

# DPS Schedule 6 (Order Form Template and Order Schedules)

## Order Form

ORDER REFERENCE: **UKRI-3988 (Lot 4)**

THE BUYER: **United Kingdom Research and Innovation**

BUYER ADDRESS: Polaris House, North Star Avenue, Swindon,  
England, SN2 1FL

THE SUPPLIER: RSM UK Consulting LLP

SUPPLIER ADDRESS: 6th floor, 25 Farringdon Street, London. EC4A 4AB

REGISTRATION NUMBER: OC397475

DUNS NUMBER:

DPS SUPPLIER REGISTRATION SERVICE ID:

### APPLICABLE DPS CONTRACT

This Order Form is for the provision of the Deliverables and dated 18<sup>th</sup> November 2024  
It's issued under the DPS Contract with the reference number **RM6126** for the  
provision of **EPSRC Evaluations – Lot 4 – Place Based Impact Accelerator  
Account**

DPS FILTER CATEGORY(IES):  
Not applicable

## DPS Schedule 6 (Order Form Template and Order Schedules)

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### ORDER INCORPORATED TERMS

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

1. This Order Form including the Order Special Terms and Order Special Schedules.
2. Joint Schedule 1(Definitions and Interpretation) **RM6126**
3. DPS Special Terms
4. The following Schedules in equal order of precedence:
  - Joint Schedules for **RM6126**
    - Joint Schedule 2 (Variation Form)
    - Joint Schedule 3 (Insurance Requirements)
    - Joint Schedule 4 (Commercially Sensitive Information)
    - Joint Schedule 6 (Key Subcontractors)
    - Joint Schedule 10 (Rectification Plan)
    - Joint Schedule 11 (Processing Data)
  - Order Schedules for **UKRI-3988**
    - Order Schedule 1 (Transparency Reports)
    - Order Schedule 2 (Staff Transfer)
    - Order Schedule 3 (Continuous Improvement)
    - Order Schedule 5 (Pricing Details)
    - Order Schedule 7 (Key Supplier Staff)
    - Order Schedule 9 (Security) - Part A only
    - Order Schedule 10 (Exit Management)
5. CCS Core Terms (DPS version) v1.0.3
6. Joint Schedule 5 (Corporate Social Responsibility) **RM6126**
7. Order Schedule 4 (Order Tender) as long as any parts of the Order Tender that offer a better commercial position for the Buyer (as decided by the Buyer) take precedence over the documents above.

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

### ORDER SPECIAL TERMS

The following Special Terms are incorporated into this Order Contract:

Joint Schedules 3 ANNEX: REQUIRED INSURANCES (Insurance Requirements),

- Professional Indemnity Insurance = £2 Million
- Public Liability Insurance = £5 Million

ORDER START DATE: **18<sup>th</sup> November 2024**

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ORDER EXPIRY DATE: **31<sup>st</sup> August 2024**

ORDER INITIAL PERIOD: **9 Months**

### DELIVERABLES

**Option B:** See details in Order Schedule 20 (Order Specification)

### MAXIMUM LIABILITY

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

The Estimated Year 1 Charges used to calculate liability in the first Contract Year is **£116,425.00**

### ORDER CHARGES

Option B: See details in Order Schedule 5 (Pricing Details)

### REIMBURSABLE EXPENSES

None

### PAYMENT METHOD

The Supplier shall submit an invoice within 28 days of supplying the Supplies and or performing Services to the satisfaction of the Contracting Authority. The invoice shall show the amount of VAT payable and bear the Purchase Order number. Save where an invoice is disputed, the Contracting Authority shall pay the Contractor within 30 days of receipt of an invoice via BACS payment.

If you have a query regarding an outstanding payment, please contact our accounts payable section either by email to [accounts@iuk.ukri.org](mailto:accounts@iuk.ukri.org) or by telephone 01793-867004 between 09:00 and 17:00 Monday to Friday

The Supplier must facilitate payment by the Buyer of the Charges under a Call-Off Contract under any method agreed with the Buyer in the Order Form.

The Supplier must facilitate a change of payment method during the term of any Call-Off Contract.

The Supplier shall not charge the Buyer for a change in payment method during the term of the Call-off Contract

### BUYER'S INVOICE ADDRESS:

UK Research and Innovation  
Polaris House,  
North Star Avenue,  
Swindon,  
SN2 1UH

## BUYER'S AUTHORISED REPRESENTATIVE

FOIA Section 40 Personal Data

Procurement Manager

FOIA Section 40 Personal Data

UK Research and Innovation  
Polaris House,  
North Star Avenue,  
Swindon,  
SN2 1UH

## BUYER'S ENVIRONMENTAL POLICY

<https://www.ukri.org/about-us/policies-standards-and-data/corporate-policies-and-standards/environmental-sustainability/>

## BUYER'S SECURITY POLICY

In line with UKRI Data Security checks

## SUPPLIER'S AUTHORISED REPRESENTATIVE

FOIA Section 40 Personal Data

Project Partner

FOIA Section 40 Personal Data

The Ewart, 4th Floor, 3 Bedford Square, Belfast, BT2 7EP

## SUPPLIER'S CONTRACT MANAGER

FOIA Section 40 Personal Data

Project Director

FOIA Section 40 Personal Data

The Ewart, 4th Floor, 3 Bedford Square, Belfast, BT2 7EP

## PROGRESS REPORT FREQUENCY

**To be agreed between the parties**

## PROGRESS MEETING FREQUENCY

**To be agreed between the parties**

## KEY STAFF

FOIA Section 40 Personal Data

Project Manager

FOIA Section 40 Personal Data

The Ewart, 4th Floor, 3 Bedford Square, Belfast, BT2 7EP

FOIA Section 40 Personal Data

M&E Framework Lead

FOIA Section 40 Personal Data

25 Farringdon Street, London, EC4A 4AB

**KEY SUBCONTRACTOR(S)**

**FOIA Section 40 Personal Data**, **University of Birmingham**  
**FOIA Section 40 Personal Data**, **Warick Business School**

**E-AUCTIONS**  
Not applicable

**COMMERCIALLY SENSITIVE INFORMATION**  
Supplier's rates/information

**SERVICE CREDITS**  
Not applicable

**ADDITIONAL INSURANCES**  
Details of Revised Insurances required in accordance with Joint Schedule 3 ANNEX:  
**REQUIRED INSURANCES** (Insurance Requirements) are as follows:

- Professional Indemnity Insurance = £2 Million
- Public Liability Insurance = £5 Million

