

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 Thursday, 16th 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:	PS21072 – Evaluation of BEIS and UKRI interventions to stabilise the research systems after the onset of Covid-19 RAF084/2021
From:	The Department for Business, Energy and Industrial Strategy (BEIS), 1 Victoria Street, London, SW1H 0ET (" Customer ")
To:	RAND Europe Community Interest Company, Westbrook Centre, Milton Road, Cambridge, CB4 1YG (" Supplier ")

Effective Date:	Thursday, 16 th September 2021
Expiry Date:	Monday 31 st March 2025
	Notice Period of Cancellation is 30 days

Services required:	Set out in Section 2, Part B (Specification) of the DPS Agreement and refined by: the Customer's Project Specification attached at Annex A and the Supplier's Proposal attached at Annex B and the revised deliverable dates in Annex C
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Contract Charges (including any applicable discount(s), but excluding VAT):	<p>The Customer shall pay the Supplier the sum of £319,132.24 excluding VAT for delivery of these Services. For the avoidance of doubt, the Contract Charges shall be inclusive of all third-party costs.</p> <p><u>Payment Schedule</u></p> <ul style="list-style-type: none"> • [REDACTED] ■ [REDACTED] ■ [REDACTED] <p>TOTAL £319,132.24 excluding VAT</p>
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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
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	<p>Additional employers' liability insurance with a minimum limit of £5 million indemnity</p> <p>Additional professional indemnity insurance adequate to cover all risks in the performance of the Contract with a minimum limit of indemnity of £1 million for each individual claim.</p> <p>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</p>
Liability Requirements	Suppliers' limitation of Liability (Clause 18.2 of the Contract Terms);
Special Terms	<p>Break Clause</p> <p>There will be a break clause in the contract for BEIS and UKRI to decide whether to initiate phase 3 on the basis of the outcome of phases 1 and 2</p> <p>On completion of Phase 2 – Friday 30th December 2022</p> <p>If the break clause is initiated, we would expect the contract to draw to a close on Friday 30th December 2022 (providing 30 days notices for termination has been served, as per the terms of the contract).</p>
Customer billing address for invoicing:	<p>All invoices should be sent to should be sent to [REDACTED] or Billingham (UKSBS, Queensway House, West Precinct, Billingham, TS23 2NF).</p>
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.

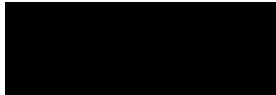
The Parties hereby acknowledge and agree that they have read this letter and the Contract Terms.

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

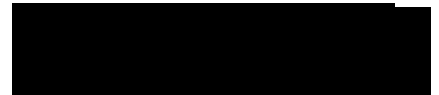
For and on behalf of the Supplier:

For and on behalf of the Customer:

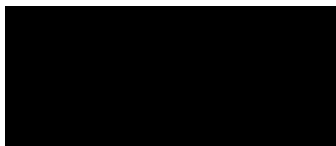
Name and Title:



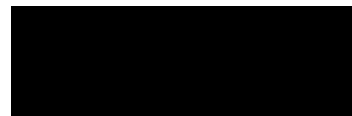
Name and Title:



Signature:



Signature:



Date: 28 September 2021

Date: 29th September 2021

ANNEX A

Customer Project Specification

To be determined by the Customer at Call for Competition stage

1. Background

The Department for Business, Energy and Industrial Strategy

The Department for Business, Energy and Industrial Strategy (BEIS) is building a stronger, greener future by fighting coronavirus, tackling climate change, unleashing innovation and making the UK a great place to work and do business.

More about BEIS's policy objectives and remit is available at:

<https://www.gov.uk/government/organisations/department-for-business-energy-and-industrial-strategy>

UK Research and Innovation

UK Research and Innovation (UKRI) works in partnership with universities, research organisations, businesses, charities and government to create the best possible environment for research and innovation to flourish. Operating across the whole of the UK with a combined budget of more than £8 billion, UKRI brings together the seven Research Councils, Innovate UK and Research England.

More about UKRI's objectives is available at: <https://www.ukri.org/>

BEIS and UKRI's response to Covid-19

BEIS and UKRI have played a critical role in the UK Government's response to the Covid-19 pandemic through launching a variety of policy interventions at pace to address the causes and societal consequences of the pandemic. A key part of the overall BEIS policy response has involved interventions launched with UKRI to stabilise the research and innovation system in light of the disruption and threats to the R&D system caused by the Covid-19 pandemic.

This overall package of interventions has involved interventions targeting, in turn:

- Universities, research organisations and researchers; and
- Businesses involved in research and innovation.

The latter interventions were delivered – and are now being evaluated separately – by Innovate UK, which is part of UKRI.

Scope of this work

This is an Invitation to Tender (ITT) for the evaluation of BEIS and UKRI's efforts to mitigate the impact of the pandemic on the research sector. **The policy scope for this evaluation is, specifically, the set of policy interventions launched by BEIS and UKRI to mitigate the impact of the pandemic on the research and knowledge exchange undertaken by universities, research organisations, research funders and researchers and does not include support given directly to businesses.** For full context, UKRI has also responded to Covid-19 by supporting research and innovation aimed directly at improving understanding of and/or ability to address the Covid-19 virus itself, however, these interventions are also not in scope of this evaluation.

Research stabilisation policy aims and specific interventions in scope of this evaluation (see Annex 1 for description of interventions)

The interventions made by BEIS and UKRI to stabilise the research sector over the course of the pandemic were taken in response to specific identified issues and, as such, have unique policy aims and different intended impacts. Collectively, these interventions aimed to protect research and knowledge exchange capacity and capability within the sector, as part of a wider strategy to ensure the research and innovation system as a whole is in a strong position to support the economy and society's recovery from Covid-19. The interventions launched to date which are in scope of this evaluation are:

- Sustaining University Research Expertise (SURE)
- UKRI Grant Extension Allocations
- UKRI Doctoral Extensions
- UKRI Covid-19 Institute Support Fund in FY 20-21
- Repurposing support for small, specialist institutions
- Covid-19 support for BEIS sponsored Public Sector Research Establishments
- Additional funds for the National Academies to distribute to researchers they support
- Additional capital funding for English HEIs through UKRI (Research England) as part of a boost to World Class Laboratory funding which could be used to support Covid mitigation alongside general maintenance requirements.
- Changes in existing UKRI programmes to increase flexibility or reduce administrative burden, including:
 - Bringing forward £100m of Quality-related research (QR) funding (previously allocated rather than new, additional funding) to eligible higher education institutions (HEIs) in England for the academic year 2019-20;
 - Allowing UKRI grant-holders to apply with greater ease for a no-cost extension as a result of adverse impacts of Covid-19 on their research, increasing the period before which fellowships and grants have to start from 3 to 6 months, extending application and assessment periods for ongoing grant rounds and agreeing funding reprofiles for affected major projects supported through UKRI cross cutting programmes like ISCF
 - Postponing the timing of the Research Excellence Framework (REF) exercise
 - Temporarily exempting UKRI-funded students from mandatory annual outcome reporting as part of the terms of their studentship and relaxing conditions around sick leave for illness caused by the pandemic and for those who have had to shield
- Targeted guidance or communications from Government aimed at this sector and often to supplement economy wide guidance – e.g. guidance on how to implement safe working in a laboratory setting.

A description of each of the above interventions, including the amounts of funding awarded to different organisations where relevant, is included in **Annex 1** of ITT. These are the interventions taken so far with a direct aim of stabilising the research sector. The impact of Covid on the research and innovation system is still unfolding, as is the Government's – and BEIS and UKRI's – policy response. **It is therefore possible that there could be further interventions as part of efforts to stabilise the research sector over the coming months. Any such interventions will form part of the policy scope of this evaluation to be agreed (and fixed) within the first few weeks of project inception.**

Interventions not directly in scope, but which will need to be taken into account through this evaluation

UKRI also launched a set of interventions aimed directly at improving understanding of and/or ability to address the Covid-19 virus itself including for example the Covid-19 Open Call. These interventions have different policy aims to the stabilisation policies and are not in scope of this

evaluation. It possible these interventions, through awarding funding to organisations to conduct research and innovation into Covid-19, had a 'stabilising' effect, however this is assumed to be minor. Nonetheless, the appointed evaluator will be required to consider the possible 'indirect' impacts of these interventions in terms of helping to stabilise the research sector, or otherwise justify why they are assumed to be negligible.

UKRI also launched a set of interventions, through Innovate UK, designed to support business-led research and innovation activity and capacity in light of the impact of the Covid-19 pandemic. These interventions are part of a wider strategy to support the entire research and innovation system through the pandemic, and ensure it is in a strong position to support the economy and society's recovery from Covid-19. While these policies are not directly in scope of this evaluation – in as much as this evaluation should not seek to evaluate their effectiveness or impact – they are complementary to the stabilisation policies targeted at the research sector. The evaluator will therefore need to account for whether – and if so, how – the business-focused Covid-19 stabilisation policies have interacted with and/or supported or enabled the delivery or impact of the university- and research organisation-focused stabilisation policies which are directly in scope of this evaluation.

A number of other Government, economy-wide policies relating to Covid-19 will have supported or impacted the research sector during the pandemic, including for instance:

- **Coronavirus Job Retention Scheme (CJRS)** which universities and other research organisations were able to apply for under circumstance announced by the Government here: <https://www.gov.uk/government/publications/coronavirus-job-retention-scheme-guidance-for-research-organisations/coronavirus-job-retention-scheme-supplementary-guidance-for-research-organisations>.
- **Coronavirus Business Interruption Loan Schemes (CLBILS)** and **COVID-19 Corporate Financing Facility (CCFF)**, which universities and other research organisations were able to apply for if they met the eligibility criteria for these schemes. More information on HE eligibility for these scheme is set out here: <https://www.gov.uk/government/publications/coronavirus-covid-19-financial-support-for-education-early-years-and-childrens-social-care/coronavirus-covid-19-financial-support-for-education-early-years-and-childrens-social-care#higher-education>

The objective of this evaluation is not to evaluate the effectiveness or impact of any economy wide Government policies; instead the evaluator will need to ensure, as far as possible, that these policies' impacts or contribution towards the aims or impacts of the research stabilisation policies are taken into account (and ideally any impacts isolated and removed). This will involve considering for instance how other policy interventions (e.g. CJRS) supported or enabled (or clashed with) the aims of the research stabilisation policies. We hope to gain access to the data revealing which organisations successfully accessed the CJRS to support this evaluation, however, given this is not yet confirmed, bidders' proposed methodology should set out how they would overcome not having access to this data.

