Offered	Total Price	Savings

Invoice Number 4						
Role	Role description	Anticipated number of Days	Max. Day Rate on Framework	Max. Day Rate Offered	Total Price	Savings

## SCHEDULE 3 – GOVERNANCE AND CONTRACT MANAGEMENT

### GOVERNANCE AND CONTRACT MANAGEMENT

This section deals with how the contract will be managed.

#### 1. Governance and Contract Management

1.1 The Customer will agree an appropriate contract management mechanism with the Service Provider in line with the approach detailed below. When agreed, this will form part of the contract.

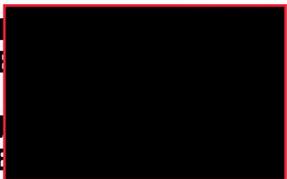
#### Governance Boards

1.2 There are three (3) levels of Governance as detailed table below:

- Level 3      Operational Service Review Board
- Level 2      Service Review Board
- Level 1      Contract Review Board

LEVEL	ATTENDEES	RESPONSIBILITIES / ACTIVITIES	LOCATION/TIMINGS
<b>Level 3 Operational Service Review Board</b>	<b>Customer:</b>  <b>Optional invitees:</b> (Include if required)	<ul style="list-style-type: none"> <li>• Advisory Group meeting as project progresses, and opportunity to provide regular feedback and constructive criticisms</li> <li>• Contract administration</li> <li>• Maintenance of Risk Register and issues Log</li> <li>• Be accountable to the Service Review Board for day to day oversight of the Services.</li> <li>• Performance Review - administer reports on KPI's, Performance Monitoring Reports, issues relating to delivery of Services</li> </ul>	Monthly (or as appropriate) Note: all forms of communication to be used

		<p>and performance against Performance Indicators</p> <ul style="list-style-type: none"> <li>• Quality assurance</li> <li>• Complaint handling</li> </ul>	
<p><b>Level 2 Service Review Board</b></p>	<p><b>Customer:</b></p>  <p><b>Optional invitees:</b> (Include if required)</p>	<ul style="list-style-type: none"> <li>• Discuss progress and direction of the project, raise any concerns, update DIT on findings and discuss next steps</li> <li>• Responsible for the Contract management of the Services and shall review performance (incl. issues unresolved by operational team)</li> <li>• Receives the Performance Monitoring Reports, Service Levels and Service Credits. Monitor progress and identifies possible future developments including common standards, benchmarking and continuous improvement plans</li> <li>• Review Risk Register Reports submitted by Level 3</li> <li>• Responsible for the Contract management of the services relationship between all Parties</li> <li>• Report to the Contract Review Board (Level 2) on significant issues requiring strategic</li> </ul>	<p>Bi-monthly (or as appropriate)</p> <p>Face to face or via teleconference</p>

		<p>decision and resolution by the Contract Review Board and on progress against the high level strategic objectives</p> <ul style="list-style-type: none"> <li>• Responsible for Contract coverage, ensuring all work has been agreed prior to commencement and any changes covered by Changes to Contract</li> <li>• Responsible for Financial management, reviewing spend against plans, resolving and escalated payment/invoicing issues, review overall financial risks</li> <li>• Responsible for Capacity planning, reviewing possible improvements of matching demand with supply</li> <li>• Performance Review - administer reports on KPI's, Performance Monitoring Reports, issues relating to delivery of Services and performance against Performance Indicators</li> </ul>	
<p><b>Level 1 Contract Review Board</b></p>	<p><b>Customer:</b></p> 	<p>Responsible for issues escalated by Level 2 Representatives. In particular:</p> <ul style="list-style-type: none"> <li>• Strategic direction</li> </ul>	<p>Mid-way through and end of Contract period (or as requested)</p> <p>Face to face or via teleconference</p> <p>Mode of communication –</p>

	<div style="background-color: black; width: 100%; height: 150px; margin-bottom: 5px;"></div> <p><b>Optional invitees:</b> (Include if required e.g. Legal Representative)</p>	<ul style="list-style-type: none"> <li>• Relationship direction</li> <li>• Continual improvement and performance management</li> <li>• Contract Review</li> </ul>	<p>All forms as appropriate to suit the issue and needs.</p>
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1.3 In addition, the Service Provider is to demonstrate the following requirements in the delivery of Services:

- To have in place clear, robust and fully accountable governance arrangements for the delivery of the Services;
- To have in place, or have access to, necessary support services including IT, personnel, administration and finance;
- To have clear and robust internal processes and procedures and staff that are fully accountable delivering and managing the Services to protect DIT's reputation.

## **SCHEDULE 4 – PERFORMANCE MANAGEMENT FRAMEWORK**

### **1. Introduction**

- 1.1. As part of the Customer's continuous drive to improve the performance of all Service Providers, this Performance Management Framework (PMF) will be used to monitor measure and control all aspects of the Service Provider's performance of contract responsibilities.
- 1.2. The PMF purpose is to set out the obligations on the Service Provider, to outline how the Service Provider's performance will be evaluated and to detail the sanctions for performance failure.
- 1.3. Performance management indicators for the Service Provider will be listed under the following categories:
  1. Contract Management
  2. Delivery and support
  3. Quality of Service
  4. Cost
  5. Continuous Improvement

The above categories are consistent within all Contract awards allowing the Customer to monitor the Service Provider's performance at both individual contract level and at enterprise level with the individual Service Provider.

- 1.4. The Service Provider's KPIs, submitted as part of their Tender Response, will be considered and possibly signed off at the Inception Meeting and where appropriate incorporated into the Contract.

### **2. Management of the PMF**

- 2.1. The Service Provider shall detail performance against KPI's in Fortnightly Reports as requested by the Customer.
- 2.2. KPI's shall be monitored on a regular basis and shall form part of the contract performance review.
- 2.3. Any performance issues highlighted in these reports will be addressed by the Service Provider, who shall be required to provide an improvement plan ("Remediation Plan") to address all issues highlighted within a week of the Customer's request.
- 2.4. Performance failure by the Service Provider may result in administrative costs to the Customer. Where failure attributable to the Service Provider is identified in the Performance Management report and relates to the KPI's then the service credit regime shall apply.
- 2.5. KPIs are essential in order to align Service Provider's performance with the requirements of the Customer and to do so in a fair and practical way. KPIs have to be realistic and achievable; they also have to be met otherwise indicating that the service is failing to deliver. Without the use of service credits in such a situation, this service failure places strain on the relationship as delivery falls short of agreed levels. As a result, the only recourse would be to terminate and seek alternative supply.
- 2.6. The use of a strong service credit regime accompanied by a proactive approach to correcting failures and addressing their cause improves the relationship and enables a partnership

rather than a confrontational style of working. Its focus is on managing and improving service. It is NOT about taking cost out of the service to the Customer.

- 2.7. KPIs are set out below.
- 2.8. Where a KPI has a percentage measure the Service Provider's performance will be rounded up or down to the nearest whole number.
- 2.9. KPIs are to be agreed and finalised at the inception meeting and will be confirmed under a Contract Change Note.
- 2.10. Where a Red Status is awarded, the Service Provider shall produce a Service Provider's Remediation Plan, detailing the measures that the Service Provider will undertake to rectify this failure as well as any measures to be introduced to prevent this failure from occurring in the future. Measures proposed may include introduction of new KPIs.

### 3. Service Credits

- 3.1. The use of Service Credits is governed by the following principles:
  - Service Credits sit within the wider service management approach being pursued by the Service Provider and the Customer. The use of Service Credits does not prejudice the Customer's rights under appropriate clauses of the contract in the event of inadequate performance by the Service Provider.
  - The Service Credit regime would be instigated on each occasion where there is a service failure (i.e. where a KPI is identified as having a 'Red status'). This would also give rise to a Remediation Plan.
  - The Customer has full and complete discretion on whether to claim all, part or none of a Service Credit to which it is due.
  - Service Credits claimed will be applied to the subsequent invoice as a credit note.
  - The full, agreed Service Credit regime shall operate from the initial delivery date until the end of the Contract Period.
- 3.2. Service credits will be applied as follows:
  - **Service Credit 1: KPI 4**  
Any "red" scores against KPI 4 will incur a deduction of five (5%) from the agreed price for the deliverable.

Metric	KPI	What is required to make this measurable	KPI Measurement	KPI Rating		
Contract Management	KPI 1 – Monthly reports (or other frequency as agreed) and invoices	Brief monthly progress reports (email format) to be produced within five (5) working days of end of month, or as requested by the Customer's Project Manager.  Invoices, reports and associated deliverables should be clearly linked.	Invoices will quote the correct PO, contract number, the Customer Contact, and qualitative description of the work being done.  Invoices must be clearly itemised (see Section 3, part 4 for Invoice schedule).  Associated reports should be clearly and explicitly linked to invoices to help financial tracking.	95% Reports and or invoices sent to the Customer which contains inaccuracies and/or greater than 5 (five) working days after the agreed deadline.	98% Reports and or invoices sent to the Customer which contains inaccuracies and/or greater than 2 (two) working days after the agreed deadline.	100% Meets expectations - All reports and invoices sent to the Customer on time and accurately reflect agreed work.
	KPI 2 – Communication	Ongoing communication and operational review between the Service Provider and Customer	To produce and deliver Weekly Status Report (Thursday evening), and further email and teleconference updates as required by DIT.	95% Weekly reports are regularly delivered late, and supplier is regularly difficult to contact.	98% Weekly reports not always delivered on time each week, and the supplier is sometimes difficult to reach by phone or email.	100% Regular communication received. Weekly reports sent on time each week and the supplier is available by phone and/or email to provide key updates to the customer.

Metric	KPI	What is required to make this measurable	KPI Measurement	KPI Rating		
Cost	<b>KPI 3</b> – Delivery within agreed charges	Requirement delivered within agreed charges.	Evidenced in financial reporting as part of regular reports.	<p>90% Reports show cost of requirement delivery is running more than 5% greater than the agreed price requiring major adjustments to the service.</p> <p>95% Reports show cost of requirement delivery is running up to 5% greater than the agreed price requiring minor adjustments to the service.</p> <p>100% Reports show cost of requirement delivery is equal to or below the agreed price and all unnecessary costs are avoided.</p>	Delivery	<p><b>KPI 4</b> – Study tasks and deliverables completed according to the agreed project plan</p> <p><b>Service credit 1</b></p>
		Work must be completed and submitted within Customer's timelines (see Schedule 1, part 5) and agreed Project Plan.	Work is delivered in accordance with timelines as determined by Project Manager and Service Provider's Project Plan.	<p>95% Work submitted later than three (3) working days of the agreed deadline.</p> <p>98% Work submitted within three (3) working days of the agreed deadline.</p> <p>100% Work submitted on or before the agreed deadline.</p>		

Metric	KPI	What is required to make this measurable	KPI Measurement	KPI Rating
Quality	<b>KPI 5</b> – Work must be accurate and analytically robust	Work must be submitted to a satisfactory quality; innovative in its approach and typographically accurate.	Original ideas; not containing any Service Provider introduced errors.  Work will be reviewed and approved by both the technical working group and strategic steering group.	<p>95% Lack of original ideas with project team required to provide all direction and a significant number of typographical errors.</p> <p>98% Few original ideas, with project team required to provide some direction. A number of typographical errors.</p> <p>100% Original and creative ideas; few typographical errors.</p>
Quality	<b>KPI 6</b> – Outputs, in particular the M&E toolkit, must be user-friendly	The Service Provider will use other toolkits and guidance notes as a template, and design everything with a layperson in mind, rather than a specialist evaluator. Guidance notes, glossaries etc. will provide supporting information.	The toolkit will be tested within ICF by someone not involved with the study prior to submission to DIT. Comments from DIT will be incorporated into a revised version.	<p>95% Output would require a significant number of amendments to make it user-friendly. Output not tested by ICF. Comments from DIT not incorporated into revised version.</p> <p>98% Tested by ICF; comments from DIT incorporated, but output still not deemed to be user-friendly.</p> <p>100% Output has been tested by ICF; comments from DIT have been incorporated; and output is deemed user-friendly by DIT's technical working group.</p>
Quality	<b>KPI 7</b> – Administration	Resources are provided as agreed for the project.	Resources are provided as detailed in the Service Provider's proposal and agreed with the customer,	<p>95% Resources provided are not what was agreed and this has a significant impact on the delivery of the project.</p> <p>98% Resources provided are not what was agreed and this has a minor impact on the delivery of the project.</p> <p>100% Resources provided as agreed between the provider and the customer and are sufficient to manage the workload of the project.</p>

KPIs and Service Credits have been agreed and finalised at the inception meeting, and form the Performance Management Framework.