**GUARANTEE**  
Not applicable

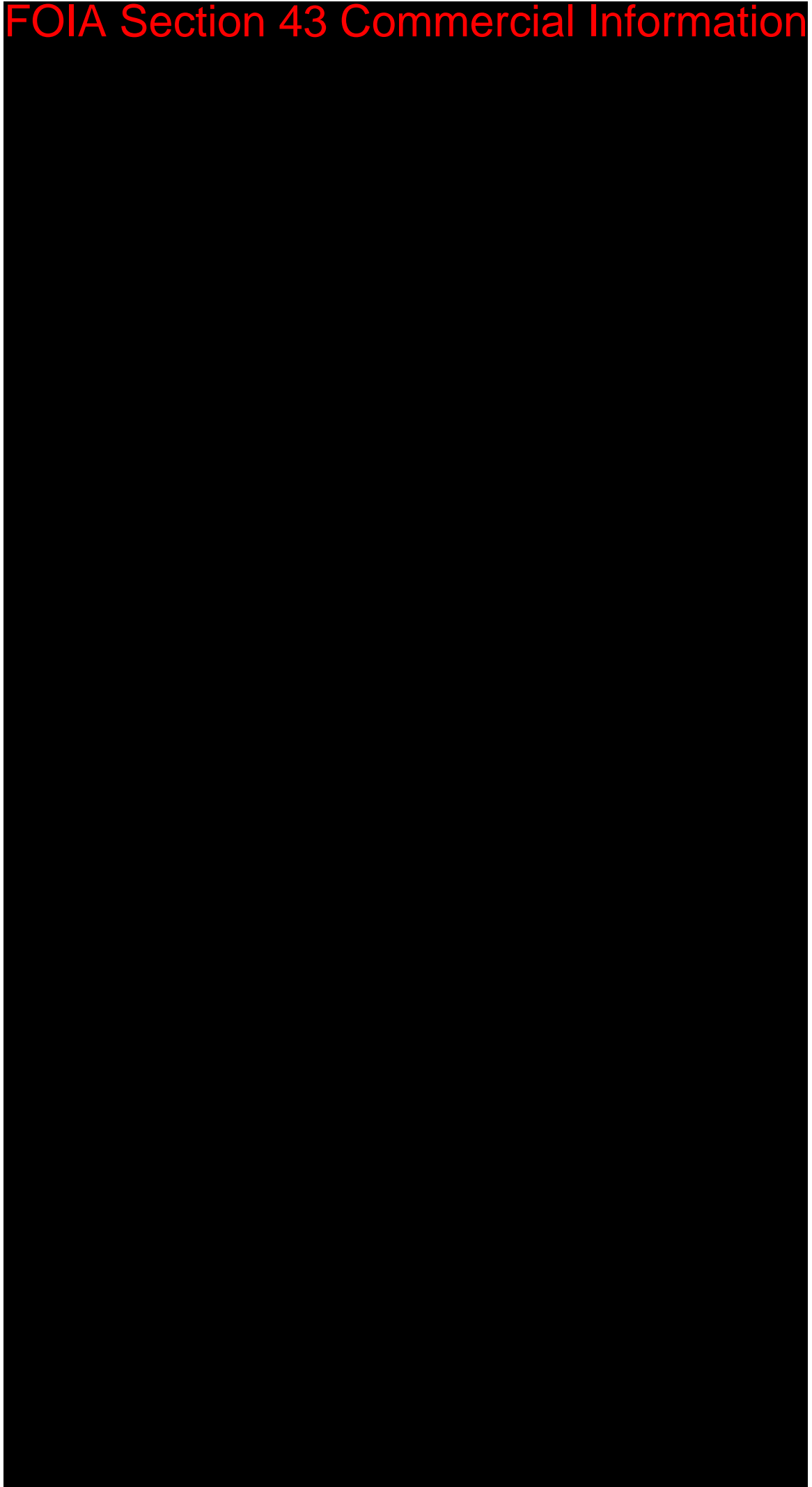
**SOCIAL VALUE COMMITMENT**  
The Supplier agrees, in providing the Deliverables and performing its obligations under the Order Contract, that it will comply with the social value commitments in Order Schedule 4 (Order Tender)]

<b>For and on behalf of the Supplier:</b>		<b>For and on behalf of the Buyer:</b>	
Signature:	<b>FOIA Section 40 Personal Data</b>	Signature:	<b>FOIA Section 40 Personal Data</b>
Name:		Name:	
Role:	PARTNER	Role:	Procurement Manager
Date:	12/12/24	Date:	12/12/24

