

DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

Part 1: Letter of Appointment

Dear [REDACTED]

Letter of Appointment

This letter of Appointment dated 27th September 2021, is issued in accordance with the provisions of the DPS Agreement (RM6018) between CCS and the Supplier.

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

Order Number:	PS21083
From:	Department of Business Energy and Industrial Strategy , 1 Victoria St, Westminster, London, SW1H 0ET("Customer")
To:	Technopolis Ltd, 3 Pavilion Buildings, Brighton BN1 1EE ("Supplier")

Effective Date:	Monday, 4 th October 2021
Expiry Date:	Tuesday, 31 st October 2023

Services required:	Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by: The Customer's Project Specification attached at Appendix A and the Supplier's Proposal attached at Appendix B.
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Key Individuals:	[REDACTED], BEIS [REDACTED], Technopolis Ltd
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Contract Charges (including any applicable discount(s), but excluding VAT):	As per AW5.2 Price Schedule response highlighted within the RM6018 Contract Terms, section; Annex 1 - Contract Charges. The total value of this contract shall not exceed £ 164,590.00 excluding VAT.
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Insurance Requirements	Additional public liability insurance to cover all risks in the performance of the Contract, with a minimum limit of £5 million for each individual claim. Additional employers' liability insurance with a minimum limit of £5 million indemnity. Additional professional indemnity insurance adequate to cover all risks in the performance of the Contract with a minimum limit of indemnity of £2 million for each individual claim. Product liability insurance cover all risks in the provision of Deliverables under the Contract, with a minimum limit of £5 million for each individual claim.
Liability Requirements	Suppliers limitation of Liability (Clause 18.2 of the Contract Terms);
Special Clause	There will be a break clause at the end of Phase 1 to allow BEIS staff to review BEIS requirements and to ensure the project is being delivered to timelines and quality.
GDPR	As per Contract Terms Schedule 7 (Processing, Personal Data and Data Subjects)

FORMATION OF CONTRACT

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

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

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

For and on behalf of the Supplier:

Name and Title:



Signature:

Date: 28 September 2021

For and on behalf of the Customer:

Name and Title:



Signature:

Date:

APPENDIX A

Customer Project Specification

1. Background

Introduction

This contract is for the delivery of an extensive evaluation of the domestic and the non-domestic demand side response competitions (D/NDDSRC).

D/NDDSR Programme Overview

The overall aim of the D/NDDSRC is to identify and demonstrate controllable, flexible demand in real domestic environments or commercial, industrial, and public sector environments which could be replicated at significant scale in similar settings. Through the projects, the D/NDDSR competitions aims to:

- Secure earlier and greater levels of deployment of DSR applications in domestic and non-domestic environments by delivering DSR applications.
- Provide more detailed, robust data about the likely extent of and potential for DSR deployment in domestic and non-domestic environments in the UK and the savings which could be secured from D/NDDSR in the UK.
- Create greater awareness of the potential benefits and scope for deploying DSR among domestic and non-domestic electricity users.
- Strengthen UK supply chains for DSR applications and deployment.
- Encourage collaboration between DSR users, technology developers and academic other supply chain partners; help to involve supply chain partners in finding innovative solutions.

The evaluation seeks to understand the following:

- Determine the extent to which the competitions' intended benefits have been realised and the value for money (ex-post impact evaluation); and
- Learn lessons about the competition design and delivery processes to inform the design of future innovation support (process evaluation).

Overview of the D/NDDSR competitions:

Competition	Funding Allocated	Number of projects	Competition Timings
Domestic DSR	£9.36m	Phase 1: 20 Phase 2: 13	Phase 1: Jun 2018 - Sep 2018 Phase 2: Mar 2019 - up to March 2022
Non-domestic DSR	~£1.7m	Phase 1: 5 Phase 2: 2	Phase 1: Aug 2017 - Nov 2017 Phase 2: May 2018 - Sep 2021

Domestic Demand Side Response (DDSR) Competition

The DDSR competition aims to identify and demonstrate controllable, flexible demand in real domestic (residential) environments. Project teams identify and test novel uses of flexible demand that have not previously participated in DDSR with a focus on developing innovative, scalable and replicable solutions using a range of approaches. Most projects look to control "assets" through cloud-based software, optimising energy use in response to high-demand periods. This competition supported twenty 10-week feasibility studies in Phase 1, and 13 demonstration projects as part of Phase 2, representing a total spend of £9.36m. Phase 2 demonstrations comprise of projects based in England, two in Wales and one in Scotland. The projects cover a mix of housing tenure and building fabric types, including social housing estates, private rental sector, owner-occupied homes, and new build estates. More detail on specific project activities can be found in Table 1 of the annexed Evaluation Scoping report.

Non-Demand Side Response (NDDSR) Competition

The aim of the NDDSR is to identify, test and disseminate learning from innovative approaches to DSR in operational (real-life) non-domestic applications (i.e., in the commercial, industrial, and public sectors). Five projects were awarded funding at Phase 1 for the delivery of feasibility studies to pilot DSR solutions. Two of these projects progressed to receive further funding at Phase 2 to deliver demonstration projects, representing a total spend of around £1.7m to date. Both Phase 2 projects started in May 2018 and are due to close in September 2021. More detail on specific project activities can be found in Table 2 of the annexed Evaluation Scoping Report.

2. Aims and Objectives of the Evaluation Project

The Requirement

BEIS seeks to commission a single process and impact evaluation of the Domestic Demand Side Response (DDSR) Competition and Non-Domestic Demand Side Response Competition (NDDSR).

The interim evaluation will run alongside the end of the delivery of most projects (with most projects closing between September 2021 - March 2022) as well beyond the date of completion (where projects have already closed). The ex-post evaluation will run after all programmes have closed.

The evaluation looks to deliver against the following aims:

Aim 1 - Assess the achievements of the D/NDDSR competitions

Determine the extent to which the competitions' intended benefits have been realised and the value for money (**ex-post impact evaluation**)

Aim 2 - Provide lessons on the reach and delivery of the D/NDDSR competitions

Learn lessons about competition design and delivery processes to inform the design of future innovation support (**process evaluation**)

BEIS has commissioned and is publishing as part of this invitation to tender (ITT), a scoping study for the evaluation. This sets out in greater detail the policy background and overviews of the programmes, including a theory of change (ToC). It also provides further detail on evaluation methodology and data sources. To facilitate an effective bid and enable fair competition, this Scoping Report has been included in Annex 1 of this ITT. **This ITT should be read alongside the scoping study.**

Specific Research Questions

To address the aims set out above, the following high-level and detailed research questions have been developed, as outlined in the evaluation Scoping Report.

HLQ1 - To what extent are the projects commissioned through the D/NDDSR competitions delivering the overall objectives of the competitions?

- ▶ SQ1. How well are the different objectives addressed by the D/NDDSR competitions and their funded projects? Are the objectives met equally? What are the key differences?
- ▶ SQ2. Are there activities which are not in line with the programme's objectives?

HLQ2 - To what extent have the projects produced the outputs foreseen in the programme business cases, individual grant applications and the ToC?

- ▶ SQ1. To what extent have projects' DSR solutions been successfully piloted and demonstrated in domestic and non-domestic environments?
- ▶ SQ2. To what extent have projects' DSR solutions delivered intended initial outcomes, including reduced cost to end users?
- ▶ SQ3. To what extent have projects led to innovation and technology progression of DSR solutions along the TRLs?
- ▶ SQ4. To what extent have the projects produced robust new data on the effectiveness of DSR solutions?
- ▶ SQ5. To what extent has the Covid-19 pandemic had an impact on the programmes ability to produce the outputs foreseen in the programme business cases?

HLQ3 - To what extent have the projects produced the outcomes foreseen in the programme business cases, individual grant applications and the ToC?

- ▶ SQ1. To what extent have the projects brought about increased awareness and/or credibility of DSR solutions for domestic and non-domestic stakeholders?
- ▶ SQ2. Have viable new business models for DSR been identified?
- ▶ SQ3. Have the DSR solutions been commercialised or have a clear business plan to be brought to market?
- ▶ SQ4. What is the total amount of private finance leveraged through the projects?
- ▶ SQ5. To what extent have the projects contributed to increased sales of DSR solutions?
- ▶ SQ6. To what extent have the projects enabled replication of DSR solutions at significant scale in identical or similar settings?
- ▶ SQ7. To what extent have the projects contributed to the improved utilisation and storage of renewable energy?
- ▶ SQ8. To what extent have the projects' DSR solutions delivered sustained behaviour change among domestic consumers?
- ▶ SQ9. To what extent have the projects contributed to system level benefits?
- ▶ SQ10. To what extent are there indications of wider economic benefits stemming from project contributions? For example, export opportunities from new products and services created?

- ▶ S011. To what extent have the projects contributed to the strengthening of UK supply chains for DSR solutions?
- ▶ S012. To what extent have the projects contributed to influencing government policy related to flexible energy use?
- ▶ S013. To what extent can future estimated reduced carbon emissions be attributed to project contributions?

HLQ4 -To what extent do the D/NDDSR competitions represent positive VfM for BEIS funding provided?

- ▶ S01. What is the overall additionality of the outputs and outcomes over and above what would have happened in the absence of BEIS' D/NDDSR competitions?
- ▶ What leakage, spill overs, displacements and economic multiplier effects can be observed?
- ▶ S02. What were the particular features of BEIS' D/NDDSR competitions that made a difference to achieving outcomes?
- ▶ S03. Which of these features are most common across projects and act as key casual drivers for meeting outcomes?
- ▶ S04. How does successful achievement of intended outputs and outcomes vary according to different contextual factors among end-users? For example, across different type of housing ownership, dwelling type or type of business?

HLQS - To what extent were the process aspects of the competitions efficient and effective?

- S01. To what extent were the competition launches, calls and associated communications successful in reaching target audiences? Why/not?
- S02. Did the competition receive a sufficient number and range of high-quality applications? Why/not?
- S03. Was the application assessment process efficient and effective? Why/not?
- S04. To what extent did the programme facilitate productive partnerships and collaborations?
- S05. Was the competition management/monitoring efficient and effective?
- S06. Were appropriate/sufficient mechanisms in place to share progress and insight from the competition to support ongoing development of policy?
- S07. What elements of the delivery of the competition processes did project recipients identify as useful for the delivery of the competition objectives?
- S08. What insights can be gained to inform the future delivery processes of BEIS competitions in or related to DSR?

3.

Suggested Methodology

Approach

The proposed methodology below will consist of two phases.

Phase 1 - Interim Evaluation: [September 2021- Feb 2022]

Phase 1 will commence with a scoping stage including familiarisation with documentation, benchmarking exercise, review of existing Theory of Change and development of evaluation framework.

The interim evaluation will focus on the formative aspects of the competition processes i.e., were the processes delivered efficiently and effectively? (HLQ5) as well as early

summative aspects i.e., what are the outputs and emerging outcomes of the competitions? (HLQ1-4).

In particular, the **interim evaluation** would deliver:

- Process evaluation - exploring and mapping the processes as described in the Scoping report Chapter 5, using interviews and desk research.
- Benchmarking - identifying similar UK and international programmes with which to compare processes and results (if available). This will assess the extent to which any robust benchmarking is possible for the ex-post evaluation.
- Outputs and short-term outcomes - following the approach and methods described in Chapter 5. This would aim to detect outputs and short-term outcomes through surveys, interview programmes, case studies and secondary data analysis.

There will be a break clause at the end of Phase 1 to allow BEIS staff to review BEIS requirements and to ensure the project is being delivered to timelines and quality.

Phase 2 - Ex-post Evaluation: [Oct 2022 - Oct 2023]

This should commence in October 2022, with a final report completed by October 2023. Please note, timings for Phase 2 are provisional and will be reviewed and agreed at the end of Phase 1. The ex-post evaluation is aimed primarily at the summative task of identifying evidence of progress towards impacts. It will focus on drawing on the final reports of all projects and is expected to consult more widely to explore the broader outcomes and impacts of the competitions. The ex-post evaluation will aim to address all evaluation questions.

Both phases of the evaluation should look to address all suggested evaluation questions via deployment of all suggested indicators, data sources and methods of data collection/analysis (please refer to the annexed **Evaluation Scoping Report** for more detail). There will inevitably be a difference in the evidence that will be possible to obtain at these two different points in time, and it is anticipated that the focus of the efforts will differ between the interim and final evaluations.

Method

Outlined below are the suggested methods for the evaluation of the D/NDDSR competitions. More detail of how these should be applied can be found in Section 5 of the annexed Evaluation Scoping Report.

Desk Research/Secondary Data Analysis (Interim and Ex-Post Evaluation)

Desk research will include a review of competition and project documentation. The focus of the interim evaluation will be to use this review to understand the competition processes, creating stakeholder and process maps, as well as to inform the first analysis of results. At the ex-post stage, a refresh of processes should be conducted but the focus should be on results. For both phases, the following documents should be reviewed:

Competition documents - call documents, application guidance, business case documents, evaluation scoping reports, monitoring reports

Project documents - applications, project plans, monitoring reports, final reports

Secondary data analysis will involve analysis of the data collected by BEIS via project monitoring. The data can be split into two categories for analysis:

Process data - includes simple information such as number of applications, characteristics of projects etc. This information should be reported in the process evaluation and should also be used to contextualise results.

Results data - includes all data recorded by BEIS from the monitoring and final reports. All results data should be linked to the process data of its project using a unique ID.

The above data should also inform most of the other strands of research in the evaluation e.g. to inform survey sampling and linking responses to existing results data. This should be collected first at the interim stage and updated at ex-post stage.

