

DPS Schedule 6 (Order Form Template and Order Schedules)

Order Form

ORDER REFERENCE: TRAS3083

THE BUYER: The Department for Transport

BUYER ADDRESS Great Minster House
33 Horseferry Road
London
SW1P 4DR

THE SUPPLIER: Ove Arup & Partners Ltd

SUPPLIER ADDRESS: 8 Fitzroy Street
London
W1T 4BJ

REGISTRATION NUMBER: 01312453

DUNS NUMBER: 227760899

DPS SUPPLIER Registration ID: 332395

APPLICABLE DPS CONTRACT

This Order Form is for the provision of the Deliverables and dated 21/06/2023.

It is issued under the DPS Contract with the reference number RM6126 for the provision of a review of practice and incentives surrounding Transport Business Case Development and Appraisal.

DPS FILTER CATEGORY(IES):
39715

ORDER INCORPORATED TERMS

The following documents are incorporated into this Order Contract. Where numbers are missing we are not using those schedules. If the documents conflict, the following order of precedence applies:

1. This Order Form including the Order Special Terms and Order Special Schedules.
2. RM6126 Joint Schedule 1 (Definitions and Interpretation)
3. DPS Special Terms
4. The following Schedules in equal order of precedence:
 - Joint Schedules for RM6126
 - Joint Schedule 2 (Variation Form)
 - Joint Schedule 3 (Insurance Requirements)
 - Joint Schedule 4 (Commercially Sensitive Information)
 - Joint Schedule 6 (Key Subcontractors)
 - Joint Schedule 10 (Rectification Plan)
 - Joint Schedule 11 (Processing Data)
 - Order Schedules for TRAS3083
 - Order Schedule 1 (Transparency Reports)
 - Order Schedule 2 (Staff Transfer)
 - Order Schedule 3 (Continuous Improvement)
 - Order Schedule 4 (Order Tender)
 - Order Schedule 5 (Pricing Details), annexed below
 - Order Schedule 15 (Order Contract Management)
 - Order Schedule 20 (Order Specification), annexed below
5. CCS Core Terms (DPS version) v1.0.3
6. RM6126 - Joint Schedule 5 (Corporate Social Responsibility)

No other Supplier terms are part of the Order Contract. That includes any terms written on the back of, added to this Order Form, or presented at the time of delivery.

ORDER SPECIAL TERMS:	None
ORDER START DATE:	26/06/2023
ORDER EXPIRY DATE:	03/11/2023
ORDER INITIAL PERIOD:	19 weeks

DELIVERABLES

Description	Timeframe or Delivery Date
Finalised first stage interview materials	Week 4 of Contract Award
PowerPoint Presentation of draft results to support workshop with the Authority Project Board	Week 12 of Contract Award
First draft of final report	Week 14 of Contract Award
PowerPoint presentation of the findings via online video call for a senior stakeholder audience	Week 17 of Contract Award
Finalised report	Week 19 of Contract Award

MAXIMUM LIABILITY

The limitation of liability for this Order Contract is stated in Clause 11.2 of the Core Terms.

The Estimated Year 1 Charges used to calculate liability in the first Contract Year is **£100,000.00 excluding VAT**.

ORDER CHARGES

See details in Order Schedule 5 (Pricing Details)

All changes to the Charges must use procedures that are equivalent to those in Paragraphs 4, 5 and 6 (if used) in DPS Schedule 3 (DPS Pricing)]

REIMBURSABLE EXPENSES

None

PAYMENT METHOD

You will be issued with a Purchase Order number for this contract and will need to quote this number on all invoices. Invoices received without the correct Purchase Order Number are likely to be returned to you and will delay receipt of payment.

Invoicing instructions are attached below for further details:



Invoicing
Instructions.doc

BUYER'S INVOICE ADDRESS:

DfT Shared Services Arvato
Accounts Payable Team
5 Sandringham Park
Swansea Vale
Swansea
SA7 0EA
SSa.invoice@sharedservicesarvato.co.uk

BUYER'S AUTHORISED REPRESENTATIVE

[REDACTED] MCIPS ([REDACTED]@dft.gov.uk)
DfT Commercial Relationship Manager

Great Minster House
33 Horseferry Road
London
SW1P 4DR

BUYER'S ENVIRONMENTAL POLICY

DfT Corporate
Environmental Policy

BUYER'S SECURITY POLICY



Information cyber
security policy.docx

Please also see Call Off Schedule 9: Security and section 16 of Attachment 3

SUPPLIER'S AUTHORISED REPRESENTATIVE

To be completed by supplier at contract award

SUPPLIER'S CONTRACT MANAGER

To be completed by supplier at contract award

PROGRESS REPORT FREQUENCY

Weekly

PROGRESS MEETING FREQUENCY

Weekly

KEY STAFF

For the Buyer

[REDACTED]
Project Manager

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 [@dft.gov.uk](mailto: [REDACTED]@dft.gov.uk)

1st floor, Great Minster House, 33 Horseferry Road, London, SW1P 4DR
07773 643900

For the Supplier

KEY SUBCONTRACTOR(S)

None

E-AUCTIONS

Not applicable

COMMERCIALLY SENSITIVE INFORMATION

Not applicable

SERVICE CREDITS

Not applicable

ADDITIONAL INSURANCES

Not applicable

GUARANTEE


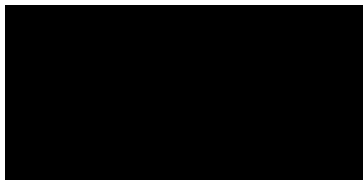


Not applicable

SOCIAL VALUE COMMITMENT

The Supplier agrees, in providing the Deliverables and performing its obligations under the Order Contract, that it will comply with the social value commitments in Order Schedule 4 (Order Tender)

