



Department for
Business, Energy
& Industrial Strategy

Evaluation of the Regulators' Pioneer Fund Second Round

Final report

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Glossary of key acronyms

Acronym	Definition
BEIS	Department of Business, Energy and Industrial Strategy
BRE	Better Regulation Executive
CAA	Civil Aviation Authority
CLSB	Costs Lawyers Standards Board
CQC	Care Quality Commission
DWI	Drinking Water Inspectorate
EA	Environment Agency
GLA	Greater London Authority
HSE	Health and Safety Executive
ICO	Information Commissioner's Office
MHRA	Medicines and Healthcare Products Regulatory Agency
NIBSC	National Institute for Biological Standards and Control
OCC	Oxfordshire County Council
RIN	Regulators' Innovation Network
RPF	Regulators' Pioneer Fund
SEPA	Scottish Environment Protection Agency
SIA	Security Industry Authority
SRA	Solicitors Regulation Authority

Executive Summary

Kantar Public was commissioned by the Better Regulation Executive (BRE), within the Department for Business, Energy and Industrial Strategy (BEIS), to undertake an evaluation of the second round of the Regulators' Pioneer Fund (RPF) that ran from 1st September 2021 to 31st March 2022. The RPF aims to support regulators to adopt new and experimental approaches to removing barriers to innovation by providing funding for regulators and local authorities to pursue innovative projects. The second round of the RPF followed a successful first round of funding. Sixteen regulators and local authorities received second round funding for a wide range of projects including levelling up, achieving 'net zero' carbon emissions and backing long-term growth. More detail on the specific projects involved in the second round of the RPF can be found [here](#).

The evaluation aimed to:

- Assess the impact of the fund
- Understand the process of delivering the fund and projects
- Evaluate the lessons learned from the projects for government and wider stakeholders.

An iterative, mixed method approach was adopted for the evaluation, combining elements of impact and process evaluation. This report synthesises findings across all strands of the evaluation which included qualitative interviews with project leads, case studies with selected regulators and stakeholders, and analysis of management information and project reports.

Key findings

Application process

Regulators and local authorities were motivated to participate by a desire to create a risk-free regulatory environment for innovation within their sector; embed objectives within organisations to further innovation; and improve existing regulatory practice. The majority of project leads within regulators and local authorities involved reported that without the RPF second round funding, they would not have been able to undertake such projects. A lack of available funding and an inability to allocate internal funding or resource are key barriers to undertaking innovation projects across sectors for most RPF2 regulators and local authorities.

Where regulators and local authorities reported that they would have taken their projects forward without funding, they also noted that projects would not have had such an emphasis on collaboration with other stakeholders within their sector, or with other regulators or local authorities in the absence of the fund.

Overall, perceptions of the application process and communication with BEIS were very positive both for successful and unsuccessful applicants. There were constructive recommendations for improving the RPF experience for potential future funding rounds. For example, regulators and local authorities felt that the date that selected applications would be announced could have been better communicated, so that projects could prepare more efficiently for implementation and mobilise more rapidly.

Project delivery

Project leads reported that the key activities for second round projects, which were vital for driving innovation in regulation through RPF were: reviewing regulatory frameworks or guidance, developing new processes or tools, and engaging with sector stakeholders.

Across the programme, the majority of regulators and local authorities made the anticipated progress and achieved their intended outputs. A small minority of projects experienced setbacks which necessitated adapting aims and outputs based on learnings from their project. Nevertheless outputs and activities were still delivered in line with original timescales.,

Regulators and local authorities identified a number of factors which they perceived to have facilitated delivery of their innovation work. These were principally:

- **Sector-wide expertise and appetite for innovation** - Stakeholders could see the benefit that project outcomes could have on their work, which prompted their buy-in and was key in propelling projects forward.
- **Supportive governance from the BRE** - Governance and auditing processes administered by the BRE were perceived as proportionate and regulators appreciated the flexibility they were shown in adapting the focus of projects as projects evolved.
- **Ringfenced funding targeted at regulator engagement with sector** - By funding sector engagement, the RPF enabled some regulators and local authorities to directly fund involvement of stakeholders in projects for the first time

Factors that made project delivery more challenging centred on:

- **Project timeframes** – the six-month funding period was challenging (and potentially off-putting) for some regulators and local authorities as it limited what could be achieved.
- **Lack of internal resources and expertise for delivery** – Regulators and local authorities typically did not have the internal staffing resource or expertise for innovation work. For many, the first month(s) of their project was therefore taken up by procurement and project set-up of external consultants.
- **Procurement and onboarding processes** - Projects noted that onboarding consultants and sub-contractors took up additional time and caused further delays to delivery.

Programme outcomes

Interviewed at the end of their projects, the outcomes identified by regulators and local authorities are nascent. Three early outcomes emerge across the programme as a whole and are reported consistently by regulators, local authorities and their stakeholders. Other outcomes have yet to materialise but regulators and local authorities express confidence that they will in time:

- **Collaboration between regulators and sector stakeholders** – the emphasis on collaboration for the second round is reflected in a high number of projects reporting increased collaboration with sector stakeholders as one of their key outcomes. Collaboration had fostered a greater appreciation among regulators and local authorities of the pace and demands of their sectors. Likewise, sector stakeholders reported a greater understanding of the pressures and constraints on regulators and local authorities and, importantly, why regulation was necessary. The level of collaboration

through RPF second round projects is expected by regulators and local authorities to lead to long term change in relationships after projects end, and greater ongoing collaboration.

- **Dissemination of learning and innovation developments** - Many projects had begun (or intended) to disseminate learnings and innovation developments, both within their organisations and across the sector. Project teams felt it important to raise the awareness and profile of their outputs internally, with a view to encouraging and inspiring colleagues. Almost all regulators and local authorities were also planning to disseminate their learnings externally to their sector. For most, this was expected to take the form of sharing final reports on their own and stakeholder websites but there were one or two examples of creative approaches, such as films and events.
- **Increased confidence in the UK regulatory system** - as a result of the collaborative nature of projects, sector stakeholders reported greater trust and confidence in regulation and the role of the regulator in encouraging innovation. Increased confidence was also the outcome of certain project outputs, such as toolkits and roadmaps, which aimed to make the regulatory process more open and transparent, leading to improved confidence and compliance.

A small number of RPF first round projects were followed up at the start of the second-round evaluation. Some RPF1 regulators had continued to undertake work to enhance or further develop outputs created during the first round. They had also used their learning and the evidence gathered during RPF1 to build business cases, develop new projects and had secured additional funding for continued innovation work outside of the RPF.

Programme impacts

The longer-term impacts of the second-round funding will materialise well beyond the six-month timeframe of delivery and evaluation. However, project leads and stakeholders were confident that some key short-term impacts were already showing some signs of emerging:

- **Sustaining the innovation focus within the regulatory sector** - Regulators and local authorities participating in the second round recognised the value in having an ongoing organisational focus and objectives relating to innovation. They also seemed to recognise the need for further investment of their own time and resource in future, to ensure that the momentum created by RPF is sustained
- **Influencing wider regulatory practice** – Some projects reported that they are confident that the success of their work will influence other regulators. They hope that other regulators will look to their project as an example of what can be achieved, and that this will encourage and challenge them to innovate in their own work.
- **Increasing wider investment** - Some regulators and local authorities reported that they will be dedicating their own funding from core budgets to continue their RPF second round projects. There is already also some evidence that regulators have been able to secure further funding to continue their existing project and/or start new or different innovation projects from alternative funding bodies and sector stakeholders.

Most regulators and local authorities reported that, although there is more work to be done, what they have already delivered is on the right trajectory to contribute to longer-term impacts in the future.

Lessons learned

The RPF second round added value in a number of ways:

- **Creating the space to innovate** - Some organisations, especially local authorities, had seen innovation work being de-prioritised for other more pressing, short-term issues. Some regulators and local authorities did not have the flexibility in their budget allocation to fund innovation and, for others, budget shortfalls meant that longer-term innovation projects were not carried forward. The RPF flexible funding terms helped free up resource to innovate, both within regulators and local authorities and amongst their stakeholders
- **Encouraging collaboration** - The RPF funding process facilitated stakeholder engagement and the application process emphasised collaboration. Some regulators and local authorities used the funding to help other organisations release staff to work on the project which would not have been possible with internal funding. In addition, many regulators and local authorities noted that the funding having come from BEIS, lent projects an authority that created greater interest from stakeholders.
- **Reducing risk** - The RPF second round enabled regulators and local authorities working in developing industries to carry out projects that were on the cutting-edge, which would not have been possible through other funding streams. Regulators and local authorities also saw the funding as a safety net that allowed truly innovative work to be conducted without significant consequences of failure.

The evaluation has identified a number of important lessons from the RPF second round:

- **Operational delivery** – Regulators and local authorities highlighted that rapid set up was critical to deliver projects within the programme timeframe. They learnt that they needed to streamline their internal structures and processes, such as procurement and staff recruitment, to allow them to respond with greater agility. Working with existing partners was also helpful in enabling them to get projects up and running rapidly. Projects felt they had learnt a significant amount about how to manage an innovation project, which would be helpful to collate and share with potential future bidders and with the regulation sector more widely. This should be through written guidance but also networking and knowledge exchange events.
- **Innovation culture** - Projects learned that it is important to explore the values and attitudes of the sector towards innovation, through stakeholder consultation. Sectors varied in how innovative they typically were, but those that were more conservative and risk averse were felt require a significant change in mindset to challenge decades of status quo. Linked to this, regulators and local authorities in both RPF rounds reflected that there was an initial communications piece with the sector to emphasise that the role of the regulator was not incompatible with encouraging and supporting innovation.
- **Fund design and administration** - Some regulators and local authorities would have preferred a duration longer than six months, to really be able to evidence the outcomes and impacts of their work. Other suggestions for change related to the management and monitoring of the fund and included a secure portal to which project monitoring information and reports could be uploaded. Knowledge sharing events were considered to be useful, but grouping or pairing projects within similar sectors or that were focusing on similar outputs could help to improve the perceived value of these activities and increase their impact.

- **Implications for future work** – Delivering a project that is innovative, by its nature, requires different or additional skills and resource to business-as-usual and these often need to be brought in. Regulators and local authorities were strongly supportive of a dedicated set-up phase of 1-2 months, prior to implementation, for procurement and contracting and setting up partnership working arrangements. A short project timeframe makes critical that there are plans to continue and to grow the innovative work begun with the RPF second round funding. Future funding rounds could encourage regulators to give greater consideration of project continuation at the outset. They might feature follow-on funding, to avoid loss of momentum and provide greater security for subcontractors and project staff. Finally, as the RPF continues it would be sensible for BEIS/BRE to consider how best to demonstrate the cumulative and longer-term impact of the programme. Future rounds should encourage applicants to specify how they intend to measure their outcomes and impact long-term.

1. Introduction

1.1 Policy background and rationale

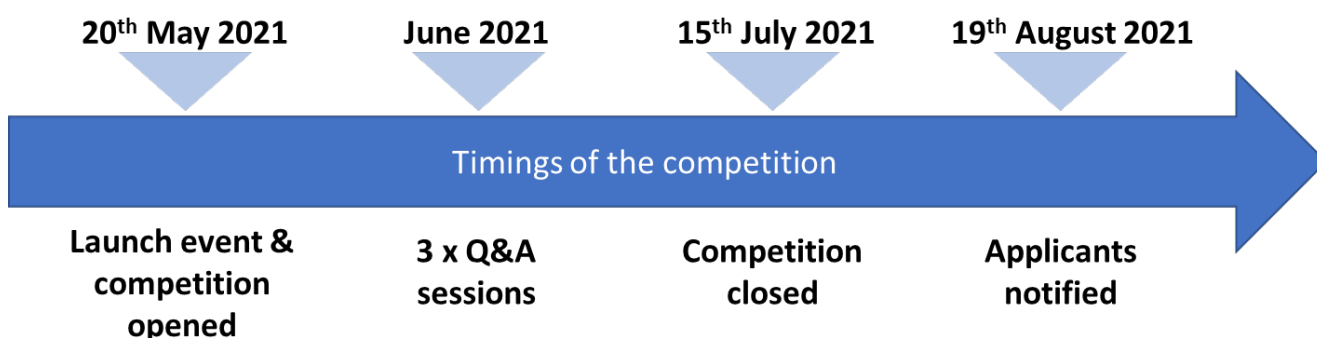
An on-going challenge for regulators is keeping pace with innovation in their sectors (including new and disruptive technologies), while keeping consumers safe. Regulatory frameworks can unintentionally block or slow down innovative products and services from reaching the market, undermine R&D investment and deter innovation¹.

