



Department for Education

CONTRACT FOR 'FAMILY HUBS EVALUATION INNOVATION FUND' PROJECT REFERENCE NO: DFERPPU/20-21/013

This Contract is dated **2nd June 2021**

Parties

- 1) The Secretary of State for Education whose Head Office is at Sanctuary Buildings, Great Smith Street, LONDON, SW1P 3BT ("the Department"); and
- 2) **Ecorys UK** whose registered office is **Albert House, Quay Place, 92-93 Edward Street, Birmingham B1 2RA** ("the Contractor").

Recitals

The Contractor has agreed to undertake the Project on the terms and conditions set out in this Contract. The Department's reference number for this Contract is **DFERPPU/20-21/013**

Commencement and Continuation

The Contractor shall commence the Project on the date the Contract was signed by the Department (as above) and, subject to Schedule Three, Clause 10.1 shall complete the Project on or before **30th June 2023**.

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Interpretation

1.1 In this Contract the following words shall mean:-

“the Project”	the project to be performed by the Contractor as described in Schedule One;
“the Project Manager”	
“the Contractor’s Project Manager”	
“the Act and the Regulations”	means the Copyright Designs and Patents Act 1988 and the Copyright and Rights in Databases Regulations 1997;
“Affiliate”	in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time;
“BPSS” “Baseline Personnel Security Standard”	a level of security clearance described as pre-employment checks in the National Vetting Policy. Further Information can be found at: https://www.gov.uk/government/publications/government-baseline-personnel-security-standard ;
“CC” “Common Criteria”	the Common Criteria scheme provides assurance that a developer’s claims about the security features of their product are valid and have been independently tested against recognised criteria;
“CCP” “Certified Professional”	is a NCSC scheme in consultation with government, industry and academia to address growing need for specialists in the cyber security profession and building a community of recognised professionals in both the UK public and private sectors. See website: https://www.ncsc.gov.uk/scheme/certified-professional ;
“CCSC” “Certified Cyber Security Consultancy”	is NCSC’s approach to assessing the services provided by consultancies and confirming that they meet NCSC’s standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website: https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy ;
"Commercially Sensitive Information"	information of a commercially sensitive nature relating to the Contractor, its IPR or its business or which the Contractor has indicated to the Department that, if disclosed by the Department, would cause the Contractor significant commercial disadvantage or material financial loss;
"Confidential Information"	means all information which has been designated as

	<p>confidential by either party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including but not limited to information which relates to the business, affairs, properties, assets, trading practices, services, developments, trade secrets, Intellectual Property Rights, know-how, personnel, customers and suppliers of either party and commercially sensitive information which may be regarded as the confidential information of the disclosing party;</p>
"Contracting Department"	<p>any contracting authority as defined in Regulation 5(2) of the Public Contracts (Works, Services and Supply) (Amendment) Regulations 2000 other than the Department;</p>
"Contractor Personnel"	<p>all employees, agents, consultants and contractors of the Contractor and/or of any Sub-contractor;</p>
"Contractor Software"	<p>software which is proprietary to the Contractor, including software which is or will be used by the Contractor for the purposes of providing the Services;</p>
"Control"	<p>means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and "Controls" and "Controlled" shall be interpreted accordingly;</p>
"Controller"	<p>take the meaning given in the GDPR;</p>
"Copyright"	<p>means any and all copyright, design right (as defined by the Act) and all other rights of a like nature which may, during the course of this Contract, come into existence in or in relation to any Work (or any part thereof);</p>
"Copyright Work"	<p>means any Work in which any Copyright subsists;</p>
"CPA"	<p>is an 'information assurance scheme' which evaluates commercial off the shelf (COTS)</p>
"Commercial Product Assurance" [formerly called "CESG Product Assurance"]	<p>products and their developers against published security standards. These CPA certified products Can be used by government, the wider public sector and industry. See website: https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa;</p>
"Crown Body"	<p>any department, office or agency of the Crown;</p>
"Cyber Essentials"	<p>Cyber Essentials is the government backed, industry supported scheme to help organisations protect themselves against common cyber-attacks.</p>
"Cyber Essentials Plus"	<p>Cyber Essentials and Cyber Essentials Plus are levels within the scheme;</p> <p>There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers</p>

"Data"	<p>https://www.iasme.co.uk/apply-for-self-assessment/</p> <p>means all data, information, text, drawings, diagrams, images or sound embodied in any electronic or tangible medium, and which are supplied or in respect of which access is granted to the Contractor by the Department pursuant to this Contract, or which the Contractor is required to generate under this Contract;</p>
"Data Loss Event"	<p>any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach;</p>
"Data Protection Impact Assessment"	<p>an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data;</p>
"Data Protection Legislation"	<p>(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy;</p>
"Data Protection Officer"	<p>take the meaning given in the GDPR;</p>
"Data Subject"	<p>take the meaning given in the GDPR;</p>
"Data Subject Access Request"	<p>a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;</p>
"Department Confidential Information"	<p>all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, know-how, personnel, and suppliers of the Department, including all IPRs, together with all information derived from any of the above, and any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered to be confidential;</p>
"Department's Data" "Department's Information"	<p>is any data or information owned or retained in order to meet departmental business objectives and tasks, including:</p> <p>(a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are:</p> <p>(i) supplied to the Contractor by or on behalf of the Department; or</p> <p>(ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or</p>

	(b) any Personal Data for which the Department is the Controller;
"DfE"	means the Department for Education;
"Department"	
"Department Security Standards"	means the Department's security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver;
"Digital Marketplace/GCloud"	the Digital Marketplace is the online framework for identifying and procuring cloud technology and people for digital projects. Cloud services (e.g. web hosting or IT Health checks) are on the G-Cloud framework;
"DPA 2018"	Data Protection Act 2018;
"Effective Date"	the date on which this Contract is signed by both parties;
"Environmental Information Regulations"	the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government Department in relation to such regulations;
"FIPS 140-2"	this is the Federal Information Processing Standard (FIPS) Publication 140-2, (FIPS PUB 140-2), entitled 'Security Requirements for Cryptographic Modules'. This document is the de facto security standard used for the accreditation of cryptographic modules;
"FOIA"	the Freedom of Information Act 2000 and any subordinate legislation made under this Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government Department in relation to such legislation;
"GDPR"	the General Data Protection Regulation (Regulation (EU) 2016/679);
"Good Industry Practice" "Industry Good Practice"	means the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"Good Industry Standard" "Industry Good Standard"	means the implementation of products and solutions, and the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"GSC" "GSCP"	means the Government Security Classification Policy which establishes the rules for classifying HMG information. The policy is available at: https://www.gov.uk/government/publications/government-security-classifications ;
"HMG"	means Her Majesty's Government;

"ICT"	means Information and Communications Technology (ICT) used as an extended synonym for Information Technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution;
"ICT Environment"	the Department's System and the Contractor System;
"Information"	has the meaning given under section 84 of the Freedom of Information Act 2000;
"Intellectual Property Rights"	means patents, trade marks, service marks, design (rights whether registerable or otherwise), applications for any of the foregoing, know-how, rights protecting databases, trade or business names and other similar rights or obligations whether registerable or not in any country (including but not limited to the United Kingdom);
"ISO/IEC 27001" "ISO 27001"	is the International Standard describing the Code of Practice for Information Security Controls;
"ISO/IEC 27002" "ISO 27002"	is the International Standard describing the Code of Practice for Information Security Controls;
"IT Security Health Check (ITSHC)" "IT Health Check (ITHC)" "Penetration Testing"	means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on the IT system;
"LED"	Law Enforcement Directive (Directive (EU) 2016/680);
"Malicious Software"	any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
"Need-to-Know"	the Need-to-Know principle is employed within HMG to limit the distribution of classified information to those people with a clear 'need to know' in order to carry out their duties;
"NCSC"	The National Cyber Security Centre (NCSC) formerly CESG Is the UK government's National Technical Authority for Information Assurance. The NCSC website is http://www.ncsc.gov.uk ;
"OFFICIAL" "OFFICIAL SENSITIVE"	the term 'OFFICIAL' is used to describe the baseline level of 'security classification' described within the Government Security Classification Policy (GSCP) which details the level of protection to be afforded to information by HMG, for all routine public sector business, operations and services. the 'OFFICIAL-SENSITIVE' caveat is used to identify a limited subset of OFFICIAL information

	that could have more damaging consequences (for individuals, an organisation or government generally) if it were lost, stolen or published in the media, as described in the Government Security Classification Policy;
“Original Copyright Work”	means the first Copyright Work created in whatever form;
"Personal Data"	take the meaning given in the GDPR;
“Personal Data Breach”	take the meaning given in the GDPR;
“Processor”	take the meaning given in the GDPR;
“Protective Measures”	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;
“Regulatory Bodies”	those government departments and regulatory, statutory and other entities, committees and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in this Contract or any other affairs of the Department and " Regulatory Body " shall be construed accordingly;
"Request for Information"	a request for information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations;
“Secure Sanitisation”	Secure sanitisation is the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level. Some forms of sanitisation will allow you to re-use the media unuseable. Secure sanitisation was previously covered by “Information Assurance Standard No.5 – Secure Sanitisation” (“IS5”) issued by the former CESG. Guidance can be found at: https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media ; The disposal of physical documents and hardcopy materials advice can be found at: https://www.cpni.gov.uk/secure-destruction ;
“Security and Information Risk Advisor”	the Security and Information Risk Advisor (SIRA)
“CCP SIRA”	is a role defined under the NCSC Certified Professional (CCP) Scheme. See also:
“SIRA”	https://www.ncsc.gov.uk/articles/about-certified-professional-scheme ;
“SPF”	This is the definitive HMG Security Policy which
“HMG Security Policy Framework”	describes the expectations of the Cabinet Secretary

and Government's Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely.

<https://www.gov.uk/government/publications/security-policy-framework>;

"Staff Vetting Procedures"	the Department's procedures and departmental policies for the vetting of personnel whose role will involve the handling of information of a sensitive or confidential nature or the handling of information which is subject to any relevant security measures, including, but not limited to, the provisions of the Official Secrets Act 1911 to 1989;
"Sub-Contractor"	the third party with whom the Contractor enters into a Sub-contract or its servants or agents and any third party with whom that third party enters into a Sub-contract or its servants or agents;
"Sub-processor"	any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;
"Third Party Software"	software which is proprietary to any third party [other than an Affiliate of the Contractor] which is or will be used by the Contractor for the purposes of providing the Services, and
"Work"	means any and all works including but not limited to literary, dramatic, musical or artistic works, sound recordings, films, broadcasts or cable programmes, typographical arrangements and designs (as the same are defined in the Act) which are created from time to time during the course of this Contract by the Contractor or by or together with others at the Contractor's request or on its behalf and where such works directly relate to or are created in respect of the performance of this Contract or any part of it;
"Working Day"	any day other than a Saturday, Sunday or public holiday in England and Wales.

1.2 References to "Contract" mean this contract (and include the Schedules). References to "Clauses" and "Schedules" mean clauses of and schedules to this Contract. The provisions of the Schedules shall be binding on the parties as if set out in full in this Contract.

1.3 Reference to the singular include the plural and vice versa and references to any gender include both genders. References to a person include any individual, firm, unincorporated association or body corporate.

SCHEDULE ONE**1 BACKGROUND**

The Government made a [manifesto commitment](#) in 2019 to “improve the Troubled Families programme and champion Family Hubs to serve vulnerable families with the intensive, integrated support they need to care for children – from the early years and throughout their lives”.

In Budget 2020, the Chancellor of the Exchequer announced £2.5 million for research and the development of best practice around the integration of services for families, including family hubs, and how best to support vulnerable children. This funding is being administered by the Department for Education to procure a National Centre for Family Hubs and Integrated Family Services and a Family Hubs Evaluation Innovation Fund.

Family hubs generally offer a range of early intervention services for families – similar to children’s centres but for a broader child age range (0-19 rather than 0-5) and some family hubs have been established in settings such as schools. This can include services under the umbrella of the Healthy Child Programme but also family support and early intervention and prevention services. While the rationale for effective early intervention for children and families is strong and compelling, there is no strong evidence as yet that the family hub model is superior to other service delivery models.

Family hub services will have a range of objectives, and will vary from area to area, but will broadly speaking provide early help and intervention for families with the aim of improving education, health and public service outcomes for children and adult members of the family. The idea behind the family hub model is to improve access for parents to support, and to improve the effectiveness and coherence of local services. Local authorities have wide discretion as to what and how services are provided locally, including whether to organise local services along the lines of a family hub model or in other ways.

Case studies of family hubs have been published by organisations such as the Family Hubs Network¹ and the Local Government Association². Policy papers on family hubs include a 2014 report by the Centre for Social Justice³, the All Party Parliamentary Group on Children’s Centres 2016 report⁴, and a 2016 discussion paper by the Children’s Commissioner⁵.

In 2019, DfE commissioned the Early Intervention Foundation (EIF) to review the different models of early years integrated service provision, including family hubs. The published report⁶ provided insight into the different models that exist and some of the service improvement priorities for local and national stakeholders, which will inform the focus of the Department for Education’s Family Hubs Evaluation Innovation Fund. The EIF found little robust evidence on how hubs are currently being delivered and how effective they are. The EIF made a number of recommendations on improving standards of evaluation and building

¹ <https://familyhubsnetwork.org.uk/hubs/types-of-family-hubs/>

² https://www.local.gov.uk/sites/default/files/documents/LGA_Delivering%20children%E2%80%99s%20centre%20services_15%2024_January%202018.pdf

³ [Fully Committed? How a Government could reverse family breakdown](#)

⁴ [Family Hubs: The Future of Children’s Centres: Strengthening family relationships to improve Life Chances for everyone](#)

⁵ [Family-Hubs-A-Discussion-Paper-2016](#)

⁶ <https://www.eif.org.uk/report/planning-early-childhood-services-in-2020-learning-from-practice-and-research-on-childrens-centres-and-family-hubs>

evaluation capacity, including prioritising evidence-based interventions as part of local offers, alongside a consistent and robust approach to generating local evidence of intervention effectiveness through use of valid measurement tools and monitoring systems. The EIF stated that articulating the local approach through a theory of change would support local stakeholders focus on evidence-based outcomes and use this to make explicit and considered choices about key service design issues. This would also help overcome the variable use of valid and reliable measurement tools to understand effectiveness. The EIF also concluded that there is a logical case for more holistic and joined-up approaches to delivering area-based family services responding to concerns about a lack of service integration and artificial service boundaries but highlighted that there is a lack of funding and confidence in evaluation generally. The EIF found that local areas which have taken action on evaluation have generally benefited from more hands-on support from evaluation experts.

