



**THE SECRETARY OF STATE FOR WORK AND PENSIONS
AND
NATIONAL LEARNING AND WORK INSTITUTE
TEST AND LEARN DPS
Project_20559**

Version: 1.0

SCHEDULE F2:

ORDER FORM TEMPLATE AND CALL-OFF SCHEDULES

Part A - Order Form Template

Contract Number: ecm_7529

From the ("Buyer "): The Secretary of State for Work and Pensions, Caxton House,
Tothill Street, London SW1H 9DA

To the ("SUPPLIER")

Name: National Learning and Work Institute

Registered Address: 4th Floor, Arnhem House, 31 Waterloo Way, Leicester LE1 6LP

Registered Number: 2603322

DUNS Number: 76-816-7504

This Order Form, when completed and executed by both Parties, forms a Call-Off Contract. Completion and execution of a Call-Off Contract may be achieved using an equivalent document or electronic purchase order system. The text below should be copied into any electronic order forms.

DPS CONTRACT:

This Order Form is issued in accordance with and subject to the provisions of the Test and Learn DPS Contract with the reference number 20559 and dated 09 July 2019.

CALL-OFF INCORPORATED TERMS

The following documents shall be incorporated into this Call-Off Contract. If they conflict, the following order of precedence shall apply:

1. This Order Form other than the Paragraph entitled "Call-Off Tender".
2. The Core Terms (v1.0) and its Annex (Definitions).
3. The following Schedules (each taking equal precedence):
 - C1 (Contract Management v1.0)
 - C2 (Security Requirements and Plan v1.0)
 - And the following optional Schedule (where applicable)
 - C3 (Welsh Language Scheme) - Not Applicable
4. The Call-Off Tender provided that any parts of the Call-Off Tender which offer a better commercial position for the Buyer (as decided by the Buyer) will take precedence over the documents above.

No other terms whether written on the back of, appended to this order, or presented at the time of delivery shall form part of the Call-Off Contract.

1. CONTRACT PERIOD

(1.1) Start Date

17 October 2019

(1.2) Expiry Date

Subject to earlier termination of the Contract in accordance with Clause 14 (Ending the Contract), the Call-Off Contract shall expire on **31 March 2020**

2. SERVICES REQUIREMENTS

(2.1) Services and Deliverables required

Note: Delivery Plan to be Inserted once Agreed Post Tender

In Work Progression:

LOT 2: Supporting Good Decisions Around Job Switching The purpose of this Call-Off Contract is to provide content to provide information to support decisions around job switching of which are aimed to support In Work Progression of Claimants who are in work and claiming Universal Credit.

The documents attached below are the Suppliers Call Off Tender:

Commercial Submission:

[REDACTED]

Technical Submission:



003-[2.4.1]_Lot_2_Inf ormation_Gathering_ 002-[2.3.1]_Lot_2_Ma nagement_Plan_-_LW 004-[2.5.1]_Lot_2_Pr oduction_and_Testing

(2.2) Specification

PDF

Lot 2 Specification
Job Switching Final.pc

(2.3) Categories under which the above Services are being supplied

In-Work Progression

(2.4) Delivery Premises (if applicable)

4th Floor
Arnhem House
31 Waterloo Way
Leicester
LE1 6LP

Buyer Premises (Y/N)

(2.5) Supplier's Outline Security Plan

[REDACTED]

(2.6) Special Terms

Not Applicable

(2.7) Supplier's Business Continuity and Disaster Recovery Plan

Not Applicable

(2.8) Disclosure and Barring Service and/or other required vetting checks

Not Applicable

(2.9) European Social Fund

Not Applicable

3. PERFORMANCE OF THE SERVICES AND DELIVERABLES

(3.1) Performance Requirements

Payment of the Contractual Milestones is dependent on the achievement of the Service Levels below to the satisfaction of the Buyer.

When providing the Services, the Supplier shall as a minimum ensure that it achieves the following Service Levels:

Category	Respective Performance Requirement Description including remediation period (if any)	Critical Service Failure where failure to achieve (Y/N)
N/A	Completion of all activity associated with each Milestone against the agreed time bound Project Management Plan	Y
N/A	Provision of the MI defined in 3.2 (below) and relevant supporting evidence	Y
N/A	Meeting with the Buyer on a minimum monthly basis, at a date and time set by the Buyer, to discuss progress and performance;	N
N/A	Meeting the project cost profile as detailed in the Contractor's Pricing Proposal submitted with the Tender.	Y

If the level of performance of the Supplier of any element of the Services during the Contract Period is a Service Failure which if it occurs would be identified as a Critical Service Failure in the table above, the Buyer shall be entitled to terminate this Call-Off Contract pursuant to such Clause 14.4.7.

(3.2) Performance Monitoring Regime/Management Information

Supplier Information Required	Frequency or Date Required by
Full and final Security Plan in accordance with Schedule C2	Within twenty (20) Working Days after the Start Date.

Schedule F2: Order Form and Call-Off Schedules Template v1.0
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Progress against the Pricing Proposal and Project Management Plan, as set out in an updated reporting template	28 th day of each month during the Contract Period
Record of all Intellectual Property Rights used and created as part of the Call-Off Contract, as set out in an updated IPR Activity Log	28 th day of each month during the Contract Period

4. PRICE, PAYMENT

(4.1) Charges payable by the Buyer (including VAT), and payment profile:

Milestone Payment:	Price (inc VAT):
Milestone 1: Draft Content Material for Authority's Quality Review Process	[REDACTED]
Milestone 2: The Authority's sign off (acceptance) of Completed Content Material.	[REDACTED]

Payment of the Contractual Milestones is dependent on the achievement of Service Levels at 3.1 above to the satisfaction of the Buyer.

For avoidance of doubt the scheduled Contractual Milestones are as follows:

- Milestone 1: Draft content for the Authority's Quality Review process. This will entail issuing the draft content to the Authority followed by a presentation of the content to the Authority's stakeholders – December 2019 (55%);
- Milestone 2: Authority sign off of accepted content material following review – January to March 2020 (45%).

(4.2) Invoicing and Payment

The Supplier shall issue invoices in arrears and forward them to the Buyer as follows:

The Supplier shall submit an invoice, as soon as possible and in any case within five (5) Working Days after confirmation from the Buyer that the relevant Contractual Milestone has been met by the Supplier. Invoices and Supporting Documentation shall be emailed, in PDF format to: APinvoices-DWP-U@sscl.gse.gov.uk

The Supplier shall include the following detail within an invoice:

- all appropriate references, including the unique Purchase Order reference number, which will be supplied to the Contractor by the Buyer within ten (10) working days of the Start Date; and
- a detailed breakdown of the Contractual Milestone(s) (if any) within this Contract to which the delivered Services relate.