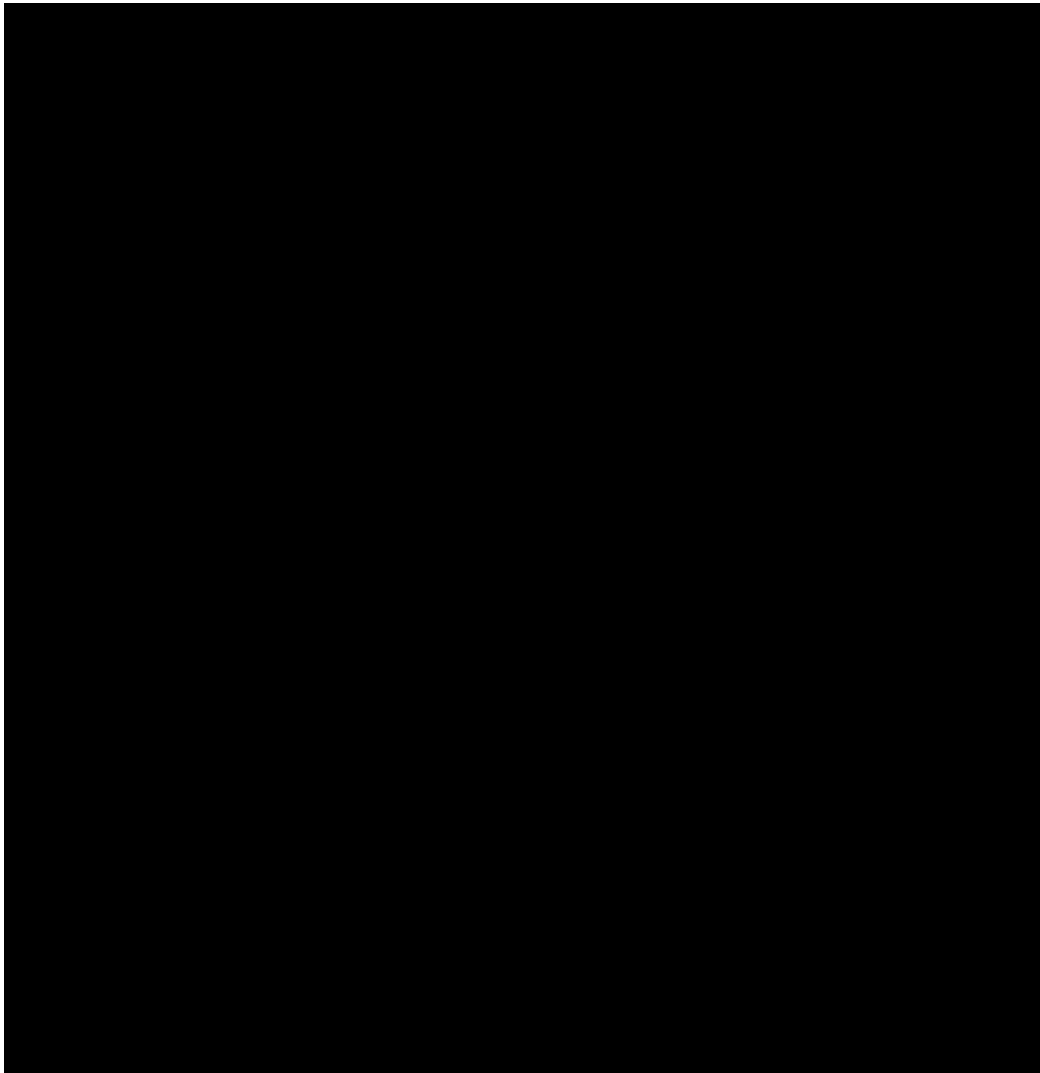
DPS Schedule 6 (Order Form Template and Order Schedules)

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For and on behalf of the Supplier:		For and on behalf of the Buyer:	
Signature:		Signature:	
Name:		Name:	 MCIPS
Role:	Director, Arup	Role:	Commercial Relationship Manager
Date:		Date:	27/06/23

