**APPENDIX B**

**Statement of Requirements**

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# INTRODUCTION

## The Department for Transport (DfT) is a central Whitehall Government Department whose core responsibility is to plan and invest in transport infrastructure to keep the UK on the move. To achieve this, the department works with its agencies and partners to support the transport network that helps the UK’s businesses and gets people and goods travelling around the country.

## Aviation is a key part of the transport infrastructure. The UK has the third largest aviation network in the world second only to the US and China. However, passenger numbers have reached record levels and London’s aviation network will be full by 2040.

## The DfT is in the process of considering the policies, evidence and activities required to achieve planning consents for the construction of an additional runway.

## In addition, the DfT is also considering wider changes to national aviation policies, that are not location specific, which could be taken forward separately from any decisions on new runway capacity.

## This procurement is not intended to pre-judge any ministerial decisions, nor is it intended to come to any view on which, if any, of the shortlisted options for airport expansion the Government might support, or what route to securing powers might be preferred if the Government was to support future airport expansion.

## In responding all shortlisted suppliers must respect the highly sensitive level of confidentiality and ensure that they implement tight restrictions on the dissemination of this project within their organisation and do not disclose to other parties any information about the client or the subject matter for which services are being procured.

# PURPOSE

## Any consultation on airport capacity for an additional runway is likely to attract high levels of interest. It will be essential to effectively consider local sensitivities and the high profile nature of these issues when engaging with the public.

## The purpose of this procurement would be to ensure that DfT has the necessary expert resources to peer review the consultation on a draft national policy statement for airports for the development of an additional runway, to reduce the prospect of bias and potential for legal challenge on the consultation questions and the way the responses have been analysed.

## This invitation to tender relates to the commissioning of peer review services after the consultation has been launched. Pre consultation peer review services (i.e. to review the consultation questions and response mechanisms) has been commissioned separately.

## The supplier already selected to undertake the main consultation delivery/analysis work is ineligible to deliver peer review services.

## We envisage that pre- and post-consultation peer review services will be of similar financial value and levels of resource commitment. We would particularly welcome bids from organisations specialising in social research methods (e.g. questionnaire design and qualitative analysis). We envisage that one contractor will be commissioned to provide this service.

## The consultation will be digital by default with an ambition to encourage as many people as possible to participate using digital channels specifically hard to reach and vulnerable groups and the young eg 16 to 34 year olds who live and work in the local area or at the relevant airport and those with reduced online access.

## The key objectives for the peer review would be to:

### Review and advise on the development of a coding framework to analyse responses to make sure best practice is followed

### Review and advise on the final report to make sure it is balanced

### Compile a report on the peer review process indicating whether or not sufficient action was taken to make sure that consultation was fair and free from bias.

## Responses to this tender must be flexible enough to reflect the variables within the programme particularly:

### The potential uncertainty on when the consultation may begin;

### The duration of the consultation which has not been decided and could be 16 weeks.

##

# background to the authority

## Aviation in the UK is largely privatised and operates in a competitive international market.

## Airports and Airlines support the UK economy and form a key part of the transport infrastructure. The DfT makes sure they provide the domestic and international connections the UK needs to grow and prosper.

## In 2012 the government set up the Airports Commission, an independent body, to identify and recommend options to maintain the UK’s position as Europe’s most important aviation hub.

## The Airports Commission published an ‘Interim Report’ in 2013 which concluded that there was a clear case for one net additional runway in London and the South East, to come into operation by 2030. In its final report published in July 2015 the Airports Commission set out recommendations on how to meet any need for additional airport capacity. In December 2015 the Government accepted the case for expansion and the Commission’s shortlisted options but has not decided on a preferred location.

## The intention is to deliver a new runway seeking powers through the provisions in the Planning Act 2008 which relates to nationally significant infrastructure. This requires public and parliamentary scrutiny with a suite of documents produced by DfT to support a consultation process.

## The proposals on new runway capacity would be particularly sensitive to local communities and this is likely to invoke strong opinions and result in a high level of interest.

## A package of policy proposals relating to aircraft and airspace policy may also be consulted upon. These relate to the Government’s framework for how airspace is managed by the Civil Aviation Authority, including how decisions are made about flight paths and how noise is taken into account. These national policies are separate to any decision which may be taken on a new runway. However, they are related because robust airspace and noise policies will be important if it came to making decisions on flight paths for any new runway capacity, and some of the proposals have been developed following recommendations from the Airports Commission.