METHOD OF PAYMENT

[REDACTED]

ADDRESS FOR NOTICES TO THE BUYER

[REDACTED] or via the BRAVO system..

Authorised Processing List

Description Of Authorised Processing	Details
Subject matter of the processing	Questionnaire and interview data relating to the usability and relevance of the Content Material.
Duration of the processing	6 Months
Nature and purposes of the processing	Information that will be necessary for the answering of research questions relating to the subject Contract.
Type of Personal Data	Digital audio files and electronic copies of transcripts from interviews
Categories of Data Subject	Interviewees
Plan for return and destruction of the data once the processing is complete UNLESS requirement under European Union or European member state law to preserve that type of data	When personal data that is no longer required for the subject Contract it is destroyed. National Learning and Work Institute conducts an annual data audit to ensure that data is not retained for longer than necessary. All data is scanned via SonicWall Perimeter Antivirus/Malware device as well as Desktop Antivirus software.

For and on behalf of the Supplier:

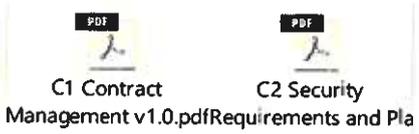
For and on behalf of the Buyer:

Signature:	[REDACTED]	Signature:	[REDACTED]
Name:		Name:	Employment Group Senior Category Manager
Role:		Role:	17/10/2019
Date:	[REDACTED]	Date:	[REDACTED]

Part B

Call-Off Schedules

Schedules C1 and C2







THE SECRETARY OF STATE FOR WORK AND PENSIONS

TEST AND LEARN DPS

[Project_20559]

Version: 1.0

SCHEDULE C1

CONTRACT MANAGEMENT

1. DELIVERY PLAN

- 1.1 The Supplier shall, where indicated in an Order Form, provide a detailed and costed description of how the Services commissioned by the Buyer shall be provided by the Supplier (the "**Delivery Plan**"). The Delivery Plan shall be provided by such time as notified by the Buyer.
- 1.2 The Buyer shall consider the draft Delivery Plan and where the Buyer rejects it then the Supplier shall amend it to reflect any reasonable comments provided by the Buyer and resubmit it to the Buyer for approval and shall continue to update it until such time as it is approved by the Buyer. Upon approval, the Delivery Plan shall be adopted and the Supplier shall deliver the Services in accordance with it.
- 1.3 The Buyer and the Supplier may agree changes to a Delivery Plan as needed. Any agreed changes will be recorded in writing in an updated version of the Delivery Plan. Where the Buyer requires changes then the Supplier shall consider them in good faith and the Supplier will use all reasonable endeavours to include any substantive changes requested by the Buyer in the Delivery Plan.

2. REVIEWING CONTRACT PERFORMANCE

- 2.1 The Supplier shall work with the Buyer to establish and maintain an effective and beneficial working relationship to ensure the Contract is delivered to at least the minimum required standard as specified.
- 2.2 The Supplier shall establish suitable administrative arrangements for the effective management and performance monitoring of the Contract as required by the Buyer and shall provide information as requested to monitor and evaluate the success of the Contract and the Supplier's management and delivery of it.
- 2.3 Review meetings between the Buyer and the Supplier shall also cover, as appropriate, resolving disputes and/or dealing with contractual breaches in accordance with the terms and conditions of this Contract. Roles and responsibilities will be documented and the personnel involved in managing the relationship identified and suitably empowered.
- 2.4 The Buyer may undertake spot checks at any time to ensure that the Supplier is complying with its obligations under this Contract and the Supplier shall co-operate fully, at its own cost, with the Buyer.
- 2.5 The Supplier will be responsible for managing and reporting on any sub-contractual arrangements. Arrangements shall include mechanisms for the provision of management information, including feedback to and from customers, stakeholders and employers. The Buyer will agree with the Supplier day-to-day relationship management, contact points, communication flows and escalation procedures.
- 2.6 The Supplier will be expected to continuously improve the quality of the provision

- including that delivered by Sub-contractors. Where quality falls below acceptable levels the Supplier will be expected to have suitable escalation procedures in place and, in respect of sub-contracted provision, take action where necessary to terminate the contract.
- 2.7 The Buyer will regularly monitor Supplier performance. The initial contract review will be informed by the award of contract process and reviewed thereafter.
- 2.8 The Supplier will be required to appoint a named supplier manager who will cooperate with the Buyer performance manager to ensure that the Contract is delivered as specified in the Contract and that required standards and performance levels are met.
- 2.9 The purpose of the Supplier performance reviews is to encourage an open and regular dialogue between the Parties with the purpose of ensuring that the Services, including the standards and outputs specified, are being delivered appropriately and to drive up the performance and quality of the Services. They will encourage the Parties to review performance, discuss opportunities for continuous improvement and raise and address any complaints or persistent problems encountered with the Contract. Where issues cannot be immediately addressed, the Buyer and the Supplier will follow the dispute resolution process detailed in Clause 45 (Resolving Disputes).
- 2.10 Supplier performance reviews may be undertaken formally or informally. The Supplier will be expected to provide any additional management information required by the Buyer to facilitate the reviews and arrange where necessary access to any of its delivery locations, including those operated by Sub-contractors.
- 2.11 Any improvements or actions agreed between the Parties will form part of the continuous improvement activity recorded in the performance improvement plan. It will be the Supplier's responsibility to develop the performance improvement plan which will be discussed and agreed with the performance manager.
- 2.12 The Supplier will be expected to carry out self-assessment and develop improvement action plans to continuously improve the quality of the Services including that delivered by Sub-contractors. Where quality falls below acceptable levels the Supplier will be expected to have suitable escalation procedures in place and, in respect of sub-contracted Services, take action where necessary to terminate the sub-contract.

3. SUPPLIER INFORMATION (MI) REQUIREMENTS

3.1 The Supplier shall supply information listed below relevant to the delivery of the Services to the Buyer, using formats and to timescales as specified. This includes but is not limited to:

Supplier Information Required	Frequency or Date Required by
Information on Performance of Call-Off Contract	As requested by the Buyer
Updated Security Plan in accordance with Schedule C2 (<i>Security Requirements and Plan</i>)	Within twenty (20) Working Days after the Commencement Date and reviewed at least annually thereafter.
HMG Baseline Personnel Security Standard - Supplier's Declaration see HMG Baseline Personnel Security Standard - A Guide for DWP Suppliers	Within four (4) weeks of contract start date and submitted for each calendar year thereafter within one Month of the end of each calendar year (i.e. by 31 st January for year ending 31 st December)
Supply chain expenditure with SMEs (Quarterly return)	The Supplier, and where applicable, its Sub-contractors shall identify the volume of expenditure they undertake with SMEs in the delivery of this contract and submit this information to the Buyer on a quarterly basis.

