

**ORDER FORM**  
**Framework Agreement**

THIS CONTRACT IS SUBJECT TO THE CALL-OFF TERMS AND CONDITIONS OF UK SHARED BUSINESS SERVICES LTD (UKSBS), S3 – PRECEDENT FRAMEWORK AGREEMENT FOR THE PROVISION OF MARKET RESEARCH SERVICES.

**FROM**

<b>Customer</b>	Department for Transport
<b>Service Address</b>	33 Horseferry Road, London, SW1P 4DR
<b>Invoice Address</b>	TBA
<b>Contact Ref:</b>	Name: REDACTED Phone: REDACTED E-mail: REDACTED
<b>Order Number</b>	TBA
<b>Order Date</b>	TBA

**TO**

<b>Provider:</b>	NatCen Social Research
<b>For the attention of:</b>	REDACTED
<b>E-mail</b>	REDACTED
<b>Telephone number</b>	REDACTED
<b>Address</b>	35 Northampton Square London EC1V 0AX

**1. SERVICES REQUIREMENTS**

**(1.1) Services and deliverables required:**

## DEFINITIONS

Expression or Acronym	Definition
NTS	National Travel Survey
PSU	Primary Sampling Unit
PAF	Postcode Address File
CAPI	Computer Assisted Personal Interviewing
CASI	Computer Assisted Self Interviewing
NSPD	National Statistics Postcode Directory

## SCOPE OF REQUIREMENT

The Provider will be required to administer the NTS.

This includes questionnaire development, sample selection, fieldwork, editing/imputation, weighting, database production and supply of final datasets to the Customer. The fieldwork Provider is responsible for producing an annual technical report on the survey methodology.

Analysis and publication of the results of the survey are the responsibility of the Customer.

## THE REQUIREMENT

The Provider shall refer to the 2015 technical report<sup>1</sup> for current NTS methodology that the Customer expect to remain similar for this Contract period. The following presents an overview of the key technical elements of the NTS.

There are three main changes for the 2017 survey year which are not covered in the published technical report. The below changes have all been implemented and are out in the field for the 2017 survey:

Introduction of text message reminders – individuals are now given the option to receive a text message reminder of when they should start completing their travel diary.

The collection of data on short walks has moved to day 1 of the travel diary rather than day 7 – this means individuals should record details of all walks over 50 yards on day 1 of the travel diary rather than day 7 – on all other days they should include walks over 1 mile or more than 20 minutes.

The introduction of a Computer Assisted Self Interviewing (CASI) module for transport satisfaction questions. One individual present at the household interview will now complete the satisfaction questions.

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<sup>1</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/550854/nts-technical-report-2015.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/550854/nts-technical-report-2015.pdf)

## **DEVELOPMENT / INNOVATION**

During this Contract it is expected there will be some modernisation and development projects that take place.

One area of development will be around providing the option for individuals to complete the seven-day travel diary online rather than on paper.

An online diary has been developed as a test of concept and two rounds of cognitive testing have taken place. The user testing has demonstrated that it would be possible to collect travel diary data through a website. However the testing has also highlighted further areas for consideration before the Customer could conduct a larger scale test.

The Customer envisage the next stage to be reviewing the current product in line with the user testing that has already been carried out to improve the current product.

A further round of cognitive testing could then take place before a larger pilot test, which would be carried out in addition to the annual survey data collection. Pilot testing would involve asking respondents to complete their travel using the online diary, data processing and comparing this to data collected via the paper diary.

Larger field tests would then need to be carried out following a pilot before this could be rolled out as part of the main survey.

Other possible areas of development include:

- Collecting travel diary data via a mobile app. Smartphones have a variety of sensors that can passively collect large volumes of data which in conjunction with a prompted recall approach can potentially supplement or replace the current paper diary.

- Supplementing or validating travel diary data using GPS.

- The re-interviewing of some respondents (or respondents with particular travel behaviours) in subsequent years.

The Provider will progress the development of the online diary and support its review and analysis. In addition, the Provider will actively participate in innovation with the Customer to guide and develop the NTS going forward.

The Customer welcomes other ideas for innovation, particularly around the face to face interview, building on best practice both in the UK and internationally. Examples could include:

- Electronic show cards, so that options shown to respondents can be randomised.

- A short video interviewers could show (and respondents could view at a later date if not present/need a reminder) on how to complete the travel diary.

## **SAMPLING**

The Provider will select the survey sample using the current basic procedures outlined in the 2015 technical report. The exact sample stratifiers (outlined on page 240 of the 2015 technical report) to be used will be agreed with the Customer, and may be updated during the lifetime of the Contract.

The sample size of the survey was 12,852 households in England in 2015. The sampling frame is the 'small user' Postcode Address File (PAF). A stratified two stage random

probability sample is drawn, firstly by selecting 756 postcode sectors or 'Primary Sampling Units' (PSUs) and then by selecting 17 private addresses from within each PSU. These 17 addresses form the NTS workload for one interviewer in one month. There is a quasi-panel design for the NTS where half the PSUs selected in any year are retained and the other half are replaced, to reduce the variance of estimates of year-on-year change. London is over-sampled, to compensate for lower response rates, while postcode sectors covering Isles of Scilly are currently excluded from sampling.

The Customer requires quotations for the current sample size (12,800 sampled households, expected achieved sample 6,800). The expected achieved sample sizes shown here are based on the assumption of an 11% ineligibility rate among sampled households, and a 60% 'fully cooperating' response rate. Bids should contain firm fixed prices for pricing at Table 1 of Appendix E for this sample size.