2 AIM

The Contractor shall use all reasonable endeavours to achieve the following aims:

- Support family hubs with evaluation capacity and resource via Government funding
- Improve the quality and rigour of the evidence-base on the effectiveness of existing family hub delivery models
- Generate knowledge and learning for local authorities and other commissioners on the factors driving the service implementation and performance, outcomes and impacts, and value for money of family hubs
- Create a step-change in the standards of evaluation of family hubs, by showcasing good quality evaluation, and generating learning and toolkits for future evaluations and service planning
- Aid national policy-making on family hubs by building an evidence-base for any future Government policy

The Contractor will be expected to support the Department and the National Centre in achieving the above aims and working with partner family hubs to design and deliver high-quality local evaluations.

3 OBJECTIVES

The Contractor shall use all reasonable endeavours to achieve the following objectives:

- To provide an overall assessment of the selected family hub models, including service effectiveness, outcomes, impact and value for money.
- To establish systems for tracking family outcomes and service trajectories longitudinally, accounting for a wide range of contextual and implementation factors.
- To determine the added value of the hub approaches over and above pre-existing models, and to understand what works, for whom, how, and why.
- To document the lived experiences of children and families as they interact with services, including families with multiple and complex needs; and to gain a deep understanding of the relationships between participation and co-production, and service effectiveness and outcomes.
- To build local capacity for self-evaluation and develop replicable toolkits and training for wider adoption by hubs country-wide.

4 TASKS

SCHEDULE OF WORK

Task	Output	Date Required
Inception meeting	Project inception meeting note and evaluation work plan	April 2021
Operational management group meeting		May 2021
Completion of initial desktop review and mapping work		June 2021
Evaluation workshops held with local authorities		July 2021
Cost savings calculator built and piloted	Bespoke, piloted, cost savings calculator for Family Hubs	August 2021
Feasibility report submitted for QED, with recommended options	Feasibility report on the quasi-experimental impact evaluation	September 2021
Evaluation framework and protocol finalised and signed off	Scoping report, over-arching evaluation framework and protocol Theories of change and logic models for each of the 5 local authorities Analytical plans, KPIs and bespoke tools for each of the 5 local authorities	September 2021
Operational management group meeting		September 2021
Partnership board meeting		October 2021
Research tools developed for Wave 1 fieldwork	Monitoring framework with agreed common measures across all authorities Qualitative research tools and analysis templates for case study research Coding framework for the overall evaluation, and NVivo codebook Scripted online questionnaire for local workforce	October 2021
Preliminary results available from historic cost comparison for LAs		December 2021
Initial workforce surveys topline available		December 2021
Wave 1 qualitative fieldwork completed		January 2022
Interim contribution analysis workshops completed		February 2022

Operational management group meeting		April 2022
Interim report submitted	Interim evaluation synthesis report and presentation	May 2022
Partnership board meeting		June 2022
Amended research tools ready for Wave 2 fieldwork	Qualitative research tools and analysis templates for case study research	August 2022
Operational management group meeting		September 2022
Follow-up workforce survey topline available		October 2022
Wave 2 qualitative fieldwork completed	Interim and final evaluation summaries for each of the 5 local authorities Clean, redacted SPSS / STATA data-files holding survey data	November 2022
Final summative Value for Money Assessment completed	Five worked VFM analyses	December 2022
Final contribution analysis workshops completed		December 2022
Quasi experimental impact evaluation completed	Analysis scripts / syntax for quasi-experimental impact evaluation, to support future work	January 2023
Operational management group meeting		January 2023
Partnership board meeting		March 2023
Submission of final synthesis report	Final evaluation synthesis report, research brief and presentation. Stand-alone case studies and Infographics for dissemination	March 2023

5 METHODOLOGY

The Contractor will use a mixed methods evaluation of the five partner local authorities, incorporating comparative analyses and a synthesis of evidence from across all of the participating hubs. To deliver the project, the Contractor have organised our work programme based around six main work streams (WS): a dedicated work stream for the project scoping and development stage, and for each of the process evaluation, impact evaluation, economic evaluation, the action learning elements, and reporting and dissemination. Our theory-based design will underpin all stages and tasks, while the Contribution Analysis will also be facilitated through specific activities.

WS1 Project scoping and development

Project inception meeting and work plan

The Contractor will have an inception meeting involving the Department's project management team, steering group members (if applicable) and the core evaluator team, including The Contractor's nominated Project Director and Project Manager. Suggested aspects to cover in the agenda for the inception meeting include:

- Key developments with the Family Hubs Innovation Fund at a national level, including further insights to the Department's aspirations for the Fund, and future plans, building on the information from proposal stage.
- Further information on the timescales and format of the peer learning programme activities, and anticipated mode and frequency of interaction with the National Centre for Family Hubs and other evaluators.
- Discussion on available documentation or data relating to the programme, to support our initial scoping and review work, for example any documents important to the design of the programme (such as materials important to developing the programme theories of change), operational plans and any additional programme information such as governance processes, implementation timescales and so forth.
- Evaluation timetable and work plan including any changes or updates as a result of the above developments, potential dates for meetings, the support requested from DfE and the likely timing.
- Publicity arrangements, including how and when the appointment of evaluation teams will be announced.

The Contractor will produce an inception report summarising our discussions during that meeting and providing an updated evaluation implementation and work-plan, as well as a timetable for delivery. At this stage the Contractor would also produce a draft Privacy Notice for the evaluation for review and sign off by the Department in advance of data collection.

Scoping and feasibility work with partner local authorities

The lead researcher for each authority will provide single point of contact, to streamline these different requirements, and will be responsible for setting in place a clear and workable evaluation plan and timetable. They will also liaise with partners to set in place the subcontracting (service-level) agreement and key milestones. The Contractor will carry out a desktop review of local authority plans and data. Following an evaluation team briefing and internal partnership meeting bringing together the suppliers and partner local authorities, the Contractor will commence the initial scoping desk research. The desk research will aim to map the key characteristics of each of the hub models, to distil essential information about their target populations, geographical scope, service pathways, use of evidence base interventions, and to understand the local performance framework and KPIs developed internally to measure progress and outcomes.

The Contractor will consult with the DfE, National Partner and their local authority partners at inception stage, to appraise the relative merits of these different tools and frameworks and to develop an implementation benchmarking tool that is tailored to the context and scope of the current evaluation (i.e. area-based and covering 0-19 services). The Contractor will then develop document lists and a template to populate. The lead researchers will coordinate the local review, with analytical support from the core team. Completed templates will be quality checked by the Project Manager and Director, with regular telephone and email communication to maintain an overview of progress.

Theory of change logic model development

The Contractor will work with each local authority to build a logic model articulating their theory of change. This will set out the aims and rationale for their model, the improvements they are seeking to bring about through a hub approach, and to make explicit the 'causal chains' between inputs, activities, outputs and outcomes (including both positive outcomes and potential unintended negative outcomes from system disruption). As Family Hubs aim to achieve systems change across a local area, the logic model will also seek to factor in the less tangible benefits of the strategic collaboration surrounding hub development. The Strategic Added Value (SAV) guidance originally developed for the evaluations of the English RDAs provides a well-tested set of measures to adapt.

In developing the logic model, the Contractor will seek to understand how local partners perceive the key change mechanisms, barriers and enablers, and other factors that might influence the success of the Family Hubs, including those relating to national policy, the wider functioning of the local authority and its' political leadership, funding arrangements, and locally-specific factors pertaining to the impact of the Covid-19 pandemic and emergency legislation.

Each local theory of change logic model will be accompanied by a data collection strategy, aligned with an analytical plan, and a framework for quality assuring the evaluation data. The Contractor will work with the partners to agree the format timescales and frequencies for data collection, and to specify how, and from whom different types of data (process, outcomes and learning) are to be collected (including MI data and participant-reported outcomes). The plans will be reviewed by the Project Manager and Director, with DfE approval sought prior to sign-off.

The Contractor will explore the potential to agree a sub-set of metrics that are reportable across all local authorities in a consistent format, while allowing flexibility for locally-specific measures. If feasible, the use of standardised measures would considerably improve the scope for comparative analyses at reporting stage, beyond a 'thematic' treatment of the data. The Contractor will use the scoping stage to map and appraise the existing types and modes of performance and assessment data that are routinely collected, and their availability, while exploring the potential to 'nudge' local authorities towards the use of validated tools.

Evaluation workshops with local authority partners

The theory of change logic model development will be iterative. The Contractor will draw on the desk-based mapping and consultations in the first instance, and the Contractor will bring it all together. This will happen in two stages:

- Local evaluation workshops - each lead researcher will hold a (virtual) workshop with key stakeholders for their local authority, to finalise the logic model and evaluation plan. The Contractor would anticipate involving between 8 and 10 participants, to include senior leaders tasked with hub design and delivery, and strategic partners. For example, this might include Early Help, Children's Social Care, YOS, public health, GPs and third sector representatives. The workshop will be facilitated by the lead researcher and supported by junior researchers from the core team. The Project Manager and Director will lead on developing tools and templates, and close communication will be maintained within the evaluation team to achieve a common and consistent approach.
- Collective evaluation workshop – having agreed local evaluation plans, the Contractor propose to bring all evaluation partners together to consolidate the learning from this phase of the project. This will provide an opportunity to reflect on commonalities and differences between local plans for evaluation and to identify themes where there is greatest scope for collaboration between authorities (e.g. whether this is around aspects of hub delivery or shared interests with regard to assessment, validated tools and measures, or participatory research). The workshop will provide a springboard for the action learning programme (see WS 5 below).

Scoping report, evaluation framework & protocol

The final task for WS1 will be to draw together the individual sets of ToC logic models, evaluation plans and toolkits, and to update the evaluation protocol for both the project and local levels. The Contractor will present this document to the DfE and National Partner, prior to fieldwork in autumn 2021. The Contractor will share and discuss a redacted version of this document with other evaluation teams, and the national network.

WS2 Process and outcomes evaluation

Qualitative research

To fully understand the hub models, the Contractor will conduct a programme of qualitative research within each of the partner local authorities. This will aim to capture the experiences, over time, of a cross-section of professionals involved in Family Hub development and implementation, at strategic and operational levels, and children, young people and families who have engaged with interventions or support planned and delivered through Family Hubs. This may include families who have been directly involved in governance or co-production activities.

The Contractor will include a combination of longitudinal research (where the Contractor interview the same respondents at multiple points to review distance travelled) and 'snapshot' (interviews or group discussions held at a single point). This approach will allow the Contractor to target the resource flexibly, to capture the learning at the most appropriate points, and to explore new or emerging partnerships or services established during the course of the evaluation. This work is structured into two component parts – interviews with professionals, and with families, respectively, although in practice these elements might be combined during the course of visits.

The research tasks will be tailored to the needs and areas of focus for each LA and will need to be specifically explored in their local evaluation plan.

Qualitative research with professionals

The sampling framework requires careful consideration. It will be important to select respondents and settings in a way that allows the Contractor to explore key features of the Hub Models, while ensuring coverage of the main strategic and operational partners; developmental stages: early years (0-4); middle childhood (5-11), and adolescent services (12-19+), and cross-sectoral dimension (e.g. health, education, employment, etc). The fieldwork will also provide an opportunity to examine promising practices, and to help explain findings from other strands of the research.

The Contractor will carry out fieldwork with professionals over the equivalent of three working days at each wave. The composition will need to be tailored to the specific delivery model for Family Hubs. For this reason, the Contractor will need to be flexible about the relative merits of conducting interviews (individual / paired), mini-groups or focus groups. This may include both face to face and remote interviewing, depending on the Covid-19 context.

The interviews will be tailored to the main respondent groups and will last around 1 hour. They will cover, but not be restricted to, the following topic areas:

- a) awareness of the aims, origins and stage of implementation of the Family Hubs
- b) development of their family hub vision/model and rationale for this
- c) profiling service reconfiguration under their family hub model
- d) views on effectiveness of governance and leadership arrangements and how this has developed
- e) views on the effectiveness of multi-agency partnership working, and the challenges and benefits of working across sectors, settings and age groups (0-19)
- f) experiences of joint training, supervision and how or whether professional practice has changed or been challenged by the transition to hub models, and if so how
- g) extent to which consensus has been achieved between professionals, families, and other residents, around community needs and priorities, and any residual tension points
- h) extent to which pathways and local pipelines of support are understood and utilised

- i) outcomes observed and recorded – at individual, family, and community (population) levels, including evidence for extended reach, services and systems transformation
- j) any identifiable areas of actual or potential cost savings; and,
- k) views on sustainability, and priorities for extending the model in the longer-term.

The coverage of the interviews/group discussions will be agreed in consultation with the DfE and the individual local authorities, prior to the drafting of the research tools. The Contractor will then proceed to develop a set of semi-structured topic guides, and to pilot them by carrying out up to four interviews by telephone in advance of the main stage of fieldwork. Once completed, the senior team will meet to review the topic guide and interview approach. Any modification to topic guides is usually minimal, and early interviews and groups are sufficiently consistent with later ones to ensure their inclusion in the full dataset (and any gaps in information can be back-filled accordingly). This practice is also useful for quality control and consistency of interviewer approaches.

A de-briefing session will be held for the team members who are conducting the fieldwork. This will be led by the Project Manager and Project Director and will aim to ensure a common understanding of the fieldwork processes; conduct of the interviews; analysis and reporting processes. The session will provide an opportunity to review the topic guides and associated tools and visual prompts such as timelines, and to discuss and reflect upon the learning from the pilot. It will also cover the ethical requirements for the fieldwork.