Finally, the **policy scope of this evaluation does not extend to those policies announced by the Devolved Administrations, other government research funders (e.g. NIHR) or other non-public sector UK research funders with the intention of stabilising the research system following the onset of the pandemic**. Again, these interventions will need to be taken into account in the course of evaluating the effectiveness and impacts of the measures which are directly in scope of this evaluation. Note that universities and research organisations located within Scotland, Wales and Northern Ireland are in scope if they were in receipt of at least one part of the support listed above (some of which is UK wide).

Taken together, there is a diverse set of organisations in scope for this research and evaluation project, but the target population for any primary research is restricted to those organisations that received at least one part of the BEIS and/or UKRI support package described above. This includes:

1. All higher education institutions in receipt of one of the stabilisation interventions
2. Other research organisations who received the UKRI Grant Extension Allocation/UKRI Doctoral Extensions funding / Institute Support Fund/ World Class Laboratories Fund
3. BEIS funded PSREs (Met Office, UKAEA and NPL)
4. BEIS National Academies (that received BEIS funded talent programmes offering fellowships from post doc level to senior researchers)
5. Support to other research funders (funding to be announced; contractors will receive further information)

2. Aims and Objectives of the Project

Aims of this evaluation

BEIS and UKRI are committed to undertaking rigorous evaluations of their policy and delivery interventions to understand their impact, learn lessons to improve future policy and service design, and assess taxpayer Value for Money. The Covid-19 pandemic was an unforeseen and, in many ways, unprecedented event, which required the Government to respond in particularly agile fashion to address the short- and longer-term societal consequences of the virus outbreak. The interventions launched by BEIS and UKRI to stabilise the research sector were novel and designed/delivered at pace in an uncertain and changing context, and so there is a valuable opportunity to find out the impact of Covid-19 on the organisations in scope and their workforce, the extent to which BEIS/UKRI mitigated this impact, and to learn lessons to inform policy making and design in future.

We are keen to evaluate the *process and design* of the BEIS/UKRI interventions, at the same time as their *emerging* impact to build evidence and understanding to inform near-term policy decisions. We are also keen to assess the *longer-term* impact on the research sector and its contribution to the UK's post-Covid recovery; and judge the Value for Money of the stabilisation interventions but recognise this demands a more careful approach and requires time for the full impact to become evident. We have therefore structured this evaluation in three distinct phases, with a break-clause that sits between phases 2 and 3, with distinct (but joined up) aims, as follows:

The aims of **Phase 1** (which runs from June '21 through to end November '21) are to:

- Understand how effectively BEIS and UKRI designed and delivered the various policies to stabilise the research sector in the face of Covid-19, and how they were received by the research community;
- Identify lessons and wider learning from this experience that can help to inform future 'business-as-usual' policy and funding interventions and BEIS and UKRI's response to shocks or crises that require a form of rapid response and/or intervention;
- Assess the impact of Covid-19 to date (from the onset of Covid-19 to Summer 2021) on the research activity of the universities and research organisations targeted by BEIS and UKRI stabilisation interventions including impacts on Equality Diversity and Inclusion (EDI) for groups protected by the Public Sector Equality Duty; and
- Assess the initial and emerging impact (progress towards meeting original policy objectives), in relative terms and collectively, of the BEIS and UKRI research stabilisation interventions (from the onset of Covid-19 to Summer 2021).

The aims of **Phase 2** (which runs from November '21 through to end October '22) are to:

- Update and expand our initial understanding (reached during completion of Phase 1) of the impact of the BEIS and UKRI research stabilisation interventions (progress towards meeting original policy objectives), taking into account new evidence and impacts visible by Summer 2022 including impacts on Equality Diversity and Inclusion (EDI) for groups protected by the Public Sector Equality Duty; and
- Design and plan a robust approach to evaluating the BEIS and UKRI research stabilisation interventions in Phase 3 in order to deliver against the aims of Phase 3 (as set out below).

The aims of **Phase 3** (which is a discretionary phase which would run from November '22 through to end March '25) are to:

- Understand the overall, wider impact of the BEIS and UKRI research stabilisation interventions, in relative terms and collectively, on system capacity and capability, and the resulting difference this made to the UK's recovery from Covid-19;
- Judge whether the interventions met their original objectives; and
- Assess the Value for Money of the interventions

Research and evaluation questions to be addressed through the project

Questions to be addressed through the process evaluation (Phase 1)

Overarching process evaluation question:

- How effectively designed, coordinated, delivered and used were BEIS and UKRI's efforts to stabilise the research system in the face of Covid-19, how were these efforts received by the research community, and what are the lessons learned?

Supplementary process evaluation questions (indicative, to be refined and agreed with the appointed contractor):

- How were the stabilisation interventions designed, coordinated and delivered by BEIS and UKRI? What were the roles of BEIS and UKRI in this process, and how did they work together and work with others across government? How were decisions taken, and what was the evidence underpinning them?
- To what extent did the response need to (and how did it) flex as the impact of the pandemic on the research sector unfolded? Was it timely and what was the consequence of this on research organisational decisions? How effective were actions and processes put in place by BEIS and UKRI to monitor the policies?
- Did the interventions address the needs and wants of recipients? How, and how effectively, did BEIS and UKRI engage with recipients? What needs of institutions and individuals in the research system remain unmet despite these measures?
- What actions were required in order to apply for, receive and administer funding support? (How) could the process have been simplified or improved while still meeting the requirements of Managing Public Money?
- Which people and projects a) applied for b) received or c) benefitted from support, including for example: researcher career stage, research disciplines, organisational types/characteristics (including geographic location), projects co-funded by business and charity research etc? How does this compare to expectations?

- How did interventions affect Equality Diversity and Inclusion (EDI), including for groups protected by the Public Sector Equality Duty? What other, wider diversity impacts were there, for example relating to researcher working patterns or styles, socioeconomic background, preferred research methodologies, etc.?
- How have the interventions been used by the recipients, and what has this allowed them to do (in the initial instance) that they would not otherwise have been able to?
- Where interventions allowed for a degree of flexibility over how funds might be used, how were resource allocation decisions made?
- How does (i) the level of demand for the support provided and (ii) the way interventions were used by recipients in practice compare to original expectations, and what does this imply about whether policy objectives have been met? Why was take-up in some cases (e.g. SURE) lower than anticipated?
- How were the stabilisation interventions perceived by a) their key audiences (universities, research organisations and researchers) and b) other relevant stakeholders? Were they considered timely? How (did) they interact with other policy interventions (e.g. the Coronavirus Job Retention Scheme), action by other funders (including in the Devolved Administrations), or indeed actions by research organisations themselves?
- What are the key lessons for BEIS and UKRI, both in terms of (i) potential improvements to 'business as usual' policy and funding processes and (ii) how to respond effectively to future shocks to the system or crises where some form of rapid intervention is required?

Questions to be addressed through the impact evaluation (Phases 1-3)

Questions concerning the impact of Covid-19 on universities and research organisations (to be tackled as part of Phase 1, and updated in light of further data in Phase 2)

- What (financial and wider) impact has Covid-19 had so far on research and knowledge exchange activity and capacity in the universities and research organisations in scope of the BEIS and UKRI stabilisation interventions?
- How did research organisations and universities make decisions over where to target resources and what research to protect (i.e. deciding which areas of research to protect first, how to re-organise and re-allocate resources, new ways of working)? How did BEIS/UKRI interventions influence these decisions?
- What have been the outcomes to date of those decisions, for example on research employment, number and coverage of research projects remaining active versus being paused, key partnerships in place, and impacts on these organisations' strategies and priorities more fundamentally?

Questions concerning the impact of the stabilisation interventions on the universities and research organisations supported (to be tackled initially as part of Phase 1 and again through Phase 2 in light of fresh evidence)

- Taking into account what would have likely happened in the absence of the research stabilisation interventions, as well as the range of other factors have affected researcher activity and capacity since the onset of the Covid-19 pandemic, what has been the impact to date of the research stabilisation interventions, in relative terms and collectively, on:
 - Research and knowledge exchange **activity**, including the level and type of activity undertaken within (and where relevant, beyond) the universities and research organisations supported; and

- Research and knowledge exchange **capacity**, including for example researcher and technical jobs, collaboration networks, research infrastructure, etc within (and where relevant, beyond) the universities and research organisations supported?

Questions concerning the development of a robust framework for evaluating the overall, wider impact of the stabilisation interventions (to be tackled as part of Phase 2)

- Building on what has been learned so far through Phase 1 and Phase 2 of this study, what is an appropriate and robust evaluation methodology to assess the overall, wider impact of the stabilisation interventions on the research system and its contribution to the post-Covid recovery, judge whether the interventions met their original objectives and assess their Value for Money?

To develop the evaluation framework, the research questions are:

- What are the key relevant questions to be tested as part of the evaluation?
- What research method(s) are most appropriate and deliverable in practice for these evaluation questions?
- What are the key challenges for a future potential contractor(s) in undertaking the proposed evaluation on behalf of BEIS and UKRI and how would these be overcome?
- What intervention and other data (including administrative data) is available to address the impact evaluation questions – also flagging data that could be collected or made available?
- What types of expertise would be required from potential contractors to fulfil the requirement of the overarching evaluation?
- What is the justification for the proposed approaches as compared with other alternatives?
- How can an appropriate counterfactual be identified in order to understand the impact of BEIS' response?
- What is the most appropriate timing of the final impact evaluation (taking into account dataset lags, such as HESA and TRAC data, and the balance of leaving enough time but not too much time to identify impact)?

