Information redacted under FOI Act, S40 Personal Information and S43 Commercial Information".

APPENDIX D - CALL OFF AGREEMENT FORM



CALL OFF AGREEMENT FORM

This Form is to be used by the Client when requesting that work be undertaken within the terms of the Call Off Contract. The Parties agree that each completed and approved Form will form part of and be interpreted in accordance with the terms and conditions of that Call Off Contract.

Project Title: Work Package 29 – Value of FHRS Research (ABC)	Reference:	FS107010
	Date:	21/12/2021
Client – Project Representative:	Tel:	
	E-mail:	
Supplier – Project Representative:	Tel:	
	E-mail:	
Project Start Date:	21/12/2021	
Project Completion Date:	31/03/2021	

<u>Background</u>

The objective of the Achieving Business Compliance (ABC) programme is to ensure that the regulatory system keeps pace with changes in the food system. This is through designing a responsive regulatory approach that makes the best use of technology, data, relationships and innovative methods, to ensure that food is safe for consumers. The programme also places an emphasis on working with businesses, local authorities and other partners to achieve this aim. Some elements of the programme will

be looking to define and introduce new regulatory approaches, and we wish to understand how consumers may view these changes in regulatory approach, to shape both our policy making and engagement activities. In addition, these new regulatory approaches are likely to mean that the current Food Hygiene Rating Scheme (FHRS) may need to be evolved and amended so that it continues to incentivise businesses to achieve and maintain hygiene standards and provides consumers with meaningful and reliable information to make informed choices, whilst also not acting as a barrier to new regulatory approaches that may be introduced through the ABC Programme.

FHRS is the rating scheme used in England, Wales and Northern Ireland to provide consumers with information on a business' hygiene standards, and runs on a 0-5 scale. The rating is a snapshot of food hygiene standards found at the time of inspection, and covers food handling, storage and preparation, the cleanliness of facilities, and how food safety is managed. Ratings are given to a range of places where food is supplied, sold or consumed, including restaurants, supermarkets and schools. There are two groups of businesses exempt from FHRS ratings; businesses that are low risk to public health (e.g. newsagents selling pre-wrapped goods), and businesses offering caring services at home. The scheme is run in partnership with local authorities, who inspect businesses according to food hygiene law.

The display of a business' FHRS rating at the food business premises is required by law in Wales and Northern Ireland and the legislation also places a statutory duty on Local Authorities (LAs). However, display of the FHRS rating is voluntary in England.

This research aims to produce evidence to inform this programme of work, in an area where there is limited existing FSA evidence. A recent in-house ABC evidence review¹ (July 2021) identified that there is not enough evidence on how different stakeholders (Local Authorities, small businesses, medium businesses, large businesses, and consumers) perceive value in the FHRS. In addition, this research aims to provide an understanding of how consumers would feel about the new regulatory approaches that ABC may introduce.

Objectives

¹ The evidence that was identified by this review is linked in the annex

This research has two overarching research objectives:

Research Objective 1: To assess the value of the FHRS scheme, according to different groups who use it or are affected by it. The three stakeholder groups for this research package are consumers, businesses (which can be further split into small, medium and large, as they are likely to have different views) and local authorities.

Research Objective 2: To assess consumer views of possible areas of change in regulatory approach.

The scope of the research is England, Wales and Northern Ireland.

Consumers and FHRS (research objective 1)

The first group of stakeholders is consumers. Currently there is no known FSA evidence focusing specifically on consumer attitudes towards the *value* of the current FHRS scheme, therefore this aspect of the project seeks to explore this.

Key research questions:

- 1. How do consumers understand and use the FHRS scheme
 - a. What do consumers think the FHRS scheme is? What areas of food regulation do they think that the FHRS covers?
 - b. What aspects of FHRS do consumers find valuable/the most useful (e.g. Regular inspections, the use of the rating sticker, the ability to check ratings online)?
 - c. What aspects of the FHRS scheme would consumers expect as a bare minimum?
 - d. As any business providing food to consumers should have an FHRS rating, what do consumers think when they do not see an FHRS rating at a business? (This research question is more important in the English context where FHRS display is voluntary)
 - e. What are consumer attitudes towards the mandatory display of a business' FHRS rating?

- 2. What types of businesses do consumers value being in the FHRS scheme? Which businesses do consumers expect to have a FHRS rating?
- 3. Proportionality and fairness of the current FHRS scheme
 - a. What are consumers' assumptions in terms of the frequency of inspection, and how often scores are refreshed?
 - b. What do consumers understand by the term 'awaiting inspection'? Does this influence their decision to interact with a business?
 - c. Which factors do consumers think should be taken into consideration when determining the frequency of inspection (according to risk)?
 - d. Do consumers think that it is appropriate that all regulated businesses are assessed in a similar manner?
 - e. If not, are there business types that consumers believe should be assessed differently?
 - f. Do consumers care *how* scores are awarded to a business e.g. through a physical inspection, through a remote assessment, through a business' own data, or through an independent audit (3rd party data)?

Consumers and potential regulatory changes (research objective 2)

This area of research also focusses on consumers, however instead the aim is to explore appetite for potential regulatory changes in the future. (Note: some of these terms/topics are potentially specialist, which highlights the importance of upskilling consumers in the first phase of data collection):

This area of research has the following research questions:

- 1. What are consumer attitudes toward the potential use of an independent audit (3rd party data) for assurance?
- 2. How would consumers respond to changes to method of inspection (e.g. remote assessment, assessing new businesses according to a model)?
- 3. What are consumer attitudes towards the removal of some lower risk businesses from the inspection regime /
- 4. How would consumers feel about reduced inspection for inherently high risk businesses (e.g. butchers), but who have a consistently good track record of compliance?
- 5. How would consumers feel about a change to the frequency of inspections?
- 6. What are consumer attitudes towards assurance schemes (businesses who are part of a recognised assurance scheme have reduced inspections)? Could this be extended or would being a member of a non-FSA scheme be enough? Would consumers need reassurance to accept the introduction of new schemes?

7. Supermarkets and other large or multi-site businesses assessed as a whole business, rather than as individual stores (note: some inspection for verification would still take place). Would consumers accept this? If not, why not, and what would make consumers less worried?

Businesses and FHRS (research objective 1)

The second group of stakeholders are business who are subject to FHRS. As above the findings need to be split into small, medium and large businesses (as views are likely to differ). We suggest asking open questions but have some prompts to hand with an emphasis on information gathering, as opposed to discussing changes. The key research questions relating to businesses are:

- 1. What do businesses value about the FHRS process (e.g. individual inspections, as a process of performance review of induvial unit managers (likely to apply to Large medium businesses only), for drawing in custom, as leverage with insurers, other)?
- 2. Is there variance according to business:
 - a. Size (Large multi-site businesses: Do they value the free audit? Do they use it for internal unit management? Do they use it for insurance purposes?)
 - b. Type
 - c. FHRS rating
 - d. Location (by country)
- 3. How do businesses view the frequency of FHRS assessment, in general terms?
 - a. Different businesses have different inspection frequencies how do businesses also view their 'personal' inspection frequency?
 - b. How would businesses feel about reduced inspection for inherently high risk food businesses (e.g. butchers), who have a good track record of compliance?
- 4. Wales only: Business to business regulation do businesses use the FHRS scheme to assess other businesses that they are working with?