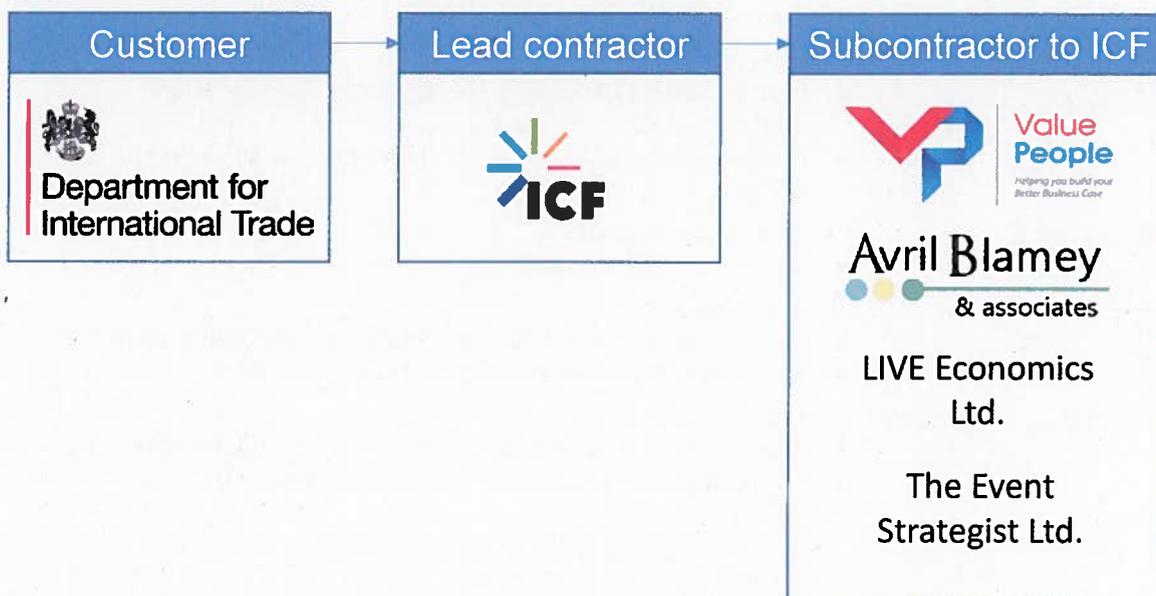
**SCHEDULE 5 – APPROVED SUB-CONTRACTORS' LIST**

## Annex 1 Sub-contracting arrangements

The ITFC specifies that, where the contractor intends to use sub-contractors to deliver some or all of the contract requirements, the following additional information about the bidding model should be provided as an Annex to the main body of the submission.

### Members of the supply chain

ICF will be the lead contractor for this assignment, with Value People, Avril Blamey & Associates, LIVE Economics Ltd and The Event Strategist Ltd sub-contracted to deliver specific study tasks. The supply chain model is as follows:



### The percentage of work being delivered by each subcontractor

The percentage allocation of the study cost to each organisation within the bidding model is as follows:

Organisation	Percentage of total study budget (staff + travel/subsistence costs)
ICF	66%
Value People	23%
Avril Blamey & Associates	4%
LIVE Economics Ltd	4%
The Event Strategist Ltd	4%

### The key contract deliverables that sub-contractors will have responsibility for

As per our response to B03 (methodology), the main study deliverables are listed in the following table, along with an indication of the respective responsibilities of study team members (in contributing to the deliverable and the research underpinning each deliverable).

Organisation	Responsibility for deliverables
ICF	Lead author of: <ul style="list-style-type: none"> <li>■ ToC model (Deliverable A)</li> <li>■ Evidence review and KPI spreadsheet (Deliverables B/C)</li> <li>■ Monitoring and evaluation analytical report (Deliverables I/J)</li> <li>■ Monitoring and evaluation toolkit (Deliverable H)</li> <li>■ Proposal for the monitoring and evaluation of Expo 2020 Dubai (Deliverable K)</li> </ul> Oversight/QA of: <ul style="list-style-type: none"> <li>■ Framework for assessing the strategic case for event attendance (Deliverable D)</li> <li>■ Economic appraisal model and method paper (Deliverables E/F)</li> </ul>
Value People	Lead author of: <ul style="list-style-type: none"> <li>■ Framework for assessing the strategic case for event attendance (Deliverable D)</li> <li>■ Economic appraisal model and method paper (Deliverables E/F)</li> </ul>
Avril Blamey & Associates	Contributing author of: <ul style="list-style-type: none"> <li>■ ToC model (Deliverable A)</li> </ul>
LIVE Economics Ltd	Contributing author of: <ul style="list-style-type: none"> <li>■ Monitoring and evaluation analytical report (Deliverables I/J)</li> <li>■ Monitoring and evaluation toolkit (Deliverable H)</li> </ul>
The Event Strategist Ltd	Contributing author of: <ul style="list-style-type: none"> <li>■ Monitoring and evaluation analytical report (Deliverables I/J)</li> <li>■ Monitoring and evaluation toolkit (Deliverable H)</li> </ul>

## SCHEDULE 6 – KEY PERSONNEL

1.1 The Key Personnel delivering the Services are as follows:

Name	Title	Role
[REDACTED]	Project Director	[REDACTED] will oversee the team's data collection, analysis and outputs across the whole study. He will provide strategic technical inputs, ensure the quality of deliverables, and liaise with DIT to ensure the outputs meet DIT's needs.
	Project Manager	[REDACTED] will manage the detailed planning and delivery tracking to schedule, and associated resourcing. He will provide technical inputs to and have oversight of the evaluation design and implementation, and manage the preparation of project deliverables to ICF's quality protocols. [REDACTED] will liaise with DIT's designated study lead.
	Research support	[REDACTED] will provide analytical support throughout the study, in particular supporting with the desk review of literature and the stakeholder interviews.
	Theory of Change expert	[REDACTED] will provide expert inputs into Task 1.4, supporting the development of the ToC model. She will lead the ToC validation workshop at DIT, having performed a similar role for several other government studies.
	Evaluation design expert	[REDACTED] will provide peer review and technical advice role throughout the study, focussing on reviewing and editing the monitoring and evaluation approach for large events.
	DIT events expert	[REDACTED] will assist in the development of the monitoring and evaluation approach, drawing on her practical experience of the delivery of large events supported by DIT, and her understanding of how events work and how they might be evaluated.
	Business Case expert	[REDACTED] will lead the development of an appraisal toolkit for DIT, based on his expertise in the Five Case Model approach. He will run the workshop with DIT to explain the model, and draft the supporting methodological paper.

## SCHEDULE 7 – COMMERCIALLY SENSITIVE INFORMATION

This Schedule details the Service Provider's commercially sensitive information.

### 1. Commercially Sensitive Information

- 1.1 Without prejudice to the Customer's general obligation of confidentiality, the Parties acknowledge that the Customer may have to disclose Information in or relating to the Contract following a Request for Information pursuant to clause E5 (Freedom of Information).
- 1.2 In this Schedule the Parties have sought to identify the Service Provider's Confidential Information that is genuinely commercially sensitive and the disclosure of which would be contrary to the public interest.
- 1.3 Where possible the Parties have sought to identify when any relevant Information will cease to fall into the category of Information to which this Schedule applies.
- 1.4 Without prejudice to the Customer's obligation to disclose Information in accordance with the FOIA and the EIR, the Customer will, acting reasonably but in its sole discretion, seek to apply the commercial interests exemption set out in s.43 of the FOIA to the Information listed below.

SERVICE PROVIDER'S COMMERCIALLY SENSITIVE INFORMATION	DATE	DURATION CONFIDENTIALITY	OF
Not used.			

## SCHEDULE 8 – TRAVEL AND SUBSISTENCE

### Department for International Trade – Travel and Expenses Policy 2017

#### 1. Introduction

The nature of DIT's business means that Service Providers may have to travel both in the UK and overseas and this manual provides details of the principles, rules and procedures relating to travel and expenses.

Service Providers working for DIT are expected to adhere to guidelines contained within, which are similar to DIT staff.

#### Underlying Principles

- DIT trusts and expects the appointed Service Provider, their staff or sub-contractors to make appropriate and justifiable spending decisions, weighing up the balance between value for money, public perception and business benefits
- No appointed Service Provider, their staff or sub-contractors should either benefit or be out of pocket because of undertaking business on behalf of DIT. Travel and subsistence claims should be based on receipted costs incurred because of travel
- The appointed Service Provider, their staff or sub-contractors should only travel on Departmental business if this is necessary. Consider whether the business could be conducted by phone, teleconference, video conference or web conference
- If a journey is necessary, the appointed Service Provider, their staff or sub-contractors should identify the most cost-effective way of travelling. Planning journeys well in advance, especially by air, can result in much lower costs
- If a number of people are travelling together, the appointed Service Provider, their staff or sub-contractors should examine whether it is cheaper to travel as a group, and think hard about how many people really need to go.
- Only costs that are necessary and additional to normal daily expenditure should be reimbursed.

#### 2. Air Travel

The appointed Service Provider, their staff or sub-contractors are expected to book the lowest logical fare available – if there are other more expensive fares available within policy these are still bookable but require a reason explaining why the lowest fare was not booked.

Flying Time (per flight)	Class of Travel
Up to 5 hours	All journeys at public expense: Economy
Over 5 hours	All journeys at public expense: Economy (but see * below)
Over 10 hours	All journeys at expense: Business (subject to prior agreement with the Customer)

\* Subject to approval by the Customer the next higher class (but not first class) may be used:

- where strict application of the class-of-travel rules would not be cost effective

- for short duty visits out and back in a working day - The appointed Service Provider, their staff or sub-contractors are not entitled if they stay overnight
- when bookings are not available in the lower class and the timing or date of the journey cannot be changed
- if the appointed Service Provider, their staff or sub-contractors will be required to work immediately on arrival
- on disability/medical grounds recognised by the Customer.

All flights must be booked at set dates; no open return tickets may be booked.

Air travel should not normally be used within the UK, although there is an exception for travel to/from Scotland and Northern Ireland.

Air travel in the UK must be by economy class.

The appointed Service Provider, their staff or sub-contractors are not allowed to use for personal journeys, Air Miles, free tickets or upgrade vouchers which have accrued through travel which has been paid for from public funds. However, such Air Miles, free tickets or upgrade vouchers may be used for official travel on behalf of the Customer.

### **3. Rail Travel**

For rail travel (including Eurostar) the appointed Service Provider, their staff or sub-contractors should travel standard class unless for example they have a disability or health condition that would make this unreasonable.

Tickets should be purchased in advance to minimise costs.

### **4. Taxis**

Use of taxis is expected only where there is a clear value for money or business justification, unless the appointed Service Provider, their Staff or sub-contractor has a temporary or permanent disability and has been advised that taking a taxi is a 'reasonable adjustment' or for safety and security reasons.

Some examples where taxi travel might be considered appropriate include:

- there were no other reasonable public transport options (for example: travel to a location not served by a bus or train route)
- it was the most cost-effective way of undertaking the journey – for instance sharing the taxi with colleagues would make it cheaper than other public transport options
- for personal safety reasons

Examples of scenarios where it might be considered inappropriate to take a taxi include:

- there were cheaper public transport options which incurred only a modest additional travel time
- public transport involved changing mode of transport (for example: a train and a bus)
- failure to leave sufficient time to make the journey by foot or public transport

It is expected that appointed Service Provider, their Staff or sub-contractor will use public transport for travel within London and the use of taxis should only be undertaken by exception.

The principles set out for UK travel equally apply for taxi travel overseas.

## **5. Private & Hire Vehicles**

The appointed Service Provider, their staff or sub-contractor are expected to use public transport where this is reasonable and should only use their own vehicle or a hire car where a business need has been agreed in advance by the Customer.

Some examples of scenarios where a private vehicle might be considered appropriate include:

- there were no reasonable public transport options, for example: travel to a location not served by a bus or train route and too far from either to justify use of a taxi
- visits to a number of poorly-served locations in one day, where the cumulative cost of taxis would be significant

This is not only because of the environmental impact of using private transport, but also in terms of staff welfare.

## **6. Hotel Bookings**

The Customer's limits for hotel bookings in the UK are:

- London - £135 and
- Outside London - £85.

## SCHEDULE 9 – SERVICE PROVIDER'S PROPOSAL



# **DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events**

**Response B01 Capability**

06 April 2018

## ICF makes big things possible

ICF is a global consulting and technology services provider with more than 5,000 professionals focused on making big things possible for our clients. We are policy specialists, social scientists, business analysts, technologists, researchers, digital strategists and creatives. Since 1969 government and commercial clients have worked with ICF to overcome their toughest challenges on issues that matter profoundly to their success. Our five core service areas are described below. Engage with us at [icf.com](http://icf.com).



### Research + Analyse

Our teams delve deep into critical policy, industry and stakeholder issues, trends, and behaviour. By collecting and analysing data of all kinds, we help clients understand the current landscape clearly and plan their next steps wisely.



### Assess + Advise

With equal parts experience and dedication, our experts get to the heart of the issue—asking all the right questions from the start. After examining the results and evaluating the impact of research findings, we counsel clients on how to best navigate societal, market, business, communications, and technology challenges.



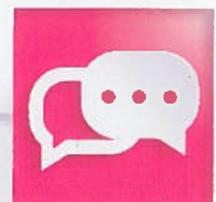
### Design + Manage

We design, develop and manage plans, frameworks, programmes, and tools that are key to each client's mission or business performance. These solutions often stem from our analytics and advice.



### Identify + Implement

Our experts define and put into place the technology systems and business tools that make our clients' enterprises more effective and efficient. We deploy standard or customised methodologies based on the business context.



### Engage

Realising the promise of the digital revolution requires foresight and heightened understanding. Both are baked into the solutions-focused engagement work that runs through all we do.



# DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events

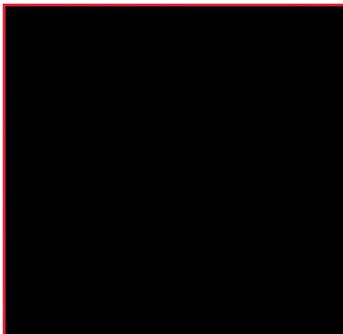
## Response B01 Capability

A proposal submitted by [ICF Consulting Services Limited](#) in association with

[Value People](#), [LIVE Economics](#), [Avril Blamey & Associates](#) and [The Event Strategist](#)

Date: 06 April 2018

Job Number 30301888



## Document Control

<b>Document Title</b>	DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events
<b>Job No.</b>	30301888
<b>Prepared by</b>	[REDACTED]
<b>Checked by</b>	[REDACTED]
<b>Date</b>	06 April 2018

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ICF has used reasonable skill and care in checking the accuracy and completeness of information supplied by the client or third parties in this ITT. ICF does not however warrant either the accuracy or completeness of information supplied by the client or third parties, nor that it is fit for any purpose.

During performance of the contract ICF will use reasonable endeavours to obtain any further information from third parties specified in the contract as required for performance of the project but does not warrant that such information will be available, accurate or complete.

ICF does not accept responsibility for any legal, commercial or other consequences that may arise directly or indirectly as a result of the use by ICF of information supplied by the client or third parties in responding to this ITT or in any resulting contract.

## B01: Capability

### Evidence of relevant capability in provision of services (Parts A and B)

ICF has extensive experience in designing and delivering process, economic and empirical impact evaluations. **Our core capabilities include evaluation scoping and design, logic modelling, process evaluation, impact evaluation, economic evaluation and counterfactual analysis.** We have undertaken hundreds of evaluations and economic impact and cost-benefit analyses, working to HM Treasury Green Book and Magenta Book standards. Our evaluations are underpinned by coherent theories of change that identify attributable programme outcomes and impacts. We use evaluation frameworks to facilitate targeting of evidence for research questions and a wide range of quantitative and qualitative research methods, including structured and semi-structured interviews, focus groups, surveys and stakeholder workshops. ICF is currently delivering two evaluations for DIT: an evaluation of the Global Growth Pilot, and an evaluation of the DIT's ODI pilots. The Project Director and Project Manager we propose for this study perform the same roles within those two studies. We are familiar with DIT's approach to evaluation, which means we do not need to spend time and resource getting up to speed with what you require.

In recognition of the need to deliver robust, rigorous and independent evaluation findings that stand-up to scrutiny and are consistent with HMT Green and Magenta Books, we have built an outstanding evaluation design team that combines ICF in-house expertise with inputs from trusted associates who are recognised leaders in their fields. Our team includes [REDACTED] an expert in **logic modelling** within evaluation; [REDACTED] who brings extensive UK Government **business case** experience; [REDACTED] ex Chief Economist at Defra and an expert in **economic and impact evaluation design**; and [REDACTED] a former DIT employee who brings specific expertise in the **design and delivery of large events.**

Figure 1.1 overleaf provides examples of our work, and indicates how this illustrates our capacity and capability to deliver this assignment.

### Governance arrangements (Part C)

The scale of ICF's team and its project portfolio means that robust governance systems are essential. The delivery of projects is supported by the following tools:

- **Personnel resource planning/monitoring:** ICF uses the Maconomy resource management system, which research staff use to record time spent per project and per project task. Forward personnel planning is carried out using PeoplePlanner, which enables project managers to 'book' research staff time for the duration of a contract, to ensure that there is future capacity to deliver (and indeed to identify possible alternatives during pinch points).
- **IT / software:** ICF has access to and regularly deploys the full suite of Microsoft Office software, as well as specialist analytical software including SPSS, Stata, SurveyGizmo, Nvivo etc. Training in the use of core quantitative and qualitative software packages is mandatory for all ICF staff.
- **Collaborative working:** ICF uses SharePoint to create dedicated project sites where the ICF team and subcontractors can share and edit material.
- **Project performance:** ICF uses a bespoke Project Tracker software tool to monitor overall project performance. Project managers periodically record project performance against a range of criteria, including timetable, quality, financial performance etc. Senior management monitor Project Tracker to identify and resolve any issues.
- **Administration/finance:** ICF has a dedicated finance team who work with project teams to ensure invoices are submitted according to schedule, and subcontractors are in turn paid according to schedule. We also have dedicated contracts and subcontracts teams who ensure that contractual requirements are met promptly.

Figure 1.1 Evidence of our experience and expertise in meeting your requirements

Your requirements	Our expertise and capability	Example(s) of our work
<p>Develop a logic model / theory of change model that captures how events work</p>	<p>ToC models are almost always the first step in ICF's approach to an evaluation. These models then form the intellectual basis for how we design and implement evaluations. The core ICF team on this assignment have all developed ToC models for multiple government clients, including DIT.</p>	<p>Examples of published ToCs/logic models include the following:</p> <ul style="list-style-type: none"> <li>■ ICF for NHS England (2017) The Economics of Caring: Scoping Review<sup>1</sup></li> <li>■ ICF for MMO (2016) Review of the Marine Planning Monitoring and Evaluation Framework and Development of Baselines<sup>2</sup></li> <li>■ ICF for DG SANCO (2014) Evaluation of Knowing Your Rights Campaign<sup>3</sup></li> </ul> <p>ICF is currently carrying out two evaluations for DIT, both of which have involved drafting ToCs of how the interventions will work. These are presently unpublished:</p> <ul style="list-style-type: none"> <li>■ ICF for DIT (2017-18) Evaluation of the Global Growth Pilot</li> <li>■ ICF for DIT (2017-18) Evaluation of Outward Direct Investment Pilots</li> </ul>
<p>██████████ is widely recognised across Whitehall for her expertise in logic modelling and its application in evaluation design. She is a Specialist Advisor for theory informed evaluations and a peer reviewer for BEIS and NHS Education Scotland and has provided ToCs for UK and Scottish government. ██████████ has</p>	<p>██████████ has published various academic articles using ToC approaches, including:</p> <ul style="list-style-type: none"> <li>■ Blamey, A. and Mackenzie, M. (2007) Theories of Change and Realistic Evaluation<sup>4</sup></li> <li>■ Blamey, A. et al (2017) Strengthening adult community-based cooking skills interventions using realist principles<sup>5</sup></li> <li>■ Blamey, A. et al (2013) Using programme theory to strengthen research protocol and intervention design within an RCT of a walking intervention<sup>6</sup></li> </ul> <p>She has also contributed to published guidance on using ToCs within evaluation:</p> <ul style="list-style-type: none"> <li>■ Tavistock for DfT (2010) Guidance for transport impact evaluations<sup>7</sup></li> </ul>	<p>██████████ has published various academic articles using ToC approaches, including:</p> <ul style="list-style-type: none"> <li>■ Blamey, A. and Mackenzie, M. (2007) Theories of Change and Realistic Evaluation<sup>4</sup></li> <li>■ Blamey, A. et al (2017) Strengthening adult community-based cooking skills interventions using realist principles<sup>5</sup></li> <li>■ Blamey, A. et al (2013) Using programme theory to strengthen research protocol and intervention design within an RCT of a walking intervention<sup>6</sup></li> </ul> <p>She has also contributed to published guidance on using ToCs within evaluation:</p> <ul style="list-style-type: none"> <li>■ Tavistock for DfT (2010) Guidance for transport impact evaluations<sup>7</sup></li> </ul>

<sup>1</sup> <https://www.strategyunit.nhs.uk/sites/default/files/2017-12/Caring%20scoping%20study%20-%20final%20report.pdf>

<sup>2</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/500273/Review\\_of\\_the\\_Marine\\_Planning\\_Monitoring\\_and\\_Evaluation\\_Framework\\_and\\_Development\\_of\\_Baselines\\_1087.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/500273/Review_of_the_Marine_Planning_Monitoring_and_Evaluation_Framework_and_Development_of_Baselines_1087.pdf)

<sup>3</sup> <http://ec.europa.eu/smart-regulation/evaluation/search/download.do?documentId=11281094>

<sup>4</sup> <http://journals.sagepub.com/doi/pdf/10.1177/1356389007082129>

<sup>5</sup> <https://www.emeraldinsight.com/doi/abs/10.1108/BFJ-09-2016-0432>

<sup>6</sup> <https://journals.sagepub.com/doi/abs/10.1177/1356389012470681>

<sup>7</sup> [http://www.tavistock.org/wp-content/uploads/2013/01/Tavistock\\_Report\\_Guidance\\_for\\_Transport\\_Evaluations\\_2010.pdf](http://www.tavistock.org/wp-content/uploads/2013/01/Tavistock_Report_Guidance_for_Transport_Evaluations_2010.pdf)

Your requirements	Our expertise and capability	Example(s) of our work
<p>published academic articles and guidance papers on logic modelling and theories of change approaches to evaluation and research, which are cited as good practice in the field.</p>	<p>ICF's expertise falls into two main areas: designing KPIs and using these to establish a baseline as part of an evaluation; and supporting our clients in designing KPIs that they can use to establish a baseline and track the impacts of their work. Indicators associated with evaluation are typically linked to a ToC, and used to assess economic impacts and the other results of an intervention.</p>	<p>The ToCs produced by Avril often form part of scoping studies and so are unpublished. However, published examples of her work include:</p> <ul style="list-style-type: none"> <li>■ ToC developed as part of an evaluation of the Childsmile initiative<sup>8</sup></li> <li>■ ToC developed for the Greenspace and Health Outcomes Framework<sup>9</sup></li> </ul>
<p>Identify a comprehensive list of KPIs to assess the economic impacts associated with events, and propose an approach to establishing a baseline</p>	<p>Our support to clients in the development of monitoring KPIs is often unpublished. Examples of assignments that we have completed includes:</p> <ul style="list-style-type: none"> <li>■ ICF for Ofgem (2016) Develop a set of KPIs to track the impacts of the Agency</li> <li>■ ICF for DG EAC, European Commission (2017) Recommend a set of KPIs to measure the EIT's delivery and impact, as part of a wider evaluation</li> <li>■ ICF for Marine Management Organisation (ongoing) Review marine planning logic models and indicators, and collect data for 34 indicators to create a baseline</li> <li>■ ICF for the Community Development Finance Association (2013) Review logic models and develop a set of monitoring KPIs to track impacts</li> <li>■ ICF for the European Food Standards Agency (2017) Reputation Barometer<sup>10</sup></li> <li>■ ICF for the Equality and Human Rights Commission (ongoing) Evaluation of Working Forward, including development of indicators and a baseline</li> </ul>	<p>Our support to clients in the development of monitoring KPIs is often unpublished. Examples of assignments that we have completed includes:</p> <ul style="list-style-type: none"> <li>■ ICF for Ofgem (2016) Develop a set of KPIs to track the impacts of the Agency</li> <li>■ ICF for DG EAC, European Commission (2017) Recommend a set of KPIs to measure the EIT's delivery and impact, as part of a wider evaluation</li> <li>■ ICF for Marine Management Organisation (ongoing) Review marine planning logic models and indicators, and collect data for 34 indicators to create a baseline</li> <li>■ ICF for the Community Development Finance Association (2013) Review logic models and develop a set of monitoring KPIs to track impacts</li> <li>■ ICF for the European Food Standards Agency (2017) Reputation Barometer<sup>10</sup></li> <li>■ ICF for the Equality and Human Rights Commission (ongoing) Evaluation of Working Forward, including development of indicators and a baseline</li> </ul>
<p>Develop a framework to assess the strategic case for event attendance, develop an ex-ante appraisal</p>	<p>By its nature, [redacted] is a specialist in the use of the Treasury Five Case model as the basis for appraisal and options analysis. He specialises in cost modelling as an integral part of the business case development process and has a strong understanding of the role of economic analysis and cost-benefit assessment in both</p>	<p>By its nature, [redacted] is a specialist in the use of the Treasury Five Case model as the basis for appraisal and options analysis. He specialises in cost modelling as an integral part of the business case development process and has a strong understanding of the role of economic analysis and cost-benefit assessment in both</p> <ul style="list-style-type: none"> <li>■ Working with ICF to provide Ofgem with support on its Switching Programme Business Case</li> <li>■ Providing Ofgem staff with ongoing training in the Better Business Case standard</li> <li>■ Developing the NHS England's care.data Programme Business Case and subsequent SOC/OBCs – a designated Major Project by the Cabinet Office, HM Treasury and Major Project Authority</li> <li>■ A Programme Business Case for Ordnance Survey's Transformation Programme</li> </ul>

<sup>8</sup> <http://www.child-smile.org.uk/uploads/documents/12759-ChildsmileLogicModels1.pdf>

<sup>9</sup> <http://www.greenspacescotland.org.uk/SharedFiles/Download.aspx?pageid=133&mid=129&fileid=42>

<sup>10</sup> <https://www.efsa.europa.eu/sites/default/files/event/mb171212-i2.pdf>