## Potential providers should take these factors into account in formulating their responses. Potential Providers will need to draw on their experience of successfully peer reviewing high-profile, high response public consultations.

# Background to requirement/OVERVIEW of requirement

## The consultation work will be supported by a programme of events and engagement activities. The winning supplier will need to be aware of activities taking place within the stakeholder programme as well as what is happening on the analysis work.

## The events will provide background information to the public and give them the opportunity to speak to officials within the department about the consultation.

## All consultation activity must take place within the consultation timetable. DfT will agree cut off times for responses once the timing of the consultations has been agreed.

## Examples of the types of audiences the Department would like to reach for these areas of work are as follows eg member of the public affected by expansion and wider aviation policy changes, airlines, campaign groups, local authorities, elected representatives, trade groups and bodies. The audiences listed above are only indications of the groups the Department would like to reach. You will need to advise on whether the audience is right.

## Potential providers do not need to have experience in transport or transport related areas. We are looking for providers with experience of carrying out peer reviews for high-profile consultations.

# Scope of Requirements

## The scope of the project is defined as:

### To review development of the coding framework to analyse responses for the consultation and development of the final report:

### The consultation on runway capacity will run for a period of up to 16 weeks.

## Requirements

### Review and advise on the development and approach of a framework to code and analyse responses pre, during and post consultation;

### Advise on methods for collecting and collating data from responses to questions

### Review final report generated by the Analysis Agency. Review after 2nd proofs and penultimate proofs;

### Review work without delaying overall progress on project or final deadlines;

### Write a report on the peer review process;

### All data collected for this project should be handed over to the DfT on completion of this project in both electronic and hard copy formats.

## **Service requirements**

### The Supplier will be expected to compile the following reports:

#### A short report (4-8 sides) making clear recommendations for the consultation on the development of the framework to code consultation responses (recommendations for improving the development of the coding framework).

#### A short report (1-2 sides) on the development of the final report which analyses the consultation responses produced by the analysis agency making clear recommendations on possible improvements to the report.

#### A short and focussed report on the peer review process (1-2 sides) indicating whether or not sufficient action was taken to make sure that the consultation was fair and free from bias. The report should be produced within 2 weeks of the analysis agency producing their final report on the analysis of all consultation responses.

#### It is anticipated that the majority of correspondence will be carried out by email or telephone. The reviewer may only be expected to attend a limited number of meetings.

# service levels and performance

## The following identifies some key milestone which potential suppliers should consider in preparing responses and populating where required. Also, they should identify other milestones which they consider will be important to ensure effective planning and monitoring of the project.

| Milestone | Deliverables(bulleted list showing all Deliverables (and associated tasks) required for each Milestone) | Deliverable / Key Point Indicators  | Milestone Date | Customer Responsibilities (if applicable) |
| --- | --- | --- | --- | --- |
| Task 1Review development of a framework to code and analyse responses  | * Review approach to develop a framework to code and analyse consultation responses and suggest areas for improvement if required
* Update DfT Consultation Manager on findings verbal and written update and discuss options for possible changes with DfT

.  | Short report 4–8 sides recommending any changes  | Dec 2016 tbc Feb 2017 tbcMarch 2017 (tbc) | Supply details of the coding at periodic intervals |
| Task 2Report on analysis | * Produce a report(s) analysing and or summarising responses to consultation(s).
* Assume at least 3 rounds of proofs for each report.
* Output to pdf and Word. Must follow DfT guidelines on the production of materials
 | Short report (1-2 sides) recommending any changes  | June/ July tbc  | Supply draft copies of the final report  |
| Task 3 Final Report  | Final report on the peer review process developed (1-2 sides) | Short report on peer review process | June / July 2017 (tbc) |  |

## The Potential Provider should produce a milestone plan (based on the above plan) within 5 days of request and in such further detail as the Authority may reasonably require. The Potential Provider shall ensure that each version of the plan is subject to approval by DfT. The Potential Provider shall ensure that the plan is maintained and updated on a regular basis as may be necessary to reflect the then current state of the implementation of the services.

## The Authority shall have the right to require the Supplier to include any reasonable changes or provisions in each version of the implementation plan.

## The Supplier shall perform its obligations so as to achieve each milestone by the Milestone Date.

## Changes to the milestones shall only be made in accordance with the variation procedure that would need to be agreed with the Authority Department upon contract award.

## Potential providers are expected to ensure and demonstrate that they have the expertise, capability and capacity to undertake this work. The team /persons engaged on this project must to be flexible, adaptable and responsive to changing circumstances, ensuring ample availability of key personnel working on this project.

### Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.

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

## **Project Management**

### The potential provider will be expected to provide a proposed top level project plan in response to the tender. Once the tender has been awarded, a detailed project plan showing key activity and milestones for each phase of work, including any dependencies will be required.

### The successful supplier will be responsible for ensuring that the project plan is maintained and updated on a weekly basis as may be necessary to reflect the then current state of the progress of work streams. This includes changes and additions directed by the DfT project manager.

### The successful supplier will be responsible for maintaining other key project management documents such as a risk and issues register and quality assurance log. All documents developed should be agreed by the two parties in the first instance and then updated at weekly intervals as agreed by the DfT project manager.

## **Quality Assurance**

### Outputs from the work produced under this contract will directly inform and support high profile DfT policy decisions, it is therefore essential that the potential provider has thorough and effective quality assurance processes in place.

### Proposals should set out a quality assurance plan for work that will be undertaken under this contract. The quality assurance plan should describe the processes that will ensure that drafts and analysis submitted to DfT do not contain content errors, as well as presentational errors, therefore requiring minimum amendment and re-drafting by DfT.

### Proposals should outline clear procedures for maintaining high ethical standards throughout this work, drawing on an accepted ethical framework of best practice.

## **Invoicing Arrangements**

### A purchase order will be raised. The supplier should issue invoices in accordance with the milestones in Appendix E – Price Matrix and as set out in heading 6.

## **Invoicing Process**

### Invoices must show DfT’s purchase order number. This information will be handed over at the inception meeting.

### The Supplier must send the invoice (no accompanying information needs to be included with this invoice) to DfT’s Shared Service Centre at:

### DfT Shared Service Centre

### 5 Sandringham Park,

### Llansamlet

### Swansea Vale,

### Swansea

### SA7 0EA

## The contract will be subject to reviews at monthly intervals. In the event of contract termination prior to the end of the expected contract duration, the DfT retains the option to terminate the contract on provision of 30 days written notice. Therefore the termination date will be invoked by whichever of the two dates is the sooner.

# Location

## The services will be carried out at the Suppliers premises and the default location for the Authority meetings at:

##  Department for Transport

## 33 Horseferry Road

##  London,

## SW1P 4DR.

# Security requirements

## Once the supplier is appointed and the commencement of the contract is approved, it is likely that the supplier will be privy to information that is not in the public domain.

## The Potential Provider should detail all the measures they will take to maintain the confidentiality, integrity and availability of information during both the procurement process and in the production of work and services in the course of this contract.

## As the data that will be processed under this contract will be considered to be at the Official level (and also with a Sensitive caveat) it is important that all systems that are processing or storing this data are of an approved standard.

## All data should be encrypted when at rest and in the course of transmission. Only systems or solutions accredited to hold data at HMG OFFICIAL/OFFICIAL-SENSITIVE and/or that currently conform to BS27001 will be considered.  Particular emphasis will be placed upon the security of the data systems and how the security of the data is protected by all staff (including contractors) and in all premises where work is carried out to support this contract.

## Potential Providers should provide detail on the security clearances held by personnel handling the data, as well as those who hold system administration rights for building the solution.   Potential Providers should also be able to articulate how their solution meets HMG’s requirements for OFFICIAL/OFFICIAL-SENSITIVE specifically for the data in question. In order to facilitate the contract, it is preferred that the storage of data is done within the UK.

# PROJECT TIMETABLE

Project Timelines:

|  |  |
| --- | --- |
| Dec 2016  | Award contract inception meeting  |
| Dec 2016 | Outline development of framework to code responses based on question structure  |
| Jan 2017 | Consultation Starts  |
| Jan 2017 | Review development of framework to code responses  |
| Feb 2017 | Review coding framework  |
| April 2017 | Review coding framework / Consultation Ends  |
| June 2017 | Review final report  |
| July 2017 | Submit final report / Contract finishes |

# BUDGET

## Prices should be submitted in pounds sterling and be inclusive of expenses and exclusive of VAT. The budget for this procurement is £20,000 (excluding VAT).

## **IMPORTANT NOTICE:**

## Potential providers should note that a preferred supplier is expected to be identified through this procurement process but a contract between the Supplier and Department will only become active should Minsters take decisions to pursue the national policy changes and potential proposals for new runway capacity. We therefore reserve the right not to spend against this contract and to stop this procurement any stage depending on Ministerial decisions.