- 5. How do businesses view the mandatory display of FHRS rating? (Only ask one question as this is being researched in a different project)
- 6. Do businesses view the current scheme as fair?
- 7. What improvements would businesses suggest to the scheme? (NOTE: address follow-up questions with a disclaimer that changes aren't guaranteed)

Local Authorities (LAs) and FHRS (research objective 1)

The third and final group of stakeholders are local authorities. There is limited FSA evidence on how local authorities perceive the value in FHRS, although there is available evidence on potential issues with the FHRS scheme, according to LAs.

Key research questions:

- 1. What aspects of the FHRS scheme do LAs find valuable (e.g. individual inspections, centrally-organised nature of scheme; the ability to provide the stickers; capacity to enforce, attracting tourism to local area; the ability to attract local media attention when they take action on a 0-rated business)??
- 2. What types of businesses do LAs value being in the FHRS scheme?
- 3. Burden of re-assessment at the request of the business: is this an issue? Do LAs feel that certain businesses reapply for re-assessment more than others? Is this more prevalent in Wales and Northern Ireland than England (due to difference in mandatory display of FHRS rating)?
- 4. Voluntary vs. mandatory display of FHRS rating What are the perceived benefits and drawbacks of each approach according to LAs?
- 5. Are there any aspects of the scheme that could be improved? (NOTE: address follow-up questions with a disclaimer that changes aren't quaranteed)
 - a. Previous evidence (2014) indicates a lack of consistency across different local authorities, is this still an issue?

6. How would local authorities feel about reduced inspection for inherently high risk FBOs (e.g. butchers) who have a consistently good track record of compliance?

Outputs from this research will inform decisions on the reforms we propose to the current regulatory system, as well as to act as future evidence in this area.

This research is important as it fills a gap in current evidence relating to stakeholder attitudes towards FHRS.

This work aligns with the strategic priorities of the ABC Program. In terms of wider FSA research priorities, this research comes under 'innovation in food regulation'.

Methodology

The proposed methodology is split according to stakeholder group. We suggest that the workshops and interviews will be conducted virtually, with recording taking place.

Consumers – Consumers to be sampled from England, Wales and Northern Ireland. We propose a method of deliberative workshops to provide an in-depth understanding of consumer perceptions of the value in the FHRS scheme, and potential new regulatory approaches. This will occur in two phases. The first phase will aim to establish current consumer attitudes towards the perceived values of the FHRS scheme, and view of regulatory approaches. This will involve exploring topics such as the types of businesses regulated, the frequency with which businesses are inspected, and who carries out the regulation. The second phase will explore consumer attitudes towards potential regulatory changes (e.g., through posing questions asking, 'How would you feel if...?').

We suggest sampling participants by country, with a minimum of two groups per country. Please could you outline your suggested sample size (number of groups and group size) to achieve the research aims and given the available budget and resources. Sampling participants who have different levels of knowledge about the FHRS scheme, as well as participants who use FHRS ratings more or less frequently will be

important to assess the full range of consumer opinions. This is particularly important given the difference in FHRS display regulation between NI and Wales, where it is mandatory, and England, where it isn't. Please indicate in your response how you would suggest tailoring the approach to different levels of awareness and usage accordingly.

Businesses – In-depth interviews (one-on-one or potentially paired) with a variety of businesses. We propose interviewing the individual responsible for food safety within the business as the most appropriate individual. The sample of businesses should ideally be representative of size, (to include micro, small, medium and large²), current FHRS rating, business type (supermarket, restaurant etc.), and time since last inspected (e.g. businesses with a very recent FHRS rating and businesses with a FHRS rating that is a few years old). Businesses should also be sampled from England, Wales and Northern Ireland. The findings should then be differentiated according to these factors. This section of the research will establish different businesses' attitudes towards current FHRS regulation.

We suggest a sample size of a minimum 20 businesses per country. In your response, please can you outline your proposed approach to engaging businesses to achieve a representative sample (of the above criteria). In order to assist with sampling, by the end of January, we should be able to re-contact micro and small businesses through our FBO (food business operator) tracker (Annual tracking survey of small and micro FBOs across England, Wales and Northern Ireland). We may also be able to access large businesses through contacts developed by the ABC team. We acknowledge the difficulty in sampling businesses with FHRS ratings of 0-2, and would also like to hear your proposed approach to this potential challenge. We suggest taking steps to reassure such businesses that their data will be treated anonymously and that there will not be repercussions for the business as a result of taking part. If this proves to be an issue, this should be addressed in future meetings.

Local Authorities –This group of stakeholders should be sampled from England, Wales and Northern Ireland. This group of stakeholders will discuss the value of the FHRS scheme through using either deliberative workshops, or through individual interviews. Please outline in your response which method would be appropriate given the available resources, as well as to achieve the stated aims of research. As the participants should already be informed about the FHRS scheme, there should be no need to upskill. Sample sizes will depend on the most

² Micro <10, small 10-49, medium 50-249, large >250 according to OECD definitions

appropriate method – we suggest following similar numbers to consumers depending on method.

We suggest three country-specific access points for sampling LAs. In England, we suggest sampling through the LA FHRS User Group. In Wales, there is an FHRS Steering group, and we have an identified FHRS contact within each LA. In Northern Ireland, we may be able to assist with sampling, but would like to hear your approach to this as well. Please also outline in your response your approach to achieving a representative sample of LAs, e.g. through also sampling separated to these groups. We would also be interested in gathering a range of opinions from different individuals within the local authority, e.g. through managers as well as inspecting officers.

Ethical and reputational concerns

Dissemination of the findings of this research should be conducted in a clear and accessible way. There should be transparency around both the findings as well as the research methods used.

All data to be treated in line with GSR ethical principles. All participants (consumers, businesses and LAs) to be guaranteed anonymity. Businesses' FHRS rating will be treated confidentially (and not allow for the identification of the business).

Informed and specific consent should be sought from all participants, including from participants who have been sampled from existing research projects. As we would like the interviews and workshops to be recorded to facilitate the analysis of transcripts, this will also need to be conveyed to participants at the point of consent.

As the research will place a burden on participants, it may be appropriate to use incentives for consumers and potentially for businesses. Please outline in your response your proposed approach to incentivisation.

This work should not pre-suppose any changes to FHRS regulation in a way that would lead consumers, business operators or local authorities to believe that any discussed changes are inevitable.

Research process

Ipsos to generate the topic guides for the workshops and interviews. The FSA social sciences team and policy stakeholders will review and provide comments ahead of the research commencing.

Pilots to be timetabled in as the initial stages of data collection. We suggest running the first workshops and interviews as proposed, and then taking on board any issues to make changes for future groups.