3.2 The Supplier shall supply information requested relevant to the delivery of the Services to the Buyer, using formats and to timescales specified by the Buyer from time to time.

3.3 The Buyer intends, wherever it can, to capture and collate information through its IT system(s). However, the Buyer reserves the right to make reasonable requests for information (at no additional charge) from the Supplier including ad-hoc requests for information from time to time.

3.4 Any additional requests for information shall be considered in consultation with the Supplier as shall the process of defining the methods of collection.

3.5 Where an ongoing, short-term or one-off requirement is agreed, both Parties agree that it shall be included, or deemed to be included within this Schedule.

4. USE OF INFORMATION

4.1 The Supplier grants the Buyer a non-exclusive, transferable, perpetual, irrevocable, royalty free licence to:

4.1.1 use and to share with the Authority and Other Contracting Authorities; and/or

4.1.2 publish (subject to any information that is exempt from disclosure in accordance with the provisions of FOIA and/or the EIRs being redacted),

any Management Information supplied to the Buyer for the Buyer's normal operational activities including administering Call-Off Contracts, monitoring public sector expenditure, identifying savings or potential savings and planning future procurement activity.

4.2 The Buyer may consult with the Supplier to inform its decision to publish information however the Buyer shall retain absolute discretion regarding the extent, content and format of any disclosure.

5. DEFECTIVE MANAGEMENT INFORMATION

5.1 If the Supplier fails to provide any required Management Information (including any delayed, non-complete, inaccurate information) then:

5.1.1 the Buyer may issue reminders to the Supplier requiring the Supplier to rectify it and the Supplier shall rectify the failure as soon as possible and not more than five (5) Working Days following receipt of any such reminder; and

5.1.2 where requested by the Buyer, the Supplier shall attend additional meetings in person with the Buyer to discuss the circumstances of the failure and where such a meeting is requested then the Supplier shall propose and document in advance measures to ensure that the failures will be rectified will not occur again in the future.

6. ASSURING SUPPLIERS' SYSTEMS

6.1 The Supplier shall put in place such assurance processes as the Buyer notifies to the Supplier from time to time. The remaining sections in this Paragraph 6 are DWP's requirement in relation to the process for assuring the Supplier's Systems.

6.2 Suppliers shall have suitable systems in place to:

a) detect and prevent duplicate claims;

b) prepare and submit accurate, valid, supported, timely claims;

c) monitor, record and manage Customer lateness and all Customer absences;

d) support claims for payments through an effective Customer attendance recording procedure;

- e) ensure that all the required evidence is collected (and submitted, where appropriate) to support the claim;
- f) identify Customers who have left the Services early to prevent over-claiming;
- g) carry out effective monitoring of Sub-contractors; and
- h) respond to financial appraisal and monitoring reports with an appropriate action plan.

6.3 In all instances, the Supplier shall co-operate and provide such reasonable assistance as may be necessary to facilitate monitoring as required pursuant to the Contract. Failure to provide such reasonable assistance shall be deemed a "Default" for the purposes of Clause 14.4.5 (When the Authority or the Buyer can end a Contract).

7. HEALTH AND SAFETY RESPONSIBILITIES OF THE BUYER VISITING OFFICERS

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

8. PERFORMANCE IMPROVEMENT PROCESS AND REMEDIAL ACTION

- 8.1 The Supplier shall proactively identify and notify the Buyer of any actual or anticipated occurrences of underperformance when compared to the standard as required by the Call-Off Contract. Where the Buyer is aware of any actual or anticipated occurrences of underperformance then it shall be entitled to initiate the Performance Improvement Process but it shall be under no obligation to do so.
- 8.2 Where the Supplier has notified or the Buyer has identified any actual or anticipated under performance then this Performance Improvement Process shall apply.
- 8.3 Within such timescales as notified by the Buyer to the Supplier (taking into account all relevant circumstances in relation to the subject matter and nature of the default) but in any event no less than ten (10) Working Days following receipt of a Performance Improvement Notice the Supplier shall, following receipt of a Performance Improvement Notice submit a draft Performance Improvement Plan.

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- 8.4 The Buyer shall either approve the draft Performance Improvement Plan within ten (10) Working Days (or such other period as notified by the Buyer to the Supplier) of its receipt pursuant to Paragraph 8.3 or it shall inform the Supplier why it cannot accept the draft Performance Improvement Plan. In such circumstances, the Supplier shall address all such concerns in a revised Performance Improvement Plan, which it shall submit to the Buyer within a minimum period of ten (10) Working Days (or such greater period as notified by the Buyer to the Supplier) of its receipt of the Buyer's comments. If no such notice is given, the Supplier's draft Performance Improvement Plan shall be deemed to be agreed.
- 8.5 Once agreed, the Supplier shall immediately start work on the actions set out in the Performance Improvement Plan.
- 8.6 If, despite the measures taken under Paragraph 8.4 a Performance Improvement Plan cannot be agreed within the minimum period of ten (10) Working Days (or such greater period as notified by the Buyer to the Supplier) then the Buyer may elect to end the Performance Improvement Process and refer the matter for resolution by the dispute resolution procedure set out in Clause 45 (Resolving Disputes) or terminate the Contract by giving written notice to the Supplier with immediate effect and without liability.
- 8.7 Without prejudice to any other rights or remedies of the Buyer, if a Performance Improvement Plan is agreed between the Parties, but the Supplier fails to implement the Performance Improvement Plan in accordance with its terms and by the required remedial plan completion date, the Buyer may:
- 8.7.1 terminate the Contract by giving written notice to the Supplier with immediate effect and without liability;
 - 8.7.2 give the Supplier a further opportunity to resume full implementation of the Performance Improvement Plan; or
 - 8.7.3 escalate any issues arising out of the failure to implement the Performance Improvement Plan to the Supplier's finance director (or equivalent) under the dispute resolution procedure set out in Clause 45 (Resolving Disputes),
- and the rights exercisable under this Paragraph shall be available to the Buyer on any repeat failure by the Supplier of a Performance Improvement Plan.
- 8.8 In the event that the Buyer is of the reasonable opinion that there has been a Material Breach of the Contract by the Supplier, then the Buyer may, without prejudice to its rights under Clause 14.4.5 (When the Authority or the Buyer can end a Contract), do any of the following:
- 8.8.1 without terminating the Contract, procure the supply of all or part of the Services until such time as the Supplier shall have demonstrated to the reasonable satisfaction of the Buyer that the Supplier will once more be able to supply all or such part of the Services in accordance with the Contract;
 - 8.8.2 without terminating the whole of the Contract, terminate the Contract in respect of part of the Services only (whereupon a corresponding
-

reduction in the Charges shall be made) and thereafter itself supply or procure a third party to supply such part of the Services; and/or

8.8.3 charge the Supplier for and the Supplier shall pay any costs reasonably incurred by the Buyer (including any reasonable administration costs) in respect of the supply of any part of the Services by the Buyer or a third party to the extent that such costs exceed the payment which would otherwise have been payable to the Supplier for such part of the Services and provided that the Buyer uses its reasonable endeavours to mitigate any additional expenditure in obtaining replacement Services.