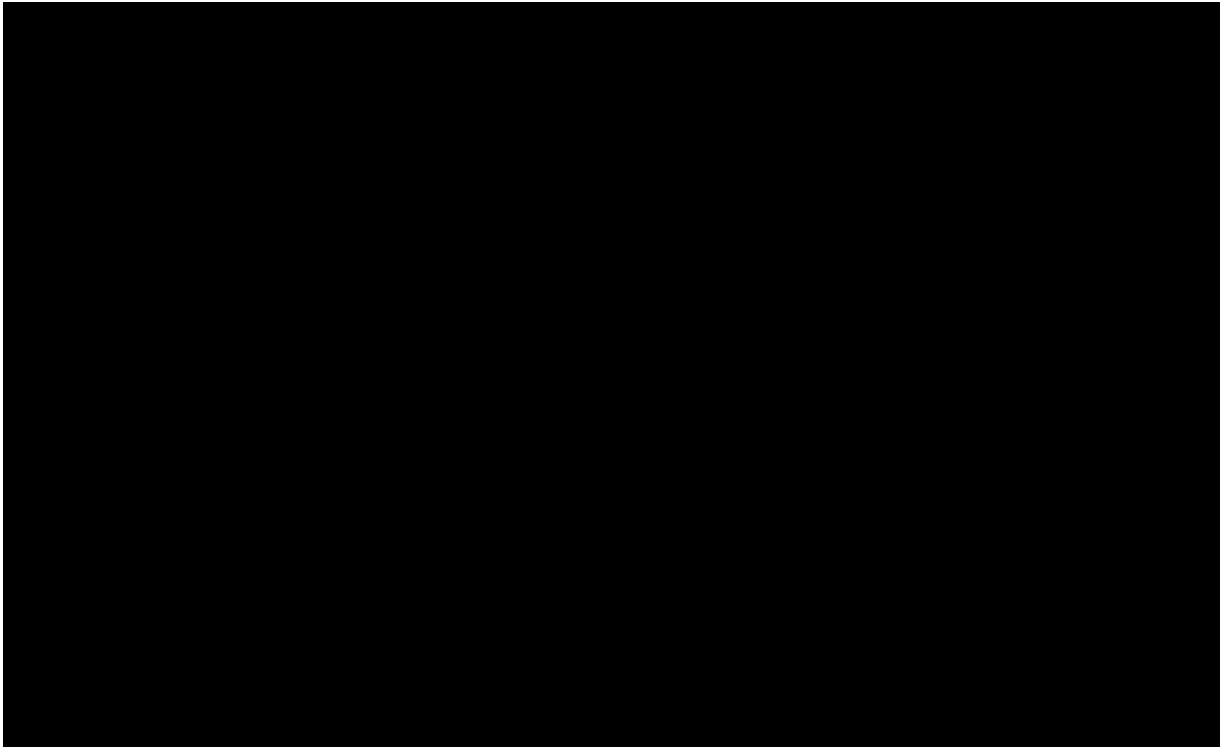
Order Schedule 4 (Order Tender)

Per the Supplier's Tender documents, attached below.



Order Schedule 5 (Pricing Details)

Per the Supplier's Attachment 4 – Pricing Schedule:



Order Schedule 20 (Order Specification)

Per Attachment 3 – Statement of Requirements

TRAS3083 -
Attachment 3 - Statu



Crown
Commercial
Service

Bid Pack

Attachment 3 – Statement of Requirements

Contract Reference: Transport Business Case Development
and Appraisal: Review of Practice and
Incentives

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1. PURPOSE

- 1.1 In response to the 2020 Green Book Review, ‘the Review’, the Department for Transport (hereafter referred to as the Authority) is working to embed its recommendations in transport business cases. The Review’s findings and recommendations are wide-ranging and focused on the development of business cases as a whole rather than solely on specific appraisal methodologies. The Authority’s response is similarly wide-ranging through the development of various workstreams, and alongside changes to Transport Business Case guidance and Transport Analysis Guidance (TAG), the Authority will take action to ensure appraisal practice and business case development supports delivery of the desired outcomes of the Review. The “Transport Business Case Development and Appraisal: Review of Practice and Incentives” research, analysed in this tender, focuses on the strategic and economic cases.
- 1.2 This document sets out the Authority’s requirement for a supplier to collect and interpret evidence on the existing practices and incentives around transport business case development and appraisal across organisations to inform the development of our programme of work in this area.
- 1.3 The overarching aim of the research is to support the desired outcomes from the Green Book review by understanding current appraisal practice and identifying barriers to implementing the changes required in transport business case development. This will support the Department in identifying actions which will encourage the development of coherent and well-evidenced business cases which demonstrate how transport spending proposals will contribute to meeting Government’s strategic objectives and provide a robust assessment of the overall value for money of the proposed investment.

2. BACKGROUND TO THE CONTRACTING AUTHORITY

- 2.1 The Authority (Department for Transport) 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. We plan and invest in transport infrastructure aiming to achieve our priority outcomes¹ which include (but not limited to) improving connectivity across the UK and growing the economy, building confidence in the transport network and improving transport users’ experience, tackling climate change and improving air quality by decarbonisation transport.

3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

- 3.1 In response to external criticisms of the framework which underpins Government appraisal, HM Treasury announced a review of the Green Book at

¹ <https://www.gov.uk/government/publications/department-for-transport-outcome-delivery-plan>

Budget 2020². This reported alongside the Spending Review in November 2020 with a report setting out findings and recommendations alongside an updated Green Book. The Review found that while core appraisal methodologies do not skew outcomes, current appraisal practice may hinder Government in achieving its strategic objectives.

- 3.2 Transport has also been criticised on the basis that the appraisal methodologies act as a barrier to taking forward schemes which meet Government objectives. While the Review did not support this critique, we believe that the wider practice and capability issues highlighted in the Review may sometimes stand in the way of developing robust business cases in support of Government objectives and this should influence the actions we take to respond to the Review.
- 3.3 The Review stresses the need for business cases to engage with the strategic context in which a proposal is put forward, with a coherent narrative across all five dimensions (strategic, economic, management, commercial and financial), supported by robust evidence and analysis. It highlights current failures of those writing business cases to engage properly with the strategic context and demonstrate how a proposal may contribute to delivery of national, regional or local strategic goals. It also highlighted that the lack of strategic context may lead to an undue focus on boosting the benefit cost ratio (BCR) with significant effort put into improving the BCR rather than focused on analysis which illuminates relevant impacts.
- 3.4 The Review also found that there was a lack of capacity to engage with the full appraisal process, particularly in local authorities and that the use of consultants to deliver the technical aspects of the appraisal could sometimes lead to less engagement with the strategic context and greater focus on generating a high BCR.
- 3.5 The recommendations of the Green Book review for robust business case development and appraisal include:
- Engagement with strategic context and goals to ensure better understanding of those goals that will promote cohesive business cases. Clear understanding on how to develop interventions and options informed by evidence and that clearly support the delivery of strategic objectives, including levelling up.
 - Analysis which illuminates impacts of interest to achieve the strategic goals
 - Clear understanding on the possible impacts of their proposals in their wider strategic context.
 - Clear understanding of VfM, how to appraise it, and what information to provide to decision-makers.