**Order Schedule 5 (Pricing Details)**

Order Ref:  
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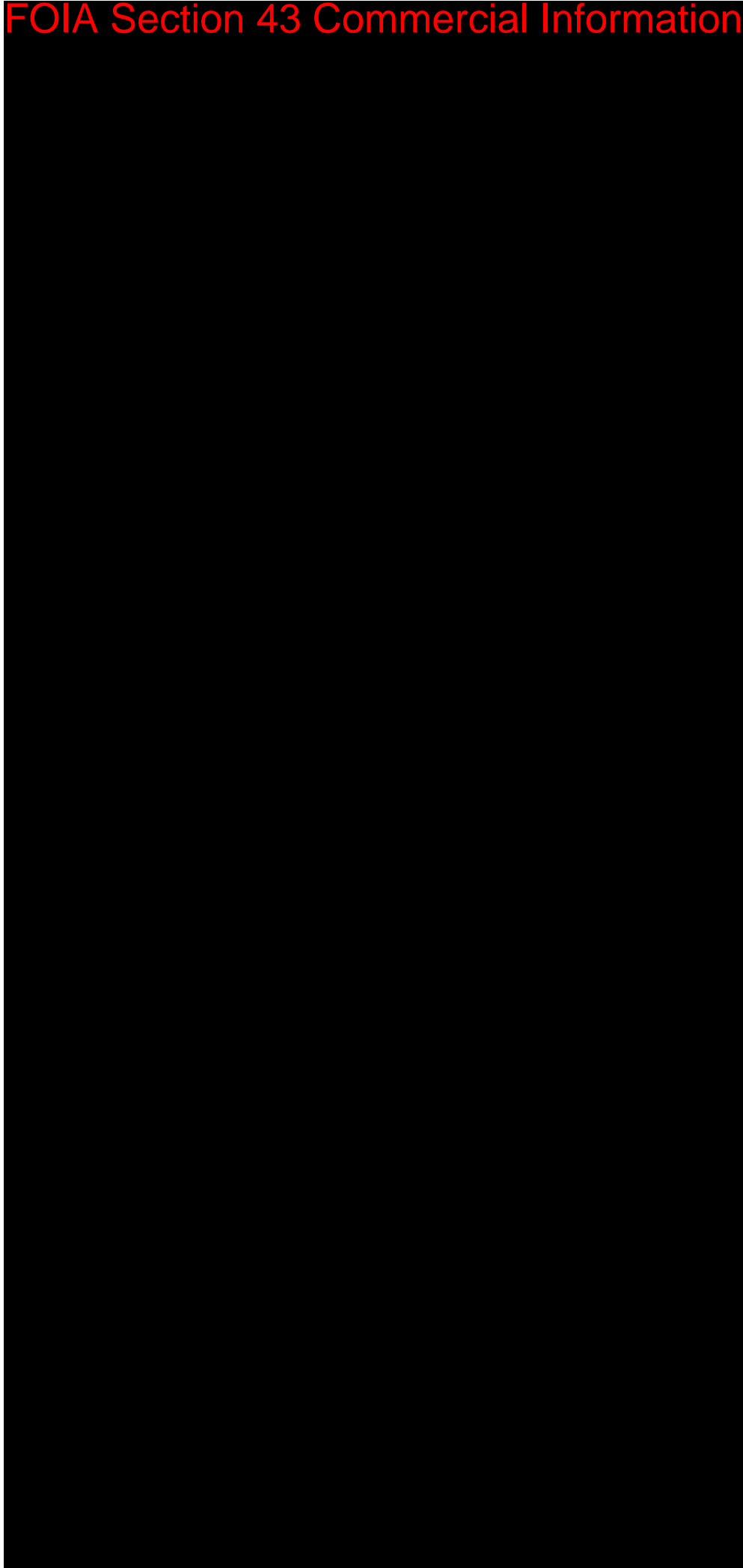
**FOIA Section 43 Commercial Information**



RM6126 - Research & Insights DPS  
Project Version: v1.0  
Model Version: v1.0

FOIA Section 43 Commercial Information







## Joint Schedule 11 (Processing Data)

### Definitions

1. In this Schedule, the following words shall have the following meanings and they shall supplement Joint Schedule 1 (Definitions):

**“Processor Personnel”** all directors, officers, employees, agents, consultants and suppliers of the Processor and/or of any Sub-processor engaged in the performance of its obligations under a Contract;

### Status of the Controller

2. The Parties acknowledge that for the purposes of the Data Protection Legislation, the nature of the activity carried out by each of them in relation to their respective obligations under a Contract dictates the status of each party under the DPA 2018. A Party may act as:

- (a) “Controller” in respect of the other Party who is “Processor”;
- (b) “Processor” in respect of the other Party who is “Controller”;
- (c) “Joint Controller” with the other Party;
- (d) “Independent Controller” of the Personal Data where the other Party is also “Controller”,

in respect of certain Personal Data under a Contract and shall specify in Annex 1 (*Processing Personal Data*) which scenario they think shall apply in each situation.

### Where one Party is Controller and the other Party its Processor

3. Where a Party is a Processor, the only Processing that it is authorised to do is listed in Annex 1 (*Processing Personal Data*) by the Controller.
4. The Processor shall notify the Controller immediately if it considers that any of the Controller’s instructions infringe the Data Protection Legislation.
5. The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any Processing. Such assistance may, at the discretion of the Controller, include:
  - (a) a systematic description of the envisaged Processing and the purpose of the Processing;
  - (b) an assessment of the necessity and proportionality of the Processing in relation to the Deliverables;

## Joint Schedule 11 (Processing Data)

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- (c) an assessment of the risks to the rights and freedoms of Data Subjects; and
  - (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
6. The Processor shall, in relation to any Personal Data Processed in connection with its obligations under the Contract:
- (a) Process that Personal Data only in accordance with Annex 1 (*Processing Personal Data*), unless the Processor is required to do otherwise by Law. If it is so required the Processor shall notify the Controller before Processing the Personal Data unless prohibited by Law;
  - (b) ensure that it has in place Protective Measures, including in the case of the Supplier the measures set out in Clause 14.3 of the Core Terms, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures) having taken account of the:
    - (i) nature of the data to be protected;
    - (ii) harm that might result from a Personal Data Breach;
    - (iii) state of technological development; and
    - (iv) cost of implementing any measures;
  - (c) ensure that:
    - (i) the Processor Personnel do not Process Personal Data except in accordance with the Contract (and in particular Annex 1 (*Processing Personal Data*));
    - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:
      - (A) are aware of and comply with the Processor's duties under this Joint Schedule 11, Clauses 14 (*Data protection*), 15 (*What you must keep confidential*) and 16 (*When you can share information*);
      - (B) are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;
      - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Controller or as otherwise permitted by the Contract; and
      - (D) have undergone adequate training in the use, care, protection and handling of Personal Data;
  - (d) not transfer Personal Data outside of the UK or EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

## Joint Schedule 11 (Processing Data)

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- (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with UK GDPR Article 46 or LED Article 37) as determined by the Controller;
    - (ii) the Data Subject has enforceable rights and effective legal remedies;
    - (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
    - (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the Processing of the Personal Data; and
  - (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.
7. Subject to paragraph 7 of this Joint Schedule 11, the Processor shall notify the Controller immediately if in relation to it Processing Personal Data under or in connection with the Contract it:
- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
  - (b) receives a request to rectify, block or erase any Personal Data;
  - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
  - (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data Processed under the Contract;
  - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
  - (f) becomes aware of a Personal Data Breach.
8. The Processor's obligation to notify under paragraph 6 of this Joint Schedule 11 shall include the provision of further information to the Controller, as details become available.
9. Taking into account the nature of the Processing, the Processor shall provide the Controller with assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under paragraph 6 of this Joint Schedule 11 (and insofar as possible within the timescales reasonably required by the Controller) including by immediately providing:

## Joint Schedule 11 (Processing Data)

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- (a) the Controller with full details and copies of the complaint, communication or request;
  - (b) such assistance as is reasonably requested by the Controller to enable it to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
  - (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
  - (d) assistance as requested by the Controller following any Personal Data Breach; and/or
  - (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.
10. The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Joint Schedule 11. This requirement does not apply where the Processor employs fewer than 250 staff, unless:
- (a) the Controller determines that the Processing is not occasional;
  - (b) the Controller determines the Processing includes special categories of data as referred to in Article 9(1) of the UK GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the UK GDPR; or
  - (c) the Controller determines that the Processing is likely to result in a risk to the rights and freedoms of Data Subjects.
11. The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
12. The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.
13. Before allowing any Sub-processor to Process any Personal Data related to the Contract, the Processor must:
- (a) notify the Controller in writing of the intended Sub-processor and Processing;
  - (b) obtain the written consent of the Controller;
  - (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this Joint Schedule 11 such that they apply to the Sub-processor; and
  - (d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.
14. The Processor shall remain fully liable for all acts or omissions of any of its Sub-processors.
15. The Relevant Authority may, at any time on not less than thirty (30) Working Days' notice, revise this Joint Schedule 11 by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an

## **Joint Schedule 11 (Processing Data)**

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applicable certification scheme (which shall apply when incorporated by attachment to the Contract).

16. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Relevant Authority may on not less than thirty (30) Working Days' notice to the Supplier amend the Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

### **Where the Parties are Joint Controllers of Personal Data**

17. In the event that the Parties are Joint Controllers in respect of Personal Data under the Contract, the Parties shall implement paragraphs that are necessary to comply with UK GDPR Article 26 based on the terms set out in Annex 2 to this Joint Schedule 11.

### **Independent Controllers of Personal Data**

18. With respect to Personal Data provided by one Party to another Party for which each Party acts as Controller but which is not under the Joint Control of the Parties, each Party undertakes to comply with the applicable Data Protection Legislation in respect of their Processing of such Personal Data as Controller.
19. Each Party shall Process the Personal Data in compliance with its obligations under the Data Protection Legislation and not do anything to cause the other Party to be in breach of it.
20. Where a Party has provided Personal Data to the other Party in accordance with paragraph 8 of this Joint Schedule 11 above, the recipient of the Personal Data will provide all such relevant documents and information relating to its data protection policies and procedures as the other Party may reasonably require.
21. The Parties shall be responsible for their own compliance with Articles 13 and 14 UK GDPR in respect of the Processing of Personal Data for the purposes of the Contract.
22. The Parties shall only provide Personal Data to each other:
  - (a) to the extent necessary to perform their respective obligations under the Contract;
  - (b) in compliance with the Data Protection Legislation (including by ensuring all required data privacy information has been given to affected Data Subjects to meet the requirements of Articles 13 and 14 of the UK GDPR); and
  - (c) where it has recorded it in Annex 1 (*Processing Personal Data*).
23. Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, each Party shall, with respect to its Processing of Personal Data as Independent Controller, implement and maintain appropriate technical and organisational

## Joint Schedule 11 (Processing Data)

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measures to ensure a level of security appropriate to that risk, including, as appropriate, the measures referred to in Article 32(1)(a), (b), (c) and (d) of the UK GDPR, and the measures shall, at a minimum, comply with the requirements of the Data Protection Legislation, including Article 32 of the UK GDPR.

24. A Party Processing Personal Data for the purposes of the Contract shall maintain a record of its Processing activities in accordance with Article 30 UK GDPR and shall make the record available to the other Party upon reasonable request.
25. Where a Party receives a request by any Data Subject to exercise any of their rights under the Data Protection Legislation in relation to the Personal Data provided to it by the other Party pursuant to the Contract (**“Request Recipient”**):
  - (a) the other Party shall provide any information and/or assistance as reasonably requested by the Request Recipient to help it respond to the request or correspondence, at the cost of the Request Recipient; or
  - (b) where the request or correspondence is directed to the other Party and/or relates to that other Party's Processing of the Personal Data, the Request Recipient will:
    - (i) promptly, and in any event within five (5) Working Days of receipt of the request or correspondence, inform the other Party that it has received the same and shall forward such request or correspondence to the other Party; and
    - (ii) provide any information and/or assistance as reasonably requested by the other Party to help it respond to the request or correspondence in the timeframes specified by Data Protection Legislation.
26. Each Party shall promptly notify the other Party upon it becoming aware of any Personal Data Breach relating to Personal Data provided by the other Party pursuant to the Contract and shall:
  - (a) do all such things as reasonably necessary to assist the other Party in mitigating the effects of the Personal Data Breach;
  - (b) implement any measures necessary to restore the security of any compromised Personal Data;
  - (c) work with the other Party to make any required notifications to the Information Commissioner's Office and affected Data Subjects in accordance with the Data Protection Legislation (including the timeframes set out therein); and
  - (d) not do anything which may damage the reputation of the other Party or that Party's relationship with the relevant Data Subjects, save as required by Law.

## **Joint Schedule 11 (Processing Data)**

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27. Personal Data provided by one Party to the other Party may be used exclusively to exercise rights and obligations under the Contract as specified in Annex 1 (*Processing Personal Data*).
28. Personal Data shall not be retained or processed for longer than is necessary to perform each Party's respective obligations under the Contract which is specified in Annex 1 (*Processing Personal Data*).
29. Notwithstanding the general application of paragraphs 2 to 16 of this Joint Schedule 11 to Personal Data, where the Supplier is required to exercise its regulatory and/or legal obligations in respect of Personal Data, it shall act as an Independent Controller of Personal Data in accordance with paragraphs 18 to 27 of this Joint Schedule 11.

## Annex 1 - Processing Personal Data

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

- 1.1 The contact details of the Relevant Authority's Data Protection Officer are: **FOIA Section 40 Personal Data**
- 1.2 The contact details of the Supplier's Data Protection Officer are: **FOIA Section 40 Personal Data**
- 1.3 The Processor shall comply with any further written instructions with respect to Processing by the Controller.
- 1.4 Any such further instructions shall be incorporated into this Annex.

