

## Study Plan

### A mixed methods evaluation of the Embedding Formative Assessment (EFA) scale-up

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<b>PROJECT TITLE</b>	A mixed methods evaluation of the Embedding Formative Assessments (EFA) scale-up
<b>DEVELOPER (INSTITUTION)</b>	The Schools, Students and Teachers network (SSAT)
<b>EVALUATOR - INSTITUTION</b>	Behavioural Insights Team
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<b>STUDY DESIGN</b>	Mixed methods evaluation using qualitative case studies, interviews, observations, surveys, and management information (MI) analysis.

### Study plan version history

<b>VERSION</b>	<b>DATE</b>	<b>REASON FOR REVISION</b>
1.0	22 April 2021	NA

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# 1. Summary

## Background

This evaluation is a collaboration between the Schools, Students and Teachers network (SSAT), and the Behavioural Insights Team (BIT). It focuses on the scale-up of a professional development programme for teachers called Embedding Formative Assessment (EFA).

## Intervention

The primary intervention being evaluated in this study is the *scaling up* of EFA, rather than the EFA programme itself. EFA is a professional development programme which aims to improve pupil outcomes by embedding the use of formative assessment strategies across a school. Formative assessment strategies are used by teachers to understand what students know, where they need to be in their learning, and to make decisions about how to help get them there. The focus of this evaluation is the scaling process of EFA. This study will not evaluate the impact of EFA.

## Aims

BIT has been appointed by the EEF as an independent evaluator to assess and better understand the process, outcomes and impact of scaling up. The aim is to provide useful information to SSAT, and also to EEF for when it is considering supporting education interventions to scale in the future. The study will also contribute to the limited body of evidence on the barriers to and facilitators of scaling educational interventions in general, because while individual interventions may be evaluated, little is known about how to scale up those interventions.

## Design

This evaluation aims to improve our understanding of many aspects of the scaling up of a complex intervention.<sup>1</sup> The detailed questions identified below are best answered by a combination of research methods, so the study will use a mixed-methods approach. This approach involves collecting and analysing data that comes from schools and from SSAT. At the school level, 10 case studies will be conducted that will combine observations, interviews and surveys. Between them, these research activities will cover four research topics: i. fidelity; ii. reach and recruitment; iii. contextual factors; and iv. sustainability. At the SSAT level, a combination of observations, interviews, document reviews and administrative data reviews will cover all research topics. Some administrative data from SSAT will also be integrated with the case study findings. In addition to this, a cost evaluation will be conducted using structured interviews and administrative data.

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<sup>1</sup> We consider EFA a complex whole school intervention, which is defined as “an intervention that combines multiple components that interact with one another within a context and aims to produce change”. Anders, JD; Brown, C; Ehren, M; Greany, T; Nelson, R; Heal, J; Groot, A; Sanders, M; Allen, R; (2017) Evaluation of Complex Whole-School Interventions: Methodological and Practical Considerations. Education Endowment Foundation: London, UK, p3.

## 2. Background

This evaluation is a collaboration between the Schools, Students and Teachers network (SSAT), and the Behavioural Insights Team (BIT). It focuses on the scaling up of a professional development programme for teachers called Embedding Formative Assessment (EFA). This study plan describes the purpose and design of the evaluation.

BIT is responsible for:

- all design, analysis and reporting; and
- all qualitative and cost data collection.

SSAT is responsible for:

- supporting logistics (for example, helping to arrange interviews and observations);
- supporting quantitative data collection (surveys and MI data);
- participating in the evaluation (by sharing data, and participating in interviews and observations).

Table 1 summarises the key personnel for each organisation and their role in the delivering evaluation. (A separate set of role descriptions in terms of the delivery of EFA's scaling is provided in the 'Intervention' section below.)

Table 1. Evaluation roles and responsibilities

Organisation	Name	Role and responsibilities
BIT	Kim Bohling	Principal Research Advisor. Principal investigator. Leading the design and implementation of the evaluation.
	Patrick Taylor	Senior Research Advisor. Managing the delivery of the evaluation.
	Dr Alex Sutherland	Chief Scientist. Providing technical advice and oversight.
	Dr Matthew Holt	Head of Qualitative Research. Supporting the design and implementation of the qualitative elements of the evaluation.
	Rizwaan Malik	Associate Research Advisor. Undertaking qualitative data collection and analysis.

	Eleanor Collerton	Associate Research Advisor. Undertaking qualitative data collection and analysis.
	Julia Ryle-Hodges	Associate Research Advisor. Undertaking qualitative data collection and analysis.
	Pujen Shrestha	Associate Research Advisor. Undertaking quantitative data collection and analysis.
<b>SSAT</b>	Corinne Settle	Senior Education Lead. Project lead.
	Jenn Farrell	Programme Manager. Main point of contact for evaluation management.

### 3. The intervention

The focus of this evaluation is the scaling process of EFA, including the barriers and facilitators to scaling the programme.

#### 3.1. The EFA programme

EFA is a professional development programme which aims to improve pupil outcomes by embedding the use of formative assessment strategies across a school. The programme was developed jointly by SSAT and Dylan Wiliam. Wiliam defines formative assessment (FA) as practices in which “evidence about student achievement is elicited, interpreted, and used by teachers, learners, or their peers, to make decisions about the next steps in instruction that are likely to be better, or better founded, than the decisions they would have taken in the absence of the evidence that was elicited”<sup>2</sup>.

The programme was developed by SSAT to address three perceived barriers to embedding formative assessment: a lack of understanding of the value of formative assessment, a lack of time dedicated to embedding it, and the complexity involved in changing teachers’ practices. Taking account of these challenges, EFA combines regular meetings, ongoing feedback and clear guidance in an attempt to make formative assessment part of routine practice. The delivery of EFA in a school is supported by the roles in Table 2, split between SSAT and the participating school.

To support delivery, schools receive detailed resource packs to run structured monthly workshops, known as Teacher Learning Communities (TLCs), which focus on enhancing understanding of FA strategies, reflecting on FA practice in the classroom, shared problem

<sup>2</sup> Black, P. J., & Wiliam, D. (2009). Developing the theory of formative assessment. *Educational Assessment, Evaluation and Accountability*, 21(1), 9.

solving, and planning for future practice. Between TLCs, teachers conduct structured peer observations focusing on the use of formative assessment strategies.

Table 2. EFA roles and responsibilities

Organisation	Role	Responsibilities
<b>SSAT</b>	Senior Education Lead	Oversight of EFA recruitment, on-boarding, and implementation across all participating schools. Training and line management of EFA Mentors.
	Programme Manager	Day to day programme management.
	EFA Mentors	Support School Leads to set up and implement EFA through a programme induction meeting, ongoing ad hoc remote support, and a meeting at the end of year 1 of implementation.
<b>School</b>	EFA School Lead	Manages the delivery of EFA within the school. Appoints and line manages the TLC Leads.
	TLC Leaders	Facilitate cross-departmental TLC workshops with teachers and senior leaders. There are multiple TLC Leaders within each school, each leading a group of roughly 10-12 teachers. The number of TLC Leaders within a school depends on the size of the school.
	Class Teachers	Participate in the EFA programme by embedding formative assessment in their own practice and by supporting their peers to do the same through observations, feedback and practice sharing.