Qualitative research with children, young people & families

WS2 will also include a programme of interviews and participatory research with families who are supported through the Family Hub arrangements. The family research will map as closely as possible to the locations and services where the Contractor are interviewing staff and partners, to extend the scope of the data collection and to ensure that the Contractor are able to triangulate between the different sources of the evidence at the analysis stage.

The Contractor will use the following structure:

- Longitudinal interviews - the Contractor will interview four families per pilot per local authority at each of waves one and two (20 families, 40 interviews in total). In each case the Contractor will interview at least one adult parent or carer, and a second member of the family – this could be the child or young person who is the principal recipient of the service or activities, or another adult.
- Snapshot interviews – the remaining 30 interviews will form the snapshot sample, providing flexibility to conduct interviews with families who have participated in new or emerging hub provision.

The Contractor will liaise closely with the local authorities to identify families to participate in the research. The Contractor's recommended approach is to ensure that the process captures the levels of need among families within the target populations; the types of support and services accessed, and diverse family structures and characteristics (including BAME, lone parent families, traveller communities). The Contractor will work closely with sites to determine an ethically sound method to identify and select participants, to avoid pre-screening and the associated risk of selection bias. This may involve randomising the sample in some way (e.g. selecting every nth family meeting the criteria for inclusion).

As with the fieldwork with professionals, instrumentation will be carried out well in advance of main stage fieldwork, and thoroughly piloted. The Contractor will use a core set of topics that will be transposed into suitable guides for adults and children, considering ages and abilities. This is likely to include some combination of the following:

- a) timeline in the period prior to engagement with Family Hub services or activities
- b) experiences of initial engagement, assessment and service planning

- c) type, timing and frequency of contact with FH services or activities; quality and sufficiency of professional inputs; accessibility out of hours and around routines
- d) views on personal qualities of different services – home / school / community; influence on interaction between with different family members
- e) how / whether engagement has been sustained; whether there have been tension points or periods of disengagement; how involvement was regained
- f) perceptions of whether professionals understand them and their circumstances
- g) experiences of transition between different episodes of support or intervention, including transition points between age-based services or settings
- h) perceptions of outcomes achieved, and what this means / looks like to them
- i) factors enabling / inhibiting progress, and role of FH services or activities
- j) how this was achieved across home / school / community spheres; comparisons with previous experiences of support and activities identified at baseline stage
- k) views on wider community benefits / effects, sense of belonging and identity
- l) aspirations for the future; short and longer term for them and their family

The Contractor will work closely alongside lead workers / lead professionals when recruiting families for the evaluation. The recruitment approach will be developed during the Contractor's first visits and this will include the provision of guidance and a clear protocol for informing families about the evaluation and seeking their informed consent to participate.

When scheduling the visits, the Contractor will make every attempt to ensure that their fieldwork approach is appropriate to the circumstances of individual respondents. Interviews will most often be conducted within the family home, to fit around families' routines and to maximise the opportunity of interviewing multiple individuals within a familiar setting and without the need to travel. In certain instances, however, it might be preferable to speak with family members separately, or to hold the interview at the premises of partner organisations. Provision can also be made for family members to be interviewed with a friend or 'buddy' if this is requested to overcome confidence issues. The Contractor have allowed provision for translation and interpreter services.

Prior to every interview with a family the Contractor will liaise with a lead professional who is working with the family. These conversations will provide important background and context for the family interview, allowing researchers to tailor the interview topic guides accordingly, ensuring the Contractor manage the interviews as sensitively as possible.

All interviews and groups will be digitally recorded with the respondents' permission. This is essential for the generation of data of sufficient quality for detailed and rigorous analysis; to elicit verbatim quotes, and to prevent selective reporting. All of the fieldwork will be conducted under conditions of informed consent and confidentiality, with respondents notified in advance of the interviewer's duty to report any safeguarding concerns.

Participatory research with children, young people & families

In addition to the qualitative interviews, the Contractor will make use of visual, auditory and other non-formal methods of data collection as part of the family case studies. This strand of work is therefore firmly grounded in Participatory Appraisal (PA), which concerns "...a family of approaches and methods which enable communities to share, develop and analyse their own knowledge of life and conditions". The Contractor will build on good practices in this area, to develop a PA 'toolkit', which will be made available as a resource to the case study team, and which will be integral to the fieldwork. This might include:

- A set of visual exercises – pictorial, audio, or mapping, to convey families' emotional responses to issues affecting them or their family or exercises to draw and annotate different aspects of their engagement with support. Pictorial methods of this kind are effective for respondents of all ages, but they have particular benefits when conducting research with younger children or those with learning difficulties for whom

a more traditional question-and-answer format would be inappropriate and risks causing undue stress

- An audio / photographic family diary – families will be invited (and supported) to keep a log of their engagement with services and support in ‘real time’, reflecting upon what it means to them. Diary tools and guidance will be issues to families for this purpose, along with a structured diary workbook. The longitudinal format of the case studies will help to ensure that there are opportunities for the researchers to collect the completed research materials, or to assist with their completion at wave 2.

The Contractor will draw on the interview data to establish the chronology of the services received by families; how this develops over the course of their engagement with Family Hubs and interventions, and the positive or negative outcomes experienced. Through this approach, the Contractor will seek to garner a nuanced understanding of families’ journeys, including flash-points and points when joined-up place-based support was perceived to have removed barriers to progress (and to understand where support is not working). Timelines offer a powerful tool for visualising change and would add value to the reports to DfE.

Participatory methods of this kind can be the most effective where they are used in combination over a specific timeframe, and then reviewed and discussed with family members. The Contractor will explore with families the approach of conducting a more intensive piece of work, to provide a snapshot of their lives for a two-week period towards the start of the intervention and again at the end. By combining diary and photographic evidence with interviews and key worker notes collected during the two observation periods, it should be possible to examine the extent to which the families’ routines, physical environment, relationships with each other, and contact with external agencies has undergone a perceptible shift, and to present and ‘re-play’ the evidence with the family.

The case study research with families will produce sets of research tools; completed interview notes, transcripts, interview data, and a bank of photographic and pictorial case study materials.

Qualitative data management and analysis

The Contractor will use a combination of qualitative software and Excel to manage and analyse the qualitative data. The Contractor’s approach to the analysis will involve the following stages:

A well-developed framework of themes and codes is central to achieving high quality data analysis. The framework will be designed using Classic Grounded Theory. The senior team will review a sample of early responses before developing the thematic structure. Each theme will contain sub-codes to capture specific issues. The Contractor expect to use a three-to-four tier natural language coding framework, with each level drilling deeper into the data. These codes will then be reviewed by the Contractor’s analysis team and the more detailed, sub-codes will be applied. The Contractor will also use holding codes. As patterns are identified, these codes are reviewed and gradually cleared. This will be reviewed as the fieldwork progresses. To ensure the integrity of the process, the Contractor will review a portion of the coded data to ensure that codes have been used consistently and take remedial action to offer guidance where any issues arise.

The subsequent interpretation and analysis of the data will be carried out by the research team, questioning the data, drawing links between and across individual accounts, mapping the range of experiences and views, searching for similarities and differences and any other patterns occurring in the data. Analysis will be undertaken both within and between cases, to identify model-specific and generalisable aspects of hub provision that are associated with positive (or negative) family experiences and outcomes. This will all be grounded in the original data, so that it is possible to revisit transcripts to refine the analysis.

The emerging findings will be organised under the evaluation questions and structured into a provisional report outline which will replay the evidence in a logical story or narrative. This will be discussed and agreed across the whole team and with DfE and will directly contribute to the local evidence portfolio for the Contribution Analysis.

Workforce survey

The Contractor will administer two short pulse surveys as a cost-effective and low burden way to access information on key issues on an on-going basis. The surveys will provide timely feedback across a range of topics, dependent on the evaluation needs at the time. The Contractor will explore a range of themes with relevant Family Hub staff at two time points: an initial survey in autumn 2021 and a follow-up survey in autumn 2022.

The surveys will enable the Contractor to assess change over time (between initial and follow-up surveys). In addition, the follow-up survey will enable the Contractor to test emerging themes and support the contribution analysis strand of the evaluation. This will support the Contractor's overall assessment of the effectiveness of the Family Hubs in achieving the intended aims. Furthermore, it will inform understanding of how or whether the local models contributed towards the outcomes of interest, with reference to alternative plausible explanations.

The survey will approach a cross-section of Family Hub staff from across and within the partner LAs to explore:

- awareness of the aims, origins and stage of implementation of the Family Hubs • views on effectiveness of governance and leadership arrangements
- views on the effectiveness of multi-agency partnership working, and the challenges and benefits of working across sectors, settings and age groups (0-19)
- experiences of joint training, supervision and how/whether professional practice has changed or been challenged by the transition to hub models, and if so how
- extent to which consensus has been achieved between professionals, families, and other residents, around community needs and priorities, and any residual tension points
- perceptions and evidence of outcomes observed and recorded – at individual, family, and community (population) levels, including evidence for extended reach, services and systems transformation
- any identifiable areas of actual or potential cost savings; and,
- views on sustainability, and priorities for extending the model in the longer-term.

The surveys will be administered online and take not more than ten minutes to complete. The survey will include: attitude statements, using Likert scales to assess the quality of the support, explore staff and family engagement in Family Hubs and successes/challenges around implementation; and a small number of open-ended questions to provide reflections on challenges, lessons learned, and to highlight potential good practices for follow-up through the qualitative case study research.

The pulse format will assist with the identification of new or unexpected developments that arise during the evaluation. It will also help to ensure ready access to emerging learning which will be useful for the Department and partner LAs throughout.

Maximising response rate

The Contractor will take a comprehensive approach to maximising the surveys' response rates. In addition to the piloting the approach and questions with our partners, this will include the following:

- Adopting best practice in questionnaire design. Meta-analysis shows that response rates for online surveys can be improved by having simple initial questions, reducing

the number of response options (but not necessarily questions) per page, and potentially not including a progress bar.

- Using tailored communications that follows the behavioural science EAST approach, ensuring actions are easy, attractive, timely and social. Links to the survey will be at the start of any communication and text will follow social desirability approaches to encourage participation (“you can join with the hundreds of other Family Hub staff taking part...”). The precise research topics, questions and scope of the surveys will be agreed during the scoping phase of the evaluation.
- Utilising and promoting the survey via LA partners. The Contractor will utilise the expertise and advice of partner LAs in approaching their staff to complete the survey. The Contractor will highlight the benefits of being involved to inform learning within their own settings/areas and nationally.
- Taking a carefully staged approach to reminders. If agreed with LAs, the Contractor will provide an initial e-mail a week prior to the survey starting to raise awareness. The Contractor will also issue targeted reminders at regular intervals (e.g. after one and/or two weeks). As necessary, the Contractor will send updates to the LA leads, providing details of response rates and asking them to encourage staff to complete the survey where possible.
- Assessing response rates on an on-going basis, and use underlying data to review our approach, for example identifying questions that are taking a long time or where respondents are “dropping off”.

The survey will be fully compliant with the MRS Code of Conduct and ICO guidelines, including full privacy information to ensure that participation is based on informed consent. The Contractor will also share the headline findings from the survey with Family Hubs to ensure that they feel engaged in the evaluation.

WS3 Impact evaluation

To estimate the impact of Family Hubs on key outcomes of interest, a comprehensive and structured feasibility assessment will be undertaken with each partner LA as part of the scoping phase. The key steps of the feasibility approach, which have been informed by initial scoping with Partner LAs, are set out below. This is followed by an outline of potential quasi-experimental designs (QED).

Feasibility approach

Feasibility step one: Mapping (quantitative) outcomes of interest

The Contractor will undertake a detailed mapping and gapping exercise to identify outcomes of interest and their source. For the QED element, there will be focus on quantitative child and family outcome measures, which are available in national/local administrative data and/or large-scale surveys. These types of outcome measures are well suited to QED as they are available for those supported by Family Hubs (the “treatment group”) and all those not supported who serve as the potential comparator pool (from which the “comparator group(s)” can be formed).

Broad outcomes of interest, which will be expanded with specific measures as part of the scoping phase, include early child development and learning; education; social and emotional development; family functioning; physical and mental health; housing; community participation; poverty reduction and employability. Initial scoping with LA partners indicates there will be multiple measures, related to these outcome domains, that are quantitative and available in administrative data (held locally and/or nationally). Furthermore, initial scoping indicates a common outcome focus across partner LAs on statutory service demand/escalation, which will likely be key for the value for money assessment.

Outcome measures sourced from primary data collection (e.g. surveys) will be assessed on a case-by-case basis for inclusion in the QED. Whilst all outcome measures identified will be subject to sample size, potential biases, and other considerations, these are typically of greater concern for primary data (that, unlike administrative data, would unlikely cover the whole population of interest).

Feasibility step two: Identifying the treatment/target groups

Key to informing the QED feasibility and subsequent approach is the extent to which, and how, a treatment group can be identified and linked to data covering the outcomes identified in step one (and additional control variables). Based on the initial scoping with LA partners, the following approaches are potentially feasible:

1. Identifying individuals/families accessing support, using Family Hub / LA management information. If data is available on who accessed Family Hub support (and ideally the level/intensity of this), it may be possible to identify them in administrative data and track their outcomes over time. Where local systems allow, individuals/families would be linked to administrative data using unique identifiers or, where this is not possible, fuzzy matching (e.g. using name and date of birth). There would be careful collaboration with partner LAs to ensure data protection compliance.

Whilst this approach would offer a strong attribution claim to Family Hubs (i.e. individuals/families are known to have received Family Hub support), there are potential risks that will need to be worked through with each partner LA. These risks include recognising the early intervention nature of Family Hubs, it is possible that not all interactions/support with families will be captured in management information; and, linking unique IDs from individuals to form “family” units.

