

## DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

### Part 1: Letter of Appointment – DWP Project 23500

This letter of Appointment dated (to be advised at award), is issued in accordance with the provisions of the DPS Agreement (RM6018) between CCS and the Supplier.

Capitalised terms and expressions used in this letter have the same meanings as in the Contract Terms unless the context otherwise requires.

Order Number:	To be completed at Contract Award
From:	Department for Work and Pensions ("Customer")
To:	Mori Ltd ("Supplier")

Effective Date:	7 <sup>th</sup> July 2021
Expiry Date:	End date of Initial Period: 31 March 2024 End date of Maximum Extension Period: 28 June 2024 Minimum written notice to Supplier in respect of extension: 4 weeks

Services required:	Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by:  · The Customer's Project Specification attached at Annex B, the Supplier's Proposal attached at Annex C, and Bid Clarification Questions and Responses at Annex D
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Key Individuals:	REDACTED <u>Sub Contractors:</u> Institute for Employment Studies, City Gate, 185 Dyke Road Brighton, Hove BN3 1TL Contact: REDACTED on the case studies research strand  • Trading Name(s): Paton-Williamson Ltd • Registered Address(ees) and Contact Details The Old Court Yard 8 Stratton Audley Manor, Mill Road, Stratton Audley, Oxon, OX27 9AR • Goods/Services to be provided: Recruitment specialist • Trading Name(s): Criteria Fieldwork Limited • Registered Address(ees) and Contact Details
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	144 Liverpool Road  London  N1 1LA <ul style="list-style-type: none"> <li>• Goods/Services to be provided: Recruitment specialist</li> </ul> Both recruitment companies are approved suppliers and have passed Ipsos MORI's security checks. They are named on our DWP GSAD form.
Guarantor(s)	Not Applicable

Contract Charges (including any applicable discount(s), but excluding VAT):	The rates in Annex A are to remain firm for the duration of the contract  <b>For the avoidance of doubt, the total contract value will not exceed £1,331,000.00 exc. VAT</b>
Insurance Requirements	Additional public liability insurance to cover all risks in the performance of the Contract, with a minimum limit of £1 million for each individual claim.  Additional employers' liability insurance with a minimum limit of £1 million indemnity.  Additional professional indemnity insurance adequate to cover all risks in the performance of the Contract with a minimum limit of indemnity of £1 million for each individual claim.  Product liability insurance cover all risks in the provision of Deliverables under the Contract, with a minimum limit of £1 million for each individual claim
Liability Requirements	<b>Suppliers limitation of Liability</b> (Clause <b>Error! Reference source not found.</b> of the Contract Terms);  <i>Clause 18.2 of the Contract Terms shall apply</i>
Customer billing address for invoicing:	All invoices shall include the appropriate purchase order number and shall be submitted directly to DWP SSCL Accounts Payable at: REDACTED

GDPR	Schedule 7 (Processing, Personal Data and Data Subjects) of Attachment 5b RM6018-Call Off Contract Terms
Alternative and/or additional provisions (including Schedule 8 (Additional clauses)):	The Supplier will not use the app (AppLife) until it has been approved for used by DWP.  Completion of Generic Security Accreditation Document (Annex A of the Bid Pack)

## **FORMATION OF CONTRACT**

**BY SIGNING AND RETURNING THIS LETTER OF APPOINTMENT** (which may be done by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Services in accordance with the terms of this letter and the Contract Terms.

The Parties hereby acknowledge and agree that they have read this letter and the Contract Terms.

The Parties hereby acknowledge and agree that this Contract shall be formed when the Customer acknowledges (which may be done by electronic means) the receipt of the signed copy of this letter from the Supplier within two (2) Working Days from such receipt

**For and on behalf of the Supplier:**

**For and on behalf of the Customer:**

Name and Title: REDACTED

Name and Title: REDACTED

Signature: REDACTED

Signature: REDACTED

Date: 9 July 2021

Date: 20 July 2021

**ANNEX A**  
**RATE CARD**  
**REDACTED**

## **ANNEX B**

### **Customer Project Specification**

(Statement of Requirements)

#### **1. PURPOSE**

- 1.1 The Department for Work and Pensions (“the Authority”) invites tenders for a research project consisting of two strands of evaluation DWP’s Plan for Jobs provision. This includes a longitudinal survey and supporting qualitative research of participants and non-participants in the provision, and case studies of the provision in different regions and sectors.
- 1.2 This tender is in two parts; case studies, and participant and non-participant research. Proposals must include both of these elements.
- 1.3 Case studies will be of regions and sectors affected by the delivery of Plan for Jobs provision. Case studies will comprise of observations, semi-structured interviews, focus groups, and other qualitative research methods as appropriate, and be carried out with DWP operational staff, claimants, employers, providers, industry representatives, local support organisations, and local government.
- 1.4 The participant and non-participant work will comprise of:
  - 1.4.1 Twenty-five (25) scoping interviews.
  - 1.4.2 A three(3)-wave annual tracking survey aiming for a minimum of ten thousand (10,000) survey responses in the first wave; comprising of a minimum of five thousand (5,000) responses in the first fieldwork period of the first wave and additional five thousand (5,000) responses for the second fieldwork period of the first wave. This means the survey will be split equally across two (2) fieldwork periods with different participants in each, carried out a few months apart.
  - 1.4.3 An average of sixty (60) qualitative research encounters after each wave of the survey (split between each fieldwork period) adding to a total of one hundred and eighty (180).
- 1.5 Plan for Jobs is a package of provision announced in July 2020 to support claimants into work. The DWP provision includes the Kickstart scheme, Job Finding Support, the Youth Employment Programme, Job Entry Targeted Support, Restart, increased capacity on the Sector-based Work Academy Programme, and increasing the number of Work Coaches. The Coronavirus Job Retention Scheme (CJRS), Self-Employment Income Support Scheme (SEISS), and other provision delivered outside of DWP is not the focus of the research.