More information on the EFA programme can be found in the report of the effectiveness trial that preceded this evaluation<sup>3</sup> and on SSAT's website<sup>4</sup>.

### 3.2. The scaling up of EFA

SSAT have received funding and support from the EEF to enable the scaling of EFA. SSAT and EEF have agreed scaling targets separate from this evaluation, but which have informed the study plan and will be monitored throughout the evaluation. Where the study plan refers to the "scaling of EFA", this is a reference to the scaling targets agreed with EEF.

SSAT is currently in the process of scaling up the delivery of EFA from 20 schools to an additional 125 schools between September 2021 and July 2023, with the following targets.

<sup>3</sup> Speckesser, S., Runge, J., Foliano, F., Bursnall, M., Hudson-Sharp, N., Rolfe, H., & Anders, J. (2018). Embedding formative assessment: Evaluation report and executive summary. Available online: <https://bit.ly/3d4Lwum>. Last accessed: 25 March 2021.

<sup>4</sup> <https://bit.ly/3lOqpAi>.

- 50 new schools starting in September 2021
- 75 new schools starting in September 2022

The approach that SSAT is taking to achieve this goal is not described here because it is still under development. One of the main research questions for this study is to identify and describe this approach.

#### 4. Study rationale and aims

EFA is a well-developed and well-tested intervention. An EEF effectiveness trial of the programme with 140 schools found that students in the intervention schools made 2 additional months' progress in their Attainment 8 GCSE score versus students in comparison schools.<sup>5</sup> As a result of this success, SSAT is scaling the programme up, with funding from the EEF.

Other programmes of formative assessment have also been shown to have positive effects when implemented well. One study estimated a very large positive effect (up to half of a GCSE grade per student), and a meta-analysis of studies on this approach suggests that about 3 months additional progress can be achieved if formative assessment practices are supported by good professional development.<sup>6</sup> However, some studies have estimated negative effects,<sup>7</sup> and some research has shown that effective formative assessment practices can be difficult to implement.<sup>8</sup> The process evaluation for the EFA effectiveness trial also highlighted substantial variation in implementation at the school level; however, SSAT felt most of the observed adaptations were acceptable and part of the necessary flexibility of the programme. Furthermore, only a small number of successful educational programmes have been scaled up, with the process of scaling being formally evaluated. So, while there is strong evidence to suggest that EFA - and formative assessment more broadly - can be an effective way of increasing pupil attainment, implementing it well at scale is not a given.

BIT has been appointed by the EEF as an independent evaluator to assess and better understand the process, outcomes and impact of scaling up. The aim is to provide useful information to SSAT, and also to EEF for when it is considering supporting education interventions to scale in the future. BIT has two roles in this evaluation, acting as both **evaluators**, providing forward looking conclusions and recommendations at the end of the evaluation, and **supporters**, aiming to improve the delivery and scaling of EFA through regular formative feedback during the evaluation.

The study will also contribute to the body of evidence on the barriers to and facilitators of scaling educational interventions in general. A separate trial has been funded to explore the type of messaging that is most effective in encouraging school leaders to adopt EFA.<sup>9</sup> The

<sup>5</sup> Speckesser, S., Runge, J., Foliano, F., Bursnall, M., Hudson-Sharp, N., Rolfe, H., & Anders, J. (2018). Embedding formative assessment: Evaluation report and executive summary. Available online: <https://bit.ly/3d4Lwum>. Last accessed: 25 March 2021.

<sup>6</sup> EEF. (2015). Feedback. Available online: <https://bit.ly/3vWrcnr>. Last accessed: 25 March 2021.

<sup>7</sup> EEF. (2015). Feedback. Available online: <https://bit.ly/3vWrcnr>. Last accessed: 25 March 2021.

<sup>8</sup> Gorard, S., See, B. H., & Siddiqui, N., 2014. Anglican Schools Partnership: Effective Feedback. Available online: <https://bit.ly/3faV0a4>. Last accessed: 16 March 2018.

<sup>9</sup> The trial protocol can be viewed here: <https://bit.ly/2Qj0JjV>.

findings from this trial will contribute to an understanding of what encourages school leaders to adopt evidence-informed practices.

## **5. Research questions**

The research questions cover the following seven interrelated topics.

1. Strategy
2. Fidelity
3. Structures, systems and processes
4. Reach and recruitment
5. Contextual factors
6. Sustainability
7. Cost

The research questions under each topic are presented below, and a more detailed breakdown of these questions can be found in Appendix A.

### **Topic 1: Strategy**

- 1.1. What is SSAT's strategy for scaling-up the EFA programme?
- 1.2. How does SSAT's strategy for scaling evolve over time?
- 1.3. What factors influence changes to the scaling strategy?
- 1.4. What role does the EEF play in helping SSAT to achieve readiness for scaling up?

### **Topic 2: Fidelity**

- 2.1. What are the essential features of the intervention, and what adaptations are appropriate (and required to support scaling)?
- 2.2. How does the approach taken to scaling support or hinder fidelity?
- 2.3. How is intervention fidelity managed?
- 2.4. What are the barriers to, and enablers of, the effective adaptation of EFA?

### **Topic 3: Structures, systems and processes**

- 3.1. What challenges are there organisationally when making a sizeable change in the scale of implementation of the EFA programme, and how are these overcome?
- 3.2. How well do SSAT's monitoring and evaluation (M&E) systems support data-based decision making and how can they be improved?

### **Topic 4: Reach and recruitment**

- 4.1. What is SSAT's sales process/pathway for the EFA programme?
- 4.2. How many and what types of schools are SSAT reaching and successfully recruiting?
- 4.3. How do schools respond to the sales approach?



## Topic 5: Contextual factors

- 5.1. What school characteristics (e.g. culture, school-type, leadership, subject(s) taught, characteristics of individual teachers and mentors) affect the take up (e.g. adoption and reach) and implementation (e.g. fidelity and adaptation) of EFA and how do these factors support or hinder the scaling process?
- 5.2. What are the facilitators and barriers - in the context outside of schools - to scale-up of the EFA programme (e.g. education policy, funding, networks between schools)?

## Topic 6: Sustainability

- 6.1. What indicates that EFA has been embedded in school practice?
- 6.2. What are the facilitators of, and barriers to, embedding the EFA programme in a school?
- 6.3. How viable is it for schools to sustain the use of EFA on an ongoing basis after the end of the scale-up? What are the factors that affect this?
- 6.4. Is EFA being institutionalised at levels other than the school? What are facilitators of, and barriers to, 'vertical' scaling up<sup>10</sup>, and how can the barriers be addressed?

## Topic 7: Cost

- 7.1. What is the cost of implementing EFA over 3 years during the scale up?
- 7.2. How acceptable is the overall cost of implementation to a) SSAT and b) schools?
- 7.3. Is scaling up becoming more cost efficient over time?
- 7.4. Is it financially sustainable for SSAT to continue EFA delivery across schools that the programme is scaled up to, without the support provided by the EEF?