The Provider may vary the number of sampled PSUs and the allocation of interviewer workload, within the same high-level design and overall sample size, to achieve the most operationally-efficient survey design. However, it is essential that interviewing and completion of diaries are carried out evenly across all months of the year to avoid seasonal effects.

## **PROGRAMMING**

The CAPI questionnaire is currently written in Blaise and the Diary Entry System (DES) in Visual Basic. The DES is where the details of the seven-day travel diary are entered. The Provider will be expected to use and maintain suitable CAPI and DES programs, although these do not necessarily need to continue to use the same software. The Provider will update these with new questions when required, and update to new software if appropriate in consultation with the Customer. The programs need to be designed to minimise the duration of the interview as far as reasonably possible while continuing to collect high quality data, and should include the current 'hard' and 'soft' validity checks. All current, new and amended variables must be agreed with the Customer and meet their system requirements.

## **PLACING PATTERN**

As there are seasonal variations in travel patterns, it is necessary to sample continuously throughout the year to get an accurate picture of personal travel. Households shall be allocated a diary week and should not be allowed to choose a week convenient to them, as this would bias the results.

## **QUOTA MONTHS**

Currently a typical interviewer's 'quota' or fieldwork period runs for up to two calendar months. Interviewer assignment start dates are spread across the quota month rather than all interviewers starting their assignments at the beginning of the month. Since 2014 the fieldwork period has lasted a month longer due to the staggering of interviewer start dates across the quota month.

The first two weeks are spent contacting households, and starting to hold the main interviews. The diaries are left for completion, to start on a fixed day (see 'placing pattern' above). Other 'reminder' calls are made to respondents by interviewers where appropriate and a short 'pickup' interview carried out when the diaries are collected at the end of the travel week. Providers shall specify what assumptions they have made regarding times for each part of this process when preparing their bid.

It is important that the choice of Travel Week is not left to the discretion of the respondent or interviewer as this could lead to bias. To prevent bias, the Travel Weeks are evenly spread over the days of the week as well as the weeks of the quota month.

## **CHILDREN**

All babies and children in a household are included in the survey. Parents are asked to answer relevant questions on behalf of children, and to complete their diaries if they are too young to do this themselves. A special young persons' diary is used up to (and including) the age of 15.

## **FULLY AND PARTIALLY RESPONDING HOUSEHOLDS**

A household is 'fully responding' if all members take part in the relevant interviews (with almost all data items provided) and all fully complete the seven-day travel diary. Interviewers shall make every effort to speak to each household member, to ensure that diaries are correctly completed. Proxy information is allowed for adults who are difficult to contact, but the use of proxy information should be minimised. A household where the interviews are completed, but not all diaries are returned, is known as 'partially responding'. The data for such households are coded and are used for non-travel diary results when the data are weighted. They are not included when assessing response level (however, the Customer's approach to using data from partially responding households may be reviewed during the lifetime of this contract).

## **WEIGHTING**

A weighting strategy has been developed for NTS data to reduce the effect of non-response bias and adjust for the drop-off in the number of trips recorded by respondents during the course of the Travel Week. Data back to 1995 have been weighted retrospectively.

The Provider will produce the weights for each survey year, these include interview sample weights, fully responding weights, long-distance journey weights, short walk weights and diary drop off weights. Full details on weighting methodology can be found in the 'Weighting' section of the 2015 technical report (page 44 onwards).

## **MAINTAINING RESPONSE RATES**

The maintenance of high 'whole household' responses is crucially important. The Provider will achieve the response rates it proposed within its tender submission. It shall be a condition of this Contract that methodologies proffered at tender shall be delivered upon.

The training and motivation of interviewers is essential in maintaining standards in terms of response rates and data quality. The Provider shall deliver interviewer training (introduction and refresher) as stated within their tender submission. The supervision of interviewers, methods of motivation and the collection/dissemination of interviewer feedback proffered at tender shall be a condition of this Contract.

The NTS has employed incentives since 2003. Each member of a household receives a £5 shopping voucher if every member in the household completes the placement interview and provides a complete travel diary. In addition each household receives a pre-incentive in the form of a book of 6 First Class stamps, which is sent with the initial contact letter. Alternative incentive schemes were trialled in 2009, but were not found to improve response rates significantly. On this basis the Customer are happy to continue supplying incentives according to the survey's current design (the cost of which is approximately £10,500 per month). The Provider shall be expected to deliver upon its incentives proposals proffered at tender. However, the Customer reserves the right to reject any amendment to the current scheme following its own assessment of value.

## **SURVEY MANAGEMENT**

As established practice, the Customer staff who are new to the NTS team attend an interviewer briefing session as soon as reasonably possible, and may also spend a day

accompanying an interviewer in the field. It is expected that this arrangement shall continue. In addition, the Customer's staff currently give a short presentation on the background and uses of the survey at each interviewer briefing. The Customer would be happy to continue this approach if the winning Provider believes it is beneficial.

The Provider will be required to provide monthly and quarterly performance reports to the Customer. These shall contain monthly information indicating what proportion of contacts were fully productive, partial or non-contact, response rates for England and trip rates (including detailed breakdowns for mode, purpose and distance travelled). Quarterly reports will also be required to provide more detail on the interviewing process, including the number of calls made, the time spent by interviewers on different parts of the survey, proxy rates, imputation rates, the number of vehicle registration numbers provided (including consent to link registration marks to other data sources), the proportion of respondents answering specific questions such as income and road accidents, consent for a text message reminder to complete the travel diary and consent to be contacted in the event of a follow-up surveys.