- 1.6 The core purposes of the research are to evaluate how DWP's Plan for Jobs provision works as a whole and the links between and across the different offers, and to establish distance travelled towards work of those eligible for Plan for Jobs. The research will also evaluate how well referrals and starts work for eligible participants, monitor customer journeys through programmes and between programmes, and gain a better understanding of why, where programmes are not mandatory, claimants choose not to participate in programmes and whether there are any key demographic groups for which this is typical – including the effects of work coach discretion when programmes are mandatory. Additionally, it will evaluate the effects of employment programmes within a localised setting and better understand how they work within key sectors.

## **2. BACKGROUND TO THE CONTRACTING AUTHORITY**

- 2.1 The Department for Work and Pensions (“the Authority”) is responsible for welfare, pensions and child maintenance policy. As the UK's biggest public service department it administers the State Pension and a range of working age, disability and health benefits to millions of claimants and customers.

## **3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT**

- 3.1 During the Covid-19 pandemic, the number of people on Universal Credit increased from 3 million in March, to 5.8 million in November<sup>1</sup>. In response, the Plan for Jobs suite of new provision was announced in July 2020 and delivery of some provision has started.
- 3.2 The Plan for Jobs provision in DWP includes: significantly increasing the number of work coaches in DWP; Job Finding Support, which supports claimants with their work search; an extended Youth Offer, which provides a range of support targeted at 18 to 24 year olds; the Kickstart scheme, in which employers create grant-funded jobs for 16-24 year olds; Job Entry Targeted Support, which will provide flexible support for medium-term unemployed claimants; Sector-based Work Academy Programmes, which will provide experience and skills of working in specific industries; and Restart, which will provide enhanced support to help claimants who have been out of work for at least 12 months find jobs in their local area.
- 3.3 Provision-specific evaluations will be carried out separately in many cases. These will seek to evaluate the processes underlying each provision, their effectiveness, and value for money. This evaluation will not replace or detract from provision-specific evaluations, but instead focus on understanding factors that relate to all of the Plan for Jobs provision.

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<sup>1</sup> <https://commonslibrary.parliament.uk/research-briefings/cbp-8999/>

#### 4. DEFINITIONS

Expression or Acronym	Definition
Universal Credit (UC)	Universal Credit is a replacement for six other benefits.
Claimants	People in receipt of Universal Credit or other benefits from DWP.
Plan for Jobs	The package of provision announced in July 2020 to support claimants into work. It includes the Kickstart scheme, Job Finding Support, the Youth Employment Programme, Job Entry Targeted Support, Restart, increased capacity on the Sector-based Work Academy Programme, doubling the number of Work Coaches. The package of provision will evolve during the contract as it is amended with the aim of meeting the needs of those impacted by the coronavirus pandemic. This evaluation is specifically of the provision delivered by DWP. The Coronavirus Job Retention Scheme (CJRS), Self-Employment Income Support Scheme (SEISS), and other provision delivered outside of DWP are not in scope.
Participants	Claimants who are currently or have previously participated in Plan for Jobs provision delivered by DWP.
Non-participants	Claimants who are eligible to participate, but have not previously and are not currently participating in Plan for Jobs provision delivered by DWP.

#### 5. SCOPE OF REQUIREMENT

5.1 The high level objectives of this research will be to understand how Plan for Jobs provision is being delivered as a whole package, its impact on labour market sectors and geographical regions, and the reasons behind claimants not engaging with the provision.

5.2 The contract will terminate on 31 March 2024.

5.3 Findings from the research should help the Authority to answer the following research questions – grouped thematically:

##### 5.3.1 Overarching

5.3.1.1 How are decisions made around which claimants are referred to each intervention? Where claimants are eligible for more than one intervention, how do Job Centre staff advise claimants? How, if at all, do Job Centre staff personalise their approach to referring claimants to the labour market offer?

- 5.3.1.2 Do Job Centre staff have a good understanding of the range of provision available to different claimants?
- 5.3.1.3 What happens to those who are randomised or selected out of interventions? What other support, if any, do they access? What outcomes do they achieve?
- 5.3.1.4 How well prepared are participants for each intervention?
- 5.3.1.5 What accounts for differences in outcomes between programmes, and between claimant groups?
- 5.3.1.6 What happens to unsuccessful participants (those who do not achieve sustained work outcomes)? Are they referred to additional provision? How is their motivation and wellbeing affected and how does this affect their journey back towards employment? What is the additionality of using multiple provision?
- 5.3.1.7 What differences in experience occur between those on voluntary and those on mandatory provision?
- 5.3.1.8 To what degree do locality and sector impact a claimants' journey toward the labour market?
- 5.3.2 Non-participant research
  - 5.3.2.1 What are the barriers, enablers, and motivators for claimants to participate and not participate in DWP's Plan for Jobs provision?
  - 5.3.2.2 What, if any, are the measurable differences between participants and non-participants? What, if any, are the predictors of whether or not claimants participate in DWP's Plan for Job provision?
  - 5.3.2.3 What, if any, are the differences in the outcomes and experiences of claimants who complete DWP's Plan for Jobs provision, those who do not complete provision, and those who do not participate in provision at all?
- 5.3.3 Regional and sectoral case studies
  - 5.3.3.1 How do local circumstance and socio-economic status of the claimant pool affect referrals and starts? How have areas been impacted by local restrictions as a result of Covid-19? To what degree does the local labour market fall into sectors that have been adversely affected by Covid-19?



- 5.3.3.2 Are there differences in delivery of Plan for Jobs between geographical areas? Why? What can we learn from these differences to help us support claimants more effectively? Are there examples of good practice that could be implemented elsewhere?
- 5.3.3.3 Do DWP's Plan for Jobs policies help meet the labour needs of demand and growth sectors? What more could be done to support sectors recruit claimants who participated in Plan for Jobs provision? How do hiring practices and relationships between Job Centres and employers in these sectors function in practice?
- 5.3.3.4 How does Plan for Jobs affect particular sectors or regions? How does it interact with other policies, including local interventions, and the trajectory of different sectors?
- 5.3.3.5 How well do working relationships between Jobcentres and external providers function? How well information needs are met and how timely and straightforward are referral processes?
- 5.3.3.6 Are Job Centre and claimant relationships with partners/providers effective?