Data collection to be recorded (with appropriate informed consent).

Analysis and review

Please detail in your response the proposed approach to the analysis of this data qualitatively.

<u>Outputs</u> – (NB. all outputs must be in line with FSA brand guidelines and meet FSA accessibility requirements)

The findings should be presented in a written report, suitable for publication and presentation to internal and external stakeholders. The report should have a one-page summary, an executive summary, and a section detailing the project findings, with methodology and fieldwork materials in the annex. We would also like findings to be presented in a presentation, to be delivered jointly by Ipsos and the social science team, to the ABC project team (and other stakeholders).

Prior to the delivery of the final report and presentation, we would like regular updates on emerging findings where appropriate.

The FSA will review all outputs, suggesting alterations and amendments, before final versions are approved for sign-off. Project timescales should be appropriate to account for this review process.

All outputs should be anonymised before being shared with the FSA.

How will the outputs of this research be disseminated for effective/maximum impact?

Comms division in England, Wales and Northern Ireland will be using this information to inform their stakeholder strategy with regards to the ABC programme.

Ipsos and social science owner to jointly present research to ABC team, when final outputs are available. Ipsos to generate this presentation (as stated above).

Timescale milestones

Please find below a draft timetable for the project. Please outline in your response the appropriateness of the various milestones, and how Christmas leave may affect any stages. This timetable will be discussed in the kick-off meeting.

Project Phase	Deliverable	Due date
Project initiation	FSA submit work package template to Ipsos Mori	19 th November 2021
	Response expected from Ipsos Mori to work package template	29 th November 2021
	Final sign-off of work package template	30 th November 2021
	Initial meeting with project team	6 th December 2021

	Topic guide/questionnaires to FSA for review	By start of January 2022	
Fieldwork	Participant Recruitment	January 2022	
	Workshops and interviews	January 2022	
Report	Analysis and Report Writing	February 2022	
Completion	Draft final outputs to FSA for review	28th February 2022 (this date is final)	
	FSA return draft outputs to lpsos with comments	7 th March 2022	
	Final outputs to FSA	21st March 2022 (this date is final)	

Annex

The in-house ABC review of evidence identified the following research, and we have added some other references of potential use (divided by stakeholder group):

1. Consumers

- a. Consumer trust levels in food and businesses (<u>Trust in a Changing world</u>; <u>Food and You 2</u>; <u>Understanding Northern Ireland consumer needs</u>)
- b. Limited evidence into who consumers believe should pay for regulation (<u>Adapting the FHRS for a modernised regulatory system</u> (<u>food.gov.uk</u>))
- c. Consumer attitudes towards differing levels of regulation for differing levels of compliance (<u>Adapting the FHRS for a modernised</u> regulatory system (food.gov.uk))

- d. Consumer attitudes towards National Inspection Strategies (NIS) and Primary Authorities (PA) (<u>Adapting the FHRS for a modernised</u> regulatory system (food.gov.uk))
- e. How much consumers understand and are interested in the FHRS process (<u>Adapting the FHRS for a modernised regulatory system</u> (<u>food.gov.uk</u>))
- f. How/when consumers use FHRS ratings (<u>Adapting the FHRS for a modernised regulatory system (food.gov.uk)</u>; Food Hygiene Rating <u>Scheme Consumer Attitudes Tracker</u>)
- g. Consumers attitudes and awareness of FHRS scheme (Food Hygiene Rating Scheme – Consumer Attitudes Tracker; Food hygiene rating scheme - biannual consumer attitudes)

2. Business

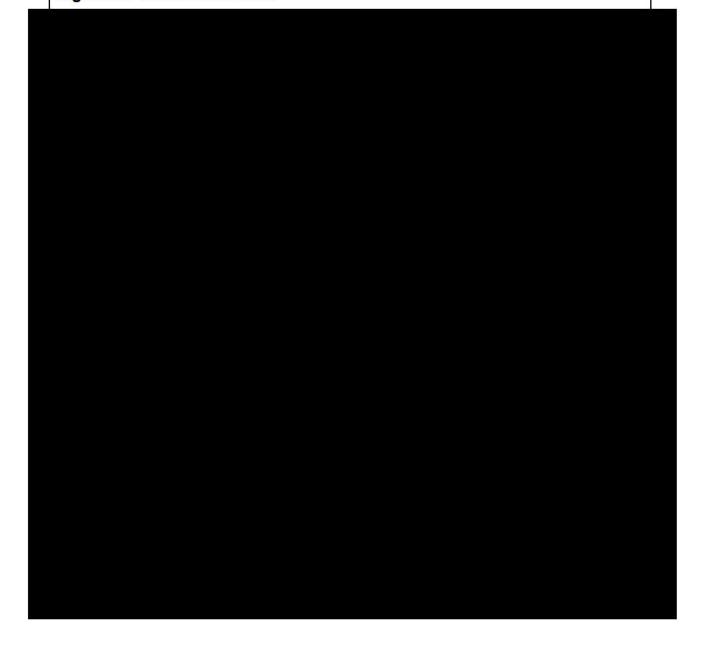
- a. SME and independent FBO attitudes towards the impact of FHRS on their business (<u>FSA 20-12-09</u>)
- FHRS and how this can impact business compliance with hygiene regulations (<u>Process evaluation final report</u>) (however this evidence doesn't explain why)
- c. FHRS display audits (View PDF (food.gov.uk))
- 3. Local Authorities (LAs)
 - Evidence on the practical roll-out of the scheme, and how that has affected LA attitudes (Process evaluation final report)
 - b. Evidence on N.I. (<u>Food Hygiene Rating Scheme: A review for the Department of Health Northern Ireland</u>)

Special Terms:

To include any terms or conditions not covered in the overarching contract or any terms amended for the purposes of this Call Off Agreement

Sub-Contractors	. Further details in Annex A – Suppliers Response
Deliverables:	See Annex A – Suppliers Response
Foreground IPR – Ownership	See Clause 15 – Intellectual Property Rights in overarching Contract
Personal Data (GDPR)	See Annex A – Suppliers Response

Price	See Annex B – Suppliers Financial Template		
Payments & Invoicing	Please submit invoices to for work with FSA.		
	Please include the referring FSA purchase order number in the email title and within the invoice to allow Invoice/Purchase Order matching. Note that invoices that do not include reference to FSA Purchase Order number will be returned unpaid with a request for valid purchase order through email.		
	Further details can be found at Schedule 5 'Invoicing Procedure & No PO/ No Pay' in the Call Off Contract.		
We confirm receipt of this Form seeking approval for the above project to proceed. We agree to provide the goods and/or services requested according to the terms and conditions set out in the Call Off Contract between the FSA and Ipsos MORI			
Signed on behalf of	the FSA:		



Annex A - Suppliers Response

Background to the research

The ABC programme team conducted an in-house review in July 2021 which revealed a lack of evidence on how different stakeholders (consumers, businesses, and Local Authorities) perceive value in the FHRS.

