## Summary Checklist

### Included paperwork (please tick):

1. Completed & signed PAF

2. Costing in Excel & in PDF (where RE &/or Dean signature is required):
   - Y Y Y Y Y Y

3. Which corresponds to the awarded amount:
   - Y Y Y Y Y Y

4. Where the staff recharges reconcile to the summary costing:
   - Y Y Y Y Y Y

5. Which has been signed by the Dean when additional payments noted:
   - Y Y Y Y Y Y

6. Official award letter and/or contract with T & C's & VAT requirements:
   - Y Y Y Y Y Y

7. Funding body/budget/application page which includes costs/schedule 1:
   - Y N N N Y Y N

8. Application:
   - Y N N N Y Y N

9. Payment details (method & timescale):
   - Y Y Y Y Y Y

10. Signed partnership/consortium agreement:
    - N N N N Y N Y

11. Signed joint commitment statement:
    - N N N N Y N N

12. Reference no. of credit card from shared log:
    - IA IA IA IA Y Y IA IA

13. KESSA code noted & checked:
    - Y Y Y Y Y Y

14. Company type noted on PAC & checked:
    - Y Y Y Y Y Y

15. Risk Assessment:
    - N Y Y N N N N

### When collaborative - funds coming indirectly to GCU:

- Main award including duration dates:
  - IA IA IA IA IA IA IA IA

- Signed contract with the co. that are paying GCU the funds:
  - IA IA IA IA IA IA IA IA

- Payment method:

### Any additional comments:

---

**Checklist sign for RE representative:**

[Signature]

**Date:** 22/10/2014

---

**Summary:**

- Y: Paperwork required
- N: Paperwork not required
- IA: Applicable
- Credit checks are required for non-public funding bodies where value is in excess of £1,000 (net of VAT).
1. PRINCIPAL INVESTIGATOR

Name Dr Martin Kettle

School...HLS  Dept. Psychology, Social Work and Allied Health  Tel No. 3318819.....

2. TITLE of PROPOSAL... Local authority implementation of Option 2 of the Social Care(Self-directed Support)(Scotland) Act, 2013

3. Anticipated START and END Dates from ...1st August 2014. to 28th February, 2015

4. ARE THERE ANY IPR/CONFIDENTIALITY ISSUES (Y/N) If yes, please state (see guidance notes)

No

5. DOES THIS PROPOSAL PRESENT A CONFLICT OF INTEREST (N)
If yes, please state here any potential conflict of interest which may arise or be perceived to arise in undertaking this project.

6. For research grants and contract research:

FUNDING BODY (IES) Name (s). Providers and Personalisation (SG funded)

Funding body type (please tick) Research Council ☐ Government ☐ Charity ☐ Industry ☐
KTP ☐ European (Research) ☐ European (Non Research) ☐ Other ☐ (please state)

HESA Code (s) 4 (see page 4) (please indicate HESA code for EACH funding body if more than one funding source.

7. PRINCIPAL INVESTIGATOR

SIGNED PRINCIPAL INVESTIGATOR Date 4/7/14

8. ASSOCIATE DEAN/DIRECTOR

SIGNED ASSOCIATE DEAN (confirming application is in line with School strategy and objectives)

9. PROPOSAL APPROVED by RIE

SIGNED on BEHALF of RIE (confirming all aspects of financial and contractual compliance with University and funding body requirements).

10. PROPOSAL APPROVED by EXECUTIVE DEAN of SCHOOL

SIGNED Exec. DEAN of SCHOOL (or nominated other) (confirming on behalf of School, all aspects of strategic financial and contractual compliance

11. UNIVERSITY AUTHORISATION
(to submit a proposal externally)

SIGNED (nominated signatory for and on behalf of the University)

Date 16/7/14

UNIVERSITY CHARITABLE STATUS: All research activity is undertaken in order to enhance knowledge and understanding for educational purposes, and for wider public benefit (please refer to PAF guidance notes for further information).
GLASGOW CALEDONIAN UNIVERSITY
RESEARCH, INNOVATION & ENTERPRISE
PROPOSAL APPROVAL FORM

RESEARCH /OTHER EDUCATIONAL GRANTS

PART B

Note 1: In instances where GCU are not the lead applicant on a project, a PAF should still be completed at application stage, in order that GCU may be fully informed of their commitment of resources to the project.

Note 2: Contract research and consultancy must be approved via PART C of the project approval system. Please refer to PAF guidelines for clarification on definitions of contract research and consultancy activity.

1. INTERNAL COAPPLICANT(s) n/a Name........................................... Dept .................
   Name........................................... Dept .................

2. EXTERNAL COLLABORATOR(s) Please give names of ALL external collaborators n/a
   Name........................................... Name...........................................
   Address ...................................... Address ......................................

3. PROPOSAL TYPE (Please tick all that apply)
   Research Grant [ X ] EU Research [ ] EU Non Research [ ] Travel [ ] Consumables [ ]
   Studentship [ ] KTP [ ] Education & Training [ ] Collaboration Lead [ ]
   Collaboration Non Lead [ ] Community Engagement [ ] Cultural Engagement [ ] Other [ ]

4. PEER REVIEW (please tick if applicable)
   Has your project undergone a process of peer review? Yes [ X ] No [ ]
   If yes, was this process: internal [ ] external [ ] to GCU
   Contact details of peer reviewer: Professor Stephen Webb.

5. fEC of GRANT PROPOSAL £10,812 £10,072

6. GCU MATCH FUNDING (including equipment and/or infrastructure requirements) £10,812

7. TOTAL VALUE OF PROPOSAL £10,812 TOTAL AMOUNT TO GCU £10,812 £10,072

Deadline submission date (if applicable) 18th July, 2014

8. ADDITIONAL CONTRIBUTION FROM 3rd PARTY (if any) ...n/a

9. ETHICS
   Does this proposal require ethical approval? Y (delete as appropriate)
   Does the proposal involve clinical trials? (delete as appropriate)
   Does the proposal involve the use of human tissue? N (delete as appropriate)

Important: When you receive notification of your successful proposal, a copy of the ethical approval documentation should be forwarded to RIE PRIOR to the start date. Failure to supply this information may result in a delay to project commencement.
PART C

COMMERCIAL ACTIVITIES
CONSULTANCY, CONTRACT (COMMISSIONED) RESEARCH
& OTHER SERVICES

(please tick one) Consultancy ☑ Contract Research ☐ Other Services ☐

Tender document for bid ☐ - please supply this for review by RIE Risk Assessment attached ☐

1. EXTERNAL CLIENT CONTACT DETAILS (address for correspondence)

Contact Name ........................................ Address ..................................................