Description	Details
Identity of Controller for each Category of Personal Data	<p><b>The Relevant Authority is Controller and the Supplier is Processor</b></p> <p>The Parties acknowledge that in accordance with paragraph 2 to paragraph 15 and for the purposes of the Data Protection Legislation, the Relevant Authority is the Controller and the Supplier is the Processor of the following Personal Data:</p> <ul style="list-style-type: none"> <li>• <i>The processing is needed in order to ensure that the Processor can effectively deliver the contract to conduct Early-Stage Review of the Place Based Impact Accelerator Account (PBIAA) Funding Scheme. The supplier needs to process the data and engage with relevant people to deliver the study.</i></li> </ul>
Duration of the Processing	<p><i>The processing will occur over the duration of the study which is anticipated to commence in August 2024 and end in August 2025.</i></p>
Nature and purposes of the Processing	<p><i>The nature of the processing will include any operation such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means) in order to conduct an Early-Stage Review of the Place Based Impact Accelerator Account (PBIAA) Funding Scheme. Data/information shared will be for information and analysis purposes, original records will not be altered or deleted as part of this exercise. Storage, retrieval and transmission through secured site.</i></p>



**Joint Schedule 11 (Processing Data)**

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	<i>This activity is required so UKRI can fulfil its public task as set out in the Higher Education Research Act to improve economy, efficiency and effectiveness in carrying out activities in respect of which UKRI gives financial support.</i>
Type of Personal Data	<i>Data will be provided on the investigators receiving IAA funding and key contacts details to include, name, work email address, work telephone number, research postal institution and any outcome reports submitted by PIs or institution grant holder.</i>
Categories of Data Subject	<i>Partners on grants, principal investigator (PI)</i>
Plan for return and destruction of the data once the Processing is complete UNLESS requirement under Union or Member State law to preserve that type of data	<i>Any information or data shared will be used for this study purpose only and will be deleted from digital sites or destroyed (if in physical form; printouts etc.) at the end of the contracted period and the supplier will provide confirmation of this.</i>

## Order Schedule 20 (Order Specification)

This Schedule sets out the characteristics of the Deliverables that the Supplier will be required to make to the Buyers under this Order Contract

# Specification for Early-Stage Review of the Place Based Impact Accelerator Account (PBIAA) Funding Scheme

## Introduction

### *Brief description of requirement*

The Engineering and Physical Sciences Research Council (EPSRC) wishes to commission an early-stage review of the pilot Place Based Impact Accelerator Account (PBIAA), covering its initial two rounds of funding (2023 and 2024). This study will consider the features of the PBIAA, traits of awarded PBIAAs and develop an agreed evaluation framework for the lifetime of the PBIAA mechanism.

The evaluation will also include a monitoring and evaluation framework and clear recommendations for follow-up analysis which will assess the PBIAA's performance throughout the lifetime of the two funding rounds until they are completed in 2027 and 2028 respectively. Both aspects will provide insights to be used by EPSRC and UKRI to inform future data collection and the involvement of place assessment in future funding.

PBIAAs are a new form of funding from EPSRC that seeks to align relevant engineering and physical sciences research outputs to geographic thematic clusters in order to maximise the impact. Traditionally EPSRC has funded awards based on quality and as such the impact or role of place has been secondary to funding decisions. The PBIAA scheme is EPSRC's first funding mechanism with a specific primary place assessment criteria and intentioned geographic balancing of awards. The scheme design was informed by discussion and analysis of the role of place as part of the activities of EPSRC.

The PBIAA is a key mechanism in delivering EPSRC's place strategy and response to wider UKRI and UK Government objectives on place. Over £40m was awarded to 10 proposals in the first round with at least £20m to be awarded in the second round. Understanding the impact of this funding and funding mechanism will be critical to understand the potential for continuation through future rounds and/or incorporation in other EPSRC or UKRI funding mechanisms. It will also form a critical component for future discussions on how R&D funding policy can best meet the needs and potential of all across the UK, as well as enabling targeted support to areas of international competitiveness with respect to R&D and/or productivity of industrial clusters.

### ***Deliverables***

The study will deliver:

- A framework for the evaluation, including a revised Theory of Change, data requirements and collection routes,
- 10 short case studies (around 2 pages each),
- Final evaluation report,
- Recommendations for future evaluation activities.

### ***Completion date***

It is anticipated the final report will be delivered by August 2025.

### **Aims & Objectives**

#### ***Aim of the evaluation activity***

EPSRC wishes to commission an independent study of the PBIAA programme during the initial two funding rounds (2023 and 2024). The study will include an early-stage review of the PBIAA programme and the development of an M&E framework, as well as clear recommendations for a follow-up analysis that will be used by EPSRC to assess the PBIAA programme's performance until 2028, when funding for Round 1 and Round 2 has been completed.

The awarded PBIAAs in Round 1 encompass;

- A) The following scientific remits:
- Logistics,
  - Agricultural technologies,
  - Health technologies,
  - Architecture and the built environment,
  - Photonics,
  - Biotechnology,
  - Semiconductors, and,
  - Energy systems.
- B) The following industrial sectors:
- Food supply,
  - Community healthcare,
  - Constructure,
  - Medtech,
  - Electronics, and,
  - Chemical.

These are focused on clusters across various UK geographies and this list is set to expand following the Round 2 awards which are intended to start during summer 2024. The PBIAAs were awarded across two streams to allow support for both emerging and established clusters and to develop different types of activities across these clusters. Stream 1 (£2.5m award ceiling) for emergent, and Stream 2 (£5m award ceiling) for established clusters. Applicants self-selected their desired stream. The evaluation should consider the extent to which activities differ across the streams and of the effectiveness of this stream approach.

The timeline of the evaluation covers PBIAA projects at different points in their lifecycle:

- Round 1 PBIAAs have already been funded and started (January 2024),
- Round 2 PBIAAs will be selected (Summer 2024) and will be initiating (Autumn/Winter 2024).

Outputs and recommendations of the study will be incorporated into fund management and used by EPSRC to better integrate place into wider future funding mechanisms. While we are not seeking evaluation on an individual award scale, the evaluation should include brief discussion of comparator clusters (with information provided and identified by EPSRC). The potential comparators include Local Policy Innovation Partnerships (ESRC), Prosperity Partnerships (EPSRC), Regional impact from the science of the environment (NERC), Innovation and Knowledge Centres (UKRI), Innovation Accelerators (IUK/DSIT).

This will provide a wider perspective and enable general comparisons to be made within analysis and discussion. These should allow the unique and successful features and processes of the PBIAA programme to be highlighted and recommendations drawn. Features may be shown to be desirable or to have generated unintended consequences. EPSRC also expects the analysis will look at the variable approaches that different PBIAAs

awards have taken, identifying commonalities and aspects that have particularly benefited different types of place, clusters or sectors. Various outcomes and impacts are expected across the programme. Many PBIAA applicants have or will define KPIs for their PBIAA. Some of the key economic, social and productivity impacts so far include;

- Establishing and strengthening collaborations and networks,
- Investments – aligned with and directly attributed to PBIAA activity,
- Policy outputs,
- Knowledge exchange and skills development,
- IP and commercialisation activity,
- Public engagement,
- Increased recognition of cluster/place.