Your requirements	Our expertise and capability	Example(s) of our work
<p>model, and build a toolkit</p>	<p>impact assessments and business cases. [REDACTED] has an excellent working knowledge of the application of HM Treasury's Green Book guidance – the foundation and best practice reference for public sector impact assessments and business cases, and was instrumental in developing the Better Business Case accredited standard which is now commercially available.</p>	<ul style="list-style-type: none"> <li>■ A SOC-OBC for the University of South Wales and Coleg Gwent's 'Newport Knowledge Quarter' investment – a unique, cross-cutting approach to integrating higher and further education services</li> <li>■ A Programme Business Case for the reorganisation of 10 primary schools in the Gwernfedydd Catchment Area for Powys CC and combined Strategic Outline Case-Outline Business Cases and Full Business Cases for the subsequent investments (3 new primary schools)</li> <li>■ A Programme Business Case for the reorganization of 8 primary schools in the Welshpool catchment area for Powys CC and combined SOC-OBC and FBCs for the subsequent investments (2 new build primary schools)</li> </ul>
<p>Develop a monitoring and evaluation toolkit</p>	<p>ICF's work in this area consists of bespoke support to public authorities and charities to help them to monitor and evaluate the impacts of their work, together with the development of forward looking monitoring and evaluation guidance as part of evaluations that we have completed. The monitoring and evaluation toolkits we develop are tailored to the intended audience. Toolkits might be dedicated online instruments, or in some cases are Excel-based instruments. They are supported by guidance documents.</p>	<p>ICF has developed various online toolkits and guides to assist public authorities and charities. Published examples include:</p> <ul style="list-style-type: none"> <li>■ ICF for Cedefop, VET toolkit for tackling early leaving<sup>11</sup></li> <li>■ ICF for the Department for Education and Skills (2017) evaluation of funding for breakfast clubs, including a toolkit in setting up and monitoring the clubs<sup>12</sup></li> <li>■ ICF for DG Employment (2016) Toolkit for development of customer satisfaction measurement systems<sup>13</sup></li> </ul> <p>Much of our work in this area is unpublished, however, and is instead used internally by our clients, or adapted for external publication. Examples include:</p> <ul style="list-style-type: none"> <li>■ ICF for Prostate Cancer UK (2014-15) Tools and guidance for monitoring and evaluating PCUK's transformation programme</li> <li>■ ICF for Age UK (2014-15) Toolkit and practical tools to track performance with the implementation of its service redesign/transformation activity</li> <li>■ ICF for the Skills Funding Agency (2017) Develop an Excel-based toolkit to measure the Rol of apprenticeships</li> </ul>

<sup>11</sup> <http://www.cedefop.europa.eu/en/toolkits/vet-toolkit-tackling-early-leaving/evaluate>

<sup>12</sup> <https://www.gov.uk/government/publications/breakfast-clubs-in-high-deprivation-schools>

<sup>13</sup> <https://publications.europa.eu/en/publication-detail/-/publication/64e86bcc-23cd-11e6-86d0-01aa75ed71a1/language-en>

Your requirements	Our expertise and capability	Example(s) of our work
<p>Review and assess methodological approaches for assessing impacts and additionality, and for an overall economic evaluation</p> <p>Supply economic analysis tools</p>	<p>ICF has undertaken numerous studies for clients that have involved scoping out how best to evaluate an initiative. This typically involves assessing whether evaluation approaches are feasible, and advising on costs and benefits. Our economic impact evaluations also typically involve scoping out methodologies for measuring the additionality of impacts, and implementing this through various evaluation approaches (quasi-experimental design, RCTs, and more simple before-and-after evaluations). Our analysis typically involves deployment of economic analysis tools, which can include economic impact models, cost-benefit calculators etc.</p>	<p>The evaluation scoping work we prepare for clients, whether as part of proposals we submit or as published scoping reports, is rarely if ever published. Examples include:</p> <ul style="list-style-type: none"> <li>■ ICF for DIT (2017) Scoping study for the evaluation of the Export Voucher Scheme (latterly the Global Growth Pilot), including feasibility of randomised controlled trial</li> <li>■ ICF for Defra (2014-15) Scoping study for the evaluation of the Smarter Guidance Programme, including feasibility of experimental and quasi-experimental design</li> </ul> <p>Examples of studies that have involved assessing impacts and additionality, and in particular economic impacts, have included:</p> <ul style="list-style-type: none"> <li>■ ICF for DWP (ongoing) Evaluation of the Group Work/Jobs II project, using an innovative RCT approach to measure the economic impact, including an economic CBA for the initiative</li> <li>■ ICF for DCMS (ongoing) Evaluation of the Life Chances Fund, including analysis of the economic impacts, taking account of displacement, additionality etc.</li> <li>■ ICF for Skills for Care (ongoing) Assessment of the Economic value of the adult social care sector, including modelling the economic impact of the sector taking account of displacement, substitution etc.</li> <li>■ ICF for BEIS (2016) Study to support regulators with the Business Impact Target, including economic impact assessment of their activities</li> <li>■ ICF for Birmingham City University (2016) HM Treasury Green Book appraisal of the business case for the STEAMHouse project</li> </ul>



# **DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events**

**Response B02 Project Plan**

06 April 2018

## ICF makes big things possible

ICF is a global consulting and technology services provider with more than 5,000 professionals focused on making big things possible for our clients. We are policy specialists, social scientists, business analysts, technologists, researchers, digital strategists and creatives. Since 1969 government and commercial clients have worked with ICF to overcome their toughest challenges on issues that matter profoundly to their success. Our five core service areas are described below. Engage with us at [icf.com](http://icf.com).



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With equal parts experience and dedication, our experts get to the heart of the issue—asking all the right questions from the start. After examining the results and evaluating the impact of research findings, we counsel clients on how to best navigate societal, market, business, communications, and technology challenges.



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We design, develop and manage plans, frameworks, programmes, and tools that are key to each client's mission or business performance. These solutions often stem from our analytics and advice.



### Identify + Implement

Our experts define and put into place the technology systems and business tools that make our clients' enterprises more effective and efficient. We deploy standard or customised methodologies based on the business context.



### Engage

Realising the promise of the digital revolution requires foresight and heightened understanding. Both are baked into the solutions-focused engagement work that runs through all we do.



# DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events

## Response B02 Project Plan

A proposal submitted by [ICF Consulting Services Limited](#)  
in association with

[Value People](#), [LIVE Economics](#), [Avril Blamey & Associates](#) and [The Event Strategist](#)

Date: 06 April 2018

Job Number 30301888



## Document Control

<b>Document Title</b>	DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events
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<b>Prepared by</b>	[REDACTED]
<b>Checked by</b>	[REDACTED]
<b>Date</b>	06 April 2018

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## B02: Project Plan

Our response to this question: i) demonstrates how our Project Plan ensures we will provide deliverables according to schedule; ii) shows how we plan to meet your performance KPIs; and iii) provides a risk register that illustrates how we will mitigate each anticipated risk.

### Project Plan (Part A)

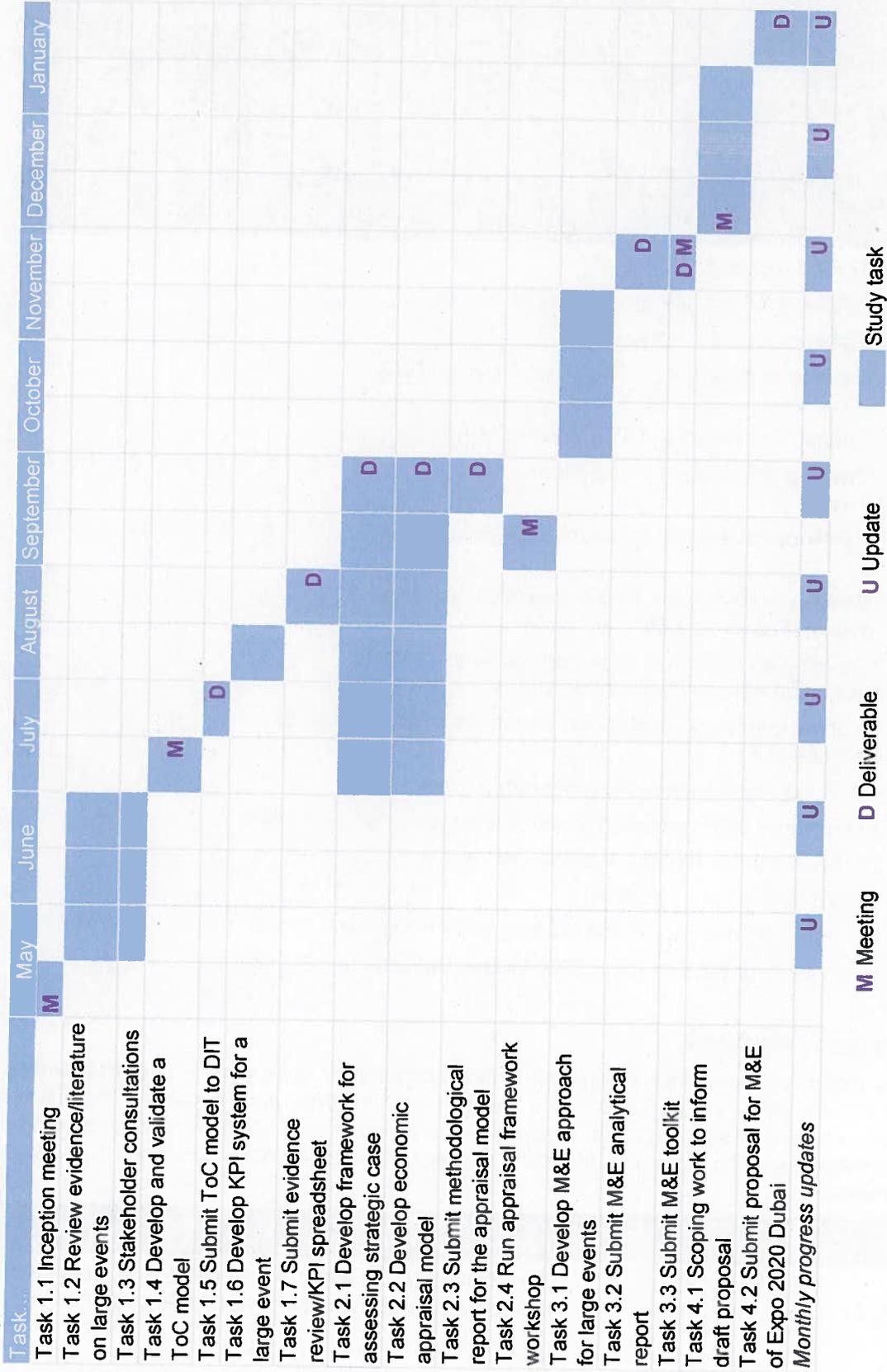
The Project Plan is shown in Figure 1.1 overleaf, which indicates the expected duration of each task in the methodology (see our response to Question B03 for a description of the tasks). The Project Plan also shows the expected date for each meeting and deliverable. In summary, our timetable for the submission of each of the deliverables listed in the ITFC is as follows:

Ref. from ITFC	Deliverable title	Task in our methodology	Month delivered	Invoice #
A	ToC model	Task 1.5	July 2018	1
B	KPI spreadsheet	Task 1.7	August 2018	1
C	Results of evidence review	Task 1.7	August 2018	1
D	Framework for assessing the strategic case for event attendance	Task 2.1	September 2018	-
E	Economic appraisal model	Task 2.2	September 2018	2
F	Economic appraisal model methodology paper	Task 2.3	September 2018	2
H	Monitoring and evaluation toolkit	Task 3.3	November 2018	3
I	Analytical report presenting the monitoring and evaluation toolkit	Task 3.2	November 2018	3
J	Recommendations for calculating ROI on events and method options	Task 3.2	November 2018	3
K	Proposal for monitoring and evaluating Expo 2020 Dubai	Task 4.2	January 2019	4

In addition to these written deliverables, we note that the ITFC stipulates attendance at four meetings (excluding the workshop required under Deliverable G). We have proposed four such meetings in accordance with our proposed methodology, but would of course seek to discuss and agree this schedule with DIT. We suggest the following schedule of meetings:

Ref. from ITFC	Meeting title	Task in our methodology	Month held
-	Inception meeting	Task 1.1	May 2018
-	Workshop to present and review the draft ToC prior to finalisation	Task 1.4	July 2018
G	Workshop to present and explain the appraisal model	Task 2.4	September 2018
-	Meeting to present and review draft M&E toolkit, prior to finalisation	Task 3.4	November 2018
-	Meeting to review evaluation approach and scope Expo 2020 Dubai proposal	Task 4.1	December 2018

Figure 1.1 Project Plan



## Resourcing the Project Plan

The following table indicates the resources (person days) that have been allocated to each of the Tasks shown in the above Project Plan.

