



**Provision of Analysis of Consultation Responses for:
Consultation on Adult Disability Payment (ADP)
Regulations**

Pricing Schedule

Section 1

| Requirement | Number of Days | Rate per day ex VAT for the contract period | Total ex VAT for contract period |
|-------------------------------------------------------------------------------------------------------|----------------|---------------------------------------------|----------------------------------|
| 1. Base Cost: for meeting the project aims and objectives and delivering all outputs specified | | | |
| <i>40 substantive responses</i> | 15 | £400 | £6,000.00 |
| TOTAL COST FOR SECTION 1 | | | £6,000.00 |

Section 2

| Requirement | Number of Days | Rate per day ex VAT for the contract period | Total ex VAT for contract period |
|------------------------------------------------------------------------------------------------|----------------|---------------------------------------------|----------------------------------|
| 2. Additional Cost: assuming analysis of responses | | | |
| <i>The additional cost for each band of up to 10 further substantive, beyond the first 40.</i> | 1 | £400.00 | £400.00 |
| TOTAL COST FOR SECTION 2 | | | £400.00 |

Section 3

| Requirement | Number of Days | Rate per day ex VAT for the contract period | Total ex VAT for contract period |
|------------------------------------------------------------------------------|-------------------------------|---------------------------------------------|----------------------------------|
| 3. FIXED COSTS (e.g. for equipment, access to data, overheads) | please do not enter data here | | £2,100.00 |

| | |
|----------------------------------------------------------------------------------------------------------------------------------|------------------|
| TOTAL COST OF ITEMS 1, 2 AND 3 ABOVE NOTE: THIS IS THE COST THAT WILL BE USED FOR THE COMMERCIAL EVALUATION | £8,500.00 |
|----------------------------------------------------------------------------------------------------------------------------------|------------------|

Maximum Numbers

There is no maximum number of responses that we would be able to handle. If significantly more responses are received than anticipated, additional staff hours can be allocated to assist with analysis, with an associated increase in cost based on the rates provided.

Breakdown of the staff involved in this contract and their hourly rate

| Staff member | Project Role | Estimated Time (Hours) | Activities / Tasks | Hourly Rate £ |
|--------------------------|--------------------|------------------------|-------------------------------------------------------------|---------------|
| [redacted] | Project Manager | 82.5 | Project management, data cleaning, data analysis, reporting | £53.33 |
| [redacted] | Research Associate | 37.5 | Data analysis and reporting | £53.33 |
| [redacted] | Quality Manager | 37.5 | Quality assurance of analysis and all reports | £53.33 |
| Administration (various) | Administration | As needed | Data entry and data cleaning | £18 |
| TOTAL | | 157.50 | | |



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Regulations**

Technical Proposal

Section A: Understanding of the Requirement

Background and Context

The Scotland Act 2016 transferred new powers to the Scottish Parliament relating to social security, including responsibility over certain benefits. It allowed Scottish Ministers to develop new policies on benefits that will help tackle inequality and poverty in Scotland. The devolved social security system aims to:

“...create a Scottish social security system based on dignity, fairness and respect, which will help to support those who need it, when they need it.”¹

As part of this change, the Scottish Government has already carried out a number of consultations with key stakeholders, including organisations and individuals with experience of receiving benefits, to ensure that Scotland has a social security system that is user-informed and meets the needs of the large number of people who rely on benefits in their daily lives.

We understand that the latest of such consultations focusses on the regulations required for delivery of the Adult Disability Payment (ADP), a new form of disability assistance delivered by Social Security Scotland. This will replace the Personal Independence Payment (PIP), currently operated by the Department for Work and Pensions (DWP), for eligible individuals living in Scotland. The ADP is for individuals between the ages of 16 and state pension age to mitigate the additional costs of living with a disability or health condition.

In reflecting the Scottish Government’s approach to social security, Adult Disability Payment is intended to be person-centred, taking into account the specific needs of each client. For this reason, the consultation was open/public in nature and contributions were invited from a broad range of different stakeholders to ensure that their views were represented in the final shaping of the regulations. In turn, this should lead to improvement in the experience of disabled people in interacting with the social security system.

Main Aims

The purpose of the current commission is to provide robust and timely analysis of responses to the ADP consultation, which contains questions to collect views on:

- the policy intentions and draft regulations in principle;
- any perceived gaps, issues or unintended consequences of the draft regulations; and
- possible impacts of the regulations for individuals, specific communities, organisations and businesses (recognising the Fairer Scotland Duty).