The FSA is commissioning qualitative research to understand how the three stakeholder groups use the FHRS and what they perceive its value to be. A second objective of the research is specific to the consumer group and aims to explore and capture consumer views of potential changes to the FSA's approach to food regulation. The research will be carried out among the three key stakeholder groups across England, Wales and Northern Ireland.

Overall design

Our approach will capture views of the use and perceived value of the FHRS among three stakeholder groups of interest for the ABC team: consumers, businesses and Local Authorities. To achieve this, we will divide the research into three different strands covering each type of stakeholder, with tailored methodologies that allow us to best engage with the target audience groups. The approach also needs to recognise the additional objective for consumers around potential changes in food regulation.

Our suggested approaches are summarised below, before we set out considerations around sampling and fieldwork for each strand.

1. Consumers

To address your research needs, we propose a series of online deliberative workshops with consumers, to understand in detail their views on the FHRS and the extent to which they make use of the FHRS in their daily lives. These would also allow us to provide information to consumers to enable them to consider potential changes to food regulation and FHRS, allowing us to capture consumer priorities.

Considering your objectives for the consumer research strand, we propose the following:

Workshops	Location	Benefits

4 x 4 hr reconvened sessions, with participants attending 2 x 2hr workshops (8 in total)	2 x England 1 x Wales 1 x NI	 More time with participants to develop informed views, including opportunity to reflect between sessions Capturing the views of participants in more depth
·		· ·

Each workshop session will have c.15-18 participants, split across three break-out groups – and therefore more than the equivalent of two discussion groups per nation suggested in your brief.

While online methods allow participants to join the same workshop from anywhere in the UK, we have found that grouping participants by nation or region continues to benefit deliberative workshops. For example, in our recent work for the FSA on gene editing, we found that local participants build rapport with each other quickly, and often have nation or regional influences on their views. As such, we would recommend broad regional splits within England – either for the workshops overall, or for the break-out groups.

2. Businesses

For the business research, we agree that 60 depths with micro, small, medium and large businesses will provide extensive understanding of the value businesses perceive from FHRS. In-depth interviews will allow us to spend time exploring each business's experience, focusing on relevant issues that are most important to them. This will help us to understand how experiences and priorities differ and what FSA can learn from this.

We expect the interviews will take around 30-45 minutes, with the length varying based on the number of topics to be covered. Based on our understanding of the research questions, we do not think it will be necessary to use stimulus in the interviews and so we would recommend conducting these by telephone. Telephone interviews involve fewer

barriers to participation than video calls which should make recruitment and fieldwork easier to complete. However, if you do wish to use stimulus, we would be happy to discuss alternative options with you.

3. Local Authorities

We agree with your suggestion to capture different perspectives within Local Authorities and understand the need to ensure good coverage in each of the nations. As such, we recommend including around 60 Local Authority representatives in total (20 in each nation). It would be helpful to discuss whether you would like to ensure coverage of each of the regions within England, or whether it is sufficient to include different types of Local Authority area (in terms of the regulatory challenges they face around FHRS – e.g. in terms of density and types of food businesses).

There are two possible approaches we have considered for fieldwork. Our preferred option is online workshops, bringing together Local Authority representatives in a small number of sessions with c.6-8 participants at each, likely split by job role (i.e. some sessions with managers, others with inspection officers). This would reflect the work in 2014, although this was done face-to face. We could run three workshops per nation to give some flexibility, with sessions lasting 1.5-2 hours to allow sufficient time for discussion. Alternatively, individual depth interviews would also be a suitable approach, although fieldwork is likely to take slightly longer to achieve similar numbers. As such we have costed for up to nine workshops or 45 interviews with Local Authority representatives.

Your experience of working with relevant stakeholders in Local Authorities is important to the decision about the best approach, which we would like to discuss further. We have provided costs for both workshops and interviews.

Sampling and recruitment

Sampling is an integral component of qualitative research design. The approach used for qualitative sampling affects the usefulness of the data collected, the type of analysis possible and the extent of opportunities to draw wider inference.

Non-probability, purposive sampling is at the core of our approach to qualitative research. The aim is not to achieve a sample that is strictly statistically representative, but rather to ensure that the right range of perspectives and experiences are included. This is relatively straightforward for consumers and Local Authorities but will require further discussion and agreement for businesses.

Below we provide details on our approach to sampling and recruitment for each of the stakeholder groups, before describing our approach to creating materials for the different elements.

Consumer research strand

Sampling

As standard, we would set minimum quotas on key characteristics including gender, age, socio-demographic group, ethnicity, and household type to ensure a broad range of attitudes and backgrounds are reflected. It is also essential to include characteristics that are relevant to the research, as discussed in your brief.

We would therefore suggest including a number of monitoring quotas to build further diversity within the sample, while taking a pragmatic approach to achieving these given the timeframes. For example, we may want to include questions in the recruitment screener allowing us to monitor and ensure a reflective mix of:

- Awareness of the FSA (including ensuring we exclude or limit the number of people working in the food industry –a standard approach taken on previous FSA projects)
- Awareness of the FHRS
- Use of FHRS ratings

During the set-up phase, we will work with you to draft the recruitment questionnaire and agree on any additional quotas. We will recruit 72 participants to achieve a final sample of at least 60 across the four pairs of workshops, which will reconvene about a week after the first session.

Below we have set out a suggested sampling structure per workshop, with total numbers based on minimum quotas included for reference.

Quota	Categori es	Number recruite d pe locatior (18 i total)	r d ı (72 in
Age	18-3031-5051-6465+	 Min 4 Min 4 Min 4 Min 4	 Min 16 Min 16 Min 16 Min 16
Gender	Male Female Other/prefer not to say	Min 8 Min 8 No quota	Min 32 Min 32 No quota
Ethnicity	Ethnic minority groups	reflect the makeup of the region based of the population profile.	e demographics
SEG	• AB, C1 • C2, DE	• Min 8 • Min 8	• Min 32 • Min 32
Awarene ss of the FSA	Aware of FSANot aware of FSA	A good mix broadly reflectin g national surveys	broadly reflectin g national
Awarene ss and use of FHR S	 Not aware of FHRS Aware of FHRS Use FHRS 	A good mix broadly reflectin g national surveys	broadly reflectin g national

tal:	15-18	72
	participa	participa r nts
	nts pe	r nts
	worksho	recruited
	р	in total
		(min 60
		attend)

Recruitment

All recruitment will be managed by our recruitment partner, who we regularly work with, including on FSA projects. We will work with recruiters who rely on their knowledge of the area and local networks to help them find a diverse range of participants from different backgrounds. Recruiters will use a screening questionnaire designed by Ipsos MORI to assess potential participants profiles, to ensure that the sample quotas are met. This questionnaire will also screen out those in occupations that may be over-informed such as those who work in agriculture.

We will offer a "thank you" for each participant to encourage participation and cover any costs incurred of For reconvened workshops payments will be staggered over the life of the project to reduce attrition between the different research activities.