The Regulators' Pioneer Fund (RPF) aims to support regulators to adopt new and experimental approaches to remove barriers to innovation. In turn, helping businesses get their innovative products and services to market, supporting the growth and productivity of the UK economy and improving people's lives. The Department for Business, Energy and Industrial Strategy (BEIS) set up the Regulators' Pioneer Fund in 2018, allocating £10 million to 14 regulator-led projects in 2018-20 to stimulate innovation in their sectors.

An independent evaluation of the first round was conducted and published on GOV.UK.² The evaluation found clear evidence that the Fund had driven engagement, collaboration and partnership working across regulators. The Fund was successful in achieving a range of outcomes, in particular stimulating and permitting the development of new business innovations with 15 new products, processes or services entering trials as a result of project activities.

The Better Regulation Executive (BRE) in BEIS launched the second round of the RPF in May 2021. The second round's aim was to keep the UK at the forefront of regulatory thinking and experimentation. It sponsored projects led by regulators or local authorities (the first round was limited to regulators only) - which aimed to create a UK regulatory environment that encourages business innovation and investment. A timeline for the second round competition is shown in Figure 1.

Figure 1. Timeline of the RPF second round competition



A competition to select projects for funding was run by BRE and took place between 20th May and 15th July 2021. BRE awarded up to £3.7 million to 21 innovative projects across 16 regulators and local authorities, providing up to £200,000 per project. Selected projects were to last a minimum of 6 months and finish by 31st March 2022. BEIS/BRE is funding projects that

¹ <https://www.gov.uk/government/publications/regulator-approaches-to-facilitate-support-and-enable-innovation>

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

contribute to the UK's economic recovery and growth – while also helping keep the UK at the forefront of regulatory thinking and experimentation.

The purpose of this evaluation was to understand whether the second round of the RPF had delivered against the goals stated above and what outcomes projects were achieved, for who, how and why. Findings will be used to disseminate key learnings across government and to key external stakeholders. Due to the innovative nature of this fund, sharing what has and has not worked for projects is important learning for BEIS and for other regulators or local authorities planning to conduct innovation work. The evidence gained will also be used by BEIS to design any future policy in this space and future potential bids for funding.

1.1.1 Summary of funded projects

Twenty-one projects across 16 regulators and local authorities were selected, spanning a range of sectors and diverse projects, each with different goals related to the central aims and objectives of the RPF. Some were focussed on supporting the live testing of innovations, while others aimed to foster collaboration between regulators, or develop and apply innovative technological or policy solutions to support regulators and businesses to unblock market entry for innovation.

The projects and their key goals were as follows (a more comprehensive description of each project can be found in Appendix 1):

Care Quality Commission: Supporting innovation by GPs to reduce health inequalities in areas of deprivation. This project will focus on GP practices who have responded to the challenges of health inequalities in innovative ways but may face difficulties in evidencing the impact of this innovative work. The project aims to identify the innovative ways these practices have responded to a range of factors affecting the health of their population to narrow health inequalities.

Civil Aviation Authority: Crash protected containers to carry dangerous goods in drones. New regulations require certain 'dangerous goods' to be carried in a crash protected container, but there is not yet any guidance or standards to describe how such a container must perform. The project aims to establish guidance and standards to describe how a crash protected container must perform.

Civil Aviation Authority: Enhanced safety reporting service to enable field-based submissions. This project is a discovery and proof-of-concept trial to create a service solution that initially allows remotely piloted aircraft system (RPAS) (for example, drones) owners, flyers, and the general public, to report safety concerns quickly, easily and conveniently to the relevant authorities, for investigation.

Cornwall Council: Harmful algal blooms – Artificial intelligence. Harmful Algal Blooms (HABs) can produce toxins, which accumulate in filter-feeding shellfish and intoxicate human consumers. Cornwall Council plan to refine and validate a computer model for predicting HABs caused by *Dinophysis* species.

Costs Lawyer Standards Board: How could costs lawyers reduce the costs of legal services? The Costs Lawyer Standards Board intends to carry out research based on the types of services that lawyers specialising in costs are providing or might provide in the future. The research would explore whether, if regulation or legislation were different, Costs Lawyers could bring about downward pressure on the cost of legal services.

Drinking Water Inspectorate: Innovation one stop shop. The water sewage industry in England must comply with a complex array of guidance and legislation that can make it difficult for new businesses and innovators to enter the market. This project will bring three regulators together to provide a collaborative service, a one stop shop, to make it easier for business and innovators to obtain informal regulatory advice and help them navigate regulations and perceived barriers.

Environment Agency: Teesworks greener freeport – Environmental permitting hub. Tees Valley hosts the Teesworks site and the largest UK Freeport. The project will bring together Defra environmental regulators to work in partnership with regulated operators and developers in the Tees Valley to co-design systems that support the sustainable economic growth in the new Tees Valley Freeport.

Environment Agency: Standardising environmental metrics for food businesses. This project seeks to standardise environmental metrics for food businesses that go beyond legal compliance. It aims to provide an effective and efficient solution to enable the automation of environmental performance data transfer across different food businesses.

Greater London Authority: Leveraging the UK's regulatory systems to unlock benefits of collaborative street works. The Greater London Authority (GLA) project will explore the case for collaborative street works projects and make recommendations for wider regulatory changes to support this way of working across all the UK's utility companies.

Health and Safety Executive: Sharing data, saving lives – Data sharing for safer design in construction. Health and safety incidents in the construction industry are often associated with an underlying set of risks. However, there is limited publicly available information. This can cause difficulty in analysing the root-cause of incidents as well as limit the development of targeted insights to reduce harm, boost productivity and save costs. The project aims to develop specific proposals to increase the sharing of health and safety risk data in the construction sector.

Information Commissioners Office: iAdvice. The ICO will undertake a 'proof of concept' study with a view to establishing a direct advice service to innovators on the data protection implications of their novel propositions. The project will deliver a report to the ICO on whether and how to introduce such a direct advice service to innovators.

Information Commissioners Office: Privacy-enhancing technologies (PETs) for public good. The ICO will host a series of public-facing tech sprints bringing together PETs developers, ICO staff and businesses in an identified sector to jointly solve real-world data-sharing challenges that could be addressed using PETs. The project aims to provide confidence to businesses and inform the development of new ICO guidance in this area.

Medicines and Healthcare Regulatory Agency: Developing metrics that could signal significant changes in adaptive learning AI algorithms. This project will research a methodology for determining if there has been a significant change in the way that an adaptive AI algorithm medical device is working and how the change should be regulated.

National Institute for Biological Standards and Control: Physical standards for adeno-associated virus gene therapy. The success of Gene therapy medicines to transform the lives of the patients relies on disabled viruses, called vectors, to deliver the new DNA into patient cells to correct the missing or damaged gene. Making sure that each batch of medicine will be safe and work as intended requires careful measurement of the amount and efficiency of the medicine. The project aims to harmonise measurements of AAV vectors to ensure gene

therapies based on this technology are safe to use and deliver the promise of improving health for many people in the UK and beyond.

Oxfordshire County Council: AirTek will establish a framework to understand the requirements and progress of unmanned aerial vehicle services and trials. AirTek's goal is to understand what needs there will be for ground-level infrastructure and urban planning to implement the framework. The project will focus primarily on legal compliance, aiming to reduce the risk and reduce barriers in deploying new innovative technologies rapidly for the public good.

Oxfordshire County Council: MODDEST - Minimum operational design domain environment specification tool. Oxfordshire County Council aim to combine independent, trusted data sources and create an area categorisation according to the British Standards Institute Publicly Accessible Standard 1883 (PAS:1883).

Scottish Environment Protection Agency: Industrial net zero regulatory hub. This project will set out a framework for the creation of a regulatory hub that will support the transition to an inclusive and resilient net zero economy, providing a safe space for addressing the challenge collaboratively and innovatively.

Scottish Environment Protection Agency: Regeneration for Growth – Data innovation for collaborative regulation. This project will create a Knowledge Hub, focused on the Leven Catchment area that enables a collaborative cross sector response; providing a “one stop shop” to data, information and evidence from which informed ‘collective’ decisions can be based and enabling strategically planned projects that ensure inclusive growth and environmental regeneration.

Security Industry Authority: Simplifying regulatory compliance in the private security industry. Companies providing staffed guarding services under contract have a legal duty to ensure that the people they deploy are correctly licensed. The SIA publishes a public register of licence holders that anyone can use to check a licence. This project will enable the SIA to simplify this check and add an additional control to strengthen the integrity of the licence.

Solicitors Regulation Authority: Using Lawtech to address regional inequalities in access to justice. The project aims to create a new network where regulators, expert research institutions and local government can work together to help overcome some of the barriers associated with accessing expert legal help. It will do this by demonstrating the feasibility of new legal technology tools focused on issues where there is significant access to justice problems in local communities.

West Sussex Fire and Rescue Service: Fire Safety Awareness Tool. will build an innovative web-based tool that will improve users understanding of fire safety. Using new technology, the project intends to propel a cultural shift in the way businesses seek, and are provided with, fire safety advice.

1.2 Structure of this report

The remainder of this report is broadly structured around the central pillars of the programme's theory of change, which are activities, outputs, outcomes and impacts, before drawing together learnings and key conclusions from across the evaluation.

- [Section 2](#) provides an overview of the evaluation methodology.

- [Section 3](#) presents findings from follow-up interviews with regulators from the first round of the RPF.
- [Section 4](#) explores regulators and local authorities' experiences of the fund before and at the beginning of their projects, to set the context for later sections and draw out lessons related specifically to the application and mobilisation process.
- [Section 5](#) presents findings on project delivery progress, exploring whether projects were delivered as intended, and the facilitators and barriers to delivery.
- [Section 6](#) presents findings on the outcomes of the fund, specifically relating to programme-level outcomes and progress towards achieving these.
- [Section 7](#) explores the impact of the fund, drawing out emerging evidence of immediate and anticipated future impact against the programme-level short-term and long-term impact indicators.
- [Section 8](#) ties together findings from the rest of the report to present the overall key conclusions and learnings from the evaluation, through exploring regulators and local authorities' experiences of the RPF programme overall, identifying operational, cultural and fund related learnings and insight, and considering implications for future work and how BEIS could continue to support innovation.

Throughout the report we have included quotations gathered through the research process to further illustrate and evidence certain points.³

³ Some of these quotations are attributed and others are not; this is due to some stages of the research, by design, being confidential and others not. The quotes with attribution were conducted with permission for attribution.