Benchmarking (Interim and Ex-post Evaluation)

The benchmark exercise will inform consideration of the additionality of the DSR solutions developed through assessment of whether existing products and services with similar features already exist. This will involve two parts:

- a) businesses being developed through other R&D programmes that operate with similar objectives and
- b) energy services that already exist in the market.

To undertake part a), first a mapping exercise should be carried out to establish a long list of potential comparator programmes along a set of criteria (e.g. size, scale, scope, objective, thematic area, target audience, budget, maturity of the programme), which can then be narrowed down in discussion with BEIS to be included in the benchmarking exercise. Databases of public R&D funding programmes, such as Gateway to Research (covering UK) and CORDIS¹ (covering EU funding programmes) could be mined to obtain information on levels of project funding, aims and any recorded outcomes. Part b) may involve a review of grey literature on emerging new smart energy services related to DSR.

This benchmark exercise should highlight the main contextual factors of the comparator programmes and initiatives as well, in addition to describing the main similarities and differences between their aims, activities, scope and types of products and services offered. This may also inform assumptions on the level of demand and take-up of new services.

The benchmarking research should be carried out twice; once during the first scoping stage of the project, to inform development of the theory of change and 'contribution claims' around expected additionality of the projects, and then updated during the second phase as part of the ex-post evaluation; in order to assess the extent to which these claims have materialised e.g. the extent to which funded projects have been commercialised and are selling DSR products and services in the market.

Structured Interview Programme (Interim and Ex-Post Evaluation)

The structured interview programme should be designed for multiple stakeholder groups, as it is aimed at seeking information from a broad range of stakeholders with different viewpoints around the same key topics (please refer to the **Data Sources** section below for further detail).

Scoping interviews will be used as part of the inception phases for both the interim and final evaluation stages to better understand any changes that occur in project delivery or changes to priorities for evidence requirements to feed into policy developments. The main interview programme will form the primary fieldwork phases of the evaluations. Most interviews should be done over the telephone/video conferencing, but it may be economical to conduct a proportion of these in-person where possible (depending on Covid-19 social distancing rules), to improve the quality of those interactions and depth of insight gathered. For example, face-to-face interviews with BEIS policy leads.

Cost-benefit Analysis (Ex-post Evaluation) (HLQ4)

A cost benefit analysis (CBA) is the suggested approach to address HLQ4 in ex-post evaluation, as outlined in the Aims and Objectives section. The proposed CBA analysis should quantify the costs and benefits associated with the administration and implementation of the competitions and produce outputs that demonstrate whether the net present value of expected future benefits outweigh the costs, in monetised terms. This analysis should be conducted in accordance with the underlying principles of HMT Green Book and Green Book Supplementary Guidance. The Green Book is prescriptive in terms of what should be included and counted as a cost and as a benefit.² The economic evaluation should limit its scope to the benefits and costs that relate to the programme's primary objectives. The CBA will focus on the UK benefits, as it is used as a tool to make assessments of value for money in the UK.

The approach will need to identify an appropriate programme energy and emissions counterfactual, allowing for policies to which the Government is already committed (following supplementary guidance to the Green Book, published in April 2019). Considering the change, over and above the counterfactual scenario will be the focus for the CBA evaluation. A detailed appraisal of the data sources is included in the scoping report.

BEIS welcome alternative approaches to the one listed above, and in the scoping report, with appropriate justification. The scope of CBA analysis will be finalised at the inception stage of phase 2.

Case Studies (Interim and Ex-Post Evaluation)

Seven case studies should be conducted in interim and ex-post evaluation. Each of the NDDSR projects funded would serve as a case study, based on a synthesis of findings across all strands of primary data collection and analysis of secondary sources. For the DDSR competition, 5 case studies should be included to reflect the main thematic differences in terms of differences in types participating households (by tenure and building type), types of technologies used and inclusion of projects that have been relatively more/less successful in achieving their intended outputs and outcomes. This should be reviewed and agreed in the scoping phase of the evaluation. The theory-based methods will be used to synthesise evidence across sources. The data sources will include interviews, observation, review of project documentation and secondary data.

For the evaluations of the DSR competitions, the causal approach is suggested for covering the two competitions in different ways, illustrated in the table below.

Competitive	Type of Case Study	Number of Cases	
		Interim	Ex-post
NDDSR	Case studies will be used as the vehicle by which the contribution analysis (CA) and process tracing (PT) will explore contribution claims and report findings. In this way, they serve methodological and impact reporting purposes. They will be longitudinal in that the two projects will form case studies twice (once per evaluation stage)	2	2
DDSR	Case studies will be selected to demonstrate the results of the DDSR projects. We recommend they be selected on a thematic basis so that multiple examples of impact from multiple projects can be reported in each case. For example, the evaluator may choose five themes (five cases), one of which focuses on electric vehicles and uses example outputs from several projects. Examples across projects should be used rather than 'one project = one case'	5	5

In addition, the case studies will provide vital information to answering the evaluation questions as part of the process evaluation.

Process Evaluation (Interim and Ex-Post Evaluation)

The purpose of the process evaluation is to provide insight relating to how implementation of the programmes could be optimised and applied to future innovation funding schemes. This part of the evaluation specifically relates to HLQ5 and the sub-questions associated with this.

The process evaluation should be underpinned by a clear framework that defines the key processes involved, their objectives in contributing to achievement of objectives and indicators that could be deployed to measure their success. This framework should include a process map that summarises the processes of the programmes. The map should focus on following the 'applicant journey', but also include items such as programme design, communications, applicant assessment, monitoring arrangements, risk management, and project / programme close-out. This should be developed in collaboration with BEIS programme managers and finalised as part of the evaluation scoping stage.

The process evaluation should be based on a mix of data sources, including programme documentation, BEIS administrative data, project monitoring and progress reports and records as well as through qualitative interviews with different stakeholder groups. Questions eliciting process evidence should be covered with both successful and unsuccessful applicants to the programmes. The process evaluation should be undertaken in full at the interim evaluation stage, and then revisited, updated, and extended (where appropriate) at the final evaluation stage.

Contribution Analysis (CA) (Interim and Ex-post Evaluation)

Contribution Analysis (CA) will assess, building on different sources of evidence (interviews and secondary data sources), the extent to which, and how, and if not, why not, the programme produced the outcomes and impacts envisaged in the theory of change. It should explore the attribution by assessing the contribution that the DSR competitions are making to observed results over and above other influencing factors. The outcome of this analysis should be a plausible, evidence-based narrative that gives reasonable assurance on whether the observed outcomes and impacts can be attributed to the programme.

Process Tracing (PT) (Interim and Ex-post Evaluation)

Process Tracing (PT) should be used alongside Contribution Analysis to provide a framework for setting out what types of evidence we would expect to observe if the DSR projects achieve their intended outcomes and the extent to which these can be attributed to the BEIS funding. A PT approach for this evaluation would not necessarily require developing a PT framework for every evaluation question, but PT can be strategically used to strengthen evidence collected within an overarching CA framework instead. Some evaluation questions might be better suited than others for PT. A process tracing framework should be developed at the inception stage, seeing out the contribution claims that we want to test, and identifying suitable tests and evidence sources. Evidence should then be gathered throughout the evaluation to fulfil these tests.

Opportunity for bidders to submit creative bids:

Whilst there is a methodology outlined above and a detailed evaluation plan for this programme, annexed to this ITT, bidders should feel that they have room to be creative and submit distinct bids. Applicants are encouraged to propose alternative approaches and methodologies, where they believe these would better achieve our aims and objectives as set out above or be more cost effective. Alternative suggestions should be justified sufficiently to allow assessment regarding reliability and validity of the approach, and the costs relative to the proposed approach. Each bidder must only submit one final methodology and must not submit a number of options. All bids must fit within our budget, timeline and output criteria, regardless of methodology proposed.

Data Sources

This section highlights different sources of data expected to be included in the evaluation. Expected use of data sources for each respective HLQ can be found in Section 4 of the annexed Evaluation Scoping Report.

Primary Data Sources

Primary data sources for this evaluation will be gathered primarily through a structured interview programme consisting of two phases with different groups of stakeholders (see below), feeding into case studies where relevant. Interview data will address most of the process and impact related evaluations questions.

Stakeholder Group	Description	Target Number	
		Interim Evaluation	Ex-Post Evaluation
BEIS programme	Programme managers for both competitions (during the inception phase-	5	5

management / policy leads	scoping interviews), Programme delivery support managers (including Thirds application appraisers and monitoring officers) and key relevant policy leads on smart energy systems.		
Consortium Leaders	All demonstration project leaders should be consulted - 15 consortium leaders (NDDSR = 2; DDSR = 13) - during both phases of evaluation	15	15
Project Partners	As part of the case studies we recommend that all 38 other project partners will be consulted as well (NDDSR = 2; DDSR = 36 unique partners). It is feasible that some of these could be covered together as group interviews (e.g. video conference call with >1 partners of one project) to reduce costs	38	38
External Stakeholders	Industry stakeholders, including; National Grid ESQ, the DNOs in regions where the projects operate (views on benefits for grid balancing and reduced system costs) and electricity suppliers (re views on implications for new tariffs and cost reduction)	-	10
Unsuccessful applicants	Lead partners from consortia that bid unsuccessfully to phase 2 (NDDSR = 2; DDSR = 7)	9	
Sub-totals		67	68
Grand total		135	

It is expected that the first round of interviews will be conducted in the interim evaluation phase and second round will be conducted in the ex-post evaluation stage.

Secondary Data Sources

Secondary data will be collected by BEIS via project monitoring. This will be drawn from a variety of sources including SICE KPIS, project monitoring reports and competition documents. The following secondary data sources will be used to support the evaluation:

- **SICE KPIS** - these are referred to in the annexed **Evaluation Scoping Report** and are already built into competition monitoring and reporting.

The KPI's collected as part of the D/NDDSR programme are:

No.	Performance Metric	DDSR Phase 1	DDSR Phase 2	NDDSR Phase 1	NDDSR Phase 2
KPI 1	Number of energy innovation projects supported.	x	x	x	x
KPI 2	Number of projects that have successfully met objectives.	x	x	x	x
KPI 3	Number (and size) of organisations supported to deliver project	x	x	x	x
KPI 4	Number of business relationships and collaborations supported	x	x	x	x
KPI 5	Advancement of low carbon projects		x	x	x
KPI 6i	Initial financial leverage from the private sector to deliver project.	x	x		
KPI 6ii	Follow-on funding to take project further forward (£m)		x		
KPI 7i	Reduced cost of energy.		x		x
KPI 7ii	Reduced energy demand/ increased energy efficiency.		x		x
KPI 7iii	Increased energy system flexibility				x
KPI 8	Number of products (and services) sold in UK and internationally .		x		x
KPI 9	Potential reduction in CO2 emissions savings		x		x

Programme and project level reports and documents:

- **Competition documents** - call documents, application guidance, business case documents, evaluation scoping reports, monitoring reports
- **Project documents** - applications, project plans, monitoring reports, final reports
- **Process data** - includes simple information such as number of applications, characteristics of projects etc. This information should be reported in the process evaluation and should also be used to contextualise results.
- **Results data** - includes all data recorded by BEIS from the monitoring and final reports. All results data should be linked to the process data of its project using a unique ID.

Further data sources covering public R&D funding programmes, such as Gateway to Research (covering UK) and CORDIS (covering EU funding programmes) could be mined to obtain information on levels of project funding, aims and any recorded outcomes for the benchmarking exercise.

Deliverables

Expected Outputs

Interim evaluation

- Revised theory of change and evaluation framework (October 2021)
- 1 x Interim report, covering findings from process evaluation and emerging findings on outputs, outcomes and impacts. The report should include write-ups of case studies conducted to date (February 2022). A draft version of this report should be completed by January 2022.
- Presentation of findings to BEIS (February 2022)
- Anonymised interview transcripts (February 2022)

Ex-post evaluation

- Final report on process, impact and economic evaluation findings, including write-ups of the case studies (Oct 2023)
- Presentations of final findings to BEIS (Oct 2023)
- 1 x technical report (Oct 2023)
- Anonymised interview transcripts (October 2023)

Other Reporting Requirements or Deliverables

Where relevant, outputs should include suitable technical annexes and datasets. Outputs should include anonymised datasets and transcripts of qualitative interviews, for the purposes of quality assurance (QA) and further analysis. We welcome suggestions as to any further outputs and would expect to agree a final set of deliverables at the inception stage.

It is assumed that both the technical and final reports will be published to ensure a transparent evidence base is available to support ongoing policy making decisions. To demonstrate relevant expertise in producing high quality reporting, bids must:

- Specify who in the project team will be responsible for drafting the report.
- Specify who will be responsible for quality assurance before it comes to BEIS.

Quality Assurance

Bidders must set out their approach to QA in their response to this ITT with a QA plan.

Sign-off for quality assurance must be conducted by someone of sufficient seniority within the contractor organisation to be able to take responsibility for the work done e.g. Director level. Acceptance of the work by BEIS will take this into consideration. BEIS reserves the right to refuse sign off outputs which do not meet the required standard specified in this invitation to tender and/or the contractor's QA plan. QA should cover all aspects of the project undertaken by the contractors, including data collection, data analysis and reporting.

To demonstrate an effective process to produce high quality reporting, the contractor/s must ensure that quality assurance is done by individuals who were not directly involved in that research or analysis .

Bidders should note that BEIS may appoint its own peer reviewer(s) to QA publishable outputs. Consideration should be given to how the external peer reviewer(s) will be included in the QA process.

Where complex or innovative methods are proposed, bidders should specify how additional quality assurance will be provided. Where necessary, this should include the use of external

experts. A BEIS appointed peer reviewer will not be expected to provide detailed quality assurance, their role will be focused on higher level peer review.