## **6. THE REQUIREMENT**

- 6.1 The successful Supplier will design, pilot (where indicated), deliver, analyse and report on the activities outlined in section 6.2.
- 6.2 The research activity is in two parts; case studies, and participant and non-participant research. Proposals must include both elements.
  - 6.2.1 The requirement for the case studies is a rolling schedule of case studies of the delivery of DWP's Plan for Jobs provision in different regions and with different sectors, and its interaction with the circumstances of those regions and sectors.
    - 6.2.1.1 Final decision on the regions and sectors for case studies rests with the Authority.
    - 6.2.1.2 The Authority suggests as a guideline that each case study will consist of between twenty and forty (20 and 40) substantial research encounters, to include any appropriate combination of interviews, focus groups, observations, diary studies, and other methods suggested by the successful Supplier (with agreement by the Authority).
    - 6.2.1.3 Research encounters may occur online, by telephone, or face to face, as agreed by the Supplier and the Authority.

As long as Covid-19-related restrictions on movement and mixing remain in place, online and telephone methods will be preferred to minimise risk to participants and Supplier staff.

- 6.2.1.4 Participants will include Jobcentre staff, claimants (including vulnerable people), employers, providers, industry representatives, local support organisations, local government and other relevant groups suggested by the successful Supplier (with agreement by the Authority) or suggested by the Authority (with agreement by the Supplier).
- 6.2.1.5 A minimum of six (6) and a maximum of ten (10) case studies will be required in 2021/2022, a minimum of six (6) and a maximum of ten (10) in 2022/2023, and a minimum of four (4) and maximum of six (6) in 2023/2024. Potential Suppliers should recommend a volume of case studies in each relevant financial year to achieve a balance of depth of insight and breadth of evidence.
- 6.2.1.6 The case studies will be targeted at specific regions and industrial sectors. A region may refer to a Jobcentre District, a county, a local authority, a combined authority, or a defined area dominated by a major industry (e.g. a tourist region); the definition is flexible and this list is not exhaustive. An industrial sector may refer to a major sector such as agriculture or technology, a specific industry such as aviation, or to a growth sector such as construction. Subject to agreement between the Supplier and the Authority, an initial tranche of target sectors and regions will be agreed for the first six (6) months of the contract, then each six (6) months a new tranche of target sectors and regions will be agreed between the Supplier and the Authority. It is expected that the selection of regions and sectors will respond to policy needs as set out by the Authority.
- 6.2.1.7 New case studies may start before previous case studies have finished if necessary, but there should be a spread of start dates for case studies throughout each year. The successful Supplier will conduct case studies spread throughout each year of the contract.
- 6.2.1.8 The case studies should make use of a qualitative comparative analysis approach to attempt to explain why different claimants, and different regions and groups of claimants in them, achieve their given level of work-related outcomes through Plan for Jobs policies. Comparisons

should be made between claimants within each case study, and between case studies of different regions and sectors.

6.2.1.9 The Supplier will be expected to make use of Realist evaluation methods or similar approaches in the case studies, to elucidate how the support offer in DWP's Plan for Jobs provision is working for particular regions and sectors. The Supplier is encouraged to suggest the use of innovative evaluation methods for specific case studies to better answer the research questions; the application of such methods in practice will be subject to approval by the Authority.

6.2.1.10 An outline scope, delivery plan, timetable, research materials (e.g. topic guides and observation guides) and analysis plan should be produced by the Supplier at the start of each case study, for approval by the Authority. The Supplier will be required to allow for one round of comments from the Authority on the research materials per case study. Research materials such as topic guides may be re-used as appropriate with local tailoring of questions, subject to approval by the Authority.

6.2.1.11 The Authority will make reasonable efforts to provide data on potential participants for each case study, but the Supplier will also be required to recruit some participants itself, using (for example) snowball sampling or approaching relevant organisations with requests to participate in the research.

6.2.2 The requirement for the participant and non-participant work will be in three (3) parts:

6.2.2.1 Part one (1) will be twenty-five (25) scoping interviews with claimants who are eligible for Plan for Jobs provision. These will inform the content of the surveys.

6.2.2.2 Part two (2) will be piloting and delivering a three (3)-wave tracking survey, for which each wave will be split into two (2) fieldwork periods. The total number of survey responses will aim to be at least ten thousand (10,000) for the first wave. This will be split equally between the two (2) fieldwork periods, comprising of a minimum of five thousand (5,000) responses for the first fieldwork period of the first wave and an additional five thousand (5,000) responses for the second fieldwork period of the first wave.

- 6.2.2.3 The samples will be made up of claimants who are participating or are eligible to participate in the full range of Plan for Jobs provision delivered by DWP. The samples will be followed longitudinally over three (3) years. The non-participant samples in the first wave of the survey should account for over half of the responses to account for some of the non-participants in provision in wave one (1) becoming participants in subsequent waves. The Authority will supply further details to the successful Supplier prior to the fieldwork, to minimise changes while new claims and referrals are being made. The Authority recognises that the samples may not be big enough to represent all groups in waves 2 and 3.
- 6.2.2.4 The Authority anticipates that the second and third waves of the survey will target all respondents from the first wave. The Authority invites proposals that take innovative approaches to maximising response rates and minimising attrition (wave non-response) in the survey while minimising cost.
- 6.2.2.5 We envisage that the research will be conducted via a mixed online and telephone survey approach, for all three (3) waves. This means some respondents will give their response by telephone and some online securely and anonymously. No respondent should be using both online and telephone methods to complete the survey. The Authority requires the potential Supplier to set out its approach in the proposal and to justify its selection.
- 6.2.2.6 The purpose of including telephone responses is to ensure expected response rates are achieved, whilst also ensuring any groups with limited online access are represented. Potential Suppliers should assume the Authority will be able to provide email addresses for all claimants in the samples, but that a minority of claimants will struggle to access computers or other devices to regularly get online (e.g. those with ESOL (English to Speakers of Other Languages) or other barriers). Therefore, the Authority envisages that the telephone effort to be concentrated on these claimants to ensure their voices are represented in the overall findings.
- 6.2.2.7 The Authority will provide up-to-date subgroup statistics, subject to data availability, when sharing the samples with the successful Supplier. Potential Suppliers should set out how they will make provision to over-sample any key subgroups, and should justify any subgroups of interest for the survey.

