

DPS FRAMEWORK SCHEDULE 4: LETTER OF APPOINTMENT AND CONTRACT TERMS

Part 1: Letter of Appointment

Dear Sirs

Letter of Appointment

This letter of Appointment dated Wednesday, 4th August 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:	PS21073
From:	The Department for Business, Energy & Industrial Strategy, 1 Victoria Street, London SW1H 0ET (BEIS) ("Customer")
To:	Kantar UK Limited, TNS House, Westgate, London, W5 1UA ("Supplier")

Effective Date:	Wednesday, 4th August 2021
Expiry Date:	Thursday, 30th June 2022 Customer may extend this Contract for any period up to the Extension Expiry Date by giving the Supplier 30 days notice in writing before the Expiry Date

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 of this letter of appointment;
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Key Individuals:	<div>██████████ - BEIS</div> <div>██████████ - Kantar UK Limited</div>
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Contract Charges (including any applicable discount(s), but excluding VAT):	£99,252.50
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Insurance Requirements	<p>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</p> <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 £2 million for each individual claim.</p>
Liability Requirements	Suppliers limitation of Liability (Clause 18 of the Contract Terms);
Special Condition	The contract will include a break point after completion of Phase 1 to enable the review and agreement of activities for Phase 2. While it is our intention to award Phase 1 and 2 to the winning supplier, at the point of award we will only be able to guarantee Phase 1.
GDPR	As per Contract Terms Schedule 7 (Processing, Personal Data and Data Subjects.
Customer billing address for invoicing:	<p>All invoices should be sent to should be sent to</p> 

FORMATION OF CONTRACT

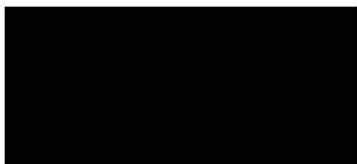
BY SIGNING AND RETURNING THIS LETTER OF APPOINTMENT (which may be done by electronic means) the Supplier agrees to enter a Contract with the Customer to provide the Services in accordance with the terms of this letter and the Contract Terms.

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:

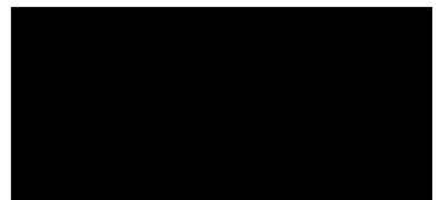
Name and Title:



Signature:

For and on behalf of the Customer:

Name and Title:



Signature:

Date: 09/08/2021

Date: 10.08.2021

APPENDIX A

Customer Project Specification

1. Background

Strategic Context

This tender is seeking a supplier (or suppliers) to evaluate the new round of the Regulators' Pioneer Fund (RPF).¹

An on-going challenge for regulators is keeping pace with innovation in their sectors (including new and disruptive technologies), while keeping consumers safe. Regulation can unintentionally block or slow down innovative products and services from reaching the market, which can undermine R&D investment and deter innovation.

The Regulators' Pioneer Fund (RPF) supports regulators to adopt new and experimental approaches which seek to remove barriers to innovation and help businesses get their innovative products and services to market, thus supporting the growth and productivity of the UK economy and improve people's lives.

The Department for Business, Energy and Industrial Strategy (BEIS) set up the Regulators' Pioneer Fund in 2017, allocating £10 million to 14 regulator-led projects in 2018-20 to stimulate innovation in their sectors. An independent evaluation of the first round (RPF1) was conducted and published on gov.uk.²

The independent evaluation of the programme found clear evidence that the Fund had driven engagement, collaboration and partnership working across regulators. The Fund was successful at progressing towards achieving a range of outcomes, in particular stimulating and permitting the development of new business innovations with 15 new products, processes or services entering trials as a result of project activities.

The Better Regulation Executive (BRE) in BEIS has recently launched a new £3m round of the RPF (May 2021), seeking to deliver the same aims as the first round. This new round is now available to UK local authorities as well as UK regulators – RPF round 1 was limited to UK regulators.