2. Identifying sub-areas (e.g. neighbourhoods/LSOAs) within partner LAs where Family Hub support is concentrated, through analysis of Family Hub / LA management information. Initial scoping with partner LAs suggests Family Hubs are (or will be) focused on specific localities and/or uptake will vary between sub-areas (e.g. due to geographical proximity to the Family Hubs and or levels of need). This presents an opportunity to observe outcomes of interest for all individuals families in “treated” areas (and track these against comparator areas – see Feasibility step three section). This approach may navigate some of the risks associated with identifying and linking individuals (see approach 1 – above) but would arguably not have as strong an attribution claim (i.e. not all individuals/families in a sub-area will access Family Hubs support). Considerations, including the possibility of focusing on specific subgroups (e.g. low-income families) within sub-areas, around attribution will be worked through with support from each LA.
3. Identifying individuals/families (and/or sub-areas) based on their geographical proximity to the Family Hubs, under the assumption that those closest to Family Hubs are more likely to access and experience a change in the outcomes of interest. Rather than relying on Family Hub / LA management information (like approaches 1 and 2), this approach would only require geographical information (e.g. postcodes) to identify the treatment group. Again, there would be attribution considerations to work through with each partner LA.
4. Treating all (or subgroups, e.g. low income) individuals/families in the LA as the treatment group, if there is confidence the partner LAs Family Hub model is designed (e.g. hubs in all/most sub-areas) and scale/reach is evidenced. Whilst this approach, in terms of data requirements and the aims of Family Hubs, is feasible, the attribution claim could be harder to make. This reflects the complexity of support needs and

provision across an entire local authority. The approach will be explored further during the scoping stage.

Ideally, the same approach(es) will be feasible and applied to all partner LAs, as this would facilitate comparability and strengthen overall findings. However, recognising difference in the Family Hub designs and (potentially) available data, the most appropriate and robust approach for each partner LA will be considered.

Feasibility step three: Identifying comparator groups

Directly linked to the identification of treatment groups (and subject to the same considerations / limitations), is the identification of comparator groups. Aligned to the approaches (1-4) in the previous section, the feasibility of identifying following comparator groups will be considered:

1. Individuals/families not accessing Family Hub support but with similar characteristics (e.g. pre-Family Hub outcomes, family composition, deprivation) to those that are.
2. Sub-areas where there are lower concentrations of individuals/families accessing Family Hub support but are similar on other (aggregated) characteristics to those areas where there is a higher concentration.
3. Individuals/families (or sub-areas) that are geographically further away from the (physical) Family Hubs but with similar characteristics to those that are closer.
4. Local Authorities without an established Family Hub model. Working with partner LAs and the DfE, it may be possible to identify other LAs that have similar characteristics but without a hub model in place.

Based on the initial scoping with partner LAs, it should be feasible to identify comparator groups (be that individuals/families or sub-areas) within the same LA. This would offer some advantages given the (often unobservable) external factors (e.g. wider LA service offer, complex environments) that may also impact on the outcomes of interest. However, there are QED approaches that would enable reliable out of area comparator groups to be formed. This may include specific sub-areas or entire LAs without hubs.

After delivery of the feasibility report there is a break clause in the contract. The Department will review the feasibility of the work and make a decision as to whether to proceed with the evaluation. The Department's decision will be informed by the recommendations set out in the Contractor's feasibility report; discussions with the Contractor; and any other relevant considerations. The Department intends to make this decision by end of September 2021.

Quasi-experimental design

The precise QED approach(es) will depend on the outcome feasibility assessment. However, based on the level of data (individual/family or aggregated by (sub-) area), the broad approaches, which are consistent with / build on the Magenta Book, are:

- At the individual/family level, outcome (and background characteristics) data from multiple sources will be linked to develop detailed histories of those supported by Family Hubs and potential comparator groups. The treatment group will be matched to a comparator group using propensity score matching (or inverse probability weighting) and impacts estimated using difference in differences analysis. Where data consistency and sample sizes allow, estimates will be provided overall and individually for each of the partner LAs. Balance statistics from the matching will be reported and sensitivity checks conducted.
- At the sub-area and/or LA level, aggregated data will be accessed and combined to create a panel dataset (i.e. treated and comparator areas over multiple time points before and after the introduction of Family Hubs). Fixed-effects regression, which can be considered a generalisation of the difference in differences estimator, alongside

recent advances in synthetic control group methods will be deployed. Generalised synthetic control groups offer many advantages, including allowing treatment effects between areas vary and for these to be visualised, which will be important to meet the aims of the evaluation. Furthermore, generalised synthetic control group methods have been shown to outperform other approaches to panel data.⁶⁷ By employing both fixed-effects regression and synthetic control groups, strength and validation can be added to the findings. Appropriate diagnostic and sensitivity checks will be conducted and reported.

Analysis scripts will be made available to partner LA analysts to support future internal evaluation.

WS4 Economic evaluation

This research provides an opportunity to understand, at the local level, the difference that family hubs have made in improving the development of families, and in reducing the additional needs of families that would otherwise be met by the public purse – including poorer outcomes further along the life course.

Developing the framework

This strand of the analysis will measure the costs of the programme, as well as the benefits of the programme which are ultimately measured in terms of net savings or costs avoided. To capture the costs of the family hubs, the Contractor will develop a Microsoft Excel-based cost calculator that will:

- a) Collect data on the costs of delivering the family hubs (obtained from monitoring data and the process evaluation) – this will be completed by hubs, with guidance and support from Ecorys
- b) Monetise the outcomes ('benefits') collected through (and interdependent with) the impact evaluation – the outcomes information will be uploaded at a later stage by the , although the benefits component of the cost calculator will be shared with hubs prior to population and throughout, to allow for collection of outcomes additional to those collected by the impact evaluation, clarification of unit costs and sensitivity testing.

The cost calculator will aim to capture all costs and benefits, so would be robust, accurate and representative. Monetisation will be based on unit cost information, including that contained in the Ecorys Unit Costs Database.

Hubs will be asked to add their costs to the cost calculator themselves, following guidance provided by the Contractor, which the Contractor will draft and share with the DfE (and one or two hubs, if desired) before finalising. The Contractor will also provide a dedicated helpline to their economists to help with any queries during the information gathering phase, and the Contractor will also work closely with hubs throughout the programme to ensure all necessary information is collated. On the benefits side, hubs will also be invited to add bespoke outcomes (i.e. those not collected through the impact evaluation) and unit costs where they choose to do so. To reduce the burden on Hubs, as much information as possible will be pre-loaded into the cost calculator, including relevant unit cost information and potential savings related to each outcome area. Hubs will be able to update or amend this information if required.

This approach of employing a cost calculator will allow for cost-benefit analysis (CBA), with outcomes monetised (as 'benefits') based on unit costs per outcome. The cost calculator will result in a Benefit Cost Ratio (BCR) which can be compared to indicate Value for Money of family hubs. This is a step further from cost-effectiveness analysis, where service costs are compared with outcomes from the service (but not necessarily monetised) to give a cost-

effectiveness ratio of cost per outcome. Cost-effectiveness is still able to be assessed as part of the Contractor's analysis by looking at cost per outcome instead of monetised outcomes if desired.

In addition, the cost-benefit analysis will consider:

- Persistence – which costs and benefits are a one-off and which are expected to persist for a period of time
- Timing – costs and benefits expected to be incurred in future years need to be expressed as a net present value in the CBA, in line with HM Treasury Green Book guidance
- Transfer payments – from the perspective of society, welfare payments and tax receipts can be considered to be transfer payments. However, from the perspective of the state this is a fiscal impact which may generate significant savings.

The Value for Money analysis will be refined as part of the impact evaluation feasibility study, where the outcome measures for the hubs and hence for the Value for Money analysis will be defined. During this stage the Contractor will carry out a scoping exercise of the secondary data needed to perform the required impact analysis that will feed into the Value for Money assessment. The Contractor will verify the existence and availability of the data sources of interest during this stage. The cost calculator and accompanying guidance for hubs will be developed over this period and, once finalised with the DfE and one or two hubs as desired, shared with the five family hubs. The Value for Money analysis will then begin once the final cost and outcome data is collected.

The cost calculator will collect:

- Direct costs: Costs connected to the delivery of the Family Hub. These will include staff costs and other expenses associated with delivering services or interventions directly associated with the programme. There are also likely to be one-off costs associated with implementing the programme, such as staff training and other set-up costs. Such costs can be estimated from budgets or from performance data successfully as has been achieved in our previous related evaluations. The Contractor anticipate that the following programme costs are available or can be reliably estimated: cost per eligible child/young adult, or the cost per enrolled child/young adult, obtained by dividing overall family hubs spending by the number of relevant children/young adults, averaged over the relevant years.
- Indirect costs: Costs that feed into the operation of the family hub, but for which the hub is not directly responsible. Examples of indirect costs include referrals from other services or use of in-kind resources such as buildings or other facilities. The costs assessment also needs to consider any additional costs to participants (e.g. travel costs) and any costs resulting from the outcomes achieved (e.g. where participants become eligible for new welfare payments or support).

The approach to assessing benefits is focused on monetising changes in the primary outcome measures, as measured by the impact evaluation. The focus will be on savings (or costs avoided) for the public purse in terms of reduced demand on acute downstream services, and improved cost effectiveness of services. Wider economic and social benefits for participants, other stakeholders, the local community and society as a whole will also be explored. To monetise the benefits, the Contractor will use up-to-date unit costs from a range of sources based on a number of projects the Contractor have been working on recently and collated in their Ecorys Unit Costs Database. Hubs can also add bespoke outcomes (i.e. those not collected through the impact evaluation) and unit costs if they choose to do so.

The programme has the potential to influence a long list of outcomes, ranging from established issues (e.g. permanent school exclusion) to more emerging issues where hubs employ a preventative approach before problems escalate into major issues that, from an economic perspective, can generate large costs to the public purse (e.g. child protection). The CBA will focus on a set of core outcome measures for which there is a sound rationale and robust data. The Contractor will consult with each of the local authorities to explore which outcomes are most important.

In addition to the direct fiscal benefits listed above, the Contractor will also consider the inclusion in the calculator of wider benefits and averted costs that impact on families, local communities and society as a whole. For example, there may be associated improvements in school readiness and educational attainment that may have longer-term impacts on skills supply in the local communities, on poverty and on social mobility. Families may also benefit from improved family relationships, particularly in terms of child-parent interaction.

Details of the changes in the above-mentioned outcomes would be captured in the Contractor's cost calculator, along with operating costs. The design of the cost calculator for the family hubs evaluation will be based on similar key principles the Contractor have used in designing other calculators, including the Troubled Families calculator.

In order to calculate the costs of the hub, the tool requires the user to input participation figures. The user is also required to enter outcome data for the specified time periods. The tool then automatically calculates the change over this period for each outcome measure. Unit cost information for a range of processes and interventions will be pre-loaded; however, the user can update or amend this information if required. Unit costs can also be modified, to account for uncertainty in the estimates or to undertake sensitivity analysis, by including adjustments in a 'correction factor' column. A GDP deflator has also been included to convert cost estimates from previous years to current prices. Total (adjusted) costs are then calculated automatically per intervention (and by organisation).

Based on the information entered, a unit (adjusted) fiscal benefit is automatically calculated. This figure is used along with data on the change in the incidence of outcomes to automatically calculate the gross fiscal benefits for each outcome measure, by hub and overall. These economic estimates obtained will not need to be adjusted for deadweight (i.e. what would have happened without the programme) as the impact evaluation strand will provide an estimate of attribution of outcomes to the family hubs delivery models. In other words, this is the difference between the outcomes of the treatment group and the outcomes of the comparison groups, allowing the Contractor to assess the added value of family hubs versus the counterfactual. However, sensitivity analysis will be carried out to adjust underlying assumptions and unit costs (e.g. by using coefficients to vary how often unit costs apply to each outcome measure, to account for uncertainty of estimates).

Value for Money analysis

The Contractor's tool then brings together the data on costs and benefits to calculate a (net) benefit cost ratio (BCR) and provide an estimate of Value for Money in line with NAO principles. The BCR, cost-effectiveness ratio, total costs, direct costs and total benefits (in terms of outcomes) can then be used to benchmark the hubs against equivalent family hub services in different local authorities or within local authorities.

In addition, a separate exercise will be undertaken to compare the costs of the Hubs against previous service delivery models' costs prior to service transformation, through the use of historical cost data. This analysis will enable the Contractor to assess the extra investment or relative savings in the costs of the current models versus previous models and/or business as usual. In particular this analysis will allow the Contractor to explore the

efficiencies from building and facilities use, rationalised and integrated services and co-location, including across clusters, hubs and 'spokes', where our analysis plan can deal with this complexity.

The Value for Money evaluation will provide the following for each of the five LAs in addition to an overall assessment:

- a) Cost-benefit analysis from a fiscal perspective, which considers costs and benefits to the public purse
- b) Social cost-benefit analysis, which considers costs and benefits to individual participants, the public sector, other project partners/stakeholders and wider society
- c) Value for Money assessment.

All estimates will be presented alongside easily understood discussion of the methods employed and its limitations. The cost calculator and guidance toolkit will be made available for the wider legacy of the programme if desired, in the form of a working Excel model that estimates costs and projected benefits/savings to inform future decision making and planning. Guidance for local authorities on how to use and customise the model (by generating their own cost estimates) can also be provided as required.

WS5 Action learning

The five partner local authorities are committed to sharing learning with the National Partner and through the planned national peer network for Family Hubs. However, action learning will also form a core part of the project methodology and a mechanism to ensure that the evaluation shapes ongoing hub implementation.

Action learning sets

The Contractor plan to create an internal knowledge management network, enabling local authorities and evaluators to share learning systematically. This activity will be grounded in the core principles established during the scoping stage and will facilitate the ongoing use of the implementation benchmarking tools.

Action learning methodology

- The Contractor will set-up an internal community of practice for the evaluation – using online tools such as Yammer or Microsoft Teams to seek feedback on emerging topics or issues, with input from managers and designated senior practitioners involved in hub delivery.
- The Contractor will facilitate online workshops, to support real-time feedback within a safe space, sharing emerging insights from the evaluation fieldwork, and discussing progress towards local KPIs with reference to the implementation benchmarking data.
- These interactions will serve a dual purpose for the evaluation, generating valuable qualitative evidence in their own right, and as a means of finding solutions to common implementation challenges, managed through collaboration between local authority teams.

The action learning strand will be sustained through the ongoing contact between lead researchers and local authority teams. Moreover, a proportion of the time for the operational management group meetings will be designated to learning and insights, alongside discussion on more routine items relating to general progress.