	Planned person days						
	James Leather	Andy White	Maria Rotaru	Stefan Sanchez	Avril Blamey	Ulrike Hotopp	Kate Ray
Task 1.1 Kick-off meeting	0.5	1					
Task 1.2 Review evidence/literature on large events		1	8				
Task 1.3 Stakeholder consultations (15)		2	5.5				
Task 1.4 Develop and validate a Theory of Change (ToC) model	1	2.5	1		2	0.5	0.5
Task 1.5 Submit ToC model to DIT (Deliverable A)	1	1			1		
Task 1.6 Develop KPI system for monitoring the ToC model for a large event	1	1	3		0.5	0.5	0.5
Task 1.7 Evidence review/KPI spreadsheet (Deliverables B/C)	2	5	1				
Task 2.1 Develop a framework for assessing the strategic case for events (Deliverable D)		1		7			
Task 2.2 Develop an economic appraisal model to evaluate event participation options (Deliverable E)		1		8			
Task 2.3 Submit methodological report for the appraisal model (Deliverable F)	0.5	1		4			
Task 2.4 Run appraisal framework workshop (Deliverable G)		1		2			
Task 3.1 Develop a M&E approach for large events	4	10	5		0.5	1	1
Task 3.2 M&E analytical report (Deliverables I and J)	3	6	1			1	1
Task 3.3 M&E toolkit (Deliverable H)	2	4	4			1	0.5
Task 4.1 Scoping work to inform the drafting of the proposal	2	5					
Task 4.2 Proposal for M&E of Expo 2020 Dubai (Deliverable K)	2	3	2				0.5

### Meeting (tight) deadlines

ICF has extensive experience of leading similar consultancy assignments characterised by tight deadlines. We have ISO9001:2015 certification covering, among other things, ICF's standard operating procedures with respect to managing projects to time and budget. The below provides specific examples of recent relevant projects we have delivered in line with tight timescales.

Client	Title	Timing challenge
Dutch Ministry of	Economic impact analysis of the	The client required initial results (GVA and jobs) from economic modelling of the direct, indirect and

Client	Title	Timing challenge
Health, Welfare and Sport (VWS)	relocation of the EMA due to Brexit	induced effects of the EMA relocating away from the UK within 3 weeks of project kick-off.
Ofqual	Impact assessment of A-level reforms	The client required initial (quantified and, where feasible, monetise) estimates of costs and benefits of a set of A-level reforms within 10 weeks of project kick-off.

### How we will meet the contract performance KPIs (Part B)

The ITFC issued by DIT lists four KPIs that will be used to assess our delivery performance. The following table indicates how we have planned to meet these requirements. ICF is used to working on contracts with performance based KPIs linked to payment.

KPI #	KPI detail	Our plan for ensuring compliance
1	Monthly progress reports submitted according to schedule  Itemised invoices linked to reports	Our suggested approach to progress reporting is set out in our answer to Question B04, which includes an example of a potential format for progress reporting. Progress reporting will take place at least monthly (potentially more frequently during busy study periods), and will be the responsibility of the Project Manager, Andy White, using agreed protocols. Invoices will be submitted according to the Project Plan, once deliverables have been signed off by DIT. All invoices will be clearly labelled and explicitly linked to named deliverables.
2	Delivery according to budget, evidenced via monthly financial progress reports	Progress reporting will also include an update on resource usage against project tasks. ICF uses a range of project monitoring tools (see our answer to Question B01 for more detail on our project management tools) to ensure that Project Managers have real-time sight of resource expenditure. These tools allow the team to track actual time spent on each study task, and thus the financial resources consumed. We will agree with DIT the level of detail required to meet this KPI.
3	Study tasks and deliverables completed according to the agreed project plan	The Project Plan is set out in above. This plan indicates the expected sequencing of tasks and sub-tasks, which enables the Project Manager to track delivery, ensure adherence to the Project Plan, and ensure that deliverables are submitted on time. We have built in contingency into project planning and are confident that the milestones will be achieved. Any early signs of slippage will be raised with DIT and mitigation strategies will be put in place (e.g. bringing in additional staff if the study is encountering pinch points in resourcing).
4	Work must be accurate and analytically robust	Our QA procedures are set out in our response to Question B03. ICF prides itself in the quality and accuracy of the work that we carry out. Data collection and analysis follows tried-and-tested methodologies and is supported by a programme of staff training and internal how-to handbooks. All work is first subject to an in-depth review by the Project Manager to ensure that it is methodologically sound and accurate. Then, the Project Director will also review all analysis and written content to ensure that it is robust and accurate, and contains no typographical errors. Peer review by recognised thematic experts forms a third tier of QA.

KPI #	KPI detail	Our plan for ensuring compliance
		We include in our team experts in ToC models, evaluation design, appraisal and the delivery of events. All relevant deliverables will be subject to review by these individuals prior to submission.
New	Outputs, in particular the M&E toolkit, must be user-friendly	We will use other toolkits and guidance notes as a template, and design everything with a layperson in mind, rather than a specialist evaluator. Guidance notes, glossaries etc. will provide supporting information. The toolkit will be tested within ICF by someone not involved with the study prior to submission to DIT. Comments from DIT will be incorporated into a revised version.

**Risk register (Part C)**

The following table sets out potential risks and the contingencies proposed to mitigate and manage them. We will maintain a risk register throughout the study, which will be included in the monthly progress reporting to DIT.

Potential risk	Likelihood & severity	Risk mitigation
<b>Stage 1: Understanding the Environment</b>		
Lack of common understanding between ICF and DIT of project aims	Low / high	Task 1.1 Inception Meeting will be used to discuss and agree the study purpose and objectives, to build a common understanding at the outset of the study about your expectations and how they will be met.
Evidence review fails to provide useful evidence to inform rest of the study (Task 1.2)	Low / medium	What works elsewhere is a key input into the development of our recommended appraisal, monitoring and evaluation approach/toolkit. We are already familiar with much of the key literature. Additional material will be identified and systematically reviewed using a robust and standardised approach to literature/evidence review that we have deployed on numerous studies. We can also draw on our own practical experience of appraisal using the Five Case Model, and the development of monitoring and evaluation frameworks.
Lack of participation by stakeholders (Task 1.3)	Medium / medium	We have identified a longlist of potential stakeholders, most of whom are external to DIT. Being clear of the purpose of the interview and its importance to DIT is a core part of interviewee recruitment. A separate 'accreditation' email from DIT might be of assistance. Our experience is that email and telephone contact, including reminders, is required to secure interviewee participation. Use of a longlist means we can substitute in the event that interviewees decline to participate.
A robust ToC model cannot be developed and agreed (Task 1.4)	Low / high	We already have a working draft prepared for this report. Our proposed approach is robust (in-depth review of supporting evidence) and collaborative (workshop with DIT to review and improve the model). We have brought in a specialist in logic modelling (Avril Blamey) who has performed this role in several other government studies.

Potential risk	Likelihood & severity	Risk mitigation
		to ensure that the model is robust and that there is agreement with DIT about its key design features.
System of monitoring KPIs is impractical and does not meet DIT's needs (Task 1.6)	Low / high	We have already presented some ideas for KPIs, based on the working draft ToC included in our response to Question B03. These will be refined based on the inputs from the evidence review, which will consider the practicality of the proposed KPIs. An events export, Kate Ray, will review the proposed set of monitoring KPIs to ensure that they are feasible within the context of a large event.

**Stage 2: Develop an appraisal framework**

Unable to create a workable appraisal tool due to difficulties in measuring all costs/benefits (Task 2.2)	Medium / medium	Team includes Stefan Sanchez who has years of experience of quantifying and monetising potentially difficult costs/benefits. If quantification/monetisation is not feasible, then robust and evidence-based qualitative measures can be used instead as an input into the appraisal toolkit.
Appraisal toolkit is not analytically robust (Task 2.2)	Low / high	The toolkit, and the cost/benefit variables that will be included within it, will be developed on the basis of the ToC, ensuring analytical robustness, and validated via comparison with other business cases developed by Stefan Sanchez. The DIT workshop on the appraisal toolkit will provide an opportunity to road test the toolkit for usefulness and robustness prior to finalisation.

**Stage 3: Develop a monitoring and evaluation approach and framework**

Proposed evaluation approach cannot be agreed (Task 3.1)	Low / high	As our response to Question B03 indicates, there are a multitude of possible evaluation approaches. The selection of a proposed evaluation approach for large events will be informed by factors such as: the quality of evidence required by DIT; the evaluation budget DIT has available; the quality/depth of evidence that DIT needs; and the feasibility of methods (e.g. in reality can we implement a randomised controlled trial?). We will work with DIT to ensure our proposed evaluation approach meets the department's expectations in all of these aspects.
Proposed evaluation approach does not align with wider DIT evaluation approach/tools (Task 3.1)	Low / high	ICF is already familiar with DIT's wider work on monitoring and evaluation, and we are delivering two evaluation studies for DIT at present, so are aware of departmental expectations. Our timetable includes time to review the outputs of DIT's wider review (from April 2018 onwards), and we will accommodate this into our proposed evaluation approach to ensure alignment.

Potential risk	Likelihood & severity	Risk mitigation
M&E toolkit is not sufficiently practical, reducing its usefulness to DIT (Task 3.3)	Low / high	We will discuss DIT's expectations, including the processes that the department will follow to implement the monitoring/evaluation approach. This will ensure that we know the level of detail that is needed, how much explanation is required etc. We propose a meeting with DIT to present and discuss the M&E toolkit, ideally attended by staff who will use the toolkit, to gather feedback and make improvements as needed.
<b>Stage 4: Draft a proposal for the monitoring and evaluation of Expo 2020 Dubai</b>		
Proposal for evaluation does not meet DIT's expectations	Low / medium	We propose a scoping exercise at the outset of this task to ensure that the proposal is designed in line with DIT's expectations. This includes ensuring that we are clear on what DIT requires from an evaluation of Expo 2020 Dubai, how an evaluation can be 'baked in' to DIT's plans for the Expo, and ensuring that our proposed approach is in line with the budget available.
<b>General</b>		
Approach creates slippage risks in timetable	Low / high	We are used to delivering consultancy projects of this nature in short timescales. We have designed a robust method which can be delivered to the timetable. We have undertaken preparatory work in the course of this proposal to save time during the study. Progress reporting will be used to identify and bring to DIT's attention any emerging issues that might affect delivery against the timetable.
Loss of key staff	Low / medium	All proposed arrangements will be agreed with DIT prior to implementation. If the Project Manager is unable to work on the study, we suggest that the Project Director will stand in to perform the role. If the Project Director is unavailable, then a senior manager from ICF will stand in. ICF has a large pool of consultants, from whom an individual could be brought in to replace other absent member(s) of the study team.
Overreliance by ICF on external experts creates risks of slippage in timescales	Low / medium	We hold considerable in-house knowledge but these experts constitute an efficient approach for delivering the appraisal model (which requires specialist skills) and ensuring that the ToC model is analytically robust. ICF delivers dozens of comparable studies every year involving external experts, and so is used to working collaboratively with external individuals and organisations. Subcontracts ensure a contractual basis for delivery, and the Project Manager from ICF will work closely with subcontractors to ensure that issues are identified in advance and slippage is averted.



# **DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events**

**Response B03 Methodology**

06 April 2018

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# **DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events**

## **Response B03 Methodology**

A proposal submitted by **ICF Consulting Services Limited**  
in association with

**Value People, LIVE Economics, Avril Blamey & Associates and The Event Strategist**

Date: 06 April 2018

Job Number 30301888



## Document Control

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## B03: Methodology

Our response to this question: i) provides a task-by-task description of our methodology for meeting your requirements, including a justification of choices made (please note that risks are considered in our response to Question B02); ii) indicates how our approach is innovative; and iii) explains the QA processes that we will follow in the preparation of deliverables.

### Meeting your requirements and justification for the approach (Parts A and B)

This is a complex and multifaceted assignment, involving a sequence of interrelated research activities. We first develop and agree with DIT a Theory of Change (ToC) model that articulates the reasoning underpinning DIT's support for large events, and is backed up by a KPI framework for tracking the model's implementation. The ToC forms the basis for the remaining tasks. We develop a practical and analytically robust appraisal framework that DIT can use to select which events to target to achieve the best return on investment (Stage 2). Stage 3 then uses the ToC to develop a monitoring and evaluation framework for DIT to deploy across its portfolio of large events. Finally, during Stage 4 we will deploy the monitoring and evaluation framework as part of a proposal for the evaluation of Expo 2020 Dubai. The rest of this section we provide a task-by-task description of how we will meet your requirements.

#### Stage 1: Understanding the Environment

**Task 1.1 Inception meeting:** At the inception meeting we will discuss the terms of reference, agree the scope of the work, obtain key DIT contacts and documentation, and confirm management arrangements (e.g. progress reporting arrangements). At this meeting we would seek clarification on key definitional aspects of the study, including: how is a 'large event' defined, which forthcoming events does DIT consider large events etc.?