Outputs will be subject to BEIS internal approvals, the more substantive the output the longer the approval time required. Published reports will require three rounds of comments, which should be factored into the timelines.

The successful bidder will be responsible for any work supplied by sub-contractors. For primary research, contractors should be willing to facilitate BEIS research staff to attend interviews or listen in to telephone surveys as part of the quality assurance process.

Other useful sources of guidance and advice that will help bids and the resulting work be of the highest quality include:

- The [Government Social Research Code](#), in particular those that relate to GSR Products:
- [UK Statistics Authority Code of Practice](#) or an equivalent standard.
- Supplementary Guidance on the Quality in Policy Impact Research
- [Quality in Qualitative Research: A Framework for assessing research evidence](#) provides a framework for appraising the quality of qualitative research.

Working Arrangements

The successful contractor will be expected to identify one named point of contact through whom all enquiries will be filtered. A BEIS project manager will be assigned to the project and will be the central point of contact. Where a consortium or sub-contractors are in place, BEIS expect that they are included in relevant meetings, workshops, and review points to ensure their full engagement in the project. All contractors and sub-contractors are responsible for the delivery of outputs to the appropriate time and quality. It is expected that the lead contractor takes an active role in oversight of all workstreams and bears the overall responsibility for the delivery of the evaluation activities and outputs.

Bidders should assume that BEIS take an active role in review and quality assurance of research materials, analysis and outputs beyond external peer review. It should be expected that research materials and outputs go through at least four iterations (i.e., three rounds of comments from BEIS), dependent on the complexity of the product. Additional amendments may be required for published outputs.

The appointment offer will be confirmed by Monday 6th September 2021 (estimated timeframes). Note that bidders must be available to attend an inception meeting in the week commencing Monday, 13th September 2021.

We envisage the need for close interaction between the BEIS Project Manager and contractor throughout the process, to ensure emerging issues are dealt with promptly and that BEIS fully understand the assumptions and approach taken. Bidders should assume that engagement with BEIS will include weekly project management phone calls, weekly progress updates, steering group meetings (frequency to be confirmed), and face to face meetings as required to design, and deliver the chosen methods. Throughout the research, BEIS will be required to review and sign off all final data collection instruments, analytical approaches (including key assumptions) and outputs.

Skills and Expertise

BEIS require you to demonstrate that you have the expertise and capabilities to undertake the project. Your tender response should include a summary of how the team will apply their expertise and capabilities.

The following skills and expertise are considered particularly important for this work:

- Designing and undertaking theory of change development
- Delivery of theory-based evaluations; Designing and running a large-scale process, economic and impact policy evaluations;
- Designing and undertaking the types of primary (interviews and case studies) and secondary data collection and analysis outlined in the specification;
- Ability to deliver robust and high quality analytical work using appropriate project management techniques;
- Delivery of high-quality synthesis, reporting and communication of complex programme evaluation
- Understanding of UK energy and climate change policy landscape

Contractors should propose the project team and include the tasks and responsibilities of each team role. This should be clearly linked to the work programme, indicating the grade/seniority of staff and number of days allocated to specific tasks.

Contractors should identify the team role(s) who will be responsible for managing the project.

Challenges

There may be several challenges in conducting this research; some are given in the following section. Bidders must consider how these, and any other challenges will be addressed through the research design and delivery.

Timelines of the D/NDDSR Competitions

Most of the projects will be running alongside the start of the evaluation however, some projects will be at different stages of the process with some already closed when the evaluation commences. It is important that the evaluation approach aligns with the programme plan, so we are asking the right questions at the right time.

Impacts of Covid-19 on Primary Research

There is a risk that some aspects of the research may be delayed if a scenario arose where the UK needs to go back into a lockdown. The successful contractor will need to work flexibly and plan for alternative methods of virtual research should further Covid-19 restrict any evaluation activities.

Ethics

All applicants will need to identify and propose arrangements for the initial scrutiny and on-going monitoring of ethical issues. The appropriate handling of ethical issues is part of the tender assessment exercise and proposals will be evaluated on this as part of the 'consideration of challenges' criterion.

We expect contractors to adhere to the following Government Social Research (GSR) Principles:

- Sound application and conduct of social research methods and appropriate dissemination and utilisation of findings.

- Participation based on valid consent
- Enabling participation
- Avoidance of personal harm
- Non-disclosure of identity and personal information

Data Security

The successful tenderer must comply with the General Data Protection Regulation 2016 (GDPR) and any information collected, processed, and transferred on behalf of the Department, and in particular personal information, must be held and transferred securely. Contractors must provide assurances of compliance with GDPR and set out in their proposals details of the practices and systems they have in place for handling data securely including the transmission between the field and head office and then to the Department. Contractors will have responsibility for ensuring that they and any subcontractor who processes or handles information on behalf of the Department is conducted securely. The sorts of issues which must be addressed satisfactorily and described in contractor's submissions include:

- procedures for storing both physical and system data;
- data back-up procedures;
- procedures for the destruction of physical and system data;
- how data is protected;
- data encryption software used;
- use of laptops and electronic removable media;
- details of person(s) responsible for data security;
- policies for unauthorised staff access or misuse of confidential/personal data
- policies for staff awareness and training of **DPA**;
- physical security of premises; and
- how research respondents will be made aware of all potential uses of their data

Prices and Payments

The budget for this project is up to £175,600 excluding VAT. Price will be a criterion against which bids will be assessed.

Contractors should provide a full and detailed breakdown of costs. This should include staff (and day rate) allocated to specific tasks.

Bids should at a minimum include costs for the below activities, including design and analysis:

- Inception/scoping stage (review programme documentation and finalise project plans)
- Development of Contribution Analysis (with additional process tracing elements)
- Evaluation Framework: review theory of change and develop research tools
- Structured interview programme
- Development of 7 case studies
- Analysis of secondary data sources
- Benchmarking
- Process Evaluation
- Cost Benefit Analysis
- Overall Analysis (including report drafting, revision and sign-off)
- Project management and meetings

Any payment conditions applicable to the prime contractor must also be replicated with sub-contractors.

The Department aims to pay all correctly submitted invoices as soon as possible, within 30 days from the date of receipt, in line with standard terms and conditions of contract.

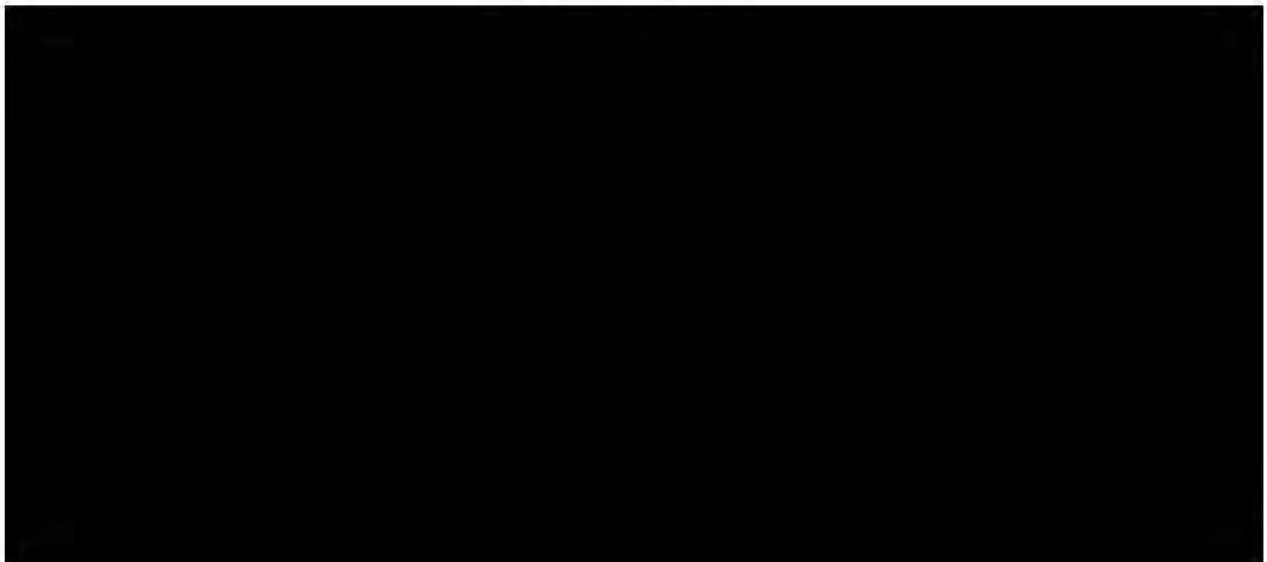
Assessment Criteria

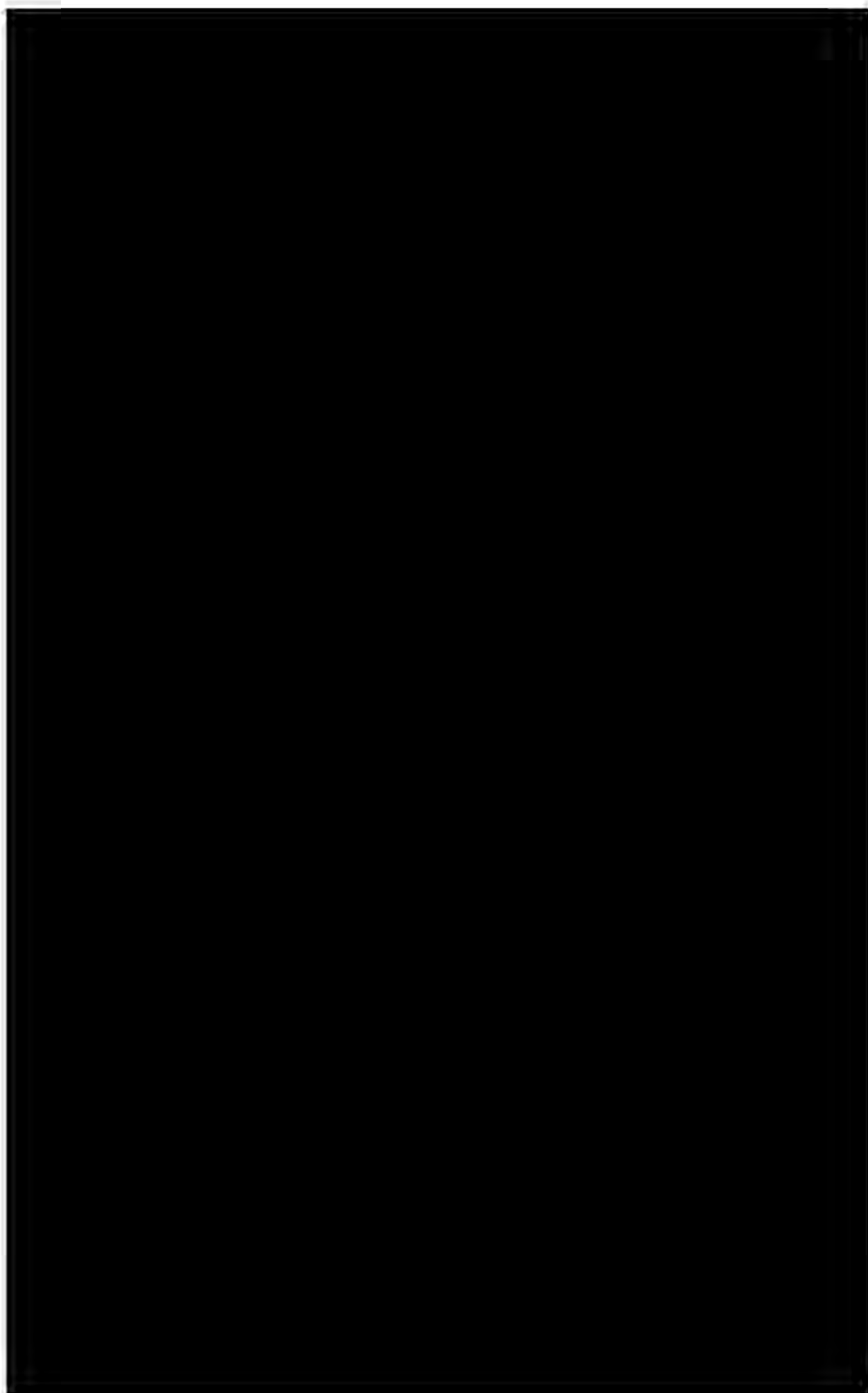
The proposal should address the following areas:

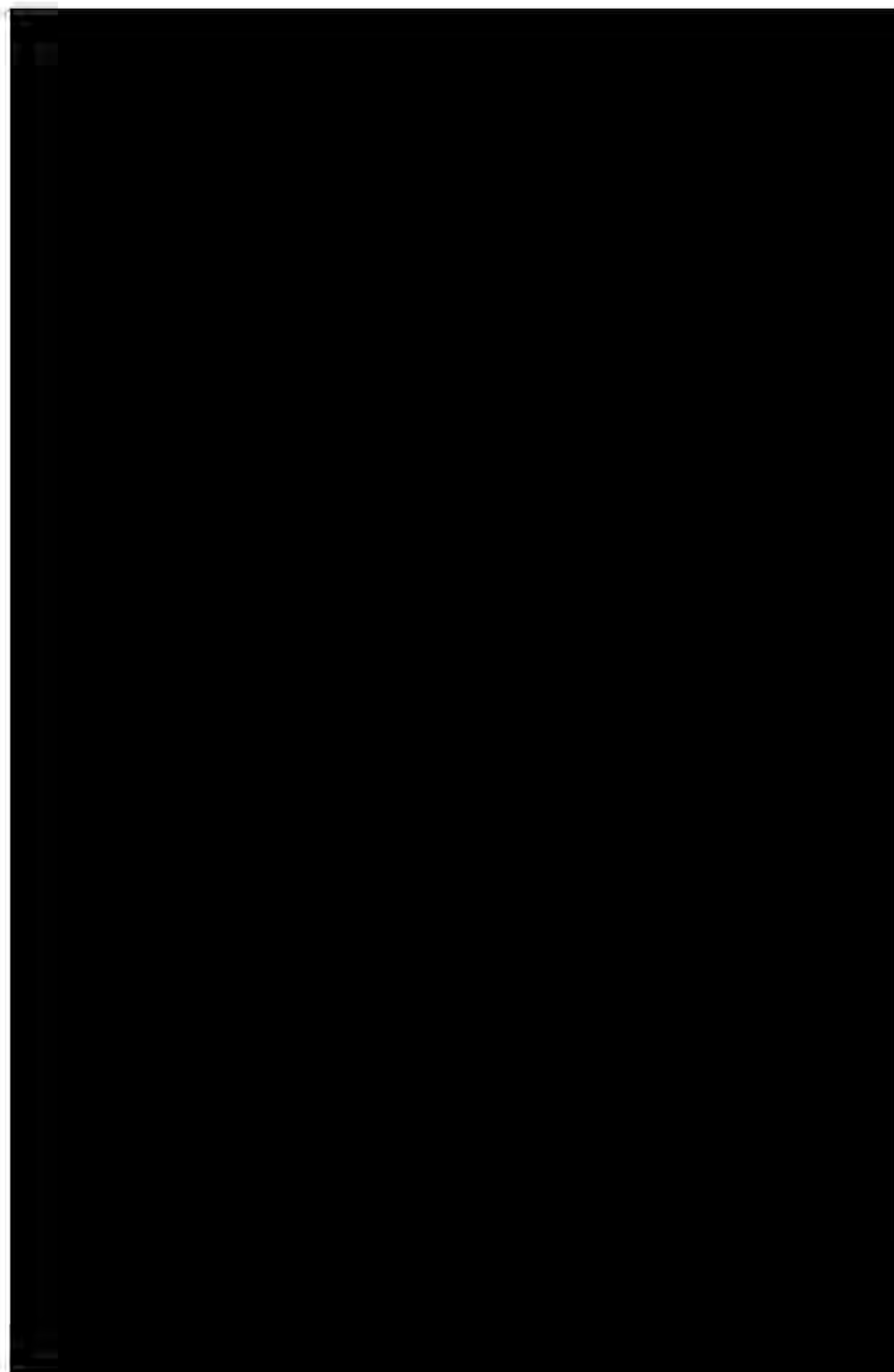
- Understanding of policy and project environment
- Staff to deliver their role, skills, and relevant expertise
- Research design and methodology
- Arrangements for project management, including quality assurance as set out above and addressing risks and challenges.
- A detailed time budget, including a crosstabulation of time per activity and grade