These reports will be discussed at monthly liaison meetings between the Customer and the Provider. These are typically held at the Customer's offices or another suitable location in central London. Meetings at less frequent intervals may be sufficient at a later stage when the survey has been shown to be running smoothly. Key survey management staff should attend monthly meetings with the Customer.

## **SURVEY MATERIALS**

The costs of all survey materials (including stationery, diaries) and equipment (including laptop computers and software) are included in the overall Contract price. Five (5) hard copies of survey materials and a copy of the Blaise code used to create the CAPI (or equivalent) will need to be supplied for the Customer's use each year. The Provider will make all materials, programs and documentation available to subsequent providers running the NTS survey upon completion of this Contract, and to take reasonable steps to facilitate a smooth handover to a successor.

## **PILOT SURVEYS**

The Customer expects it will be necessary to hold one small-scale pilot together with a larger 'dress rehearsal' of the NTS process, which should be completed by 30 September 2017, ready for the 2018 survey year. An essential part of the dress rehearsal will be to supply a full set of NTS data to the Customer by the end of October 2017 to check systems are ready and working correctly. This is to test changes being introduced to the NTS in preparation for data collection in 2018 (e.g. amended questionnaire / coding / validation, arrangements for supplying data to the Customer). Changing of the questionnaire requires testing of new scripts and the approximate length of the interview will need to be determined.

The aim of the small-scale pilot is to check the CAPI script and interview length following any changes made to the questionnaire. A report following the pilot shall be provided to the Customer with any necessary recommendations. The small-scale pilot shall include around 20 interviews in different locations to ensure that people using different transport modes are captured.

The larger dress rehearsal shall mimic the fieldwork process of the main survey which will enable a test of the fieldwork stages and associated data processing procedures. It is expected that interviewers would attend a briefing session before and after the dress rehearsal. Interviewers should be issued with 17 addresses, as they are currently in the main survey. These interviewers shall be based in different areas of the country to test procedures for dealing with specific transport modes, non-England speakers and hard to reach areas. The dress rehearsal should aim to sample 170 addresses (10 assignments of 17 addresses). Data shall be processed and provided to the Customer in the format that would

be expected for the main survey. The Customer shall also be provided with a short report summarising the dress rehearsal.

## **CODING AND EDITING**

NTS diaries are currently coded centrally by the Provider in order to maintain consistency. This has the advantage that the diaries are coded shortly after completion, so it is easier for interviewers to resolve errors or queries with respondents.

Consistency in coding is important, for example travel diaries within a household should be consistent with each other and distances should be consistent with the origins and destinations of trips. The Provider shall apply the coding, editing and checking procedures proffered at tender.

## **SUPPLY OF DATA**

The Provider will deliver to the Customer's data manager the following, to cover each survey year:

- The schema for each survey year by March that year, and
- Clean and accurate electronic files (currently CSV and SQL format, the exact details will be agreed with the Customer), containing household, individual, vehicle and diary data for:
  - January data for each survey year by May that year to test data provision (for example, January 2018 data to be provided by May 2018).
  - Q1 data for each survey year by August that year to test data provision.
  - Data for the full survey year by May the following year (for example, data for the 2018 survey year by May 2019).
  - Datasets for the full survey year to provide to the UK Data Archive by July the following year (for example, data for the 2018 survey year provided to the UK Data Archive by July 2019).
- Technical report for each survey year by July the following year (for example, technical report for the 2018 survey year provided by July 2019).

The Provider shall supply data in accordance to the timescales proffered at tender.

Data files shall be documented, and supplied to a format agreed with the Customer at tender. The layout of the data files shall not be changed without the agreement of the Customer. Data files need to be consistent so that reference numbers, and individual, vehicle and journey data are associated with the correct household file using unique identifiers.

Data supply arrangements between the Provider and the Customer's data manager shall be agreed to ensure that they understand the Customer's requirements for data coding. In particular checks shall be made to identify variables with large numbers of missing values, and the associated imputation methods and imputation rates used to address these missing values must be provided. The Customer would like to publish tables alongside the technical report which would detail quality-related issues for the NTS such as imputation and proxy rates.

The Provider is required to supply 'outcome codes' for each household in the survey, giving details of full or partial response, ineligible, refusal, non-contact. As much detail as possible shall be provided for households where no interviews were held.

Every effort should be made to supply correct data at the first attempt, but if data errors are

found by the Customer, either on data supply or later, it is essential that these shall be rectified without delay. A target deadline will be agreed with the Customer for the resupply of data. An error log detailing errors that occurred in data supply and changes made to rectify them must be kept and provided to the Customer during each survey year.

### **VEHICLE REGISTRATION NUMBERS**

The Provider shall supply registration numbers for household vehicles to the Customer (where householders' explicit permission has been given) within one month of the end of the quota month (for example, the June quota should be delivered by mid-August). Registration numbers shall be provided in Excel format. These are matched with the DVLA database to obtain additional information on the vehicles. The results of the matching work will be fed back to the Provider who shall follow-up any registration numbers that do not match promptly with those given by respondents.

### **DERIVED VARIABLES FROM EXTERNAL LOOK-UPS**

The Provider shall supply the Customer with details of economic status for persons aged 16 and over, derived from the harmonised employment status questions. These should follow International Labour Office (ILO) standards as far as possible.