We understand that the consultation paper had been made publicly available since 21 December 2020 and will close on 15 March 2021 and the main means of contributing is via the Scottish Government’s online consultation platform, Citizen Space. It contains 35 questions, including 15 closed and 20 open questions and around 50-70 responses are expected.

We also know that Social Security Scotland aims to be a leader in inclusive communication and has committed to asking people on an ongoing basis about their experience of dealing with the agency, so that they make any necessary changes in response. In line with this ethos, we understand that the Scottish government has plans to hold a small number of consultation engagement events with stakeholders to provide a more accessible opportunity for disabled people to contribute to the consultation. This is especially important for those living with sensory impairments or disabilities (for whom written and spoken English may be challenging) and those facing wider communication barriers (including adults with cognitive disabilities or

¹ <https://www.socialsecurity.gov.scot/>

learning difficulties) who may find the length, complexity and detail contained in the consultation paper difficult to navigate). Our job is to consider and incorporate the findings from these engagement events alongside the main online consultation feedback to ensure that the views of participants are integrated in the final analysis report.

Similarly, recognising that inclusive communication is key to the current consultation, we anticipate that some responses may have been submitted in alternative formats including, for example, spoken word, Easy Read, or text based on interpretation by British Sign Language (BSL) or other communication professionals. It is essential that as many people as possible understand what the new payment is about and are able to communicate with the agency in the way they want to and we recognise that the same applies here. All such contributions will need to be analysed with equal weight to ensure that the findings reflect the views of all.

Intended Audience

The consultation is intended for both individuals and organisations, including, but not limited to:

- adults living with a disability and their families;
- carers and supporters of individuals living with a disability;
- disabled people's organisations (DPOs) and other support services;
- regional access panels and other similar accessibility organisations; and
- health, care and social work professionals (including those in the private, public and voluntary sectors) who work to support adults living with disabilities and their families.

Through our previous research in the disability and social security fields, we have engaged with numerous disabled adults and young people (including those with physical, cognitive and hidden disabilities), DPOs and third sector care and support providers. We know that each will have different perspectives on the proposed ADP payment (as well as having various different historic experiences of the PIP which it will replace). Our job will be to present any difference in views that may be linked to personal or professional orientation and to provide context for any divergence in views.

Informing the Policy-Making Process

Ensuring that consultation data are analysed in a systematic and transparent manner, with findings reported in a way that is clearly linked to the data in which they are grounded is essential for informing future update of the ADP regulations. We understand that the consultation analysis report will be used alongside other data to adjust the draft regulations which, in accordance with the Social Security (Scotland) Act 2018, will then be scrutinised by the independent Scottish Commission on Social Security. The regulations will be revised as needed following the Commission's report and then laid in draft for approval by the Scottish Parliament. Our role is to present both technically complex data alongside non-specialised data in a clear, transparent and accessible way to facilitate this process.