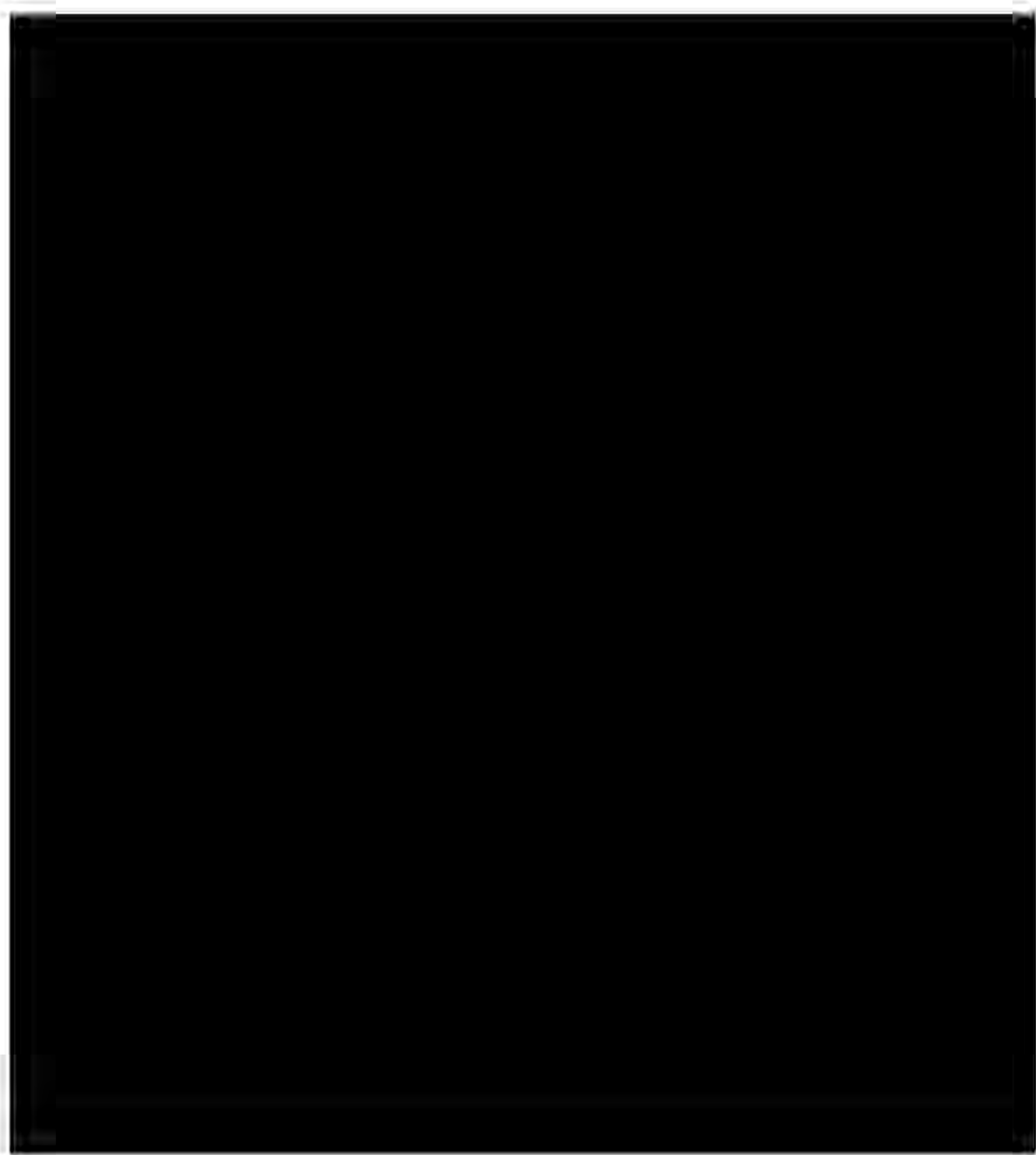
APPENDIX B

Supplier Proposal

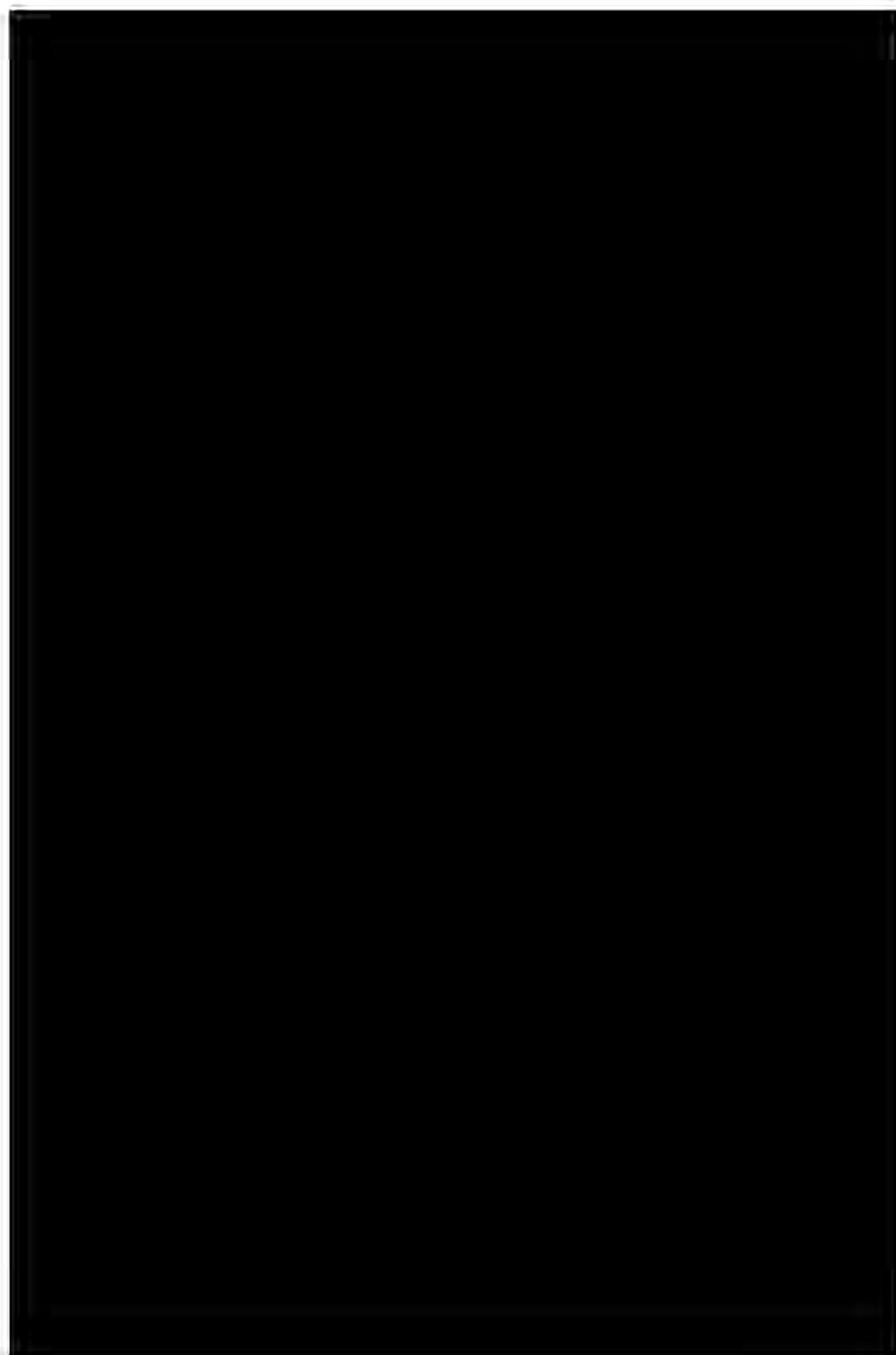


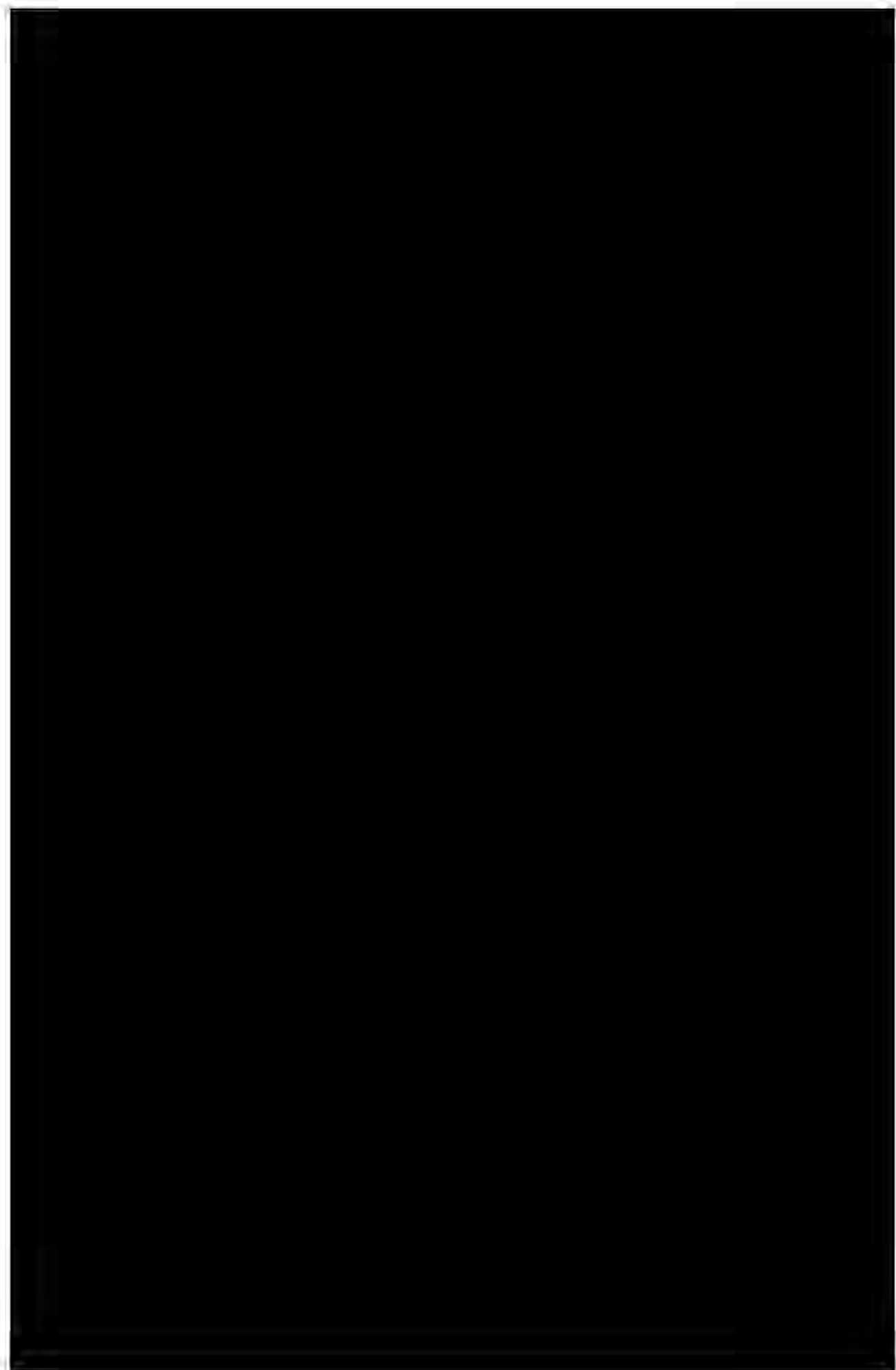


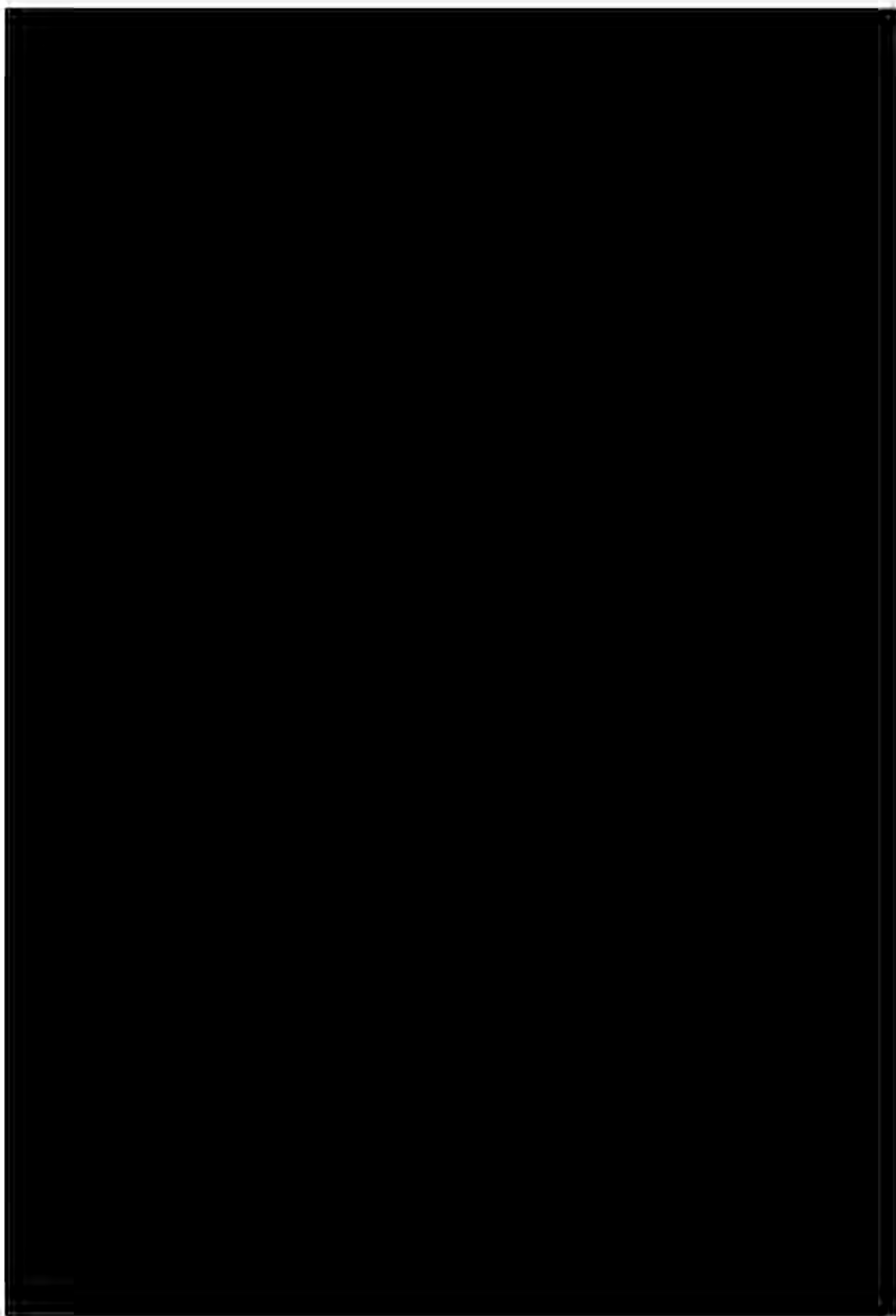


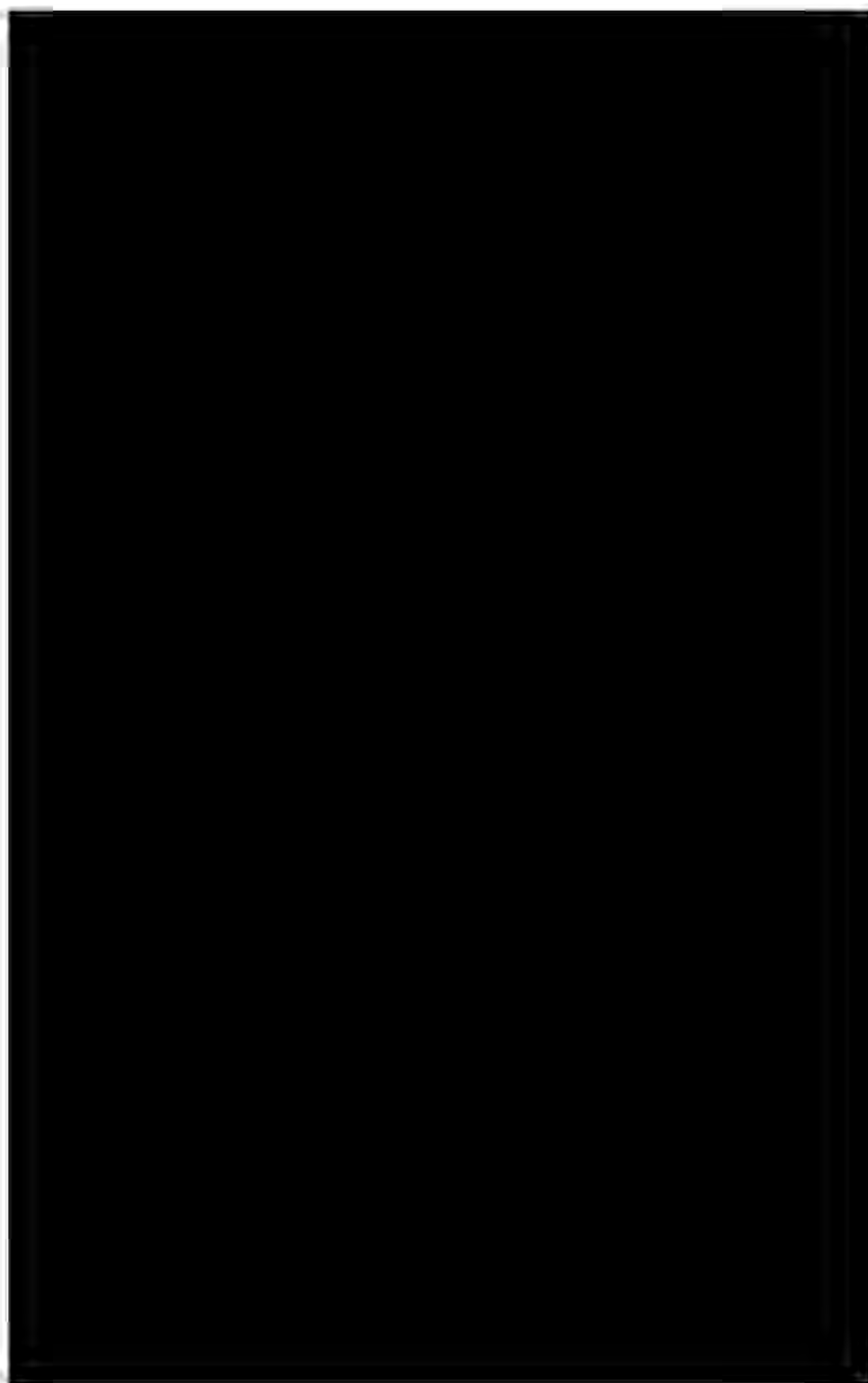


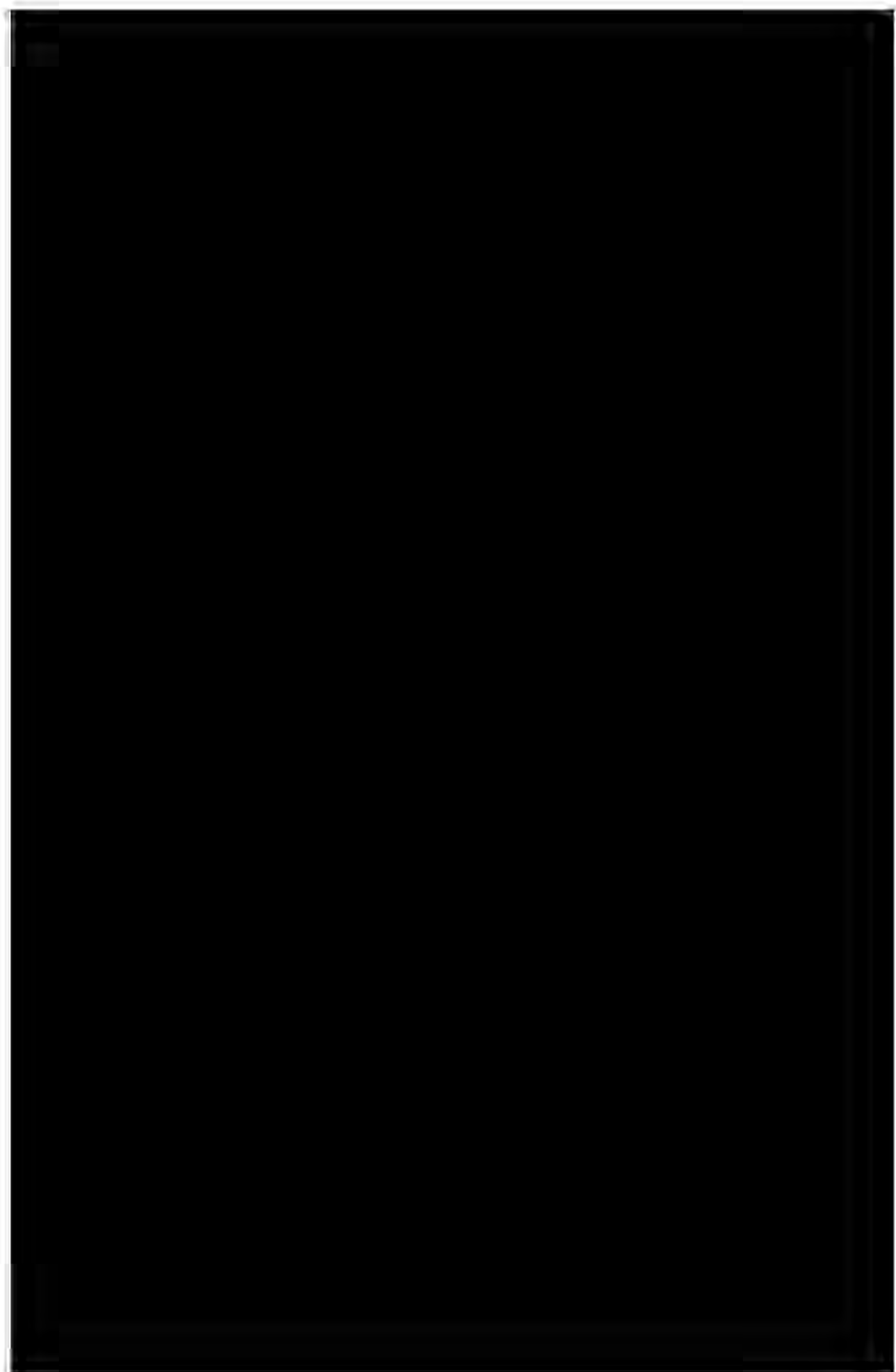