- 6.2.2.8 Part three (3) will be a total of one hundred and eighty (180) qualitative research encounters to take place subsequent to survey waves. This will be split into an average of thirty (30) research encounters after each fieldwork period. These will add depth to the understanding of the topics covered in the survey and may be more research encounters after survey waves where findings that cannot be explained by existing research. If more than thirty (30) research encounters take place in one period of research, subsequent fieldwork waves would then include fewer research encounters to reach an average of 30 per fieldwork period. The number of research encounters in each fieldwork period to be agreed with the Authority.
- 6.2.2.9 The Authority suggests these will be a combination of interviews and focus groups, but other methodologies suggested by the successful Supplier may be used with agreement from the Authority.
- 6.3 The successful Supplier must attend quarterly meetings of the evaluation steering group, to update the steering group on the research and discuss the research.
- 6.4 Dates for research activity
- 6.4.1 Case studies will start as soon as possible in summer 2021 and will continue on a rolling schedule of fieldwork and reporting the findings throughout the duration of the contract. The Authority request that some case studies are revisited one year on from the initial fieldwork in the location. The final case study should be finished by the 31<sup>st</sup> October 2023 to allow time to include findings in the final report.
- 6.4.2 Scoping interviews with participants and non-participants will take place in spring 2021.
- 6.4.3 The first fieldwork period for wave one (1) of the survey will take place in summer 2021. The second period of fieldwork will take place in autumn/winter 2021. Waves two (2) and three (3) will each take place in subsequent calendar years. They will also be split into two (2) fieldwork periods.
- 6.4.4 Qualitative fieldwork with survey participants will take place soon after each survey research period. Exact timings will be dependent on timing of the survey fieldwork and analysis.
- 6.5 The successful Supplier will work closely with the Authority and stakeholders to design the research materials. Final sign off of any research materials will be required from the Authority before the research can proceed. The successful Supplier will only begin the recruitment, and subsequent fieldwork, for each

research element after the Authority signs off on detailed plans and procedures for the recruitment and fieldwork.

- 6.6 The Authority will update the successful Supplier of any changes to Plan for Jobs provision or Jobcentre processes that may impact this project. Coronavirus restrictions may also impact the delivery of the project. The research design and content of research materials may need to adapt to reflect any changes.
- 6.7 A steering group will oversee the project on behalf of the Authority. The questionnaires for each wave of the survey will require sign off from the steering group before taking place. Case study selection and research materials will also require sign off from the steering group before taking place, by correspondence.
- 6.8 Potential Suppliers should be aware that the Department for Work and Pensions has signed up to the Welsh language Scheme and where it conducts public business in Wales it treats the English and Welsh languages equally. Research commissioned on behalf of the Department is therefore subject to these provisions. In practice this means that, where Wales is included in the sample, contractors must make provision for:
  - 6.8.1 Invitation letters to sample members to be issued in both English and Welsh
  - 6.8.2 Postal questionnaires to be translated into Welsh, where requested
  - 6.8.3 Answering telephone queries from Welsh speaker in Welsh
  - 6.8.4 Conducting telephone and face to face interviews in Welsh where sample members request this
- 6.9 The successful Supplier should be able to provide or subcontract services such as translation services to include participants who would not otherwise be able to participate in the research, as and when needed, after consultation with the Authority.
- 6.10 The successful Supplier will agree its approach to analysing and reporting on the qualitative research with the Authority before the analysis and reporting is undertaken.
- 6.11 The successful Supplier shall deliver the following outputs:
  - 6.11.1 Regular weekly updates, either by telephone or email, on the progress of fieldwork, analysis and other activities.

- 6.11.2 Draft research materials for each research element, including localised versions of topic guides and similar materials for each case study.
- 6.11.3 The successful Supplier will revise these draft materials according to feedback from the Authority and supply final versions before fieldwork commences.
- 6.11.4 The Successful Supplier must provide written weekly updates on survey response rates while each wave of the survey is live, to the Authority's project manager.
- 6.11.5 Analysis plans:
  - 6.11.5.1 Case study strand: a high level analysis plan produced at the start of each case study.
  - 6.11.5.2 Participant and non-participant strand: a detailed analysis plan for each element of the evaluation, to include details of statistical tests and subgroup analyses, and qualitative analysis techniques.
- 6.11.6 Verbal presentations of findings to the Authority;
  - 6.11.6.1 Two (2) presentations each year of the contract detailing the findings of all fieldwork from the previous 6 months.
  - 6.11.6.2 Case study strand: two (2) additional presentations each year of the contract, taking place three (3) months after the presentations outlined in 6.11.6.1, detailing the findings of the case studies from the previous three (3) months.
  - 6.11.6.3 A presentation of the overall findings to support the dissemination of the final report.
- 6.11.7 A slide pack to support each presentation, in a format to be agreed with the Authority. Slide packs should be suitable for sharing with the Authority's stakeholders.
- 6.11.8 An additional short slide pack of findings from each case study within one month of completing each case study.
- 6.11.9 A draft written report of publishable standard, adhering to the Authority's standards and styles. It should consist of a standalone summary of no more than four (4) pages, and a full report written for a lay audience, with technical appendices (exact length to be agreed). This report will cover findings from the case studies, and participant and non-participant research. We require all draft reports to be signed off at Director level before being submitted to DWP.