**Task 1.2 Review evidence/literature on large events:** We will review the main literature on appraising, monitoring and evaluating events. We will agree the scope of this review with DIT - Should we restrict this to literature on large events? Should we focus on trade-related events (or broaden this to include innovation and technology events, arts/cultural events etc.)? We are particularly interested in evidence pertaining to the economic impacts of public sector support to events. The ICF team will first carry out a stock-take of relevant material, which will be identified via internet searches of material published or commissioned by governments (UK and elsewhere), as well as academic literature on the subject. There is a body of literature on the topic that we are already familiar with from past work. Examples include:

Topic	Exemplar literature
Appraisal of events	MFAT New Zealand Participation at Expo 2020 in Dubai Business Case and Cabinet Paper <sup>1</sup>
Monitoring frameworks for events	UKTI (2013) An assessment of the impact and cost-effectiveness of UKTI's support for Events <sup>2</sup>
Evaluating the performance / impact of events	Canadian Heritage (2012) Evaluation of Canada's Participation in the 2010 World Exposition in Shanghai, China <sup>3</sup> Canadian Heritage (2007) Summative Evaluation of Canada's Participation in the 2005 Aichi, Japan World Exposition <sup>4</sup>

<sup>1</sup> Available at <https://www.mfat.govt.nz/en/countries-and-regions/middle-east/dubai/>

<sup>2</sup> Available at <https://www.gov.uk/government/publications/evaluation-of-the-impact-and-cost-effectiveness-of-uktis-support-for-events>

<sup>3</sup> Available at [http://publications.gc.ca/collections/collection\\_2013/pc-ch/CH7-13-2012-eng.pdf](http://publications.gc.ca/collections/collection_2013/pc-ch/CH7-13-2012-eng.pdf)

<sup>4</sup> Available at [http://publications.gc.ca/collections/collection\\_2016/pch/CH7-39-2007-eng.pdf](http://publications.gc.ca/collections/collection_2016/pch/CH7-39-2007-eng.pdf)

Topic	Exemplar literature
	European Commission (2012) Evaluation of the EU Participation in World Expo Milano 2015 <sup>5</sup> BIS (2013) Developing a monitoring and evaluation framework for the IFB: lessons for local evaluators/partners <sup>6</sup>

Once we have identified the material we need to include in the review, the ICF team will then access and review material to extract the required information. Evidence will be systematically logged in an analytical framework, which will capture detail on:

- *Appraisal systems*: What models have been used? What assumptions underpin these models? What selection criteria/thresholds are used?
- *Monitoring frameworks*: What indicators are used? What methodology for data collection and reporting is proposed? What are the strengths and weaknesses of the indicators?
- *Evaluation frameworks*: What approaches/methods have been used to evaluate events? What are the strengths and weaknesses of these approaches/methods?

The results of the review will be submitted as a deliverable (Task 1.5 below), and will also inform the development of a monitoring and evaluation framework for large events (Stage 3).

**Task 1.3 Stakeholder consultations:** We will undertake a programme of stakeholder consultations to gather evidence about what approaches are used within DIT and within other organisations to appraise, monitor and evaluate events. Where in London these interviews can be carried out face-to-face; in other cases telephone interviews will be used instead. We will also request that interviewees send through any relevant documentary material in advance (e.g. their evaluation frameworks), as this will enable us to familiarise ourselves with the specific context. These interviews will provide an opportunity to discuss the following – non-exhaustive – list of issues:

- How they design programmes of events, governance of event programmes, how they select/appraise which event to support (the precise method used), the form that support takes (funding, other), lessons learned/what works in event appraisal.
- How they monitor events against objectives, what KPIs are used to track performance, how data are collected and from whom (e.g. feedback forms), how monitoring data are analysed and how the results are used, lessons learned for monitoring events.
- How they evaluate the events they support, how they select which events to evaluate, evaluation timescales (how much time elapsed, longitudinal tracking of impacts), evaluation budgets, evaluation approaches/methods, evaluation delivery models, maximising added value (incorporating lessons learned into future events).

Interviews will need to challenge interviewees to some extent, to ensure that we understand both what works, and what has not worked and has led to learning. We have budgeted for up to 15 completed interviews. A list of the organisations and individuals who will be interviewed will be agreed with DIT. Examples might include:

Organisation	Exemplar departments/organisations
DIT	<ul style="list-style-type: none"> <li>■ DIT Business Events/Live Marketing</li> <li>■ Marketing Campaigns</li> <li>■ Insight &amp; Evaluation</li> </ul>

<sup>5</sup> Available at [http://europa.eu/expo2015/sites/default/files/files/Evaluation%20of%20the%20EU%20Participation%20in%20World%20Expo%20Milano%202015%20-%20Final%20Report\(1\).pdf](http://europa.eu/expo2015/sites/default/files/files/Evaluation%20of%20the%20EU%20Participation%20in%20World%20Expo%20Milano%202015%20-%20Final%20Report(1).pdf)

<sup>6</sup> Available at [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/307734/bis-14-720-developing-monitoring-and-evaluation-framework-for-the-ifb.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/307734/bis-14-720-developing-monitoring-and-evaluation-framework-for-the-ifb.pdf)

Organisation	Exemplar departments/organisations
Other UK government departments and NDPBs	<ul style="list-style-type: none"> <li>■ Cabinet Office / Government Communication Service (GCS)</li> <li>■ Foreign and Commonwealth Office / British Council</li> <li>■ VisitBritain</li> <li>■ BEIS (e.g. sector teams)</li> </ul>
Other trade promotion agencies & overseas government departments responsible for supporting large events	<ul style="list-style-type: none"> <li>■ Department of Foreign Affairs and Trade (Australia)</li> <li>■ State Department (United States)</li> <li>■ Department of Canadian Heritage (Canada)</li> <li>■ Ministry of Foreign Affairs and Trade (New Zealand)</li> <li>■ Ministry for the Economy and Finance (France)</li> <li>■ Federal Ministry for Economic Affairs and Energy (Germany)</li> </ul>
Private sector organisations	<ul style="list-style-type: none"> <li>■ CBI, FSB, business groups</li> <li>■ Sector bodies (e.g. EEF) depending on events programme, and possibly leading businesses who attend events</li> <li>■ Bray Leino and other DIT events providers</li> </ul>

**Task 1.4 Develop and validate a Theory of Change (ToC) model:** Informed by the evidence collected during Tasks 1.2 and 1.3 and also logic modelling assignments we have carried out for clients including DIT and BEIS, we will develop a draft ToC model for DIT support to large events. This model will be compliant with cross-government standards (e.g. as set out in the Magenta Book and the GCS Evaluation Framework, which uses a slightly different model). It will also be aligned with DIT's own logic modelling (e.g. consistent with the logic model developed during the review of PIMS) and with DIT's Monitoring and Evaluation Framework.

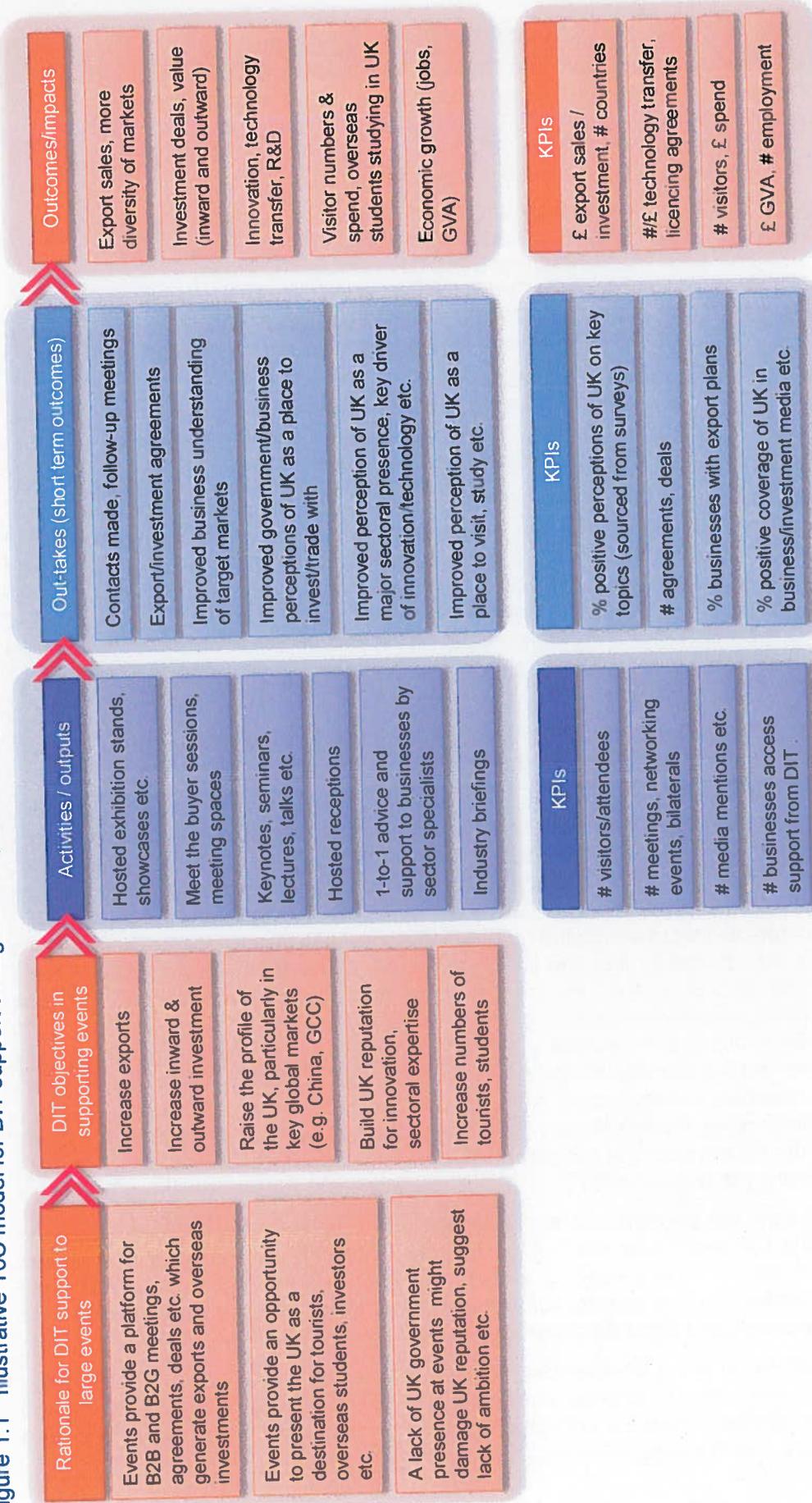
Figure 1.1 provides an illustrative ToC model, based on our existing knowledge of DIT's products and services, and the evidence base on the impacts of events. This ToC will be refined as the study progresses. The ToC that we will develop will:

- Articulate the linkages between DIT support for large events and the expected results. These linkages should spell out the rationale for DIT support, what DIT spends and directly achieves (activities, outputs), and the results that follow (out-takes, outcomes, impacts).
- Set out KPIs that can be used to monitor and evaluate whether the expected activities and results have been achieved (see also Task 1.6).
- List the assumptions that underpin the model – what needs to happen for the mechanisms set out in the logic model to 'fire' and for the expected results to be realised? This should include consideration of external factors that influence the success of events (e.g. global economic trends, international events, political issues etc.).
- Anticipate where unexpected results may occur. By their nature these are unknown *ex ante*, but based on the existing literature we should be able to identify where they might be expected to materialise (unexpected 'soft power' impacts are likely to be important).
- Identify the timescales over which we might expect outcomes and impacts to be achieved, and start to identify the potential geography of results (e.g. do benefits tend to concentrate in the host country of large events)?

The draft ToC model will be reviewed and validated at a one-day workshop held at DIT in London. From the ICF team side, this will be attended by the Project Director and Project Manager, as well as our logic modelling expert Avril Blamey, who has run and facilitated multiple similar workshops and events. ICF will work closely with Avril Blamey to design the format of the workshop, and circulate materials in advance to aid discussion.

The workshop will focus on: i) whether our conceptualisation of the rationale for supporting large events is correct; and ii) whether our articulation of the ToC for DIT support to large events is correct. We will prepare a note of the workshop which will be provided to DIT as a record of the event and the lessons learned.

Figure 1.1 Illustrative ToC model for DIT support to large events, with exemplar KPIs



**Task 1.5 Submit ToC model to DIT (Deliverable A):** This task corresponds to Deliverable A in the ITFC and will provide DIT with a ToC model for supporting large events. Comments received from DIT will be incorporated into a revised ToC model, which will be finalised by July 2018. This finalised ToC model will input into the remainder of the study, in particular Stage 3 where we will develop a monitoring and evaluation framework for large events, which will use the ToC model as the theoretical basis for its design.

**Task 1.6 Develop KPI system for monitoring the ToC model for a large event:** Using the finalised ToC model we will develop a KPI system that can be used to establish a baseline and track progress in the delivery of the ToC for an event. As set out in HM Treasury's Magenta Book, monitoring data provide early evidence of whether an intervention is on track and, when placed in the context of a ToC, whether the project outcomes/impacts are likely to be achieved. We will build on these based on the results of Tasks 1.2 and 1.3 (e.g. good practice in KPI design from comparable programmes). The KPI framework will be developed on the following basis:

- KPIs will be SMART (Specific, Measurable, Achievable, Relevant, Time-Bound), and will have a clear and explicit link with the underpinning ToC model;
- A mixture of quantitative and qualitative KPIs will be developed – whilst quantitative indicators are preferred, qualitative measures of performance can provide greater depth;
- Each KPI will include a note indicating the data source and collection methodology. Provided this can be aligned with data privacy/protection requirements, we will look to use 'real-time' monitoring KPIs (e.g. social media monitoring). We will estimate the costs associated with data collection;
- KPIs will have a clear timescale for collection and analysis, indicating at what point in time a baseline is collected, and the frequency with which this is updated. For example, this might take account of the fact that there may be a lag between a business participating in an event, signing a deal, and starting to export, meaning follow-up research after the event is needed (alternatively, business databases can be used to track change over time).