Contribution Analysis workshops

The Contractor will plan and deliver two more formalised sets of workshops. These will include Contribution Analysis workshops undertaken prior to interim and final reporting. These workshops will adopt a two-stage format, involving an initial half-day session with each local authority partner to test their ToC logic model with reference to the assembled evaluation data, followed by a half-day project-level collective session. The latter will bring all partners together to consolidate learning and to build consensus around key findings prior to the drafting of the reports.

WS6 Reporting and dissemination

Prior to each reporting stage, the available qualitative and quantitative data will be organised around the evaluation aims and research questions, and structured within a report outline, which will replay the evidence in a logical narrative. This outline will be discussed and agreed across the whole team, with local authorities, and with DfE.

Synthesis of evaluation evidence

The Contractor will undertake a synthesis of the qualitative and quantitative data. The Contractor will deploy realist synthesis principles, to appraise and explain what works (or does not work), in what contexts, how, and under what circumstances; aided by the findings from the QCA, and the wider narrative from the qualitative fieldwork. Prior to final reporting, the Contractor will also return to update and finalise the Contribution Analysis, presenting the final annotated performance stories for the hubs within the evaluation, and arriving at transparent and well-rounded judgements regarding the effectiveness and outcomes of the hub models within our partnership. The Contractor will conclude on the generalisability (and limitations) of the results, and the implications for policy and practice development.

Interim and final reporting

The two principal reporting points are identified in the ToR, which the Contractor will approach as follows:

- The interim report (May 2022) will provide concise reporting on evaluation progress, along with emerging findings from each strand of the evaluation. It will offer a formative view of the evidence, and it will set out proposed next steps for discussion with the DfE. This will include an updated Risk Register and details of any proposed adjustments to the methodology for the subsequent period with a full justification. The Contractor will also produce short high-level evaluation summaries for each local authority, to validate progress and learning.
- The final report (March 2023) will provide a full summative account of the evaluation, including triangulated findings, conclusions and recommendations, and highlighting any data limitations and caveats. The report will be illustrated with case study examples, charts, and anonymised verbatim quotes, drawing on the five local hub models within the partnership to provide a rich set of comparisons. The Contractor will also include a technical appendix with full details of the methodological approach and sampling framework.

The Contractor will agree the format, content and length with the DfE well in advance, providing a draft structure and indicative section lengths and data sources, prior to commencement of drafting. The Project Manager will lead on all reporting tasks, with Quality Assurance by the Project Director and support from a core drafting team. The Contractor will allow sufficient time to respond to comments from DfE and to undertake any necessary amendments, prior to sign off.

The Contractor will deliver and sign-off on a high-quality final output by March 2023.

Dissemination

The Contractor will provide a number of additional outputs, as requested in the ToR, as part of a potential contribution towards the materials required for the national network. These will be discussed post-contracting and sit outside of the core budget offer.

- Guide to developing a Theory of Change and Logic Models - This guide will outline the purpose of ToCs and logic models; their value and application in measuring change; how to develop ToCs and logic models that are fit for purpose and visually appealing for engaging stakeholders. ToCs and logic models often require supporting text and would cover the need for this also, as relevant. The guide would be developed by our one of the Contractor's senior impact experts in close contact with the PM and partner LAs.
- Guide to establishing good monitoring and evaluation activity to assess performance, improve services and measure outcomes - The Contractor will develop a practical, easy to use and engaging guide outlining useful monitoring and evaluation practices to support commissioners and/or Family Hubs to assess performance, improve service design and measure outcomes. The guide will outline both qualitative and quantitative approaches for assessing progress and outcomes, and for carrying out consultations with a range of family hub stakeholders and service users.
- Guide to value for money assessments – The Contractor's economists will outline a range of value for money assessments that will be useful to commissioners and family hubs. The guide will outline the different approaches to undertaking VFM assessments (these are likely to include cost benefit analysis, cost effectiveness analysis and social return on investment). It will offer practical advice for carrying out such assessments and their practical uses.
- Guide to measuring and monitoring delivery efficiency (using VfM Indicators) - In addition to the VfM assessment guide, this guide will provide additional information for measuring and monitoring delivery efficiency using VfM indicators. It will outline suitable indicators, data sources and practical ways to collect data to inform assessments of efficiency.

All guides will be planned in collaboration with the Department, EIF and the National Centre to ensure they will be fit for purpose. Utilising the expertise of the partner LAs will be crucial in ensuring applicability for the sector. The Contractor will share a draft outline before developing content and share drafts with the group for review and comment prior to finalisation.

6. STAFFING

THE CONTRACTOR'S STAFF

█	– Project director
█	– Project manager
█	– Senior researcher
█	– Senior analyst
█	– Senior economist
█	– Economist
█	– Researcher
█	– Analyst
█	– Research assistant
█	– Research assistant
█	– Research associate
█	– Research associate

THE DEPARTMENT'S STAFF

██████████ – Project manager until July 2021 and thereafter the DfE project director

██████████ – Project manager from 5th July 2021

██████████ – Deputy project manager from 1st August 2021

7 STEERING COMMITTEE

The Project Manager shall set up a Steering Committee for the Project, consisting of representatives from the Department, the Contractor, and any other key organisations whom the project will impact on, to be agreed between the parties. The function of the Steering Committee shall be to review the scope and direction of the Project against its aims and objectives, monitor progress and efficiency, and assess, manage and review expected impact and use of the findings from the Project against an agreed Project Communication Plan, through the standard Department Communication Plan Template. The Committee shall meet at times and dates agreed by the parties, or in the absence of agreement, specified by the Department. The Contractor's representatives on the Steering Committee shall report their views on the progress of the Project to the Steering Committee in writing if requested by the Department. The Contractor's representatives on the Steering Committee shall attend all meetings of the Steering Committee unless otherwise agreed by the Department.

8. RISK MANAGEMENT

RISK	LIKELIHOOD (L/M/H)	PROPOSED CONTINGENCY MEASURES
Lack of engagement in the evaluation work programme by local authorities	Likelihood: L; Impact: H - Reduced breadth and depth of evaluation, and richness of evaluation findings - Skewed or partial view of the evidence - Lack of robustness in conclusions and recommendations	- Active role for LAs in scoping the EOI and proposal; senior level approval, single point of contact identified to broker necessary inputs. - Written agreements/SLAs in place from outset - Regular keep in touch points with LAs through formal and informal governance arrangements. - Continue to promote the value of participation and provide regular KITs so LAs get continuous feedback. - Financial reimbursement towards end of project based on minimum level of participation. - Reduce the number of participant LAs and increase depth of evaluation within remaining LAs
Barriers encountered to accessing necessary data: LA data and national data	Likelihood: M; Impact: H - While treatment group may have consented to data sharing, comparator group may not.	- Comprehensive scoping stage to Sept 2021, to establish data availability within each LA and necessary access arrangements; tailoring of DSAs to meet LA requirements. - Data requirements agreed within

		<p>evaluation plans with each LA, and made explicit in written agreements SLAs, linked to payments.</p> <ul style="list-style-type: none"> - Seeking access to anonymised data (and on the legal basis of a public task) to mitigate challenge - Clear communication re data access and sharing highlighting the benefits to the wider evidence base to promote engagement. - Robust data sharing agreements and data security procedure in place. - Seek support of DFE in promoting need to access to data. Ensure early access requests made
<p>Fieldwork researchers encounter a situation where they or a family member are placed at risk</p>	<p>Likelihood: M; Impact: H</p> <ul style="list-style-type: none"> - Fieldwork researcher / family member incurs verbal or physical abuse in the course of interviewing - Beneficiary is exposed to harm as a result of disclosure of information, or is upset by the content of the research 	<ul style="list-style-type: none"> - Action plan to identify procedures for minimizing risk and addressing dangerous situations; interviewers to be accompanied to addresses known to LAs to present potential safety concerns, and/or to work in pairs; rigorous interview check-in/out protocols in place - Experienced, DBS-checked fieldwork researchers fully trained in measures to ensure safety and wellbeing throughout the research process, interviewer safety briefings inc. DSL. - Adherence to child protection/safeguarding procedures and data security, including online in Covid-19 situation; interviews in secure and confidential environment; secure data transfer. - Fully informed respondent consent: respondents informed of content in advance, voluntary nature of participation, option to withdraw participation at any stage. - In consultation with LAs interviewers will be provided with information to sign-post respondents to support if affected by any issues arising
<p>Research participants (particularly staff and families) do not engage in Family Hub evaluation</p>	<p>Likelihood: L Impact: H</p> <ul style="list-style-type: none"> - Could result in shortfall in numbers, range or depth of interviews - Could result in delays to the timetable - Could risk bias within the sample, if sampling options are compromised - Reduced validity and richness of the evaluation findings if families' perspectives are not captured 	<ul style="list-style-type: none"> - Hand-picked evaluation team with considerable experience of working with both family intervention service providers and vulnerable groups. • Promote the LA's support of the evaluation and co-production elements. - Being sensitive to the demands on local Family Hub services, particularly during the pandemic. • Minimise burden on all participants through early recruitment and clear advanced information about participation 'requirements'; produce information pack

		<p>with letters, leaflets and freephone number.</p> <ul style="list-style-type: none"> - Work sensitively and flexibly when arranging interview offering choices about modes of interview (e.g., F2F, video, telephone) - Draw on a range of strategies and tools to help engage participants (in particular using projective and enabling tools for the families and children). - Consider use of incentives (currently not costed)
<p>Failure to ensure a robust coverage of local Family Hub services</p>	<p>Likelihood: L Impact: M/H - Skewed or partial view of the evidence</p> <ul style="list-style-type: none"> - Potentially significant models or approaches overlooked - Lack of robustness in conclusions and recommendations 	<ul style="list-style-type: none"> - Robust scoping phase to identify appropriate services and participant groups, building on mapping activities carried out at proposal stage. - LA engagement will allow us to review the design and number of interviews throughout the evaluation and adjust as appropriate should there be any emerging gaps in our sample design. - Approach alternative participant groups as needed within/across the partner LAs. - Promote, with DfE and LAs, importance of participation in the evaluation.
<p>Fieldwork discloses potential safeguarding issues within the family</p>	<p>Likelihood: M Impact: M</p> <ul style="list-style-type: none"> - Risk of potential child or adult harm being overlooked - Could result in threat to health or wellbeing of family members 	<ul style="list-style-type: none"> - Strong safeguarding protocols are in place guiding interviewers' response if they observe, or respondents disclose that they or another child or vulnerable adult are being harmed or at risk of harm. - Informed consent processes will ensure that respondents do not feel they have to respond to questions they do not feel comfortable with; close contact with LA services supporting families. - Safety protocols in place to protect interviewer safety (e.g., LAs will be required to identify any families in advance with high incidence or risk of violence, and interviewers will be accompanied to addresses where concerns arise).

<p>Key team members leave during the course of the evaluation/staff absence</p>	<p>Likelihood: L; Impact: M - Loss of senior team members results in knowledge gaps - Staff turnover disrupts continuity in relationships with the individual projects; reduced level of buy-in</p>	<p>- Management team structure to ensure broad base of knowledge across senior team. - Ability to select experienced researchers at the equivalent grade and level of experience, in the event of individuals leaving. - Clear documentary audit trail and handover arrangements for the evaluation in the event that a senior member of the team leaves the organization, ensuring an effective transition.</p>
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9 DATA COLLECTION

The Department seeks to minimise the burdens on Schools, Children’s Services and Local Authorities (LAs) taking part in surveys.

When assessing the relative merits of data collection methods the following issues should be considered;

- only data essential to the project shall be collected;
- data should be collected electronically where appropriate/preferred;
- questionnaires should be pre-populated wherever possible and appropriate;
- schools must be given at least four working weeks to respond to the exercise from the date they receive the request; and
- LAs should receive at least two weeks, unless they need to approach schools in which case they too should receive 4 weeks to respond;

The Contractor shall clear any data collection tools with the Department before engaging in field work.

The Contractor shall check with the Department whether any of the information that they are requesting can be provided centrally from information already held.

10. CONSENT ARRANGEMENTS

The Department and the contractor shall agree in advance of any survey activity taking place the consent arrangements that shall apply for each of the participant groups. All participants should be informed of the purpose of the research, that the Contractor is acting on behalf of the Department and that they have the option to refuse to participate (opt out). Contact details should be provided including a contact person at the Department. Children who are 16 or over will usually be able to give their own consent but even where this is so, the Contractor, in consultation with the Department, should consider whether it is also appropriate for parents, guardians or other appropriate gatekeepers (e.g. schools, Local Authorities) to be informed when a child has been invited to participate in research.

11. PROJECT COMMUNICATION PLAN

The Contractor shall work with the Project Manager and Steering Group to agree the content of the Project Communication Plan on the standard Department Communication Plan Template at the start of the Project, and to review and update at agreed key points in the

Project and at the close of the Project. The Communication Plan shall set out the key audiences for the Project, all outputs intended for publication from the Project, the likely impact of each output, and dissemination plans to facilitate effective use by the key audiences.

End of Schedule One

SCHEDULE TWO

1 Eligible expenditure

1.1 The Department shall reimburse the Contractor for expenditure incurred for the purpose of the Project, provided that:-

- (a) the expenditure falls within the heading and limits in the Table below; and
- (b) the expenditure is incurred, and claims are made, in accordance with this Contract.

If the Department invokes break clause outlined in section 5 of Schedule, the Department shall pay the Contractor for Services supplied prior to the break and in accordance with the Contract, and any disengagement costs and other costs reasonably incurred by the Contractor as a direct consequence of such a break (excluding any loss of profit and any possible redundancy costs), provided that the Contractor shall use all reasonable endeavours to mitigate the amount of such costs and has provided written evidence of the reasonableness and unavoidability of such costs.