The Provider shall supply the National Statistics Socio-economic classification (NS-SEC) codes for each individual aged 16 and over.

Individual data is also required by Standard Industrial Classification of Economic Activities SIC (currently 2007) and Standard Occupational Classification SOC (currently 2010).

The Provider shall use the National Statistics Postcode Directory (NSPD) and other look-up tables supplied by the Customer to code household addresses to various geographic classifications, e.g. urban/rural, settlement size, Index of Multiple Deprivation.

Respondents provide a place name for the origin and destination of each journey made. The current practice is that respondents record a place name (for example, Lewisham, Bath, Uckfield or Holmfirth). A Gazetteer will be supplied to code these place names to a county or unitary Customer, and to other geographic areas. (The Gazetteer may be updated during the lifetime of this contract).

In addition to supplying data files derived from interviews and diaries, the Provider is required to supply files of Primary Sampling Unit level variables (see Technical Report for current variables supplied).

### **CONFIDENTIALITY**

The confidentiality of all interview and diary data collected must be respected by all staff, and steps taken to ensure its secure storage and transmission. **Data supplied to the Customer should not contain names or postal addresses of households.** Geo-codes will be aggregated to suitable geographic areas as agreed with the Customer for analysis and modelling purposes.

Data is currently transferred from the Provider to the Customer by File Transfer Protocol (FTP) server and the Customer would expect similar arrangements for secure data transfer to be used in the future. Full details of DPA and security requirements are provided in the Contract terms and conditions.

The Provider must hold ISO 27001: 2005 (Information Security) accreditation.

### **DOCUMENTATION**



All changes to questions, the CAPI, and to interviewer and coding instructions for a survey year will be fully documented and provided to the Customer. An audit trail shall be kept of all problems arising with data provision to the Customer, action taken and implications for future data provision. Documentation produced by the current Provider shall be maintained and extended where necessary to enable a smooth handover to future Providers.

## **TECHNICAL REPORT**

Publication of annual technical reports is the Provider's responsibility. The technical report shall contain an introduction, details of the fieldwork sequence; sample selection; fieldwork procedures; response rates; data processing (including proxy rates, imputation methods and associated imputation rates); weighting and interviewer materials including questionnaires and show cards.

The Provider shall provide the technical report to the timetable agreed with the Customer, in suitable electronic formats, including an accessible PDF version which will be published on the Customer's website.

## **FOLLOW-UP STUDIES**

The Provider may be required to undertake follow-up surveys of NTS respondents if desired. Respondents are currently asked whether they would be prepared to take part in a follow-up survey. If so, contact details are recorded for potential future use.

## **KEY MILESTONES**

The Provider should note the following project milestones that the Customer will measure the quality of delivery against:

Milestone	Description	Timeframe
1	Dress rehearsal of the NTS process.	By 30 September 2017
2	Supply full set of NTS data to the Customer following dress rehearsal.	By 31 October 2017
3	Begin 2018 survey year data collection.	January 2018

## **CUSTOMER'S RESPONSIBILITIES**

The Customer will match vehicle registration numbers with the DVLA database on a monthly basis to obtain additional information on the vehicles. The results of the matching work will be fed back to the Provider who should follow-up any numbers that do not match promptly with respondents.

In addition to the monthly vehicle registration checks, an additional final check will be carried out by the Customer at the end of the fieldwork year.

At the end of fieldwork, the Provider will send a list of postcodes for all addresses interviewed. These are necessary for weighting and accessibility data.

The Customer will supply data, for each postcode, on the distance by road to the nearest rail station. This data will be used to develop the weighting factors used for non-response.

The Provider will supply the Customer with registration details of all vehicles for which an SMMT code is not yet known (Society of Motor Manufacturers and Traders). The Customer will obtain SMMT codes, where available, and return these to the Provider.

For each day of the fieldwork, the Customer will provide a code, indicating whether the date is a weekend, public holiday, school day or school holiday.

The Customer will provide, for each local authority, details of which concessionary travel options are provided, beyond those statutorily required.

The Customer publish two tables: one on the average time to walk to the nearest bus stop, and one on the shortest journey time, on foot or by public transport, to 8 key services. The data are provided from within the Customer, based on the postcodes provided by the Provider. The Customer will provide a copy of the data to the Provider, for the sake of completeness of their data set, as part of the end of survey synchronisation of datasets.

The Customer are responsible for the analysis and publication of the results of the survey. NTS data are currently published in an annual bulletin and quarterly factsheets.

## **REPORTING**

All changes to questions, the CAPI, and to interviewer and coding instructions for a survey year should be fully documented and provided to the Customer before the commencement of fieldwork for each survey year.

Publication of annual technical reports is the Provider's responsibility. The technical report shall contain an introduction, details of the fieldwork sequence; sample selection; fieldwork procedures; response rates; data processing (including proxy rates, imputation methods and associated imputation rates); weighting and interviewer materials including questionnaires and show cards.

Documentation produced by the Provider should be maintained and extended where necessary to enable a smooth handover to future Providers.

## **VOLUMES**

The Provider is expected to sample 12,800 households (with an expected achieved sample of 6,800). This is based on the assumption of an 11% ineligibility rate among sampled households, and a 60% 'fully cooperating' response rate. Sample sizes may change during the life of the contract. Associated changes to contract pricing shall be calculated using the costs provided as part of the tender submission.