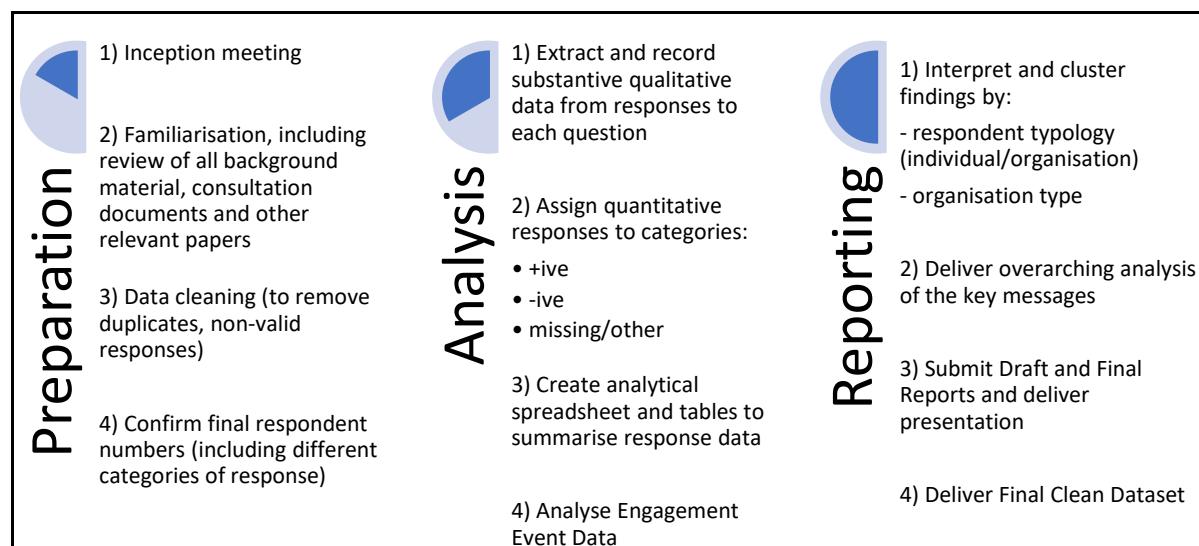
Our Offer

Our team, comprising [redacted], is ideally placed to carry out the required analysis and can demonstrate a significant breadth and depth of experience in social inclusion, health, disability and poverty research, as well as successfully analysing responses to numerous Scottish Government consultations across a wide range of policy fields. All specialise in social research and have previous experience of carrying out qualitative and quantitative projects with a range of professionals and members of the public linked to the social security system as well as wider care and health systems across Scotland. As a team, we are confident that we could deliver the current requirement on time and within budget as well as providing significant added value based on our relevant research histories (see CVs appended).

Section B: Proposed Approach, Methods and Ethics

Overview of Proposed Approach

An overview of our proposed approach to consultation analysis, which we have used successfully on numerous previous occasions for the Scottish Government, is set out below:



Familiarisation and Work Planning

We have assumed a brief inception meeting will be required which will allow us to meet remotely and discuss your requirements in more detail and to finalise the approach to the work. At that meeting, we would like to learn more from you about the background to the consultation, how and why the consultation paper was developed and how the consultation was facilitated (including more detail on the engagement events). Immediately thereafter, we would request access to all responses received to date, to allow us to familiarise ourselves with the data early on and start early visual analysis (we already have a Citizen Space account, which should speed this process). After the inception meeting, we will provide an inception report, confirming the final agreed project plan. This would include a detailed work plan showing key milestones and dates for delivery as well as confirmation of task allocations to specific staff.

Reading and Processing of Responses and Data Cleaning

Once access is given to the relevant consultation on Citizen Space, and the consultation is closed, we will begin by verifying the total number of responses received. This will involve reading all online responses as well as any non-standard submissions, checking that any hard copy or non-standard responses that have been received do not duplicate those submitted online (for example, if an individual or organisation has posted or emailed a response directly to the Scottish Government, we must check that a duplicate has not also been uploaded via Citizen Space). Any duplicate entries would be removed with agreement from you. For the avoidance of doubt, however, we would suggest that a duplicate case is one where both the respondent and the substantive response is identical in nature. Responses submitted by different individuals from the same organisations may be permissible in some cases, especially if the content is different and so would be counted as valid. Similarly, responses that have the same content but have been submitted by different individuals or organisations may also be permissible. Any such cases would be discussed with you before a final decision is made whether to retain or remove these cases. Multiple responses submitted by the same contributor would be merged into a single composite response, again following liaison with you. Original data would **not** be removed from the spreadsheet entirely, but rather redundant information would be moved to a separate worksheet within the database with explanatory notes added for audit purposes.

We note that you do not anticipate any organised campaign responses or social media comments, but we would liaise with you about the analytical implications of any such responses should they arise. For the avoidance of doubt, our approach to any campaign and social media responses would include:

- **Standard campaign responses:** in which the respondent has simply added their name to the standard text provided by a campaign organiser without making any changes to it. We anticipate that these responses would need to be counted for each separate campaign and a full synopsis of any campaign responses provided in the report;
- **Non-standard campaign responses:** in which the respondent has edited the standard text provided by a campaign organiser or added their own comments to it before submitting it (usually via a campaign organiser's website). In such cases, we have assumed that the additional content should be included in the analysis database and validated as with any other response; and
- **Social Media responses:** will be treated in the same manner as emailed responses, with text extracted and entered into the master database as 'additional comments' for analysis.

Note: Analytical commentary would be added to the final report to caveat the strength of any findings based on campaigns or social media responses.