EPSRC also expects the consultant to focus on identifying place-based impacts along the regional/local element, for instance, the extent to which the outcomes and benefits realised are benefitting the immediate area they are situated. Further, it would be beneficial if the consultant could measure the ability of the programme to build capability and capacity, and/or suggest other ways of measuring capability and capacity building outcomes which EPSRC could implement in order to build the foundations to measure this in the future.

This is not an exhaustive list and further outputs, outcomes and metrics can also be found in Appendix A: Logic Model.

The desired approach and deliverables can be found in Section 5 “Requirement.”

## Background to the Requirement

### ***Background to Place Based Impact Accelerator Accounts***

The Place Based Impact Acceleration Account is EPSRC's first place based funding mechanism.

PBIAAs seek to develop the role of universities and research institutions in driving innovative clusters of economic activity. PBIAAs are designed to be a key delivery mechanism for EPSRC's Place strategy, which aims to strengthen existing partnerships and clusters, and develop new co-created opportunities in engineering and physical sciences and beyond; built on national and local insights.

PBIAAs provide up to 4 years of consortia funding to support a programme of impact activities within an emerging or established research and innovation cluster. EPSRC awarded £41m across ten consortia in round one (2023) and intend to award another £20m across six to ten consortia in round two (award announcements intended Summer 2024).

### ***Why is EPSRC working on place?***

UKRI (EPSRC's parent organisation) has a vision to create an outstanding research and innovation system in the UK that gives everyone the opportunity to contribute and to benefit, enriching lives locally, nationally and internationally. To deliver this vision, UKRI's

PBIA Section 43 Commercial Inform sets out six (People and careers, Places, Ideas, Innovation, Impacts and A World-Class Organisation) strategic objectives in order to provide a framework for how this vision will be achieved.

The PBIAA mechanism is looking to deliver against all of these objectives but perhaps most particularly in Place, for which UKRI aspires to “Secure the UK’s position as a globally leading research and innovation nation with outstanding institutions, infrastructures, sectors and clusters across the breadth of the country”.

EPSRC is responding to this challenge with the PBIAA mechanisms which seeks to better connect and accelerate the impact from research outputs to the place based sectoral clusters that most need or will best benefit from this impact and/or are best place to deliver impact from these research outputs.

Through encouraging a concentration of activity towards a specific cluster, we anticipate compounding benefits of complementary activity such that PBIAAs leave a legacy of strengthened, sustainable sectoral clusters across the UK which will increase levels of economic productivity for the benefit of their place and the UK as a whole. We hope that this approach will lead to benefits over and above current support for impact translation activity.

To achieve this the PBIAA scheme was designed with the following features and rationale. The PBIAA was modelled on the proven institutional Impact Acceleration Account mechanism. Impact acceleration accounts (IAAs) are strategic awards providing funding to research organisations to use creatively for a wide range of impact activities. Impact acceleration accounts (IAAs) are strategic awards providing funding to research organisations to use creatively for a wide range of impact activities. Once awarded, IAAs allow research organisations to respond to opportunities in flexible, responsive and creative ways that align with their institutional strategies and opportunities. Responsibility for management of IAAs is devolved to the institution to operate tailored schemes to facilitate the realisation of impact. The awards are intended to add value to existing funding and take advantage of new or unforeseen opportunities.

EPSRC has observed, including through review, key strengths of this scheme including its flexibility, responsiveness and also accessibility to a broad range of stakeholders including smaller businesses. The PBIAA seeks to utilise this proven formula with added inclusion of a sector and place focus.

We allow PBIAAs to seek management costs, up to 15% of the budget (to a maximum of £500,000) to ensure sufficient embedded support to effectively manage the activities and leadership of the PBIAA.

PBIAAs are defined as consortium activities where the consortium must contain a minimum of two applicant universities plus other eligible research organisations as appropriate. This is intended to allow a portfolio of relevant research outputs to be directed from organisations with strengths in the relevant thematic area to the identified place based sectoral cluster. In many cases it is expected (and was observed through round one) that one or more of the organisations is proximate to the target place and will be drawing on and developing pre-existing connections with the place. We placed no EPSRC portfolio restriction on consortium membership, or leadership, recognising that specific EPSRC

remit and impact delivery strengths, of interest to different clusters, exist across a broad range of institutions.

To ensure co-creation and co-delivery, we mandated the inclusion within the consortium of one or more civic organisations that have an interest in developing the identified cluster. The inclusion of these organisation in co-creation and co-delivery of each PBIAA to ensure that the PBIAA is addressing against (that) place-based needs and challenges.

PBIAAs mandated the inclusion of a collaborative fund. This to ensure that funding is available to non-consortium members seeking to ensure that PBIAAs are drawing on the full strengths of the UK. We are also encouraging and supporting PBIAAs to access all relevant communities in identification of impact activities that might benefit their identified cluster.

### ***Current state of programme activities***

In Round 1, 10 proposals (£42m) have been funded and have started (Dec 23-Feb 24). Round 2 will fund further PBIAAs to a current budget (estimated) £20m with decisions expected summer 2024.

### ***Existing monitoring and evaluation process***

We have indicated to applicants and award holders that we will draw on the IAA monitoring and evaluation process and supplied (from the IAA process) a broad list of potential impact outputs against which we would expect PBIAAs to establish, monitor and report on those felt best aligned to the intent of their PBIAA. We have however retained flexibility within this process to define and agree reporting requirements at individual PBIAA and (common) programme level. This has been done intentionally to allow these requirements to be tailored appropriately to individual PBIAAs and to be informed by the requirements of the evaluation process.

## **Scope**

### ***Activities out of scope***

Comparisons may be drawn between this programme and other similar funding mechanisms which focus on place/impact, such as LPIPs, Innovation Zones, or Prosperity Partnerships, however this evaluation should not evaluate those alternative mechanisms in detail. Existing data and evaluations should be used for discussion and broad comparisons. A ROI analysis is also likely out of scope.

### ***Data and other information to be provided by EPSRC***

- A set of funded research grants for investments in the PBIAA scheme which will include title awarded, institution name, award value, partners on grants, their contributions, principal investigator (PI) name and a brief summary of the project.
- EPSRC will also provide other relevant policies and publications – such as;
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We anticipate the need for further collection of information noting that these grants are in early stages and in part this exercise seeks to inform future data collection.