2. Methodology

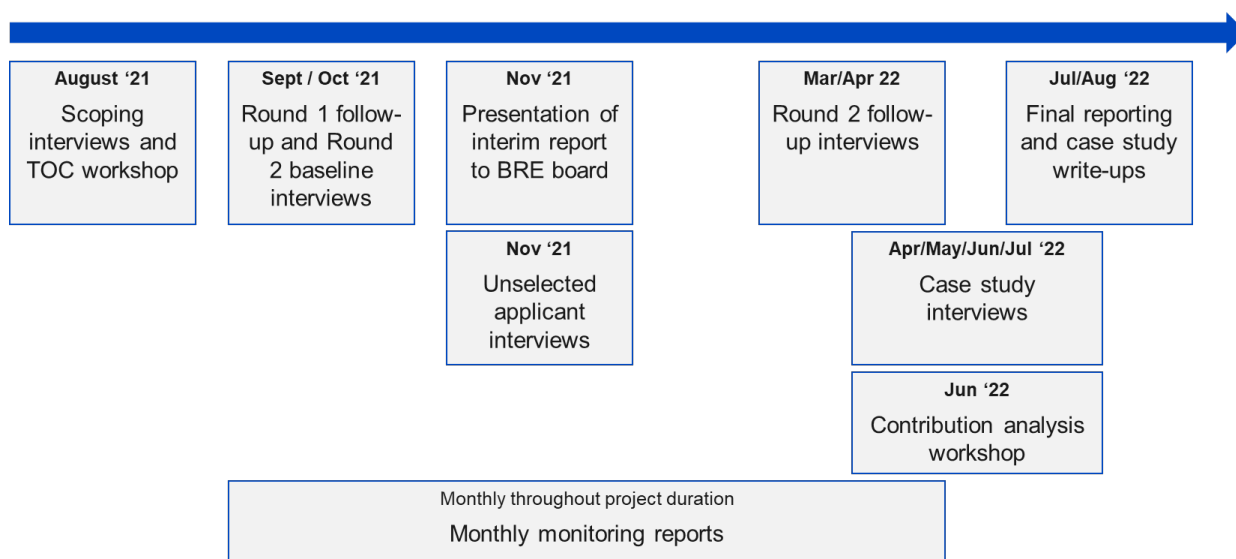
2.1 Method overview

Following the evaluation of the first round of the RPF, Kantar Public were again commissioned by BRE in 2021 to undertake an evaluation of the RPF second round, with the same broad aims to:

- Determine the extent to which the RPF delivered against its intended goals.
- Identify learnings for Government and regulators, including for potential future funding rounds.

An iterative, predominantly qualitative approach was adopted, combining elements of impact and process evaluation (see Figure 2). The Kantar Public project team collected data on funded regulators' experiences, challenges and achievements both at the beginning of the project and following completion of the funding period to build a comprehensive understanding of their progress and lessons learnt across the RPF lifespan.

Figure 2. Evaluation approach for the second round of the RPF



Data collection was based around a series of qualitative interviews including baseline and follow-up interviews, case studies with selected regulators and stakeholders, monthly collection of management information, information from final project reports, and a contribution analysis workshop, allowing findings to be triangulated around different perspectives and sources of information. In addition, at the start of the evaluation a small number of follow-up interviews were conducted with regulators who had delivered projects in the first round of the RPF, and with regulators and local authorities whose project had not been selected for the second round.

This approach was adopted to meet the needs of BRE to i) conduct an evaluation of the Fund within the timeframe of the programme and ii) provide guidance that can help inform future attempts to drive innovation amongst regulators. Given the diversity of the projects within the fund, the detailed understanding provided by qualitative interviews and case studies provided deep insight into the programme activities and outputs achieved during the lifetime of projects,

with triangulation of multiple sources of data used to draw inferences about the likely direction of travel at a programme level. A qualitative approach also enabled a more grounded understanding of how regulators and others experienced the Fund, helping to inform the process elements of this evaluation.

A quantitative evaluation approach was not feasible for the evaluation of the second round of RPF for a number of reasons. The diverse nature of the regulators and local authorities' sectors and project objectives presented a significant challenge to establishing a set of common, standardised and quantifiable programme metrics. In addition, a number of projects in the second round were feasibility or proof of concept, meaning that regulators themselves were not necessarily clear at the outset what their specific outcomes or impact metrics might be or how outcomes and impacts could or would be captured. The evaluation ran in parallel with the delivery of the RPF projects, which were approximately six months in length which limited the potential for substantial evidence of outcomes and impacts to occur. The sample size was small, at just 21 projects, meaning it would be difficult to detect impacts even in the event of a large effect size, and there was no clear counterfactual identified.

2.2 Aims and objectives for the evaluation

The evaluation aimed to answer questions under three main areas: impact of the fund, the process of delivering projects and wider lessons learned for government and stakeholders, as set out below:

Impact of the fund

- How successfully have individual projects delivered against their aims and objectives and how do these align with the overall programme goals?
- What are the anticipated longer-term impacts of RPF projects and how can they be monitored?
- What are the intended and unintended longer-term outcomes of first round projects?

Process of delivering the fund and projects

- How efficient/effective was the competition process?
- What worked well and not so well for regulators when managing and delivering their projects?
- How effective was the monitoring process in terms of allowing for evaluation against programme goals?
- What lessons can we learn and share about delivery?

Lessons learned from the projects for government and wider stakeholders

- What lessons can we learn from projects about what works to accelerate and encourage innovation?
- What can we learn from projects about what went well and what didn't?

- How do these lessons compare with those from the first round? What lessons can we learn and share about delivery?

2.3 Scoping phase

The scoping phase for the evaluation of the second round of the RPF included:

- A review of the selected projects' bid documents
- Three BRE stakeholder interviews
- A review of the programme level logic model
- A Theory of Change workshop with key stakeholders from within BEIS.

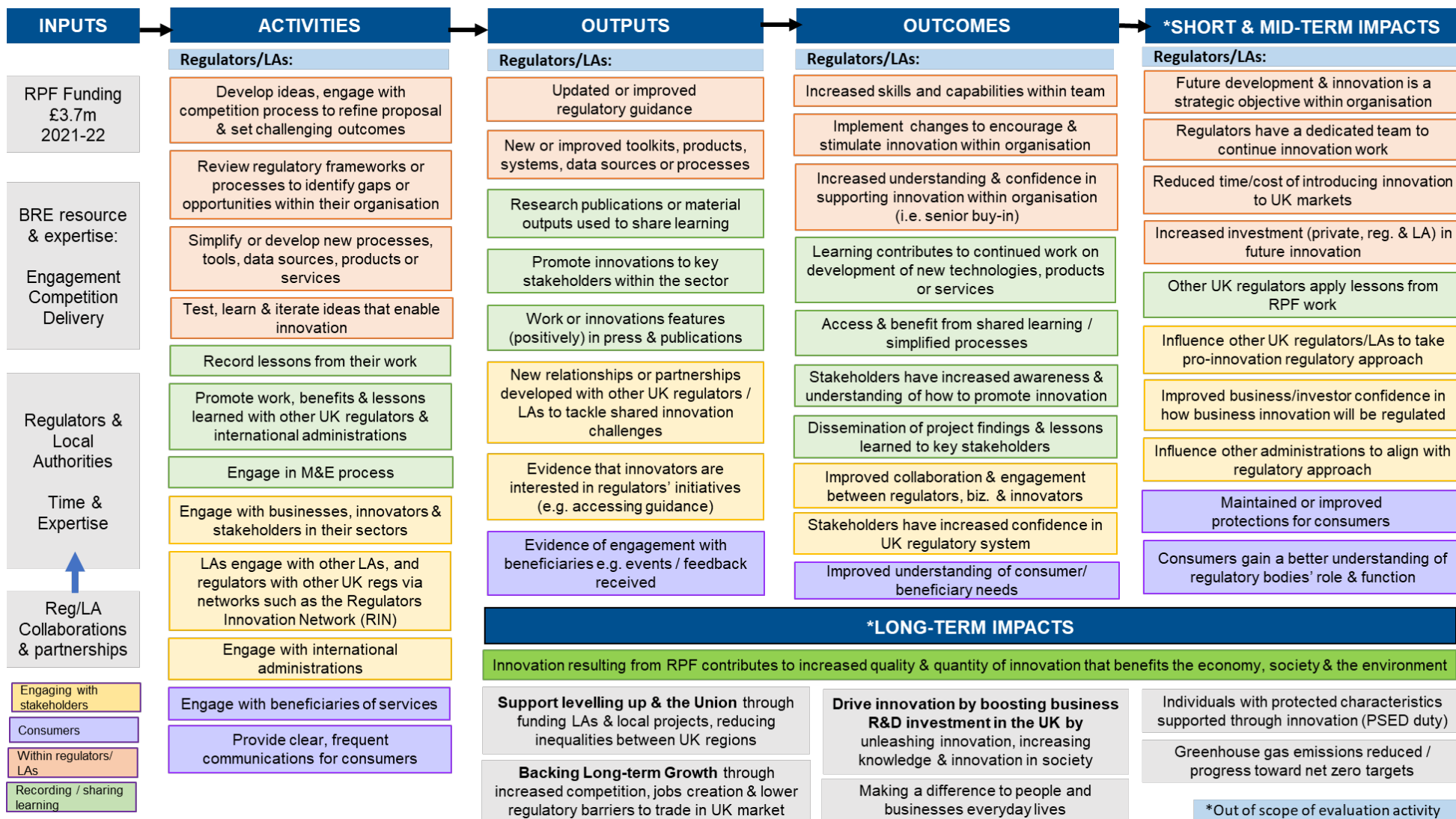
Kantar Public conducted three 45-minute interviews with BRE stakeholders. These interviews aimed to explore individual priorities and expectations for the second round of the RPF, provide context and understanding about the fund and competition process, identify perceived differences between the two rounds, and reflect on learning from the first round that should be considered and applied to the second round, including a review of the RPF first round Logic Model.

Conversations with BRE stakeholders suggested that the overall objectives of the fund had not changed significantly between the rounds. The fund aims to encourage and champion innovation among regulators and local authorities with the overall objective that the fund contributes to increased quantity and quality of innovation in the regulatory sector that, in turn, benefits the economy, society and the environment. The primary differences between the rounds are the length of the delivery period and the amount of funding available per organisation. One stakeholder noted that the second round of the RPF supported more locally focused projects compared to the first round, due to funding local authorities across different parts of the UK. This gave more local focus to the Fund, whilst maintaining the national nature by being open to regulators and LAs from across the country. The level of interest did not differ between the rounds with one stakeholder noting that the same number of applications were received for both rounds.

Stakeholders expect that within the lifetime of the second round, individual organisations will have met their targets for delivery of their funded project, are able to show demonstrable learning and demonstrate organisational buy-in through internal support for innovation work and culture. It is important that selected projects reflect and report on both their successes and achievements, as well as failures. It is important that BRE understand if something has not worked and why, to take these learnings forward into future regulatory innovation work.

One clear objective that emerged from the first round evaluation was for Kantar Public to revise the logic model to make it easier for both selected projects and BRE to monitor and better evidence progress and achievements. In addition to the BRE stakeholder interviews, an online workshop with BEIS colleagues was conducted to revise the Logic Model and create a TOC, see Figure 3. The activities, outputs, outcomes, and impacts proposed were considered both applicable to projects and providing a clearer path from inputs and activities through to longer-term impacts. The TOC was subsequently discussed with selected projects as part of the baseline interviews to confirm understanding and usability.

Figure. 3 Theory of Change developed for the RPF second round



2.4 Evaluation implementation

Following the scoping phase, the main stage of the evaluation activity began, ultimately seeking to understand whether the RPF projects delivered against their project- and programme level activities, outputs and outcomes.

The *first phase* of evaluation consisted of:

- Monthly monitoring forms
- Follow-up interviews with first round projects
- Baseline interviews with second round projects
- Interviews with unselected second round applicants

The *second phase* of the evaluation consisted of:

- Monthly monitoring forms (ongoing)
- Follow-up interviews with second round projects
- Case study interviews with key stakeholders associated with 10 of the 21 projects
- Contribution analysis workshop

Each evaluation activity contributed to one or more of the evaluation aims and objectives (detailed in Appendix 2). More details on each of the key activities are outlined below.

Monthly monitoring forms

Each month during the period of funding, regulators and local authorities are required to submit to BRE a monitoring form recording their progress against their identified activities, outputs, and outcomes. It also asks projects to note any challenges or risks identified, any support required from BRE, and details of plans for stakeholder engagement and dissemination of their work. As part of the initial scoping phase, Kantar Public reviewed and amended the existing reporting proforma so that projects could detail their activities, outputs and outcomes against the programme level TOC. As part of this form, Kantar Public provided examples of specific indicators for each of the activities, outputs and outcomes to facilitate projects reporting. Enabling projects to map their activity against the TOC from the outset of the fund and providing specific examples aimed to improve Kantar Public's and BRE's ability to monitor and review progress and to evidence the outcomes achieved by the end of the period of funding. The monitoring form template can be found in the technical appendices of this report.