Organisation ...........................................................

Email/telephone ..................................................

2. COSTING

Please attach either a completed consultancy summary spreadsheet, or contract research summary spreadsheet. These can be found within the University fEC costing model spreadsheet at www.gcu.ac.uk/rie/riedocuments

Important: Proposals will only be approved if a University authorised costing is submitted. This costing model must be completed with and formally approved by RIE.

fEC of activity (contract research only) £
Total income for activity £8,293
Total costs for activity £8,281
Surplus £121 1.3%
Overhead rate applied 30%

Please attach any other relevant project description documents. It is the responsibility of the PI to inform RIE when a project is successful in order that the contractual stage (see 3 below) can be completed. Please quote RIE ID No. in all correspondence.

3. CONTRACTUAL REQUIREMENTS TO SUPPORT ACTIVITY

Important: Please attach proposed draft agreement with client if any, or alternatively seek advice from RIE. The University will not allow projects to commence until a contract is agreed and signed by both the external partner and the University. RIE will complete an internal form for project acceptance.

Client supplied agreement or contract ☐ - please supply this for review by RIE

Please supply any project description documents and letter/email from the client commissioning the work.

RIE Advice needed ☐: (tick as required)
University standard terms and conditions for provision of consultancy and technical services ☐
GCU contract or sub contract ☐
GCU Confidentiality Agreement ☐
Intellectual property rights disclosure/ licensing agreement ☐
Expert witness contract ☐
Other ☐ (please state) ........................................

Notes: A definition of contract research and consultancy can be found within the “University Requirements for the Conduct of Commercial Activities, which can be found at www.gcu.ac.uk/rie/riedocuments
For help in preparing costings please complete an RIE costing request form (which can also be found at www.gcu.ac.uk/rie/riedocuments) and/or contact RIE.
GLASGOW CALEDONIAN UNIVERSITY
RESEARCH, INNOVATION & ENTERPRISE
PROPOSAL APPROVAL FORM

COMPANY TYPE  (please tick one box for each funding body, which confirms the company type)
(Definitions can be found within the guidance notes at www.gcu.ac.uk/rie/riedocuments)

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<th>Other UK</th>
<th>Non-UK</th>
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<td>Large Company</td>
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<tr>
<td>Other Company</td>
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HESA – RESEARCH GRANTS and INCOME – FUNDING TYPE

1 BIS Research Councils, The Royal Society, British Academy and The Royal Society of Edinburgh
2 UK based charities (open competitive process)
3 UK based charities (other)
4 UK central government bodies
5 UK industry, commerce and public corporations
6 EU government bodies
7 EU - based charities (open competitive process)
8 EU industry, commerce and public corporation
9 EU other
10 Non - EU based charities (open competitive process)
11 Non - EU industry, commerce and public corporations
12 Non - EU other
13 Other sources

BREAKDOWN OF FUNDING TYPE 1 – BIS RESEARCH COUNCILS et al

1a BBSRC
1b MRC
1c NERC
1d EPSRC
1e ESRC
1f AHRC
1g STFC
1h Other
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<th>Costs</th>
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<tr>
<td>GCU Staff</td>
<td>3,451</td>
</tr>
<tr>
<td>GCU Travel &amp; Subsistence</td>
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<tr>
<td>GCU Equipment</td>
<td>870</td>
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| Other Costs               |           |
| Description:              |           |
|                          |           |
|                          |           |
|                          |           |

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| HLS                       |           |
| School/Dept. Rate (%)     | 80%       |
| School/Dept. Rate (£)     | 2,761     |

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<td><strong>Price Charged / Income</strong></td>
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<table>
<thead>
<tr>
<th>Surplus / Deficit (£)</th>
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<tr>
<td>Costing Approved by RIE:</td>
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<tr>
<td>Jacqueline Gray</td>
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<tr>
<td>Date: 20/09/14</td>
<td></td>
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<td>Additional Payments / PD T'fer</td>
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<td>Final Surplus To School/Dept.</td>
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Max 13.5 days if funding unavailable is max of £10,072
### GCU Staff Costs

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<tr>
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<th>Current Salary</th>
<th>Number of Days Working on Project</th>
<th>Calculated Base Salary Cost</th>
<th>Superannuation</th>
<th>National Insurance</th>
<th>Total Salary Cost</th>
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<tr>
<td>1</td>
<td>£43,324</td>
<td>13.5</td>
<td>£2,659</td>
<td>£425</td>
<td>£367</td>
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<tr>
<td>2</td>
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<td>£0</td>
<td>£0</td>
<td>£0</td>
<td>£0</td>
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<tr>
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**Total Staff Costs**  £3,451

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### Price Calculator

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<tr>
<td>6</td>
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</table>

**Total**  0
### Additional Payments to Staff

<table>
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<tr>
<th>Name</th>
<th>£</th>
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<tr>
<td><strong>Sub-Totals</strong></td>
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<tr>
<td><strong>Total Payments to Staff</strong></td>
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</tr>
<tr>
<td><strong>Payments to Staff Authorised by Dean</strong></td>
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<td></td>
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<tr>
<td><strong>Date</strong></td>
<td></td>
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</table>

### Staff Time Recharges

<table>
<thead>
<tr>
<th>Name</th>
<th>Salary Charged Direct to Project Account</th>
<th>Payroll Recovery</th>
<th>Payroll Recovery Account Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Martin Kettle</td>
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<td>3,451</td>
<td></td>
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<td><strong>Total Charges</strong></td>
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Submitted by: Dr Martin Kettle, Senior Lecturer and Principal Investigator, Glasgow Caledonian University

1. Introduction
The scale of the challenges faced by local authorities and their partners in implementing Self-Directed Support (SDS) are substantial. Recent research (Ridley, et al, 2011; Manthorpe et al, 2011; Homer and Gilder, 2008) has evaluated the continuing and longer term impacts of interventions employed in the Self-directed Support test sites in Scotland in the original project. Although numbers were small, the research demonstrates that the majority of SDS clients involved and their informal carers had very positive experiences of using SDS funding to directly purchase their support and employ Personal Assistants (PAs). Flexibility, control, choice and independence were the main benefits reported.