Our approach would be to keep the original data unedited so as to retain a 'raw' database of responses and to also create a second, separate 'clean' spreadsheet (in Excel) for our own analysis purposes (with any personal data removed). This analytical spreadsheet would be edited to remove any extraneous data or data not relevant to the questions being asked. It would also contain separate worksheets for the qualitative and quantitative responses to each question. These would be the main spreadsheets that we would work with for analysis purposes, but keeping the original files 'intact' also means that no data are ever completely lost and that there is a clear audit trail for us to link back our analysis/summary reporting, should this be required.

Consultation Events

We note that approximately 7 consultation events with various stakeholders will take place as part of the overall engagement for the consultation and that typed notes setting out key points from those events will be made available for analysis by the close of the consultation, to allow us to include feedback in the analysis.

We have assumed that the format of these events will broadly follow the main consultation structure so that any data generated can be mapped directly onto findings from the main consultation spreadsheet. Feedback from these events can either be extracted and added to the main database, or a separate analytical spreadsheet created. We would read and review the format of these data before a final decision is made on how best to combine the different sources of evidence for analysis, but anticipate that any key themes to emerge from these sessions will be combined with the main data for reporting purposes (clearly setting out the data gathering source of any contributions).

Note: Should the events include collection of material in audio or visual format, or include data provided by interpreters, etc., we have assumed that this will be translated before being provided to us for analysis. We would be pleased to liaise directly with those leading the events to gain any additional context which is not apparent from the notes provided, if appropriate.

Analysis of Responses

All responses would be given a unique coded identifier and personal data removed from the working datasets. All responses are then categorised based on 'type' e.g. organisation and individual and 'sub-type', e.g. DPO, access panel, academic, carers organisations, etc.

Quantitative data (from closed questions) will be analysed to create descriptive statistical tables showing the number and percentage of respondents agreeing or disagreeing with each question. All responses would also be categorised based on ‘type’ e.g. organisation and individual, and ‘sub-type’. This allows us to present disaggregate analysis to highlight any differences in quantitative findings between groups, if appropriate.

[redacted]

Our team consists of three researchers who can increase/decrease their input depending on the number of responses received and the volume of qualitative data generated. For example, should less than 50 responses be received, we are likely to need only one researcher to complete the analytical work, whereas 100+ responses would typically be led by one lead analyst and one support researcher. Regardless of numbers, we would undertake inter-rater reliability analysis for one another on a sub-set (20%) of the responses. Cross-checking of analysis would be used for two reasons:

- 1 - to ensure consistency with which instances/responses have been assigned to the various categories (i.e. positive, negative, neutral) by our lead analyst; and
- 2 - to ensure interpretation of responses is sensible and likely to have been the same if carried out by a different reader (i.e. to minimise interpretation bias).

The first ensures consistency *within* the observer and the second ensures consistency *between* observers.

Reporting

The Draft (and Final) Report will explore patterns to emerge from the data and will be structured as per the consultation itself. We note that the Final Report should include an Executive Summary, a background, methodology and respondent profile overview, and a series of chapters outlining the consultation findings. In addition, we suggest including a final concluding chapter which highlights the main findings and any cross-cutting issues to emerge. We would also be happy to provide a list of any references and links to additional materials cited in the consultation responses either as an appendix to the report or under separate coverage as appropriate. We expect that findings will be structured around each of the consultation questions, and would explore patterns to emerge from the data analysis and present descriptive overviews of the data at the section and individual question level. We anticipate the report will be no longer than 50 pages and will be written in plain English and produced to a publishable standard.

Providing a Clean Dataset

In delivering the clean dataset, we would perform a spell check of all content, remove all personal and sensitive data, edit out any defamatory statements or other inappropriate content and remove all duplicates. We have assumed that the majority of responses (circa 90%) will be provided in electronic format and submitted in the standard fashion via Citizen Space. We know from experience, however, that some respondents prefer or need to submit responses in alternative formats, including written responses by post or email. In such cases, we note that these are to be added manually by us to the master database. Non-standard responses that do not follow the questions asked, for example, may require separate analysis as it may not be possible to extract relevant exerts and place data alongside set consultation questions. These would still be contained in the master database as ‘other comments’.

Ethics and Data Protection

The main ethical concerns for this contract are data protection and upholding anonymity in reporting.