Table

Project Milestone	Payment Amount	Payment Date
Project inception meeting note and evaluation work plan Bespoke, piloted, cost savings calculator for Family Hubs Feasibility report on the quasi-experimental impact evaluation Scoping report, over-arching evaluation framework and protocol Theories of change and logic models for each of the 5 local authorities Analytical plans, KPIs and bespoke tools for each of the 5 local authorities	[REDACTED]	September 2021
Monitoring framework with agreed common measures across all authorities Qualitative research tools and analysis templates for case study research	[REDACTED]	February 2022

Coding framework for the overall evaluation, and NVivo codebook		
Scripted online questionnaire for local workforce		
Interim evaluation synthesis report and presentation	██████████	May 2022
Qualitative research tools and analysis templates for case study research	██████████	November 2022
Interim and final evaluation summaries for each of the 5 local authorities		
Clean, redacted SPSS / STATA data-files holding survey data		
Five worked VFM analyses	██████████	January 2023
Analysis scripts / syntax for quasi-experimental impact evaluation, to support future work		
Final evaluation synthesis report, research brief and presentation.	██████████	March 2023
Stand-alone case studies and Infographics for dissemination		

Expenditure for the financial year 2021-2022 shall not exceed **£172,146** exclusive of VAT.
Expenditure for the financial year 2022-2023 shall not exceed **£227,707** exclusive of VAT.

Total Project expenditure shall not exceed **£399,853** exclusive of VAT.

- 2 The allocation of funds in the Table may not be altered except with the prior written consent of the Department.
- 3 The Contractor shall maintain full and accurate accounts for the Project against the expenditure headings in the Table. Such accounts shall be retained for at least 6 years after the end of the financial year in which the last payment was made under this Contract. Input and output VAT shall be included as separate items in such accounts.
- 4 The Contractor shall permit duly authorised staff or agents of the Department or the National Audit Office to examine the accounts at any reasonable time and shall furnish oral or written explanations of the accounts if required. The Department reserves the right to have such staff or agents carry out examinations into the economy, efficiency and effectiveness with which the Contractor has used the

Department's resources in the performance of this Contract.

- 5 Invoices shall be submitted on the invoice dates specified in the Table, be detailed against the task headings set out in the Table and must quote the Department's Order Number. **The Purchase order reference number shall be provided by the department when both parties have signed the paperwork.** The Contractor or his or her nominated representative or accountant shall certify on the invoice that the amounts claimed were expended wholly and necessarily by the Contractor on the Projects in accordance with the Contract and that the invoice does not include any costs being claimed from any other body or individual or from the Department within the terms of another contract.
- 6 Invoices shall be sent to the OCR, Accounts Payable AccountsPayable.OCR@education.gov.uk. Invoices submitted by email must be in PDF format, with one PDF file per invoice including any supporting documentation in the same file. Multiple invoices may be submitted in a single email but each invoice must be in a separate PDF file. The Department undertakes to pay correctly submitted invoices within 10 days of receipt. The Department is obliged to pay invoices within 30 days of receipt from the day of physical or electronic arrival at the nominated address of the Department. Any correctly submitted invoices that are not paid within 30 days may be subject to the provisions of the Late Payment of Commercial Debt (Interest) Act 1998. A correct invoice is one that: is delivered in timing in accordance with the contract; is for the correct sum; in respect of goods/services supplied or delivered to the required quality (or are expected to be at the required quality); includes the date, supplier name, contact details and bank details; quotes the relevant purchase order/contract reference and has been delivered to the nominated address. If any problems arise, contact the Department's Project Manager. The Department aims to reply to complaints within 10 working days. The Department shall not be responsible for any delay in payment caused by incomplete or illegible invoices.
- 7 The Contractor shall have regard to the need for economy in all expenditure. Where any expenditure in an invoice, in the Department's reasonable opinion, is excessive having due regard to the purpose for which it was incurred, the Department shall only be liable to reimburse so much (if any) of the expenditure disallowed as, in the Department's reasonable opinion after consultation with the Contractor, would reasonably have been required for that purpose.
- 8 If this Contract is terminated by the Department due to the Contractor's insolvency or default at any time before completion of the Projects, the Department shall only be liable under paragraph 1 to reimburse eligible payments made by, or due to, the Contractor before the date of termination.
- 9 On completion of the Project or on termination of this Contract, the Contractor shall promptly draw-up a final invoice, which shall cover all outstanding expenditure incurred for the Project. The final invoice shall be submitted not later than 30 days after the date of completion of the Projects.
- 10 The Department shall not be obliged to pay the final invoice until the Contractor has carried out all the elements of the Projects specified as in Schedule 1.
- 11 It shall be the responsibility of the Contractor to ensure that the final invoice covers all outstanding expenditure for which reimbursement may be claimed. Provided that all previous invoices have been duly paid, on due payment of the final invoice by the Department all amounts due to be reimbursed under this Contract shall be deemed

to have been paid and the Department shall have no further liability to make reimbursement of any kind.

End of Schedule Two

SCHEDULE THREE

1. Contractor's Obligations

- 1.1 The Contractor shall promptly and efficiently complete the Project in accordance with the provisions set out in Schedule One.
- 1.2 The Contractor shall comply with the accounting and information provisions of Schedule Two.
- 1.3 The Contractor shall comply with all statutory provisions including all prior and subsequent enactments, amendments and substitutions relating to that provision and to any regulations made under it.
- 1.4 The Contractor shall inform the Department immediately if it is experiencing any difficulties in meeting its contractual obligations.

2. Department's Obligations

- 2.1 The Department will comply with the payment provisions of Schedule Two provided that the Department has received full and accurate information and documentation as required by Schedule Two to be submitted by the Contractor for work completed to the satisfaction of the Department.

3. Changes to the Department's Requirements

- 3.1 The Department shall notify the Contractor of any material change to the Department's requirement under this Contract.
- 3.2 The Contractor shall use its reasonable endeavours to accommodate any changes to the needs and requirements of the Department provided that it shall be entitled to payment for any additional costs it incurs as a result of any such changes. The amount of such additional costs to be agreed between the parties in writing.

4. Management

- 4.1 The Contractor shall promptly comply with all reasonable requests or directions of the Project Manager in respect of the Services, as long as such requests are not a material change to the Department's requirement.
- 4.2 The Contractor shall address any enquiries about procedural or contractual matters in writing to the Project Manager. Any correspondence relating to this Contract shall quote the reference number set out in the Recitals to this Contract.

5. Contractor's Employees and Sub-Contractors

5.1 Where the Contractor enters into a contract with a supplier or contractor for the purpose of performing its obligations under the Contract (the "Sub-contractor") it shall ensure prompt payment in accordance with this clause 5.1. Unless otherwise agreed by the Department in writing, the Contractor shall ensure that any contract requiring payment to a Sub-contractor shall provide for undisputed sums due to the Sub-contractor to be made within a specified period from the receipt of a valid invoice not exceeding:

5.1.1 10 days, where the Sub-contractor is an SME; or

5.1.2 30 days either, where the sub-contractor is not an SME, or both the Contractor and the Sub-contractor are SMEs,

The Contractor shall comply with such terms and shall provide, at the Department's request, sufficient evidence to demonstrate compliance.

5.2 The Department shall be entitled to withhold payment due under clause 5.1 for so long as the Contractor, in the Department's reasonable opinion, has failed to comply with its obligations to pay any Sub-contractors promptly in accordance with clause 5.1. For the avoidance of doubt the Department shall not be liable to pay any interest or penalty in withholding such payment.

5.3 The Contractor shall immediately notify the Department if they have any concerns regarding the propriety of any of its sub-contractors in respect of work/services rendered in connection with this Contract.

5.4 The Contractor, its employees and sub-contractors (or their employees), whilst on Departmental premises, shall comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time.

5.5 The Contractor shall ensure the security of all the Property whilst in its possession, during the supply of the Project, in accordance with the Department's reasonable security requirements as required from time to time.

5.6 If the Department notifies the Contractor that it considers that an employee or sub-contractor is not appropriately qualified or trained to perform the Project or otherwise is not performing the Project in accordance with this Contract, then the Contractor shall, as soon as is reasonably practicable, take all such steps as the Department considers necessary to remedy the situation or, if so required by the Department, shall remove the said employee or sub-contractor from performing the Project and shall provide a suitable replacement (at no cost to the Department).

5.7 The Contractor shall take reasonable steps to avoid changes of

employees or sub-contractors assigned to and accepted to perform the Project under the Contract except whenever changes are unavoidable or of a temporary nature. The Contractor shall give at least four week's written notice to the Project Manager of proposals to change key employees or sub-contractors

6. Ownership of Intellectual Property Rights, Copyright & Licence to the Department

- 6.1 Ownership of Intellectual Property Rights including Copyright, in any guidance, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other materials prepared by or for the Contractor on behalf of the Department for use, or intended use, in relation to the performance by the Contractor of its obligations under the Contract shall belong to the Contractor
- 6.2 The Contractor hereby grants to the Department a non-exclusive license without payment of royalty or other sum by the Department in the Copyright to:
 - 6.2.1 to do and authorise others to do any and all acts restricted by the Act as amended from time to time or replaced in whole or part by any statute or other legal means in respect of any Copyright Work in the United Kingdom and in all other territories in the world for the full period of time during which the Copyright subsists; and
 - 6.2.2 to exercise all rights of a similar nature as those described in Clause 6.2.1 above which may be conferred in respect of any Copyright Work by the laws from time to time in all other parts of the world
- 6.3 The Contractor now undertakes to the Department as follows:
 - 6.3.1 not to assign in whole or in part the legal or beneficial title in any Copyright to any person, firm or company without the prior written consent of the Department the granting of which consent shall be at its absolute discretion.
 - 6.3.2 to procure that the Contractor is entitled both legally and beneficially to all Copyright.
 - 6.3.3 to record or procure the recording on each and every Copyright Work the name of the author or authors and the date on which it was created and retain safely in its possession throughout the duration of the Copyright all Original Copyright Works.
 - 6.3.4 in respect of the Original Copyright Works to:
 - 6.3.5 supply copies on request to the Department the reasonable costs in respect of which the Department will pay; and
 - 6.3.6 allow inspection by an authorised representative of the Department on receiving reasonable written notice;
 - 6.3.7 to take necessary steps and use its reasonable endeavours to

prevent the infringement of the Copyright by any person, firm or company which shall include an obligation on the part of the Contractor to commence and prosecute legal proceedings for any threatened or actual infringement where there is a reasonable chance of success and account to the Department after the deduction of all legal expenses incurred in any such proceedings for one half of all damages paid whether by order, settlement or otherwise.

6.3.8 to waive or procure the waiver of any and all moral rights (as created by chapter IV of the Act) of authors of all Copyright Works be waived; and

6.3.9 not to demand and to procure that where any further licences are granted by the Contractor otherwise than to the Department the Licensees thereof do not demand any payment in whatever form and from any person, firm or company directly or indirectly for the undertaking of any of the acts restricted by the Copyright (as defined in section 16 of the Act) in relation to any Copyright Work except in so far as any demand or payment received represents only the reasonable costs which might normally be incurred in respect of such an act.

6.4 The Contractor now warrants to the Department that all Works:

6.4.1 will not infringe in whole or in part any copyright or like right or any other intellectual property right of any other person (wheresoever) and agrees to indemnify and hold harmless the Department against any and all claims, demands, proceedings, damages, expenses and losses including any of a consequential nature arising directly or indirectly out of any act of the Department in relation to any Work, where such act is or is alleged to be an infringement of a third party's copyright or like right or other intellectual property rights (wheresoever).

6.5 The warranty and indemnity contained in Clause 6.4.1 above shall survive the termination of this Contract and shall exist for the life of the Copyright.

7. Data Protection Act

7.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Schedule 4. The only processing that the Processor is authorised to do is listed in Schedule 4 by the Controller and may not be determined by the Processor.

7.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.

7.3 The Processor shall provide reasonable assistance to the Controller in

the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Controller, include:

- (a) a systematic description of the envisaged processing operations and the purpose of the processing;
- (b) an assessment of the necessity and proportionality of the processing operations in relation to the Services;
- (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
- (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.

7.4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:

- (a) process that Personal Data only in accordance with Schedule 4, unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Controller before processing the Personal Data unless prohibited by Law;
- (b) ensure that it has in place Protective Measures, which are appropriate to protect against a Data Loss Event, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures), having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- (c) ensure that:
 - (i) the Processor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 4);
 - (ii) it takes reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Processor's duties under this clause;
 - (B) are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Controller or as otherwise permitted by this Contract; and
 - (D) have undergone adequate training in the use, care, protection and handling of Personal Data; and
- (d) not transfer Personal Data outside of the UK unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

- (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
 - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;
- (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.

7.5 Subject to clause 7.6, the Processor shall notify the Controller immediately if it:

- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
- (b) receives a request to rectify, block or erase any Personal Data;
- (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
- (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
- (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
- (f) becomes aware of a Data Loss Event.

7.6 The Processor's obligation to notify under clause 7.5 shall include the provision of further information to the Controller in phases, as details become available.

7.7 Taking into account the nature of the processing, the Processor shall provide the Controller with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 7.5 (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:

- (a) the Controller with full details and copies of the complaint, communication or request;
- (b) such assistance as is reasonably requested by the Controller to enable the Controller to comply with a Data Subject Access

- Request within the relevant timescales set out in the Data Protection Legislation;
- (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
 - (d) assistance as requested by the Controller following any Data Loss Event;
 - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
- 7.8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this clause. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- (a) the Controller determines that the processing is not occasional;
 - (b) the Controller determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
 - (c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 7.9 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 7.10 Each party shall designate a data protection officer if required by the Data Protection Legislation.
- 7.11 Before allowing any Sub-processor to process any Personal Data related to this Contract, the Processor must:
- (a) notify the Controller in writing of the intended Sub-processor and processing;
 - (b) obtain the written consent of the Controller;
 - (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause such that they apply to the Sub-processor; and
 - (d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.
- 7.12 The Processor shall remain fully liable for all acts or omissions of any Sub-processor.
- 7.13 The Controller may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).