- 6.11.10 The successful Supplier will revise the draft report according to feedback from the Authority and supply a final version.
- 6.11.11 The cleaned and weighted survey datasets must be made available to the Authority within one (1) month of completion of each fieldwork period of the survey. These should be in IBM SPSS or SAS analytics software or equivalent, alongside the syntax/code for any derived variables used in the report.
- 6.11.12 The successful Supplier will provide documentation of how the survey data was weighted, how it was cleaned, and which survey question each variable corresponds to, which is to be provided at the same time as each survey dataset is transferred to the Authority.
- 6.11.13 The successful Supplier will provide a point of contact for the Authority to contact outside of scheduled meetings.
  - 6.11.13.1 This requirement is usually handled informally: Suppliers simply provide a point of contact, who is available to answer phone and email queries about the research.
  - 6.11.13.2 While it is difficult to predict the volume of queries, the workload involved is usually not large. Queries are normally quick and specific. Most queries occur between the end of fieldwork and the publication of the report. After the report is published, queries are rare, but it may be important to clarify aspects of the research.
  - 6.11.13.3 When specific members of the successful Supplier's staff are unavailable, it will be necessary for other members of staff to deal with queries. As such, the research proposal must detail how the supplier will provide cover when a member of their staff is unavailable.

## **6.12 Ethical and legal issues**

- 6.12.1 The Successful Supplier shall ensure that the research it supports is carried out to high ethical standards. This includes adhering to the principles laid out in Government Social Research Ethical Assurance Guidance.
- 6.12.2 The Successful Supplier must obtain participants' informed consent to take part in the research. The approach to obtaining informed consent from prospective research participants will be agreed between the Supplier and the Authority before the commencement of fieldwork. The Supplier will send the final informed consent materials used to the Authority for approval before the fieldwork begins.
- 6.12.3 The Authority intends to link data from the survey to wider administrative datasets, for further analysis by the Authority's



analysts. The successful Supplier must provide the full survey dataset to the Authority to facilitate any data linking and secondary analysis. Potential Suppliers are to set out their approach to making this data transfer, including ensuring compliance with General Data Protection Regulation (GDPR, see section 16 below for further detail).

### 6.13 Risk management

- 6.13.1 As part of the requirement potential Suppliers should outline potential risks and mitigating arrangements on an ongoing basis, for carrying out this research in their proposal.
- 6.13.2 A risk shall be defined as any factor that may delay, disrupt or prevent the full achievement of a project objective. The Supplier shall provide a report to the Authority which shall include an assessment of each risk, together with a rating of the risks likelihood and its impact on a project objective. The risk assessment should also identify appropriate actions that would reduce or eliminate each risk or its impact.

## 7. KEY MILESTONES AND DELIVERABLES

- 7.1 The Potential Supplier should note the following project milestones that the Authority will measure the quality of delivery against:

Milestone	Description	Timeframe
April 2021 – March 2022		
1.	Project initiation meeting between Supplier and the Authority.	Within week one (1) of Contract Award
2.	Research plan and sampling strategy for the first six (6) months of activity agreed and signed off with the Authority, including agreeing case study schedule.	Within one (1) month of contract award date. To be reassessed every six (6) months for the duration of the contract.
3.	Participant and non-participant strand: Develop the topic guide and recruitment materials for the scoping interviews, re-design it as necessary in response to feedback from the Authority.	Within two (2) month of contract award date.

4.	Case study strand: Send opt-in emails to prospective case study participants for each case study.	Within one (1) month of each initial sample being transferred from the Authority to Supplier.
5.	Case study strand: Conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. Exact schedule for first tranche of case studies (in first six (6) months of contract) to be determined within first month of contract.
6.	Case study strand: Develop recruitment and research materials for case studies, re-design as necessary in response to feedback from the Authority.	Within one (1) month of contract award date.
7.	Case study strand: Findings analysed and reported for each case study.	Within one (1) month of completion of each case study.
8.	Case study strand: Present findings of case studies from the previous three (3) months. Slides shared with the Authority.	After three (3) months of case studies starting.
9.	Participant and non-participant strand: Send opt-in emails for scoping interviews.	Within one (1) month of sample being transferred from the Authority to Supplier.
10.	Participant and non-participant strand: Send opt-out emails to prospective participants in the first fieldwork period of the first wave.	Within one (1) month of sample being transferred from the Authority to Supplier.
11.	Participant and non-participant strand: Conduct scoping interviews. Analysis of scoping interviews and presentation to the Authority.	Within three (3) months of sample being transferred from the Authority to Supplier.

12.	Participant and non-participant strand: Develop first wave questionnaire and recruitment materials, informed by scoping interviews. Pilot and re-design as necessary in response to feedback from the Authority.	Within one (1) month of scoping interview presentation to the Authority.
13.	Participant and non-participant strand: Conduct first period of fieldwork of first wave of survey.	To occur during summer 2021.
14.	Participant and non-participant strand: Develop topic guides for qualitative research for the first fieldwork period for the first wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the first fieldwork period of the first wave of the survey going live.
15.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the first fieldwork period of first wave of research.	Within two (2) months of the first fieldwork period of the first wave of the survey going live.
16.	Participant and non-participant strand: Analysis and dataset of the first period of fieldwork of the first wave of the survey.	Within one (1) month after completion of the first fieldwork period of participant and non-participant research.
17.	Presentation of all findings from previous six (6) months. Slides shared with The Authority. Payment upon completion of this milestone.	Within one (1) month after completion of the first fieldwork period of participant and non-participant research.
18.	Develop research plan for the next six (6) months of case studies. Agree and sign off with the Authority.	Six (6) months after first research plan signed off.
19.	Case study strand: Continue to send opt-in emails to prospective case study participants and adapt research materials for each case study. Re-design research materials as necessary in response to feedback from the Authority.	In line with most recently agreed research plan.