The recent report by Audit Scotland (2014) identifies that councils across Scotland have implemented SDS at different paces and in different ways, some of which carry greater associated risks than others. Whilst at one level flexibility and responsiveness to meeting local needs are welcome, this does raise issues about measuring progress and making comparisons across local authority boundaries.

The Audit Scotland report also identifies the importance of cultural shift in the implementation of the SDS agenda and whilst culture is very difficult to measure, (Schneider et al, 2013) it is important to acknowledge its importance, and to attempt to explore it at some level within this project.

This proposal builds on the cited research and work undertaken by Audit Scotland and aims, using principles of Appreciative Inquiry, (Cooperider et al.,2008) which focuses on what works effectively and what helps to make it work, rather than on deficits.

The Principal Investigator (PI) is ideally placed to undertake this piece of work. In summary he possesses:
- Proven track record of research skills
- The ability to deliver projects in a timely manner.
- Detailed practical knowledge of SDS policy, legislation and interventions
- Extensive senior experience in local authority social work, the third sector and central government.
The study will be carried out over a 7 month period by researchers at Glasgow Caledonian University and led by Dr Martin Kettle as Principal Investigator. The timeline for the research will be staged between August 2014 and February 2015.

Skills, knowledge and experience
The PI is strategically well placed to lead and successfully complete this important project. A full CV for the PI is attached. He is seconded to Glasgow Caledonian University (GCU) part-time from a local authority, and has extensive networks in local authority social work in Scotland, having also worked in the third sector, and as a Professional Advisor to the Scottish Executive. The local authority part of his role includes responsibilities include evaluation and learning and development. Recent pieces of evaluation undertaken include of a mentoring scheme and a structured criminal justice intervention. Learning and development activity include work around moving to an outcomes focus.

This research project sits comfortably with the mission of GCU as focusing on ‘the common good’, and the School of Health and Life Sciences, of which the PI is a part, has a post jointly held between GCU and the Scottish Council of Voluntary Organisations to develop the partnership between GCU and the Third Sector.

The PI and GCU colleagues have recent experience of delivering complex projects on time, working across organizational boundaries. The Scottish Social Services Council (SSSC) commissioned the PI and colleagues to develop a standard for Chief Social Work Officers and an option appraisal of the means of delivery of an accredited learning pathway. This involved working with a reference group of key stakeholders a process that both enriched the project itself and increased the involvement of stakeholders. This project was completed in April 2014.

In May 2014, again for the SSSC, an evaluation of the experience of newly qualified social workers across Scotland was completed and delivered by social work colleagues within GCU.

These two projects involved:
- Early engagement with senior managers across Scotland
- Use of interviews, focus groups and online surveys as methods of gathering data
- Analysis of data and presentation in report formats for a variety of audiences.

Both projects involved gathering data, some documents and some interview data, and applying a thematic analysis approach.

The PI's teaching responsibilities within GCU include social work law and social work practice, and there has been direct involvement with regard to SDS. This has included delivery of a range of teaching including lectures and seminars to introduce students to the policy context, legislation and practice implications, for example the move to an outcomes focus.
The PI is a skilled and experienced researcher. He completed his Professional Doctorate in 2013, which used a grounded theory methodology involved interviewing social workers and transcribing and analyzing large amount of data. This involved working iteratively, with emergent findings being utilized to guide the next phase of data gathering. Although the majority of the work would be undertaken by the PI, he would have direct access to colleagues who are experienced in the use of NVivo, which would be beneficial in the subsequent analysis of the data. The PI teaches research methods to Masters students on social work programmes and has five years experience of supervising research at both Masters and Undergraduate level, and has just begun supervising students at Doctoral level.

Presentation for a variety of audiences is also an important part of the PI’s signature skill set. As well as delivering lectures to students from first year undergraduate to Masters students, the PI also delivers presentations to a variety of practitioner and managerial audiences. Recent examples include:

- Presentation to a consultation event on the CSWO standard and learning pathway
- Presentation to a multi-agency group of managers and practitioners on the issue of professional identity.

Research data generation and analysis

The two components of the fieldwork and data generation activities (2 x online survey plus focus groups) will yield qualitative findings that will be reported using several techniques. Content analysis will be used to classify and categorize the data. Content analysis is a widely used qualitative research technique. Rather than being a single method, current applications of content analysis show three distinct approaches: conventional, directed, or summative. This study will adopt the latter summative content analysis which involves counting and comparisons, usually of keywords and thematic content, followed by the interpretation of the underlying context (Hsu-Fang & Shannon, 2005). Descriptive statistics will also used to describe a single array of scores generated in the fieldwork. Data description summarizes the data using a continuum of detail, examining the variability of the data, and organizing/graphing quantitative information. The premier Survey Monkey package will permit the scope for additional data analysis as required as well as including: question and answer piping; question randomisation or flipping; textual analysis for open responses and descriptive statistics integration.

Research Governance

Accountability to the Reference Group as outlined in the tender document is very welcome. The PI has experience via the SSSC project referred to above of working to the Reference Group, and very much welcomes the input. It is proposed that this would be real and virtual. Meetings would be held at key strategic points, and that Basecamp or Dropbox would be used for the lodging of work as it was completed.
Proposals for Implementation
Phase 1. Drafting of project brief and obtaining ethics approval
In consultation with the commissioners of the project, a project brief would be completed that would set out very clearly the aims and objectives of the project. This would build directly upon the research questions identified by the commissioners, and would assist in engaging with research participants.

Further, given that there is the potential for data generated to be sensitive, for example in financial terms or by virtue of being critical of local authorities, ethical approval would be sought via GCU ethics processes, in order to ensure the clear guarantees could be given about data protection and confidentiality. All work undertaken would be entirely compliant with Data Protection legislation. The PI is very familiar with ethics approval processes at GCU, and this would not cause any delay to the process.