## 6. Research design and methods

### 6.1. Summary of design and phases

This evaluation aims to improve our understanding of many aspects of the scaling up of a complex intervention and covers a lot of research questions. To help make this manageable, the research will be broken down into four phases, with each phase focussed on a subset of topics (see Table 3). These phases have been defined in collaboration with SSAT to help ensure that the feedback and interim findings are given to SSAT in as timely a manner as possible.

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<sup>10</sup> Vertical scaling refers to the "institutionalisation" of a programme or practice. At the highest level, vertical scaling could come in the form of new central government policy that supports the intervention. It could also come at different levels however, for example within Local Authorities or Multi Academy Trusts, and does not have to involve formal policy change. World Health Organization. (2010). *Nine steps for developing a scaling-up strategy*. World Health Organization. Available online: <https://bit.ly/39s6nXD>. Last accessed: 30 March 2021.

The detailed questions identified above are best answered by a combination of research methods, so a mixed-methods approach is taken. This approach involves collecting and analysing data that comes from schools and from SSAT. At the school level, 10 case studies will be conducted that will combine observations, interviews and surveys. Between them, these research activities will cover four research topics: fidelity, reach and recruitment, contextual factors and sustainability. At the SSAT level, a combination of observations, interviews, document reviews and administrative data reviews will cover all research topics. Some administrative data from SSAT will also be integrated with the case study findings. In addition to this, a cost evaluation will be conducted using structured interviews and administrative data to answer the Topic 7 research questions.

It is also important to note that, due to the nature of this evaluation, the design and methods will be developed over time in response to the findings. For this reason, some of the later research activities are not described in full at this stage, and some activities may be altered as the research progresses. A full description of the final design, any deviations from this plan, and clear justifications for these deviations will be given in the final report.

Table 3. Research design broken down by phase

	Phase: 1&2. Mapping strategy, resources & processes	3. Year 1 implementation	4. Year 2 embeddedness	5. Final reporting
<b>Common research topics across all phases</b>	Strategy; Fidelity; Structures, systems and processes; Reach and recruitment; Contextual factors			
<b>Focus of phase</b>	M&E infrastructure, organisational processes, defining fidelity, MI collection and uses	M&E of Year 1 in school programme implementation	M&E of year 2 in school programme embeddedness and sustainability	Strategy & support
<b>Data collection methods</b>	Admin data, document review, SSAT observations and interviews, SLT interviews	Admin data, school surveys, school observations and interviews, SSAT observations and interviews	Admin data, school surveys, school observations and interviews, SSAT observations and interviews	Analysis feedback workshop with SSAT
<b>Lines of inquiry with SSAT strategic leads</b>	Strategy for scaling, defining fidelity, M&E infrastructure, school recruitment process	Strategy for scaling, fidelity management, barriers to and enablers of fidelity, organisational challenges of scaling, reach and recruitment, contextual factors outside schools, cost	Changes to strategy, fidelity management, barriers to and enablers of fidelity, organisational challenges of scaling, reach and recruitment, contextual factors outside schools, sustainability, cost	Interpretation of findings
<b>Lines of inquiry with EFA Mentors (school-facing staff)</b>	Defining fidelity, fidelity management	Fidelity management, barriers to and enablers of fidelity, contextual factors inside schools	Fidelity management, barriers to and enablers of fidelity, contextual factors inside schools	Interpretation of findings
<b>Lines of inquiry with school staff</b>	Barriers to and facilitators of adoption	Fidelity management, barriers to and enablers of fidelity, contextual factors inside schools, contextual factors outside schools, response to sales approach, cost	Fidelity management, barriers to and enablers of fidelity, contextual factors inside schools, contextual factors outside schools, response to sales approach, cost	NA

## 6.2. Scale-up theory of change

Before writing this study plan, a scale-up theory of change workshop was run with three SSAT staff members. This workshop allowed BIT and SSAT to develop a shared understanding of the EFA programme and SSAT's strategy for scaling it at that time (RQ1.1). The findings from this workshop were written up into a summary report and helped to inform this study plan.

## 6.3. School case studies

### 6.3.1. *Methods*

A collection of 10 comparative case studies of participating schools will be used to gain an in-depth understanding of how the programme is being implemented. Each case study will involve observations of key programme activities, interviews with staff involved in the delivery of EFA within a school, and analysis of SSAT's programme monitoring data for the school.

The observations will address three of the research topics: i. fidelity; ii. contextual factors; and iii. sustainability. They will also serve the purpose of familiarising the researchers with the intervention, which will support the wider data collection and analysis. Three sessions will be observed in each school: one TLC workshop, one peer feedback session, and one lesson observation. Semi-structured observation guides will be used to capture field notes. All observations will be non-participatory (i.e. our researchers will not participate in the activity being observed), direct and undisguised (i.e., the activity participants will know that we are researchers, who are observing and taking notes).

The interviews will address four of the research topics: i. fidelity; ii. reach and recruitment; iii. contextual factors; and iv. sustainability. In each case, interviews will be conducted with the EFA School Lead, two TLC Leaders, and two Class Teachers. For the latter two categories the interviews will be conducted in pairs to increase the diversity of the sample and to encourage some peer-to-peer reflection that we hope will add depth to the findings. Semi-structured guides will be used for all interviews.<sup>11</sup>

The data collection in these schools will take place across the two years of the programme in order to gain insight into both early and later implementation. Schools are being recruited by SSAT to the EFA programme in two waves, with one new cohort being recruited to start in September 2021, and a second cohort being recruited to start in September 2022. To take advantage of this, 6 case studies will be conducted with Wave 1 schools over both years of implementation.<sup>12</sup> A further 4 lighter touch case studies will be conducted with Wave 2 schools in their first year of implementation. This will allow for preliminary feedback to be

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<sup>11</sup> Interviews with EFA School Leads will also use communication materials from the EFA Mailer Trial as stimulus.

<sup>12</sup> In the event a Wave 1 school drops out of the programme or the evaluation before the second year, we will replace that school with a Wave 1 school with similar sampling characteristics.

given to SSAT after the first year of Wave 1 case studies are complete. This feedback will be used to inform SSAT’s approach with Wave 2 schools and we will be able to gather data about how experiences differ for this wave.

Table 4 provides an overview of the planned research activities for a case study school, the participant groups involved and the number of qualitative pieces of data to be collected (where a piece of data is either a transcript from an interview or a set of field notes from an observation). For schools in Wave 1, the activities will happen once per year for two years. For schools in Wave 2, the activities will only happen once in their first year.

Table 4. Case study methods

Activity / participant group	Method	Number of data pieces	Number of people involved
TLC workshop	Observation	1	10
FA in practice in the classroom	Observation	1	30
EFA School Lead	Interview	1	1
TLC Leaders	Paired interview	1	2
Class Teachers	Paired interview	1	2
SSAT EFA mentor	Interview	1	1
	<b>Total for each Wave 1 case study (2 years)</b>	<b>12</b>	<b>92</b>
	<b>Total for each Wave 2 case study (1 year)</b>	<b>6</b>	<b>46</b>
	<b>Total for 10 case studies</b>	<b>96</b>	<b>138</b>

### 6.3.2. Sampling

The aim of the sampling strategy for the case studies is to capture the range and diversity of experiences that support a comprehensive response to the research questions. To achieve this, a stratified purposive sample will be created, where schools are selected based on key characteristics, stratified by their level of fidelity to the intervention. To achieve this, we will select 6 schools with low fidelity to EFA and 6 schools with high fidelity to the programme. For this purpose, fidelity will be defined by SSAT, using management data and the subjective judgement of programme management staff. Within these two groups (high and low fidelity), the sampling will aim for variation in other key characteristics (for example, Ofsted rating and/or school engagement with SSAT). The characteristics that we use for this second stage of selection will be chosen in collaboration with SSAT.