20.	Case study strand: Continue to conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. To be carried out in line with most recently agreed research plan.
21.	Case study strand: Continue to analyse and report findings for each case study.	Within one (1) month of completion of each case study.
22.	Case study strand: Present findings of case studies from the previous three (3) months. Slides shared with the Authority.	After three (3) months of case studies starting.
23.	Participant and non-participant strand: Make adaptations to the first wave questionnaire, as appropriate in preparation for the second period of fieldwork for the first wave. Re-design as necessary in response to feedback from the Authority.	Within two (2) months of completion of first period of fieldwork of first wave.
24.	Participant and non-participant strand: Send opt-out emails to prospective participants of the second period of fieldwork of the first wave of the survey.	Within one (1) month of sample being transferred from the Authority to Supplier.
25.	Participant and non-participant strand: Conduct second period of fieldwork for first wave of survey.	To occur during late 2021.
26.	Participant and non-participant strand: Develop topic guides for the second period of fieldwork for the first wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the second fieldwork period of the first wave of the survey going live.
27.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the first fieldwork period of first wave of research.	Within two (2) months of the second fieldwork period of the first wave of the survey going live.

28.	Participant and non-participant strand: Analysis and dataset for the whole of the first wave of the survey.	Within one (1) month after completion of the second fieldwork period of participant and non-participant research.
29.	Presentation of all findings from previous six (6) months. Slides shared with the Authority. Payment upon completion of this milestone.	Within one (1) month after completion of the first fieldwork period of participant and non-participant research.
April 2022 – March 2023		
30.	Develop research plan for the next six (6) months of case studies. Agree and sign off with the Authority.	Six (6) months after previous research plan signed off.
31.	Case study strand: Continue to send opt-in emails to prospective case study participants and adapt research materials for each case study. Re-design research materials as necessary in response to feedback from the Authority.	In line with most recently agreed research plan.
32.	Case study strand: Continue to conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. To be carried out in line with most recently agreed research plan.
33.	Case study strand: Continue to analyse and report findings for each case study.	Within one (1) month of completion of each case study.
34.	Case study strand: Present findings of case studies from the previous three (3) months. Slides shared with the Authority.	Three (3) months after previous presentation.
35.	Participant and non-participant strand: Send opt-out emails to prospective participants of the first period of fieldwork of the second wave of the survey.	Within one (1) month of sample being transferred from the Authority to Supplier.

36.	Participant and non-participant strand: Develop second wave questionnaire. Re-design as necessary in response to feedback from the Authority.	To occur during spring 2022.
37.	Participant and non-participant strand: Conduct first period of fieldwork for second wave of survey.	To occur during summer 2022.
38.	Participant and non-participant strand: Develop topic guides for qualitative research for the first fieldwork period of the second wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the first fieldwork period of the first wave of the survey going live.
39.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the first fieldwork period of second wave of research.	Within two (2) months of the first fieldwork period of the first wave of the survey going live.
40.	Participant and non-participant strand: Analysis and dataset of the first period of fieldwork of the second wave of the survey.	Within one (1) month after completion of the first fieldwork period of the participant and non-participant research.
41.	Presentation of all findings from previous six (6) months. Slides shared with The Authority. Payment upon completion of this milestone.	Within one (1) month after completion of the first fieldwork period of second wave of the participant and non-participant research.
42.	Develop research plan for the next six (6) months of case studies. Agree and sign off with the Authority.	Six (6) months after previous research plan signed off.
43.	Case study strand: Continue to send opt-in emails to prospective case study participants and adapt research materials for each case study. Re-design research materials as necessary in response to feedback from the Authority.	In line with most recently agreed research plan.

44.	Case study strand: Continue to conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. To be carried out in line with most recently agreed research plan.
45.	Case study strand: Continue to analyse and report findings for each case study.	Within one (1) month of completion of each case study.
46.	Participant and non-participant strand: Make adaptations to the first wave questionnaire, as appropriate in preparation for the second period of fieldwork for the second wave. Redesign it as necessary in response to feedback from the Authority.	Within one (1) month of completion of first period of fieldwork.
47.	Participant and non-participant strand: Conduct second period of fieldwork for second wave of survey.	To occur during late 2022.
48.	Participant and non-participant strand: Develop topic guides for the second period of fieldwork for the second wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the second fieldwork period of the second wave of the survey going live.
49.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the second fieldwork period of second wave of research.	Within two (2) months of the second fieldwork period of the first wave of the survey going live.
50.	Participant and non-participant strand: Analysis and dataset of the whole of the second wave of the survey.	Within one (1) month after completion of the second fieldwork period of the second wave of participant and non-participant research.
51.	Presentation of all findings from previous six (6) months. Slides shared with The Authority. Payment upon completion of this milestone.	Within one (1) month after completion of the fieldwork period of participant and non-participant research.

April 2023 – March 2024		
52.	Develop research plan for the next six (6) months of case studies. Agree and sign off with the Authority.	Six (6) months after previous research plan signed off.
53.	Case study strand: Continue to send opt-in emails to prospective case study participants and adapt research materials for each case study. Re-design research materials as necessary in response to feedback from the Authority.	In line with schedule developed in first month of contract
54.	Case study strand: Continue to conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. Exact schedule to be determined within first month of contract.
55.	Case study strand: Continue to analyse and report findings for each case study.	Within one (1) month of completion of each case study.
56.	Participant and non-participant strand: Send opt-out emails to prospective participants of the first period of fieldwork of the third wave of research.	Within one (1) month of sample being transferred from the Authority to Supplier.
57.	Participant and non-participant strand: Develop third wave questionnaire. Redesign it as necessary in response to feedback from the Authority.	To occur during spring 2023.
58.	Participant and non-participant strand: Conduct first period of fieldwork for third wave of survey.	To occur during summer 2023.
59.	Participant and non-participant strand: Develop topic guides for qualitative research for the first fieldwork period for the third wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the first fieldwork period of the first wave of the third wave of the survey going live.