We have learnt that a lack of digital capital and/or confidence need not exclude people. We will support those who need help throughout the workshops, offering to call them to talk through how to access the online workshop or practice joining a workshop. We can also allow someone from within their own household/support bubble to sit with them during workshops to assist with participation. We will keep participants engaged by not exceeding the allocated time for the session and providing plenty of breaks.

Businesses research strand

FSA would like to include a broad range of businesses in the qualitative research, reflecting those included in the FHRS scheme. This would mean including businesses from food-related sectors covering the manufacturing of food and beverage products, wholesale and retail of food and beverage products, accommodation and food service activities.

As described above, the aim of this project is to explore the views of the value of FHRS among food businesses with a range of different characteristics. Our approach to qualitative sampling typically involves symbolical representation of the groups of most interest to the research. This means we would recommend including at least five interviews with any relevant subgroup (although this can be combined across nations). Doing so skews sampling away from what would be 'representative' in a statistical sense.

We have therefore included our suggested draft quotas per nation below (60 interviews in total), based on achieving reasonable numbers with all groups of interest across nations. This draws on the approach taken for the qualitative research with small and micro businesses in 2020 and includes combining some types of low incidence businesses – something we would welcome discussing with you further. More broadly, we recommend using minimum targets where possible as this provides flexibility during recruitment which allows us to focus on key quotas and complete work quickly. Please note, manufacturing and wholesale businesses will be included in Wales only and excluded in England and Northern Ireland (because of how FHRS operates in each nation).

The sample structure will be further refined and agreed with you ahead of beginning recruitment.

Sampling varia bles		'Representa tive' quota based on number of busines ses	Suggeste d quota per natio n
Business size	<10 employ ees	16	Min 8 – combi ned
	10-24 employ ees	3	micro and small
	25-49 employ ees	1	Min 4
	50-249 employ ees	1	Min 4
	250+ employ ees	N/A	Min 4
Business type	Manufacturi ng	1	Min 3 (in Wale
	Wholesale	1	s <u>only</u>)

Retail	4	Min 5
Accommod ation	1	
Food and bevera ge service activitie	13	Min 12

We would recommend including quotas on no more than 2-3 additional characteristics. The relevant businesses in these categories will also count towards the quotas above. We would expect this to include FHRS scores to ensure we achieve a spread, reflecting the overall profile of businesses (something we would like to agree in more detail at the outset of the project). We agree with your brief that those with a low FHRS score (likely 1-3) will be challenging to recruit, and may need a different approach to recruitment, including over-sampling this group (given that they represent a small proportion of businesses), particularly if re-contact sample for micro and small businesses does not include significant numbers in this category. We have extensive experience of conducting research on compliance, and our independence will provide reassurance to businesses.

Recruitment

Businesses will be recruited by telephone, through contact details from different sample sources provided by FSA:

- Recontact sample: re-contacting micro and small businesses who have agreed to further research through the FSA's FBO tracker. We assume this sample will include FHRS score and other business characteristics, allowing us to recruit to quotas and secure participation from those with low FHRS scores in particular.
- **FSA ABC contacts:** for large businesses. We would welcome further discussion with you about what information you can provide on large businesses to assist with sampling.
- Purchased sample: we can purchase targeted sample from commercial lists. This is likely to be important for medium businesses, based on our understanding that these will not be readily available from re-contact sample or via the FSA's existing networks.
- **FHRS**: this would be an alternative source of sample, allowing us to fill any gaps in coverage from other sources. We would select businesses based on agreed criteria and match contact details from commercial lists (including phone number and email address where this is available). However, the match rate is relatively low (c.20%) so we would prefer to use other sample sources as far as possible.

We will work with our preferred business sample provider in order to match contact details and purchase any additional sample,

should this be required. They are an approved Ipsos MORI supplier, and we work with them extensively on business research projects for government departments.

Following sample sourcing and matching, recruitment will be handled by one of our experienced business sample recruiters. They will call businesses by telephone and follow up with emails where contact cannot be made by phone (and email addresses are available). We will develop a short recruitment screener script to ensure that key characteristics are captured, and quotas can be monitored. This screener will also include ensuring we speak to the relevant individual within each organisation.

All recruitment calls will be made during business hours and no more than three calls will be made to a business before it is marked as uncontactable. When speaking to businesses, we will stress the voluntary and anonymous nature of their participation. We will be mindful that circumstances can change very quickly in the current climate and we cannot assume they will be happy to speak with us during the fieldwork period.

Once confirmed, we would set up a date/time to interview the participant and send them a confirmation email and reminder request (24hrs before the interview). Participants are reassured about confidentiality and provided with clear information about the research. They are also offered a named contact in the research team.

We would expect to offer an incentive to participants to thank them for their time and contribution to the study. This should help with recruitment and reduce dropouts, which is important given the tight timeframe. We suggest offering a choice of direct payment or charitable donation of for those participating in a business interview.

Throughout recruitment and fieldwork, we will share regular updates of the number of people approached, interviews booked and conducted. This will allow us to keep you updated on progress, including against our key quotas, and decide if/when we need to go out to more people.

Local Authorities research strand

Sampling

We would develop a sampling approach with you following further discussion of your priorities for this strand. We would expect to set quotas based on Local Authority type, a proxy for how urban/rural the area is, and to achieve a spread across each nation. We would also agree the best approach to ensuring different roles are adequately covered, to ensure a good understanding of different perspectives on the value of FHRS, from both operational and strategic perspectives.

We have a team in Northern Ireland who can assist with Local Authorities. Given the relatively smally numbers we would expect to approach all Local Authorities, looking to secure engagement from more than one representative for each where possible.

Recruitment

The approach for recruiting Local Authority representatives will be via email, with telephone follow-up from our recruitment team only if required. This will invite participants to take part in a workshop or depth interview, and/or to pass on the invitation to others as appropriate. We would not expect to offer an incentive for taking part.

Designing engaging, relevant materials

Consumers

Key to the success of the project will be designing high-quality materials that support participants to take an informed view on the proposals. It will be important to provide digestible materials that give participants the information they need to form views on the different aspects of the regulatory system, regardless of FHRS awareness and usage levels. Stimulus materials will be visual and written in plain English, breaking up information so that participants are exposed to similar concepts in several different ways (visual, auditory, reading, writing, kinaesthetic).

Our approach to deliberative engagement with consumers rests on participants 1) learning through a range of balanced stimulus; 2) being encouraged by highly skilled facilitators to challenge information and deliberate trade-offs (setting out reasons not just opinions);

Workshop sessions support participants to have purposeful discussions, building understanding of necessarily elements of regulations to maximise the potential for discussions. We will combine virtual plenary sessions with small group discussions, so everyone can contribute.

The sessions will cover the following topics:

• The current regulatory approach, including detailed exploration of the types of businesses regulated, the frequency with which businesses are inspected, and who carries out the regulation.