Questions concerning the overall, wider impact of the stabilisation interventions on the research system and its contribution to the post-Covid recovery (to be tackled as part of Phase 3)

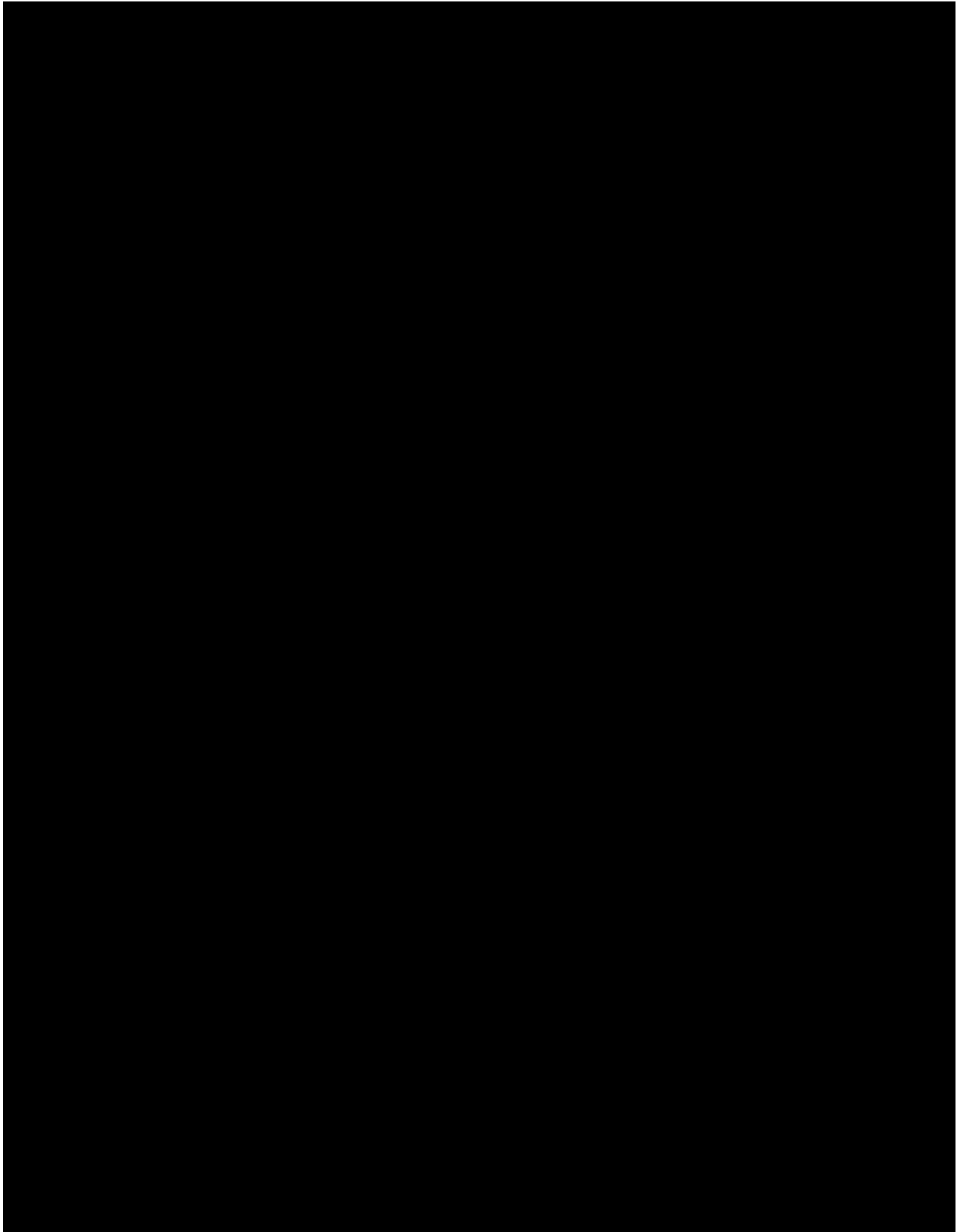
- Taking into account what would have likely happened in the absence of the research stabilisation interventions, as well as the range of other factors have affected researcher activity and capacity since the onset of the Covid-19 pandemic, what was the overall, wider impact of the BEIS and UKRI research stabilisation interventions, in relative terms and collectively, on:
 - Research and knowledge exchange **activity** undertaken throughout the research system as a whole, including the levels of different types of activities undertaken across different parts of the system
 - Research and knowledge exchange **capacity** throughout the research system as a whole, including the levels of different types of capacity across different parts of the system
- What difference did the BEIS and UKRI research stabilisation interventions make to the research sector's ability to contribute to the UK's recovery from Covid-19;
- Taking into account all the evidence gathered and analysed through this evaluation, (to what extent) were the policy objectives met?

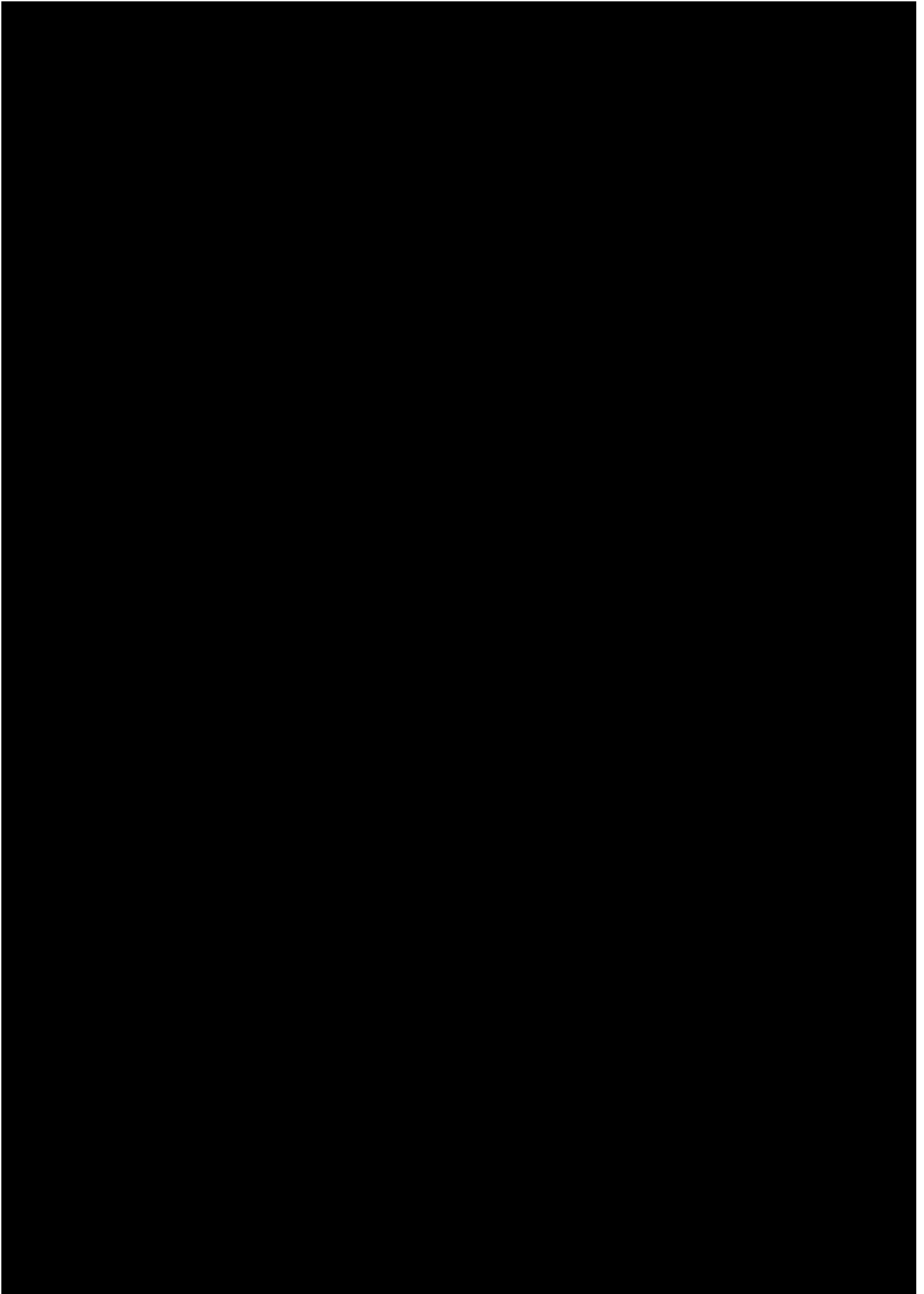
- Taking into account all the evidence gathered and analysed through this evaluation, (to what extent) were the interventions Value for Money?