## **CONTINUOUS IMPROVEMENT**

The NTS aims to be a high quality survey, with high response rates. This can only be achieved by the Provider and the Customer working together to look for continuous improvement. Survey materials need to be attractive, look up-to-date, and be easy for respondents to use, including meeting industry standard guidelines for accessibility standards. Questions need to seem relevant to respondents' travel experiences. The Customer expects regular feedback from interviewers, to help maintain the necessary standards. All changes to Survey materials and questions need to be approved and agreed by the Customer before being implemented.

The Provider shall present new ways of working to the Customer at liaison meetings as appropriate.

Changes to the way in which the Services are to be delivered must be brought to the Customer's attention and agreed prior to any changes being implemented.

## **SUSTAINABILITY**

As per the Terms and Conditions of Contract..

## **QUALITY**

Response is currently measured using the standard response rate, i.e. the number of fully co-operating households as a proportion of eligible households.

The Provider shall maintain or improve on the current levels of response, and should achieve a minimum standard response rate of 60% for England as a whole. However, because of the different travel patterns of people living in Inner London, and the problems of getting good response from its residents, a minimum response rate of 45% is acceptable for Inner London households.

The Provider shall monitor the performance of individual interviewers, Provider's shall adhere to what measures they proffered to take to remedy unsatisfactory performance, both in terms of poor response rates and poor data quality.

The Provider shall ensure that coding is done accurately and consistently, whether by interviewers or coders, and that correct data is supplied. Provider's shall adhere to the approach to coding proffered at tender.

The Customer reserves the right to examine any aspect of the Provider's work in detail, or to commission suitable agents to do this, particularly in the early months of the contract.

## **PRICE**

All costs proffered at tender shall apply to this contract. All set-up costs and costs associated with the initial data cycle shall be firm and as tendered until June 2020.

Any request to review costs for further data cycles shall be capped by the percentage change for the previous 12 months, commencing June, in the Office for National Statistics' Consumer Price Index – Consumer Price Inflation (CPI).

## **STAFF AND CUSTOMER SERVICE**

The Customer requires the Provider to provide a sufficient level of resource throughout the duration of the National Travel Survey Contract in order to consistently deliver a quality service to all Parties.

Provider staff assigned to the National Travel Survey Contract shall have the relevant qualifications and experience to deliver the Contract. The Provider shall provide details of the responsibilities and experience of each named member of the headquarters staff who will be involved in the conduct of the survey. Details are also required of the proportion of their time that each named person will spend on this contract, separately for the initial six-month preparation period and a typical survey year. The Provider should confirm that any replacements for these staff during the period of the contract will possess similar skills and experience to the people they replace and be agreed with the Customer.

The Provider shall ensure that staff understand the Customer's vision and objectives and will provide excellent customer service to the Customer throughout the duration of the Contract.

## **SERVICE LEVELS AND PERFORMANCE**

The Customer will measure the quality of the Provider's delivery by:

KPI/SLA	Service Area	KPI/SLA description	Target
1	Response rate	As a minimum achieve the standard	60%

		response rate for England.	
2	Response rate	As a minimum achieve the standard response rate for Inner London.	45%
3	Reporting	Provision of accurate, quality assured data to the Customer within agreed timescales.	100%

Where the Customer identifies poor performance against the agreed KPIs, the Provider shall be required to attend a performance review meeting. The performance review meeting shall be at an agreed time no later than 10 working days from the date of notification at the Customer's premises.

The Provider shall be required to provide a full incident report which describes the issues and identifies the causes. The Provider will also be required to prepare a full and robust 'Service Improvement Action Plan' which sets out its proposals to remedy the service failure. The Service Improvement Plan shall be subject to amendment following the performance review meeting and agreed by both parties prior to implementation.

The Customer agrees to work with the Provider to resolve service failure issues. However, it will remain the Providers sole responsibility to resolve any service failure issues.

Where the Provider fails to provide a Service Improvement Plan or fails to deliver the agreed Service Improvement Plan to the required standard, the Customer reserves the right to seek early termination of the contract in accordance with the procedures set out in Appendix C - Terms and Conditions.

The Customer will keep Provider performance under regular review and there will be annual reviews on the first and second anniversaries of the contract start date (i.e. July 2018 and July 2019). By the end of each of these months, the Customer will provide written confirmation of whether or not it wishes to continue with survey fieldwork beyond that calendar year. If not, the contract will terminate upon supply of that year's data in the first half of the following year (e.g. if notice of termination was given in July 2018, the contract would terminate after the supply of full 2018 survey data in or before June 2019). If the Provider wishes to seek a review of the surveys annual costs as part of this process (see paragraph 14.1), they should submit a written request to this effect by the start of the review month.

## **SECURITY REQUIREMENTS**

Data is currently transferred from the Provider to the Customer by File Transfer Protocol (FTP) server and we would expect similar arrangements for secure data transfer to be used in the future. Full details of DPA and security requirements are provided in the contract terms and conditions.

The Provider shall hold ISO 27001: 2005 (Information Security) accreditation.

Interviewers shall have Disclosure and Barring Service (DBS) clearance.

## **INTELLECTUAL PROPERTY RIGHTS (IPR)**

The Provider shall assign full title guarantee to all Intellectual Property Rights for the products of the Service to the Customer. All data collected, reports produced, materials used and any other documentation associated with the delivery of the contract shall remain the property of the Customer. Furthermore the Provider shall make available, at the request of

the Customer, all such material to any other organisation on written instruction to do so from the Customer's Contract Manager.