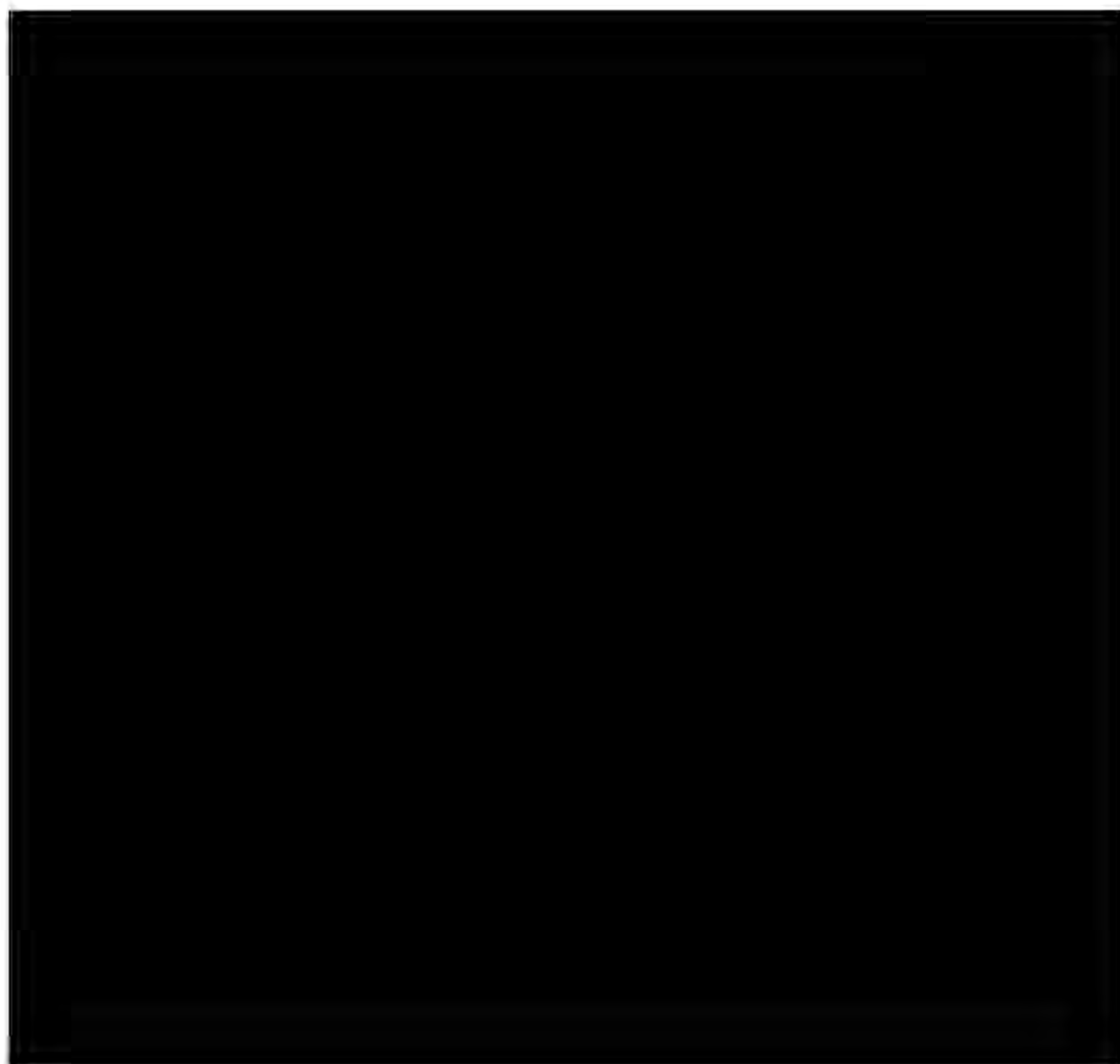


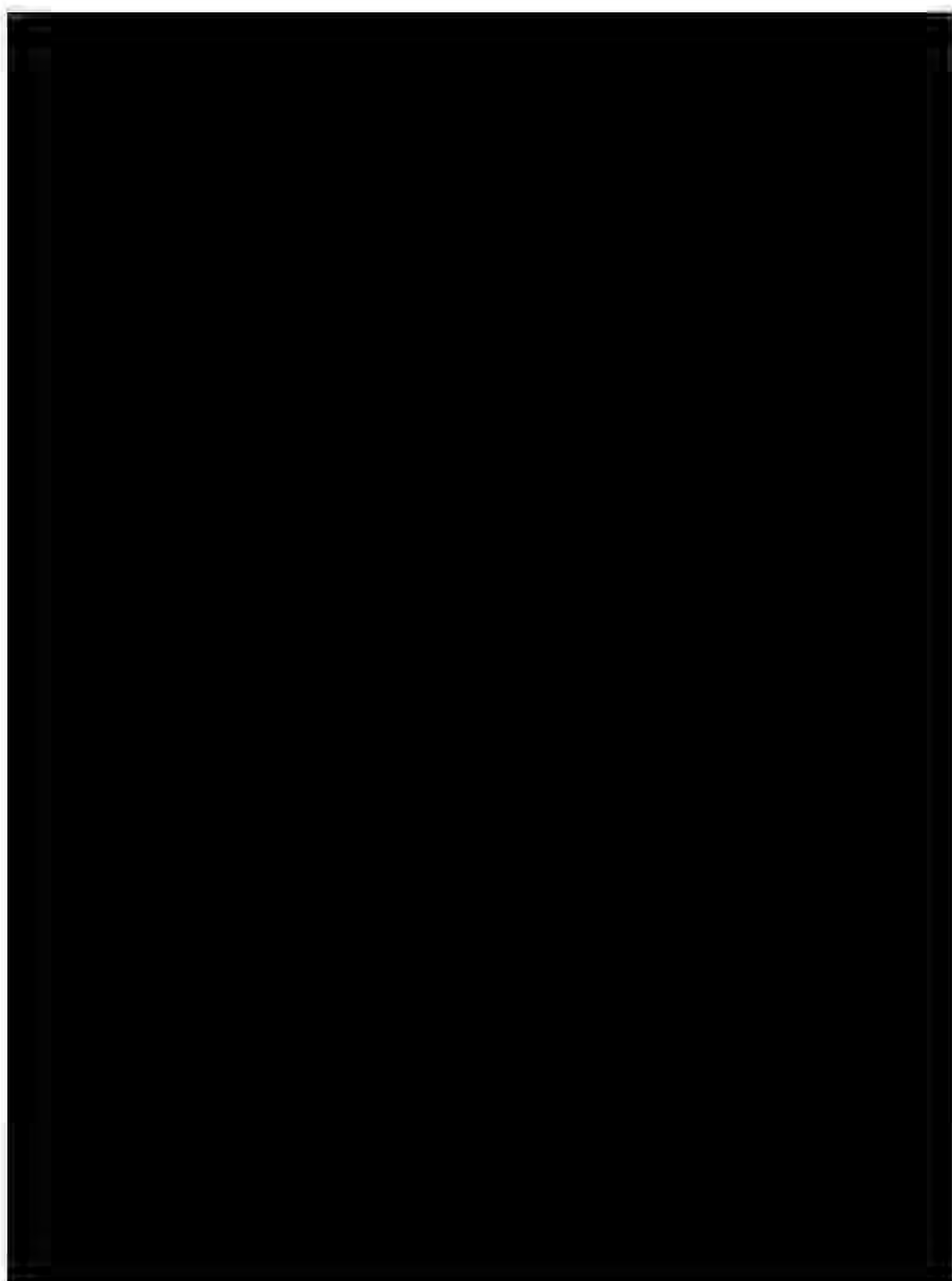


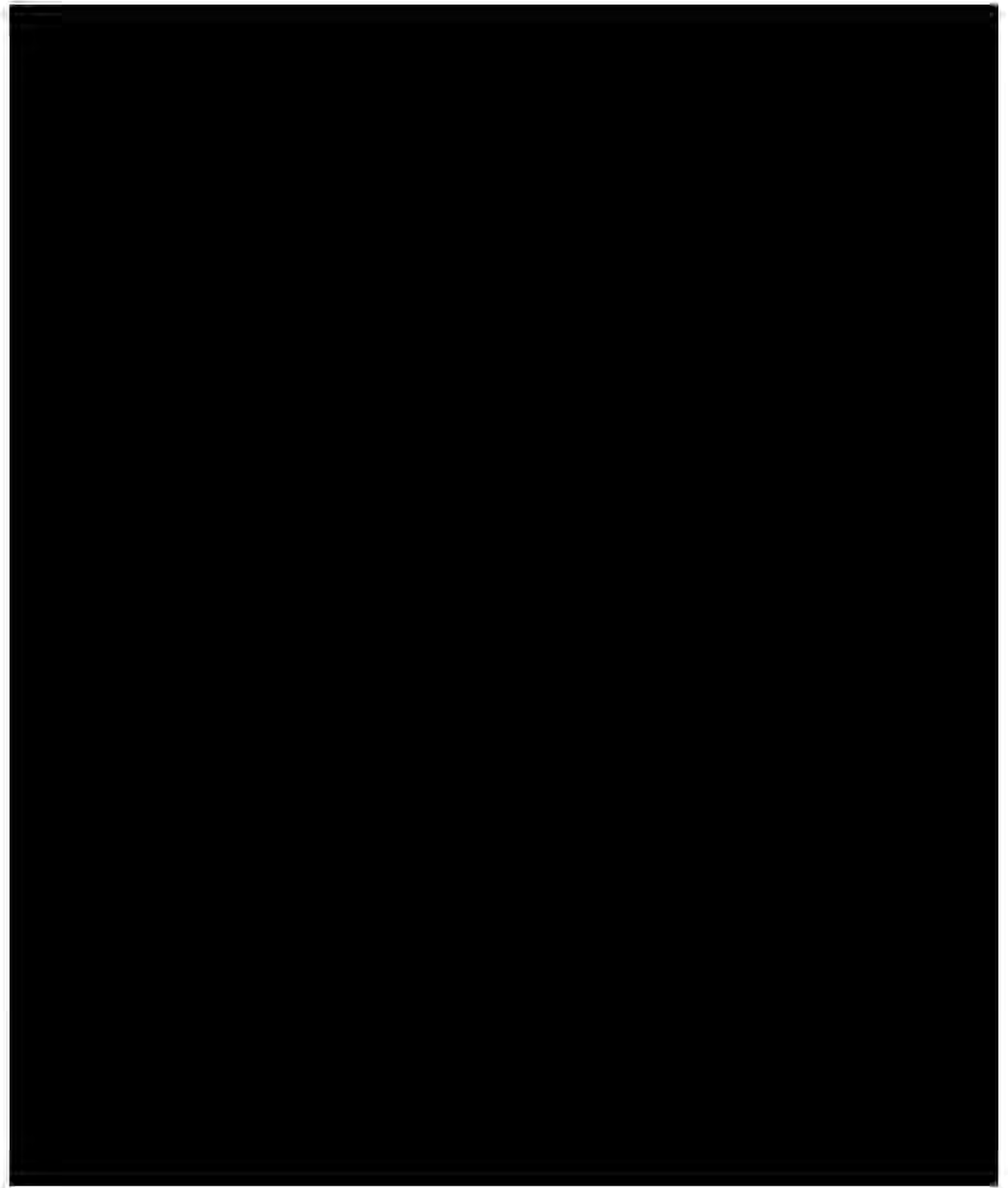




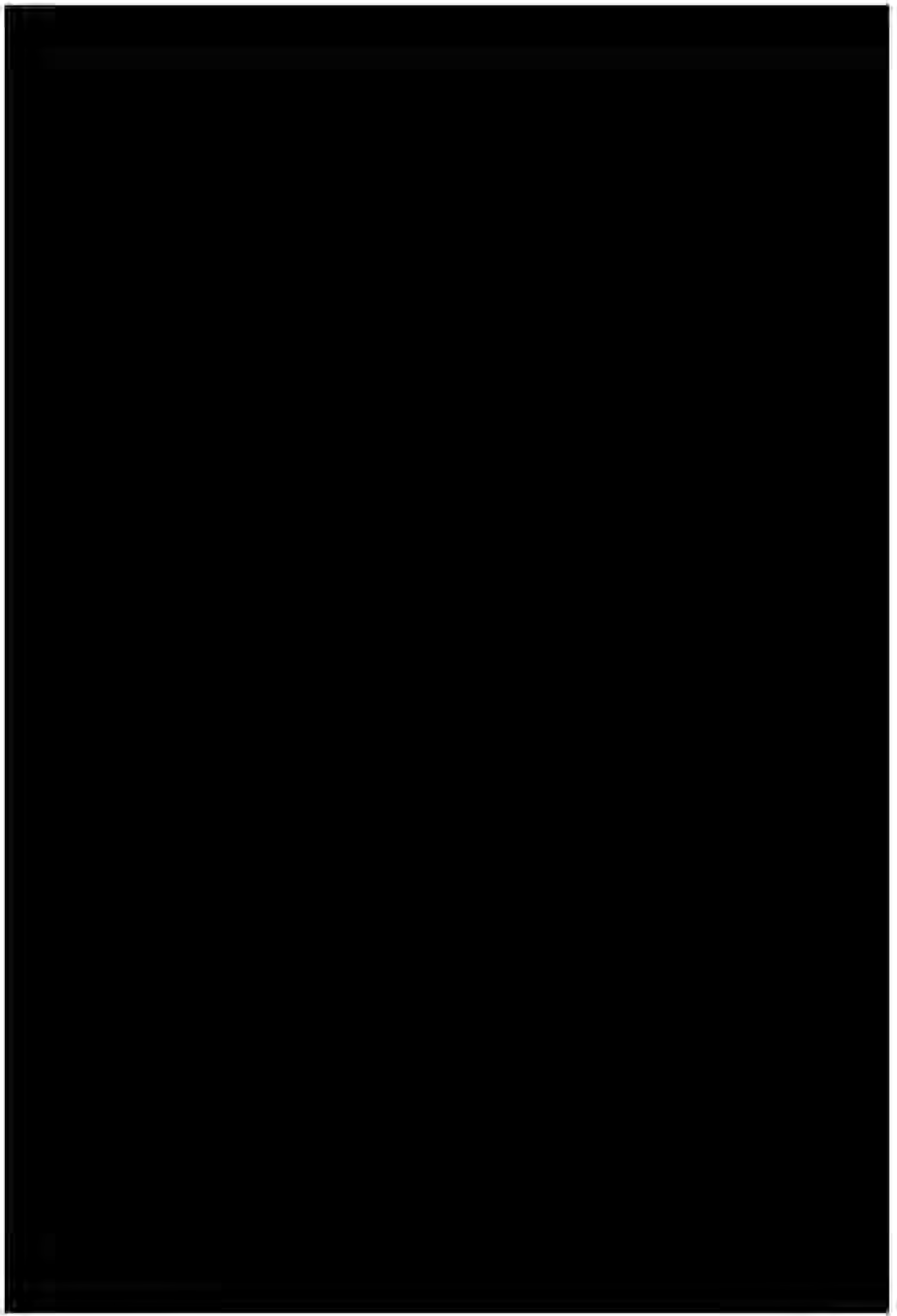


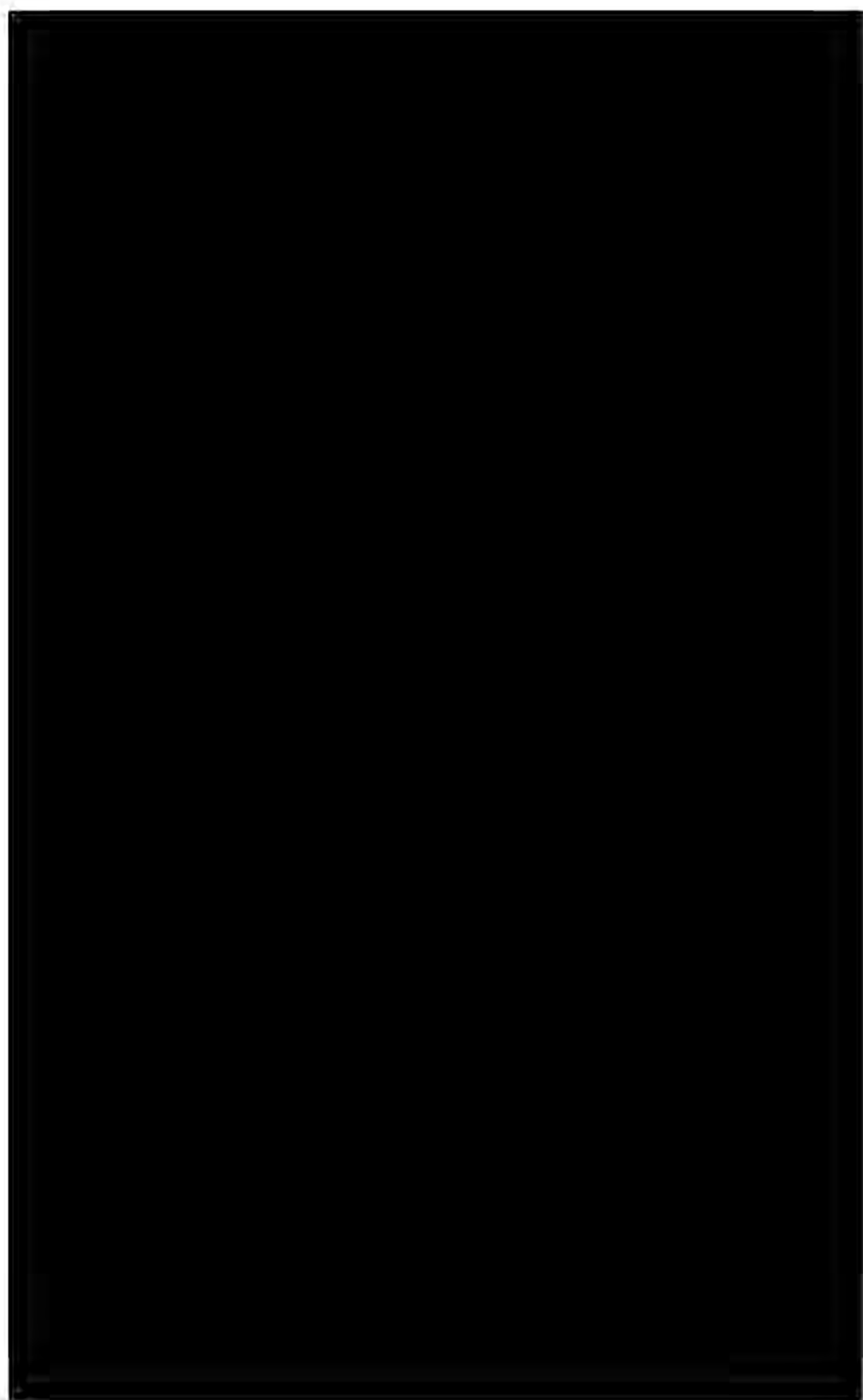


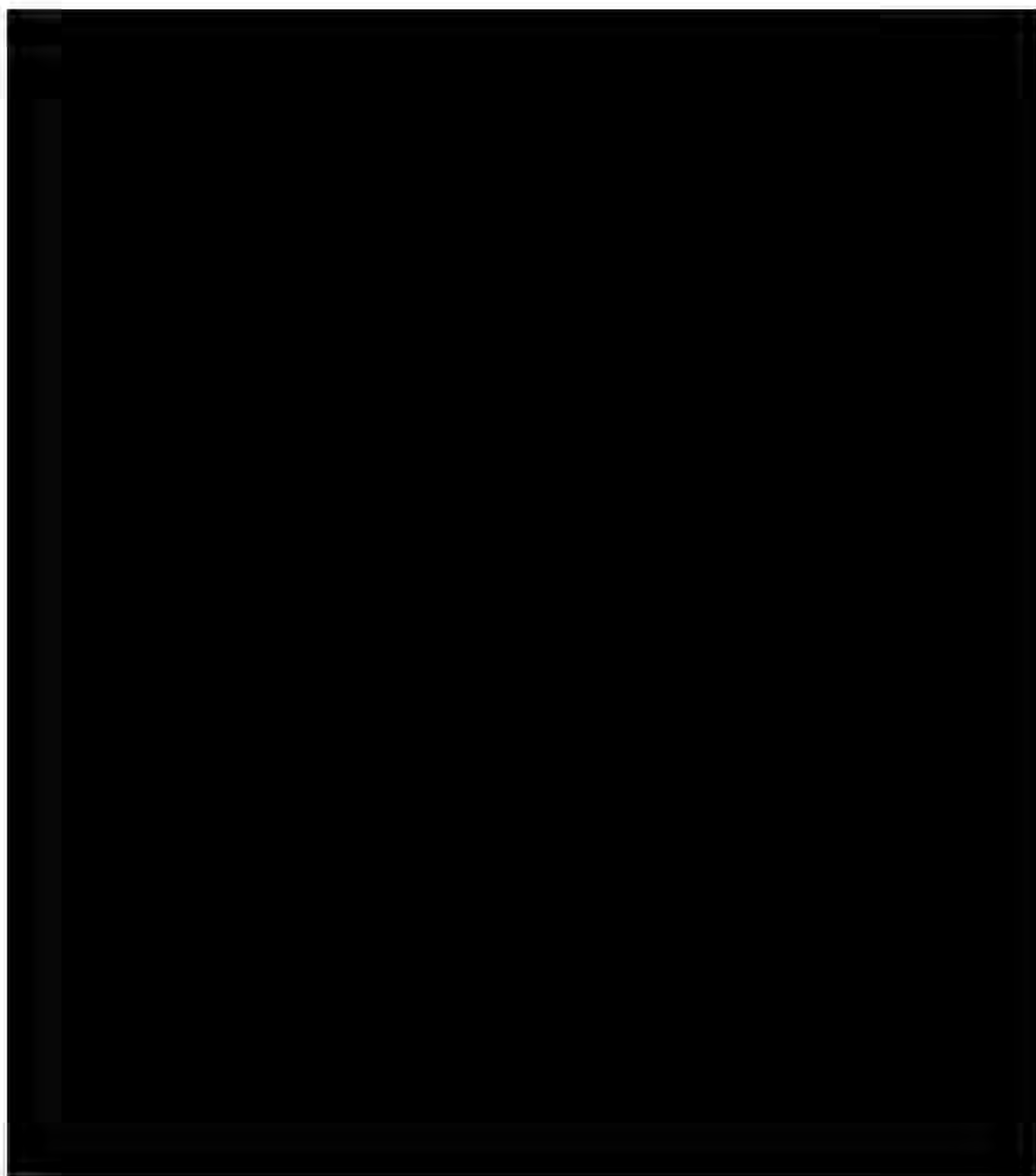