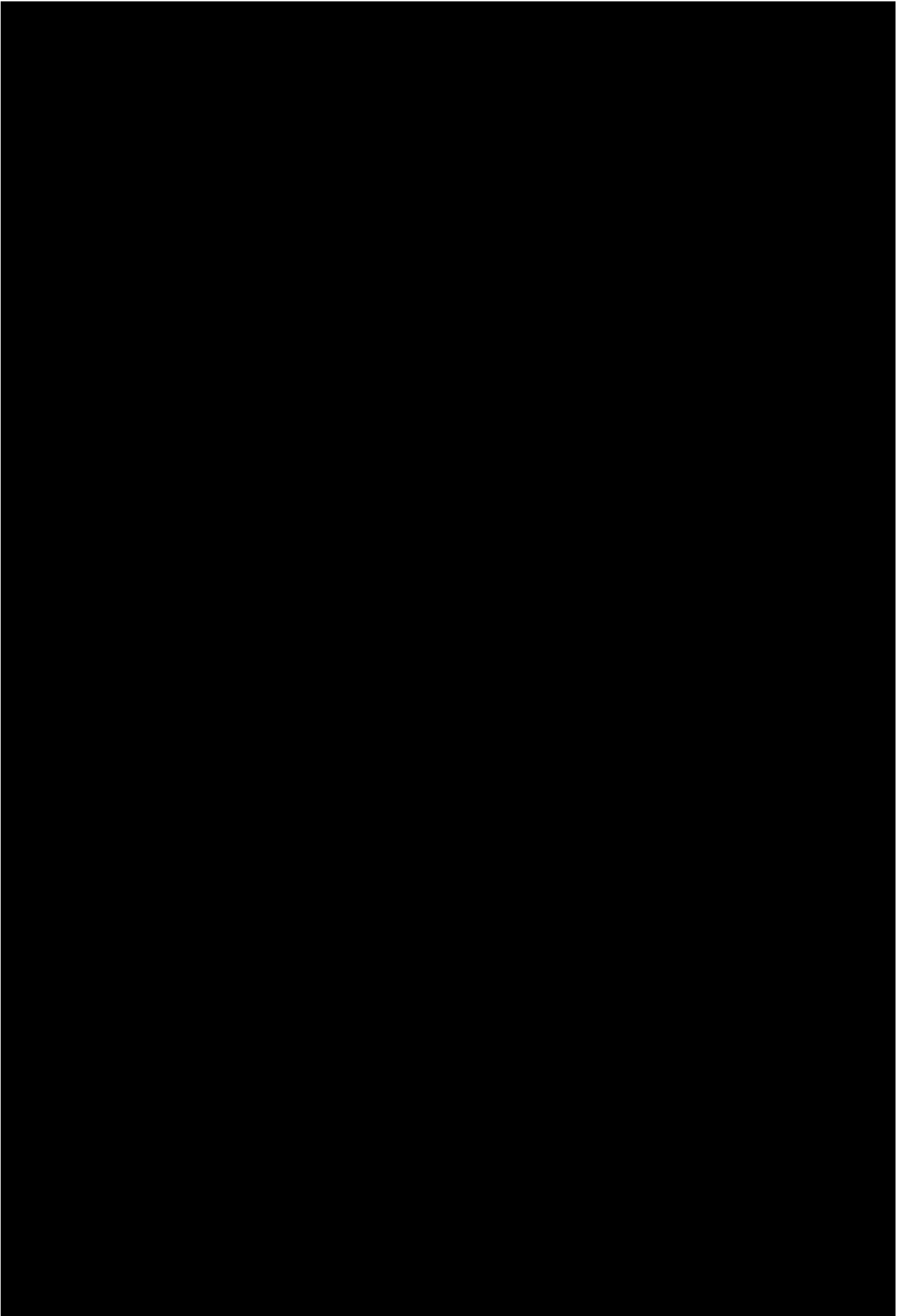
Audience for this evaluation

The audience for this evaluation includes BEIS, UKRI, HM Treasury and wider government, the research and innovation community and the wider public. It is likely the outputs of this evaluation will form part of the wider evidence base that will be used by future public reviews or inquiries into the Government's response to Covid-19. It will also be used to derive lessons from the Covid response experience which are applicable to improving ways of working and programmes outside of an emergency response setting. Final reports delivered as part of this evaluation should be written on the assumption that they will be published for wider consumption and will need to adhere to BEIS style guide requirements.