Phase 2. Awareness raising and gathering of documentation.
Awareness of the project would be developed both via the networks identified via CCPS and the writer’s own networks, that is Social Work Scotland (previously ADSW) and the SDS leads. This would assist in the gathering of relevant documentation. This documentation would include reports already in the public domain, for example reports prepared for council committees, as well as internal reports prepared by councils and provider organisations. This would include, but not be limited to, the following:

- Strategic plans for the implementation of SDS
- Processes and procedures for assessment and care management, including Resource Allocation systems
- Where appropriate, report formats developed for use in hard copy form and within client index systems, for example co-produced assessment processes.

Given the different approaches that are being taken, it may well be that comparing like with like could well be very difficult, and therefore gathering of baseline data via SurveyMonkey would also

A supplementary part of this phase would possibly be the seeking of clarity from, for example SDS leads, about how these documents were developed and who was involved in the process, for example whether they had been informed by the perspectives of users and carers. This could be done via telephone interviews.

Phase 2a Analysis of documentation
This is an additional phase to those identified by the commissioners, but it is an important one to consider. Once that documentation was gathered analysis would be undertaken of the emergent themes, and a draft report produced. It would be important for that analysis to be developed substantially before the next phase of data gathering, as it would inform the areas of enquiry and help in the development of interview schedules and topic guides for focus group discussions. The exact stratification of focus groups would be influenced by this initial analysis.
Phase 3 Interviews and focus groups
It is envisaged that the secondary data analysis of documentation would assist in strategic identification of local authority areas where different levels of progress had been made. This would assist in identifying the local authority areas for further inquiry. Whilst it would be important to look at areas where progress had been limited, it would be particularly important to look at those areas where substantial progress had been made, and to identify the factors in that success.

Semi structured interview schedules and focus group topic guides would be developed on the basis of:

- The underpinning Appreciative Inquiry methodology, that is focusing largely on what was assisting progress, although it would also be important to identify barriers to progress.

- The data gathered and themes emerging from the initial analysis of documentation.

- Consultation with the research advisory group

Given the time limitations of the project it would be important to identify a representative sample of key informants from a range of organisations. In the third sector it would be important to identify both large, national organisations as well as small, locally managed organisations. Rather than gather data from the third sector first and local authorities second or vice versa, it is envisaged that richer data would be gathered via a more iterative process.

Although by the time the data was being gathered it is likely that experience of the use of Option 2 would be limited, it would be useful to capture that experience as systematically as possible, and purposive sampling of a focus group of practitioners and/or managers of their experience would be a useful feature, and may provide some useful case study material.

Phase 4 Report writing
It is envisaged that the analysis of the data and final report writing would be in two formats. A full report presenting fuller accounts of the data would be provided for the funders, but a briefer executive report, containing a summary of key findings and implications for service delivery would also be provided for wider circulation. Moreover, subject to clarification with the funders over the issue of intellectual property rights, it would be anticipated that a dissemination of findings strategy would be developed such that the analysis would be written up for publication in academic journals and conference presentations.

It is anticipated that the reports would also identify further areas for exploration, both in relation to further evaluation and academic research. Given that the primary
focus of this project is not the perspective of the service user or carer, this would be likely to be an area that warranted further exploration.

**Interpretation of the research questions**

*a. What implementation models are local authorities putting in place to deliver Self-Directed Support?*

Drawing on current research cited the identification of models would come both through analysis of the documentation provided by local authorities and also from interviews and/or focus groups with key informants. As well as identification of the models themselves, two further questions arise.

*What was the process by which these models were developed?*

For example, how far were the views of users, carers and providers taken account of? How far were the principles of co-production utilized as a parity of participation principle (see Davis, Gray & Webb, 2013)

*Secondly, what does the ‘putting in place’ actually mean in practice?*

This raises a number of questions about implementation processes, for example what involvement of and/or support for providers has been offered. How much progress has been made in implementation?

*b. How do these implementation models relate to wider local authority activities such as procurement, commissioning and integration?*

Answering this question would be partially achieved by the analysis of policy documentation and the initial Survey Monkey, but given the current state of flux it is unlikely that this would provide rigorous and valid detail, and would require to be more fully explored in detail during interviews with key informants to develop robust qualitative data indicators.

*c. To what extent do the models identified help or hinder providers in delivering the policy and legislative intentions of Self-directed Support?*

Research has made some important steps in beginning to address this challenging matter. However, this is likely to be a challenging question to fully address, in large part because models are unlikely to be fully implemented at the stage of the undertaking of the project, and partly because of the ambiguity surrounding some of the legislative intentions. Also it needs to be acknowledged that the delivery of policy and legislative intentions will be very heavily influenced by the financial situation that local authorities face over the next few years. Further, the ability to implement the models will be partly determined by the capacity of the provider organisations, and thus it will be important to seek the perspective of providers of
different size. The research will, however, be able to evaluate the strengths of particular models and contrast and compare these with "best practice" standards.

**Budget**

In managing and executing the project to successful completion the following costs will be incurred:

- Fieldwork activities and research coordination (including the administration, data management, logistic planning and preliminary analysis in relation to survey and interview respondents).
- Research design and implementation (including the conduct, transcription preparation, and preliminary qualitative analysis of survey and interview groups; report, literature search and review and draft report writing).
- Human Resources (including ‘buy-out’ time for Principal Investigator).
- Equipment for fieldwork and administration (including Sony Stereo Microphone ECMMSD1; Digital voice recorder; 'Survey Monkey' platinum subscription).
- Travel and subsistence (including essential travel, per diem and cost for the successful completion of interview component by PI and research assistant).

**Indirect Costs**

Glasgow Caledonian University will provide office space, desktop computers, IPads, photocopying, consumables, e-mail and web based electronic support, library access and specialist research administrative support for the PI and CIs. All personnel on the research team will be covered by their respective University travel insurance policy which included medical insurance and emergency evacuation while at field sites.