- 7.14 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Controller may on not less than 30 Working Days' notice to the Processor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

8. Departmental Security Standards

- 8.1 The Contractor shall be aware of and comply the relevant [HMG security policy framework](#), [NCSC guidelines](#) and where applicable DfE Departmental Security Standards for Contractors which include but are not constrained to the following clauses.
- 8.2 Where the Contractor will provide products or services or otherwise handle information at OFFICIAL for the Department, the requirements of [Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification - Action Note 09/14](#) dated 25 May 2016, or any subsequent updated document, are mandated; that “contractors supplying products or services to HMG shall have achieved, and will be expected to retain certification at the appropriate level for the duration of the contract. The certification scope shall be relevant to the services supplied to, or on behalf of, the Department.
- 8.3 Where clause 8.2 above has not been met, the Contractor shall have achieved, and be able to maintain, independent certification to ISO/IEC 27001 (Information Security Management Systems Requirements).
- 8.4 The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 8.5 Departmental Data being handled in the course of providing an ICT solution or service must be separated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required in line with clause 8.14.
- 8.6 The Contractor shall have in place and maintain physical security to premises and sensitive areas in line with ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access), CCTV, alarm systems, etc.

- 8.7 The Contractor shall have in place and maintain an appropriate user access control policy for all ICT systems to ensure only authorised personnel have access to Departmental Data. This policy should include appropriate segregation of duties and if applicable role based access controls (RBAC). User credentials that give access to Departmental Data or systems shall be considered to be sensitive data and must be protected accordingly.
- 8.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to:
- physical security controls;
 - good industry standard policies and processes;
 - malware protection;
 - boundary access controls including firewalls;
 - maintenance and use of fully supported software packages in accordance with vendor recommendations;
 - software updates and patching regimes including malware signatures, for operating systems, network devices, applications and services;
 - user access controls, and;
 - the creation and retention of audit logs of system, application and security events.
- 8.9 The contractor shall ensure that any departmental data (including email) transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted when transmitted.
- 8.10 The contractor shall ensure that any departmental data which resides on a mobile, removable or physically uncontrolled device is stored encrypted using a product or system component which has been formally assured through a recognised certification process agreed with the department except where the department has given its prior written consent to an alternative arrangement.
- 8.11 The contractor shall ensure that any device which is used to process departmental data meets all of the security requirements set out in the NCSC End User Devices Platform Security Guidance, a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/end-user-device-security> and <https://www.ncsc.gov.uk/collection/end-user-device-security/eud-overview/eud-security-principles>.

- 8.12 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.
The term 'lock and key' is defined as: "securing information in a lockable desk drawer, cupboard or filing cabinet which is under the user's sole control and to which they hold the keys".
- 8.13 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.
The term 'under cover' means that the information is carried within an opaque folder or envelope within official premises and buildings and within a closed briefcase or other similar bag or container when outside official premises or buildings.
- 8.14 In the event of termination of contract due to expiry, liquidation or non-performance, all information assets provided, created or resulting from the service shall not be considered as the supplier's assets and must be returned to the department and written assurance obtained from an appropriate officer of the supplying organisation that these assets regardless of location and format have been fully sanitised throughout the organisation in line with clause 8.15.
- 8.15 In the event of termination, equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored by the Contractor must be accounted for and either physically returned or securely sanitised or destroyed in accordance with the current HMG policy using an NCSC approved product or method.
Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as data stored in a cloud system, Storage Area Network (SAN) or on shared backup tapes, then the Contractor or sub-contractor shall protect the Department's information and data until such time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.
Evidence of secure destruction will be required in all cases.

- 8.16 Access by Contractor or sub-contractor staff to Departmental Data, including user credentials, shall be confined to those individuals who have a “need-to-know” in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted. Any Contractor or sub-contractor staff who will be in contact with children or vulnerable adults must, in addition to any security clearance, have successfully undergone an Enhanced DBS (Disclosure and Barring Service) check prior to any contact.
- 8.17 All Contractor or sub-contractor employees who handle Departmental Data shall have annual awareness training in protecting information.
- 8.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 8.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data, including user credentials, used or handled in the course of providing this service shall be recorded as an incident. This includes any non-compliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the solution.

Incidents shall be reported to the department immediately, wherever practical, even if unconfirmed or when full details are not known, but always within 24 hours of discovery. If incident reporting has been delayed by more than 24 hours, the contractor should provide an explanation about the delay.

Incidents shall be reported through the department’s nominated system or service owner.

Incidents shall be investigated by the contractor with outcomes being notified to the Department.

- 8.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using an NCSC CHECK Scheme ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.
- 8.21 The Contractor or sub-contractors providing the service will provide the Department with full details of any actual or future intent to develop, manage, support, process or store Departmental Data outside of the UK mainland. The Contractor or sub-contractor shall not go ahead with any such proposal without the prior written agreement from the Department.
- 8.22 The Department reserves the right to audit the Contractor or sub-contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-contractors', compliance with the clauses contained in this Section.
- 8.23 The Contractor and sub-contractors shall undergo appropriate security assurance activities and shall provide appropriate evidence including the production of the necessary security documentation as determined by the department. This will include obtaining any necessary professional security resources required to support the Contractor's and sub-contractor's security assurance activities such as: a Security and Information Risk Advisor (SIRA) certified to NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Cyber Professional (CCP) schemes.

8.24 Where the Contractor is delivering an ICT solution to the Department they shall design and deliver solutions and services that are compliant with the HMG Security Policy Framework in conjunction with current NCSC Information Assurance Guidance and Departmental Policy. The Contractor will provide the Department with evidence of compliance for the solutions and services to be delivered. The Department's expectation is that the Contractor shall provide written evidence of:

- Compliance with HMG Minimum Cyber Security Standard.
- Any existing security assurance for the services to be delivered, such as: ISO/IEC 27001 / 27002 or an equivalent industry level certification.
- Any existing HMG security accreditations or assurance that are still valid including: details of the awarding body; the scope of the accreditation; any caveats or restrictions to the accreditation; the date awarded, plus a copy of the residual risk statement.
- Documented progress in achieving any security assurance or accreditation activities including whether documentation has been produced and submitted. The Contractor shall provide details of who the awarding body or organisation will be and date expected.

8.25 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-contractors or partners who could potentially access Departmental Data in the course of providing this service.

9. Warranty and Indemnity

9.1 The Contractor warrants to the Department that the obligations of the Contractor under this Contract will be performed by appropriately qualified and trained personnel with reasonable skill, care and diligence and to such high standards of quality as it is reasonable for the Department to expect in all the circumstances. The Department will be relying upon the Contractor's skill, expertise and experience in the performance of the Project and also upon the accuracy of all representations or statements made and the advice given by the Contractor in connection with the performance of the Project and the accuracy of any documents conceived, originated, made or developed by the Contractor as part of this Contract. The Contractor warrants that any goods supplied by the Contractor forming part of the Services will be of satisfactory quality and fit for their purpose and will be free from defects in design, material and workmanship.

9.2 Without prejudice to any other remedy, if any part of the Project is not performed in accordance with this Contract then the Department shall be entitled, where appropriate to:

9.2.1 require the Contractor promptly to re-perform or replace the

relevant part of the Project without additional charge to the Department; or

- 9.2.2 assess the cost of remedying the failure (“the assessed cost”) and to deduct from any sums due to the Contractor the Assessed Cost for the period that such failure continues.
- 9.3 The Contractor shall be liable for and shall indemnify the Department in full against any expense, liability, loss, claim or proceedings arising under statute or at common law in respect of personal injury to or death of any person whomsoever or loss of or damage to property whether belonging to the Department or otherwise arising out of or in the course of or caused by the performance of the Project.
- 9.4 Without prejudice to any other exclusion or limitation of liability in this Contract, the liability of the Contractor for any claim or claims under this Contract shall be limited to the fees or charges paid or payable under this contract.
- 9.5 All property of the Contractor whilst on the Department's premises shall be there at the risk of the Contractor and the Department shall accept no liability for any loss or damage howsoever occurring to it.
- 9.6 The Contractor shall ensure that it has adequate insurance cover with an insurer of good repute to cover claims under this Contract or any other claims or demands which may be brought or made against it by any person suffering any injury damage or loss in connection with this Contract. The Contractor shall upon request produce to the Department, it's policy or policies of insurance, together with the receipt for the payment of the last premium in respect of each policy or produce documentary evidence that the policy or policies are properly maintained.

10. Termination

- 10.1 This Contract may be terminated by either party giving to the other party at least 30 days notice in writing.
- 10.2 In the event of any breach of this Contract by either party, the other party may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice which shall be reasonable in all the circumstances. If the breach has not been remedied by the expiry of the specified period, the party not in breach may terminate this Contract with immediate effect by notice in writing.
- 10.3 In the event of a material breach of this Contract by either party, the other party may terminate this Contract with immediate effect by notice in writing.

- 10.4 This Contract may be terminated by the Department with immediate effect by notice in writing if at any time:-
- 10.4.1 the Contractor passes a resolution that it be wound-up or that an application be made for an administration order or the Contractor applies to enter into a voluntary arrangement with its creditors; or
 - 10.4.2 a receiver, liquidator, administrator, supervisor or administrative receiver be appointed in respect of the Contractor's property, assets or any part thereof; or
 - 10.4.3 the court orders that the Contractor be wound-up or a receiver of all or any part of the Contractor's assets be appointed; or
 - 10.4.4 the Contractor is unable to pay its debts in accordance with Section 123 of the Insolvency Act 1986.
 - 10.4.5 there is a change in the legal or beneficial ownership of 50% or more of the Contractor's share capital issued at the date of this Contract or there is a change in the control of the Contractor, unless the Contractor has previously notified the Department in writing. For the purpose of this Sub-Clause 10.4.5 "control" means the power of a person to secure that the affairs of the Contractor are conducted in accordance with the wishes of that person by means of the holding of shares or the possession of voting power.
 - 10.4.6 the Contractor is convicted (or being a company, any officers or representatives of the Contractor are convicted) of a criminal offence related to the business or professional conduct
 - 10.4.7 the Contractor commits (or being a company, any officers or representatives of the Contractor commit) an act of grave misconduct in the course of the business;
 - 10.4.8 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to the payment of Social Security contributions;
 - 10.4.9 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to payment of taxes;
 - 10.4.10 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to disclose any serious misrepresentation in supplying information required by the Department in or pursuant to this Contract.
- 10.5 Nothing in this Clause 10 shall affect the coming into, or continuance in

force of any provision of this Contract which is expressly or by implication intended to come into force or continue in force upon termination of this Contract.

11. Status of Contractor

- 11.1 In carrying out its obligations under this Contract the Contractor agrees that it will be acting as principal and not as the agent of the Department.
- 11.2 The Contractor shall not say or do anything that may lead any other person to believe that the Contractor is acting as the agent of the Department.

12. Freedom of information

- 12.1 The Contractor acknowledges that the Department is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the Department to enable the Department to comply with its information disclosure obligations.
- 12.2 The Contractor shall and shall procure that its Sub-contractors shall:
 - 12.2.1 transfer to the Department all Requests for Information that it receives as soon as practicable and in any event within two Working Days of receiving a Request for Information;
 - 12.2.2 provide the Department with a copy of all Information in its possession, or power in the form that the Department requires within five Working Days (or such other period as the Department may specify) of the Department's request; and
 - 12.2.3 provide all necessary assistance as reasonably requested by the Department to enable the Department to respond to the Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the Environmental Information Regulations.
- 12.3 The Department shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether any Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.
- 12.4 In no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by the Department.
- 12.5 The Contractor acknowledges that (notwithstanding the provisions of Clause 13) the Department may, acting in accordance with the Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000

("the Code"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Contractor or the Project:

12.5.1 in certain circumstances without consulting the Contractor; or

12.5.2 following consultation with the Contractor and having taken their views into account;

12.5.3 provided always that where 12.5.1 applies the Department shall, in accordance with any recommendations of the Code, take reasonable steps, where appropriate, to give the Contractor advanced notice, or failing that, to draw the disclosure to the Contractor's attention after any such disclosure.

12.6 The Contractor shall ensure that all Information is retained for disclosure during the term of the contract and shall permit the Department to inspect such records as requested from time to time.

13. CONFIDENTIALITY

13.1 Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each party shall:

13.1.1 treat the other party's Confidential Information as confidential and safeguard it accordingly; and

13.3.2 not disclose the other party's Confidential Information to any other person without the owner's prior written consent.

13.2 Clause 13 shall not apply to the extent that:

13.2.1 such disclosure is a requirement of Law placed upon the party making the disclosure, including any requirements for disclosure under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations pursuant to clause 12 (Freedom of Information);

13.2.2 such information was in the possession of the party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;

13.2.3 such information was obtained from a third party without obligation of confidentiality;

13.2.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or

13.2.5 it is independently developed without access to the other party's Confidential Information.

13.3 The Contractor may only disclose the Department's Confidential Information to the Contractor Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that such Contractor Personnel are aware of and shall

comply with these obligations as to confidentiality.

- 13.4 The Contractor shall not, and shall procure that the Contractor Personnel do not, use any of the Department's Confidential Information received otherwise than for the purposes of this Contract.
- 13.5 At the written request of the Department, the Contractor shall procure that those members of the Contractor Personnel identified in the Department's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.
- 13.6 Nothing in this Contract shall prevent the Department from disclosing the Contractor's Confidential Information:
 - 13.6.1 to any Crown Body or any other Contracting Department. All Crown Bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown Body or any Contracting Department;
 - 13.6.2 to any consultant, contractor or other person engaged by the Department or any person conducting an Office of Government Commerce gateway review;
 - 13.6.3 for the purpose of the examination and certification of the Department's accounts; or
 - 13.6.4 for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Department has used its resources.
- 13.7 The Department shall use all reasonable endeavours to ensure that any government department, Contracting Department, employee, third party or Sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause 13 is made aware of the Department's obligations of confidentiality.
- 13.8 Nothing in this clause 13 shall prevent either party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other party's Confidential Information or an infringement of IPR.
- 13.9 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. The Department shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.

13.10 Subject to Clause 13.9, the Contractor hereby gives his consent for the Department to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.

13.11 The Department may consult with the Contractor to inform its decision regarding any redactions but the Department shall have the final decision in its absolute discretion.

13.12 The Contractor shall assist and cooperate with the Department to enable the Department to publish this Contract.

14. Access and Information

14.1 The Contractor shall provide access at reasonable times to the Department's internal auditors or other duly authorised staff or agents to inspect such documents as the Department considers necessary in connection with this Contract and where appropriate speak to the Contractors employees.