60.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the first fieldwork period of third wave of research.	Within two (2) months of the first fieldwork period of the third wave of the survey going live.
61.	Participant and non-participant strand: Analysis and dataset of the first period of fieldwork of the third wave of the survey.	Within one (1) month after completion of the first fieldwork period of the third wave.
62.	Presentation of all findings from previous six (6) months. Slides shared with The Authority. Payment upon completion of this milestone.	Within one (1) month after completion of the first fieldwork period of the third wave of participant and non-participant research.
63.	Develop research plan for the next six (6) months of case studies. Agree and sign off with the Authority.	Six (6) months after previous research plan signed off.
64.	Case study strand: Continue to send opt-in emails to prospective case study participants and adapt research materials for each case study. Re-design research materials as necessary in response to feedback from the Authority.	In line with most recently agreed research plan.
65.	Case study strand: Continue to conduct case studies with sample sent by the Authority and additional contacts generated by the Supplier.	Throughout the duration of the contract. To be carried out in line with most recently agreed research plan.
66.	Case study strand: Continue to analyse and report findings for each case study.	Within one (1) month of completion of each case study.
67.	Participant and non-participant strand: Make adaptations to the third wave questionnaire, as appropriate in preparation for the second period of fieldwork for the third wave. Re-design it as necessary in response to feedback from the Authority.	Within one (1) month of completion of first period of fieldwork.
68.	Participant and non-participant strand: Conduct second period of fieldwork for third wave of survey.	To occur during autumn 2023.

69.	Participant and non-participant strand: Develop topic guides for the second period of fieldwork for the third wave of research, re-design as necessary in response to feedback from the Authority.	Within one (1) month of the second fieldwork period of the third wave of the survey going live.
70.	Participant and non-participant strand: Conduct qualitative research with a sample of participants from the second fieldwork period of third wave of research.	Within two (2) months of the second fieldwork period of the third wave of the survey going live.
71.	Participant and non-participant strand: Analysis and dataset of the whole of the third wave of the survey.	Within one (1) month after completion of the second fieldwork period of the third wave of participant and non-participant research.
72.	Presentation of all findings from previous six (6) months. Slides shared with The Authority.	Within one (1) month after completion of the first fieldwork period of participant and non-participant research.
73.	Dataset, analysis, presentation and draft report of full results, including longitudinal results and qualitative findings, sent to the Authority.	January 2024.
74.	Final draft of final report due. Payment upon completion of this milestone.	March 2024.

## 8. MANAGEMENT INFORMATION/REPORTING

- 8.1 The successful Supplier will report in writing the number of research encounters completed on a weekly basis while carrying out case study fieldwork.
- 8.2 The successful Supplier will report in writing the number of interviews, survey responses, and other research encounters achieved while carrying out fieldwork on the participant and non-participant strand. Where appropriate, reports will include sub-group participant numbers.

## 9. VOLUMES

- 9.1 The number of case studies carried out to be suggested by the potential Suppliers, and confirmed with the successful Supplier by the Authority.

- 9.2 Each case study will entail between twenty (20) and forty (40) research encounters, as addressed in Section 6.2.1.2
- 9.3 Twenty-five (25) scoping interviews with participants and non-participants to inform the survey.
- 9.4 Three (3) waves of surveying participants and non-participants, each wave split into two (2) fieldwork periods.
- 9.5 One hundred and eighty (180) qualitative research encounters. An average of thirty (30) of which taking place after each period of the survey being live. Number of research encounters in each fieldwork period to be agreed with the Authority.
- 9.6 A publishable final report and standalone summary after the completion of all fieldwork. These should include the findings of all case studies and participant and non-participant research.
- 9.7 Thirteen (13) presentations; two (2) presentations each year of the contract of findings of both strands, an additional two (2) presentations each year of case study findings, and one (1) presentation to support the final report. The Authority may also require one (1) additional presentation of the final findings to Ministers.
- 9.8 Thirteen (13) slide packs containing findings to support the presentations.
- 9.9 An additional slide pack per case study to detail the findings. This will amount to a minimum of twenty (20) and a maximum of forty (40) slide packs.
- 9.10 Six (6) sets of cleaned and weighted datasets (one per fieldwork period).
- 9.11 Six (6) sets of documentation relating to the datasets (one per fieldwork period) and one set of Syntax.

## **10. CONTINUOUS IMPROVEMENT**

- 10.1 The Supplier will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.
- 10.2 Changes to the way in which the Services are to be delivered must be brought to the Authority's attention and agreed prior to any changes being implemented.

## **11. SUSTAINABILITY**

- 11.1 The Contracting Authority has a responsibility to act and to support nature, the environment and its vital contributions to biodiversity. The Supplier is required to act in sustainable manner in the delivery of the Contract, particularly in terms of eliminating waste, reducing travel and minimising energy consumption. The Supplier must comply with all current legislation regarding sustainability and legislation introduced or amended during the period of the contract pertaining to this.
- 11.2 This must include compliance with the Modern Slavery Act 2015 and the Climate Change Act 2008.

- 11.3 The Supplier must consider their carbon footprint in allocating and deploying resources to undertake requirement.

## **12. QUALITY**

- 12.1 The Supplier shall adhere to Social and Market Research and Data Protection standards.
- 12.2 The Supplier shall have sound processes for quality assurance in place. The Supplier shall outline their internal procedures for assurance and quality control in reference to all aspects of the programme of research, including:
- 12.2.1 Procedures for working closely with the Authority;
  - 12.2.2 Procedures for quality assuring methodological design proposals, sampling methods and outputs, research instruments, questionnaire scripting;
  - 12.2.3 Interview quality control procedures, including details of interviewer training and briefing, how response rates are maximised, how accessibility is ensured for respondents and how interviewer and respondent error is managed;
  - 12.2.4 Procedures for data processing and coding of survey data;
  - 12.2.5 Procedures for qualitative and quantitative analysis and reporting;
  - 12.2.6 The approach to report writing, ensuring deliverables meet key objectives;
  - 12.2.7 Procedures for handling complaints from potential and actual respondents.