**Costs**

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost (£)</th>
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<tbody>
<tr>
<td>Research Buy Out Labour Costs (PI) (18 Days)</td>
<td>£4601</td>
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<tr>
<td>Fieldwork and travel, subsistence costs</td>
<td>£1200</td>
</tr>
<tr>
<td>Equipment and materials Costs</td>
<td>£870</td>
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<tr>
<td>Indirect costs</td>
<td>£2,793</td>
</tr>
<tr>
<td>Total cost</td>
<td>£10,072</td>
</tr>
</tbody>
</table>

17.5 days
2,481
1,200
870
£2,793
2,873
8,394
+ VAT
£10,072
50
20/9/14
Risks to the Project

It is not envisaged that this project carries with it significant risks. The two main risks are around establishing appropriate levels of engagement and time resource management.

Inability to gather data because of lack of engagement

Local authorities regularly receive requests to be involved in research exercises, and some have their own processes for granting ethical approval and access. Awareness of, and support for, the project would be built via a variety of networks from very early on in the process, and the seeking of university ethical approval would provide a level of assurance for potential participants about the confidentiality of the process.

Lack of capacity to complete the project on time

Were this proposal to be successful, aspects of budget would be used to ‘buy out’ time from teaching responsibilities, thus freeing up time for the successful completion of this project. Further, there is the ability to draw on the experience of other members of the social work team in areas of particular expertise, for example use of NVivo or in the facilitation of focus groups. A research assistant would be employed on a short-term, part-time basis to complete 8 days work on the project. In addition, the recent track record of the PI and the social work team in delivering significant projects of larger scale and comparable complexity to this one evidence the ability to deliver work to a high standard.

References


Kettle, Martin
25 August 2014 08:55
Armstrong, Susan
RE: Research project- local authority implementation of Option 2- draft contract P&P and GCU

Susan,

Sorry- caught up in other things last week.

In terms of IP, we would want to retain those in terms of academic publication, - I have discussed this with the Programme Manager and that is not a problem.

Please can something be inserted?

Regards

Martin

Dr Martin Kettle, BA (Hons), CQSW, MSc, MPhil, Prof D.
Senior Lecturer and Programme Lead MSc in Social Work
Department of Psychology, Social Work and Allied Health Sciences
School of Health and Life Sciences
T: +44 (0)141 331 8819 | F: +44 (0)141 331 8312 | E: martin.kettle2@gcu.ac.uk
Glasgow Caledonian University, Cowcaddens Road, Glasgow, G4 0BA
Research profile: http://www.gcu.ac.uk/hls/staff/martin.kettle/

GCU
Glasgow Caledonian University
Brighter futures begin with GCU

From: Armstrong, Susan
Sent: 18 August 2014 17:06
To: Kettle, Martin
Subject: FW: Research project- local authority implementation of Option 2- draft contract P&P and GCU

Good afternoon Martin

Yasmin Glover has asked me to take a look at the attached contract for your work with P&P. I have looked through the attached and the original research brief on P&P’s site. I would advise that the work being undertaken is in fact consultancy work. As the work being carried out is relating to existing models and confirming what these are then providing a critical analysis of these to identify the best model for use. To this end my colleague Jacqueline Gray has created an up to date consultancy costing for you, as attached.
The consultancy agreement as it stands, I am looking over, though I foresee no issues with this. I would ask however do you wish to retain rights to publish your findings, as within the Consultancy agreement there is not Intellectual Property provisions. I would ask for one to be included if you wanted to retain these rights.

Please do not hesitate to contact me should you wish to discuss this.

Many thanks
Susan

Susan Armstrong
Contracts Processing Officer
Research, Innovation and Enterprise
Room K501, Buchanan House, Glasgow Caledonian University, 70 Cowcaddens Road, Glasgow, G4 0BA

Tel: 0141 331 3069
Email: susan.armstrong@gcu.ac.uk

From: Glover, Yasmin
Sent: 18 August 2014 10:38
To: Armstrong, Susan
Subject: FW: Research project- local authority implementation of Option 2- draft contract P&P and GCU

Hi Susan

This is the email re Martin Kettle’s project as discussed.

Many thanks

Yasmin Glover

Research & REF Manager | Research, Innovation & Enterprise | Buchanan House, Room K503 | Glasgow Caledonian University | 70 Cowcaddens Road | Glasgow | G4 0BA | T: +44 (0)141 331 8882 | E: y.glover@gcu.ac.uk
Dear Yasmin,

Your colleague Martin Kettle was recently successful in bidding for this small scale research project on local authority implementation - he has put me in touch to arrange the contract between our two organisations.

I attach our standard consultancy contract modified to include the details of this project (highlighted in yellow.) Can you let me know if you’re OK with this as a contract and/or if you have any amendments or queries that you would like resolved before signature?

I attach the contract award letter and proposal Martin for reference.

Many thanks,

Dee

Dee Fraser (Programme Manager)
Providers and Personalisation

P&P
CCPS - Coalition of Care and Support Providers in Scotland
Norton Park, 57 Albion Road,
Edinburgh
EH7 5QY
telephone: 0131 475 2676
twitter: @PProgramme
website: www.ccppscotland.org/pp

P&P is funded by The Scottish Government.

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CCPS is a limited company, registered in Scotland under the company number of SC279913. The company's registered office is at Norton Park, 57 Albion Road, Edinburgh EH7 5QY. CCPS is a registered Scottish charity: No. SC029199.

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CONTRACT FOR SERVICES

Between

Glasgow Caledonian University

And

Providers & Personalisation
Coalition of Care and Support Providers in Scotland

Research project- local authority implementation of
Option 2 of the Social Care (Self-directed Support)
(Scotland) Act, 2013.
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<tr>
<th>Clause</th>
<th>Clause Description</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>ENGAGEMENT</td>
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</tr>
<tr>
<td>2</td>
<td>TERM</td>
<td>4</td>
</tr>
<tr>
<td>3</td>
<td>PAYMENT</td>
<td>4</td>
</tr>
<tr>
<td>4</td>
<td>INSURANCE AND INDEMNITY</td>
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</tr>
<tr>
<td>5</td>
<td>CONFIDENTIALITY AND RESTRICTIONS</td>
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<tr>
<td>6</td>
<td>TERMINATION</td>
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<td>7</td>
<td>OBLIGATIONS ON TERMINATION OF THIS CONTRACT</td>
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</tr>
<tr>
<td>8</td>
<td>EFFECT OF TERMINATION OF THIS CONTRACT</td>
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<td>9</td>
<td>ASSIGNATION</td>
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<tr>
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<td>ENTIRE CONTRACT AND VARIATION</td>
<td>10</td>
</tr>
<tr>
<td>11</td>
<td>NOTICES</td>
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</tr>
<tr>
<td>12</td>
<td>GOVERNING LAW</td>
<td>11</td>
</tr>
</tbody>
</table>
CONTRACT FOR SERVICES