Data Protection - One of the main risks attached to a project of this kind is the safe handling and management of data. We understand that data will be available in electronic format and may include Word documents, PDF documents or Excel documents containing:

- **Main data** - written responses to the consultation questions to be analysed as directed;
- **Personal Data** - names and contact details for respondents not to be analysed or stored; and
- **Sensitive/Special Category personal data** - to be screened out and not to be analysed or stored.

We take seriously our responsibilities with regard to protection of sensitive data and fully adhere to the EU General Data Protection Regulation (GDPR). To safeguard against unauthorised access, all personal data is held securely in password protected files and only accessible to the immediate project team. Responses are held separately to respondents' personal data and are anonymised using unique coded identifiers. Any data which may inadvertently identify a respondent would be edited to ensure that anonymity was upheld. This means that, even if data are stolen, lost or if there is unauthorised access, those data cannot be linked back to individuals. All computers used by staff are password protected and locked when not in use (so if stolen/lost, data cannot be accessed). When not in use, computers are stored in lockfast facilities. Cyber-security/anti-virus is provided by [redacted].

Data ownership would rest with you and all dissemination of data and findings would be at your discretion. Data is only held for as long as is necessary and will be destroyed securely as per legislation and at the request of the Scottish Government and written confirmation will be provided.

Anonymity - We would ensure anonymity of all consultation responses where this has been requested and note that a Respondent Information Form (RIF) has been used as part of the consultation which allows respondents to indicate if they are content for extracts of their responses to be quoted in the report (meaning that any material quoted directly from responses is only done with permission from the contributor). This is especially important in producing the final clean dataset and we would work closely with you to ensure that we meet GDPR requirements. We suggest sharing of any personal or sensitive data via a Secure File Transfer Protocol, and this is a practice we are familiar with and have used on numerous previous occasions.

Our Project Manager is a member of the British Psychological Society, British Society of Criminology, the European Association of Psychology and Law and Social Research Association (and follows their Codes of Ethical Conduct accordingly). [redacted] is also a Certified Member of the Market Research Society.

Dependencies

We have an excellent reputation for working independently and with minimal need for supervision. For the avoidance of doubt, and to ensure smooth running of the project, however, we would ask that you assist us with:

- having a dedicated Project Manager within the Scottish Government to be our main contact and to whom we can direct any project related queries;
- agreeing the scope of the project during a formal inception meeting;
- initial access to consultation responses as soon as possible after inception and pending closure of the consultation;
- providing any supplementary/non-standard submissions as soon as possible after receipt to allow for any extraction of data that is required;
- controlled and timely access to any supplementary secondary data that you hold and which may need to be analysed by us to provide context, ensuring that access does not affect project timescales;
- working with us to agree suitable respondent typologies for disaggregate analysis; and
- feedback on all draft and final reports in a timely manner with all comments collated and reconciled.

We would be keen to work closely with you at all stages of the project to ensure that the research runs as planned, and that any challenges can be tackled together quickly as they emerge. We have assumed that all work can be completed remotely and we will provide regular updates by email and telephone detailing the progress of the analysis, how the work is proceeding, the emerging findings, the issues identified and next steps, etc. We have assumed that only one formal minuted meeting is required (i.e. on inception) as well as one face-to-face or remote presentation of results.

Our responses to Schedule 4 questions (relating to criminal convictions, level of insurance cover, the Scottish Business Pledge and Scottish Living Wage Accreditation) can be found in Appendix A.

Section C: Staffing, Skills, Task Allocation & Quality Assurance

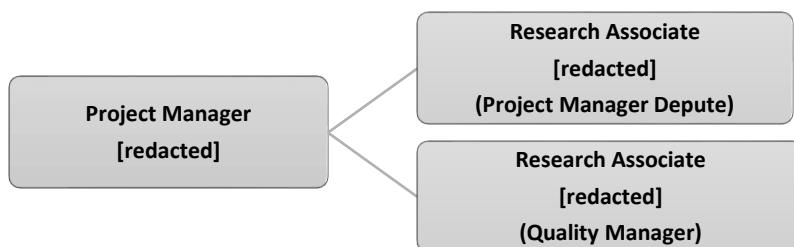
[redacted]

Written and Verbal Presentation Skills

Collectively, our team has an impressive publication record with numerous publications for the Scottish Government, Home Office and NHS Education for Scotland as well as papers in academic journals. Brief CVs for all three team members are attached as Appendix B and a full list of relevant publications can be forwarded on request. All three of our team also have an impressive history of speaking at social inclusion themed conferences/workshops, both in the UK and abroad. All have excellent written and verbal communication skills and are able to articulate difficult and complex messages, convincingly and persuasively, to a wide range of technical and non-technical audiences.