UK regulators and local authorities can apply to the new £3m Fund with initiatives that help businesses bring innovative products and services to market. The competition's aim is to help keep the UK at the forefront of regulatory thinking and experimentation. The fund will sponsor projects led by regulators or local authorities which aim to create a UK regulatory environment that encourages business innovation and investment.

BEIS is seeking to fund 15-20 projects, providing up to £200k per project. All projects must finish by March 2022 and can start from August 2021. BEIS will fund projects lasting around six months, that contribute to the UK's economic recovery and growth – while also helping keep the UK at the forefront of regulatory thinking and experimentation.

Purpose of the evaluation

¹ <https://www.gov.uk/government/publications/apply-for-the-regulators-pioneer-fund>

² <https://www.gov.uk/government/publications/evaluation-of-the-regulators-pioneers-fund-rpf-round-1>

The purpose of the evaluation is to understand whether the Fund has delivered against the goals stated above and what outcomes projects have achieved, for who, how and why. The evaluation will also be used to disseminate key learnings across government and to key external stakeholders. Due to the innovative nature of this fund, sharing what does and does not work is important for learning. The evidence gained will also be used to design any future policy in this space and future potential bids for funding.

2. Aims and Objectives of the Project

Aims of the evaluation

BEIS is seeking to fund an impact and process evaluation of the new round of the RPF. There are four key aims of the evaluation:

1. Understanding whether the Fund has delivered against its intended goals, what outcomes have been achieved, for who (e.g. regulators, businesses, society), how and why
2. Gaining a deeper understanding of the lessons learned for delivering innovative projects, building on the findings from the RPF1 evaluation
3. Disseminating key lessons and learnings across government and beyond
4. Effectively monitoring the projects to manage risks and maximise outcomes

Evaluation questions

Below are draft research questions for the evaluation, which should be re-visited with BRE at the start of the evaluation.

- What impact has the £3m Fund had?
 - What outcomes have been achieved, for who, how and why?
 - How far can these outcomes be attributed to the Fund?
 - What do projects aim to achieve after they have finished their projects (post March 2022)?
 - What are the anticipated longer-term impacts of RPF projects, including anticipated impacts on businesses and consumers?
 - What have RPF1 projects achieved one year after finishing their projects?
 - Have RPF1 projects achieved any longer-term outcomes?
 - What have we learned beyond the RPF1 logic model?
 - How can we monitor and track the longer-term outcomes/impacts of the fund?
- What can we learn about the process of delivering the fund and innovative projects?
 - How efficient/effective was the competition process?
 - What worked well and not so well when managing and delivering the fund?
 - How effective was the monitoring?
 - What challenges did regulators and local authorities encounter when delivering innovative projects?
 - What lessons can we learn and share about delivering these types of innovative projects?
- What can government and wider stakeholders learn from this fund?
 - What lessons can we learn across the Fund about what works to accelerate and encourage innovation?
 - What can we learn from projects that have 'gone wrong' or 'failed'?
 - How do these findings compare to/build upon the RPF1 evaluation?

Groups involved in the evaluation:

The evaluation could include a range of different stakeholders, e.g.

- BRE staff (e.g. those involved in administering the fund).
- Regulator/Local Authority project leads from both rounds of funding (project managers responsible for delivering the project) and other key members of staff.
- Beneficiaries of projects (e.g. businesses, consumers, other key stakeholders).
- Regulators/local authorities who were not successful in receiving funding.

Projects could be based anywhere in the UK.

3. Suggested Methodology

Overview

BEIS are looking for a process and impact evaluation to be conducted. There are numerous challenges to capturing the impacts of RPF projects, meaning a theory-based approach is likely to be the most appropriate. Bidders are expected to outline what theory-based method(s) they will use to generate robust evidence of the impact of the Fund.

Due to the small sample sizes (i.e. funding around 15-20 projects), BEIS anticipates the evaluator will interview **all projects** at some point in the evaluation.