First round follow-up interviews

Kantar Public conducted five 1-hour semi-structured interviews with representatives from projects funded in the first round. The aim of these discussions was to:

- Recap on the original aims, activities, regulatory context and outcomes of the project,
- Explore the emerging longer-term impacts, including any unintended impacts,

- Understand any challenges encountered, evolving learnings about enabling innovation in their sector, and,
- Explore any innovation work undertaken or planned since the end of their funding.

Conducting follow-up interviews with regulators from the first round also provided Kantar Public with insight about how interim outcomes at the end of the first round have contributed to longer-term outcomes, and the likely trajectory of impact that we may expect to see in the second round.

Interviews with unselected second round applicants

Kantar Public conducted four one-hour semi-structured interviews with regulators and local authorities whose projects were not selected for the second round. The aim of these discussions was to understand the regulators/LAs experiences of the competition process and developing their application, views of the selection process and feedback received, understanding of why they were not selected, and whether they planned to or had already begun to undertake work on the proposed project or alternative innovation focussed activity without RPF funding.

Second round baseline interviews

Kantar Public conducted 1-hour, semi-structured baseline interviews with core members of each of the 21 regulators or local authority project teams participating in the second round. These interviews were primarily conducted with project leads who held a variety of roles within their organisations including project and programme managers, digital and data leads, innovation, strategy and technology leads. These interviews explored:

- Motivations for applying to the fund and rationale or strategic case for the funded project including whether the project would be possible without the fund and why,
- Experience of developing the bid and engaging in the competition process, including feedback on support received from BRE,
- Expectations for delivery, aims and objectives, what success looks like, current progress, and anticipated challenges,
- Review of the programme Theory of Change to identify the activities, outputs and outcomes related to their project,
- Expectations for monitoring and evaluation, feedback on what worked well/not well in the first round (if applicable), and plans for local monitoring and evaluation (e.g., evaluation partners).

Where baseline interviews were conducted with organisations who also received funding for the first round, they were asked to reflect on any differences observed between the two rounds thus far, including their experience of the application process, and useful learning for future rounds.

Second round follow-up interviews

Toward the end of the funded project delivery period, Kantar Public conducted 1-hour semi-structured interviews with project leads in each of the 21 second round projects. These interviews sought to:

- Explore their experiences of project implementation, including any facilitators or barriers to delivery
- Identify outputs and outcomes delivered and how far these matched original project plans
- Assess the impact of projects on innovation in their sector and views on future potential impacts
- Explore perceptions of RPF support
- Learn lessons for future delivery of innovative regulation projects within organisations; about enabling innovation in their sector; and relating to engagement with businesses, regulators and other stakeholders
- Identify learnings for future work and plans for continued or future innovation work.

Case Studies

Kantar Public and the BRE identified ten projects to be invited to act as case studies as part of the evaluation. The ten projects were selected to provide a breadth of sectors and geographic regions. In each of these cases, two additional 1-hour interviews were undertaken with project stakeholders (e.g. businesses, other regulators, government bodies, other organisations in the sector). These interviews aimed to:

- Explore different stakeholders' perspectives on regulators' work (including project activities and outputs) including how regulators can more effectively engage with stakeholders
- Explore any outcomes and initial impact of the regulator's/LA's project on innovation in their sector
- Understand/capture key learnings for themselves, the project and for BRE including ways in which innovation could be enabled or supported in the future.

Interviewing stakeholders external to the core project team ensured that the evaluation gathered rounded and multiple viewpoints of the innovation and enabled the Kantar Public team to validate and cross-reference views expressed by the project team.

Full case studies are written up separately in an accompanying output. However, evidence from the case studies has been included within this report and smaller, summary boxes have been used throughout this report to bring out some of their rich detail.

Workshop

A 90-minute contribution analysis workshop was conducted with nine of the 21 projects. Contribution analysis is a research method designed to collect the input of research subjects to allow evaluators to link activities to wider outcomes. It typically has a focus on processes, and allows evaluators to:

- Create a story of how and why outcomes / impacts occur
- Assess the strength and weakness of the existing evidence for the 'contribution story'.

The purpose of the workshop was to focus on some key outcome chains from the theory of change and set out the evaluation evidence on whether and how these outcomes were occurring in practice. Attendees were then asked to discuss whether the evaluation evidence confirmed or contradicted their own experience, and to explain how and why the outcomes were or were not achieved as expected.

2.5 Analysis and reporting

Analysis of the impact of the RPF was framed around the elements of programme logic model. The programme logic model describes the overall objective of the RPF as: **Innovation resulting from the RPF contributes to increased quality and quantity of innovation that benefits the economy, society and the environment.**

Specifically, the intended long-term impacts of the RPF are:

- Supporting levelling up and the Union through funding local authorities and local projects, reducing inequalities between UK regions
- Backing long-term growth through increased competition, jobs creation and lower regulatory barriers to trade in the UK market
- Drive innovation by boosting business R&D investment in the UK by unleashing innovation, increasing knowledge and innovation in society
- Making a difference to people and businesses everyday lives
- Individuals with protected characteristics are supported through innovation (PSED duty)
- Greenhouse gas emissions are reduced / progress is made toward net zero targets.

Given the macro and long-term nature of the programme impacts, these were outside of the scope of this evaluation to measure. As such, analysis focussed on exploring the achievement of project activities, outputs and outcomes through delivery, and early emerging or anticipated progress toward short and long-term impacts.

Analysis was iterative across the course of the evaluation, with findings from the scoping stage feeding into the first phase, and findings from the first phase feeding into materials and approach for the second phase.

Analysis was conducted using a process of matrix mapping (see appendix 2) to synthesise the data from across different sources and stages of the evaluation. This involved creating an analysis framework capturing the specific topics covered at each stage, the core elements of the programme theory of change, and the specific activities, outputs and outcomes for each project and how these relate to the overall programme logic model.

We input data from the different data sources into this framework, including monitoring data, interview findings and analysis of any supporting documentation. The same analysis framework was added to at each stage of data collection, so that data from all evaluation strands could be compared under the same headings or themes. Collating the data for each project in this way allowed us to triangulate across data points and to cross-reference and validate findings.

2.6 Evaluation lessons learned

In delivering the evaluation we have identified a number of evaluation design considerations for subsequent rounds of this fund. These are summarised as follows:

- **Managing the diversity in projects funded:** RPF is about testing ambitious and experimental approaches and the funded projects are rightly diverse and specific to their environment, sector or challenge. Throughout evaluation rounds have iterated our approach to managing this diversity in the evaluation design, logic models have evolved from high-level and overarching (RPF1) to clustered causal chains by activity type (RPF2). Future evaluations might further manage the diversity by developing individual or nested Theories of Change to describe the intended casual pathway for specific 'types' or clusters of projects.
- **Defining quantitative metrics:** Linked to the above, we have refined the project monitoring data throughout evaluation rounds to help to monitor progress against the programme logic model/ToC. A set of agreed overarching, quantifiable metrics (to be collected by all projects) would be beneficial but project diversity makes a single set of quantitative metrics difficult to define. By clustering similar projects (to create nested or sub-theories of change) future evaluators may also create bespoke common metrics for each grouping. Having a set of similar metrics that are more relevant and meaningful to their projects is expected to help project leads to relate their work to indicators within the ToC and to better record their progress against them.
- **Impact evaluation:** As discussed, a quantitative approach to impact evaluation was ruled out and theory-based approach was intended to be employed, namely Contribution Analysis. However, the short project and evaluation time period limited the scope for the kind of iteration that is key to building a contribution narrative. As a result of these limitations, this report does not draw on contribution analysis as planned rather it is a more descriptive of perceived impact. Future evaluation design would benefit from a robust implementation of theory-based evaluation. More explicitly laying out causal chains and assumptions underpinning the ToC, will similarly enhance the quality of any future theory-based approach.
- **Understanding whether the 'right' projects were funded:** To date, evaluations have collected detailed feedback from unsuccessful bidders about their experience of the application process, which has usefully informed the design of subsequent bidding rounds. There may be scope to do more with the unsuccessful bidders to find out what has happened in the absence of the fund, which would help to expand our understanding of whether funded projects are the 'right' ones. In addition, future evaluation design might include reflections from internal BEIS stakeholders on the overall contribution of RPF in facilitating innovation, and whether it has addressed the key regulatory challenges or whether there are other priorities that have been overlooked.
- **Tracking longer term outcomes and impacts:** In RPF1, Covid-19 had significantly affected the progress projects were able to make by the time of the follow-up interviews, and for RPF2 the timeframes were too short to measure impact. As the RPF continues it would be sensible for BEIS/BRE to consider how best to demonstrate the cumulative and longer-term impact of the programme. Future rounds could also encourage applicants to specify how they themselves intend to measure their outcomes and impact

over the longer-term. The results of such an exercise could then be discussed with evaluators in follow-up interviews.

3 RPF First Round Follow-Up

3.1 Activity and progress following the end of the first round

When interviewed at the start of the second round, three of the five regulators interviewed reported that they had continued to undertake work related to their first-round project. They had worked on enhancing and further developing the product or tool they created with the funding, used learning to develop new projects and secured additional funding for continued innovation work. Two of the five regulators were more significantly impacted by the COVID pandemic, resulting in a loss of momentum and de-prioritisation of continued activity relating to their projects.

3.2 Outcomes and impacts of projects on innovation

Regulators reported some evidence of cultural change towards innovation. However, among those interviewed, this was felt not to have been achieved at the desired speed or scale since the end of the first round, primarily due to the impact of the pandemic and internal structural change. Regulators continued work to develop outputs from their first-round projects, secure additional funding, develop new projects, and/or participate in the second round of the fund. This suggests that innovation remained a priority, even after funding was finished.

One regulator noted that, although not as a direct result of their project, the organisation employed more staff with the technical skills and expertise that will be necessary to undertake future projects to continue innovation. This suggests that regulators were more aware of and invested in encouraging innovation at an organisational level. While the influence of the RPF fund within individual regulators appeared to vary, for some, the fund was critical in stimulating that shift towards an innovation culture.

"There are so many things happening at [regulator] at the moment including [changes to] our organisational structure. Everything has been thrown up in the air [due to these changes]. As part of our strategy, we do have an improvement plan and innovation is part of that. It is through that that change will happen" (First Round Follow-Up).

Regulators reported internal and external impacts on their stakeholders and beneficiaries. For one regulator, engaging external stakeholders in a "perceptions audit" to understand views about their work was useful in providing reassurance that their work was valuable to the sector.

"What this did was give us comfort that we were addressing a need. They [stakeholders] all felt this was a good thing... it seems that other organisations are going "ooh yes I'll get involved in this" (First Round Follow-Up).

For another, an unintended internal impact was seen within the regulator about ways of working within project teams. The project team was seen to be innovative in taking an agile working approach.

"We are being watched by other teams who are not quite as mature in their working methods. Our team ethic is very agile and about helping each other. Another positive benefit in terms of our IT world is seeing innovation in both our software and also in our ways of doing things" (First Round Follow-Up).

One regulator reported that they had gone on to submit a joint bid with another organisation to secure funding from the NHS. They noted that would not have been possible without the RPF. The RPF provided them with experience of bidding for funding and allowed them to demonstrate what they were able to achieve with that.

"There are two reasons why this [joint funding bid] would not have happened without the RPF funding. The [regulator] is not really used to bidding for money, it was more acceptable to put that bid in because of the Regulators' Pioneer Fund. It was also about the content of what we achieved with the RPF fund. The fund enabled us to have people in the organisation who were different from people we would normally have recruited, such as someone focused on innovation" (First Round Follow-Up).