Management Structure, Roles and Responsibilities

The diagram below shows our project management structure for the work.



Project Manager

Our dedicated Project Manager is [redacted]. [redacted] would oversee all stages of the project from design to execution, analysis and reporting. [redacted] would also monitor resource use and requirements on a weekly basis and ensure that the project runs on time and to budget. This is done using project management spreadsheets which are updated continuously in conjunction with all team members. [redacted] would be responsible for keeping the risk assessment up-to-date throughout the life of the project, alerting you to any risks that materialise, and discussing recovery plans with you. [redacted] would also oversee ethical practice throughout and be responsible for managing all staff. This includes weekly team briefings for the work. [redacted] would be available throughout the project and would be your main point of contact for any commercial or business-related queries.

Research Associate

As a micro-business, we always employ a Research Associate to support with contracts of this scale, to provide additional research support as well as to provide reassurances around capacity and contingency planning. [redacted] would work in a research support role to assist with analysis and reporting but would also deputise for [redacted], if needed. Indeed, based on their considerable skills and experience, all three staff can work interchangeably in each role and can each deputise for one another, if required.

Quality Manager

All of our work is checked thoroughly before being delivered to clients. This includes at least one review by the author/originator, as well as at least one review by an independent Quality Manager. Reviewers proofread all outgoing documents and data, including data analysis spreadsheets, draft and final reports to provide you with assurances around quality control. [redacted] is our dedicated Quality Assurer and is also available as a third analyst if the volume of responses generated significantly exceeds expectations. This contingency provides added assurances around capacity and business continuity.

Quality Control

Additional quality control measures that would be applied specifically to this project include:

- discussing and agreeing the analytical approach for the project early with you to ensure that it is appropriately focussed;
- verification of a sample of analytical categorisation of data using a dip sampling approach wherein two researchers study and agree the assignation of data to themes;
- the use of an independent quality assurer to remove any bias and ensure quality, transparency and objectivity in the communication of research findings; and
- prompt delivery of draft reports to allow feedback/comments in advance of final deadlines.

The fact that we are offering a small, dedicated team also means that you will get to meet and work closely with us for the duration of the research, and there will be close control of all learning among the team to ensure that no important experience is lost. For the avoidance of doubt, we do not consider there to be any current or potential conflicts of interest arising from us tendering for or delivering this work.

Staff Input

The table below shows the main tasks and how these would be split among the team:

| | Project Management | Analysis | Reporting | Quality Assurance | Data Cleaning | Risk Management | Total Days |
|------------|--------------------|----------|-----------|-------------------|---------------|-----------------|------------|
| [redacted] | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | 11 |
| [redacted] | | ✓ | ✓ | ✓ | ✓ | ✓ | 5 |
| [redacted] | | ✓ | | ✓ | | ✓ | 5 |
| Days | 1 | 15 | 3 | 1 | 0.5 | 0.5 | 21 |

The indicative input for each member of our team is based on 50 - 70 responses being received. Should a substantially larger number of responses than anticipated be received, we would adjust staff input to handle analytical work and reporting.

Our team would work flexibly to respond to the project as it evolves and key personnel would be supported by administrative staff (e.g. data entry clerks) as required. Formal sub-contracts between KSO Research and other staff are in place, as well as confidentiality agreements for staff employed on individual projects. As a micro-enterprise, staff movement to other employment is limited and KSO Research never bid for projects unless the Director ([redacted]) is available to oversee the work. We take capacity management very seriously and only ever take on as much work as can realistically be achieved within set timescales, ensuring that quality is never compromised. We bid for projects only when we know that we have the requisite capacity and we never 'over-sell' our time once committed to a contract.