Approach

Bidders should provide details of what approach they will take and why. Below is a suggested approach to the evaluation, however we welcome any new ideas and adaptations.

Scoping:

- Evaluation of the first round of the RPF included the development of a logic model which can be found here³
- BEIS would value the successful bidder revisiting this logic model and developing it further throughout the evaluation (e.g. testing with stakeholders, developing into a theory of change).
- The successful contractor will also have access to a range of materials to familiarise themselves with the RPF. For example, application forms of successful projects, further details of the RPF1 evaluation/projects etc.

Monitoring:

- **Monitoring:** we anticipate the successful contractor playing a key role in monitoring the projects. This monitoring information could also be used to shape the evaluation framework and research materials. We suggest the contractor's involvement in monitoring should include:
 - Reviewing BEIS's monitoring metrics and processes, suggesting any improvements
 - Compiling monthly monitoring reports (BRE staff will collect this information themselves through monthly monitoring meetings with project leads)

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https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/967045/evaluation-of-rpf-technical-report.pdf

- Presenting monitoring and evaluation updates to the BRE RPF Programme Board (every 6 weeks)

Data collection:

- **In-depth interviews:** due to the difficulty in quantifying the outcomes of the Fund, we anticipate the contractor using in-depth, qualitative interviews to gather evidence for the process and impact evaluation. Bidders are expected to outline their approach. We have estimated around **60 interviews** depending on the number of projects funded (maximum 20 projects).
 - **Baseline (max 20):** baseline data collection is encouraged to improve the credibility of the impact evaluation and to gather evidence for the process evaluation. Conducting interviews with each project lead before/as projects begin will enable the contractor to familiarise themselves with the project, help to understand the anticipated impacts and will help shape the evaluation framework.
 - **Follow up (max 20):** BEIS anticipates the successful contractor conducting interviews once RPF projects have finished to understand what has been achieved, for who, how and why and capturing lessons learned.
- **Case studies (~10 additional interviews):** the evaluation of the first round of the RPF included deep dive case studies on a selection of projects.⁴ This included interviewing an additional two beneficiaries for each project (e.g. businesses) to triangulate evidence and gain a deeper understanding of the project outcomes and lessons learned. We would value a selection of case studies to be conducted for this evaluation. Bidders will be expected to outline how many they anticipate conducting, how and when.
- **Unsuccessful projects (~5):** Due to the difficulty in identifying a counterfactual for the impact evaluation, we are keen to interview some of the projects that just missed out on receiving government funding. This will likely add credibility to the impact evaluation (e.g. to gain a deeper understanding of the additionality of the funding). Engaging this group will be challenging so a small number of interviews will be sufficient. Bidders will be expected to outline how many they anticipate conducting, how and when.
- **RPF1 projects (~5):** BEIS is keen to re-interview some of the projects from the first round of the RPF to see what has been achieved 1 year on after finishing. It may be challenging to re-engage these projects, so BEIS anticipates a small number of interviews being conducted. These interviews could be conducted during the early stages of the evaluation to provide early evidence for BEIS (summer/early autumn 2021). We will provide the necessary information to do this (e.g. details of the projects, contacts, previous evidence).
- **Additional evidence:** RPF projects are required to produce a report at the end of their project to summarise what has been achieved and lessons learned. These reports will be provided to the successful bidder as an additional source of evidence/information. BEIS would value the contractor doing a review of these reports (e.g. to draw out key lessons learned, and as part of triangulating evidence).

⁴ <https://www.gov.uk/government/publications/evaluation-of-the-regulators-pioneers-fund-rpf-round-1>

Analysis & synthesis:

- Bidders are expected to provide detail on what evidence they will gather through the evaluation and how it will be **analysed**. In particular, bidders need to provide detail of what theory-based method(s) will be used and applied.
- The bidder should describe the approach to **synthesis** e.g. how they intend to triangulate evidence gathered from interviews, case-studies and secondary evidence? How would they make sense of contradictory evidence?
- The contractor will have the opportunity to develop a more comprehensive evaluation framework with BEIS at the start of the contract.