## 6.4. School surveys

### 6.4.1. Methods

Two sets of online surveys will be conducted with all Wave 1 and Wave 2 SSAT schools (those who start in September 2021 and September 2022, respectively), based on the two key EFA staff groups in each school: TLC Leaders and Class Teachers. Both sets of surveys will cover fidelity, contextual factors and sustainability. There will be some overlap in survey questions between the two groups - because TLC Leaders are also teachers who implement EFA with their students - but the TLC Leaders surveys will contain additional questions that only relate to their additional role as facilitators of EFA.

Surveys will be administered to these groups at two time points each year of implementation. A baseline survey will be issued during the first term (in October) to capture early impressions, and a follow-up survey, covering the same topics, will be issued towards the end of the academic year (in April) to see if responses change over the course of a year. For example, to track whether fidelity to the intervention changes over time, or whether certain barriers to implementation arise at different points in the academic year.

### 6.4.2. Sampling

A census approach will be used for all survey sampling, where all members of each sampling population will be invited to complete the relevant surveys. In the first academic year of surveying (2021/2021), the sampling population will comprise all Wave 1 schools. In the second academic year, the population will comprise all Wave 1 and Wave 2 schools. This means that 2 years of data will be collected for Wave 1 schools and 1 year of data will be collected for Wave 2 schools. This will be accounted for in the analysis by separating out and comparing results between waves. Table 5 shows the estimated population sizes for each survey.

Table 5. Population size estimates for surveys

Participant group	Number in Wave 1	Number in Wave 2	Total
TLC Leaders	350	525	875
Class Teachers	3500	5250	8750

## 6.5. SSAT observations and interviews<sup>13</sup>

### 6.5.1. *Methods*

Key activities delivered by SSAT in the recruitment and set-up phase for new schools will also be observed, and interviews will be conducted with a range of SSAT staff involved in the scaling process. The observations will address three of the research topics: fidelity, reach and recruitment, contextual factors and sustainability. They will also serve the purpose of familiarising the researchers with the intervention, which will support the wider data collection and analysis. Three types of session will be observed at this level: one EFA Open Day (or other recruitment activities depending on plan modifications to accommodate Covid-19 safety measures), one EFA Launch Event and one EFA Mentor Training. Open Days are hosted by Ambassador Schools (schools that have embedded EFA and have volunteered to host Open Days) and provide an opportunity for staff from interested schools to learn more about and observe EFA used in classrooms. The Launch Events are for EFA School Leads, TLC leaders, and school governors, to introduce the programme at a high level and ensure that the senior school staff understand their roles. Mentor Training prepares EFA Mentors for their support role and takes place over two days. Semi-structured observation guides will be used to capture field notes. All observations will be non-participatory (i.e. our researchers will not participate in the activity being observed), direct and undisguised (i.e., the activity participants will know that we are researchers, who are observing and taking notes).

Semi-structured interviews will be conducted with key members of the SSAT team, will take place at three time-points and, between them, will cover all research topics. The first round of interviews will take place before the first year of scaling starts. These will include the leads of each element of the scaling strategy. Initially, they will include the Senior Education Lead, Head of Brand, Head of Business Development, Project Manager and two EFA mentors. The purpose of these interviews will be to understand how the organisation is structured and any changes that have been made or are planned in order to support scaling. They will also dive deeper into the components of the scaling strategy that each person is responsible for and any challenges they foresee within their strategic areas.

A separate focus group may also be conducted at a later date to better define programme fidelity and understand how fidelity is monitored within schools if the interviews do not provide adequate detail or if there are changes to the existing fidelity model at SSAT. The focus group will also consider whether/if adaptations to the programme model are necessary to support scaling and what adaptations are not considered acceptable.

The second round of SSAT interviews will take place at the end of the first year of scaling, after feedback has been given to SSAT by the evaluation team. The aim of these interviews will be to reflect on how the initial scaling strategy compares with what is actually implemented in the first year. The interviews will also explore reactions to the feedback and how the team is using it (or not) to inform the strategy moving forward.

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<sup>13</sup> Throughout this section, when interviews are discussed, it is possible that some of these activities are conducted as focus groups. This will be decided in consultation with SSAT and will depend on how the scaling and research develops.

The third round of interviews will take place at the end of the second year of scaling. At this point, the Wave 1 schools will be at the end of their second year of participation and Wave 2 schools will be at the end of their first year. Between them, these interviews will likely cover all research topics, with a focus on the changes that have taken place since the beginning of the scaling programme. They will also likely involve all staff who have a lead responsibility for an element of the scaling strategy within SSAT. However, the exact focus and composition of the sample for this round of interviews will be strongly determined by the preceding findings.

Table 6 provides an overview of the planned research activities with SSAT staff, the participant groups involved and the number of qualitative pieces of data to be collected. For schools in Wave 1, the activities will happen once per year for two years. For schools in Wave 2, the activities will only happen once in their first year.

Table 6. Research activities with SSAT staff

Activity / participant group	Method	Number of data pieces
EFA Open Day	Observation	1
EFA Launch Event	Observation	1
EFA Mentor Training	Observation	1
Senior Education Lead	Interview	3
Project Manager	Interview	3
Head of Brand	Interview	3
Head of Business Development	Interview	3
EFA Mentors (x2)	Interview	4-6
	<b>Total</b>	<b>19-21</b>



### **6.5.2. Sampling**

Observations will be agreed with SSAT. As SSAT are currently revising their sales strategy, we will work with them to select an appropriate event (whether online or in-person) to observe. We will not yet have identified the case study schools prior to observing a Launch Event, so the Launch Event observation will be independent of the case studies. We will select one occurring in the summer term, as this is SSAT's preferred timing for launch events in regards to programme set-up. The EFA Mentor training schedule is currently being revised and we will work with SSAT to attend the first available training sessions.

Interviews will be conducted with all SSAT staff who have lead responsibility for an element of the scaling strategy. For EFA Mentors, we will ensure we speak to a mentor working with schools who require minimal support and one mentor who works with high-support schools.

## **6.6. Sales trial and interviews**

### **6.6.1. Sales (mailer) trial**

A key step in scaling a programme is ensuring there is interest and demand for take-up from decision-makers. A separate trial has been funded to explore the type of messaging that is most effective in encouraging school leaders to adopt EFA.<sup>14</sup> This is a two-arm randomised controlled trial, randomised at school level, which will test two message variations - 'evidence' and 'testimonial'. The primary outcome will be expressions of interest in EFA and the secondary outcome will be sales of EFA.

### **6.6.2. Sales interviews - methods, recruitment and sampling**

To supplement the findings from the trial and to better understand school leaders' broader perceptions of the programme and sales approach, we will also conduct semi-structured interviews with ten SLT members who are in the sales pipeline for EFA. The interviews will focus on responses to the EFA sales approach, as well as perceived barriers and facilitators to signing up to the programme. We may also present the stimuli from the trial to elicit feedback on the materials.