Section D: Project Management & Risk Assessment

Timetable

We concur that the timetable set out in your invitation to tender is a realistic timetable for the work:

| Milestone | To be completed by |
|---------------------------------------------------------------------------|--------------------|
| Inception Meeting | 1 March 2021 |
| Inception report submitted | 8 March 2021 |
| Consultation closes | 15 March 2021 |
| Late submissions contingency | 5 April 2021 |
| Draft Report submitted | 12 April 2021 |
| Comments from SG on Draft Report | 19 April 2021 |
| Final report and final auditable database of excluded responses submitted | 26 April 2021 |
| Contract end date | 17 May 2021 |

Based on experience, we agree that the late submissions contingency suggested in your brief is critical, especially to allow for responses to be submitted in alternative formats (e.g. Braille, etc., which can take time). We would be pleased to include all responses in the analysis received up to 5 April. We consider the time between consultation close and the draft and final reports to be reasonable and foresee no problems with meeting these deadlines, still allowing time to complete our internal quality assurance processes (i.e. all reports are complete at least one day ahead of the deadline to allow us to review and amend them, as necessary, before being issued to you). To assist us in meeting the above deadlines, we would ask that collated and reconciled comments from you on **all** reports be returned to us within one week of receipt (added as a critical date above).

We would maintain regular contact with your designated project manager by telephone and email throughout the duration of the contract, with a weekly progress report email as a minimum.

Risk Assessment

| Issue | Likelihood | Mitigating Actions | Recovery Plan |
|-------------------------------------------------------------------------------------------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Team members or other resources overcommitted during project lifespan/Staff sickness or absence | Low | We never bid for/commit to undertake more work than we have capacity for. Staff can provide short term cover for one another if needed. | Additional, appropriately qualified support staff or research associates can be employed by us at no extra cost to you, to ensure that deadlines are met. |
| Response rates are low | Low | The use of Citizen Space and active promotion of the consultation by the Scottish Government makes this unlikely. | In the event of poor response within original timescales, we would be pleased to offer a flexible approach so that short deadline extensions can be granted to boost respondent numbers. |

| | | | |
|------------------------------------------------------------------------|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Quality of data is not as expected/Difficulty in interpreting the data | Low | Our team are familiar with wider social security policy in Scotland and with aligned policy fields, and are highly skilled when it comes to working with qualitative data. | We would discuss any unclear data with you, as required. If ambiguity remains, participants could be re-contacted (if details are known) and asked to provide clarification. |
| Data requires significant editing | Medium | It is difficult to know the scale of editing that may be required to data submitted but we anticipate that most respondents will have given clear contributions. | We would work with you to set clear, realistic editing parameters given the timeframes for the project. |
| Loss of data through computer or system failures/Fire or flood | Low | We remotely back up all of our data daily so that data losses are minimised. | The worst-case scenario is that one day's worth of analysis/reporting would need to be repeated. |

Data Protection and Information Security

As detailed in Section 2 above, we take seriously our responsibilities with regard to protection of sensitive data and fully adhere to the EU General Data Protection Regulation (GDPR).

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| Management approach to Information Security and Data Protection, including responsibilities and risk assessment. | Cyber security responsibility sits at Director level. All individual project data is also managed by the designated Project Manager and data storage and sharing practices are reviewed regularly as part of the overall the risk assessment monitoring using the red, amber, green system. KSO Research is registered with the ICO as a Data Processor. |
| Where data will be processed and how it will be secured, including any encryption controls and also including the measures put in place with sub-contractors. | To safeguard against unauthorised access, all personal data is held securely in password protected files and only accessible to the immediate project team. All data is stored in the UK. Files containing personal or sensitive data that are shared between members by email or secure transfer are also STRONG password protected in line with company policy. |
| How data will be secured during transmission between the Scottish Government, the contractor and sub-contractors, including any encryption controls and use of USB memory sticks. | Main data for this contract to be accessed via Scottish Government's secure Citizen Space platform. Any other files to be sent via secure file transfer (e.g. WeTransfer) and password protected. No USB sticks to be used for this commission. |