between

(1) Dr Martin Kettle of Glasgow Caledonian University, Cowcaddens Road
Glasgow G4 0BA (hereinafter called “the Consultant”)

and

(2) Providers & Personalisation, Coalition of Care and Support Providers in
Scotland a company incorporated in Scotland under the Companies Act under
SC279913 and having its registered office at Norton Park, 57 Albion Road,
Edinburgh, EH7 5QY (hereinafter called the “Company”)

hereinafter called the “Contract”

WHEREAS

(A) Research project – local authority implementation of Option 2 of the Social Care
(Self-directed Support) (Scotland) Act, 2013. Comprising:

- Stage 1- analysis of relevant documentation
- Stage 2- qualitative interviews/focus groups
- Stage 3- analysis and production of report
- Stage 4- presentation of results

(the activities contained in this paragraph (A) hereinafter referred to as the “Business”).

(B) The Consultant has considerable skill, knowledge and experience in matters
relating to the carrying out and operation of the Business.

(C) The Consultant has agreed to assist the Directors and Executives of the
Company, at their direction and request, with general advice and assistance
pertaining to all matters related to the Business (“the Services”) to the Company
on the following terms:
1. ENGAGEMENT

1.1 The Company hereby engages the Consultant to provide the Services.

1.2 The Services to be provided by the Consultant shall be such as to enable the Company to have the benefit of the Consultant’s knowledge and experience in research, evaluation and data analysis and shall comprise such of the Consultant’s time, attention and ability as may be necessary for the due performance of the Services which, for the avoidance of doubt shall be no more than as follows:

Five months From August 25th, 2014 until February 27th, 2015 (18 days of researcher time)

1.3 The Consultant shall keep the Company informed of the progress of his/her performance of the contract through attendance at the Research Advisory Group meetings (2 in the lifetime of the project) and a project progress meetings tagged to each stage of the project. and shall be responsible for keeping records of all things done by him/her in relation to the provision of the Services and at the Company’s request shall make any such records available for inspection and/or provide copies to the Company.

1.4 The Consultant shall at all times during the period of the Contract:

1.4.1 carry out with due skill and diligently perform the Services;

1.4.2 effect all duties reasonably allocated to the Consultant by the Company pursuant to Clause 1.1 hereof;

1.4.3 use his/her best endeavours to promote the interests of the Company;

1.4.4 alert the Company to any opportunities arising from time to time in the industry and which are or may be pertinent to the Business;
1.4.5 during dealings with existing or prospective customers or clients conduct himself/herself in a professional manner as a representative of the Company; and

1.4.6 keep the Company informed as to his/her availability to provide the Services to the Company.

1.5 The Consultant shall indemnify and keep indemnified the Company from and against any and all loss, damage and liability whether civil or criminal suffered and legal fees, interest, penalties and costs incurred by the Company resulting from a breach of this Contract by the Consultant.

1.6 In the event of a dispute arising between the Company and a customer or client of the Company, with whom the Consultant has or has had personal dealings in his/her capacity as Consultant, in connection with the actions of the Consultant the Consultant agrees to co-operate fully with the Company and accept the advice and directions of the Company and the Company’s solicitors, Counsel or advisors. If such a dispute results in legal action being taken against the Company, the Consultant agrees to enter the proceedings as a third party to the action.

1.7 The Company shall provide such administrative facilities and materials to the Consultant as the Company (after consultation with the Consultant) deems necessary to enable the Consultant to perform the Services.

1.8 Nothing in this Contract shall create the relationship of employer of the Consultant or any of its officers or employees on the part of the Company, or employee or officer of the Company on the part of the Consultant. The Consultant will be personally liable for the payment of tax and national insurance contributions, as appropriate, on any fees, commission, bonuses or incentives received under this Contract. The Consultant will also be responsible for the payment of tax and national insurance contributions as appropriate on any payment which may be made by him/her to any individuals employed by him/her to assist in the provision of the Services. The Consultant agrees to indemnify and keep indemnified the Company in respect of any demand for PAYE or employers National Insurance which may be directed against the Company in
relation to any fees or out-of-pocket expenses paid to the Consultant in terms of this agreement.

1.9 Nothing in this Contract shall place a duty on the Company to provide the Consultant with work or with work of a specific type.

2. **TERM**

2.1 Subject to earlier termination as hereinafter provided the Consultant shall commence the provision of the Services from 25th August 2014 ("the Commencement Date") for the term of five months ending on the 27th of February 2015 ("the Termination Date").

3. **PAYMENT**

3.1 In consideration of the provision of the Services the Company shall pay to the Consultant: £10,072 such fee to be inclusive of Value Added Tax (if applicable) ("the Consultant's Fee") within 30 days of the date of the Consultant’s invoice according to the following schedule:

<table>
<thead>
<tr>
<th>On commencement</th>
<th>£5036</th>
</tr>
</thead>
<tbody>
<tr>
<td>On completion of the report</td>
<td>£5036</td>
</tr>
</tbody>
</table>

3.2 The Consultant shall account to Customs & Excise for any Value Added Tax received on the Consultant’s Fee and to the Inland Revenue for any corporation tax payable on the Consultant’s Fee.

3.3 No payment will be made to the Consultant in respect of absence due to sickness of one of the Consultant’s officers or employees or in the event that the Consultant is unable to provide the Services for any other reason.