8.9 If the Supplier fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the Buyer shall instruct the Supplier to remedy the failure and the Supplier shall at its own cost and expense remedy such failure (and any damage resulting from such failure) within twenty (20) Working Days of the Buyer's instructions or such other period of time as the Buyer may direct.

8.10 In the event that the Supplier:

8.10.1 fails to comply with Paragraph 8.9 above and the failure is materially adverse to the interests of the Buyer or prevents the Buyer from discharging a statutory duty; or

8.10.2 persistently fails to comply with Paragraph 8.9 above;

the buyer may terminate the contract with immediate effect and without liability by giving the supplier notice in writing.



THE SECRETARY OF STATE FOR WORK AND PENSIONS

TEST AND LEARN DPS

[Project_20559]

Version: 1.0

SCHEDULE C2

SECURITY REQUIREMENTS AND PLAN

1. Introduction

1.1 This Schedule covers;

- a) Principles of security for the Supplier System, derived from the Security Policy, including without limitation principles of physical and information security;
- b) The creation of the Security Plan;
- c) Audit and testing of the Security Plan;
- d) Conformance to ISO/IEC:27002 (Information Security Code of Practice) and ISO/IEC 27001 (Information Security Requirements Specification) (Standard Specification); and
- e) Breaches of Security.

2.1 The Supplier acknowledges that the Buyer places great emphasis on confidentiality, integrity and availability of information and consequently on the security of the Buyer Body Premises and the security for the Supplier System. The Supplier also acknowledges the confidentiality of the Government's Data.

2.2 The Supplier shall be responsible for the security of the Supplier System and shall at all times provide a level of security which;

- a) is in accordance with Good Industry Practice and Law;
- b) complies with the Security Policy;
- c) meets any specific security threats to the Supplier System;
- d) complies with ISO/IEC27002 and ISO/IEC27001 in accordance with Paragraph 5 of this Schedule; and
- e) meets the requirements of the Cyber Essentials Scheme, unless deemed out of scope for this requirement.

2.3 Without limiting Paragraph 2.2, the Supplier shall at all times ensure that the level of security employed in the provision of the Services is appropriate to minimise the following risks:

- a) loss of integrity of Government Data;
- b) loss of confidentiality of Government Data;
- c) unauthorised access to, use of, or interference with Government Data by any person or organisation;

- d) unauthorised access to network elements and buildings;
- e) use of the Supplier System or Services by any third party in order to gain unauthorised access to any computer resource or Government Data;
- f) loss of availability of Government Data due to any failure or compromise of the Services; and
- g) loss of confidentiality, integrity and availability of Government Data through Cyber/internet threats.

3 Security Plan

Introduction

- 3.1 The Supplier shall develop, upload, implement and maintain a Security Plan to apply during the Contract Period which will be approved by the Buyer, tested, periodically updated and audited in accordance with this Schedule.
- 3.2 Where specified in the Order Form, the Supplier shall submit further detail regarding the information security measures they propose to use in delivery of this Contract. The Buyer will assess the data risk for this Contract and if the risk is deemed 'low' then the original questions answered as part of selection onto the DPS will be proportionate. If the data risk is assessed as higher, then the Supplier will be required to submit a security plan detailing, more specifically, the information security measures they propose to use in delivery of a specific contract.

Development

- 3.3 Within twenty (20) Working Days after the Commencement Date and in accordance with Paragraphs 3.10 to 3.12 (*Amendment and Revision*), the Supplier will prepare and deliver to the Buyer for approval the full and final Security Plan as requested in the Order Form
- 3.4 If the Security Plan is approved by the Buyer it will be adopted immediately. If the Security Plan is not approved by the Buyer, the Supplier shall amend it within ten (10) Working Days of a notice of non-approval from the Buyer and re-submit to the Buyer for approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days (or such other period as the Parties may agree in writing) from the date of its first submission to the Buyer. If the Buyer does not approve the Security Plan following its resubmission, the matter will be resolved in accordance with Clause 45 (*Resolving Disputes*). No approval to be given by the Buyer pursuant to this Paragraph 3.4 of this Schedule may be unreasonably withheld or delayed. However any failure to approve the Security Plan on the grounds that it does not comply with the requirements set out in Paragraphs 3.1 to 3.9 shall be deemed to be reasonable.

Content

- 3.5 The Security Plan will set out the security measures to be implemented and maintained by the Supplier in relation to all aspects of the Services and all processes associated with the delivery of the Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Services comply with:
- a) the provisions of this contract;
 - b) this Schedule (including the principles set out in Paragraph 2);
 - c) those parts of the Specification relating to security;
 - d) ISO/IEC27002 and ISO/IEC27001 unless the Order Form states that these standards do not apply to this Contract; and
 - e) the data protection compliance guidance produced by the Buyer.
- 3.6 The references to standards, guidance and policies set out in Paragraph 3.5 shall be deemed to be references to such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, from time to time.
- 3.7 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Supplier should notify the Buyer of such inconsistency immediately upon becoming aware of the same, and the Buyer shall, as soon as practicable, advise the Supplier which provision the Supplier shall be required to comply with.
- 3.8 The Security Plan will be structured in accordance with ISO/IEC27002 and ISO/IEC27001.
- 3.9 Where the Security Plan references any document which is not in the possession of the Buyer, a copy of the document will be made available to the Buyer upon request. The Security Plan shall be written in plain English in language which is readily comprehensible to the staff of the Supplier and the Buyer engaged in the Services and shall not reference any other documents which are not either in the possession of the Buyer or otherwise specified in this Schedule.