ANNEX B
Supplier Proposal







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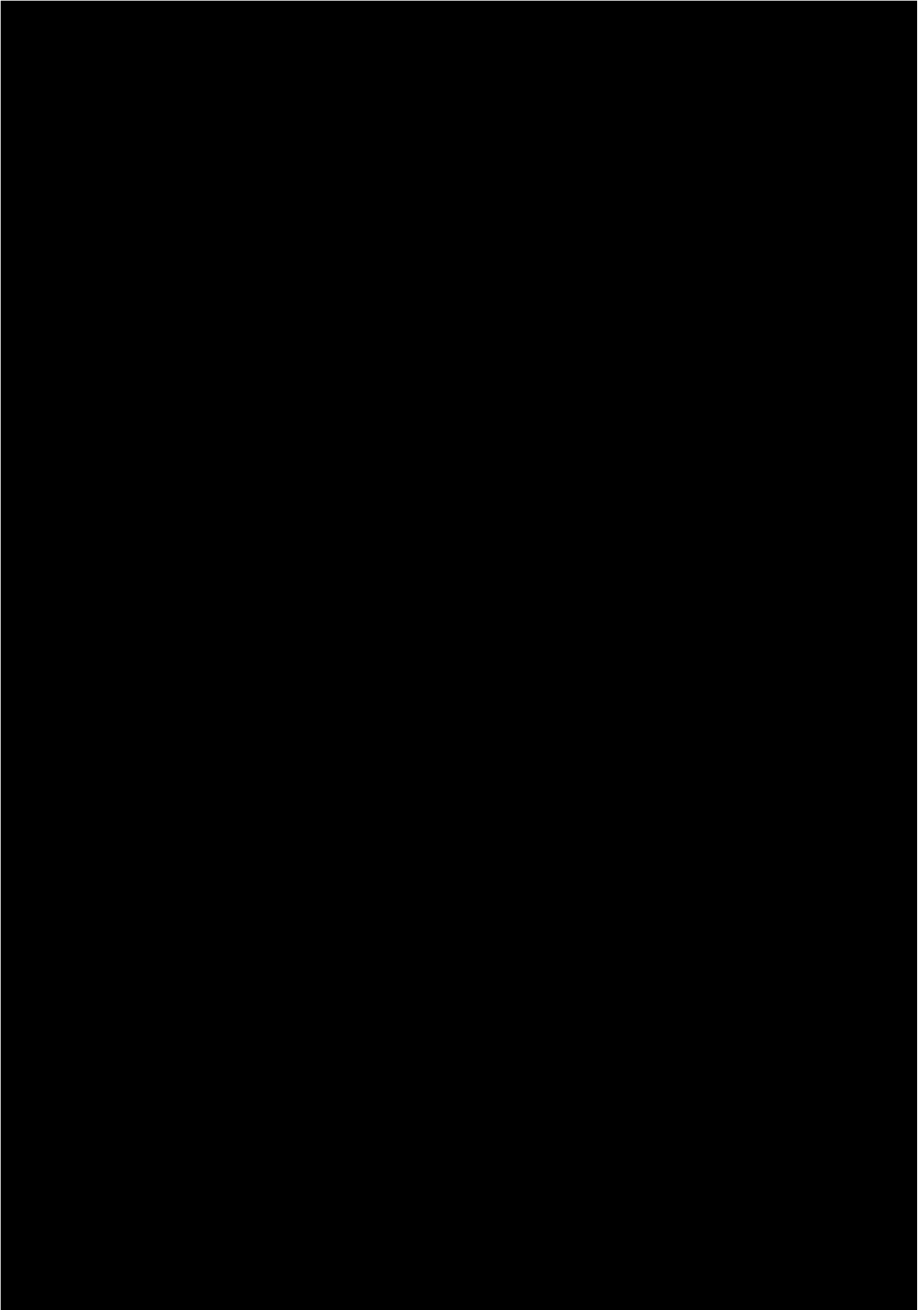
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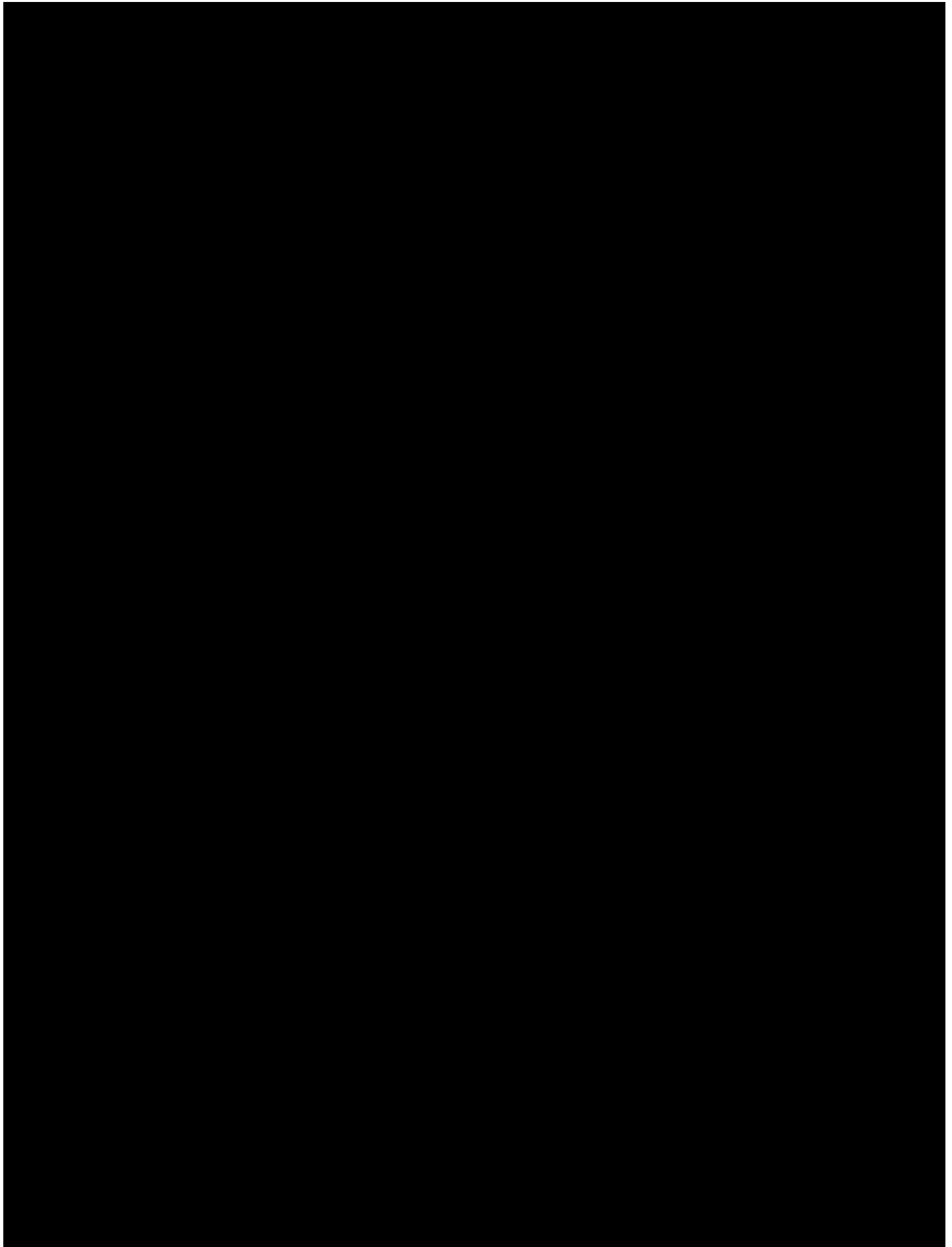
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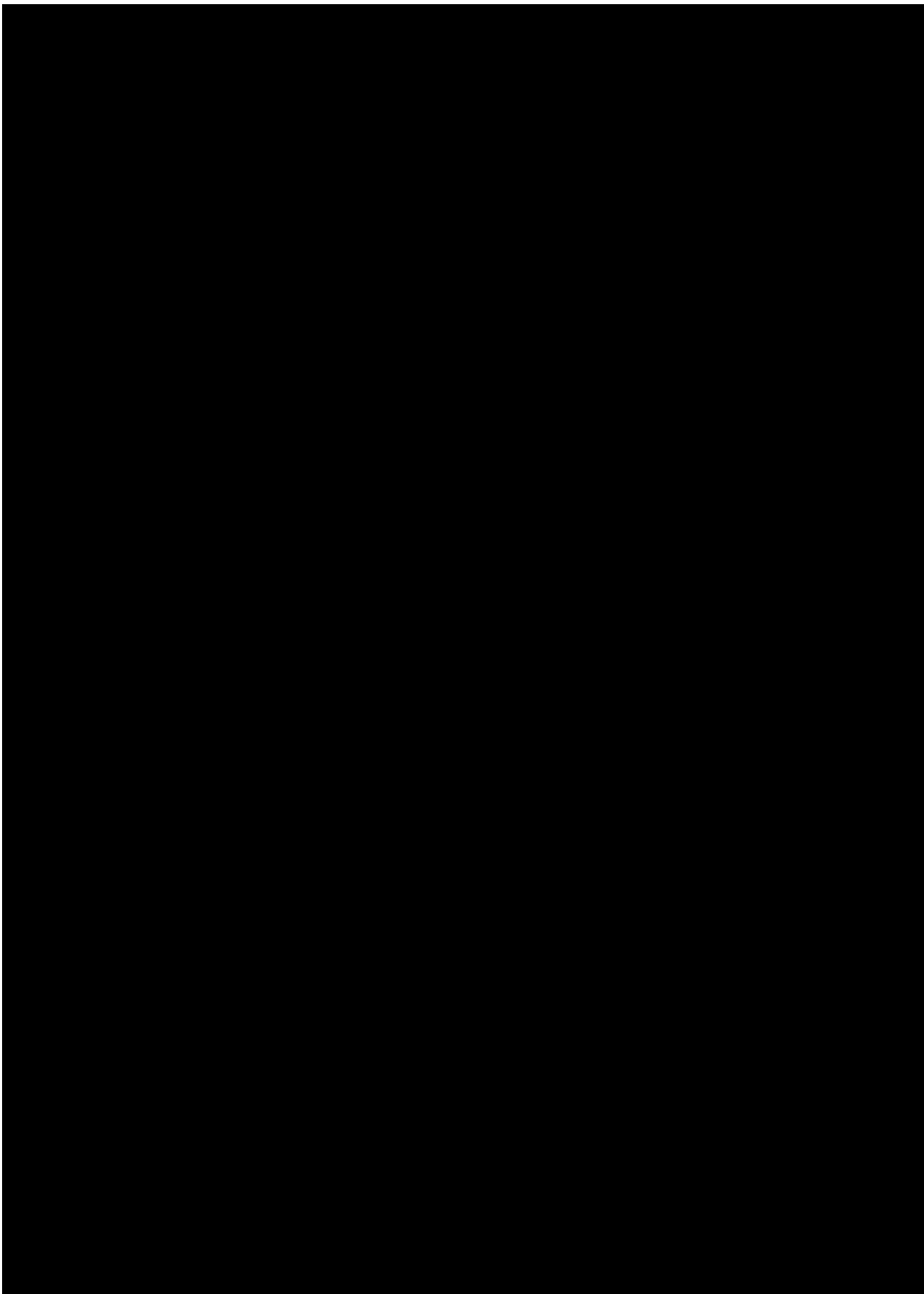