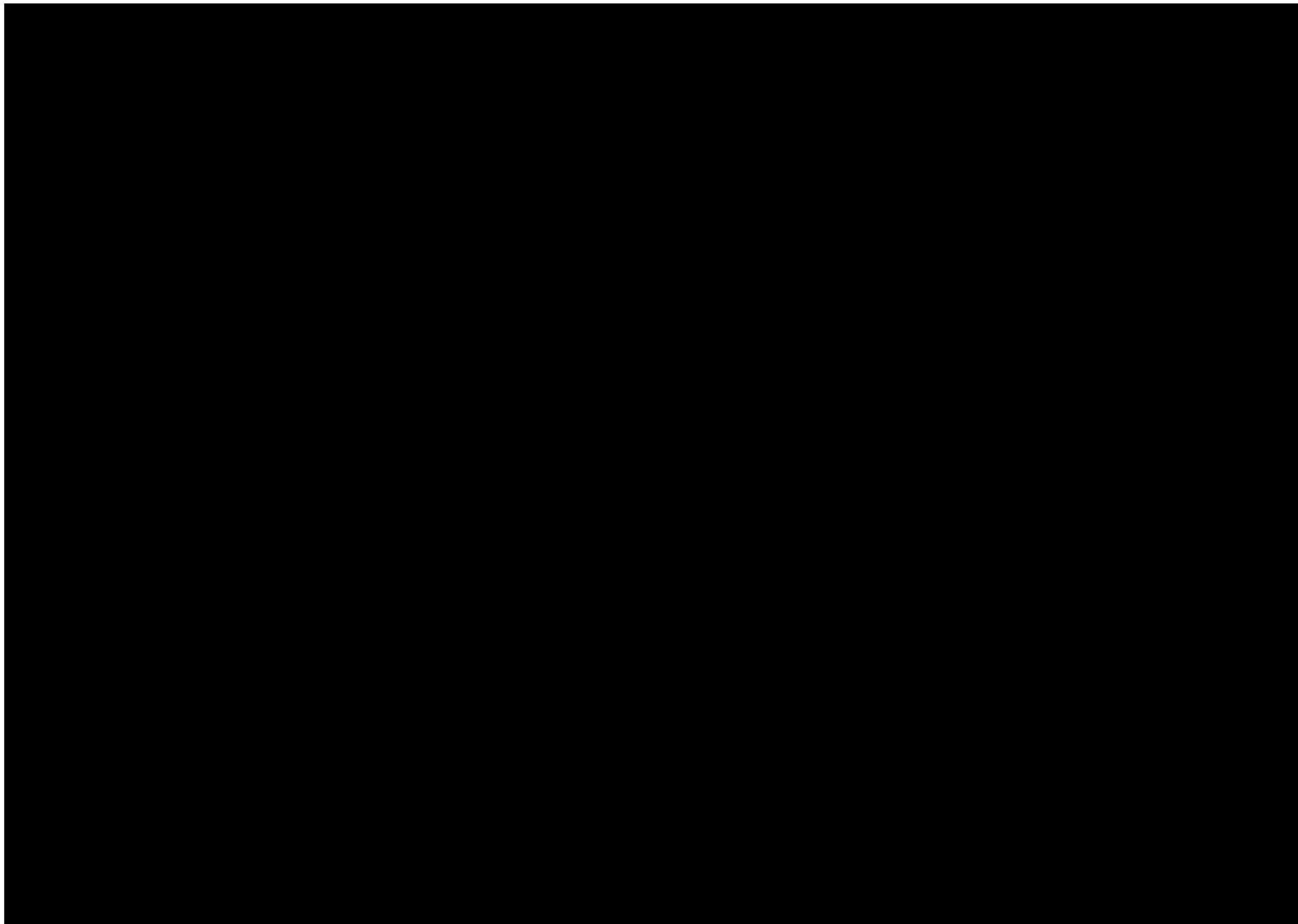












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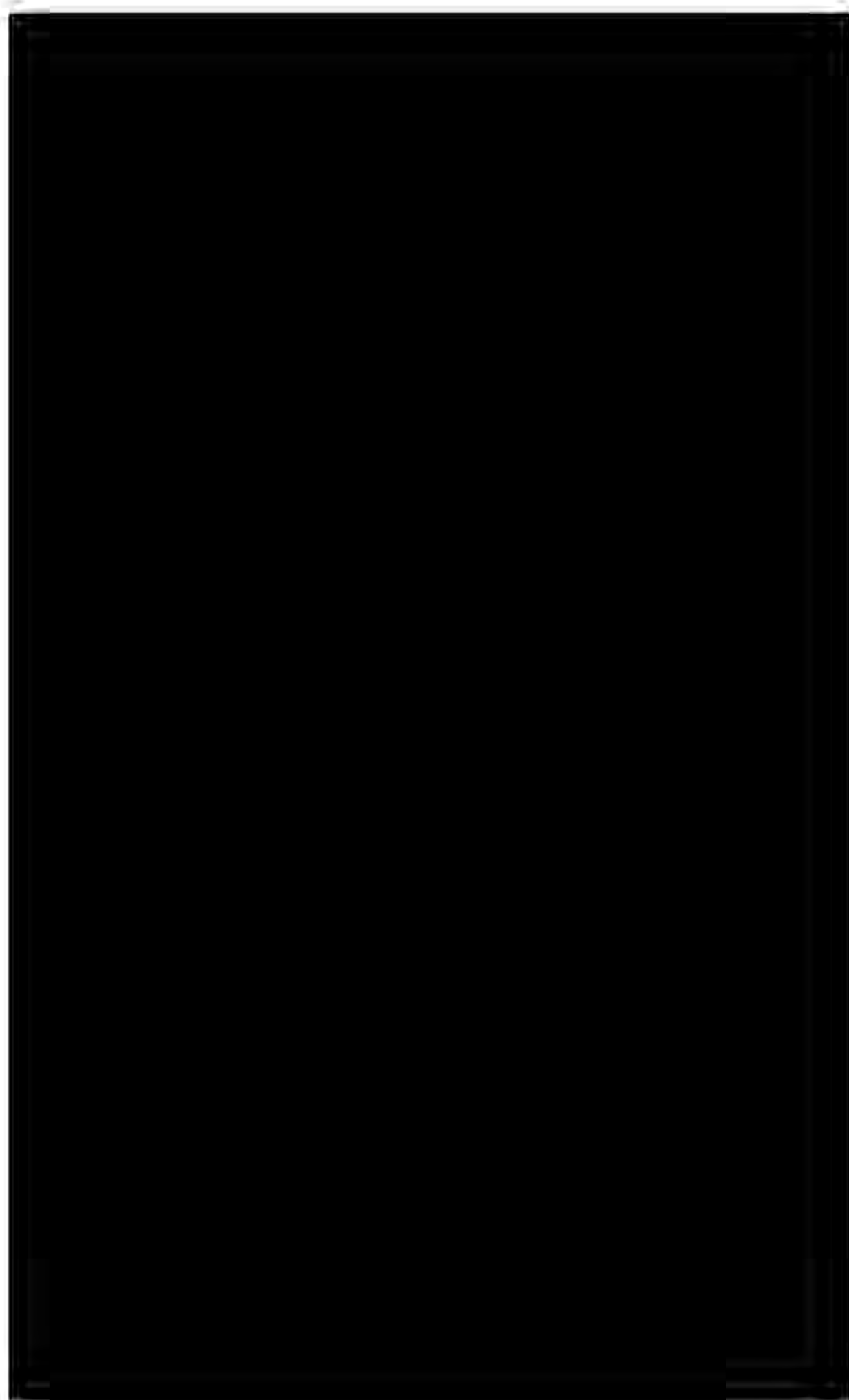
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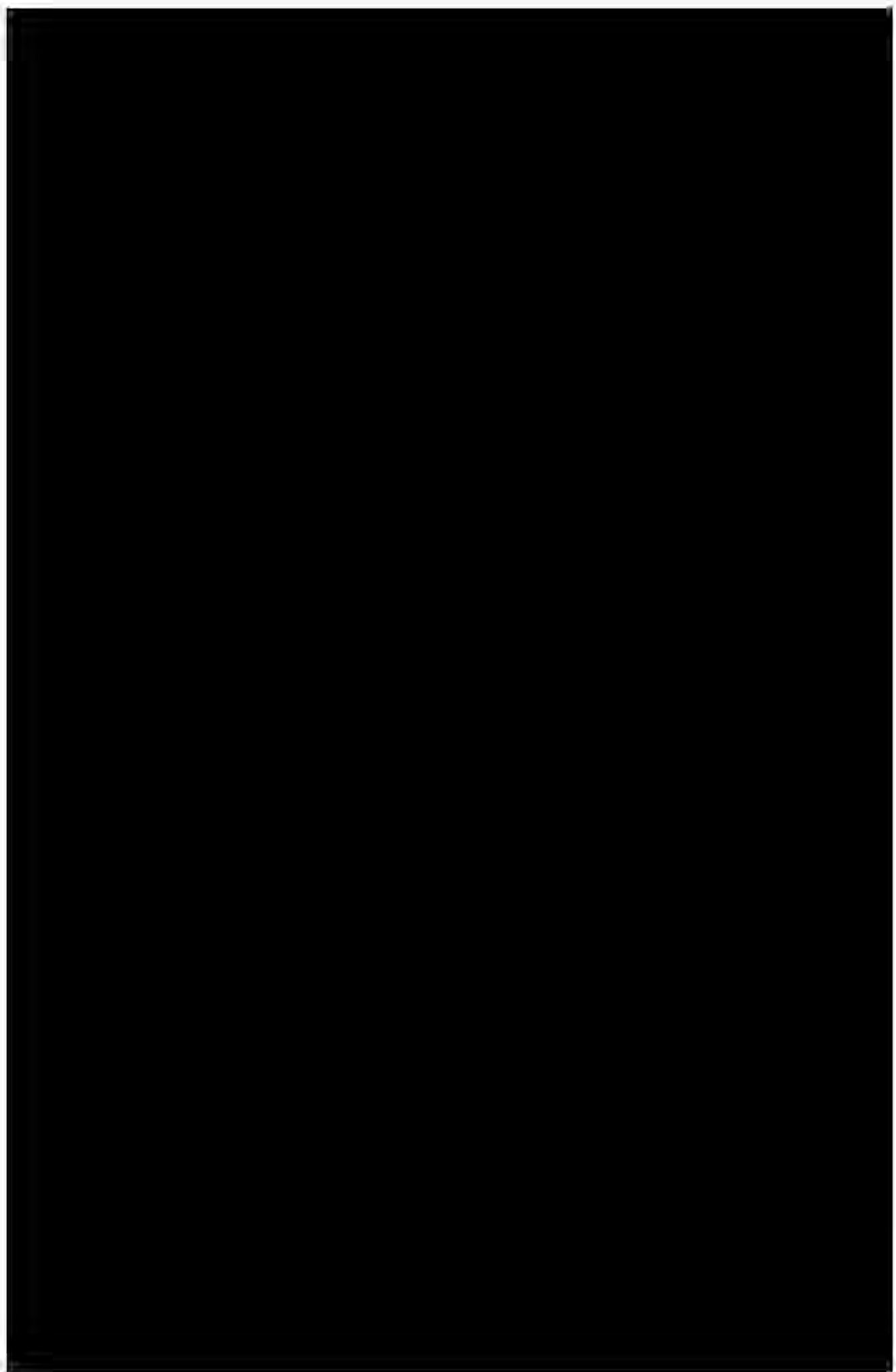