Amendment and Revision

- 3.10 The Security Plan will be fully reviewed and updated by the Supplier from time to time to reflect:
- a) emerging changes in Good Industry Practice;
 - b) any change or proposed change to the Supplier System, the Services and/or associated processes;
 - c) any new perceived or changed threats to the Supplier System; and
 - d) a reasonable request by the Buyer.

- 3.11 The Supplier will provide the Buyer with the results of such reviews as soon as reasonably practicable after their completion and amend the Security Plan at no additional cost to the Buyer.
- 3.12 Any change or amendment which the Supplier proposes to make to the Security Plan as a result of a Buyer request or change to the Specification or otherwise shall be subject to the change control procedure and shall not be implemented until approved in writing by the Buyer.

4 Audit and Testing

- 4.1 The Supplier shall conduct tests of the processes and countermeasures contained in the Security Plan ("**Security Tests**") as agreed by the Parties. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Buyer.
- 4.2 The Buyer shall be entitled to send a representative to witness the conduct of the Security Tests. The Supplier shall provide the Buyer with the results of such tests (in a form approved by the Buyer in advance) as soon as practicable after completion of each Security Test.
- 4.3 Without prejudice to any other right of audit or access granted to the Buyer pursuant to this Contract, the Buyer shall be entitled at any time and without giving notice to the Supplier to carry out such tests (including penetration tests) as it may deem necessary in relation to the Security Plan and the Supplier's compliance with and implementation of the Security Plan. The Buyer may notify the Supplier of the results of such tests after completion of each such test. Security Tests shall be designed and implemented so as to minimise the impact on the delivery Services. If such tests impact adversely on its ability to deliver the Services to the agreed Service Levels, the Supplier shall be granted relief against any resultant under-performance for the period of the tests.
- 4.4 Where any Security Test carried out pursuant to Paragraphs 4.2 or 4.3 above reveals any actual or potential security failure or weaknesses, the Supplier shall promptly notify the Buyer of any changes to the Security Plan (and the implementation thereof) which the Supplier proposes to make in order to correct such failure or weakness. Subject to the Buyer's approval in accordance with Paragraph 3.12, the Supplier shall implement such changes to the Security Plan in accordance with the timetable agreed with the Buyer or, otherwise, as soon as reasonably possible. For the avoidance of doubt, where the change to the Security Plan to address a non-compliance with the Security Policy or security requirements, the change to the Security Plan shall be at no additional cost to the Buyer. For the purposes of this Paragraph 4, a weakness means a vulnerability in security and a potential security failure means a possible breach of the Security Plan or security requirements.

5 Compliance with ISO/IEC 27001

- 5.1 This Paragraph 5 shall apply to this Contract unless the Order Form specifically states that the Supplier is not obliged to comply with ISO/IEC 27001.
- 5.2 The Supplier shall carry out such regular security audits as may be required by the British Standards Institute in order to maintain delivery of the Services in compliance with security aspects of ISO 27001 and shall promptly provide to the Buyer any associated security audit reports and shall otherwise notify the Buyer of the results of such security audits.
- 5.3 If it is the Buyer's reasonable opinion that compliance with the principles and practices of ISO 27001 is not being achieved by the Supplier, then the Buyer shall notify the Supplier of the same and give the Supplier a reasonable time (having regard to the extent of any non-compliance and any other relevant circumstances) to become compliant with the principles and practices of ISO 27001. If the Supplier does not become compliant within the required time then the Buyer has the right to obtain an independent audit against these standards in whole or in part.
- 5.4 If, as a result of any such independent audit as described in Paragraph 5.3 the Supplier is found to be non-compliant with the principles and practices of ISO 27001 then the Supplier shall, at its own expense, undertake those actions required in order to achieve the necessary compliance and shall reimburse in full the costs incurred by the Buyer in obtaining such audit.

6 Breach of Security

- 6.1 Either party shall notify the other immediately upon becoming aware of any Breach of Security including, but not limited to an actual, potential or attempted breach, or threat to, the Security Plan.
- 6.2 Upon becoming aware of any of the circumstances referred to in Paragraph 6.1, the Supplier shall:
- a) immediately take all reasonable steps necessary to:
 - (i) remedy such breach or protect the Supplier System against any such potential or attempted breach or threat; and
 - (ii) prevent an equivalent breach in the future.

Such steps shall include any action or changes reasonably required by the Buyer. In the event that such action is taken in response to a breach that is determined by the Buyer acting reasonably not to be covered by the obligations of the Supplier under this Contract, then the Supplier shall be entitled to refer the matter to the change control procedure in Clause 35 (Changing the Contract); and

- b) as soon as reasonably practicable provide to the Buyer full details (using such reporting mechanism as may be specified by the Buyer from time to time) of such actual, potential or attempted breach and of the steps taken in respect thereof.

[2.4.1] Information Gathering

Please describe how you will undertake information gathering to inform the design of the content material in line with the specified requirements.

Your response must as a minimum include:

- A description of the information gathering to be undertaken, including subject matter experts to be engaged and the value they will add, and the methods and sources you will utilise;
- An explanation of any further information you feel would be of benefit to meeting the requirements;
- A clear record of sources used to ensure accurate provenance of the content material.

Supplier Name

Learning and Work Institute

Present your response at the top of a new page, within the pre-set margins in Arial font size 12 up to Three (3) sides of A4.

We would adopt a phased approach to developing, testing and refining the content material so that it meets the needs of the Authority, work coaches, and Universal Credit (UC) claimants. Below we set out our approach to phase 1 – information gathering – setting out how we will collate information to inform the content material, so that it meets the specified requirements.

Phase 1 – Information gathering

In the first stage, we would take a mixed-methods approach to information gathering to identify and explore the range of factors to consider when thinking of switching jobs or changing employers. We expect that this would include a number of factors:

- **Job or employer characteristics**
 - **Pay**, including hourly rate/total income, and the stability of this income;
 - **Job stability** including contract type/duration, reliability of hours and probation periods;
 - **Hours and flexibility** and the extent to which they fit caring responsibilities;
 - **Benefits** such as pension contributions and annual leave entitlement;
 - **Job fit** and the extent to which the claimant would be confident to manage in a new role or with increased responsibilities;
 - **Location** given a long commutes can be expensive and unmanageable;
 - **Progression/development potential** within current role and potential new roles;
- **Relationship characteristics**
 - Whether there are **supportive employer relationships** with employer and colleagues at the current role;
- **Individual characteristics**
 - **Caring responsibilities** and the extent to which they could be managed in the current and new role;
 - **Disabilities and health/mental health conditions** and the extent to which they can be managed in the current and new role;

Initiation meeting and report

At the start of the project we would hold an initiation meeting. In addition to agreeing the aims and outcomes of the project, the methodology, and the timescales, we would use this opportunity to gather information from the Authority on the key issues to be explored in the content material.