² [The Green Book is the government's guidance on options appraisal and applies to all proposals that concern public spending, taxation, changes to regulations, and changes to the use of existing public assets and resources.](#)

- 3.6 The Department is taking forward a programme of work in response to the Review with one workstream aimed at identifying and addressing areas where the current practice and incentives around the development of transport business cases are contributing to issues identified in the Green Book Review and may potentially be hindering Government in achieving its strategic objectives, including around levelling up. This research is part of the above workstream.
- 3.7 A range of organisations are involved in transport business case development: scheme promoters (including local authorities, sub-national transport bodies and mayoral combined authorities, ALB's such as National Highways, Network Rail, HS2 Ltd), consultancies and planning inspectorates. Promoters commission transport consultants to produce analysis and/or write parts of the business case. Funding is sought from the Authority for spending proposals and the Authority also acts as scheme sponsor for major schemes. We are interested in the role of organisations in the delivery of business cases and how current practice across organisations may impact on outcomes. This research should collate and report the experience of transport professionals, across organisations, who play a role in two areas of business cases: those who develop and appraise business cases and those who review the business cases.
- 3.8 For the purpose of this research, 'practice' is defined as how individuals interpret and apply business case guidance and appraisal guidance³ to generate business cases in support of proposed transport investment, drawing on established processes within their organisation (and in other organisations they engage with) as well as their prior experience and knowledge. 'Incentives' encompasses perceptions of individuals about expectations around what clients value in the business case process.
- 3.9 The overall objectives of the research will support identification of actions that the department may want to take to embed changes in line with the recommendations of the Review:
- To develop a clear understanding of how transport schemes and their associated business cases are developed in practice, and how established practice may lead to the sub-optimal outcomes identified in the Review.
 - To gather evidence to improve the Department's understanding of the role of practices and incentives in relation to development of business cases
- 3.10 This research will contribute to a strong evidence base to support decisions about how we implement the recommendations of the Green Book Review in a way that drives the desired outcomes: supporting the delivery of Government priorities through interventions underpinned by robust, evidence-based business cases.

³ Both central HMT guidance and DfT guidance

4. DEFINITIONS

Expression or Acronym	Definition
DfT	means Department for Transport
TAG	means Transport Analysis Guidance
GBR	means Green Book Review
VfM	means Value for Money
BCR	means Benefit-cost ratio
ALB's	means Arm's Length Bodies

5. SCOPE OF REQUIREMENT

- 5.1 The aim of this research (Transport Business Case Development and Appraisal: Review of Practice and Incentives) is to develop an in-depth understanding of current practice and incentives around transport appraisal and business case development within the Department and in external organisations involved in the development of business cases to bid for public money.
- 5.2 This research should collate and report the experience of transport professionals who play a role in developing, appraising or reviewing transport business cases, across organisations involved in developing and appraising or reviewing business cases: regional and local transport authorities, private transport consultancies, arms-length bodies of the Authority and the Authority. Those transport professionals should include practitioners who are drafting or providing analysis for business case through to senior stakeholders, embedded teams of the Authority, policy leads and decision makers whose choices provide the strategic direction for the work done.
- 5.3 By gathering evidence through interviews and surveys with individuals involved in the business case process, the research should focus on understanding barriers to embedding the Green Book Review recommendations in current practice and behaviour.
- 5.4 The research should aim to explore a number of areas relating to appraisal practice and business case development in a transport context:
- how transport proposals are conceived and developed in different organisations, including how they relate to the wider strategic context;
 - what incentives are faced by individuals developing business cases which may drive certain behaviours or practice;
 - the impact of current governance arrangements on behaviour and practice.
- 5.5 **Methodology:** We anticipate that the requirement will be met by a qualitative approach (via online video interviews/calls) which explores the topics outlined

in section 6 of the document. The interviewees should have a job role relevant to developing and/or appraising business cases (aiming for a spread in developing, appraising and reviewing business cases) to qualify for the interviews. The Authority will provide named contacts for DfT only and lists of named organisations with some warm contacts with a reasonable spread across various organisations. Although the Authority will provide warm contacts across organisations, it is expected that the Potential Provider will source people within organisations.

- 5.6 The Authority can also provide stimulus material and process map of the development and appraisal of business cases that can be developed/adapted by the successful bidder before sharing it with the research participants prior or during the interviews. The stimulus will aim to help participants to engage in the issues in an informed and considered way. In addition to the areas of interest set out in 5.1.5 the research should aim to explore the below areas:

5.6.1 Processes and governance

- Explore how the scheme inception and development processes in different contexts influence the development and appraisal of individual business cases;
- Explore how the current governance arrangements, whether within the Authority, its arms-length bodies or other organisations promote or detract from good practice;
- Report on how well understood the business case development process is across different organisations;
- Understand how the economic and strategic case of the transport business case are developed individually and together in different organisations/roles/transport modes;

5.6.2 Attitudes, perceptions and incentives

- Identify the range of attitudes and perceptions of individuals involved in the development and appraisal of individual business cases;
- Explore how the incentives faced by individuals may be driven by those processes;

5.6.3 Barriers and opportunities

- Map out the full range of barriers and opportunities for action to achieve the desired outcomes of the Green Book review.