4. **INSURANCE AND INDEMNITY**

4.1 The Consultant shall maintain, at its own cost, a comprehensive policy of insurance to cover the Consultant’s liability in respect of any act, omission or default for which s/he may become liable himself/herself, or liable to indemnify the Company under this Agreement (including, insurance to cover third party employer’s and professional liability claims).
5. CONFIDENTIALITY AND RESTRICTIONS

5.1 The Consultant hereby undertakes to the Company that:

5.1.1 s/he shall not during his/her appointment as Consultant to the Company or thereafter reveal to any person any of the trade or financial secrets or confidential operations, know-how, processes, dealings, inventions, discoveries, designs, plans, computer programs or other intellectual property of the Company or any of its subsidiaries, or any information which is not publicly available concerning the organisation, business, finances, transactions or affairs of the Company or any of its subsidiaries or its customers or clients (including but not limited to customer lists, client lists and marketing information) which s/he has or shall hereafter have derived from his/her position as Consultant to the Company (hereinafter in this clause referred to as "Confidential Information").

5.1.2 s/he will keep with complete secrecy all Confidential Information and shall not use or attempt to use any such information in any manner which may injure or cause loss either directly or indirectly to the Company or any of its subsidiaries or may be likely to do so;

5.1.3 s/he will use its best endeavours to prevent the publication or disclosure of any Confidential Information; and

5.1.4 s/he shall do nothing to harm the goodwill of the Company or any of its subsidiaries.

5.2 The restrictions contained in this clause shall extend to any and all information of a confidential or proprietary nature belonging to any third party which is in the custody or control of the Company or any of its subsidiaries or its customers and which has been disclosed by such third party to the Company or any of its subsidiaries or such customers (as the case may be) under an obligation of confidence.

5.3 The restrictions in clauses 5.1 and 5.2 above shall continue without time limit but shall cease to apply to information or knowledge which comes into the public
domain otherwise than through breach of the provisions of this Contract by the Consultant.

5.4 The Consultant shall not, save as agreed in writing with the Company either on his/her own account or in conjunction with others, in any capacity whatsoever (including, but without limitation, acting as a Consultant, agent, employee or manager) and whether directly or indirectly and whether with a view to profit or otherwise:

5.4.1 during his/her appointment as Consultant to the Company and for a period of three months thereafter establish, develop, carry on or assist in carrying on or be engaged, concerned, interested or employed in any business, enterprise or venture in direct competition with the business of the Company or any of its subsidiaries in an area of business in which the Consultant was materially involved during his/her appointment such business being carried on at the date the appointment as Consultant terminates within [geographical area of Consultant’s scope of duties and Company’s activities]; provided always that nothing herein contained shall prevent the Consultant from being the holder of or from being beneficially interested in any class of securities in any company if such class of securities is quoted or dealt in on a recognised stock exchange and provided that s/he is not beneficially interested in more than a total of five per cent of any single class of the securities in that company; or

5.4.2 during his/her appointment as Consultant and for a period of three months thereafter either directly or indirectly solicit, canvass or entice away (or endeavour to solicit, canvass or entice away) from the Company or any of its subsidiaries the custom of any person, firm or company who was at any time during the period of six months immediately preceding the date on which the appointment as Consultant terminates a client or customer of the Company or any of its subsidiaries and with whom the Consultant had dealings and/or contact in the course of providing the Services, for the purpose of offering to such client or customer goods or services similar to or in direct competition with the
services provided by the Company or any of its subsidiaries to that client or customer; or

5.4.3 for a period of three months after termination of his/her appointment as Consultant deal or do business with any person, firm or company who at any time during the period of six months immediately preceding the date the appointment as Consultant terminates the Consultant had responsibility for dealing with, trading with or doing business with and with whom the Consultant had dealings, all in the course of providing the Services;

5.4.4 during his/her appointment as Consultant and for a period of three months thereafter solicit, canvass or entice away (or endeavour to solicit, canvass or entice away) any key or senior employees of the Company or any of its subsidiaries who were employees at any time during the Consultant’s appointment and with whom the Consultant had personal dealings for the purposes of involving such employee(s) in an enterprise or venture in direct competition with the business of the Company or any of its subsidiaries in an area of business in which the Consultant was materially involved during his/her appointment and whether or not such employee(s) would commit a breach of contract by reason of leaving service.

5.5 The Consultant hereby acknowledges that the restrictions contained in this Clause 5 constitute entirely separate and independent restrictions on him/her and agrees that if one or more is held to be invalid as an unreasonable restraint of trade or for any other reason then the remaining restriction(s) shall remain valid and in so far as any such restriction would be void as drawn but would be valid if the period of application were reduced or if some part of the restriction were deleted, the restriction in question shall apply with such modification as may be necessary to make it valid and effective and the Consultant agrees to execute any further undertaking in such modified terms if requested to do so by the Company.
Intellectual Property Rights

5.6 a. For the purposes of these Conditions "Intellectual Property" shall mean any and all intellectual property rights and forms of protection of any nature or effect anywhere in the world including, without being limited to, trade marks, trade names, service marks, logos, get up, design rights (registered and unregistered), copyrights and rights in the nature of copyright, database rights, know how, techniques, skills data, technical information, processes, improvements, computer programs, research, techniques, methods, trade secrets, inventions, rights in patentable inventions, utility models and petty patents, moral rights, domain name registrations, applications for any of the above whether existing now or at any time in the future and whether registered or registrable or otherwise, together with:

(i) the rights to all registrations, renewals or extensions thereof; and

(ii) the right to make applications in respect of any such rights.

b. The Company agrees that the Consultant:

(i) has certain pre-existing and certain independently developed Intellectual Property which it may use in providing the Services ("Background IP"); and

(ii) may develop new Intellectual Property relating specifically to the Services during the performance of the Services ("Project IP").

Both parties acknowledge that, as between the parties, GCU owns and shall continue to own both the Background IP and the Project IP, and that the Company shall not obtain any rights to either, other than as expressly set out in these Conditions.

c. GCU hereby grants to the Company a non-exclusive, world-wide, royalty free licence to the Project IP and to the Background IP, in each case only insofar as is necessary to allow the Company to make reasonable use of the Services (including any deliverables) as envisaged by the Proposal.
d. The parties acknowledge that the Company has certain pre-existing and certain independently developed Intellectual Property ("Company IP") which it may allow GCU access to in order to allow it to provide the Services. Both parties acknowledge that, as between the parties, the Company owns and shall continue to own both the Company IP. The Company hereby grants to GCU a non-exclusive, world-wide, royalty free licence to the Company IP insofar as is necessary to allow GCU to provide the Services in accordance with this Contract.