Authority stakeholder interviews

We would conduct three 45 minute stakeholder interviews with senior members of the UC team at the authority, such as [REDACTED], [REDACTED] and [REDACTED]. The interviews would explore the range of factors claimants might consider when thinking about moving jobs to secure progression and understand the Authority's view on what information might be helpful to enable informed decisions. Interviews would be digitally recorded with permission and transcribed by our secure transcribers.

Evidence review

We would conduct an evidence review of available research on the range of factors that affect UC claimants when potentially switching employers. This would explore how moving jobs can support progression from low pay, including the pay premium involved in job switching. We would also review literature focused on the potential risks involved with switching jobs. We will review information gathered from a number of existing L&W projects including:

- Our evaluation of the **Earnings Progression Trial**, funded by the Authority and delivered by Timewise Foundation to support parents on UC to progress in work. This involved profiling customer types by barriers and opportunities.
- The **Better Work Network**, which brings together 260 experts and stakeholders interested in supporting in-work progression to address evidence gaps around what works to support successful progression from low pay.
- The evaluation of the **Step Up** programme, focused on supporting in-work progression
- Our work with **Glasgow Council** to support in-work progression in the care sector;
- Our evaluation of Harrow and Hounslow Council's **Skills Escalator** project to support housing tenants to progress in hours and earnings;
- Our work with the **GLA** to support an in work progression pilot across sectors.

We will also include reports from other organisations, including *Low Pay Britain* (Resolution Foundation 2019), *In-work progression randomised control trials* (DWP 2018), *Rolling out Universal Credit* (NAO 2019), and evidence submitted to the Work and Pensions Committee's inquiry into in-work progression.

Claimant focus group

We would hold an initial focus groups with 8–12 in-work UC claimants. This would explore the range of factors claimants might consider when thinking about moving jobs in order to secure progression and understand the information that would be helpful to inform these decisions.

We would suggest claimants be recruited by Jobcentre Plus, with the aim of recruiting a diverse range of claimants who represent the claimant group, and the focus group held at a Jobcentre. We would offer incentive payments of £20 shopping vouchers for claimants who take part. All focus groups would be digitally recorded with permission and transcribed.

Work Coach focus group

We would propose holding an initial focus groups with Work Coaches. This would explore Work Coaches' views on the range of factors claimants might consider when thinking about moving jobs in order to secure progression, and what information work coaches need to help claimants make informed decisions. We would suggest that the advisors be recruited by Jobcentre Plus, and the focus group held at a jobcentre.

Representative body and subject matter expert interviews

Effectively engaging relevant representative bodies with subject matter expertise will be crucial to ensuring the content material is informed by high quality evidence and experiences and realities of claimants. We would conduct up to seven interviews with representative bodies to explore the issues identified in the literature review and focus groups. These interviews would be with organisations representing claimants facing particular challenges in progressing, and particular risks in moving jobs in order to progress. This could include:

- Groups representing working parents such as Timewise Foundation ([REDACTED]) Gingerbread ([REDACTED]), Working Families ([REDACTED]), Coram Family and Childcare ([REDACTED])
- Groups representing carers such as Carers UK ([REDACTED])
- Groups representing disabled people such as Disability Rights UK ([REDACTED])

We would also suggest interviewing employer representatives such as FSB ([REDACTED]) and CBI ([REDACTED]), as well as worker representatives such as TUC ([REDACTED]).

Finally, we would also suggest including stakeholders from in-work progression programmes such as Step Up, which L&W recently evaluated.

L&W has strong existing relationships with these groups, meaning we are well-placed to secure these interviews within the timescales. Interviews would be digitally recorded with permission and transcribed.

Case study development

We would seek to develop five case studies which highlight cases where claimants have changed their job to support progression. These would set out the issues the claimant weighed up in making the decision, the obstacles they faced, and how these were overcome. We would seek case studies which illustrate the issues raised in the literature review, interviews and focus groups. The emphasis would be on real-world situations, which highlight challenges, but with positive outcomes.

In order to identify potential case studies, we would seek support from Jobcentre Plus, from the representative bodies we will engage in the interviews, and potentially through the Better Work Network. Data would be gathered through a telephone call, with claimants offered an incentive in the form of a £40 shopping voucher to thank them for taking part. Case studies would be anonymised.

The information gathered in phase 1 will be used as the basis for the development of the content material in phase 2, before being tested both with UC claimants, work coaches, the Authority and stakeholders in phase 3. The process for testing and refining the content material is set out in 2.5.1.

Ensuring accuracy and recording sources

We would keep a clear record of the sources used for the content material, to ensure accurate provenance of the information. We will digitally record all interviews and focus groups with the permission of the participants to ensure we can refer back to the information. We will ensure that we reference all information provided in the content material, so that it can be reviewed if necessary.

Where we reference legal employment rights and pensions guidance, we will ensure all references are hyperlinked to referenced sources with the most up-to-date and accurate guidance/evidence available. We will also create a final Excel table of references used.

[2.3.1] Management Plan

Please describe how you plan to deliver the specified requirements within the specified timescales and how you have, or will ensure you have, the specified competencies in order to show that you are able to deliver the specified requirements.

Your response must as a minimum include:

- A clear Management Plan which should contain:
 - a time-bound programme of all the activities to be delivered, including providing regular updates to the Authority, in line with the specified requirements;
 - a clear plan of sources to be used to produce content material
 - timescales, deliverables, contractual milestones and resource requirements including key staff
- Your supporting justification of your Management Plan, which must clearly demonstrate how delivery will be managed and show how the specified requirements will be delivered within the specified timescales.
- A description of the competencies your staff resources will possess which clearly justifies how the competencies show that you are able to deliver the specified requirements.

Supplier Name	<i>Learning and Work Institute</i>
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Present your response at the top of a new page, within the pre-set margins in Arial font size 12 up to Three (3) sides of A4.

Below we set out how we will deliver the specified requirements within the timescales.

Project timings:

Below we set out the proposed project timings. These timings will be agreed with the Authority at the initiation meeting, and confirmed in our initiation report. More detail on each activity is available in *2.5.1 Production and Testing of Content Material*.