Prior to Covid disruptions, the plan had been to recruit SLT members from Open Days to participate in interviews. As SSAT have not moved Open Days online, we are confirming with them an updated strategy for recruiting interview participants. Our primary sampling criteria will be interest in adoption of the programme, ensuring we ideally speak with SLT in the pipeline who decide they are not interested in adoption, as well as those who are unsure and those who are likely moving forward with purchasing the programme.

## **6.7. Document and admin data review**

### **6.7.1. Document review**

The document review includes all documents sent to schools (for example, the programme resource pack) and the internal SSAT documents used to monitor the recruitment and

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<sup>14</sup> The trial protocol can be viewed here: <https://bit.ly/2Qj0JjV>.

implementation processes (e.g. MI recording instructions and fidelity survey). This review will support our understanding of SSAT's scaling strategy (Research Topic 1) and the EFA intervention. It will also support the development of data collection resources; particularly observation guides.

### **6.7.2. Administrative data review**

SSAT's MI will be analysed to address three research topics: fidelity; structures, systems and processes; and reach and recruitment.<sup>15</sup>

The first stage of the MI review will involve an evaluation of the data that is collected and analysed by SSAT, and the systems that are used for this purpose. It will ask whether these data and systems will effectively support the implementation and scaling of EFA, and the monitoring of progress and will result in recommendations for improvements. This review will be conducted before the first academic year of scaling begins, so that some improvements may be implemented before launch.

The second stage of the MI review will involve analysis of the actual data that is collected on fidelity and reach and recruitment at the end of the first and second years of scaling. This analysis will be conducted for all schools involved in the scale-up in each year, as well as at the case study level so that it can be integrated with the qualitative findings.

## **6.8. Cost evaluation**

The cost evaluation aims to estimate the true cost of recruiting schools and implementing and maintaining EFA within schools to achieve the agreed scale for this evaluation. This information will be divided into three discrete parts: recruitment, implementation and sustaining beyond EEF scale-up support. The cost evaluation will evaluate whether the EFA scale-up was implemented at a reasonable cost and whether the cost of implementation of the programme changes over time (i.e. whether scaling is becoming more or less efficient over time).

Conducting a cost evaluation for scaling-up an intervention is complex, as the costs of recruiting and implementing the intervention can vary across schools and throughout the course of the programme. For example, one simple advertising campaign can be very cost-effective and recruit many schools, thus resulting in low recruitment costs per school. In a large scale up, it is possible that the next set of schools to be recruited are harder to engage and thus less cost effective. It is also important to understand if different types of schools are harder to engage than others and how barriers to recruitment match with costs incurred. Similarly, the costs of implementation could vary across schools, where some schools display higher levels of readiness than others or as the level of support required of schools varies over time.

We will conduct an average cost analysis using MI and interviews. A cost analysis of implementing the programme was already conducted as part of the effectiveness evaluation, so the focus of our cost analysis will be to understand how costs to schools may change as

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<sup>15</sup> It will also be used to support school case study sampling, which aims for variation in fidelity.

a result of scaling. Structured interviews are preferred over surveys, as they allow us to ensure consistency and completeness across responses.

The evaluation will estimate for schools:

- Direct costs (for example, fees and programme materials)
- Indirect costs (for example, supply staff cover for training days).

The evaluation will estimate for SSAT:

- Recruitment costs: materials, staff time, event costs
- Implementation costs: recruitment and training of EFA Mentors, Launch Events, EFA Mentor time to support school implementation, materials
- Sustainability costs: materials, EFA Mentor time to support schools experiencing challenges.

To determine whether cost of implementation differs across schools and over time, we will collect cost estimates from schools with a range of experiences and in both Wave 1 and Wave 2. Data will be collected at the end of the first and second year of scaling. The cost figures obtained will be compared to the figures in the effectiveness trial to see if the scaling-up has increased or decreased the average cost. We will follow the EEF Guidance on Cost Evaluation (the latest version at the time of undertaking the evaluation) collecting the direct and marginal costs of the intervention.<sup>16</sup> Following the guidance, some school costs will be collected and reported in financial units and others will be in units of time, for example the time spent attending and preparing for TLCs. Our ability to compile costs on time spent will rely on consistent and accurate data collection from SSAT staff across various activities to support scale-up. We will agree the data to be collected and timelines for data transfer with SSAT to ensure the process is feasible.

Finally, the cost evaluation will include the costs incurred by SSAT; across its recruitment, implementation and sustainability activities. We will evaluate the average cost per school and reach of different recruiting strategies. The evaluation of implementation costs will focus on establishing how implementation costs differ across schools and time. To be able to compare costs with those found in the previous effectiveness evaluation, we will cover many of the same components including the cost of the SSAT resource package, attendance at training days and ongoing support from SSAT during the two years of implementation. We will also aim to explore if factors relevant to scale-up, such as collaborating with other schools to share training events (if this happens) can reduce overall costs of the intervention. The costs associated with ensuring the sustainability of the programme will become clearer as the implementation phase comes to an end, and SSAT maps out the ongoing activities and support to be offered to schools. The cost of these activities will be estimated in a similar manner to the implementation phase activities. The sustainability cost evaluation will be used, in conjunction with the wider evaluation activities on this topic, to determine whether the programme is sustainable beyond the EEF support.

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<sup>16</sup> Education Endowment Foundation (EEF). (2019). *Cost evaluation guidance for EEF evaluations*. EEF. Available online: <https://bit.ly/3d3XxS3>. Last accessed: 9 April 2021.

## 7. Analytical approach

- Simple descriptive statistics will be produced from the survey and MI and, where appropriate, will be analysed alongside the qualitative data.
- Interviews and focus groups will be audio-recorded and transcribed, while notes will be taken during observations using a standardized form.
- We will use thematic analysis for all qualitative data and it will be conducted in NVIVO.

For the interviews with SSAT staff and reach and recruitment interviews with SLT, we anticipate using using Braun & Clarke's<sup>17</sup> six-step approach, which involves coding the transcripts and identifying emerging themes. Themes will undergo a further round of classifying, and will be sorted into high-level themes and sub-themes.

For the case study data, we will use the Framework approach, with within case analysis being conducted before between case analysis.<sup>18</sup> This will first involve identifying emerging themes through familiarisation with the data. Then, an analytical framework will be created using a series of matrices each relating to an emergent theme. The columns in each matrix will represent the key sub-themes drawn from the findings and the rows will represent individual participants interviewed or activities observed.

The interview and observation data will be summarised in the appropriate cell, which means that all data relevant to a particular theme will be noted and easily accessible. This will enable a systematic approach to analysis that is grounded in participants' and schools' accounts. The next step of analysis will involve working through the charted data to draw out the range of schools' experiences and participants' views, while identifying similarities, differences and links between them. Thematic analysis (undertaken by looking down the theme-based columns in Framework) will identify concepts and themes and the case-based analysis (undertaken by comparing and contrasting rows in Framework) will allow for links within cases to be established and cases to be compared and contrasted with each other.