15. Transfer of Responsibility on Expiry or Termination

15.1 The Contractor shall, at no cost to the Department, promptly provide such assistance and comply with such timetable as the Department may reasonably require for the purpose of ensuring an orderly transfer of responsibility upon the expiry or other termination of this Contract. The Department shall be entitled to require the provision of such assistance both prior to and, for a reasonable period of time after the expiry or other termination of this Contract.

15.2 Such assistance may include (without limitation) the delivery of documents and data in the possession or control of the Contractor which relate to this Contract, including the documents and data, if any, referred to in the Schedule.

15.3 The Contractor undertakes that it shall not knowingly do or omit to do anything that may adversely affect the ability of the Department to ensure an orderly transfer of responsibility.

16. Tax indemnity

16.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.

16.2 Where the Contractor is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to

NICs in respect of that consideration.

- 16.3 The Department may, at any time during the term of this contract, ask the Contractor to provide information which demonstrates how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it.
- 16.4 A request under Clause 16.3 above may specify the information which the Contractor must provide and the period within which that information must be provided.
- 16.5 The Department may terminate this contract if-
- (a) in the case of a request mentioned in Clause 16.3 above if the Contractor:
 - (i) fails to provide information in response to the request within a reasonable time, or
 - (ii) provides information which is inadequate to demonstrate either how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it;
 - (b) in the case of a request mentioned in Clause 16.4 above, the Contractor fails to provide the specified information within the specified period, or
 - (c) it receives information which demonstrates that, at any time when Clauses 16.1 and 16.2 apply, the Contractor is not complying with those Clauses.
- 16.6 The Department may supply any information which it receives under Clause 16.3 to the Commissioners of Her Majesty's Revenue and Customs for the purpose of the collection and management of revenue for which they are responsible.
- 16.7 The Contractor warrants and represents to the Department that it is an independent contractor and, as such, bears sole responsibility for the payment of tax and national insurance contributions which may be found due from it in relation to any payments or arrangements made under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.
- 16.8 The Contractor will account to the appropriate authorities for any income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.
- 16.9 The Contractor shall indemnify Department against any liability, assessment or claim made by the HM Revenue and Customs or any other relevant authority arising out of the performance by the parties of their obligations under this Contract (other than in respect of employer's secondary national insurance contributions) and any costs,

expenses, penalty fine or interest incurred or payable by Department in connection with any such assessment or claim.

16.10 The Contractor authorises the Department to provide the HM Revenue and Customs and all other departments or agencies of the Government with any information which they may request as to fees and/or expenses paid or due to be paid under this Contract whether or not Department is obliged as a matter of law to comply with such request.

17. Amendment and variation

17.1 No amendment or variation to this Contract shall be effective unless it is in writing and signed by or on behalf of each of the parties hereto. The Contractor shall comply with any formal procedures for amending or varying contracts that the Department may have in place from time to time.

18. Assignment and Sub-contracting

18.1 The benefit and burden of this Contract may not be assigned or sub-contracted in whole or in part by the Contractor without the prior written consent of the Department. Such consent may be given subject to any conditions which the Department considers necessary. The Department may withdraw its consent to any sub-contractor where it no longer has reasonable grounds to approve of the sub-contractor or the sub-contracting arrangement and where these grounds have been presented in writing to the Contractor.

19. The Contract (Rights of Third Parties) Act 1999

19.1 This Contract is not intended to create any benefit, claim or rights of any kind whatsoever enforceable by any person not a party to the Contract.

20. Waiver

20.1 No delay by or omission by either Party in exercising any right, power, privilege or remedy under this Contract shall operate to impair such right, power, privilege or remedy or be construed as a waiver thereof. Any single or partial exercise of any such right, power, privilege or remedy shall not preclude any other or further exercise thereof or the exercise of any other right, power, privilege or remedy.

21. Notices

21.1 Any notices to be given under this Contract shall be delivered personally or sent by post or by facsimile transmission to the Project Manager (in the case of the Department) or to the address set out in this Contract (in the case of the Contractor). Any such notice shall be deemed to be served, if delivered personally, at the time of delivery, if sent by post, forty-eight hours after posting or, if sent by facsimile transmission, twelve hours after proper transmission.

22. Dispute resolution

- 22.1 The Parties shall use reasonable endeavours to negotiate in good faith and settle amicably any dispute that arises during the continuance of this Contract.
- 22.2 Any dispute not capable of resolution by the parties in accordance with the terms of Clause 21 shall be settled as far as possible by mediation in accordance with the Centre for Dispute Resolution (CEDR) Model Mediation Procedure.
- 22.3 No party may commence any court proceedings/arbitration in relation to any dispute arising out of this Contract until they have attempted to settle it by mediation, but any such mediation may be terminated by either party at any time of such party wishing to commence court proceedings/arbitration.

23. Law and Jurisdiction

- 23.1 This Contract shall be governed by and interpreted in accordance with English Law and the parties submit to the jurisdiction of the English courts.

24. Discrimination

- 24.1 The Contractor shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation or otherwise) in employment.
- 24.2 The Contractor shall take reasonable steps to secure the observance of Clause 24.1 by all servants, employees or agents of the Contractor and all suppliers and sub-contractors employed in the execution of the Contract.

25. Safeguarding children who participate in research

- 25.1 The Contractor will put in place safeguards to protect children from a risk of significant harm which could arise from them taking part in the Project. The Contractor will agree these safeguards with the Department before commencing work on the Project.
- 25.2 In addition, the Contractor will carry out checks with the Disclosure and Barring Service (DBS checks) on all staff employed on the Project in a Regulated Activity. Contractors must have a DBS check done every two years for each relevant member of staff for as long as this contract applies. The DBS check must be completed before any of the Contractor's employees work with children in Regulated Activity.

Please see <https://www.gov.uk/crb-criminal-records-bureau-check> for further guidance.

26. Project outputs

- 26.1 Unless otherwise agreed between the Contractor and the Project Manager, all outputs from the Project shall be published by the Department on the Department's research website.
- 26.2 The Contractor shall ensure that all outputs for publication by the Department adhere to the Department's Style Guide and MS Word Template, available to download from:
<https://www.gov.uk/government/publications/research-reports-guide-and-template>.
- 26.3 Unless otherwise agreed between the Contractor and Project Manager, the Contractor shall supply the Project Manager with a draft for comment at least eight weeks before the intended publication date, for interim reports, and eight weeks before the contracted end date, for final reports.
- 26.4 The Contractor shall consider revisions to the drafts with the Project Manager in the light of the Department's comments. The Contractor shall provide final, signed off interim reports and other outputs planned within the lifetime of the Project to the Department by no later than four weeks before the intended publication date, and final, signed off reports and other outputs at the end of the Project to the Department by no later than the contracted end date for the Project.
- 26.5 Until the date of publication, findings from all Project outputs shall be treated as confidential, as set out in the Clause 13 above. The Contractor shall not release findings to the press or disseminate them in any way or at any time prior to publication without approval of the Department.
- 26.6 Where the Contractor wishes to issue a Press Notice or other publicity material containing findings from the Project, notification of plans, including timing and drafts of planned releases shall be submitted by the Contractor to the Project Manager at least three weeks before the intended date of release and before any agreement is made with press or other external audiences, to allow the Department time to comment. All Press Notices released by the Department or the Contractor shall state the full title of the research report, and include a hyperlink to the Department's research web pages, and any other web pages as relevant, to access the publication/s. This clause applies at all times prior to publication of the final report.
- 26.7 Where the Contractor wishes to present findings from the Project in the public domain, for example at conferences, seminars, or in journal articles, the Contractor shall notify the Project Manager before any

agreement is made with external audiences, to allow the Department time to consider the request. The Contractor shall only present findings that will already be in the public domain at the time of presentation, unless otherwise agreed with the Department. This clause applies at all times prior to publication of the final report.

27. Break clause

- 27.1. After delivery of the feasibility report the Department will review the viability of the work and make a decision as to whether to proceed with the evaluation. If the evaluation is not deemed feasible or no longer reflects current policy plans at that time, the evaluation may be terminated by notice in writing by the department following the termination process laid out in Clause 8 of schedule 2 above.
- 27.2. If this Contract is terminated by the Department by exercising the break clause set out in Clause 10, the Department shall be liable under paragraph 1 to pay to the Contractor for all expenditure incurred by the Contractor for the purpose of the Project (and for the avoidance of doubt, including all costs associated with time spent by the Contractor and its Sub-contractors) up to the date of termination, irrespective of whether, at the date of termination, the Project Milestone to which the work relates has been completed and termination of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at the time of such termination.

End of Schedule Three

SCHEDULE FOUR

Schedule 4 Processing, Personal Data and Data Subjects

This Schedule shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.

1. The contact details of the Controller’s Data Protection Officer are: [REDACTED]
2. The contact details of the Processor’s Data Protection Officer are [REDACTED]
3. The Processor shall comply with any further written instructions with respect to processing by the Controller.

Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 7.1.
Subject matter of the processing	<p>Evaluation of the Family Hub Innovation Fund Evaluation. The evaluation will assess the implementation, impact and economic benefits of the Family Hub model in five local authority areas (Sefton, Bristol, Essex, Sheffield, Suffolk).</p> <p>Process (implementation) assessment: Strategic, operational and partner stakeholders involved in the Family Hub design and implementation; family members receiving support from Family Hub services - views on the effectiveness of project delivery; its relation to associated initiatives and impact of the Family Hub approach on outcome for families, likely to include personal data and may include personal sensitive data.</p> <p>Impact assessment: Participants receiving support from Family Hub services (treatment group) - data on characteristics and outcomes recorded in local and national monitoring data sets. The details of the monitoring data sets will be confirmed at the scoping stage of the project.</p> <p>Cost Benefits Analysis and value for money analysis: to collect and estimate unit costs of family hub model, relative cost effectiveness, and a value for money assessment: Families receiving support or intervention through the hubs within the partner local authorities. The details of the monitoring data sets will be confirmed at the scoping stage of the project.</p>

Duration of the processing	Throughout contract lifetime running from May 2021 to March 2023.
Nature and purposes of the processing	<p>The specific purpose of the research is to gain an understanding what difference the Family Hub model approach makes for families and young people aged 0 – 19. The purpose of the analysis involving personal and special category data, firstly looks at families achieving a range of outcomes following the programme, where data is available, including in the areas of early child development, education, family functioning, social and emotional, health and social care. Where we have access to data, we will also consider the outcomes of similar families not receiving support from the Family Hub approach (comparator group/sites). Finally, the research will assess the economic benefits, which will include analysis of the costs of the family hub approach compared to the number of outcomes achieved by families. The research is commissioned by the DfE and delivered by Ecorys UK in partnership with [REDACTED] (independent consultants).</p> <p>Outcome analysis: Data to inform the analysis of family outcomes will entail receipt by the contractor of relevant datasets from the local authority partners or DfE through secure data transfer, and subsequently the electronic storage and analysis of anonymised administrative data pertaining to the family participants. Specifics of the datasets will be confirmed through the scoping stage of the study in each of the five local authority areas. Where available, analysis of data on outcomes achieved by comparator sites (at individual, hub or area level depending on access and availability to data). Our analysis of outcomes may be different across the five local authority areas. All analysis will be conducted by authorised members of the evaluation team.</p> <p>Qualitative research: With written and/or verbal agreement to participate; collection, audio recording, transcribing and storage and transfer of written/typed data gained from written/typed notes taken during interviews and focus groups with: strategic and operational stakeholders and young people and family members/carers receiving support from Family Hub arrangements.</p> <p>Survey research: With written and/or verbal agreement to participate; Online collection from a wider sample of strategic and operational stakeholders to inform the qualitative research. Survey questions will include a mixture of likert scales to assess the quality of the support and level of engagement, plus a few open-ended questions on challenges, lessons learned, good practices.</p>

	<p>Cost effective analysis: Collecting costs of the projects, and understanding additional costs and cost savings as a result of use of the Family Hub set-up; drawing on the information on outcomes gathered as part of the outcome analysis; calculating unit costs for selected outcomes, and comparing cost effectiveness with other initiatives, where data exists.</p> <p>Destruction of all personal data including written interview notes, electronically stored interview write ups, interview analysis and participant and counterfactual group administrative datasets scheduled for 12 months after final approval of the final research report to be published.</p>
<p>Type of Personal Data being processed</p>	<p>The following types of personal and special category data will be accessed for all Family Hub families and from possible comparator sites. This data will be anonymised (i.e. without details of the participants' name or address etc.)</p> <ul style="list-style-type: none"> • characteristics: age/date of birth gender, ethnicity, • nature of support received from Family Hub services; involvement in other services • where available on outcomes including: early child development and learning; education; social and emotional development; family functioning; physical and mental health; housing; community participation; poverty reduction and employability. <p>For family (parents/carers, family members and young people) participants involved in in-depth interviews, we will collect additional personal data. Where this is case, consent will be sought from the participants. We may collect the following:</p> <ul style="list-style-type: none"> • name; • address; • telephone number; • email. <p>The following types of personal and special category data may also be accessed for staff from providers delivering the programme, commissioners, investors and other representatives of partners involved in the Family Hubs:</p> <ul style="list-style-type: none"> • name; • job role/organisation / time in post; • address; • telephone number; • email. <p>Recognising the potential data risks / ethical issues associated with identifiable individual level data, any matched</p>

	<p>datasets shared with the contractor will be pseudo-anonymised to remove all individually identifying data or characteristics.</p>
<p>Categories of Data Subject</p>	<p>Data subjects will be:</p> <ul style="list-style-type: none"> • young people (clients) accessing the programmes/interventions, • family members/carers (clients); • staff/service providers • staff overseeing the project and programme and • participants and staff involved in comparator sites
<p>Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data</p>	<p>Destruction of all personal data including written interview notes, electronically stored interview write ups, interview analysis and participant and counterfactual group administrative datasets scheduled for 12 months after final approval of the research report to be published.</p>

End of Schedule Four

Authorised to sign for and on behalf of the Secretary of State for Education

Authorised to sign for and on behalf of the Contractor

Signature [REDACTED]

Signature [REDACTED]

Name in CAPITALS [REDACTED]

Name in CAPITALS [REDACTED]

Position and Address

[REDACTED]

Position and Address

[REDACTED]

Date

Date