## **13. PRICE**

- 13.1 The budget for the project is £1.3 million (one million, three hundred thousand pounds) (exc. VAT). This is a contract with a commitment from the Contracting Authority to deliver all the requirements over the 3 year period as outlined in this Statement of Requirements.
- 13.2 The budget will be split by year to a maximum of £565,000 from contract commencement to the end of March 2022, £426,000 from April 2022 to the end of March 2023, and £340,000 from April 2023 to the end of March 2024.
- 13.3 The research costs provided should include the following information:
- 13.3.1 Staff costs - day rates for each of the project team members and the number of days staff are allocated to each project task.
  - 13.3.2 Costing of a scenario project component. Please note that the scenario is for evaluation purposes only and is not what Potential Suppliers should intend to deliver. The methodology you propose in Questions 4.1 and 4.2 of Attachment 2 will be the methodology the

successful supplier will deliver, subject to any approvals by the Contracting Authority.

- 13.4 Prices are to be submitted in Attachment 4 via the eSourcing system excluding VAT and including all other expenses relating to Contract delivery.
- 13.5 The Contracting Authority cannot exceed its financial plan for this requirement, therefore submissions from Potential Bidders whose pricing exceeds the disclosed budget will be deemed non-compliant and will not be evaluated.
- 13.6 Prices should be in GBP and be firm and final, encompassing all associated costs with the full term of the contract award.

#### **14. STAFF AND CUSTOMER SERVICE**

- 14.1 The Supplier shall ensure a sufficient level of resource throughout the duration of the project in order to consistently deliver a quality service to all parties.
- 14.2 Supplier's staff assigned to the project shall have the relevant qualifications and experience to deliver the Contract.
- 14.3 The Supplier shall ensure that staff understand the Authority's vision and objectives and will provide excellent customer service throughout the duration of the Contract.
- 14.4 Proposals should also detail appropriate succession planning/cover plans for any personnel changes during the programme, which are to be approved by the Authority.

#### **15. SERVICE LEVELS AND PERFORMANCE**

- 15.1 The Authority will measure the quality of the Supplier's delivery by:

KPI/SLA	Service Area	KPI/SLA description	Target
1	Project management	The Supplier's project manager will update the Authority every fortnight with progress.	100%
2	Quantitative fieldwork	<p>The Supplier shall achieve the target number of respondents delivered to agreed deadlines.</p> <p>The Supplier shall take all reasonable steps to ensure that the required number of respondents (at an overall level and for agreed subgroups) is achieved.</p> <p>Maximise response as outlined in their proposal, and review with the Authority as appropriate throughout fieldwork.</p>	100%
3	Qualitative fieldwork	<p>The Supplier shall achieve the target number of case studies and interviews, with agreed sample, achieved by agreed deadlines.</p> <p>The Supplier should take all reasonable steps to ensure that the required number of qualitative interviews (at an overall level and for agreed subgroups) is achieved.</p>	100%
4	Reporting	The Supplier shall deliver the outputs described in section 6.11.	100%
5	Quality assurance	The Supplier will have fieldwork quality control procedures in place, as agreed with the Authority including details of how interviewers are trained and briefed, how response rates are maximised, and how interviewer and respondent error is managed.	100%

6	Quality assurance of analysis and findings	The Supplier will have in place specified and clearly defined procedures for quality assuring the analysis of the survey data and written reports of the results of that analysis. These will be agreed upon with the Authority.	100%
7	Managing complaints	All complaints to be handled and resolved within forty-eight (48) hours.	100%

- 15.2 Where a Supplier fails these KPIs, the Authority will, in the first instance, seek a mutually agreeable resolution with the Supplier in line with the terms and conditions of the Commercial Agreement. However, if this is not possible, the Authority reserves the right to cancel the agreement and seek alternative supply from the next ranked potential provider identified during the procurement event.

## **16. SECURITY AND CONFIDENTIALITY REQUIREMENTS**

- 16.1 All data security processes must be compliant with the General Data Protection Regulation (GDPR).
- 16.2 The successful Supplier must complete a Generic Security Assurance Document (Attached at Annex A) to provide assurances that data security procedures meet the Authority's standards prior to the contract being signed.
- 16.3 All transfers of personal data to and from the Department must meet the Authority's security standards.
- 16.4 Any transfers of data to and from the successful Supplier and a subcontractor must meet the Authority's security standards, using PGP encryption software or equivalent. This is a mandatory requirement for the Contract.
- 16.5 Data must be processed in the United Kingdom.
- 16.6 The successful Supplier must destroy personal data relating to the project within six (6) months of data collection completion (after the final wave of the survey) or upon sign off of the final report; whichever comes first. The successful Supplier must confirm to the Authority in writing that this has been carried out.
- 16.7 The successful Supplier must destroy all other data relating to this project at the end of the project or when instructed to do so by the Authority's project manager.

## **17. PAYMENT AND INVOICING**

- 17.1 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
- 17.2 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

All invoices shall include the appropriate purchase order number and shall be submitted directly to DWP SSCL Accounts Payable at:

REDACTED

- 17.3 A copy of each invoice should also be sent the project manager(s) at the Authority.

## **18. CONTRACT MANAGEMENT**

- 18.1 The Successful Supplier will provide the authority with regular progress updates as described in sections 8.1 to 8.2.

## **19. LOCATION**

- 19.1 The Services will be carried out at the Supplier's premises, fieldwork may take place in locations convenient for participants, and presentations and some meetings may take place at the Authority's premises.



**ANNEX C**  
**Supplier Proposal**

**REDACTED**