 The proposed regulatory approach, including detailed exploration of the proposed changes to the current regulatory approach

Businesses and Local Authorities

Interviews will be scheduled to last 30–45 minutes, providing sufficient time to explore the areas of interest to the FSA. Any workshops with Local Authorities would be longer to allow for a wide range of contributions, as described above. At the start of the interview or workshop we will provide a summary of the privacy policy and clearly explain how participants' data will be used, the involvement of the FSA team and their ability to end their involvement at any point. We will also provide an opportunity for participants to ask questions and confirm their consent to record the discussion.

The interviews and workshops will be based on discussion guides agreed with you, covering the key issues outlined in your brief, and tailored to each stakeholder group:

- What aspects of the FHRS do they find valuable?
- What variations are there by types of businesses?
- What are their views of assessment?
- What are their views of mandatory vs. voluntary display?
- Are there any aspects of the scheme that could be improved?
- Additional questions tailored to the stakeholder group

We will use the discussion guides flexibly to enable participants to share their views while making sure all the topics are covered over the course of the session. Interviews and workshops will be recorded, and audio files will be securely stored in Ipsos MORI's servers. Notes will also be taken by the research team to ensure insights are captured and can be regularly discussed at analysis sessions.

Analysis and reporting

This project will capture a huge range of data across the three stakeholder groups of interest, including audio recordings of workshop sessions and depth interviews, moderator notes and transcripts.

Our transparent, comprehensive and systematic approach to data management and analysis allows us to synthesise complex and voluminous qualitative data into clear, thematic findings. The approach means that our outputs display richness, clear conceptual links, the full diversity of perspectives and both descriptive and explanatory accounts of the evidence.

We believe the most effective reporting outputs are produced when working collaboratively with clients. As part of our commitment to transparency, we would therefore seek your involvement in the analysis and production of reporting outputs. This could be in the form of:

- attendance at internal analysis sessions for collective discussion on emerging themes and priorities for analysis
- sharing a draft reporting structure for your approval
- meetings to discuss draft reporting outputs to ensure they reflect your needs

We would encourage members of your team to attend joint analysis sessions so we can share ideas on the emerging themes and ensure you have access to key insights ahead of the draft report. Furthermore, at key points during fieldwork, we will include topline findings in the form of bullet pointed summaries to ensure you have early sight of emerging findings and our approach to interim analysis. We would take a collaborative approach to agree the best times during fieldwork to share these interim findings.

All outputs will be anonymised, following a thematic structure and ensuring the content addresses your key research objectives.

Outputs

In addition to regular updates on emerging findings, we will produce the following outputs:

- A full written report, quality assured, meeting the FSA accessibility and publication standards. The report will bring together the findings across the three research strands in a coherent narrative and will include a one-page summary, an executive summary, analysis of the research findings, with methodology and fieldwork materials included in the annex.
- A virtual debrief presentation. We will present the findings jointly with the FSA social science team, to the ABC project team and other stakeholders on an agreed date in advance of sharing the first draft of the written report. The slide deck will be designed to be easily understood and accessible

enough to be re-used by the FSA team for future communication and internal dissemination of the topline findings. The Ipsos MORI approach to presenting research findings is to deliver information with all audiences in mind to maximise engagement and accessibility, but we would welcome a prior discussion about the audience and your objectives for the presentation.

Quality management – please set out you will embed quality management

As with all Ipsos MORI projects for the FSA, quality management and assurance are crucially important. We will work collaboratively with you on the study design, delivery and outputs. Our starting point will be to ensure we have a common understanding of how the study should run. At the inception meeting we will discuss and finalise the finer points of the design, approach to material development, project and risk management arrangements, deliverables and timings. After the meeting, a revised, detailed timetable will be produced which will clearly identify where the FSA's input will be required, and the nature and extent of involvement.

The project director will oversee the work and will be accountable for ensuring the quality of all outputs, and delivery to agreed is an experienced qualitative researcher and project director, with extensive experience of observational, in-depth and deliberative methods for clients including the FSA, HSE and Cabinet Office. He frequently directs largescale, complex qualitative studies including recent work for Ofcom, the BBC and The National Lottery Community Fund. The project manager (act as a single point of contact, to ensure the right level of co-ordination and control across the three project strands. works closely with the Qualitative Social Research Unit and has extensive experience of running qualitative projects, moderating, and conducting in-depth research with a diverse range of audiences. and will work closely with three project executives, who will act as strand leads and who will have clear responsibilities in supporting the day-to-day management of the strands. This includes organising logistics, liaising with recruiters and note-takers, data management as well as contributing to analysis and outputs. We will bring together a team of experienced moderators, who have previous experience of working with the FSA and are familiar with your role and expertise.

As well as the core team, this could include

, and a few others.

We will agree a schedule for regular (at least weekly) contact with the FSA by Microsoft Teams and email throughout the project to provide clear updates on progress, address emerging issues quickly and provide feedback to inform operational needs. We will also be available to discuss any emerging issues, and to join video call meetings at key milestones. You are also welcomed to join the workshops as an observer or as an expert, providing information about the current regulatory approach and talking participants through proposed changes.

Ipsos MORI's complete focus on quality and continuous improvement means we have embedded a 'right first time' approach throughout our organisation. Good research requires exhaustive quality procedures which are put into practice. We work to very strict quality management processes and standards, many of which exceed that required for the industry. These include:

- **ISO 9001:2008**, international general company quality standard with a focus on continual improvement through quality management systems.
- ISO 20252:2006, International market research specific standard that supersedes MRQSA (BS 7911) & incorporates IQCS (Interviewer Quality Control Scheme); it covers the 5 stages of a Market Research project.
- **ISO 27001:2005**, International standard for information security designed to ensure adequate and proportionate security controls are in place.
- MRS Company Partnership.
- Fair Data In order to demonstrate our commitment to ensure personal data is processed fairly, ethically and in compliance with all relevant Data Protection & Privacy laws, including the Data Protection Act, we have signed up to the "Fair Data" accreditation scheme.











We have an integrated quality, compliance and information security management system, our 'Business Excellence System' (BES). Its objectives are:

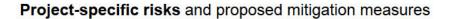
- To provide assurance to Ipsos MORI's clients that we will deliver reliable and robust research findings by, among other measures, meeting the requirements of the international quality standard for market research (ISO 20252).
- To minimise risk to the business by focussing on quality and continuous improvement.

Delivery timescales – Please provide a detailed plan of when you will deliver the specified outcomes

Please detail any assumptions you have made

We have included a draft high level timetable below, reflecting our discussions about the different strands, and particularly the fieldwork period required for the business interviews.

Following further discussion, we will develop a more detailed timetable for each strand, including clarifying when we need input from FSA colleagues to agree approaches, comment on and sign-off materials, and review outputs. The final report will be delivered by w/c 18th April, with timings agreed for the final version based on how quickly you are able to turn around comments.



Every project has associated risks and challenges. The key lies in identifying these at the outset, assessing them, and putting countermeasures and contingencies in place so that the project is not adversely affected. Responsibility for the identification, communication and management of risk rests with the project director. Project risks are considered at two distinct levels:

- 1. The likelihood of different 'risk events' occurring (disregarding our proposed counter-measures).
- 2. The impact of a 'risk event' if it does occur.