## **PAYMENT**

Payment for continuous elements of the survey are made monthly. Project work is then invoiced separately.

Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

The Customer will pay monthly invoices, which should be sent in electronic PDF form, in arrears in order to monitor the budget closely and to ensure an acceptable cash flow through the life of the project.

## **ADDITIONAL INFORMATION**

N/A

## **LOCATION**

Services will be carried out across England. Meetings between the provider and the Customer will take place at the Customer's offices: 33 Horseferry Road, London, SW1P 4DR.

### **(1.2) Commencement date:**

**Monday 3<sup>rd</sup> July 2017**

### **(1.3) Price payable by customer:**

**Maximum Contract value no greater than £8,600,000.00**

**Survey costs, Maintenance costs and the agreed Provider rate card are detailed within Annex H – Pricing Schedule**

**All costs proffered at tender shall apply to this contract. All set-up costs and costs associated with the initial data cycle shall be firm and as tendered until June 2020.**

**Any request to review costs for further data cycles shall be capped by the percentage change for the previous 12 months, commencing June, in the Office for National Statistics' Consumer Price Index – Consumer Price Inflation (CPI).**

### **(1.4) Completion date:**

**2<sup>nd</sup> July 2020 with an option to extend until 2<sup>nd</sup> July 2021.**

## **2 Provider's Response**

**(2.1) The Providers response to the Customers Service requirements is described in this section. The Annexes described are taken from the Providers electronic tender submission received on 29<sup>th</sup> March 2017. All references to "We", "We're", "Our" or**

any other such expression shall mean NatCen Social Research (the “Provider”)

Annex A – Approach to Sampling

Annex B – Promoting High Response Rates

Annex C – Methods of Achieving Mandatory Requirements

Annex D – Interviewer Training Methodology

Annex E – Key Account Management Team

Annex F – Approach to Travel Diary Coding

Annex G – Timely Delivery of Data and reports

Annex H – Pricing Schedule

**(2.2) Variations to Call-Off Terms and Conditions/Contract**

Any variation to the Call-Off Terms and Conditions or Call-Off Contract shall be managed in line with Standard CCS methodologies. Forms for such Variations are provided below for reference.

**Contract Management Guidance – Template #10**

**CHANGE CONTROL FORM- General – v. 4**

**Contract Name:**

**Contract Ref. No.**

*[This is a template format for a Change Control Form, to be used for initiation and management of contract changes from change initiation to sign off. The change details and progress should be also captured in the central Change Control Register (#9). The form headings correlate to key stages in the change approval process. Not all the information listed under each stage will necessarily be needed for every contract and the content may need to be supplemented with contract-specific provisions. However all the stages need to be filled in and signed off before the change is regarded as complete.]*

***Before progressing the change from stage to stage always make sure that representatives signing the change on behalf of the customer, supplier and CCS have the Customer to approve the scope and cost of the relevant change. Refer to CM Standards Change Control stage for further guidance]***

*[Guidance on how to fill in specific stages or the wording to be added in relation to each specific contract is put in square brackets and in Italics throughout the document]*



Change

Change Control Process map: Management Process

**CUSTOMER CHANGE NOTICE (CCN)**

*[insert summary of contractual provision/ process agreed with the supplier for contractual change control]*

Initiated by:	<i>[name/ job title/ organisation]</i>	CCN Reference:	<i>[unique ref. No., as recorded in Change Control Register]</i>
Source of change:	<i>[Customer/ CCS/ Supplier]</i>	Date CCN Raised by relevant party:	
<b><u>STAGE 1 - CUSTOMER</u></b>			
Summary of proposals/ requirements	<p>This is a variation to the contract between the <i>[insert authority]</i> and <i>[insert supplier]</i>.</p> <p>The Terms and Conditions of the Contract apply but with the following amendments:</p>		
Proposed payment:	<i>[lump sum/ ongoing payments]</i>		
Required delivery date, with rationale:	<i>[specify if there is a critical deadline by which the change needs to be complete (e.g. specific event such as a scheduled date for opening of a new office or government committee date)]</i>		
Change authorised to proceed to Stage 2 <b>(Customer organisation representative)</b>			
	Signature	Print Name & Position	Date
Change authorised to proceed to Stage 2 <b>(CCS representative):</b>			
	Signature	Print Name & Position	Date
<b><u>STAGE 2 – SUPPLIER</u></b>			
Comments/ Caveats on requested change	<i>[e.g. proposed implementation route; conditions of delivery]</i>		
<b><u>CAPITAL / IMPLEMENTATION COST</u></b>			
Labour			
Materials			

Other Costs		
TOTAL:		
REVENUE COSTS (per annum)		
	Contract Base Rate	Current Contract Rate
Breakdown		
Breakdown		
Breakdown		
Breakdown		
TOTAL		
ABORTIVE COSTS:	<i>[Cost incurred if CCN is withdrawn. Delete this row if no abortive costs can be expected (e.g. supplier is unlikely to incur professional fees in costing and submitting a costed proposal )</i>	
<i>NB: Any abortive costs to be discussed with the customer before being incurred</i>		
<div> <div>Anticipated period from CCN being authorised by customer to start of related provision</div> <div></div> </div>		
<div> <div>Anticipated implementation period, if any</div> <div></div> </div>		
Signed (Supplier Representative) :	<div></div>	<div>Print Name &amp; Position:</div> <div></div> <div>Date:</div> <div></div>
Change authorised to proceed to Stage 4 (CCS):	<div></div> <div>Signature</div>	<div></div> <div>Print Name &amp; Position</div> <div></div> <div>Date</div>
STAGE 3 - CLARIFICATIONS		
<i>[this stage is to be used if CCS/ customer organisation are not clear on or don't agree with the supplier's proposals for CCN implementation.]</i>		
Clarifications/ queries to supplier regarding	<div></div>	<div>Date:</div> <div></div>



their proposals:

Supplier Response

Date:

**STAGE 4 - CUSTOMER CCN SIGN-OFF TO PROCEED TO IMPLEMENTATION**

CCN Withdrawn:

*[Yes/ no]*

By signing below, unless CCN is withdrawn, *the [Customer / Customer, as defined in the contract]* agrees to pay the *[Supplier/ Contractor, as defined in the contract]* the costs detailed in Stage 2, by deadlines agreed with the supplier, or as defined in the contract.

Signed  
(**Customer  
Representative**)

Print Name & Position

Date:

Change  
authorised to  
proceed to  
implementation  
(**CCS**):

Signature

Print Name & Position

Date:

**STAGE 5 - CCN COMPLETION SIGN-OFF**

I confirm that the *[works have been completed/ provision required under the CCN commenced]* in accordance with the customer requirements and supplier proposals in this CCN.

Date works have been  
completed/ provision  
required under the CCN  
commenced:

Date Signed  
by Customer:

Signed  
(**Customer  
representative**)

Print Name &  
Position

# PROTECT CONTRACT


## Contract Management Guidance – Template #10 CHANGE CONTROL FORM- Extensions – v. 5

<b>Contract Name:</b>	XXXX	<b>Contract Ref. No.</b>	XXXX	[Insert CCN Change Number]
-----------------------	------	--------------------------	------	----------------------------

*[This is a template format for a Change Control Form, to be used for initiation and management of contract changes from change initiation to sign off. The change details and progress should be also captured in the central Change Control Register (#9). The form headings correlate to key stages in the change approval process. Not all the information listed under each stage will necessarily be needed for every contract and the content may need to be supplemented with contract-specific provisions. However all the stages need to be filled in and signed off before the change is regarded as complete.]*

***Before progressing the change from stage to stage always make sure that representatives signing the change on behalf of the customer, supplier and CCS have the Customer to approve the scope and cost of the relevant change. Refer to CM Standards Change Control stage for further guidance***

*[Guidance on how to fill in specific stages or the wording to be added in relation to each specific contract is put in square brackets and in Italics throughout the document]*



**Change Management Process**

Change Control Process map:

### CLIENT CHANGE NOTICE (CCN)

*[insert summary of contractual provision/ process agreed with the supplier for contractual change control]*

Initiated by:

*[name/ job title/ organisation]*

CCN Reference:

*[unique ref. No., as recorded in Change Control Register]*

Source of change:

*[Customer/ CCS/ Supplier]*

Date CCN  
Raised by  
relevant  
party:

### STAGE 1 - CLIENT

Summary of proposals/  
requirements :

Further to the current contract expiry date of [insert date] the [insert contracting Customer name] wishes to take up the option of a [insert extensions duration] extension to [insert new expiry date] as per the [Contract/ Agreement/ Call off].

The contract extension will be in line with the current contract terms and conditions and based upon the initial pricing schedule.

Proposed payment:

In line with the Terms and Conditions of Contract

Required delivery date,

*[Contract current expiry date]*

## PROTECT CONTRACT

with rationale:			
Change authorised to proceed to Stage 2 <b>(Customer organisation representative):</b>			
	Signature	Print Name & Position	Date
Change authorised to proceed to Stage 2 <b>(CCS representative)</b>			
	Signature	Print Name & Position	Date
<b><u>STAGE 2 – SUPPLIER</u></b>			
Comments/ caveats on requested change:	<i>[e.g. proposed implementation route; conditions of delivery]</i>		
ABORTIVE COSTS :	<i>[Cost incurred if CCN is withdrawn. Delete this row if no abortive costs can be expected (e.g. supplier is unlikely to incur professional fees in costing and submitting a costed proposal )]</i>		
<i>NB: Any abortive costs to be discussed with the client before being incurred</i>			
Anticipated period from CCN being authorised by client to start of related provision			
[Supplier name, as appears in the contract] confirms that the costs identified above are the agreed figures that will be payable on CCN implementation			
Signed ( <b>Supplier Representative</b> ):			
Print Name & Position:			
Date:			
<b><u>STAGE 3 – CLARIFICATIONS</u></b>			
<i>[this stage is to be used if CCS/ customer organisation are not clear on- or don't agree with the supplier's proposals for</i>			

## PROTECT CONTRACT

*CCN implementation.]*

Clarification/ queries to  
to supplier regarding  
their proposals:

Date:

Supplier response

Date:

### **STAGE 4 - CUSTOMER CCN SIGN-OFF TO PROCEED TO IMPLEMENTATION**

Variation Withdrawn

[Yes/No]

By signing below, unless CCN is withdrawn, *the [Client / Customer, as defined in the contract]* agrees to pay the *[Supplier/ Contractor, as defined in the contract]* the costs detailed in Stage 2, by deadlines agreed with the supplier.

Signed  
(**Customer  
Representative**)

Signature

Print Name & Position

Date

Change  
authorised to  
proceed to  
implementation  
(**CCS**):

Signature

Print Name & Position

Date

### **STAGE 5 - CCN COMPLETION SIGN-OFF**

*[This section doesn't need to be filled in, if the extension is granted on the same terms and based on same rates as the original contract]*

I confirm that the *[works have been completed/ provision required under the CCN commenced]* in accordance with the customer requirements and supplier proposals in this CCN.