For all qualitative analysis, a balance will be maintained between deduction (using existing knowledge and the research questions to guide the analysis) and induction (allowing concepts and ways of interpreting experience to emerge from the data). We will mitigate researcher bias by using the interrater reliability checker on NVIVO, ensuring multiple researchers are coding the transcripts in the same way. Furthermore, verbatim participant quotations and case examples will be used to provide evidence and exemplify the theme(s) discussed in the paragraph before the quotation. Quotations will be selected by considering multiple factors including how well they exemplify the theme(s) discussed.

As qualitative data can only be generalised in terms of range and diversity and not in terms of prevalence, the analytical outputs will focus on the nature of experiences, avoiding numerical summaries or language such as 'most' and 'majority'.

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<sup>17</sup> Virginia Braun & Victoria Clarke (2006) Using thematic analysis in psychology, *Qualitative Research in Psychology*, 3:2, 77-101, DOI: 10.1191/1478088706qp0630a.

<sup>18</sup> Ritchie, J., Lewis, J., Nicholls, C. M., & Ormston, R. (Eds.). (2013). *Qualitative research practice: A guide for social science students and researchers*. Sage.

SSAT will also play an informal role in the analysis, by offering their reflections in response to feedback and more formal findings that are presented to them over the course of the evaluation.

## 8. Feedback and reporting

To support the formative aims of this study, four types of feedback and reporting will be used as follows.

- **Pre-mortem workshop.** This will be conducted before the first year of scaling starts. The goal of this session is to help SSAT assess the potential risks and threats to the project, to support more effective and comprehensive planning. It will bring the SSAT scaling leadership team together for a 2 hour session to jointly imagine ways in which the project might fail, and then work backwards to imagine the causes of these failures. The output of this session will be a set of newly identified risks for SSAT to take away and plan mitigation strategies for.
- **Findings and formative feedback.** Four feedback slide decks will be produced over the course of the evaluation. The aim of these decks is to provide timely findings to SSAT that they may wish to act upon during the scaling process. Early findings will be presented in a slide deck and SSAT staff will have the opportunity to interrogate these findings and discuss actions that follow from them.
- **Formal reports.** Two formal reports will be produced: one interim report at the end of the first year of scaling, and one final report after the second year of scaling.
- **Post-mortem workshop.** This session will provide SSAT with headline draft findings from the final report. There are three aims of this: i. to give important results to SSAT as quickly as possible so that they can continue to develop their strategy; ii. to allow SSAT to offer feedback on the findings to add insight and depth to our final stages of analysis; and iii. to support SSAT to assess the validity of the risks and mitigation strategies identified in the pre-mortem workshop to aid future planning.

The schedule for these activities is included in the project timeline below.

## 9. Project timeline

The key research activities and deliverables for each phase are outlined in Table 7.

Table 7. Project timeline

Phase	Timing	Key activities
1. Set-up and kick-off	Dec 2019 - March 2020	<ul style="list-style-type: none"> <li>● Kick-off meetings with SSAT &amp; EEF</li> <li>● Finalise data sharing documents and arrangements</li> <li>● EFA document review</li> <li>● Scaling strategy theory of change (TOC) workshop</li> <li>● <b>TOC summary report (March 2020)</b></li> </ul>
2. Organisational processes, defining fidelity, MI data review	April 2020 - August 2021 <sup>19</sup>	<ul style="list-style-type: none"> <li>● <b>Study plan finalisation (April 2021)</b></li> <li>● <b>Pre-mortem workshop and summary report (April 2021)</b></li> <li>● Interviews with key SSAT staff to map organisational processes and define programme fidelity (current and at scale)</li> <li>● Review MI extracts</li> <li>● <b>First feedback (July 2021)</b></li> </ul>
3. Year 1 School Implementation, Reach and Recruitment	Sep 2021 - August 2022	<ul style="list-style-type: none"> <li>● Pre- and post-surveys with school staff</li> <li>● Case studies (x6 schools)</li> <li>● Analyse MI</li> <li>● Interviews with key SSAT staff about strategy, organisational capacity and processes</li> <li>● <b>Second feedback (Dec 2021)</b></li> <li>● <b>Third feedback (July 2022)</b></li> <li>● <b>Interim report (Sept 2022)</b></li> </ul>
4. Year 2 School Embeddedness and Sustainability	Sep 2022 - August 2023	<ul style="list-style-type: none"> <li>● Pre- and post-surveys with school staff</li> <li>● Case studies (x10 schools)</li> <li>● Analyse MI</li> <li>● Interviews with key SSAT staff about strategy, organisational capacity and processes</li> <li>● <b>Fourth feedback (July 2023)</b></li> </ul>
5. Final Reporting	Sep 2023 - Feb 2024	<ul style="list-style-type: none"> <li>● <b>Final findings and post-mortem workshop (Oct 2023)</b></li> <li>● <b>Final report (draft Nov 2023, final Feb 2024)</b></li> </ul>

<sup>19</sup> This phase was disrupted and delayed by Covid-19. The sales trial was proposed, developed and launched October 2020-March 2021 while uncertainty around school openings made planned evaluation activities difficult.

## 10. Ethics

BIT has an internal ethics review process, which follows the ethical principles for research developed by the Government Social Research Profession.<sup>20</sup> This project has been assessed as low risk according to our ethics assessment checklist (see Appendix B), which takes into account factors such as the vulnerability of the participants, the contentiousness of the topic area and the research methods.

### 10.1. Informed consent

Interview participants will be provided with an information sheet (see Appendix C) explaining why the study is being conducted, what their participation will involve, how their data will be processed, including that all information will remain confidential unless there are concerns about risk to themselves or others, and their rights in relation to withdrawing consent. They will also be given a verbal explanation prior to beginning the interview, and have a chance to ask any questions. If they would like to go ahead, audio recorded consent to participate will be taken.

For surveys, information about the purpose of the survey and how the data will be processed will form the first page of the survey. Teachers will also be asked to tick a box confirming that they have read this information and consent to take part. They will also be made aware of the process through which they can withdraw their data (up until the point of analysis).

For in-school observations, as it is a non-controversial topic and the researchers will not be there to observe the behaviour of specific students, the school will be asked to act in loco parentis. Schools may choose to inform parents or seek consent from them in relation to the observation, should they wish to do so.

### 10.2. Participant welfare

The focus of this evaluation is not a sensitive topic and participants engaging directly in research activities (i.e interviews and surveys) are not classified as vulnerable. We do, however, recognise the need to minimise the burden of taking part for schools. This will be achieved through using existing M&E data wherever possible, only asking teachers to complete two voluntary short surveys per year, and conducting a maximum of two observations per school.

We do not anticipate encountering situations that would require action to be taken in relation to safeguarding and/or distress, but this is always a possibility when working with schools. If a safeguarding issue arose in any aspect of the evaluation, all researchers have been trained in BIT's policies on safeguarding and conducting research safely. They will refer to and take action in line with the following BIT policies and procedures: Adult Safeguarding Policy, Child Safeguarding Policy, Lone Working Procedure and Emergency Crib Sheet for Field Researchers. All researchers will also comply with all relevant school procedures.

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<sup>20</sup> Government Social Research Unit (GSRU). (2005). *Ethical Assurance Guidance for Social Research in government*. GSRU. Available online: <https://bit.ly/3fUE7AH>. Last accessed: 9 April 2021.