Initial ideas for KPIs were included in Figure 1.1; these will be revisited and refined during this task to ensure that we capture every expected output, outcome and impact of DIT's support to large events.

**Task 1.7 Submit evidence review and KPI spreadsheet (Deliverables B/C):** The results of the review of evidence/literature and stakeholder consultations will be synthesised into a concise report that sets out the evidence of best practice in appraising, monitoring and evaluating public support to large events. This report will be supported by a KPI framework in Microsoft Excel (Task 1.6). Comments received from DIT will be incorporated into a revised version of the report and KPI spreadsheet.

## **Stage 2: Develop an appraisal framework**

As indicated in our response to Questions B01 and B04, we include in our team Stefan Sanchez from Value People, a specialist in business cases and appraisal models. Stefan will lead the delivery of Stage 2, with ICF providing oversight and QA. An internal briefing session prior to the start of Stage 2 will ensure that Stefan is up-to-speed on the results of Stage 1, and how they will input into his work during Stage 2.

**Task 2.1 Develop a framework for assessing the strategic case for events (Deliverable D):** The framework to assess the strategic case will be based on the principles of investment appraisal set out in the new Green Book and Better Business Case guidance. The purpose of the strategic case is twofold, to determine the:

- **Strategic drivers** – to ensure alignment of the proposed investment with strategic drivers (political and policy); and

- **Case for change** – to provide a high-level understanding of the potential value of the proposed investment.

There will be a range of relevant **strategic drivers** for UK representation at events (some higher priority than others). Many of these will be common to all events and it should be possible to create a simple assessment rating system of 'strategic fit' for a proposal, which depends on its prominence, delegate attendees, potential to influence, etc. Liaison with DIT and other relevant departments along with desk research should identify the key strategic drivers to include and their importance to HM government.

The **case for change** consists of three key elements: spending objectives ('where we want to get to'); existing arrangements ('where we are now'); and business needs (the resultant 'problems with the status quo and potential opportunities'). A simple template can be created, with guidance for officials to discuss, agree and document SMART spending objectives, the existing arrangements (where these are relevant, such as existing relationships/activities in country) and the business needs which should major on the main benefits of investment. This should provide a means to clearly identify the opportunities with the greatest benefit and strongest strategic fit. At this stage of the business case development, this would be a qualitative/discretionary process to identify high potential value proposals for further development. It should also enable more complex planning of an investment 'portfolio' balancing strategic (longer-term) investments with tactical (shorter-term) investments, both of which are important.

**Task 2.2 Develop an economic appraisal model to evaluate event participation options (Deliverable E):** Any economic appraisal should consist of two phases:

- **Qualitative assessment** – create a longlist of options to then shortlist the most important options; and
- **Quantitative assessment** – assess shortlisted options to estimate value (NPV/BCR).

A **qualitative assessment** would be based on the Options Framework (as set out in the new HM Treasury Green Book) to examine the following key dimensions of choice: scope (the 'what' in terms of service coverage); service solution (the 'how' in terms of technical/practical delivery choices); service delivery (the 'who' could deliver the services); implementation (the 'when' services could be delivered); and funding (the choices to fund for the required services).

A simple template can be created with standardised choices for each of these dimensions, which can be combined to create a short-list of options. Templates and guidance for this have already been developed by Stefan Sanchez at Value People and can be easily adapted for DIT use for this purpose. This approach will enable DIT officials to clearly describe a realistic shortlist of options to progress to the quantitative assessment.

The quantitative assessment involves developing a cost model in Excel to clearly set out the potential quantifiable benefits of each option (e.g. increased business won by UK companies, GVA added, or inward investment), profile the delivery of benefits and discount them at prevailing HM Treasury rates (currently 3.5 per year) to present them in today's prices (or an agreed baseline year). The same approach is applied to costs and risks.

A simplified deterministic Excel model can be used for this purpose, again, based on standard option choices and including a menu of related costs to simplify model completion, with some high-level assumptions about risk values. Alternatively, a probabilistic model could be developed, replacing single value estimate with range estimates for uncertain inputs (e.g. cost ranges or resultant benefits). This approach is preferable, as the value estimation output provides more information on which to base decision making, such as confidence intervals (e.g. 'we are 90% confident the NPV will be between x and y') or identifying the probability of a negative NPV, which might be quite high for wide distributions where there is a lot of uncertainty – and might be disguised in a simple deterministic Excel model. Creating a

probabilistic model is often practically less complex than a deterministic model as it neatly builds in risk and optimism bias assessment; however, it does require users to have access to Monte Carlo analysis software (such as @risk, which is available as an Excel plug-in).

**Task 2.3 Submit methodological report for the appraisal model (Deliverable F):** Full guidance on the logic of the cost model approach will be provided, along with instructions on its use. The cost model will detail any cost or benefit assumptions for clarity and identify areas of significant uncertainty. The degree of automation of the cost model (e.g. fixed options and costs for various elements) will limit its flexibility. This may be suitable for low-level investments (e.g. <£1m), but for larger investments may require a more bespoke approach. A more flexible version of the cost model can be provided for this, although it may require additional expertise to complete it.

**Task 2.4 Run appraisal framework workshop (Deliverable G):** An appraisal framework workshop will be held at DIT to test the strategic and economic case templates that we have developed with key DIT officials. We expect to engage some of these stakeholders throughout development of these materials to ensure they are delivering DIT's requirements throughout the commission rather than simply checking acceptance at the end. The development of the strategic and economic case templates will be iterative, and a process of continuous improvement. This workshop will offer a final opportunity to revise/amend the materials, answer any questions, 'road test' the templates, and ultimately sign them off for use.

**Stage 3: Develop a monitoring and evaluation approach and framework**

This stage of the research will scope out approaches for monitoring and evaluating DIT's support for large events. On the basis of this work we will develop a practical monitoring and evaluation framework that DIT can deploy for future events. The agreed approach will also form the basis for the proposal for the evaluation of Expo 2020 Dubai (Stage 4).

**Task 3.1 Develop a monitoring and evaluation approach for large events:** During this task, we will develop approaches for the following: i) **monitoring** a large event once it is in progress; and ii) **evaluating** a large event once it has finished, to assess impacts and value for money.

**Scoping an approach to monitoring a large event once it is in progress**

The starting point for this task is the KPI system that was developed and agreed as part of Task 1.6. This will specify the monitoring indicators that should be collected, and will position these within the ToC for support to large events. This task will thus involve operationalising the KPI system in a monitoring framework that sets out for each event that DIT supports. The monitoring framework will consist of an Excel-based spreadsheet containing the following information. For illustrative purposes we have populated this monitoring framework for three exemplar KPIs. The approach to data collection (and its frequency) will need to be carefully considered. Existing methodologies, such as the Point of Delivery (PoD) questionnaires, often encounter issues including the reluctance of businesses to: i) reveal potentially commercially sensitive information to a stranger; ii) engage with anything they perceive as a 'tick box' exercise rather than something that genuinely adds value to the service they receive. These challenges will need to be accounted for and addressed in the suggested approach.

Monitoring indicator	Indicator type	Data collection method	Frequency of collection	Analysis
1-to-1 meetings held by businesses	Output	Registration / reporting at event, observation by evaluator, follow-up online survey of businesses	At event, then regular follow-ups (possibly 3/6/9/12 months after event, as	Number and profile of interactions (e.g. B2B, B2G)

Monitoring indicator	Indicator type	Data collection method	Frequency of collection	Analysis
		Follow-up 1-2-1 debrief after meeting	meetings take time to occur)	
% positive perceptions of UK as place to invest	Outcome	Survey of event participants (as part of registration or via online survey shortly afterwards); post-event online survey	Baseline (at registration, as entering event); immediately after event	Track change in perceptions, potentially present as +/- balance
£ export orders, sales	Impact	Post-event online survey, tracking HMRC data Follow-up 1-2-1 debrief after meeting	After 6 months, 1 year, beyond?	Value of sales, profile of sales (countries exported to)
Etc.				

### Scoping an approach to evaluating a large event once it has finished

The ITFC issued by DIT calls for the development of an approach to impact and economic evaluation of large events. HM Treasury's Magenta Book draws the following distinction:

- **Impact evaluation:** measuring what difference an intervention made;
- **Economic evaluation:** whether the costs are outweighed by the benefits.

There are a wide range of approaches to **impact evaluation**<sup>7</sup>. At the heart of each approach is the method to determine the counterfactual – what would have happened in the absence of public sector intervention. For example, if DIT did not provide support to an event, would any of the outcomes and impacts listed in the ToC in Figure 1.1 happen anyway? Understanding the counterfactual enables us to ascertain the extent to which the observed outcomes and impacts can be attributed to DIT (i.e. are they additional?). Low levels of additionality suggest that public funds have been used sub-optimally, and have financed what would have happened anyway, when they could have been spent more productively.

During this task, ICF will scope out potential approaches to an impact evaluation of DIT's support to large events, and on the basis of this will develop a recommended approach and toolkit for impact evaluation. We note the impact question set out in Appendix C of the ITFC:

*'Whether, and to what extent, events support has increased certain economic activities (for example exporting, inward investment, tourism, overseas students).'*

This task will involve the development of an approach to answering that question, and the specific sub-questions also listed in Appendix C. It is our understanding that DIT's current approach to assessing the impact of events involves two methods: i) the Performance Impact Monitoring System (PIMS), which involves a survey of a sample of recipients of support (e.g. event attendees) and collects self-reported impact data; and ii) Point of Delivery (PoD) questionnaires, which collect more limited data on satisfaction and export plans. Neither of these approaches considers the counterfactual.

The following table summarises approaches to impact evaluation, and discusses how they might be applied to DIT support for events. This will be refined and developed by the ICF team during this task, on the basis of the finalised ToC and in discussion with DIT.

<sup>7</sup> [https://www.bond.org.uk/data/files/Impact\\_Evaluation\\_Guide\\_0515.pdf](https://www.bond.org.uk/data/files/Impact_Evaluation_Guide_0515.pdf)

We note that DIT's ITFC calls for an evaluation approach that is more robust than a simple before-and-after outcome evaluation. Realistically, achieving this will probably require some form of innovative quasi-experimental design, and the challenge will be in creating a robust comparison group and conducting cost-effective research with this group (though it would not be necessary to create a comparison group matched to each DIT-funded event).

Evaluation approach	Evaluation types	How might this might work when evaluating the impact of DIT support to large events?
Theory-based evaluation	Realist evaluation, contribution analysis, process tracing etc.	<p><b>Approach:</b> The starting point is always the ToC model. Theory-based approaches involved testing whether each link (mechanism) in the model has come to pass, and the contribution of the intervention (events) relative to other factors. Realist approaches focus on the context which dictates whether these mechanisms 'fire', and is helpful in determining whether impacts might be replicable in different circumstances (e.g. does DIT's support work equally well for all sector specific events?). Contribution analysis is similar and focusses on assessing the 'performance story' to determine whether the case for attribution to the intervention in question is defensible. Similarly, process tracing uses probability tests to assess the strength of evidence for causal relationships.</p> <p><b>Methods:</b> Qualitative research methods are favoured due to the richness of explanation that they provide. This would involve a large interview programme with event participants, and perhaps observation of an event by the evaluator.</p>
Empirical impact evaluation	<p>Before-and-after evaluation</p> <p>Quasi-experimental design</p>	<p><b>Approach:</b> This is the simplest impact evaluation method, involving research with event beneficiaries (e.g. businesses) before they participated in a DIT-backed event, and at one or more points afterwards. This is the basis for the PIMS approach. The counterfactual is self-reported: businesses are asked what would have happened in the absence of DIT's investment. This is the least robust impact evaluation approach, and suffers from issues with accuracy of recall and optimism bias (over-attribution to the support received).</p> <p><b>Methods:</b> Data would be collected from event participants via surveys, feedback questionnaires etc.</p> <p><b>Approach:</b> This would involve a construction of a comparison group which would then be compared with beneficiaries of DIT's support to large events. We then compare change over time for these two groups (e.g. using Difference in Differences analysis). The challenge is in constructing a suitable comparison group. For example, if we consider businesses that attend an event, we would need to create a matching sample of businesses that are similar in profile, but which did not attend a DIT-backed event. This might consist of businesses that:</p> <ul style="list-style-type: none"> <li>■ Have not attended a DIT event (perhaps drawn from DIT's own database of business assists, and matched using criteria such as size, export propensity etc. to provide a suitable comparison group).</li> </ul>

Evaluation approach	Evaluation types	How might this might work when evaluating the impact of DIT support to large events?
	Experimental design (RCT)	<ul style="list-style-type: none"> <li>■ Have attended a major sectoral event that was not supported by DIT (e.g. one that was appraised and rejected as not suitable for DIT backing).</li> </ul> <p><b>Methods:</b> Whichever approach to comparison group design is selected, the evaluation methodology would involve surveys of businesses to measure their export journey. Analysis of business databases (e.g. IDBR) would not be suitable as a way of tracking export performance (e.g. due to the time lag involved).</p> <p><b>Approach:</b> An RCT would involve providing support to some businesses, whilst denying treatment to others. Allocation to one of the two groups would be random. The key challenge is the practicality of implementation (would it be feasible/desirable to refuse to allow some businesses to participate in an event?). In practice an RCT is unlikely to be a viable evaluation approach.</p> <p><b>Methods:</b> As above, surveys of the treated and non-treated.</p>

**Economic evaluation** is linked to but distinct from impact evaluation. The HM Treasury Magenta Book distinguishes between cost-effectiveness analysis (which typically measures expenditure per unit of output/result) and cost-benefit analysis (which looks at costs incurred (not just financial expenditure) per unit of impact. Economic evaluation is typically quantitative, but not always, as some costs/impacts cannot be monetised and must instead be assessed qualitatively. The results of the economic evaluation scoping work will be used to inform an ROI 'calculator' that DIT can use to measure the ROI of its support to large events.