Initiation meeting	Mid-Oct
Initiation report	21 st Oct 2019
Authority interviews	21 st – 30 th Oct 2019
Literature review	21 st – 30 th Oct 2019
Claimant focus group 1	4 th – 8 th Nov 2019
Work coach focus group 1	4 th – 8 th Nov 2019
Stakeholder interviews	11 th – 15 th Nov 2019
Case study development	11 th – 15 th Nov 2019
Content material development	11 th – 22 nd Nov 2019
Claimant focus group 2	25 th – 29 th Nov 2019
Work coach focus group 2	25 th – 29 th Nov 2019
L&W send draft content material to the Authority for Quality Review	4 th Dec 2019
L&W present content to Authority's stakeholders at workshop	11 th Dec 2019
Authority returns comments/amendments to L&W	18 th Dec 2019
L&W send revised content to the Authority	20 th Jan 2020
Authority's sign-off for completed content material	Jan – Mar 2020

We confirm we have sufficient staff capacity to deliver to this plan, and we are happy with the proposed contractual milestones..

Sources to be used

We propose using the following sources to produce content material. More information on each is available in *2.5.1 Production and Testing of Content Material*:

- **Authority interviews** with stakeholders at DWP. Suggested interviewees set out in 2.5.1;
- **Literature review** of existing evidence on progression from low pay, and the opportunities and potential risks of switching jobs. Suggested literature set out in 2.5.1;
- **Claimant focus groups** with in-work UC claimants;
- **Work coach focus groups** with Jobcentre Plus staff supporting in-work UC claimants;
- **Stakeholder interviews** with organisations representing those facing specific barriers; Suggested interviewees set out in 2.5.1;
- **Case studies** based on interviews with in work UC claimants;
- **Workshop** with the authority and stakeholders.

Project management:

Below we set out our approach to project management, and how we will ensure delivery will be managed within the specified timescales. L&W has ISO 9001-certified systems and processes which allows us to ensure that all project management systems and research work we undertake maintains the highest ethical standards. We will begin the project with an

initiation meeting, where we will agree aims and objectives, our approach, the timescales, and the key point of contact at the Authority.

[REDACTED] will be project manager. **[REDACTED]** has led four projects for the Authority. These have included conducting qualitative depth interviews with high level DWP policy colleagues and UC claimants, as well as producing resources for Work Coaches in UC trial areas to support conversations about increasing hours and earnings.

While the specification requests monthly management information on progress, given the relatively short timescales (six weeks from initiation meeting to submission of draft content material) we would recommend fortnightly project updates. These would contain management information, progress with the project, next steps, and an update risk register. The project updates would be sent by **[REDACTED]** to the point of contact at the authority.

We have identified a senior team with relevant experience, skills and competencies. In the event of staff absence or turnover, we have alternative members of staff for each role. As Project Director, **[REDACTED]** will quality assure all outputs, including topic guides, the presentation to the workshop, and the draft and final content material.

L&W adheres to strict ethical guidelines in the conduct of its research. We have policies specifically for involving participants in research alongside our general research ethics policy. Confidentiality and anonymity requirements will be discussed with participants and voluntary informed consent will be gained from each. Research findings will be reported anonymously.

L&W is registered with the Information Commissioner's Office under the Data Protection Act 1998 and has a data protection policy that we implement in every area of our work. Processes and policies have been updated in line with GDPR and all staff are GDPR trained. Digital audio files and electronic copies of transcripts from interviews will be held securely and deleted once the project is complete. Use of personal data outside the purposes for which the data was obtained is a breach of our data protection policy, and L&W regards this a disciplinary offence. L&W only collects information that will be necessary for the answering of research questions. Data stored electronically are held in specific folders on L&W's server to which only employees have access. Personal data is only supplied to L&W staff assigned to the project for which it is being used, and only as is necessary for them to undertake the relevant task. As soon as is possible personal data that is no longer required for a given objective is destroyed and L&W conducts an annual data audit to ensure that data are not retained for longer than necessary. All our data is scanned via SonicWall Perimeter Antivirus/Malware device as well as Desktop Antivirus software.

Key staff and competencies

Our proposed project team has extensive relevant experience – including on projects for central government departments and the Authority – and a track record which demonstrates our ability to deliver the specified requirements on schedule and to high quality.

[REDACTED], Deputy Director of Research and Development – Project Director

[REDACTED] leads on L&W's work on employment and social security. He has over a decade of experience of employment and skills policy. Prior to joining L&W, **[REDACTED]** was a Senior Research Fellow at IPPR, focusing on employment and skills policy. **[REDACTED]** has also worked as a Senior Policy Officer at a local authority, where he worked on employment and social security policy. **[REDACTED]** has also worked as Head of Policy and Research at

a charity focused on employee involvement and participation, and as a Political Advisor to the Shadow Secretary of State for Business, Innovation and Skills.

[REDACTED] will attend project meetings with the Authority, he will help deliver the presentation of the findings to the Authority and stakeholders, he will provide oversight and strategic guidance for the project, and he will review and quality assure all outputs. Having worked both in employment and social security policy, and as an employment advisor, **[REDACTED]** is well-placed to oversee this project and to ensure that the content material meets the needs of the Authority, of work coaches and of claimants.

[REDACTED], Research Manager – Project Manager

[REDACTED] is a highly experienced project manager, specialising in mixed methods research, theory-led programme design and policy development. She project managed the Universal Support Delivered Locally Trials, research on UC incentive-driven payments, and proof of concept for the post office account conversion (PoCA), which involved interviews and focus groups with work coaches and claimants. **[REDACTED]** project-managed the JSA Sanctions early warning trials, and led a UC in work progression project with Timewise Foundation for the Authority which included research with customers and employers about decisions to progress in work. In a project on Advanced Learner Loans for DfE, **[REDACTED]** produced case studies on UC claimants and guidance for Work Coaches.

[REDACTED] will project manage from design to dissemination. She will be the key point of contact with the authority, providing fortnightly updates on progress, and monitoring and mitigating any risks. **[REDACTED]** will: conduct the interviews with the Authority and representative bodies; facilitate the focus groups with UC claimants and work coaches, will lead the workshop, and she will lead the drafting and re-drafting of the content material.

[REDACTED], Researcher – Project Researcher

[REDACTED] is a highly experienced mixed methods researcher who has held a variety of government research posts before joining L&W. **[REDACTED]** has extensive experience of conducting qualitative interviews and focus groups, including with UC claimants.

[REDACTED] has developed case studies, videos and guidance resources for a JP Morgan pre-apprenticeship programme.

[REDACTED] will act as a project researcher. She will conduct the literature review, support the organisation and facilitation of focus groups and the workshop, and support the write-up.