The table below identifies some of the key risks associated with this project, and the main mitigation measures. We would look to refine and expand this risk register at the set-up meeting.

Risk	Assessme nt	Mitigation measures	
Impact of Covid-19	Likelihood: <mark>Mediu</mark> m	If team members fall ill, we can draw on a pool of 200	

on internal	Impact:	researchers with the
resourcing	Mediu	necessary skills for
	m	the different elements
		of the project.
		Close links between
		teams enable efficient
		handover and all
		documents are stored
		in an accessible place
		so no loss of
		information.
		Similarly, there is a risk our participants.
		risk our participants
		fall ill, resulting –
		particularly in the case of the business and
		Local Authorities
		strands – in
		cancellations,
		increased scheduling
		time and potential
		delays to fieldwork
		We will keep a close
		eye on scheduling and
		monitor the spread of
		participants against
		the quotas. We will
		share weekly progress
		updates including a
		breakdown of booked
		and completed
		interviews so that we
		can problem solve
		together if
		cancellations arise.
		Where possible, we
		will look to reschedule
		interviews within the
		fieldwork window
LI		

Consumers struggle to respond to complex regulatory structures and associated content	Likelihood: Mediu m Impact: Mediu m	 Ipsos MORI is experienced in breaking down complex issues into stages of development. We will work closely with you to design materials that are easily understood, and digestible in different forms e.g. film, visual, written 	
Participants struggle to stay engaged throughout the process	Likelihood: Low Impact: High	 We will design engaging sessions which speak to different learning styles and we will allow plenty of time for people to express their views We keep our workshop sessions and interviews relatively short including appropriate breaks, to ensure that participants can stay focused during the whole discussion 	
Risk of participant s being upset because of the ongoing difficulty of the	Likelihood: Low Impact: Mediu m	Due to the context of Covid-19, it is possible that participants may become upset by some of the discussions — particularly for	+

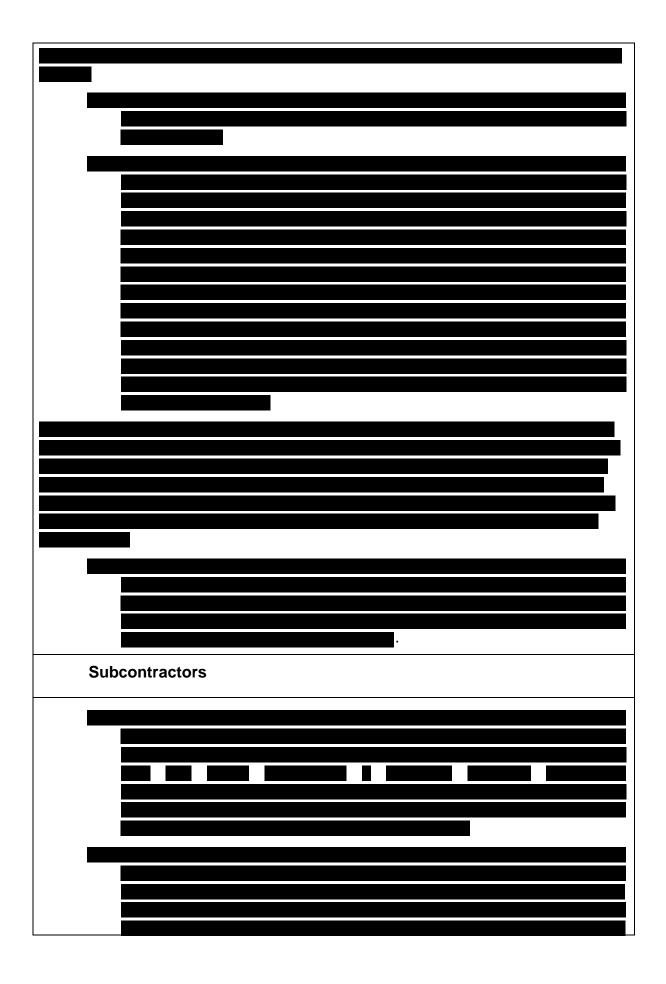
-		1
pandemic		businesses.
and issues		Some may
that might		also feel
be raised		pressured into
by the		trying to find
research		the 'right
which are		answer'.
pertinent to		To mitigate these
this		To mitigate these risks:
		HSKS.
		Participants will be
		reassured that there
		are no right or wrong
		answers
		Discussion guides
		and participant tasks
		will be developed
		with prompts or
		phrasing that is
		designed to make
		participants feel
		comfortable.
		Participants will be
		allowed to skip
		questions/tasks they
		do not feel
		comfortable
		completing.
		Participants will be
		able to withdraw from
		the study at any
		point, and the
		voluntary nature of
		participation will be
		reiterated throughout
		data collection.
Risk of	Likelihood:	We will oversample
participant	Low	the number of
attrition for		participants,
consumer	Impact: Low	recruiting 18
strand		for a minimum
		2. 2

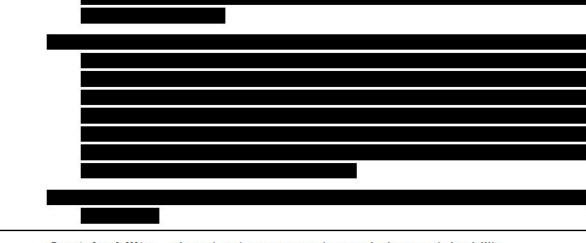
		of 45 of cont.
		of 15 at each
		workshop.
		This means
		we can
		guarantee a
		minimum
		delivered
		sample
		completing the
		two phases of
		the fieldwork.
		Remote
		fieldwork
		further
		mitigates the
		risk of attrition
		as participants
		can join from
		home and are
		not required to
		travel to a
		venue.
		vende.
Low	Likelihood:	Our recruiters are
engageme	Mediu	experienced at
nt from	m	engaging
businesses	Impact:	businesses to
and Local	Mediu	take part in
Authorities	m	research.
	***	They will flag
		any concerns
		around
		engagement
		with the Ipsos
		MORI
		research
		team. We will
		keep
		·
		engagement
		under regular
		rovious and
		review and can follow up

with specific types of businesses where required. We will ensure sufficient sample is provided to our recruitment team in each quota category, including having further sample available in reserve should this be required. lf recruitment continues to be challenging, we will consider additional steps including increasing the incentive, or reviewing the length of the fieldwork period to the ensure required interviews are achieved.

Risk of UK GDPR or data breaches	Likelihood: Low Impact: High	As with all Ipsos MORI projects, careful attention is given to ensure any personal data is handled with respect to UK GDPR requirements and regulations. All personal information will be transferred using Ipsos MORI's secure data transfer	
		system: Ipsos Transfer. All personal information will be securely destroyed using digital shredding software at the end of the project. Informed consent will be gained from participants for the collection	

	of personal data.
	Prior to the commenceme nt of the study, Ipsos MORI will ensure a data flow is created that details when, how and why the data will be collected, used, and shared.
	More information is included in the ethical considerations section of this work package.
Ethical considerations	





Sustainability – pls set out measures to maximise sustainability

The research will be taking place remotely and will not involve any travel or consumables. As such, the recommended design is the most sustainable way to achieve the objectives.