| | |
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| Measures in place to protect computers, software, middleware and infrastructure used to process data against loss or compromise from cyber-attack and crime, including the use of firewalls, user accounts, passwords and secure storage. | All computers are password protected and encrypted by default, as are any files containing personal/sensitive data. Cyber-security/anti-virus is provided by [redacted] |
| Please describe the measures in place to ensure that only authorised individuals have access to only that data required for them to perform their role and thus reduce the risk of information being lost or stolen. | All computers used by staff are password protected and locked when not in use (so if stolen/lost, data cannot be accessed). When not in use, computers are stored in lockfast facilities. |
| Please describe the measures taken to ensure that data processed digitally is protected from malware, virus and untrusted software. | Cyber-security/anti-virus is provided by [redacted]. This performs checks on the computers themselves, on website pages being accessed, and all incoming files for security risks before they are downloaded. |
| Processes in place to ensure that computers, software, middleware and infrastructure, upon which the service relies, are patched with updates/hotfixes to ensure they are not vulnerable to known security issues. | Computers are set to automatically update when software updates etc. are available. This typically happens at the end of each day before computers are shut-down. Cyber-security/anti-virus is also provided and automatically updated by [redacted]. |
| Please describe what training is given to employees, contractors and sub-contractors in regard to information security and data protection, including lone and home workers. | Agreements are in place with third parties. Sub-contractors are asked to adhere to Market Research Society (MRS) standards for data storage and sharing - training is given only where these standards are not already employed. All staff receive a copy of the data protection and information security protocols relevant to each commission to ensure that they are familiar with what is required for each job. Data protection requirements also form part of the formal contract between us and our sub-contractors. Software updates are applied automatically. |
| Please describe how back-ups of the data will be taken and protected. Also, how data will be restored in the event of an incident to ensure business continuity and continuity of the service offered. Please indicate if such Disaster Recovery procedures are tested, how often and the date of the last test. | We remotely back up all of our data daily so that data losses are minimised. Backups are held remotely as well as locally. Given the small scale of the business, this is sufficient to ensure business continuity and is tested daily. |
| Tenderers should provide details of any Information Assurance certification they possess, or standards they conform to (e.g. ISO 27001, ISO 22301, ISO/IEC 20000, Cyber Essentials/Cyber Essentials Plus or their equivalents). | We are a micro business employing a sole director only and follow the data security guidance as set out in the MRS Code of Conduct. We are in the process of applying for Cyber Essentials membership. Our systems have been assessed internally against these requirements, and we are in the process of completing the online questionnaire/application. |

Business Continuity and Disaster Recovery

The table below shows the main COVID-19 related risks attached to this contract and our tailored Business Contingency and Disaster Recovery (BCDR) Plan.

| Threats | Risk | Impact | Mitigating Actions | Responsible Owner |
|--------------------------------------------------------------------------------------------------------------------------------------------|--------|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| Staff sickness/absence linked to COVID-19 | Medium | Low | We have a strict home-working policy in place, increased hygiene monitoring in all places of work and have reduced/removed all unnecessary in-person work contacts. Sick cover contingency in place as per risk assessment | KSO |
| Consumables/Deliveries/ Supply Chain affected by COVID-19 | Medium | Low | Any relevant consumables to be purchased online and supplier hygiene practices linked to deliveries to be monitored, avoiding person-to-person contact on delivery of goods | KSO |
| Communications interrupted by COVID-19 Social Distancing Measures | Low | Low | Email and telephone communications used wherever possible. Any isolating effects of remote working (lack of face-to-face meetings) are mitigated through text, voice and video communication using Skype, Zoom, Microsoft Teams, and file collaboration software | KSO |
| Backups of data not maintained due to IT Provider absences/change in business etc. | Low | Low | Local backups (on site) to be used in the short term to complement existing off-site backups so these can be managed without depending on third parties | KSO |
| Viability of Business in light of COVID-19 restrictions and potential loss of revenue to KSO due to limited/reduced business opportunities | Low | Low | As an SME, with only one directly employed full time staff member we have few overheads and limited risk of business closure. A two-year business continuity plan is already in place which exceeds the duration of this contract. Any pauses requested by you will be honoured | KSO |

Appendix A: Mandatory Questions

[redacted]

Grounds for Mandatory Exclusion relating to the Levels of Insurance Cover

| Question | | Answer |
|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|
| 1 | The Bidder confirms they already have or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated at Schedule 8 (SGTC2), section 14.3 (as a minimum): | Yes, I already have this |
| 2 | Provide details of the coverage you refer to in Q1 (above) here: | Public liability up to £1,000,000 Professional indemnity up to £1,000,000 Employers liability up to £10,000,000 |

Scottish Business Pledge and Scottish Living Wage Accreditation

KSO Research is an accredited Living Wage Employer - accredited since March 2018.

We have made a Business Pledge which is currently pending approval.

Appendix B:

[redacted]