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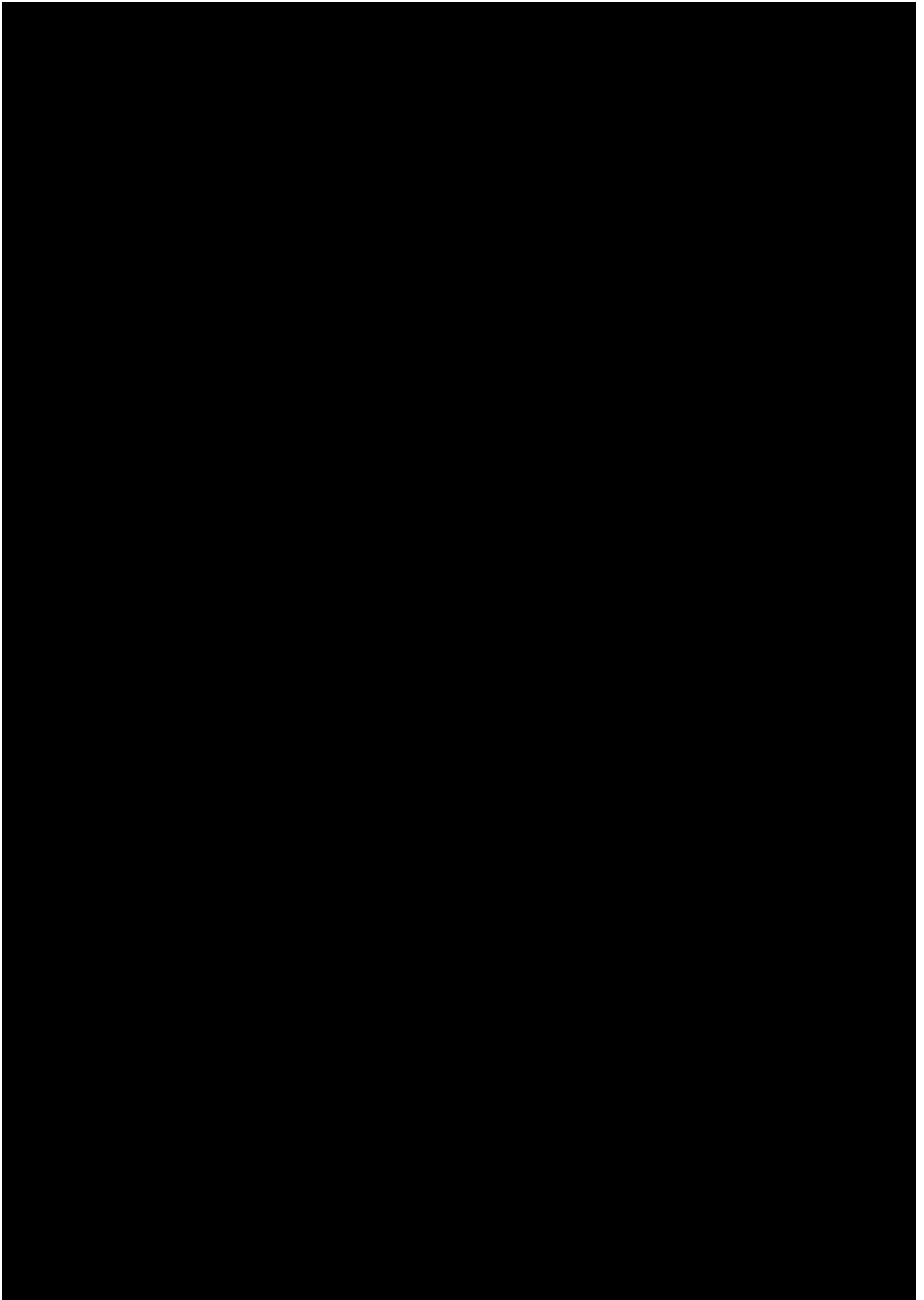
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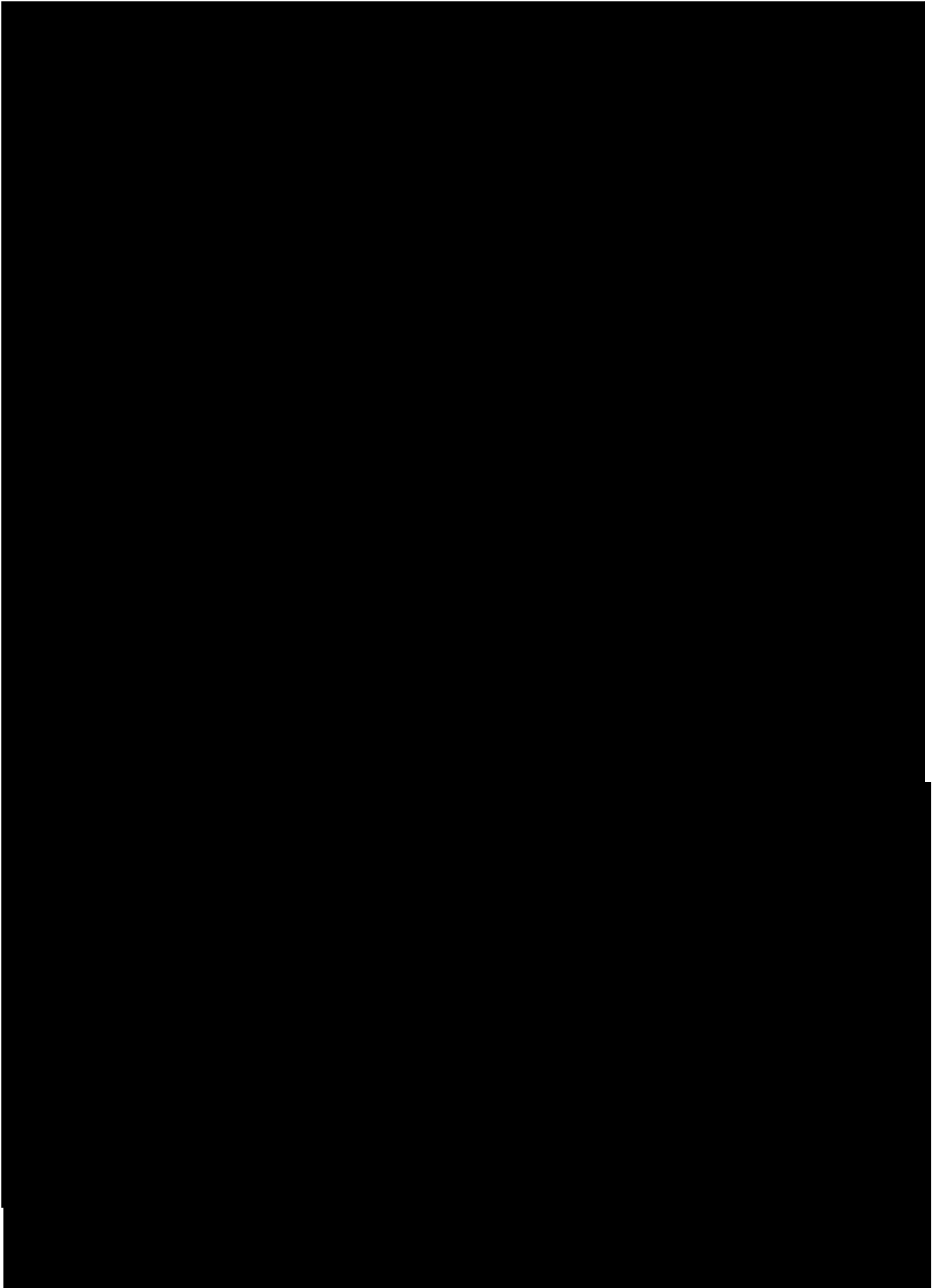
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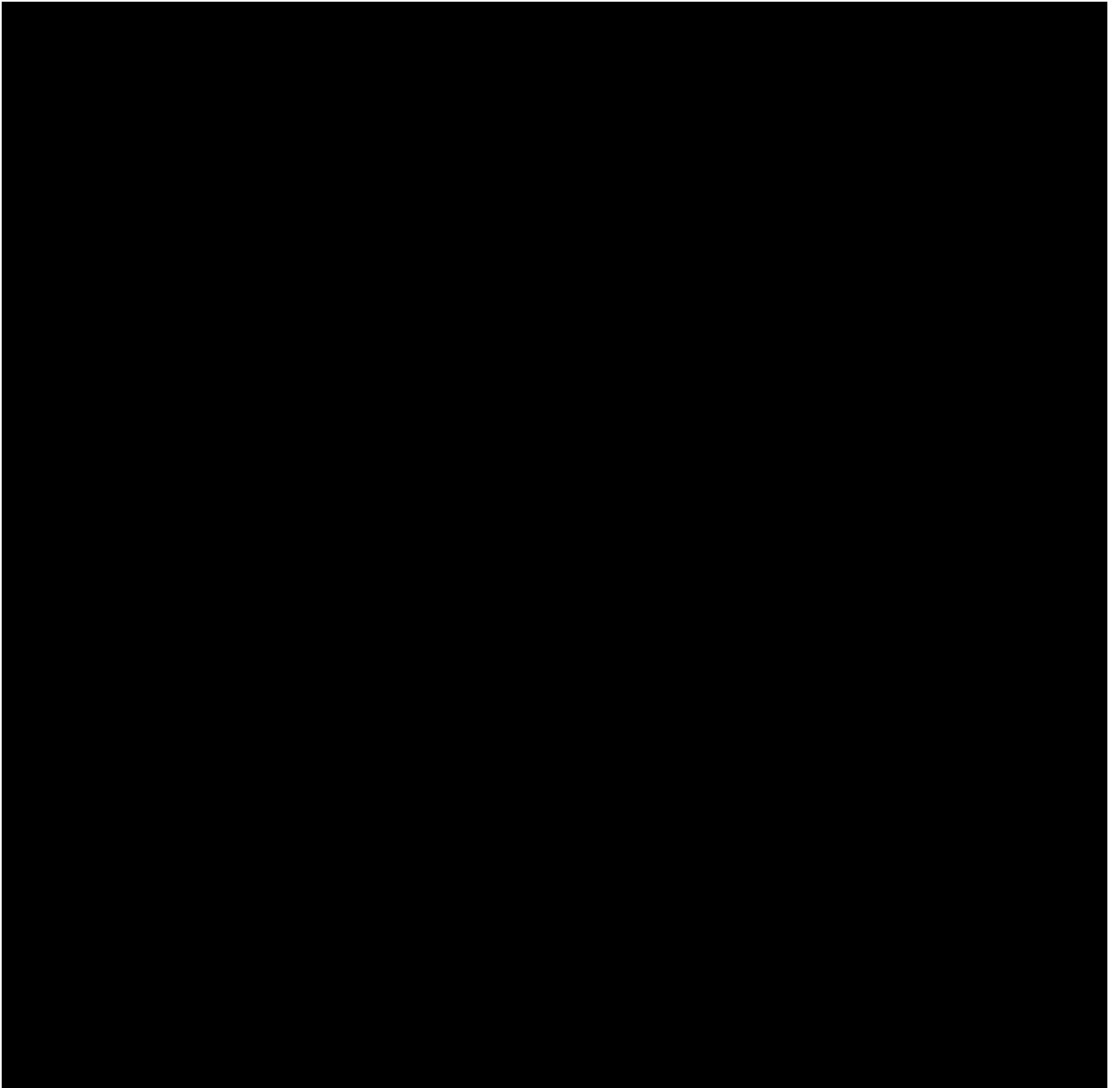