- 5.7 Potential providers are encouraged to propose the methodology or methodologies they deem most suitable for achieving the aims of the project and should clearly state in their bid response why they deem these to be most

suitable. In addition, they should include reference to the suitability of the sample (people/organisations) selected in this research.

- 5.8 The research should be designed and conducted to engage as effectively with the target population (transport professionals whom will be involved in the interviews) as possible, and potential bidders should outline how they intend to do this in their bid. For example, this could include the design of survey materials or interview techniques or both or any additional techniques.

5.8.1 We anticipate that the supplier should have experience of conducting qualitative research through in-depth interviews (via phone/online video call) and be able to draw on expertise in relation to transport business case development to support them in targeting the right people in organisations. This will maximise the potential of the research to answer the research questions.

5.8.2 The successful Provider would be required to work with the Authority to design the research instrument(s). The successful Provider will be responsible for the fieldwork, data cleaning, data processing and quality assurance, analysis, reporting and recommendations.

- 5.9 Bidders must provide, or be able to provide, non-contact versions of any of their proposed methodologies that involve face-to-face contact. Where face-to-face methodologies are proposed, Bidders should outline in their bids the reasons for this, and the proposed non-contact alternatives and their suitability as an alternative methodology. Bidders must also be aware that fieldwork approaches may need to be flexible and amended throughout the life of the project to comply with any Government advice related to Coronavirus/Covid-19 and to help ensure fieldworker and participant health and safety.

- 5.10 It is mandatory to provide the deliverables as set out in paragraph 6.13.

- 5.11 It is mandatory to meet the requirements set out in paragraphs 6.1 to 6.12.

- 5.12 The Authority welcomes additional recommendations from suppliers relating to topics that have been specified.

6. THE REQUIREMENT

- 6.1 The objective of the research is to understand how current practice and incentives may act as a barrier to embedding the recommendations of the GBR.

- 6.2 There are several questions that we wish to test through this research. Topics of interest are listed below, but this is not intended to be an exhaustive list and bidders should consider whether additional questions would be valuable to explore.

- 6.3 The research should use in-depth interviews (via phone/online video call) to explore the existing practice and incentives around transport business case

development across a number of organisations with the aim of identifying aspects of current practice which may stand in the way of embedding the recommendations of the Green Book Review.

6.4 A range of organisations should be approached to gain a broad understanding of:

6.4.1 how business cases (including both large and small investments) are developed in different contexts with a focus on the strategic and economic cases;

6.4.2 the impact that common practice, including the role of organisational and governance structures, determine the incentives of individuals involved in developing business cases and influence the quality of business cases which are submitted to decision makers.

6.5 Particular topics of interest are set out below in three categories:

6.5.1 Processes and governance

- Explore how the current scheme inception and development process in different contexts influences the development of business cases, with a particular focus on the development of the strategic case and the appraisal of the proposal set out in the economic case. Relevant context may include: who is promoting the scheme; the type of funding being sought; how the proposed scheme has been identified and developed;
- Explore how intra- and inter-organisational structures (including current governance arrangements) drive appraisal practice whether within the Authority, its arms-length bodies or other scheme promoters and whether these promote or detract from the desired outcomes of the GBR;

6.5.2 Attitudes, perceptions and incentives

- Understand the range of attitudes and perceptions of the individuals involved in the development and appraisal of individual business cases relating to the purpose and process of developing business cases and their understanding of the decision making process;
- Explore how the incentives faced by individuals may be driven by those processes;

6.5.3 Barriers, opportunities, recommendations

- Map out the full range of barriers and opportunities for action to achieve the desired outcomes of the GBR;

- Recommendations for achieving successful business cases that meet government's strategic priorities.

6.6 The following questions are a guide to the subjects that we wish to understand through undertaking the research. Not all the questions will be relevant for different transport professionals included in the sample and consideration should be given as to how best to focus interviews to generate relevant evidence:

6.6.1 Scheme Inception and start of business case development:

- How are proposed schemes generated? Who identifies the transport problem? Do schemes get developed 'bottom-up' (problem identified and linking to a strategic priority) or 'top down' (developing a proposal that supports a priority and aligning to a problem)? How does this differ across mode/organisation?
- What is the methodological approach used to generate and filter options? Is the approach used to analyse the long list consistent with DfT Transport Analysis Guidance and Green Book guidance? How does this differ across mode/organisation?
- Do scheme promoters have a good understanding of the possible impacts of their proposals in their wider strategic context?
- What are the incentives and constraints faced by scheme promoters in generating and filtering the long lists and how do they influence the approach undertaken?
- How can DfT best facilitate an objective, impartial, proportionate and robust approach to long list analysis?

6.6.2 Developing holistic business cases

- To what extent is a holistic approach to business case development taken across each of the five elements of the HMT 5 business case model?
- How well does the evidence underpinning the economic dimension of the business case align with the analysis presented in the strategic dimension? This should include:
 - The extent to which impacts of the transport proposal which are referenced in the strategic dimension and analysis of the impacts are appropriately considered in the economic

dimension, with consistent evidence and assumptions used across the 2 dimensions.

- The extent to which any uncertainties around local housing and population growth or whether other interdependent investments go ahead are addressed through sensitivity testing in the economic dimension.
- The extent to which available evidence is used to demonstrate to the reader the nature of these impacts, for example with maps showing the scale of flows and the characteristics of users, or looking at unit costs eg cost per user to give a sense for the costs and assist in comparing them to the benefits
- What are the drivers causing a lack of overall alignment across elements on the business case (with a specific focus on alignment between economic and strategic dimensions), and how can these be addressed. Potential issues could include:
 - Lack of awareness of need for alignment;
 - Incentives and constraints (e.g relating to organisational governance structures);
 - Established ways of working.
- How can DfT promote a holistic approach to business case development including through changes to guidance and wider measures?