[REDACTED], Communications Officer – Communications support

[REDACTED] works on a wide range of content creation ranging from toolkits, posters, guidance documents and website content. **[REDACTED]** has worked on content material careers advice posters for HMRC, guidance resources on young adult carers for colleges and the Authority, and resources and toolkits on pre-apprenticeship programmes for JP Morgan.

[REDACTED] supports the dissemination of L&W's work, tailoring content for various audiences and gaining feedback from key stakeholders to improve our materials and to increase our impact.

[REDACTED] will support the drafting of the content material based on the information gathered in phase 2, ensuring it is pitched at the right level for the audience. **[REDACTED]** will attend the final two focus groups and the workshop, and she will support the re-drafting off the content material to reflect the feedback.

[2.5.1] Production and Testing of Content Material

Please explain how you will produce and test the content material to ensure that it is fit for purpose, specifically for use by the Authority and UC claimants.

Your response must as a minimum include:

- An explanation of how you will engage with relevant representative bodies to ensure you have sufficient insight in order to provide content material;
- A description of how you will ensure that the content material is fit for purpose, in line with the specified requirements, at the point of handover to the Authority for use by the Authority;
- A description of any anticipated risks associated with the design, production and testing of the content material and mitigation activity you will undertake to manage those risks.

Supplier Name

Learning and Work Institute

Present your response at the top of a new page, within the pre-set margins in Arial font size 12 up to **Three (3) sides of A4.**

Below we set out our approach to producing and testing the content material. Building on the data gathered in phase 1 (see 2.4.1), our approach to testing and refining the content material would ensure it fully meets the needs of the Authority and Universal Credit (UC) claimants.

Phase 2 – Content material development

Analysis

At the start of phase 2, we will collate all the information gathered in phase 1, and hold an internal team meeting to discuss and explore the emerging findings. We will then analyse the information in detail, using an excel framework to draw out the key themes. This will build on the issues highlighted in the invitation to tender, and in 2.4.1, but including any other issues that are highlighted regularly through phase 1 of the research.

Content material development

Using the excel framework with the information from phase 1 grouped into themes, we will develop draft content material. This Word document would clearly set out the opportunities and risks involved in moving jobs in order to support progression, highlighting the key issues claimants should consider in making the decision. The content material would include five case studies to draw out these issues. We will use a variety of formats agreed with department, potentially including:

- Overall guidance against key factors needed to make decisions about job switching
- Claimant typologies affected by different profiles of capacity to switch jobs
- Case study narratives
- Infographics
- Key messages

The content material would be written by our research team with the support of [REDACTED] from our communications team, to ensure it is pitched at the right level and accessible to the right audience. The draft content material would be reviewed by the project director before submission to the Authority to ensure it is fit for purpose and in line with the specified requirements.

Phase 3 – Content material testing

Claimant focus group

We would conduct a further focus group with the same UC claimants to test the draft content material. Held towards the end of the project, this focus group would introduce the content material, explore it with claimants, and seek feedback on how it could be improved. We would use draft materials as stimulus for UC claimants and consider their responses according to the COM-B model behaviour change (which details psychological dimensions of opportunity, motivation and capability important for influencing behaviour change), noting where claimants' felt they had sufficient information and advice to make informed decisions about their future progression options across these dimensions. We have successfully used this approach in a Department for Education funded research project *Decisions of Adult Learners*.

We would also seek to test:

- The appearance of the materials
- The tone of the language used
- The clarity of the information contained within the content

Work coach focus group

We would conduct a further focus group with Jobcentre Plus Work Coaches to test the content material. Held towards the end of the project, the focus group would introduce the content material, explore it with work coaches, and seek feedback on how it could be improved.

We would seek to ensure that:

- Content supports Work Coaches ability to have good quality conversations with claimants about their options for progressing in work
- The content is clear
- Content could be used at different stages of the UC claimant journey

Stakeholder workshop

We would conduct a workshop with the Authority to test the content material. The draft content material would be provided to the authority a week in advance, and then presented to the workshop. We would seek feedback from attendees on the content material, its usability and appropriateness for the target group and proposed uses, and how it could be improved.

We would ensure that all outputs from the content produced:

- Meet the Authority's communication standards
- Are fit-for-purpose according to the Authority's communication needs
- Can feasibly be adapted and used in a variety of communication contexts

We would agree with the Authority attendance at the workshop, but we would suggest that this might include members of the Universal Credit team, senior Jobcentre Plus staff, and the representative bodies identified above. We would also provide an option to split the workshop into two parts, where external stakeholders are invited for one part of the review process, leaving a second session for Authority colleagues to consider in confidence the content produced. We would suggest the workshop would be held at the Authority's offices on Monday 9th December 2019.

Phase 4 – Revisions and sign off

Following the workshop, we would revise the content material to reflect the feedback from the focus groups and the action workshop. We would produce a revised final draft to the Authority by 20th January 2020 for approval.

The final content material would be reviewed by the project director before submission to the Authority to ensure that feedback from the workshop has been fully reflected and that it is fit for purpose and in line with the specified requirements. We will ensure that the content

material includes a clear record of sources used to both ensure accurate provenance of the information, and to allow for validation if necessary.

While our methodology will ensure that the content material is informed by academic evidence and expert stakeholders, we will ensure that the content material is pitched at a suitable working level and that it is practical and usable by both work coaches and claimants.

We understand the material will be used for a range of activities, including internal learning and guidance, a toolkit for work coaches to reference in conversations with claimants, and potentially a toolkit for claimants. L&W has extensive experience of producing such material, both for use by government departments, for frontline staff, and for service users. We understand the importance of using high quality evidence, but ensuring the information is accessible and usable by the target audience.

Project risks and mitigation

Below we set out the risks that we have identified with this project, and our approach to managing and mitigating these risks.

Risk	Likelihood	Severity	Management and mitigation
Difficulty in recruiting claimants for focus groups	Low	High	We would engage with Jobcentre Plus to help recruit claimants and offer incentive payments for participants.
Difficulty in finding case studies	Medium	High	We would engage with Jobcentre Plus to help identify appropriate case studies and offer incentive payments for participants. We also have access to our better work network and existing contacts from in work support evaluations who may be able to provide good case study examples and claimants for interview.
Content material is not pitched at the right working level	Low	High	We would test the draft content material in focus groups for claimants and work coaches, and with the Authority. We have also included a member of L&W's own communications team to ensure that all outputs produced by our researchers is clear, accurate and usable by a variety of different audiences.
Content material is not delivered in time	Low	High	We will ensure through our project management systems and flexible team capacity that all outputs are delivered on time and to a high standard
Staff absence or turnover impacts delivery	Medium	Low	We have alternative staff available to deliver the project in the event of unforeseen absence.