GDPR – Please complete the below table detailing personal data that will be processed as part of this work package. Additional questions are also provided beneath the table to provide additional assurances.

Description	Details
Subject matter of the processing	The processing is needed in order to ensure that Ipsos MORI can effectively deliver the agreed services to the FSA.
Duration of the processing	December 2021 – April 2022 This is based on the assumptions presented in this work package, particularly around sign-off and fieldwork deadlines.

of the Personal data about Nature and purposes participants will processing be collected by recruiters and securely transferred Ipsos MORI via a secure transfer platform. Data will collected so participants can be contacted to take part inthe research study. **Business** names and addresses will be provided by FSA and matched to commercially available contact databases used for business research. Some be businesses may approached directly, sourced from commercially available databases. Details will be stored by Ipsos MORI on secure servers, password protected WinZip files. Data collected during fieldwork will be stored securely on Ipsos MORI servers. This includes written text and audio recordings which will be stored in password protected *WinZip* Consent will be gained at the beginning of fieldwork each workshop. and including explaining what data will be used for and how long it will be stored for. This will informanalysis and reporting. Type of Personal Data Name, age, gender, telephone

number, email

postcode,

address,

ethnicity,

	disability, number of children/household composition, working status, education, social grade. Business names and addresses. Audio voice recordings.
Categories of Data Subject	Business representatives and people aged 16-75+, living in England, Wales and Northern Ireland.
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	As with all Ipsos MORI projects, all personal data will be kept securely on our internal database until 6 months after the end of the project. At this point (November 2022), all personal data is destroyed using a shreddingsoftware.
assurances of data protection	stions in this table to provide further on. Completion of this section is only lection, or desk-based research that ata.
Will Ipsos Mori complete a PIA for this project?	No
	A DPIA is required when processing is likely to result in a high risk to the rights and freedoms of

	and all participants will receive a privacy notice setting out the nature of the processing and their rights.
Please read each statement below. If the answer to any statement is 'no' please provide further details.	
Is the research being carried out solely to fulfil the objectives set out by the FSA? This means that Ipsos Mori, or any sub-contractors, will not use the research data for any other	Yes
 purposes. Does Ipsos Mori accept that it is the data processor (not data controller) 	Yes
 for the research data collected? Is the data that is collected in the Project proportionate to achieve the required research outcomes? 	Yes
Please read each statement below. If the answer to any statement is 'yes' please provide further details.	
 Will the FSA receive any personally identifiable participant data throughout the research project? Is the research study about FSA 	Yes - the FSA may receive recontact details (TBC)
 staff? Is the study about any other party where we may not have consent (e.g. FSA stakeholders/local authority 	No
 contacts)? Will the work package involve collecting children's data? The Data Protection Act states that under 18s class as children, but those 13 or 	No
over have a right to consent.	No

Urda.		<u> </u>
•	Will any of the data be used to make a decision about the individual? Will the study involve combining information from other sources and linking it directly to individual responses in a way that the individual may not expect or may object to? Will we be re-using/re-purposing any old research personally identifiable research data that the data subject may not have consented to?	No No
•	Is this research likely to cause damage, distress or harm to someone (e.g. physical harm, financial loss or psychological pain) as a result of the topics discussed and audience involved? Please assess the level of risk as Low, Medium or High and include what mitigating actions will be taken if the answer is 'Medium', or 'High'.	Medium risk – details of mitigation included above in the Work Package
	Will we be seeking to recontact the participant?	Yes – details to be discussed based on FSA's requirements
	Please provide a date by which the participant information notice will be provided to the FSA. If participant notice is not required, please state why.	31 st January 2022

Total Cost – Please provide the total cost for this work package. Please provide a detailed breakdown of costs in the financial template which is to be submitted alongside this Project Proposal

Document. This should include payment milestones (where applicable)
Have you attached the financial template?: Yes
The total cost for the different elements of the project included in the financial template are as follows:
Total cost - £130,000
The cost for LAs for 45 depth interviews would be provide a final breakdown when the design is agreed.
Completed by:
Date: 03 December 2021

For completion by

I confirm that the assurances provided under the GDPR section of this form have been reviewed and that:

[please delete as appropriate]

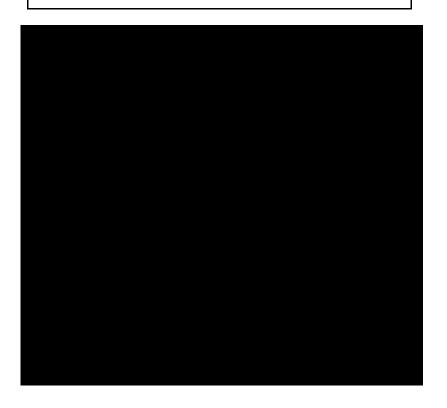
•	research can commence on the assurances provided further advice will be sought from the FSA KIMS team before data collection commences
	Completed by:
	Date: 21/12/2021

Annex B – Suppliers Financial Template

Tender Reference	FS107010
	<u>, </u>
Tender Title	FS430966 - WP29 Value of FHRS
Full legal organisation name	Ipsos MORI
Main contact title	Mr
Main contact forname	
Main contact surname	
Main contact position	
Main contact email	
Main contact phone	
Will you charge the Agency VA	AT on this proposal?
Please state your VAT registration number:	
The state of the s	
Project Costs Summary Brea	akdown by

Project Costs Summary Breakdown by Participating Organisations

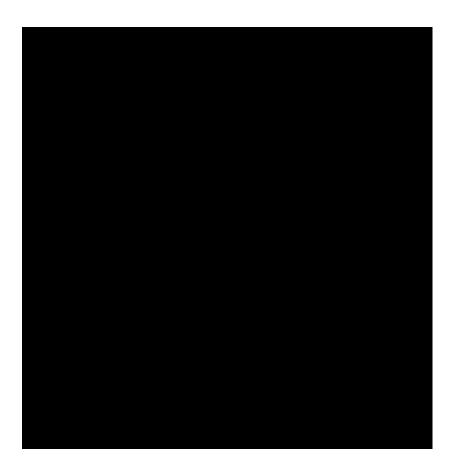
Please include only the cost to the FSA.



Total Project Costs	£
(excluding VAT) **	130,000

- * Please indicate zero, exempt or standard rate. VAT charges not identified above will not be paid by the FSA
- ** The total cost figure should be the same as the total cost shown in table 4
- ** The total cost figure should be the same as the total cost shown below and in the Schedule of payments tab.

Project Costs Summary (*Automatically calculated***)**



Staff Costs Table





Consumable/Equipment Costs

Please provide a breakdown of the consumables/equipment items you expect to consume during the project