6.6.3 Role of Value for Money (VfM)

- Is there evidence of an excessive focus on Benefit Cost Ratios (BCRs) relative to the overall value for money assessment in scheme business cases? How does this differ across organisations and modes (and possibly across other factors such as governance and funding mechanisms)?
- How do perceptions about the role of the BCR and value for money (VfM) assessment in decision making at all levels drive behaviour and practice in business case development? How does this differ across organisations and modes?

- Do people understand how to assess impacts that aren't monetised or are indicatively monetised and how they can bring in other evidence?
- What guidance is used by transport practitioners working on business cases (HMT business case guidance, TAG, HMT Green Book, etc)? Are they sufficient and clear enough? What are the gaps and limitations in the guidance?
- What behaviour may be encouraged by available guidance? Are there any perverse incentives?
- Are there other reasons for an excessive focus on BCRs, such as established ways of working or organisational incentives and constraints?
- What evidence is there of wider evidence (including around the impacts on place, people and wellbeing) being effectively used to illustrate the case for an investment?
- How can DfT encourage a wider understanding of value for money in scheme appraisal which avoids an excessive focus on BCRs?

6.7 The Authority requires qualitative research through interviews in various organisations (the Authority (DfT), its arms' length bodies, sub-national transport bodies, Local Authorities, and consultancies), however, the exact methodology and number of participants are not fixed (interviews via phone/online video call with a duration of 60 minutes for each interview). Potential Providers are invited to propose which approaches they believe are most suitable to explore the topics. They must provide their reasoning behind their recommended methodology, including how they plan to identify and engage with transport professionals involved with business cases.

6.7.1 The selected transport professionals who will be participating in the interviews should be involved with the development and appraisal and/or review of business cases (aiming for a spread across those who are focused on the detailed development of scheme impacts, those involved in the development of the wider business case and those who review the business cases) relevant to bids funded by the Authority. We invite those tendering for the contract to set out their proposed sample size and the coverage they expect to achieve across different organisations and job types. The participants' roles should be relevant to oversight and involvement in the Business Case development and appraisal or review. The interviews should include professionals from all the organisations listed below with a geographic spread across England required. An indicative list of participants by organisation/teams and by mode in the research's interview can be found in section 20.2 of the

report (in the Annex chapter). The list of participants organisation/teams and by mode is only indicative and flexible to changes and will be discussed with the successful bidder at the inception meeting:

- Authority (Department for Transport)
- Local Authorities (LA's)
- Arm's Length Bodies (ALB's)
- Sub-national transport bodies & mayoral combined authorities
- Planning Inspectors
- Consultancies

6.7.1.1 We envisage that the supplier will use in-depth interviews for each interviewee (phone/online video call) to gather evidence about how current practice and incentives around business case development may lead to the submission of business cases which do not meet the requirements of the new Green Book.

6.8 The Authority will require the potential provider to develop research instruments and agree these with the Authority's project manager and other internal stakeholders as appropriate. The exact topics for inclusion on the instruments should reflect the aims of the research and the suggested topics set out above, but these will be further refined and agreed between the successful bidders and the Authority's Project Manager. The expected topics for inclusion are listed in 6.6.

6.9 The Potential Providers should provide analysis at the reporting stage that draws out key themes across the sample, as well as an understanding of how themes vary by four key sub-groups:

1. types of organisations (Authority, LA's, ALB's, consultancies etc);
2. types of roles within the Business case (developers and appraisers vs reviewers);
3. mode;
4. other potential drivers such as: region (spread across England), the impact of governance and funding mechanisms.

6.10 Potential providers will be responsible for all fieldwork for the research method. Bidders should provide their reasoning behind their proposed fieldwork methodologies.

- 6.11 Potential providers will be required to undertake appropriate analysis for the research method. Bidders must provide their reasoning behind their recommended analysis.
- 6.12 Bidders are invited to propose an appropriate sample size taking account of the high-level guidance set out in 6.6, which will ensure coverage of key organisations involved in the development of transport schemes and associated business cases. They should also set out what support they anticipate needing from the Authority in identifying suggested contacts and organisations.
- 6.13 The project should provide the following deliverables:
- 6.13.1 Draft and final versions of the research tools to be used during the interviews.
 - 6.13.2 An initial de-brief PowerPoint presentation (via online video call) of findings allowing for discussion with the Authority steering group before submitting the draft research report
 - 6.13.3 A draft research report providing analysis of the qualitative research, across the sample and highlighting key sub-group differences. The draft report should include the findings from the research that fully covered (but not limited to) the areas of interest. They should also put forward proposals for embedding the recommendations of the Green Book review within the report. The draft report should be accompanied by an excel sheet that includes general information regarding the profile of people who have been interviewed (role, organisation, any business case of major schemes they have been involved in – however, this list should be anonymised).
 - 6.13.4 A final research report that includes the elements mentioned in the draft research report, incorporating comments from the project steering group and presenting the final results of the research and any recommendations for the department.
 - 6.13.5 Produce a PowerPoint presentation of the findings via online video call for a senior stakeholder audience.
- 6.14 The Authority will input 2 rounds of comments (one on draft report, one on final version).