## 11. Data protection

For this study, BIT will be data controllers, or data controllers in common with schools or SSAT, for personal data shared or collected during the project. BIT will process personal data under the 'legitimate interests' condition (Article 6(1)(f)) of the GDPR. It is necessary in BIT's 'legitimate interests' to process personal data in order to conduct an evaluation of EFA's scale-up that has been commissioned by the EEF. The research project fulfils BIT's core business aims including undertaking research, evaluation and information activities in sectors that will deliver social impact. In line with our privacy by design approach, however, we will ask SSAT to anonymise or pseudonomise MI where possible. The privacy notice for this study is available online at: <https://bit.ly/3uxdu8Y>. Further detail about our data protection approach is provided in Appendix D.

## 12. Risks

The table below summarises the main risks that we foresee with the evaluation, along with a set of mitigation strategies.



Table 8. Project risks

Risk	Impact	Likelihood	Mitigation
SSAT is not receptive to formative evaluation / will not cooperate with evaluation activities.	High	Low	We will work with the EEF to broker a good relationship and be clear about the requirements up front.
SSAT will not be willing or able (in part due to the time periods involved) to implement scale-up strategy changes.	High	Medium	We will ensure regular communication with SSAT throughout the process, and also consider feasibility when offering feedback (for example, by considering cost).  If this does not work, we will re-scope the work in partnership with the EEF.
Issues identified require wholesale changes to the intervention, rather than modifying strategy or tweaking materials.	Medium	Low	It is possible that some of the issues identified require major structural changes. Given that the intervention has already been evaluated and no major changes were identified in the report, this has a low likelihood. It is not possible to mitigate this risk in the evaluation activities.
Schools (or participants within schools) will not engage with evaluation activities.	Medium	Medium	Some amount of attrition is to be expected in all evaluations. We have several strategies that aim to minimise attrition, which include: <ul style="list-style-type: none"> <li>ensuring that surveys and other engagement are designed to be low-impact;</li> <li>informing schools with sufficient notice about any planned activities with appropriate information about how useful the evidence created by the study will be; and</li> <li>where needed, utilising the relationships SSAT has built with schools and teachers to facilitate access and cooperation.</li> </ul>
There are many components to the evaluation that require tight coordination. This fact could result in deadlines being missed or activities being delivered with poor quality.	Medium	Low	Our project management plan involves collaboration with SSAT to set out a realistic project timeline. The timeline will clearly set out any time points that will require careful coordination and include time buffers to the extent that is feasible. Regular check-ins will help to identify early on any risks to the timeline and allow for proactive problem-solving.
MI data will be difficult to collect from schools.	Medium	Low	We have built in an MI data review prior to data collection that will partly address this issue. We will work with SSAT to ensure that MI systems are designed to be realistic for schools.
MI data is not fit for purpose.	Medium	Medium	We have built in an MI data review prior to data collection that will partly address this issue. We will work with SSAT to ensure that MI systems are designed to collect the right, good quality data.

Long project timelines mean staff turnover & project drift risks are greater.	Medium	Medium	We have a clear project plan and project management arrangements. We will ensure that any handovers overlap and have clear handover documents and briefings into the project. Liaise with EEF/SSAT about handovers. (Note this risk applies to BIT, SSAT and EEF staff).
Covid-19 restrictions disrupt delivery of the intervention and evaluation.	High	Medium	If the intervention and scaling plan is paused completely, then the evaluation will have to be delayed. If Covid-19 restrictions mean that researchers cannot conduct face-to-face activities then these activities will either: <ul style="list-style-type: none"> <li>● be modified to be virtual and is easy to do for interviews; or</li> <li>● be rescheduled (this may involve the re-planning of some in-school observations).</li> </ul>

## Appendix A: Detailed research questions

The detailed list of questions here expands upon the main questions set out in the body of the plan. We include additional questions here (identified by sub-bullets in italics) to set out our thinking about how we might develop these areas of research.

### Topic 1: Strategy

- 1.1. What is SSAT's strategy for scaling-up the EFA programme?
  - *How is SSAT set up to deliver the EFA scale-up?*
- 1.2. How does SSAT's strategy for scaling evolve over time?
- 1.3. What factors influence changes to the scaling strategy?
- 1.4. What role does the EEF play in helping SSAT to achieve readiness for scaling up?

### Topic 2: Fidelity

- 2.1. What are the essential features of the intervention, and what adaptations are appropriate (and required to support scaling)?
- 2.2. How does the approach taken to scaling support or hinder fidelity?
- 2.3. How is intervention fidelity managed?
  - *What measures are taken (both at the SSAT and school levels) to encourage fidelity of implementation?*
  - *How is intervention fidelity monitored?*
  - *What is the process for agreeing modifications to the intervention?*
  - *What action is taken when essential features of the intervention are not consistently implemented?*
- 2.4. What are the barriers to, and enablers of, the effective adaptation of EFA?

### Topic 3: Structures, systems and processes

- 3.1. What challenges are there organisationally when making a sizeable change in the scale of implementation of the EFA programme, and how are these overcome?
  - *What changes are made in organisational structure and processes to make the intervention scalable?*
- 3.2. How well do SSAT's monitoring and evaluation (M&E) systems support data-based decision making and how can they be improved?
  - *Are they flexible enough to respond to changing needs?*

### Topic 4: Reach and recruitment

- 4.1. What is SSAT's sales process/pathway to sales for the EFA programme?
  - *What changes are made in the approach to recruitment to make the intervention scalable?*

- 4.2. How many and what types of schools are SSAT reaching and successfully recruiting?
  - *What is the pace of scale-up and what factors affect this?*
- 4.3. How do schools respond to the sales approach?
  - *What are the barriers and facilitators to schools signing up to the programme, and how could the barriers be overcome?*

### **Topic 5: Contextual factors**

- 5.1. What school characteristics affect the adoption and implementation of EFA and how (e.g. culture, school-type, leadership, subject(s) taught, characteristics of individual teachers and mentors)?
- 5.2. What are the facilitators and barriers - in the context outside of schools - to scale-up of the EFA programme (e.g. education policy, funding, networks between schools)?

### **Topic 6: Sustainability**

- 6.1. What indicates that EFA has been embedded in school practice?
- 6.2. What are the facilitators of, and barriers to, embedding the EFA programme in a school?
- 6.3. How viable is it for schools to sustain the use of EFA on an ongoing basis after the end of the scale-up? What are the factors that affect this?
- 6.4. Is EFA being institutionalised at levels other than the school? What are facilitators of, and barriers to, 'vertical' scaling up, and how can the barriers be addressed?

### **Topic 7: Cost**

- 7.1. What is the cost of implementing EFA over 3 years during the scale up?
  - *What is the overall cost of implementing the programme as part of the scale-up for a) SSAT b) schools?*
  - *What is the cost of implementing the programme in year 1 for a) SSAT b) schools?*
  - *What is the cost of implementing the programme in year 2 for a) SSAT b) schools?*
- 7.2. How acceptable is the overall cost of implementation to a) SSAT and b) schools?
- 7.3. Is scaling-up becoming more cost efficient over time?
- 7.4. Is it financially sustainable for SSAT to continue EFA delivery across schools that the programme is scaled-up to, without the support provided by the EEF?