## PROTECT CONTRACT

Date works have been completed/ provision required under the CCN commenced:

Date Signed by Customer:

Signed  
(Customer representative):

Print Name & Position

### 3. PERFORMANCE OF THE SERVICES [AND DELIVERABLES]

#### (3.1) Key personnel of the provider to be involved in the services and deliverables:

Refer to Annex 5 – Key Account Management Team, specifically section 5.2.2.

#### (3.2) Performance standards:

The Customer will measure the quality of the Provider's delivery by:

KPI/SLA	Service Area	KPI/SLA description	Target
1	Response rate	As a minimum achieve the standard response rate for England.	60%
2	Response rate	As a minimum achieve the standard response rate for Inner London.	45%
3	Reporting	Provision of accurate, quality assured data to the Customer within agreed timescales.	100%

Where the Customer identifies poor performance against the agreed KPIs, the Provider shall be required to attend a performance review meeting. The performance review meeting shall be at an agreed time no later than 10 working days from the date of notification at the Customer's premises.

The Provider shall be required to provide a full incident report which describes the issues and identifies the causes. The Provider will also be required to prepare a full and robust 'Service Improvement Action Plan' which sets out its proposals to remedy the service failure. The Service Improvement Plan shall be subject to amendment following the performance review meeting and agreed by both parties prior to implementation.

The Customer agrees to work with the Provider to resolve service failure issues. However, it will remain the Providers sole responsibility to resolve any service failure issues.

Where the Provider fails to provide a Service Improvement Plan or fails to deliver the agreed Service Improvement Plan to the required standard, the Customer reserves the right to seek early termination of the contract in accordance with the procedures set out in Appendix C -

## PROTECT CONTRACT

### Terms and Conditions.

The Customer will keep Provider performance under regular review and there will be annual reviews on the first and second anniversaries of the contract start date (i.e. July 2018 and July 2019). By the end of each of these months, the Customer will provide written confirmation of whether or not it wishes to continue with survey fieldwork beyond that calendar year. If not, the contract will terminate upon supply of that year's data in the first half of the following year (e.g. if notice of termination was given in July 2018, the contract would terminate after the supply of full 2018 survey data in or before June 2019). If the Provider wishes to seek a review of the surveys annual costs as part of this process (see paragraph 14.1), they should submit a written request to this effect by the start of the review month.

### **(3.3) Location(s) at which the services are to be provided:**

Services will be carried out across England. Meetings between the provider and the Customer will take place at the Customer's offices: 33 Horseferry Road, London, SW1P 4DR.

### **(3.4) Quality standards:**

Responses are currently measured using the standard response rate, i.e. the number of fully co-operating households as a proportion of eligible households.

The Provider shall maintain or improve on the current levels of response, and should achieve a minimum standard response rate of 60% for England as a whole. However, because of the different travel patterns of people living in Inner London, and the problems of getting good response from its residents, a minimum response rate of 45% is acceptable for Inner London households.

The Provider shall monitor the performance of individual interviewers, Provider's shall adhere to what measures they proffered to take to remedy unsatisfactory performance, both in terms of poor response rates and poor data quality.

The Provider shall ensure that coding is done accurately and consistently, whether by interviewers or coders, and that correct data is supplied. Provider's shall adhere to the approach to coding proffered at tender.

The Customer reserves the right to examine any aspect of the Provider's work in detail, or to commission suitable agents to do this, particularly in the early months of the contract.

### **(3.5) Contract monitoring arrangements:**

Monthly liaison meetings will be held between the Customer and Provider at the Customer's offices. The date of these meetings will be based around the annual fieldwork and data processing timetable so that up-to-date indicators are available for discussion at each monthly meeting. Each month field and trip rates will be circulated prior to the liaison meeting, for example, response indicators and trip rates. Each quarter more detailed information will be provided prior to the liaison meeting, for example, average number of calls and interview length. Outside of liaison meetings the Customer is able to contact the Provider directly via the agreed first points of contact for the Parties.

## PROTECT CONTRACT

### 4. CONFIDENTIAL INFORMATION

The confidentiality of all interview and diary data collected must be respected by all staff, and steps taken to ensure its secure storage and transmission. Data supplied to the Customer should not contain names or postal addresses of households. Geo-codes will be aggregated to suitable geographic areas as agreed with the Customer for analysis and modelling purposes.

Data is currently transferred from the Provider to the Customer by File Transfer Protocol (FTP) server and the Customer would expect similar arrangements for secure data transfer to be used in the future. Full details of DPA and security requirements are provided in the Contract terms and conditions.

The Provider must hold ISO 27001: 2005 (Information Security) accreditation.

**BY SIGNING AND RETURNING THIS ORDER FORM THE PROVIDER AGREES** to enter a legally binding contract with the Customer to provide the Service specified in this Order Form together with, where completed and applicable, the mini-competition order (additional requirements) set out in section 2 of this Order Form. Incorporating the rights and obligations in the Call-Off Terms and Conditions set out in the Framework Agreement entered into by the Provider and UK SBS on 24.02.2014 and any subsequent signed variations to the terms and conditions.

For and on behalf of the Provider

Name and Title	
Signature	
Date	

For and on behalf of the Customer

Name and Title	
Signature	
Date	