5.7 Publication

The Consultant, as an Academic Party, would be permitted to publish the results of the Project which they have undertaken in accordance with normal academic practice, subject always to the provisions of Intellectual Property and Confidentiality Clauses.

6. TERMINATION

6.1 The Company, without prejudice to any remedy which it may have against the Consultant for the breach or non-performance of any of the provisions of this Contract, may terminate forthwith this Contract:

6.1.1 if the behaviour of the Consultant or anyone appointed to provide the Services can reasonably be regarded as materially prejudicial to the interests of the Company or any associated company or which brings the Consultant or the Company or any associated company into disrepute; or

6.1.2 if the Consultant becomes insolvent or makes any arrangement or composition with his/her creditors generally; or

6.1.3 if the Consultant is in breach of this Contract.

6.2 In the event that the Company terminates this Contract in terms of Clause 6.1.1 hereof the Consultant or his/her representatives or executors whomsoever will not be entitled to receive any sums from the Company.
6.3 The Consultant may terminate this Contract by one months' notice to the Company and the Company shall pay to the Consultant any outstanding sums due under Clause 3 hereof up to the end of that notice period.

6.4 In addition to the Company's rights of termination pursuant to Clause 6.1 and the Consultant's rights of termination pursuant to Clause 6.2 either party may terminate forthwith this Contract if the other:

6.4.1 commits a breach of this Contract which being a breach capable of remedy has not been remedied within fourteen days of receipt by the other of a notice by the innocent party identifying a breach and requiring its remedy; or

6.4.2 is unable to pay its debts or enters into compulsory or involuntary liquidation or compounds with or convenes a meeting of its creditors or has a receiver or manager or an administrator appointed or ceases for any reason to carry on business or takes or suffers any similar action which in the opinion of the party giving notice means that the other may be unable to pay its debts.

6.5 The Company may terminate this Contract forthwith on payment to the Consultant of the sum equivalent to 25% of the total contract fee in months preceding the date of termination of the Contract and payment of any outstanding sums due under Clause 3 hereof up to the end of that date of termination.

6.6 The Company may during any period of notice whether given by the Company or the Consultant exclude the Consultant or any of his/her officers or employees from any or all of its premises and require the Consultant or any of his/her officers or employees not to communicate with any existing or prospective Consultants, employees, clients or customers of the Company for the whole or any part of the applicable period of notice provided that during such suspension or exclusion the Consultant shall continue to receive his/her Consultant's fee and reimbursement of expenses under this Contract.
7. OBLIGATIONS ON TERMINATION OF THIS CONTRACT

7.1 Upon termination of the engagement of the Consultant hereunder for whatever reason the Consultant shall:

7.2 deliver up to the Company all correspondence, documents, other papers and all other property belonging to the Company which may be in the Consultant's possession or under his/her control and the Consultant will not without the written consent of the Company retain any copies thereof;

7.3 if so requested send to the Company Secretary a signed statement confirming that s/he has complied with Clause 7.1 hereof; and

7.4 not at any time represent himself/herself as still being connected with the Company or any associated Company.

8. EFFECT OF TERMINATION OF THIS CONTRACT

8.1 The expiration or determination of this Contract howsoever arising shall not operate to effect such of the provisions hereof as are expressed to operate or have effect thereafter and shall be without prejudice to any other accrued rights or remedies available to the parties.

9. ASSIGNATION

9.1 No party to this Contract shall assign, transfer, subcontract or in any other manner make over to any third party the benefit and the burden of this Contract.

10. ENTIRE CONTRACT AND VARIATION

10.1 This contract contains the entire and only agreement between the parties, and both parties acknowledge that, on entering into this contract, they have not relied on any written or oral representation or undertaking other than as expressly stated in this contract, and that this contract supersedes any previous contract or arrangement between the parties.

10.2 No variation of this Contract shall be effective unless it is in writing and is signed by or on behalf of both parties.
11. NOTICES

11.1 Any notice to be given under this Contract shall be in writing and shall be signed by or on behalf of the party giving it and may be served personally or by sending it by prepaid recorded delivery post to the address of the relevant party as set out at the head of this Contract or such other address as shall have been notified previously to the other party by the addressee in accordance with this clause. The notice shall be deemed to have been served as follows:

11.1.1 if personally delivered, at the time of delivery; and

11.1.2 if sent by prepaid recorded delivery post, at the expiration of two business days after the same was delivered into the custody of the postal authorities;

11.2 In proving such service it shall be sufficient to prove that personal delivery was made or the envelope containing such notice was properly address and delivered into the custody of the postal authorities as a prepaid first class recorded delivery.
12. **GOVERNING LAW**

This Contract shall be governed by and construed under the laws of [England and Wales / Scotland]: IN WITNESS WHEREOF consisting of this and the 12 preceding pages are executed as follows:

<table>
<thead>
<tr>
<th>Signed by</th>
<th>Signed for and on behalf of the said Coalition of Care and Support Providers in Scotland (“the Company”)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Dr Martin Kettle (“the Consultant”)</strong></td>
<td><strong>by Dee Fraser (Programme Manager, Providers &amp; Personalisation)</strong>*</td>
</tr>
<tr>
<td>At Glasgow Caledonian University, Cowcaddens Road, Glasgow G4 0BA</td>
<td></td>
</tr>
<tr>
<td>on the <strong>30</strong> day of September, 2014</td>
<td>on the <strong>16th</strong> day of September 2014</td>
</tr>
<tr>
<td><strong>KAREN MCMULLEN</strong> Signature</td>
<td><strong>CAROLINE SCOTT</strong> Name</td>
</tr>
<tr>
<td><strong>KAREN MCMULLEN</strong> Name</td>
<td><strong>57 MILBURN LODGE</strong> Address</td>
</tr>
<tr>
<td><strong>GCU</strong> Address</td>
<td><strong>EDINBURGH</strong></td>
</tr>
<tr>
<td><strong>G4 0BA</strong></td>
<td><strong>EH7 5QY</strong></td>
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</tbody>
</table>