### *Interaction with the successful supplier*

We expect the Supplier to work closely with EPSRC, the nominated EPSRC project officer, and the programme board to review the approaches and methods by which the questions posed in the study could be answered. Regular updates should be provided to the EPSRC project officer through online/email updates; these should include access to research material used to gather primary information. The Supplier would be expected to act on any advice provided by the programme board that is within the scope of the evaluation.

Updates should include:

- Progress updates against key milestones and delivery schedule, and regarding the development of the report; through fortnightly phone/email updates as agreed. Consultants to raise any issues promptly with the EPSRC project management team as soon as they occur.

## Requirement

### *General Requirements*

The evaluation should:

- Be compliant with HMT Green and Magenta Book guidance and requirements with the methodology agreed with UKRI & DSIT,
- Be quantified, and monetised in GBP, where possible,
- Provide qualitative analysis to support or where quantitative elements are not possible,
- Include details of the analysis (the calculations, datasets, analysis and methodology will be required to allow the analysis to be quality assured, however, this can be included in as annexes).

EPSRC also expects the following:

- Datasets gathered as a result of the exercise (with reference to economic modelling and assumptions for future reference by Government analysts),
- Other qualitative outputs generated,
- Any model or modelling tools used to estimate socio-economic impacts, including data sets utilised.

### *Methodology*



The bidder is expected to provide the following:

- i. A description of the methodologies and plans of how they are going to progress and deliver this study, including around gathering and analysing the information which will inform the preparation of the deliverables listed above. If any economic analysis is done this *should follow government guidance on evaluations as outlined in the HMT Magenta Book and HMT Green Book*.
- ii. The case studies, which should be developed through an in-depth exploration and analysis of evidence around the PBIAA programme, and where possible, include quantifiable information. Case studies should be developed so that they can be used for a variety of audiences, such as policymakers, government (i.e. DSIT and Ministers), the general public and others.
- iii. Design and management of a survey to identify the baseline of the PBIAA programme. The survey design should be able to be used for a variety of audiences and by EPSRC to continue monitoring the PBIAA clusters for any future evaluation activities.

The study should clearly outline any assumptions that are used on any estimation. Further, the bidder should consider the challenges and limitations for the evaluation and propose measures to address these where it is feasible. Bidders are encouraged to think innovatively in terms of how they propose to address the evaluation aims, although innovation should not be to the detriment of robustness of the evaluation. We expect the successful Supplier to work closely with EPSRC during the initiation stage developing their approaches and methods if appropriate. Proposals should also consider how to capture and present this for projects that have already commenced under this programme, i.e., collect data retrospectively, especially for those that have not put in place the appropriate data collection protocols.

### **Desired approaches**

The consultants should make recommendations for how this evaluation should be run as part of the bid, but EPSRC expect that this will include the following approaches and techniques;

1. **Updated Theory of Change** for the PBIAA funding scheme.
2. **Updated Evaluation Framework** providing clear and pragmatic recommendations on the metrics and reporting framework to guide any future data collection.
3. **Evidence Collection**, including gathering and analysing all quantitative and qualitative data currently available around the PBIAA programme as provided by EPSRC, using this to identify gaps in the current reporting structure.
4. **Design and Delivery of a Survey** of PBIAA, providing further insight into the outputs and outcomes achieved and expected from the PBIAA programme. This will involve the survey design for a follow-up survey for the period 2024 – 2028 for EPSRC to use internally.
5. **10 short case studies** (2 pages in length). The case studies should be balanced across Stream 1 and 2 proposals. A template and guidance should be provided that can be used for future case study recording and development for EPSRC to use internally.

6. **Process review** of PBIAA Funding Mechanism, using insights gained from the above to highlight what went well, including the successful approaches/success features of the PBIAA programme, and areas for improvement. This includes an element of broadly comparing PBIAA's processes to comparator schemes (as provided by EPSRC).
7. **Final Evaluation Report**, this will provide advice to EPSRC on PBIAA's current and future direction and performance - supporting informed decisions around place focusing investments in the future. The report will be published on the UKRI website.
8. **Slide Deck and Infographics** summarising the deliverables and key findings.

*Additional Deliverables:*

- Formatted data from the surveys and analysis for internal use only, gathered as a result of the exercise and which can be used for future reference.

These deliverables will feed into the future analysis for the PBIAA funding mechanism, the future spending review and business case development. The data may also be used to inform the mid-term reporting of Round 1, expected in 2026.

**Evaluation deliverables**

An example structure for the different deliverables is presented below. These stages will be shared with the PBIAA Programme Board for review.

**Scoping Work (December 2024)**

Discussion and agreement of the precise scope of the study. This includes governance arrangements and agreement on timelines, data collection methodologies and the case studies topics. Expected risks and associated mitigations should be identified, as well as stakeholders to consult.

This stage will build on the preparatory work and include:

1. A review and update of the Theory of Change for the PBIAA programme which will form the basis of any analysis,
2. An associated and finalised evaluation framework for this study and future evaluations, including recommendations for post study M&E activities,
3. An agreed survey design which can then be sent to the PBIAA programme grant holders.

Overall this work should finalise the most appropriate metrics (and outputs, outcomes and impacts) to measure the success of PBIAA, which can then inform analysis in a future evaluation. This should also focus on identifying regional and local impacts, specifically the extent to which the outcomes and benefits are benefitting the immediate area they are situated. The updated Theory of Change, evaluation framework, and survey questions should illustrate this and will inform the basis of the evaluation work.

This work will also look at the current data and identify current gaps in the reporting, and inform which metrics, outputs, outcomes and impacts to measure in this study - across the

entire range of PBIAA clusters as well as more specific metrics for particular types of cluster.

One consideration for any M&E process is to achieve a balance between adequate reporting and transparency, whilst not becoming overly burdensome. The activity will, therefore, also include an examination of which questions are relevant across the programme lifecycle and merit inclusion.

#### ***Initial analysis (December 2024)***

This stage should involve sharing initial findings and deliverables with EPSRC for review.

Outputs expected at this stage:

1. Initial analysis of all available data, including provided by EPSRC and available from relevant external databases,
2. The agreed Survey Design sent out to PBIAA users is now analysed and early stage insights provided,
3. First draft of the 10 (2-page) case studies,
4. First draft of the PBIAA programme process review, including comparison against other schemes.

#### ***First draft of Report (February 2025)***

An early draft of the report to allow for comment, direction and feedback, see final report guidance below.

#### ***Final Report – Early-Stage Review (Aug 2025).***

The early-stage review report is finalised, providing an overview and evidencing the outputs, outcomes and impacts and success features of the PBIAA programme, which can be used as a baseline.