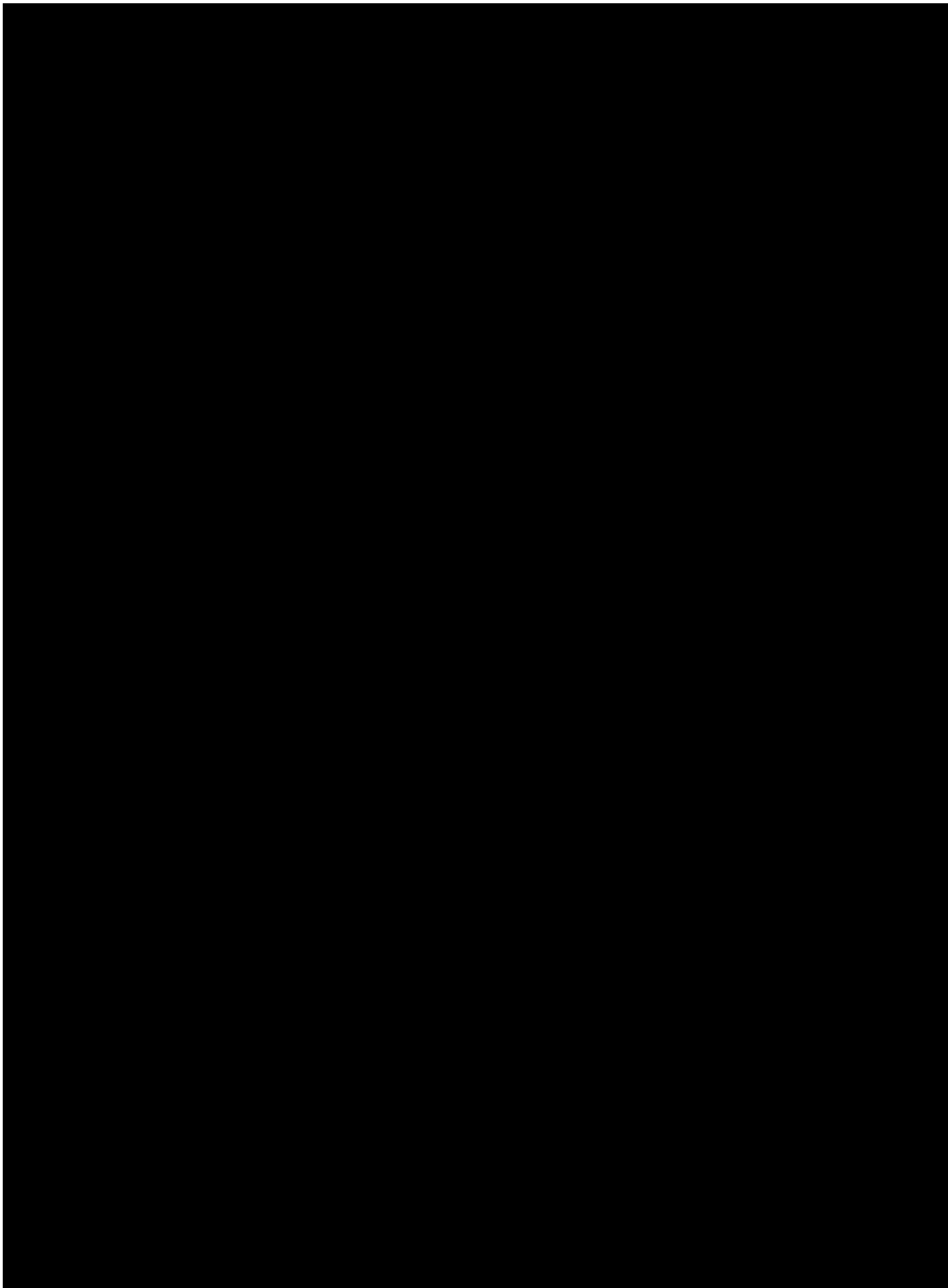


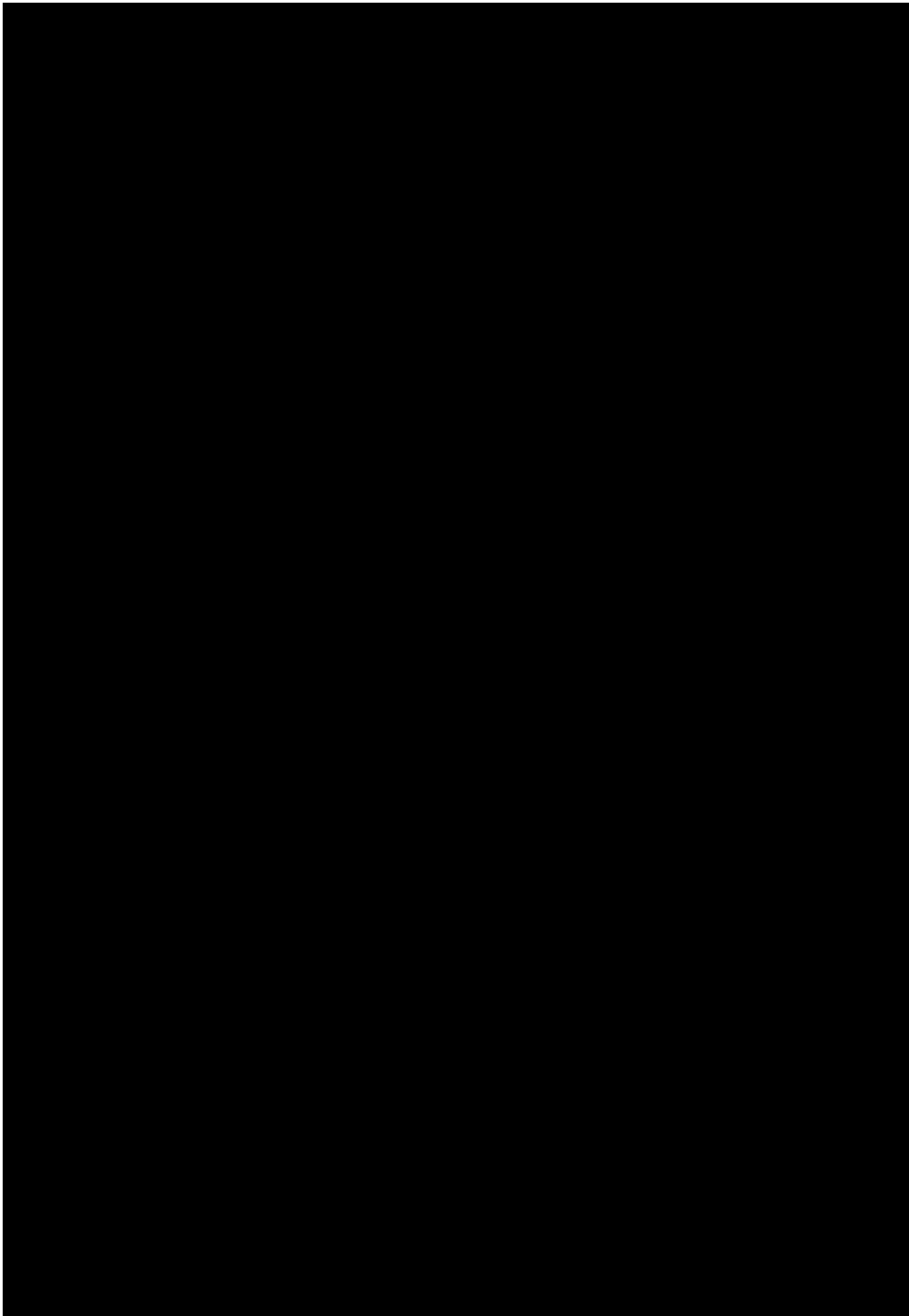


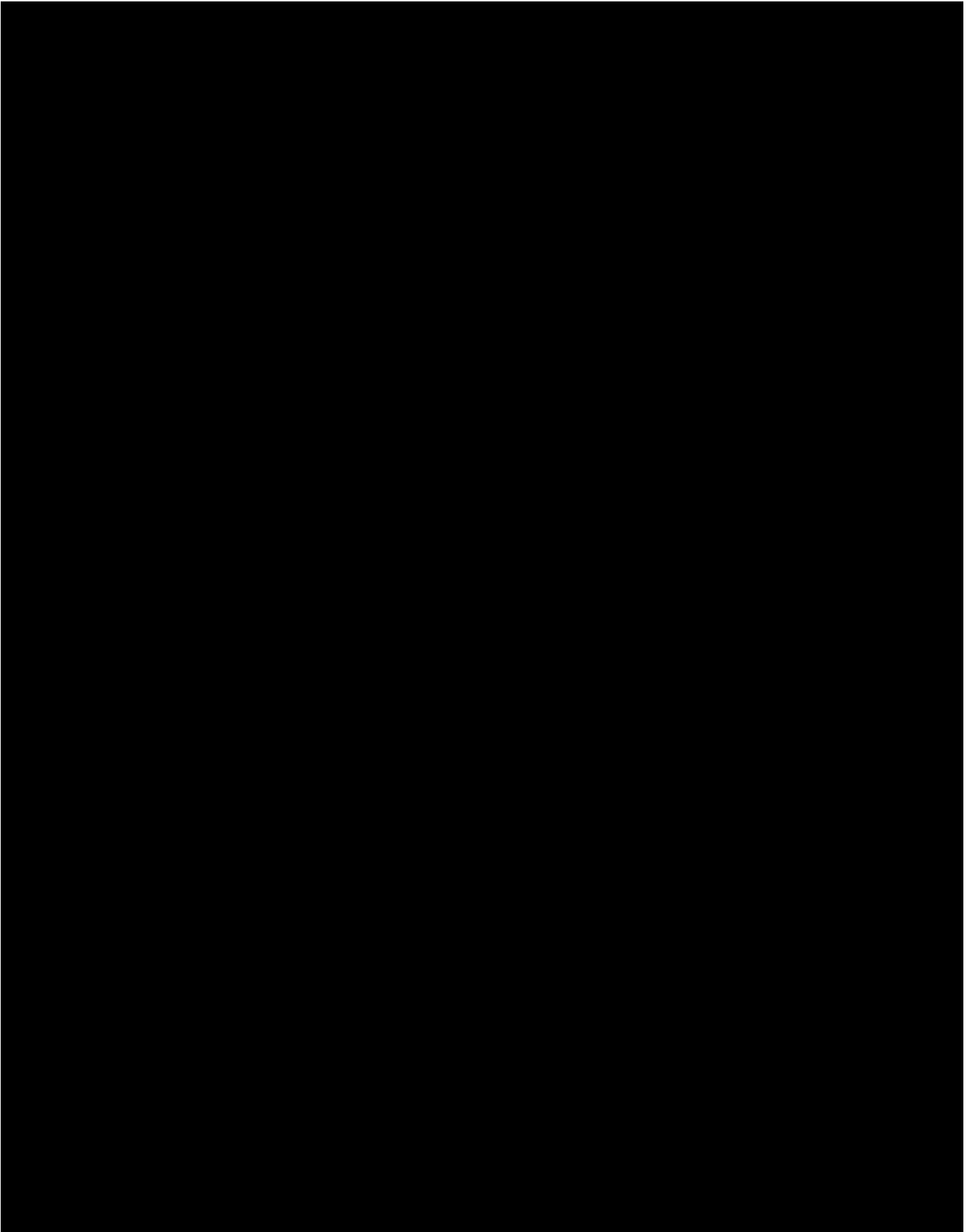


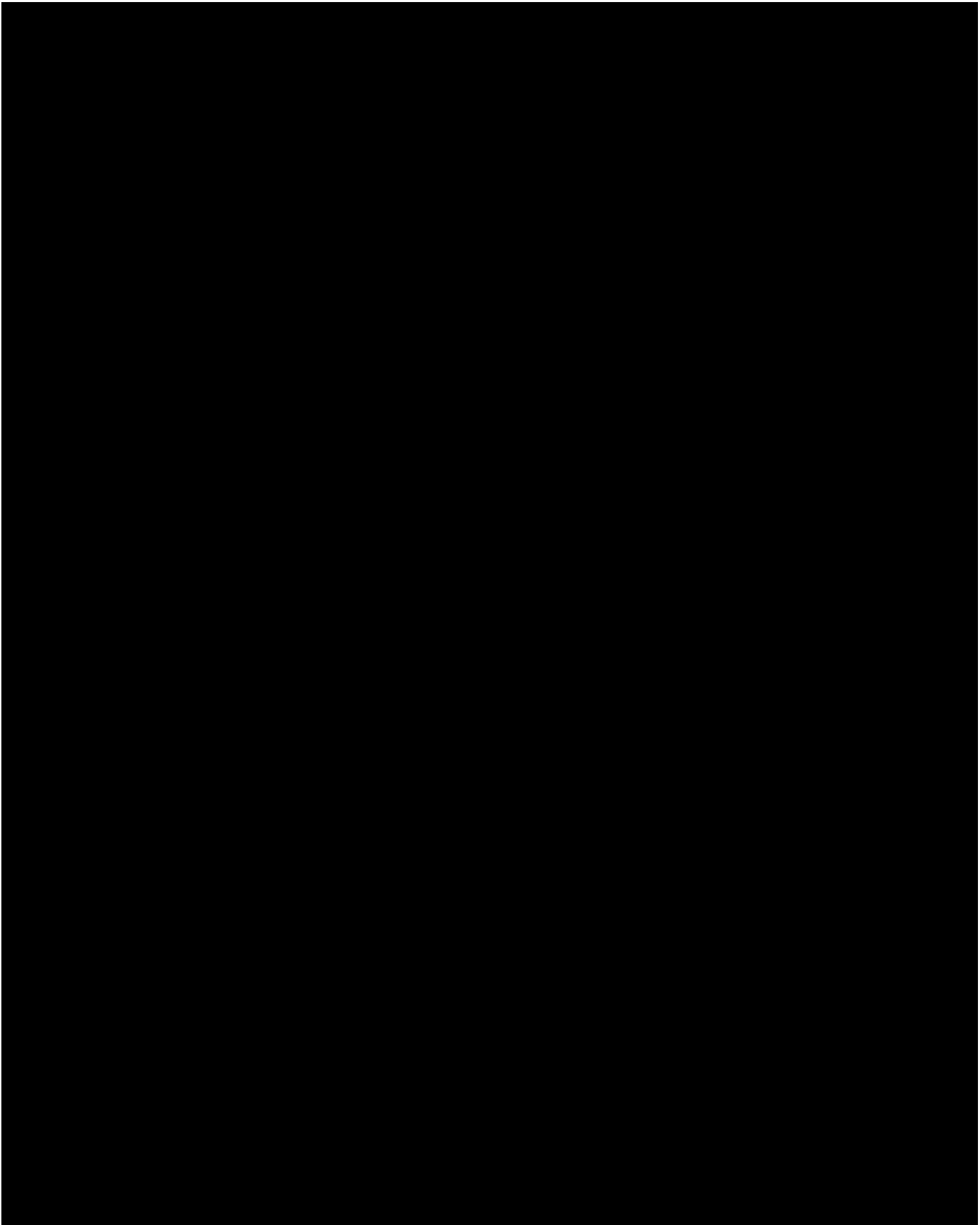