Some regulators were easily able to demonstrate additional outputs and outcomes achieved since the end of their project through quantifiable metrics such as publications or further funding. For others this posed more of a challenge. One regulator felt that it was difficult to identify outcomes and impacts of their project because much of this was seen in improved efficiencies to processes that were not formally measured. However, they also recognised that they had not gathered as many metrics or indicators of impact as they would have liked. In part this was due to the challenges faced by the pandemic and were resolved to capture the 'right metrics' going forward.

3.3 Challenges encountered following the end of funding

First round projects identified the COVID-19 pandemic as having presented a significant challenge in consolidating project objectives. Despite the success of projects, the pandemic shifted internal priorities away from innovation. This caused projects to stall and led to frustration at an inability within regulators to develop the outcomes of their project. For example, one regulator noted how innovation principles published following their project were "not capitalised on" due to a lack of certainty regarding whether it was appropriate to distribute during the pandemic.

"It was a weird ending because of the pandemic. It felt a bit strange almost as though everything had been pulled out beneath our feet" (First Round follow-up)

Two of the five first-round regulators interviewed said that they were affected by cyber-attacks towards the end of their projects, limiting capacity. As a result of this and the challenges faced by the pandemic, regulators de-prioritised innovation and became more inward-focussed in the short term.

3.4 Lessons learned from the first round

Regulators generated significant learnings from their first-round projects. Some of this learning was process based, in particular that regulators had underestimated the amount of time required to mobilise their project after being awarded funding. This included going through internal processes to recruit the necessary staff to the project. Two regulators mentioned utilising an agile working approach to deliver their project. For one this was a success and was recognised more widely within the regulator. The other noted that there was some discomfort within the delivery team in the discovery process of agile working. They reflected that any regulator undertaking similar work needs to establish a good understanding of how this approach works.

Another learning identified was a greater understanding of the problem that regulators were trying to address and what work is required to be able to do so. One regulator highlighted that to drive innovation in the regulatory sector, regulators must first “get their house in order”. As with the previous example, this regulator felt that they were broadly pursuing the right route but that the learning had provided additional insight.

“This [project] has given more texture to the original premise. In order to streamline the regulatory journey for businesses we need to streamline it among ourselves in the first place” (First Round follow-up)

One regulator learned that they needed to better articulate the message that they are not averse to innovation, providing it is undertaken in “the right way”. As regulators are tasked with protecting people, business, and the environment to support economic growth, it is important that they are acting in ways that are safe, and that they continue to fulfil their role. Therefore, there is a risk that innovation is perceived as experimental or unsafe among stakeholders, beneficiaries, and the wider sector. The first- round project demonstrated to this regulator that there was work to do to communicate that they encourage innovation.

“[The regulator] isn't averse to innovation so long as it is done in the right way, but we are not clearly articulating that message, we are listening, we are learning and thinking because it is complicated in balancing the need to ensure things are safe while also allowing people to experiment and be innovative” (First Round follow-up)

Two regulators reflected on the learnings gained from what did not go as well as they had hoped. One said that they considered one part of their project was a success, but that the other part had not met their expectations. They reflected that the task they had attempted to undertake, although the “right idea”, was too ambitious. They noted that the problem they were trying to solve was not necessarily within the regulators sole remit or capability to fix, but a problem that required engagement and action from the wider sector which they found challenging.

“We took on something that is quite challenging to build, and we aren't necessarily the best placed people to build a large-scale platform... We had too big an ambition for what we wanted to achieve. The scope of the project was wrong... we were trying to do something for them (sector stakeholders) more than we were trying to do something for ourselves.” (First Round follow-up)

3.5 Perceptions of RPF first round: impacts and areas for improvement

Overall, the first round was perceived very positively, with both regulators who were and were not part of the second round speaking very highly of the value and contribution the fund made to their work. Two regulators who were also selected for the second round said that the decision to apply again was a “no-brainer” due to their positive experience in the first round and because they would not be able to conduct their projects without the support of the fund.

The RPF was perceived to be a key driver of innovation in the regulatory sector. All the regulators interviewed said that their projects would not have been carried out without the funding which was seen to have value beyond the financial contribution.

Most significantly, regulators noted that the first round gave them “ammunition” to enable innovation and change within their organisations. This was also reflected in the reported willingness of stakeholders to participate in RPF projects, which regulators believed would not have happened to the same extent without backing from BEIS. Regulators also noted that BEIS backing gave them confidence to apply for additional sources of funding.

"If we had simply had a pot of money from somewhere not from the BRE then it wouldn't have had the stamp of approval of a goal for better regulation from the UK government. This actually meant that regulators sat up and listened" (First Round follow-up)

Overall, these findings suggest that, while there were challenges for regulators following the end of their first-round projects, there was also ongoing progress. Regulators continued to seek to undertake and promote innovation and had realised on-going positive longer-term outcomes and impacts. These included publishing and disseminating their work, engaging with sector stakeholders to capture their views and by maintaining or fostering new relationships to continue innovation work, such as preparing joint projects and bids for funding.

4 Applying to the RPF Second Round

4.1 Overview of application process and motivations for applying

4.1.1 Attractions of the RPF second round

Regulators and local authorities widely perceived the second round of funding as a rare opportunity to access resources they needed to pursue objectives that would otherwise be overlooked by their organisations.

Some regulators and local authorities sought to overcome new and developing challenges to innovation in their sector by creating means for collaboration across sector stakeholders. These projects sought to address challenges presented by new problems associated with technological developments that cause additional burdens on innovators, companies and private individuals. Regulators and local authorities hoped they would be viewed as advancing and driving business activity by addressing these challenges and creating a space where innovation is seen as being “risk free”. As such, many regulators and local authorities saw the funding as an opportunity to improve perceptions of themselves within the private sector.

"Success would be making the UK a place that is attractive to come and try to innovate because there are mechanisms in place that are able to support this" (Second Round Baseline)

"We wouldn't have had the funds to do the study. We could have tried to do something, but it wouldn't have been as comprehensive or compelling and influential, because we wouldn't have had the reach, the time, the resource, the commitment to be able to do that. And probably the tools as well to be honest." (Information Commissioners Office, Project lead)

For other regulators and local authorities, especially those who had participated in the first round, innovation is included among organisational objectives, for example through embedded activity in the form of innovation hubs⁴. Here, motivations to apply were driven by internal strategic objectives to further innovation rather than needs to change internal perceptions of innovation which were identified by first round applicants. Despite an increased emphasis on innovation, these organisations needed second round funding to pursue their projects, with finances unlikely to come from elsewhere. During one application, an organisation's innovation team reviewed approximately 40 ideas submitted from across the organisation before shortlisting the most appropriate ones.

"The team sent an email round saying if you have any ideas, please submit them to this central mailbox. A panel with some senior team members went through them and shortlisted the ideas" (Second Round Baseline)

Other regulators and local authorities sought funding to improve their existing regulatory activity. The overarching objectives for such projects were to increase efficiencies and reduce the compliance burden on companies by streamlining regulatory processes. These regulators and local authorities are less focused on improving collaboration across stakeholders than those that are addressing new regulatory challenges; instead the regulators are seeking to apply new, innovative techniques to improve perceptions of regulators as organisations that do not inhibit business practice.

4.1.2 Importance of fund availability

Most regulators and local authorities felt that it was unlikely that projects would have gone ahead without the funding from the RPF second round. This is partly because almost all regulators and local authorities developed their projects because the funding was made available, rather than using the funding for an existing project idea. Some organisations, especially local authorities, also cited innovation work being de-prioritised for other more pressing, short-term issues. While organisations with budget limitations saw innovation as important to organisational objectives and activities, budget shortfalls often meant that longer-term projects were not carried forward. As such, it appears that the second-round funding has driven the creation of innovative ideas and provided funding that would not have otherwise been available to complete them.

Unselected applicants stated that they were not going to be carrying out their projects as outlined in their applications without the second round funding. For some, the overall goals of projects remained reflected in organisational objectives and are still going to be pursued without project specific elements. However, for others, second round funding was needed to ensure appropriate resourcing and provide the means to carry out the project. For example, for one small regulator, income is generated through their members and as such there is limited opportunity to carry out additional projects outside of their normal practices.

A minority of projects – predominantly those working closely with stakeholder organisations – also intended to use second round funding to support participating stakeholder organisations. For example, some regulators and local authorities used the funding to help other organisations release staff to work on the project which would not have been possible with internal funding.

⁴ Some regulators participating in the first round created innovation hubs as project outputs. These hubs help businesses with bringing innovations to the market by providing them with appropriate and specialised guidance around regulations.

Some regulators and local authorities would have taken their projects forward without funding. However, the projects would not have had such an emphasis on collaboration. As discussed previously, this is because the RPF facilitated stakeholder engagement and the application process emphasised collaboration. For example, one organisation noted how the RPF as an important “conversation starter” and provided them with additional strength and authority needed to effectively collaborate with sector stakeholders.

“Although we had an idea for the project, we wouldn’t have been able to deliver it without funding quite simply as we would not have been able to cover the costs involved by all the stakeholders”. (Second Round Baseline)

“We simply would not have had the funding to take the work forward” (Second Round Baseline)

“I think the funding gives a real sense of an opportunity.... it gives that additional kind of backup that is the right thing to do, and it gives you that conversation starter ... It gives us the strength that this is something worthwhile because you're getting money for it.” (Second Round Baseline)

Regulators and local authorities also saw the funding as a safety net that allowed truly innovative work to be conducted without significant consequences of failure. This allowed projects that may have gone ahead without the funding to alter their scope and bring in additional stakeholders.

“There is the proviso to experiment as there is no pressure to come up with an end result. That is better emphasised this time versus last time” (Second Round Baseline)

“I guess that we would have continued to do a much smaller version [of the project] I think that would have taken much longer and probably produced less satisfactory outputs. So, this was a chance to really up the pace and hopefully design a more sustainable model.” (Second Round Baseline)

4.1.3 Completing the application form

Regulators and local authorities became aware of the fund in a variety of ways due to the activities BEIS carried out to communicate that the competition for round 2 funding was open. BEIS activities included:

- A launch event attended by over 100 stakeholders (including regulators, businesses, trade associations and local authorities)
- Publication on GOV.UK of competition brief and application form – link [here](#)
- A press release - link [here](#)
- Social media engagement from BEIS accounts: two *tweets* which received more than 17,000 impressions and 146 engagements
- Six stakeholder engagement events:
 - 2 roundtable and Q&A events prior to the competition starting
 - 1 networking event designed to support collaborative bids
 - 3 Q&A sessions for regulators and local authorities

- Supporting a RPF mailbox: More than 50 email queries answered, as well as a series of 1:1 discussions with stakeholders about the Fund
- Regular email updates, contacting stakeholders who had registered their interest in the RPF
- Contacting stakeholders who had engaged with other regulatory networks (e.g., the regulators' innovation hub)
- Engaging with other government departments, the devolved administrations, local authority networks and business organisations to encourage them to reach out to potential applicants

Regulators and local authorities who had participated in the first round of funding were most commonly made aware of the second round by BEIS, for example through the notification of one organisation's central innovation hub. Both participants in the RPF first round and new potential applicants were notified, to ensure a diverse array of applications. This included being sent information about the fund from internal colleagues and other stakeholders and also through standard efforts to identify new or additional sources of funding, for example through the BEIS website. Those who participated in the first round applied again due to their positive experiences during their first project.

While all regulators and local authorities were ultimately responsible for their own bids, other stakeholders were involved in drafting the applications to ensure technical accuracy and realistic outputs. Regulators and local authorities found this participation invaluable in understanding stakeholder expectations and capabilities, while also ensuring timelines, project scope and any challenges were appropriately communicated in their application. One unsuccessful organisation (which had also applied for first round funding) noted that the application process was improved by collaborating with other regulators in their sector. In particular, projects with large or complex technical elements placed high value on stakeholder involvement. For example, one organisation gathered input from a number of academics to ensure the detail of the application was accurate, while another used project partners and subcontractors to support the bid writing in order to inform complex elements that they did not understand how to communicate.