## Appendix B: Research ethics assessment

The research is assessed as low risk along the following dimensions:

- Research methods: Standard research methods commonly applied within the substantive area of the research.
- Participants: Non-vulnerable adults
- Subject matter: Research relates to a politically and socially uncontroversial area
- Experience: BIT has extensive experience conducting research in the education sector and using the planned research methods.

The only medium-risk aspect of the research relates to the nature of the data. Using surveys and interviews, we will be collecting individual-level data that is not routinely collected. However, all participation is voluntary and involves adults. We will provide participants with information about the research in order to make an informed decisions about whether to participate and what data they are willing to provide.

## Appendix C: Exemplar information sheet

Below is an example of an information sheet provided to interview participants. The information sheet will be adapted as needed for the various participant groups.

# Information sheet

## Embedding Formative Assessment (EFA) Scale-up Evaluation

### What is this about?

We'd like to invite you to take part in an interview as part of an evaluation of the scaling-up of the Embedding Formative Assessment (EFA) programme. Before you decide whether to take part in an interview, we would like you to understand what it will involve. **Please read the following information carefully.**

### Why are we doing this evaluation?

The Schools, Students and Teachers network (SSAT), who you work for, is currently scaling-up the EFA programme to an additional 125 schools. **The Behavioural Insights Team (BIT)**, an independent social purpose organisation, have been funded by the Education Endowment Foundation to evaluate this scale-up process. This will help us to understand more about how to effectively scale programmes in education settings.

### What will I be asked to do?

The aim of the interview is to understand how SSAT is set-up to deliver the EFA scale-up, and what fidelity looks like in the context of the EFA programme (where this is relevant to your role). The interview will take **approximately 1 hour and will be audio-recorded.**

### What information will you collect?

With your consent we will collect:

- Your audio-recorded responses to the interview questions.

### What happens with the information?

BIT are the data controllers for this project; this means that we have decided the purpose and methods of processing personal data. Your privacy is important to us and BIT is fully committed to maintaining your privacy and the principles of the Data Protection Act 2018 and the EU General Data Protection Regulation.

- Your data will be used solely for the evaluation, and will not be used for any other purposes (except in exceptional circumstances where we may be legally obliged to process your data for additional purposes).
- Only key members of the project research team at BIT will have access to your name and contact details. Following the interview, the audio-recording will be sent securely to McGowan Transcriptions, who will act as the data processor for transcribing the

audio. They will return the transcript securely to BIT and delete the audio-recording and transcript within three months.

- All your data is confidential unless we think you, or someone you tell us about, is at risk of harm. In that case, we would let you know that we are going to tell the relevant agency, who may be able to help. Only in exceptional circumstances would we pass on the information without informing you first.
- We may use anonymous quotes or a summary of your responses in reporting the evaluation findings. This includes a final evaluation report, which is planned to be shared publicly in February 2023. All identifiable information will be removed.
- Your data will be stored securely throughout the evaluation and deleted six months after the end of the project (anticipated to be August 2023).

### **Giving Consent**

You are free to decide whether you'd like to take part in this study. The researcher will briefly go over the details of the study, provide an opportunity to ask questions and will ask for your consent (verbally) before starting the interview. You can change your mind about participating in the evaluation up until the generation of an interim report in September 2021, so please email [efa@bi.team](mailto:efa@bi.team) or let the researcher you speak to know.

### **Your rights in relation to your personal data**

Please note, that if you withdraw consent, we will not process your data any further, but if processing has already occurred (for instance, your interview responses have already been combined with those of other interviewees during analysis or reporting), we may not be able to fully remove all of your data.

### **More Information**

Thank you for reading this. If you have any questions or would like more information about this evaluation, please contact [\*\*efa@bi.team\*\*](mailto:efa@bi.team).

We have appointed a Data Protection Officer (DPO) who is responsible for overseeing questions in relation to any data protection concerns you may have. If you have any questions about this information sheet, including any requests to exercise your legal rights in relation to your personal data, please contact the DPO:

Post: The Behavioural Insights Team, 4 Matthew Parker Street, London, SW1H 9NP  
Email: [\*\*dpo@bi.team\*\*](mailto:dpo@bi.team).

You also have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues ([www.ico.org.uk](http://www.ico.org.uk)). We would, however, appreciate the chance to deal with your concerns before you approach the ICO so please contact us in the first instance.

## Appendix D: Data protection policy

The General Data Protection Regulation (GDPR) imposes certain obligations upon Behavioural Insights Limited (BIT), and other companies within the group, as Controllers and/or Processors in relation to processing Personal Data.

BIT takes these obligations seriously. BIT is committed to respecting the rights of all individuals whose personal data it processes:

1. In relation to data security, BIT has implemented appropriate measures to ensure the secure storage and handling of Personal Data, including obtaining a Cyber Essentials Plus certification and developing a comprehensive Data Handling Protocol.
2. In relation to data protection and privacy rights, our data processing activities are conducted according to the principles relating to the processing of Personal Data set out in the GDPR, including that Personal Data shall be processed lawfully, fairly and in a transparent manner, and in a manner that ensures the security of the Personal Data. BIT has policies and procedures in place to ensure compliance with these principles.

More information on how we handle Personal Data in relation to projects we are working on is detailed below.

BIT is registered with the UK ICO under the terms of the Data Protection Act 2018. Our registration number is ZA038649.

### *Privacy by design*

BIT conducts all trials and research projects with a privacy by design approach to protect and maintain the privacy and security of research participants' and research subjects' data. We work closely with clients, government departments and research partners when designing interventions to ensure that a privacy by design approach is implemented and respected.

Our data protection and data security policies and procedures reflect necessary legislative requirements and set out the standard to which BIT staff should work when dealing with Personal Data, including:

- Attendance at mandatory data protection training for all employees;
- Identifying data requirements from the outset of each project;
- Minimising use of Personal Data where possible and ensuring we have the right to handle any Personal Data where successful project delivery is reliant on using it;
- Putting in place data processing agreements with all clients and suppliers to clarify data handling arrangements ahead of any data being transferred;
- Complying with all relevant data residency requirements and implementing appropriate technical and organisational measures, to protect data and avoid unauthorised access, internally and externally;
- A clear internal reporting process in the event of a data breach, to consider the nature of the breach and identify any necessary action, including whether the breach



should be reported to the relevant authorities, i.e. the Information Commissioner's Office in the UK or the Office of the Australian Information Commissioner;

- Clear procedures on retention and destruction of Personal Data to avoid keeping hold of Personal Data longer than necessary for the purposes of each project; and
- Implementing robust investigation and reporting procedures in relation to any data breach or security issues that arise both within our own systems and those of our clients, partners and suppliers.

### *Data Protection Officer*

The BIT group of companies has appointed a Data Protection Officer (DPO) who is the first point of contact for any issue regarding data protection and data security. The DPO can be contacted via email at [dpo@bi.team](mailto:dpo@bi.team) or by writing to us at:

Data Protection Officer, Behavioural Insights Limited, 4 Matthew Parker Street, London, SW1H 9NP, United Kingdom.