7. KEY MILESTONES AND DELIVERABLES

- 7.1 The following Contract milestones/deliverables shall apply:

Milestone/Deliverable	Description	Timeframe or Delivery Date
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1	Inception Meeting between the Authority and the successful Supplier (remotely via online video call)	Within week 1 of Contract Award
2	Draft first stage interview materials	Within week 3 of Contract Award
3	Finalise first stage interview materials	Within week 4 of Contract Award
4	All fieldwork completed	Within week 10 of Contract Award
5	PowerPoint Presentation of draft results to support workshop with the Authority Project Board	Within week 12 of Contract Award
6	First draft of final report	Within week 14 of Contract Award
7	Second draft of the final report incorporating the Authority comments	Within week 16 of Contract Award
8	PowerPoint presentation of the findings via online video call for a senior stakeholder audience	Within week 17 of Contract Award
9	Report finalised	Within week 19 of Contract Award

8. MANAGEMENT INFORMATION/REPORTING

8.1 The Authority expects to stay in close contact throughout the recruitment, fieldwork, analysis and reporting stages. The Authority shall receive weekly updates showing, depending on the stage of the research:

- 8.1.1 Recruitment progress;
- 8.1.2 Fieldwork progress;
- 8.1.3 Key themes emerging from the research during the fieldwork and data analysis stages;
- 8.1.4 Updates on the risk register highlighting any concerns with deliverability. Should a new risk arise, the Successful Supplier should include plans on how to mitigate it and what the impact would be on deliverability.

8.2 The supplier shall provide:

- 8.2.1 The final research report: The research report should combine the findings of the qualitative research. The report should be thematic in nature and adhere to the Authority's style guide and publishing standards. The exact format and contents of the report will be decided between the successful bidder and the Authority. The report must be provided in a fully accessible

version in ODT – see guidance on accessible publications:
<https://www.gov.uk/guidance/how-to-produce-accessible-documents-for-dft> .

8.2.2 Two presentations: A de-brief presentation (in a virtual meeting) of the research findings and a final presentation of the research findings for a senior stakeholders' audience. The exact content and nature of the presentations would be decided between the successful bidder and the Authority, but each presentation should have around an hour's duration and around 2 hours for Q&A and further discussion.

8.2.3 Weekly updates from the Potential Provider via email or telephone.

9. VOLUMES

9.1 One off project, not anticipating any future waves or research beyond March 2022.

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 The Supplier should present new ways of working to the Authority during monthly Contract review meetings.

10.3 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 - PENDING

11.1 Please include details of any sustainability considerations Potential Bidder's should include in their submissions.

12. QUALITY

12.1 The Authority requires the Potential Provider to detail the quality assurance process in their bid.

12.2 The Authority requires the Potential Provider to detail the anticipated risks and mitigation for the project in the form of a "risk register" on their bid.

12.3 The Authority reserves the right to examine any aspect of the successful Providers work in detail, or to commission suitable agents to do this.

12.4 Potential Providers shall submit a quality control plan with their proposal outlining their internal quality control procedures.

12.5 The Potential Provider shall provide evidence of the quality assurance activities undertaken.

- 12.6 The Potential Provider is invited to suggest appropriate performance indicators for meeting target dates and objectives. These can be included in their quality plan.
- 12.7 The Authority intends to use the data to inform policy analysis for internal Government use and to publish a set of priorities to address the recommendations of the Green Book review. The contractual arrangement between the Potential Provider and the Authority will need to enable the Authority to use the data in this way.
- 12.8 The Authority will own and retain all Intellectual Property Rights arising from this Research Project.

13. PRICE - PENDING

- 13.1 Prices are to be submitted via the e-Sourcing Suite [Attachment 4 – Price Schedule excluding VAT and including all other expenses relating to Contract delivery.

14. STAFF AND CUSTOMER SERVICE

- 14.1 The Supplier shall provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service.
- 14.2 The Supplier's staff assigned to the Contract shall have the relevant qualifications and experience to deliver the Contract to the required standard.
- 14.3 The Supplier shall ensure that staff understand the Authority's vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.
- 14.4 The Supplier shall have experience of relevant research methods and we anticipate that the Supplier will identify relevant expertise in transport business case development to provide support in developing interview materials and identifying the right people in the right organisations.

15. SERVICE LEVELS AND PERFORMANCE - PENDING

- 15.1 The Authority will measure the quality of the Supplier's delivery by:
- 15.1.1 Please provide information of the required service levels and/or KPIs that the Potential Bidder will be expected to achieve and against which the Supplier's performance will be assessed. Ensure that service levels are measurable, relevant, and drive contractual performance. Please insert in text and include SLAs/KPIs in table form.

KPI/SLA	Service Area	KPI/SLA description	Target
1	Research Design	The final proposed research method should be provided to and approved by the Contract Authority within Week 4 of the contract being awarded.	Within week 4 of contract award

2	Fieldwork, data delivery	All field work should be completed, data should be delivered and approved, and a presentation delivered to the Contracting Authority.	Within week 12 of contract award
3	Data delivery	A final report should be agreed upon, with presentations to senior stakeholders.	Within week 19 of the contract award
4	Progress reporting	Weekly phone conversations will be required. Actions approved in weekly meetings are to be implemented within approved timeframe, and to a standard that the Contract Authority are content with.	90%

16. Regular weekly catch-ups with the Project Manager will be required to provide confidence to the team that deliverables are on track. Where necessary and relevant, meetings and presentations will also be held with the wider Project Board, and stakeholders.
17. In the event of poor performance through the failure to deliver KPIs to time and of appropriate quality, the Authority shall meet with the successful Provider to understand the root causes of the issue. The successful Provider shall formulate a Performance Improvement Plan to rectify these issues and meet the requirements in this statement.
18. If poor performance continues, following formal written warnings, early termination of the Contract will also be considered.
19. The Authority will monitor the work of the successful Provider throughout the Research Project through regular day to day contact via multiple channels (E.g. email, telephone and face to face meetings).