Regulators and local authorities most commonly involved stakeholders in applications through group conference calls. Many also shared draft applications with stakeholders in a similar fashion, with collaborators reviewing applications to provide additional detail and expectations for projects. This process was most common among those that had not participated in the first round or did not have dedicated innovation teams or processes. In contrast, regulators who had taken part in the first round mostly drafted second round applications internally, using senior buy-in and feedback to ensure quality.

Changes to the application form following the first round better facilitated stakeholder involvement, making it easier for teams to contribute to applications. One regulator who had participated in the first round noted how the change in format - from a PDF to word document – better facilitated collaboration across stakeholders in the project ensuring that multiple teams could simultaneously work on applications.

“We spent a few hours in conference calls talking it through and then half a day putting a skeleton together which allowed academic colleagues to put in the additional details. It was a collaborative approach, with the skeleton fleshed out and tweaked to add scientific detail.” (Second Round Baseline)

"It was a collegiate effort within the organisation. Our project team wrote drafts, but senior members were hands on with putting bid together" (Second Round Baseline)

All regulators and local authorities found the application form itself easy to complete. They appreciated the clear bullet points specifying requirements for each section which enabled applications to be focused and helped ensure they answered questions appropriately. Similar feedback was also provided regarding the word count, which rather than being prohibitive, ensured applicants knew what was expected of them. Regulators and local authorities were willing to engage with the application process because the resources required to apply reflected the brevity of the project and amount of funding.

Overall, the time taken to complete the application process was reflective of the size of the fund rather than a significant drain on time and resources. Those with a greater number of stakeholders involved took longer to complete the application, with more meetings and management of input required. However, regulators and local authorities took this into account when building in their timelines to write the application.

"I looked at the top of each section and it was quite clearly laid out what they were expecting from you. I just followed it through the template. It was very clear" (Second Round Baseline)

"With the word count, at least you know what you have got to do. It was quite clear really...if you had a 50-page document for a 6-month project it wouldn't have been worth it really" (Second Round Baseline)

While feedback on the application process was positive overall, a small number found some elements of the application challenging to complete. This was particularly in relation to anticipated costs. For example, one organisation noted that by splitting their costs down month by month they became "a work of fiction". With more time to complete the application, and with additional guidance in putting together costs they felt this problem would be easier to address.

4.1.4 Communication received from BEIS

Regulators and local authorities saw communication from BEIS as appropriate, contacting BEIS themselves as and when needed. This was primarily to ask for advice regarding completing the application, clarifying timelines, or clarifying requirements within sections of the application form.

Regulators and local authorities broadly understood the eligibility criteria, with the examples provided by BEIS perceived as clear and relevant. A minority noted that there was a lack of clarity regarding eligibility and what could and could not be bid for. This was commonly driven by the name of the fund implying that only regulators and not local authorities were eligible to apply. Where questions existed, organisations used the website to find additional information about the fund and criteria or emailed the BEIS' RPF mailbox. While any confusion was rapidly clarified by BEIS when contacted by applicants, it is possible that this dis-incentivised some organisations to apply who may have otherwise been eligible. BEIS also provided advice on eligibility criteria when contacted by organisations. This was commonly among first time, local authority applicants seeking clarification due to the name of the fund appearing to be solely for regulators.

"BEIS explained the [eligibility] criteria to us so that when [the] application was written we made sure we tailored it to criteria we knew was going to be used. If I had just downloaded the data

pack off the website, put together a bid and submitted it we probably wouldn't have been successful" (Second Round Baseline)

In conversations with regulators and local authorities, ad-hoc, one-to-one interactions with BEIS were most frequently mentioned, indicating that organisations found these most useful. Regulators and local authorities varied their methods of communication with BEIS depending on personal preference of the project manager and the urgency of response. Most of the communication was conducted through the RPF mailbox from which queries were reported to have been answered promptly and clearly. Regulators and local authorities felt comfortable and able to contact BEIS over the phone if any questions were more urgent or complex and overall were satisfied with the communication they received.

Many organisations also participated in additional engagement events, such as workshops, roundtable meetings, Q&A sessions and a networking event. Regulators and local authorities sought to identify collaboration opportunities and were approached by BEIS regarding ways to facilitate this. BEIS also created a collaboration 'database' of project ideas and contact details to share potential collaboration opportunities with interested organisations. Regulators and local authorities provided mixed feedback on the additional engagement events, broadly reflecting previous applicants and first-time applicants.

For first-time applicants, the engagement events were a valuable way of understanding other applications and sense-checking their own. However, it was felt by both BEIS and applicants that the online networking event was not as successful as hoped. BEIS approached regulators and local authorities to understand how the networking event could be made as beneficial as possible, inviting and welcoming suggestions around topic areas and who each organisation would like to speak to, however, they received a limited response. Local authorities and regulators therefore had not provided any thoughts to help shape the event in a way that would ensure the most benefit. Unfortunately, this was subsequently reflected in feedback from those that participated in the networking event. Some felt that it was superfluous and "clunky", and it was felt by some applicants as though BEIS "had not thought about what the value [of these] would be". This feedback conflicts with BEIS effort to engage applicants prior to the event however it is unclear why regulators and local authorities did not respond. Although a more formal approach, it may be helpful for future networking events for applicants to be required to select topics of interest and/or who they would like to speak to as part of a registration process.

The extent to which regulators and local authorities sought advice also differed. Some were more tentative when drafting their applications than others and used BEIS as a sounding board to check eligibility criteria. This included phone or online calls to clarify eligibility and to seek advice on answering technical questions, commonly surrounding eligibility criteria. Contrary to this, others did not feel any need to contact BEIS and instead were comfortable in their understanding requirements and expectations.

Differences in the extent of communication with BEIS existed across previous and first-time applicants. For example, one organisation was able to leverage the knowledge of colleagues within their innovation hub developed in the first round, while others' experience in securing funding meant that they required less support from BEIS. Equally, for one organisation, feedback on their unselected first round application provided the opportunity to address and improve the areas that were seen to be lacking. Here, communication with BEIS was limited to understanding how best to address this feedback.

"They were very proactive about answering any questions we had. When we first started thinking about applying, we submitted a question to BEIS...and they responded really quickly,

it was within hours. So, from my side the communication was pretty good. And I also enjoyed the meeting after for the successful bids." (Second Round Baseline)

While feedback about communications was mostly positive, a minority of projects noted that some elements of communication were lacking. BEIS provided feedback to all unselected applicants and to selected applicants who requested it. However many selected applicants that did not request feedback noted that it would still be beneficial as it would allow them to understand the strengths and weaknesses of their applications. By not providing this feedback to all successful applicants (regardless of whether it was requested) the process was perceived as being "a little behind closed doors".

4.1.5 Feedback on unsuccessful applications

Based on the interviews with unselected applicants, most were satisfied with the feedback they received upon learning that their project had not been selected for second round funding. The feedback was seen as clear and balanced, noting the areas that were well received and those that needed improvement.

Most demonstrated a strong understanding of why their applications were not selected. Organisations that had separate applications be selected for second round funding were able to compare across their applications and identify areas where their unselected application was not as strong. For example, one regulator noted how their unselected application had not gone through the same checking process as those that had been selected. Similarly, another regulator had put forward multiple bids, but had focused their effort on their 'strongest' bid (which was successful).

However, some did note areas where additional feedback would add value. For example, one regulator noted how any feedback on the goals of their project overall would have been beneficial, as this would help guide any future RPF applications.

"It would be good to know if it is a good idea, whether BEIS are thinking 'if you expand on that we will seriously consider that in the next round'. At the moment we are thinking we'd better bin that one as it didn't win." (Second round unselected applicant).

4.2 Improvements to the application process

Overall, regulators and local authorities interviewed (successful and unsuccessful) were content with the application process but some areas for further improvement were still identified. These commonly related to timing constraints, both during and after the application process. Despite the attempts by BEIS to inform all applicants that the competition process was open, organisations found out about funding at different times which lead to a discrepancy in the length of time available to draft applications. This created timeline challenges especially for those whose applications required the involvement of multiple stakeholders.

The most pressing challenge was the combination of short project timelines (six months) and a lack of clarity in knowing when applications would be selected. Almost all regulators and local authorities stated that this created uncertainty and hindered their ability to appropriately prepare to start their projects. The competition brief published on gov.uk stated that organisations would be notified in August which caused frustration from those who felt this was too vague.

"There was a bit of radio silence over the summer. I think BEIS did slip a bit with their deadlines, but I think it was quite loosely an August announcement. August was continuing and we were wondering when we're going to find out because we needed to get ready for this." (Second Round Baseline)

Regulators and local authorities noted that with more specific communication of when the selected applications would be announced (alongside updates as to how assessments of applications were progressing), timelines would be less squeezed, and projects would be able to achieve more.

Case Study – Environment Agency: Standardising Environmental Metrics for Food Businesses

Project Objective: Automate environmental data transfer across food businesses by standardising environmental metrics for businesses going beyond legal compliance

- The Environment Agency (EA) participated in the first-round application process but were not selected, receiving feedback that their application did not adequately demonstrate impact on the sector
- The EA had a strong understanding of the application process and how to approach drafting their application. They used feedback from their unselected first round application to inform their second round and leveraged input and experience of funding applications from the University of Cambridge when drafting their application
- The EA did not experience any challenges during the application process finding the timeframes and resources required to be appropriate
- Communication with BEIS was primarily using the mailbox, with responses from BEIS found to be timely and clear. The EA also had a one-to-one phone call with BEIS to run through the project idea and gather initial feedback to identify immediate weaknesses in their application, which provided additional confidence.

5 Delivering RPF Second Round Projects

5.1 Overview of progress against activities and outputs

Drawing on the first-round logic model and second round application forms from funded projects, the fund-level theory of change for the second-round outlined twelve broad activities. These reflected the types of activities proposed by projects in their applications (e.g., review regulatory frameworks or guidance; develop new processes or tools; engage with sector stakeholders), as well as key indicators identified during the first round that were less commonly articulated by second-round projects, but were considered important to retain (e.g., engage with international administrations, provide clear communications for consumers).

Across the programme, regulators and local authorities had generally made the progress they had expected to within the project timeframe against the activity and output indicators. There was greater evidence of delivery for some activities, namely reviewing regulatory frameworks or guidance, developing new processes or tools, and engaging with sector stakeholders.

Some setbacks were experienced (barriers are discussed later in this section) and project aims were adapted based on learning gained through delivery. However, by the end of the project, any time that had been lost was typically recovered and the intended activity and outputs had been delivered, which was viewed as a success.

Case Study – National Institute for Biological Standards and Control, physical standards for Adeno-Association Virus gene therapy

Project Objective: To produce a reference material for adeno-associated viruses used in gene therapy to act as a benchmark to compare findings from clinical trials.

By the end of the project timeline, although reference material had been produced as planned, it was still at the stage of being sent out to collaborators for testing and evaluation, so had not been finalised as planned at the design stage.

Setbacks related to the impact of COVID-19 on supply chain of plastics materials, which had delayed progress to the final milestone. However, the regulator saw this as a relatively minor setback and felt they had otherwise achieved all of what they had planned to.

“It’s ongoing past the end of the project, but it is something we want to achieve and it’s an area we’re growing into so we have something in the freezer that will contribute to supporting this area” (NIBSC, Project lead)

Although the programme encompassed a breadth and variety of activities, the most common activities aimed to **simplify or develop new processes, tools, data sources, products or services** with the associated output of **producing new or improved toolkits, products, systems, data sources or processes**. There were **strong positive indicators of progress and success** in achieving these outputs. For example, SEPA undertook significant development activity to create an interactive data visualisation tool that draws together data from stakeholders across the sector (previously only accessible by approaching each data holder separately and through submitting FOI requests) to create a single portal of access to land data that can be used to inform land planning decisions and applications for development.