Timeline:

- Data collection for the evaluation will be dependent on the timing of the funded projects (e.g. interviewing as and when projects finish).
- RPF projects will last approximately 6 months. Projects can begin as early as August 2021 and must finish by March 2022.
- BEIS anticipates the evaluation starting late July/early August 2021 (project leads are likely to start setting up their projects from early August) and ending June 2022. The end date of the evaluation is flexible if the contractor would benefit from more/less time.
- We require an interim, internal evaluation report late summer/early autumn to feed into future policy making.

Ways of working

- The successful bidder is expected to work closely with BRE throughout the project.
- This includes allowing time for BRE to feed into and quality assure the research approach, research materials and deliverables.
- BRE also expects regular updates to BRE on the progress of the evaluation as necessary (e.g. via email/call).
- Bidders are expected to outline in their bids how they will do this.

Evaluation phases

We have recommended splitting the project into two phases, with the following activities proposed (adjustable) for each phase:

- **Phase 1** (end March 2022): scoping and monitoring activity, baseline research with Pathfinder projects, follow up research with RPF1 projects, internal interim report.
- **Phase 2** (end June 2022): follow up interviews with Pathfinder projects, interviews with unsuccessful projects, case studies, analysing additional evidence (e.g. reports) and final evaluation report/presentation.

The contract will include a break point after completion of Phase 1 to enable the review and agreement of activities for Phase 2. While it is our intention to award Phase 1 and 2 to the winning supplier, at the point of award we will only be able to guarantee Phase 1.

Risks and considerations:

There are a number of risks and considerations that bidders will need to acknowledge in their bid. These include:

- **Minimising burden:** regulators/local authorities understand that they need to participate in the evaluation if they receive funding. However, we are keen to minimise the burden on project leads/stakeholders whilst generating high quality, comprehensive evidence. The evaluation plan/data collection materials should consider this (e.g. streamlining the collection of monitoring information and interviews).
- **Collecting data on project challenges:** projects receiving funding from government may have a tendency to be overly positive about their projects and less likely to discuss challenges and barriers. Data collection materials will need to be designed in a way to minimise this risk.
- **Difficulty in organising interviews:** This will be especially problematic for those who did not receiving funding and for RPF1 projects where staff may have moved on.
- **Cumulative impact:** RPF1 regulators can apply for funding in this new round. Bidders will need to consider how they will disentangle the impact of the first and second round of funding.
- **Handling of sensitive information:** some of the funded projects may include sensitive information. The successful bidder will sign a non-disclosure agreement and be GDPR compliant.
- **Resource for the evaluation:** there are likely to be peaks and troughs in required resource for the evaluation (i.e. peaks at the start and end of projects). The successful bidder will need to manage their resource throughout to ensure they can deliver at the right times.

4. Deliverables

We are seeking the following deliverables for this project:

- **Monthly monitoring reports:** short, internal report to be provided to BRE monthly, summarising the progress projects are making and any risks/mitigations.
- **Revised logic model/theory of change:** updated using the evaluation evidence. This can be included in the report/as a separate output.
- **Internal evaluation report:** the successful bidder is asked to provide an internal findings report in late summer/early Autumn 2021. This would summarise all of the evidence collected to date (e.g. process evaluation findings, follow-up interviews with RPF1 projects).
- **Final evaluation report:** to be produced by the end of the project. This will be of a publishable format, following BEIS's reporting guidelines (e.g. ~30 pages long, executive summary, in an accessible format).
- **Findings presentation:** to be delivered towards the end of the presentation to BEIS and other key external stakeholders (e.g. regulators, local authorities, other government departments).

- **Case studies:** these case studies can be included within the report or as a separate deliverable (as with the RPF1 evaluation). These case studies will need to be in an accessible format.

APPENDIX B
Supplier Proposal