20. SECURITY AND CONFIDENTIALITY REQUIREMENTS

- 20.1 Potential Providers shall explain how they intend to transfer the required datasets and outputs and how the security of the transfer will be ensured. This will need to be reviewed and agreed by the Authority at the inception meeting before implementation. If any additional cost is associated with this process, this must be made explicit in the bid (Appendix E, Price Schedule).

21. PAYMENT AND INVOICING - PENDING

- 21.1 Insert details of required invoicing schedule.

- 21.2 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.
- 21.3 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.
- 21.4 Invoices should be submitted to: Insert Invoicing address
- 21.5 Insert any specific requirements the Supplier must adhere to in relation to your organisation's purchase to pay process.

22. CONTRACT MANAGEMENT

- 22.1 Attendance at Contract Review meetings shall be at the Supplier's own expense.
- 22.2 It is expected any Contract Review meetings will be held via MS Teams.

23. LOCATION

- 23.1 The location of the Services will be carried out at Department for Transport's London Office in Horseferry Road, London, England.

24. ANNEX

- 24.1 The below section provides links to material relevant to the research topic and Green Book Review findings for the Business case development and appraisal.

24.1.1 The Green Book Review findings for the Business case development are:

- 24.1.1.1 A common failure of those writing appraisals to engage properly with the strategic context in which their proposal sits. Business cases frequently demonstrate the below:

- (a) Lack of understanding of the proposal's specific contribution to the delivery of the government's strategic goals (eg. levelling up or net zero). This also leads to weak strategic cases.
- (b) The selection of the best option to be heavily reliant on a Benefit Cost Ratio (BCR) that is not aligned to the decision makers' objectives (due to lack of strategic direction). The BCR instead focuses on benefits that it is easy to put a monetary value on.
- (c) A lack of strategic consideration also causes particular problems in developing proposals to support a specific place or places and allows limited space for transformational effects to happen.

- 24.1.1.2 The issues that decision makers need to consider aren't always illuminated. Thus, the investment choice of in a

proposal it may be done without a well-balanced understanding of whether that investment will deliver their goals.

24.1.1.3 Central government departments also frequently fail to work together across organisational boundaries.

24.1.1.4 There is a frequent failure to carry out robust analysis of impacts in different places or to consider them in decision making, even when it is relevant.

24.1.2 The Green Book Review findings for the Business case appraisal are:

24.1.2.1 A lack of transparency around how decisions are taken. It's often not clear to stakeholders the basis on which business cases are approved, making it harder for them to understand what a good business case looks like.

24.1.2.2 The perception of stakeholders is that bids are ranked purely by their BCR with adjustments to that ranking made in an opaque fashion.

24.1.2.3 A lack of capacity to engage with the full appraisal process, especially the more technical aspects. As a result, the work is often outsourced to consultants, who may have been tasked with producing a high BCR rather than a properly well-rounded appraisal.

24.1.2.4 There is often a lack of good evidence on what works to support current policy and programme appraisals.

24.1.2.5 Equalities impacts are too often considered as an afterthought rather than integrated into the appraisal process.

24.1.3 Links to material relevant to the research topic which will provide a better insight in the Green Book and the Green Book Review, TAG, Transport Business Case Guidance and the Route Map report:

24.1.3.1 [Green Book](#)

24.1.3.2 [Green Book Review](#)

24.1.3.3 [TAG](#)

24.1.3.4 [Transport Business Case Guidance](#)

24.1.3.5 [TAG Route Map report](#)

24.2 Indicative list of participants by organisation, teams within each organisation and by mode:

Indicative list of participants by organisation/team and mode						
Organisation to participate in the interviews		Transport Mode covered by each organisation/team				
		Car	Rail	Bus	Active Modes	Aviation
Department for Transport	Investment Portfolio Delivery Committee (IPDC - Tier 1 Board)	✓	✓	✓	✓	✓
	LRTC committee (committee - Tier 2 Board)	✓	✓	✓	✓	✓
	Analytical Advice and Assurance Analytical review/clearance team: AAA team- team	✓	✓	✓	✓	✓
	Local Regional Transport Analysis (LRTA) team	✓	✓	✓	✓	✓
	Rail team		✓			
	Roads Economics Modelling & Evaluation (REME) team	✓	✓	✓	✓	
	Aviation team					✓
	Policy teams	✓	✓	✓	✓	✓
Arm's Length Bodies (ALB's)	Network Rail (NR)		✓			
	National Highways	✓				
	HS2 Ltd		✓			
	East West Rail Ltd		✓			
Sub-national transport bodies/mayoral combined authorities	Transport for the North (TfN)	✓	✓	✓	✓	✓
	Midlands Connect		✓			
	England's Economic Heartland	✓	✓	✓	✓	
	Tees Valley	✓	✓	✓	✓	✓
	Transport for London (TfL)	✓	✓	✓	✓	
Local Authorities (LA's)	Regional coverage	✓	✓	✓	✓	✓
Other	Planning Inspectors	✓	✓	✓	✓	✓
Consultancies & Companies with Major Transport Schemes	Any consultancies with experience of major business cases with regional coverage	✓	✓	✓	✓	✓