The Care Quality Commission produced a toolkit to help GPs evidence their innovative work to improve a wide range of health outcomes in their communities. The SIA created a toolkit for obtaining licences in the security industry, and West Sussex Fire and Rescue Service produced an interactive computer game which functioned as a fire safety awareness tool.

Some projects' outputs differed from their original design because it had become clear through the course of the project that alternative outputs would be more relevant and appropriate. For these projects, that learning was seen as a valuable outcome in itself in terms of **testing, learning and iterating ideas that enable innovation**. For example, the CAA planned to develop a technological proof of concept tool to improve safety reporting. However, through early research activities, they learnt that other areas of development were more pertinent to improving reporting than their original hypothesis of technological solutions. They consequently shifted the focus of the project towards achieving a better understanding of those alternative solutions and how to prioritise them.

"What we actually found during discovery is that, even if you improve the technology, it's not that simple...a lot of people weren't aware, or thought the regulation didn't apply to them and they're not traditional aviators so there was quite a different angle that we hadn't really considered" (Civil Aviation Authority, Project lead)

Similarly, in another CAA project on crash-protected containers to carry dangerous goods in drones, the original plan was to carry out testing during the project. However, through consultation with industry it was identified that it was more appropriate for testing to be carried out by industry operators. As a result, the focus of the project shifted to exploring the best way in which testing should be carried out by industry operators.

Projects also undertook activity to **review regulatory frameworks or processes to identify gaps or opportunities within the organisation** with the associated output of producing **updated or improved regulatory guidance**. There were **positive examples of progress** towards these outputs, such as the ICO's project on privacy-enhancing technologies for public good involved producing a comprehensive research report to establish the industry baseline and scope the feasibility of different types of privacy technology. They carried out workshops with over 70 stakeholders to discuss and build solutions, and the associated outputs will be used to inform future policy and guidance products.

Another area of activity was **recording learning and promoting work** with associated outputs such as **research publications or other materials outputs used to share learning, and work featuring positively in press and publications**. There were **positive signs of progress** towards these outputs with examples of learning having been recorded and informally disseminated internally and among stakeholders directly engaged in the project, for example through roundtable workshops, sharing project findings or publishing reports on their websites. Further dissemination of learning, promotional activity and publication was a stage that regulators and local authorities were generally planning to conduct after the life of the project, having spent the project period focusing on earlier stages of project delivery. Regulators and local authorities planned to carry out more extensive dissemination, including internationally and through peer reviewed journals, outside of the project timeframe.

Another area of activity that was central to the delivery of most projects, and where there were **strong positive indicators of success**, was **engaging with and influencing stakeholders**. The associated outputs were that **new relationships or partnerships are developed with other UK regulators / LAs to tackle shared innovation challenges**; and there is **evidence**

of interest from innovators and engagement with and feedback from beneficiaries⁵. Most projects had engaged with sector stakeholders to tackle shared innovation challenges, with these stakeholders overall showing high levels of engagement in regulators' initiatives. Stakeholder engagement and consultation was a key mechanism through which the scoping, feasibility, research, design and delivery of most projects were conducted.

Stakeholders were consulted, via workshops, surveys, interviews and MS Teams groups, to inform product design. For example, the SEPA data visualisation tool was developed by bringing together key stakeholders to a steering group to contribute their ideas on the design and functionality requirements, and through workshops to showcase the pilot tool and gather further feedback and input to facilitate the tool development.

While many projects worked with existing partners, other regulators and local authorities took the opportunity to **develop new relationships** within the sector. For example, the Information Commissioners Office (ICO) saw their project as an opportunity to engage with a range of different stakeholders alongside the 'usual suspects', such as emerging technology firms. By engaging with a range of different stakeholder groups, the ICO was able to use a broader range of knowledge and experience to develop the project outputs into something new and different.

Case Study – DWI/Ofwat's Innovation One Stop Shop

Project Objective: To scope, design and produce a dynamic correspondence system for regulators engaged in beta testing.

The project was driven by a steering group of partners and stakeholders who met fortnightly and shared responsibility for leading on different strands of work. The design of the database was informed by consultation with industry. Industry representatives were asked for feedback on questions such as how the database portal should work, timescales of turnaround and how it could interact with other innovation initiatives taking place in the sector.

"It was useful to interact with the Spring project team manager and see where we could potentially add some synergies and where we were doing something distinctly different so we could build that difference in and make it clear what we were doing compared to what they were doing. That was very useful."

Furthermore, the project held interactive workshops with industry representatives who continued to engage with the project throughout its life cycle and beyond.

Areas of activity where there had been **limited evidence of progress** across the programme included projects' original intentions of **engaging or influencing international administrations**. This is because local authorities and regulators' focus was primarily on dissemination (e.g. conferences, report publications on websites, webinars and podcasts) within the sector in the UK in which projects were operating. Nevertheless, there were exceptions to this, such as the NIBSC which had recruited 12 international collaborators to test the reference material produced by the project for Adeno-associated viruses used in gene therapy. In addition, the MHRA anticipated that their project would be included in academic papers that will be published internationally later in the year, and the Costs Lawyers Standards

⁵ While beneficiaries were initially conceptualised in the TOC to mainly refer to consumers (i.e., general public), through the course of the evaluation it became clear that projects considered their beneficiaries to include businesses and sector stakeholders, as well as end users and consumers including the general public.

Board, examined existing international research and guidance from Australia, Canada, Ireland and Northern Ireland to inform their guidance and recommendations created.

Although less commonly reported, there were **some positive indications of progress in engaging with beneficiaries of services** and evidencing this through events and feedback received. For example, the Civil Aviation Authority's project on enhanced safety reporting involved a survey which was completed by 3,000 respondents, including the general public and commercial drone users. Across the programme, it was more common for engagement to be carried out with businesses, stakeholders and sector innovators rather than the general public, due to the nature of projects and their relevance to the sector rather than general public consumers. For example, the Costs Lawyers Standards Board utilised LinkedIn to engage with costs lawyers and estimated that around 50% of costs lawyers working within the UK responded.

Providing **clear, frequent communications for consumers** was not a common aim in projects' design. Due to the short timescale of the project the objectives of most projects were more likely to be aimed towards engaging sector stakeholders rather than the general public as consumers. Nevertheless, communication with sector stakeholders, innovators and businesses had typically continued beyond an initial engagement event, and projects were in regular communication with these stakeholders as consumers and beneficiaries in their own right, concerning ongoing progress and dissemination of findings or learning. Communication with a wider, public, consumer base was less common, and where relevant, were generally part of future plans for dissemination, as per the original project designs.

5.1.1 Delivery of project outputs

As discussed, most projects were able to deliver all their intended outputs. At a programme level, there were some types of outputs that were more commonly achieved than others, and a summary of these against the programme TOC is shown in Table 1 below.

Table 1 shows that there was strong evidence of the achievement of more tangible outputs such as the creation of toolkits, data sources, products or services. There was strong evidence against outputs relating to collaboration, i.e. new relationships and partnerships, and engagement with / feedback from sector stakeholders or beneficiaries. There was moderate evidence of the achievement of programme-level outputs relating to dissemination and wider engagement.

Table 1. Outputs identified in the TOC

Outputs	Volume of Projects Reporting	Evidence
Updated or improved regulatory guidance	Medium	There was good evidence for progress against this output as some projects had already or were in the process of updating or improving regulatory guidance. The limited timeframe meant that production and publication of guidance was not always possible to achieve within the delivery period.

<p>New or improved toolkits, products, systems, data sources or processes</p>	<p>Very high</p>	<p>There was very strong evidence for this output as a large proportion of projects had successfully created, tested, and begun to implement new tools, system data sources or processes by the end of the delivery period.</p>
<p>Research publications or material outputs used to share learning</p>	<p>High</p>	<p>Good evidence for this was seen as many projects had already produced and shared material outputs including reports, articles, websites and a podcast to disseminate learning. For others the timeframe for this stretched beyond the life of the project.</p>
<p>Promote innovations to key stakeholders within the sector</p>	<p>High</p>	<p>There was good evidence for this output as along with material outputs such as final reports, projects had begun to promote innovations within their sectors.</p>
<p>Work or innovations feature positively in press and publications</p>	<p>Low</p>	<p>There was limited evidence for this output however, projects reported receiving informal positive feedback and were working towards further promotion of their work and innovations.</p>
<p>New relationships or partnerships developed with other UK regulators, local authorities, <i>or sector stakeholders</i>, to tackle shared innovation challenges</p>	<p>Very High</p>	<p>There was very strong evidence for this output such that almost all projects reported new or strengthened partnerships or relationships with other regulators or more commonly, sector stakeholders.</p>
<p>Innovators are interested in regulators initiatives e.g., accessing guidance</p>	<p>Medium</p>	<p>There was moderate evidence provided against this output. Some projects reported that innovators and other stakeholders had expressed interest in accessing and using the guidance, tools or products created through RPF2, and expected that to increase with further dissemination.</p>
<p>Evidence of engagement with beneficiaries e.g., events / feedback received</p>	<p>Medium</p>	<p>There was moderate evidence of projects reporting engagement with stakeholders including beneficiaries such as businesses through their project activity to develop tools, guidance, conduct fieldwork and obtain feedback on outputs created. There was limited evidence of engagement with consumers or the general public due to the short timeframe of the projects.</p>

5.1.2 Facilitators

Regulators and local authorities identified a number of factors which they perceived to have facilitated delivery of their innovation work, principally the support received from sector stakeholders and the BRE. These were:

- Sector-wide expertise and appetite for innovation
- Already-established partnerships
- Supportive governance from the BRE
- Experience of first-round RPF
- Ringfenced funding targeted at regulator engagement with sector

A key facilitator was **sector-wide expertise and appetite for innovation**. Regulators and local authorities commonly cited a high level of engagement and partnership working between the project and its stakeholders as a principal facilitator for progress in delivery. Successful partnership working was precipitated by a high level of enthusiasm and appetite for innovation in the sector, which drove partners to engage and share their expertise, which in turn was highly valued by regulators. Stakeholders could see the benefit that project outcomes could have on their work in the sector, which prompted their buy-in and was key in propelling projects forward.

*“I’ve been very humbled by the support and excited by the amount of interest.”
(Information Commissioners Office, Project lead)*

Workshops were found to be an effective way to facilitate conversations between regulators, local authorities and stakeholders. Because the opportunity to work collaboratively and engage with regulators in this manner is rare, stakeholders took the opportunity in workshops to share their experiences first hand and make suggestions about how regulators could adapt the way they approach things.

Pre-existing partnerships was another facilitator of project delivery. Regulators and local authorities that were working with organisations with which they had a relationship felt this enabled implementation to begin more quickly; there was less spent on building relationships or setting up shared protocols, and each partner already understood how the other worked. For example, Cornwall Port Health Authority already had a relationship with sector stakeholder the Centre for Environment, Fisheries and Aquaculture Science (CEFAS) as CEFAS support them in the day-to-day regulation of shellfish toxins, as well as working together on additional research projects. This previous experience was found to be helpful in enabling them to get the project up and running rapidly.

In addition, regulators highlighted that **supportive governance from the Better Regulation Executive** (BRE) facilitated delivery. Governance and auditing processes administered by the BRE were perceived as proportionate and generally not overly onerous. One project suggested financial reporting to BRE every two months rather than monthly would have been more appropriate, as they felt that on some occasions there was little to update. However, overall, projects found the monthly catch-up meetings with BRE to be useful and supportive. The meetings prompted projects to regularly review risks to delivery and provided a space for open and constructive discussion.

“The RPF were extremely helpful with any questions we have.” (Oxfordshire County Council, Project lead)

“Very understanding and encouraging without any pressure. You couldn't want much more than that really.” (MHRA Project lead)

Furthermore, regulators appreciated the flexibility shown by the BRE in adapting to the changing focus of projects as they evolved.

“It was refreshing to have a sponsor who was open to pivoting on a project as we went along and to understand that things don't necessarily happen as we envisaged. We always felt that the support was there.” (HSE, Project lead)

Reporting and financial modelling templates provided by BRE were also found to be helpful tools that facilitated regulators' project management.