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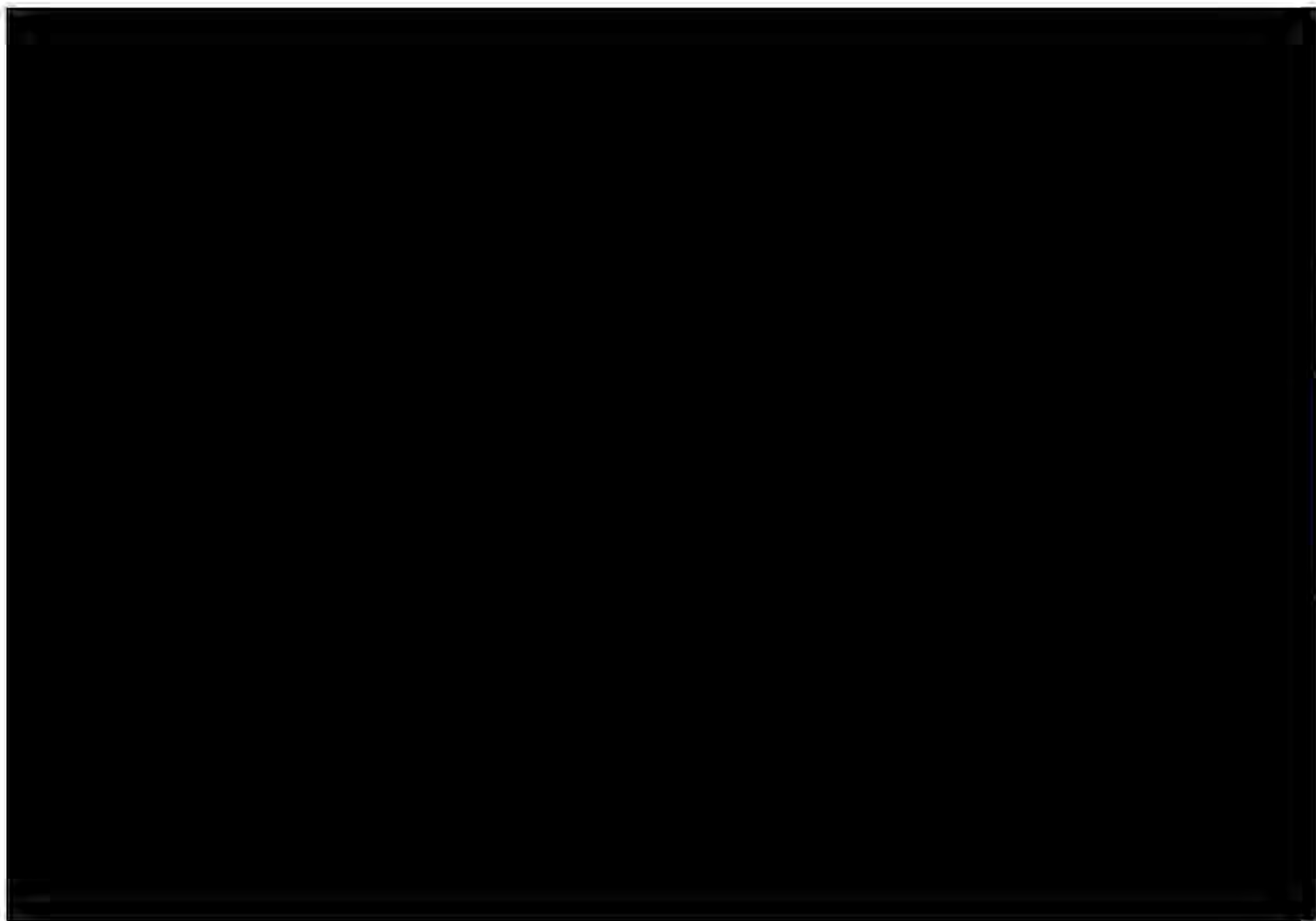
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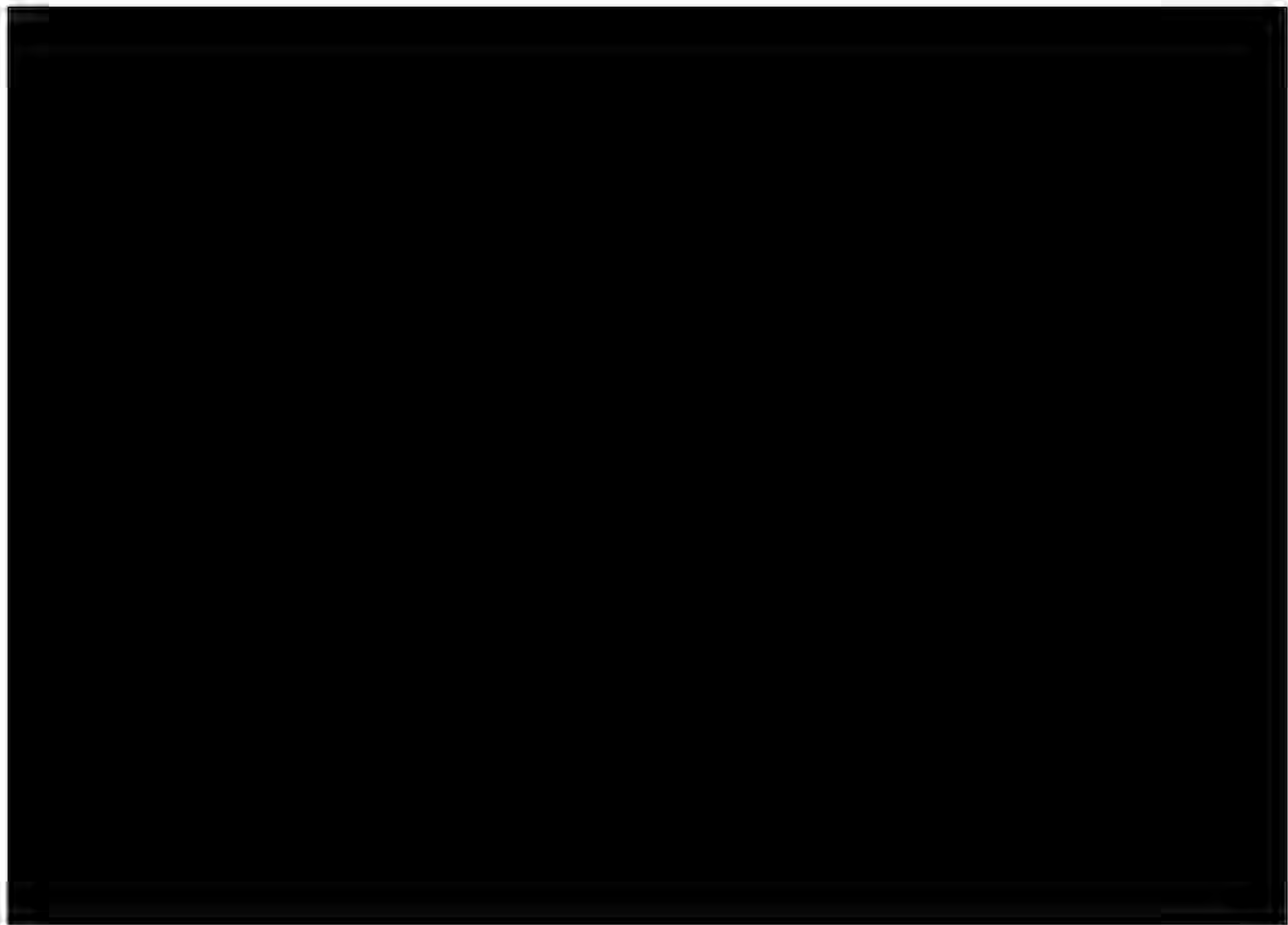
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Part 2: Contract Terms



Contract Terms v6.0