Outputs expected at this stage:

1. A publishable report with all analysis complete with full conclusions drawn,
2. PowerPoint slides/slide deck summarising outputs and key findings.

Aspects expected to be included within the report:

- Overview and conclusions from the study,
- The full results from the survey of PBIAA clusters,
- Survey design which can be used by EPSRC to continue to monitor the PBIAA programme,
- Full analysis of all available data – including provided by EPSRC and sourced from relevant external databases,

- Final 10 short case studies, illustrative of the range of activities and approaches taken by various PBIAAs to deliver benefits to their identified clusters,
- Finalised discussions on the successful features and processes of the PBIAA programme, including against comparator programmes, and recommendations for use in future place-focused funding or programmes.

### **Evaluation use and audience**

The evaluation will be published on the UKRI evaluation website.

We expect the study to create evidence that will be accessible for different audiences including treasury, government, business, academia and the public.

The information gathered through this exercise will help EPSRC and UKRI build the evidence base to support bids for future funding in this area and to highlight successes from past investments.

### **Key Evaluation Questions**

Potential lines of enquiry could include (but are not limited to):

- How has the PBIAA funding mechanism best supported regional development and what could be implemented in future rounds or intended place-based focused programmes?
- What about this has led to enhanced benefits, as compared to a non-place focused mechanisms?
- What features of the PBIAA differs from other models and how has this been successful or had unintended negative outcomes?
- How has PBIAA developed engagement and collaboration with different stakeholders and what benefits has this provided for future research activity?
- How is the PBIAA changing a culture of co-creation and co-delivery of R&I activity with civic and other stakeholders?
- To what extent is the programme likely to produce economic benefits in terms of employment, products and services, cost savings, productivity etc?
- What were the enabling conditions in the instances positive outcomes were observed?

Case studies should be informed by the theory of change/logic model in Appendix A.

### **Timetable**

<b>Phase</b>	<b>Deliverable</b>	<b>Date</b>
1	Scoping Work	December 2024
2	Initial Analysis	December 2024
3	First Draft Early-Stage Review Report	February 2025
4	Final Early-Stage Review Report	August 2025

Order Schedule 20 (Order Specification)

Order Ref:

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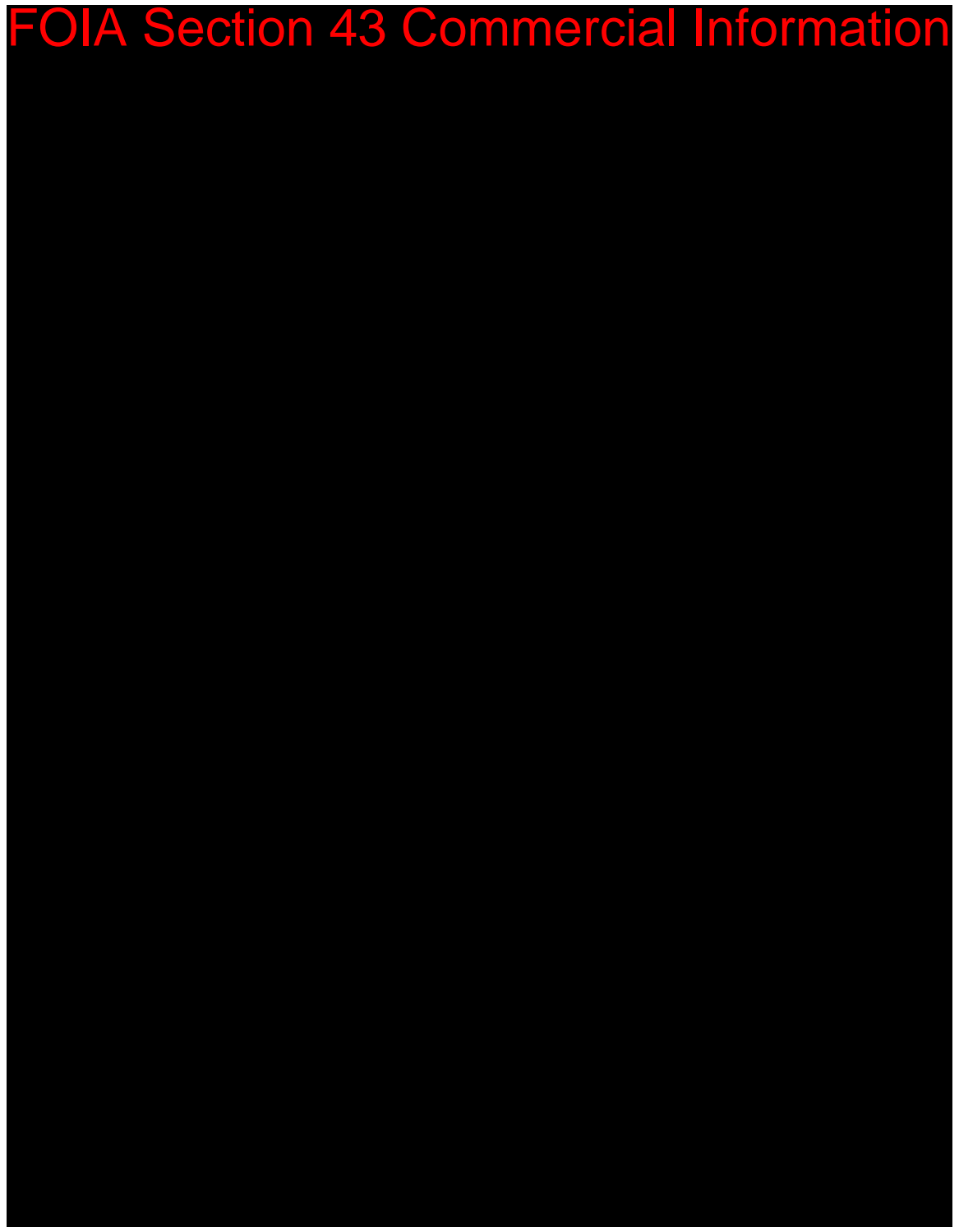
Total budget: £120,000 ex vat

Milestones and deliverables will be discussed at the inception meeting and the outline plan revised accordingly within the first deliverable – the scoping report. It is envisaged the Supplier will work closely with EPSRC and the project advisory board to deliver and evolve the study as it progresses, subject to terms and conditions.

After the completion of each stage the EPSRC reserves the right to terminate the contract on grounds of performance and/or budget, subject to terms and conditions.

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