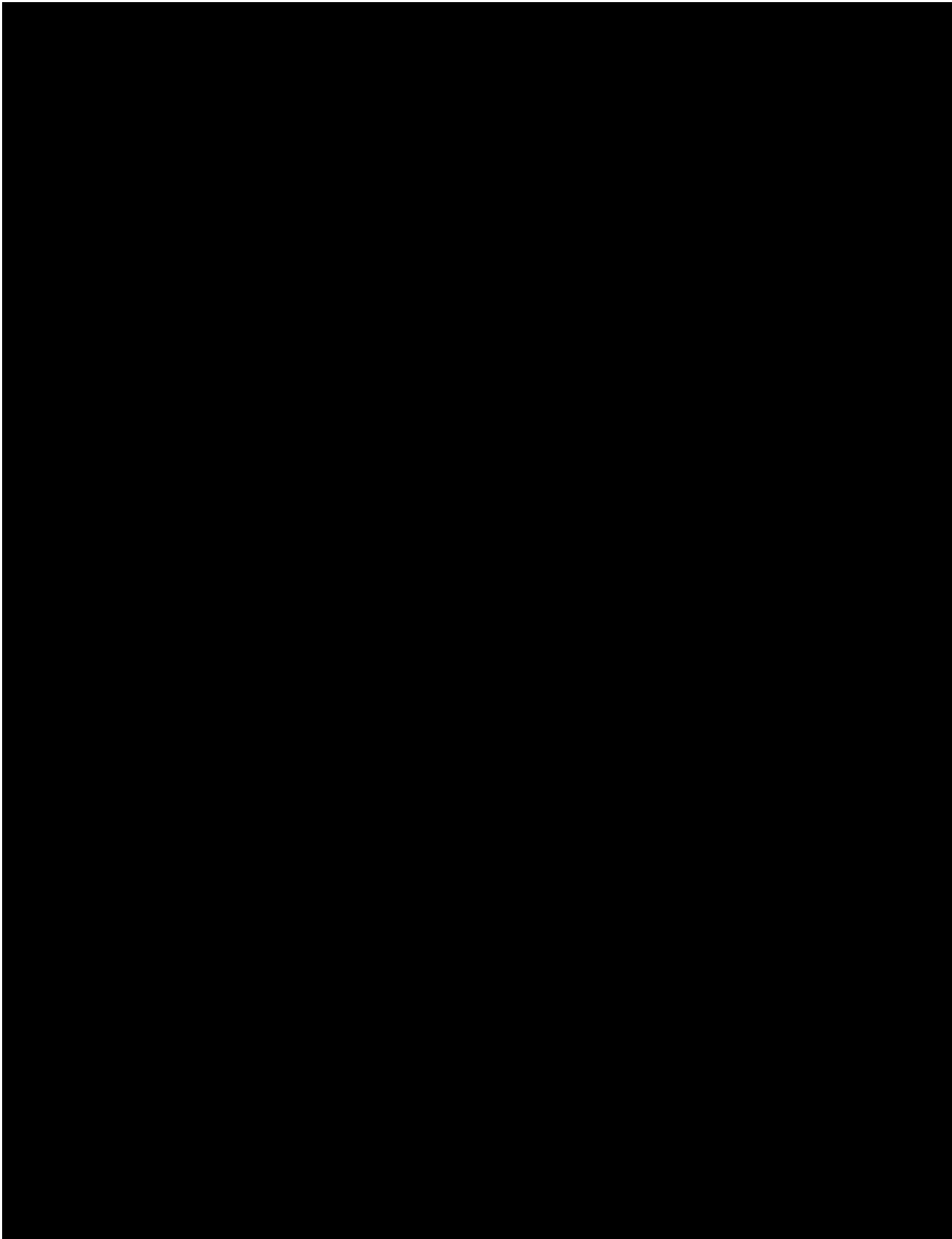


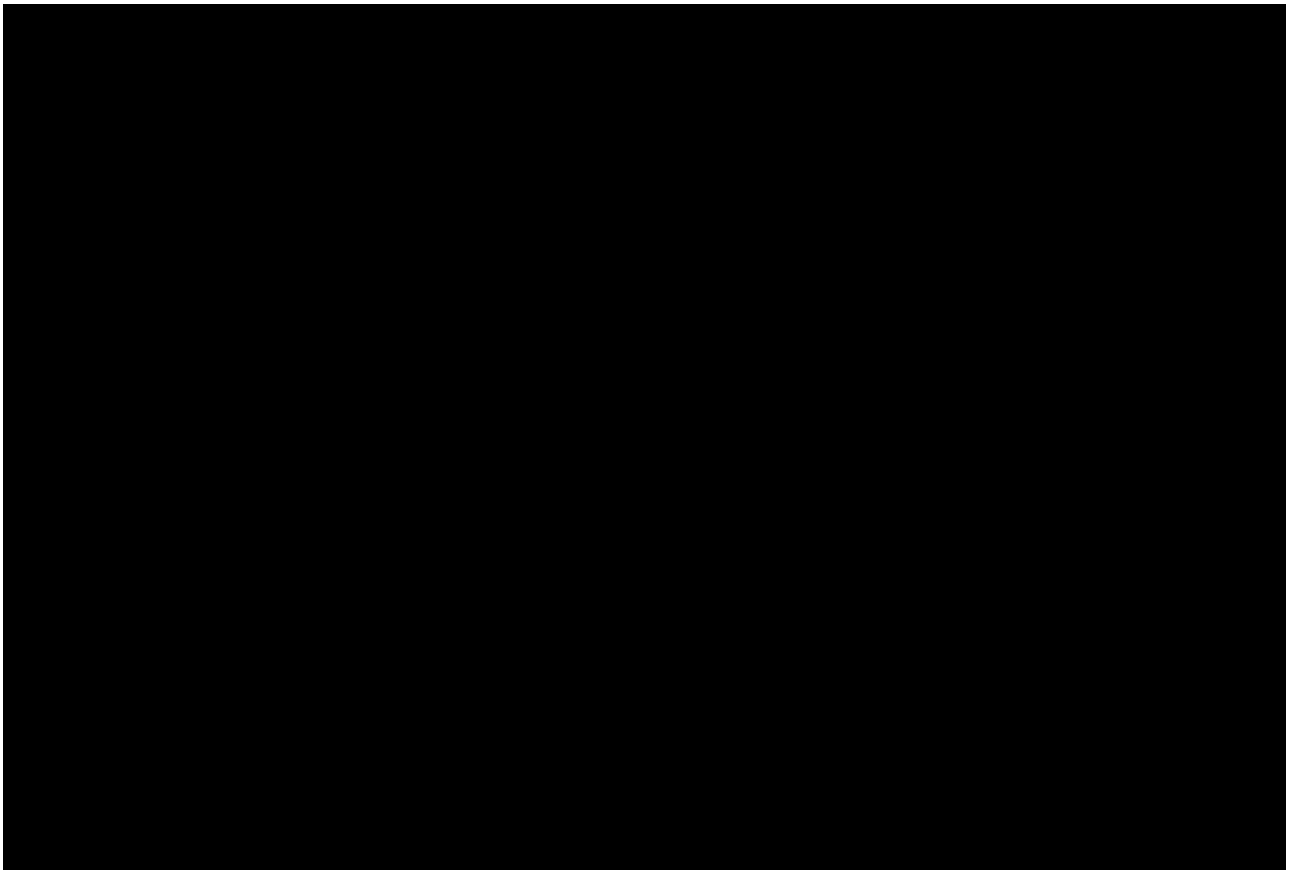












Part 2: Contract Terms



Contract Terms v6.0