Our approach to scoping the methodology for an economic evaluation of an event will consider:

- **Costs:** first and foremost this consists of DIT expenditure at an event, and may be disaggregated by type of expenditure where possible (e.g. stand costs, staff time etc.). There may be other non-DIT costs that need to be included in the calculation (e.g. time commitments by attendees, non-reimbursable travel costs by attendees).
- **Outputs:** a cost-effectiveness assessment will consider costs per achieved output. Output measures will be defined in the ToC, and might include the number of event attendees (or visitors to DIT-sponsored elements of the event), media mentions etc.
- **Impacts:** we will analyse each of the key impact indicators identified in the agreed ToC for DIT support to large events, and work out whether they be monetised, and if so on what basis. For example, we might apply the average value of a new export win – e.g. the annual income from exports – to the number of new export sales generated by an event to calculate the value of the export benefits generated by DIT's investment. The 'soft power' impacts of DIT's support to events will be much harder to monetise and the feasibility of such methods will be investigated. We might consider the value of additional tourist visits (using the average expenditure per visit etc.), though reputational impacts (e.g. impact on global perceptions of the UK) may be impossible to monetise in this way.

The output of this scoping exercise will be a recommended approach for DIT to use for the economic evaluation of its support to large events. This approach will be supported by a ROI calculator (likely to be Excel-based) with accompanying guidance on the methodology for data collection, inputs into the calculator, and how to interpret and use the results.

**Task 3.2 Submit monitoring and evaluation analytical report (Deliverables I and J):** This report will synthesise the results of Task 3.1 with the outcomes of Stages 1 and 2 of the study. This analytical report will provide DIT with a review of the various options for a monitoring and evaluation framework of its support to large events. The strengths and weaknesses of each

option will be discussed, and on the basis of this we will set out our recommended approach for DIT to use in the future. This report will include the ROI calculator for large events.

**Task 3.3 Submit a monitoring and evaluation toolkit (Deliverable H):** The results of Tasks 3.1 and 3.2 will be synthesised into a practical toolkit for use by DIT. We will discuss and agree the format of this toolkit with DIT. **The monitoring toolkit** that we will develop will include:

- A step-by-step guide to using the monitoring framework;
- Data collection instruments, such as event feedback proformas, survey questions etc.;
- Analytical spreadsheets and dashboards that present the results of the monitoring in an accessible format (e.g. using RAG ratings of event performance against expectations).

**Evaluation toolkits** by their nature tend to be less formulaic, since evaluations are typically tailored to the specific intervention. For example, a one-size-fits-all approach to evaluating DIT's support to large events is unlikely to be appropriate, given the diversity of the size and scope of events and their expected outcomes and impacts. The toolkit will align with HM Treasury's Magenta Book step-by-step instructions for evaluation, and will include:

- A ToC that can be tailored to capture event-specific outcomes/impacts;
- An outcomes/impacts framework, listing the KPIs that should be tracked against the ToC;
- Evaluation questions that should be considered;
- An outline evaluation approach, and a menu of data collection and analytical tools that can be deployed (e.g. question banks for use in surveys);
- A template for reporting the results of the evaluation.

We will discuss with DIT the format of the toolkit. It could be a Word/Excel based file, or alternatively we can build this as a simple online instrument.

Upon completion of this task we suggest a **meeting with DIT** to present and discuss the content of the monitoring and evaluation analytical report and toolkit. Ideally this might be attended by staff from DIT who will be responsible for implementing the toolkit, to gather feedback as to its practicality and clarity. Comments received from DIT will be incorporated into a revised version of the analytical report and toolkit.

#### **Stage 4: Draft a proposal for the monitoring and evaluation of Expo 2020 Dubai**

Expo 2020 will be located in Dubai, the first time that a World Expo has been hosted in the Middle East. It will run from October 2020 till April 2021. The 440 hectare site is expected to host participations from over 180 countries, together with multilateral organisations, businesses and other entities. Taking advantage of the UAE's role as a global transport hub, Dubai bills itself as the most inclusive World Expo yet, projecting over 25 million visitors of whom at least 75% will come from outside of the UAE.

World Expos are infrequent (held every five years) and different in scale and scope than sector-specific events. As well as providing opportunities for B2B and B2G meetings, deals, technology showcases and commercial activities, they are an opportunity for countries to project themselves upon the global stage and an exercise in soft power. Assessing Expo 2020 Dubai will thus require a specially tailored version of the monitoring and evaluation framework developed in preceding tasks. During this stage the ICF team will scope out an evaluation of Expo 2020 Dubai. We note that DIT will subsequently decide whether to award this assignment to ICF on the basis of the quality of this proposal. If this is awarded to ICF, a contract extension will be put in place to cover this work.

**Task 4.1 Scoping work to inform the drafting of the proposal:** Before drafting a proposal we suggest a **meeting with DIT** to discuss and understand specific requirements for the monitoring and evaluation of Expo 2020 Dubai. This would include a review of: the required output and the evidence that DIT wishes to access in order to determine whether the investment in the event has paid off; the desired timetable, ensuring there is sufficient lead-in

time to put in place the necessary systems to collect and analyse data; and DIT's budget for the assignment.

Once we have a clear understanding of DIT's expectations, we will then take the monitoring and evaluation framework that was developed as part of Stage 3 and apply it to Expo 2020 Dubai. Key evaluation design considerations specific to this event will include:

- Tailoring the generic 'events' ToC to the specific features of an Expo, which does not have a sector-focus (though there is a theme), is not targeted at businesses and exports *per se* (unlike a global sectoral event), and where a lot of the impacts are likely to focus on soft power outcomes, perceptions of the UK, reputation etc.
- Assessing additionality, if the Expo acts as a public forum for an outcome that would have happened anyway (e.g. a symbolic signing of a trade agreement).
- The practicalities of data collection, including the fieldwork costs associated with evaluating an event that runs for several months, in Dubai.

**Task 4.2 Submit proposal for the monitoring and evaluation of Expo 2020 Dubai (Deliverable K):** We will write up the results of the scoping work carried out under previous tasks in the form of a concise proposal to DIT for the monitoring and evaluation of Expo 2020 Dubai. This proposal will include the following sections:

- A detailed methodology, presenting a task-by-task description of how we would deliver the assignment, including the gathering of monitoring data and reporting to DIT, and the method for evaluation.
- A timetable for the assignment, indicated when research will be carried out and when deliverables will be provided to DIT. This timetable will be structured around DIT's internal timetable for Expo 2020 Dubai to ensure that the study contributes to decision-making and any reviews of how DIT's support for the event has performed.
- A profile of the research team who will carry out the work and their credentials, and information about management arrangements.
- A resource plan and budget for the assignment, broken down into the component tasks.

### Approaches to innovation (Part C)

Our proposed approach to this assignment includes the following innovations:

- *Innovative evaluation approach:* As the ITFC indicates, fresh thinking is needed as regards the best approach to evaluating DIT's support to large events. PIMS-style self-reported impacts are increasingly hard to justify given the level of scrutiny of public expenditure, and the focus on exports/inward investment will miss some of the more complex but important impacts of large events (e.g. reputation/perception of UK, innovation/R&D standing, attraction of tourists and students). The scoping work to develop a new evaluation approach for DIT will need to be informed by innovations in evaluation design. This might include some of the more innovative approaches to treatment/comparison group design, or mixed methods approaches drawing on developments in theory-based evaluation (where approaches including realist evaluation, contribution analysis, process tracing etc. have attracted increasing attention within policy evaluation circles).
- *Innovative data collection methods:* Traditional data collection methods (e.g. CATI surveys of event participants) can be expensive, and there is innovation in this area that will need to be reflected in our proposed evaluation approach. This might include greater use of online data collection tools – for example data collected about event participants via online registration, app technology to record business interactions etc.
- *Innovative deliverables:* We see greater appetite amongst our clients for more innovative ways of reporting study results. There might be scope for this assignment to utilise web-based reporting, particularly for outputs such as the monitoring and evaluation toolkit. Toolkits that we have developed for other clients have been hosted online, and can be linked to data collection instruments (e.g. online survey instruments).

### Quality assurance of analysis and deliverables (Part D)

This contract will be run under ICF's ISO9001:2008-compliant quality management system, to a project-specific quality plan. Key elements of our approach include: developing close working relationships with DIT; well-defined roles for project coordination and management, including quality assurance / quality check, edit and proof read of all deliverables; and maintain a risk register to capture and monitor all potential risks and allow for timely mitigation measures.

Quality assurance in this specific assignment is supported through the following aspects of a tailored quality management system. We deploy senior and expert personnel with directly relevant experience. We have assigned senior personnel to oversee key aspects of the work programme. This will ensure that a high level of expertise is reflected in the deliverables. We appoint a member of our project management team with responsibility for quality assurance and control. Our technical experts (Avril Blamey, Stefan Sanchez, Ulrike Hotopp and Kate Ray) will provide an additional source of quality assurance, and will be responsible for reviewing key technical outputs, including the ToC model and the monitoring and evaluation framework.

We will seek a clear direction from the contract commencement. Quality assurance efforts begin at project initiation. We will seek clear direction on expectations, deliverables, appropriate content and format. We will document guidance received from DIT. To ensure mutual understanding and avoid misinterpretations, we will document all key directions and guidance provided by DIT and submit the documentation to DIT for review on request.

We will deploy our comprehensive project management systems. ICF has a full suite of project management systems, including electronic timesheets and weekly project cost reports. Each project is subject to a monthly risk assessment, the results of which are reviewed by senior management to identify where additional support or action is needed. These systems will support the timely/accurate management of the project to the highest standard.

The Project Director, James Leather, will have ultimate responsibility for overall quality assurance / quality control for this assignment. James will have final review and oversight of all inputs/deliverables to ensure reporting quality. He has performed a similar role on many past assignments. We understand the need for project deliverables to be clear, accessible, well written and accurate. Members of our team have many years of experience in drafting reports for Government departments, UK regulators, consumer bodies and a variety of other clients.



# **DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events**

**Response B04 Personnel**

06 April 2018

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Realising the promise of the digital revolution requires foresight and heightened understanding. Both are baked into the solutions-focused engagement work that runs through all we do.



# DN324664 Provision of Services to Develop and Appraisal, Monitoring and Evaluation Framework for Large Events

Response B04 Personnel

A proposal submitted by [ICF Consulting Services Limited](#)  
in association with

[Value People](#), [LIVE Economics](#), [Avril Blamey & Associates](#) and [The Event Strategist](#)

Date: 06 April 2018

Job Number 30301888



## Document Control

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## B04: Personnel

Our response to this question: i) introduces the key personnel who will deliver the study, and evidences their suitability; and ii) describes our coordination and management processes that will ensure the project is delivered to the required standard.

### Key personnel and their suitability (Parts A and B)

DIT will benefit from the expert team that ICF has assembled to meet the particular needs of this assignment, consisting of best-in-class appraisal, monitoring and evaluation expertise. In recognition of the importance of this study for the future of DIT's evaluation approach, and the need to deliver robust, rigorous and independent evaluation findings that stand-up to scrutiny and are consistent with HMT Green and Magenta Books, we have built an outstanding evaluation design team that combines ICF in-house expertise with inputs from trusted associates who are recognised leaders in their fields. In particular, we bring:

- A **best practice approach in impact evaluation design**, based on ICF's extensive and practical experience of delivering evaluations to cross-government standards such as the Green and Magenta Books, and drawing on [REDACTED] expertise in impact evaluation design gained from a long career both within and outside of government.
- **Experience of using economic analysis and economic tools** as part of a monitoring and evaluation framework to measure ROI, based on ICF's experience of economic impact analysis (the project team is based in ICF's Economics Practice), and again drawing on the expertise of [REDACTED] formerly Chief Economist at Defra.
- In-depth **understanding of appraisal approaches derived from the Five Case Model**, drawing on [REDACTED]'s cross-government experience of supporting Business Cases.
- A robust **grounding in the use of theories of change models** to inform monitoring and evaluation design, based on [REDACTED] experience of embedding theory-based approaches within government evaluations.
- Knowledge of **DIT's strategic priorities and delivery model**, drawing on ICF's ongoing experience evaluating two DIT programmes (studies managed by [REDACTED] and [REDACTED] respectively), and [REDACTED] experience of having worked within DIT on event management.

The following figure provides an organogram of the study team. A description of the experience and qualifications of each team member is provided below, together with a summary of their responsibilities on the study.