The RPF knowledge exchange events were found to be useful, both to hear about progress of other projects and to receive feedback on presentations made by each regulator. In addition, some regulators had gone on to meet with other projects they had been introduced to via the network with which they expected to be able to share learning and best practice. However, some regulators felt that their own project's activity was too different from others for there to be any points of commonality to learn from hearing about the experiences of other regulators.

“I found the projects so diverse, so completely different from each other it was hard to draw parallels: nobody else was building an interactive software... They were totally different projects, each with their own challenges and I personally didn't see a huge overlap there” (West Sussex Fire and Rescue Service, Project lead)

Further, the Teams channel set up for RPF knowledge exchange was generally felt to have been under-utilised, with some regulators not becoming aware of the channel until near the end of the project.

“I found the network pretty informative...it brings you visibility on what projects are doing and if there's some overlap, if you can gain information from other partners which are on the RPF, it's always a good thing to have somewhere to go and someone to ask about certain questions – they might be in the same predicament as you.” (Oxfordshire County Council, Project lead)

Some of the projects that had previously received **first round RPF funding** felt that experience put them in a stronger position to deliver their second-round project. One such organisation had learnt from their RPF1 experience the importance of hitting the ground running from the start of a short-timeframe project. This prompted them to take a risk of recruiting a research consultant before second round funding had been formally awarded, so that they were ready for implementation right from the start. Similarly, another project had set up an innovation hub as an output of their first round RPF project, so that they already had this structure to support prompt implementation of their second-round project.

As mentioned in section 4.1.2, **ringfenced funding targeted at regulator engagement** with the sector was also perceived to have facilitated innovation projects. Some regulators explained that they had previously felt somewhat isolated from the sector and lacked the confidence to engage. By funding sector engagement, the RPF had therefore opened a dialogue that they had previously not felt able to tap into.

"It really shows the value that government has on innovation and reducing health inequalities. It is that push of the sector that is needed and is nice to know that the government is also behind it." (CQC, Project Lead)

"[RPF] gives the regulator the opportunity to not necessarily be the regulator and come with an independence of innovation, because you don't think a regulator will be innovative, you don't think regulation is innovative... It gives you [the regulator] an independence [from] being a regulator to being an innovator" (SEPA, Project lead)

5.1.3 Barriers

Factors that made project delivery more challenging centred on the need to procure external contractors, and the time it took to go through the necessary procurement and onboarding processes before delivery could get underway. These were primarily:

- Project timeframes
- Lack of sufficient internal resources and expertise for delivery
- Procurement and onboarding processes
- COVID-19.

The **short project timelines** were challenging (and potentially off-putting) for some. For example, projects reliant on collecting raw data noted that additional time, even if just one month, would significantly enhance the depth and overall quality of outputs. Regulators and local authorities in this position identified greater flexibility with timelines as a key need because other factors outside of the regulators control, such as seasonality, have the potential to impact data collection, creating limitations on what could be achieved.

"I imagine the timescale would put some people off. Six months in a local authority is no time at all to get everything through" (Second Round Baseline)

"It feels almost superficial, like they are just ticking a box by making the funding available because it is too fast, too little and we heard about it too late. We could do so much more." (Second Round Baseline)

However, most regulators and local authorities recognised the need for BEIS to limit the timescale and, while cognisant of the challenges, were still confident that they would be able to deliver on their project objectives. One organisation noted how the tight timeline ensured their projects were focused and streamlined. This meant objectives could be prioritised and positively limited the scope of their project by ensuring that it did not develop into something unrealistic and overly complex.

"This time around because the pot of money and timeframe were smaller it helped focus us to say what we could deliver. Last time with a larger pot of money we found it harder to make it tangible on paper what we can actually deliver." (Second Round Baseline)

A linked challenge for delivery was **the need to procure external resource and expertise**. Regulators and local authorities typically did not have sufficient internal staffing resource or expertise to undertake the RPF work, and so commissioned external consultants to deliver it.

As such, for many regulators and local authorities, the first month(s) of their six-month project was dedicated to procurement and project set-up. This was principally because regulators and

local authorities were unable to commit to procurement until they had received confirmation that their application was successful. Projects reliant on outsourcing, for example to technology development companies, described this as presenting an immediate barrier to what could be achieved within the project timescale. Projects felt that they would have benefitted from additional time between confirmation of funding award and the beginning of project delivery.

Finding the right resource proved difficult for some, with the need to commission external consultants raising an additional procurement barrier before project implementation could begin. Procurement often proved to be lengthy and onerous, and project managers with little experience of procurement processes underestimated how long it would take. For example, one project put out an initial invitation to tender (ITT) but received no bids in response. Only after producing a revised ITT with a less complex scope did they receive any bids in response, which added additional delay to project implementation.

“Our project was particularly complex because it was dealing with a very complicated suite of technologies that are relatively immature and it required an ambitious project and several pieces of quite detailed research and also an engagement piece ... I think that made it quite difficult to find, in a very short window, an appropriate delivery partner.” (Information Commissioners Office, Project lead)

“Trying to get an external partner in is so difficult because of the levels of security clearance and official procurement and tender processes you have to go through. That all ate 50% of my time.” (Civil Aviation Authority, Project lead)

Once procurement processes were complete, projects noted that **onboarding consultants and sub-contractors**, including setting up contracts and collaboration agreements as well as practical elements such as setting them up on IT systems, took up additional time and caused further delays to delivery. Furthermore, external consultants typically had limited experience of working with the commissioning organisation. Some regulators and local authorities therefore spent a considerable amount of time briefing consultants on the project. They reflected that they underestimated the granularity of information required for an external consultant to successfully deliver on a project.

Although a less prominent barrier than for first-round projects, the ongoing **COVID-19** pandemic had an impact on some second-round projects; contributing to staff absences, supply chain issues which restricted the availability of project materials and limiting stakeholder engagement. Even where such issues caused relatively short delays of a few weeks, this could significantly impact on projects' ability to hit milestones when the overall project timeline was short.

“This is one of the challenging things about a six-month project, someone being off sick for a couple of weeks knocks everything out, especially when it was towards the end.” (Oxfordshire County Council, Project lead)

COVID-19 posed a particular barrier for the Care Quality Commission's engagement of GPs in their project. The availability of Practices to take part in interviews and case studies as part of the project was hindered during the Omicron wave in the winter of 2021 as GP resource was diverted to managing the demands of the pandemic and unable to take part.

6 Outcomes of the RPF Second Round

6.1. Overview of key outcomes

The expected outcomes from the RPF second round are set out in the programme theory of change and relate to the short-term changes that are expected to occur as a result of projects achieving their initial outputs (e.g. developing a tool or reviewing a regulatory framework). These outcomes were agreed with projects and are expected to be observable within the six-month timeframe of the programme and evaluation.

Interviewed at the end of their projects, the outcomes identified by regulators and local authorities are nascent. However, the successful delivery of project outputs means that there is confidence among organisations that the expected outcomes will be realised in the near future. Whilst project leads and stakeholders report a range of outcomes from their projects (discussed further below), three key outcomes emerge across the programme as a whole:

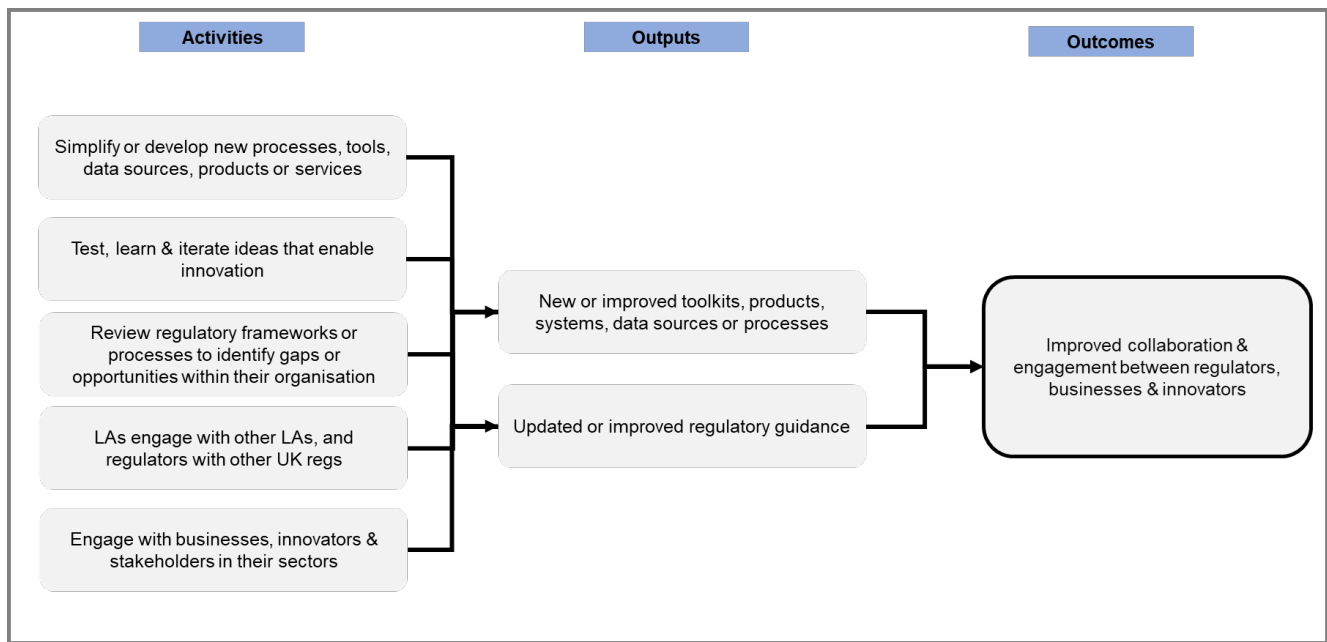
- Improved and increased collaboration between regulators and sector stakeholders
- Increased confidence in the UK regulatory system
- Dissemination of learning leading to innovation developments

Table 2 provides a summary of the extent to which the programme outcomes defined in the Theory of Change were reported by second round projects.

6.1.1 Collaboration between regulators and sector stakeholders

A key outcome from second round RPF was improved and increased collaboration between regulators and sector stakeholders. Figure 4 shows the key activities and outputs carried out by regulators and local authorities that supported the achievement of this outcome. Through the process of developing their outputs, i.e. the toolkits, products, systems, guidance that were successfully delivered through the projects, regulators and local authorities were engaging with other LAs, other regulators and other actors in their sectors. This had the result of creating a sense of improved collaboration and engagement.

Figure 4. Collaboration between regulators and sector stakeholders



Greater collaboration was important as it had led to a better understanding of the needs of their sector amongst regulators and local authorities, and vice versa. Collaboration had fostered a greater appreciation among regulators and local authorities of the pace and demands of their sectors. This was enhanced by regulators and local authorities developing new relationships with sector stakeholders including UK regulators. For example, the Environment Agency noted that they learned about the “*astonishing pace*” that sector stakeholders are asked to work at. As a result, the Environment Agency were able to recognise the need to better articulate regulation and sector requirements to make it easier for stakeholders to respond. Whilst the issues surfaced may not have been new, hearing concerns and challenges and gathering feedback from stakeholders first hand meant that regulators and local authorities increased their depth of understanding.

“They are things we had probably a surface level understanding of before, but actually hearing it direct from stakeholders in the workshops was very valuable.” (Information Commissioners Office, Project lead)

Involvement in RPF also lead to sector stakeholders gaining a greater understanding of the pressures and constraints on regulators and local authorities and, importantly, *why* regulation was necessary.

“The industry wants to do things much quicker than the regulator can allow. We have very good reasons, they have very good reasons, but there has to be a meeting in the middle, so education of the industry as to what our reasons are for taking as long as we do and what the challenges are that we can share with them. And actually sharing those helps us to work through them together.” (CAA, Project lead)

The level of collaboration through RPF second round projects is expected to lead to long term change in relationships after projects end, and greater ongoing collaboration. This includes stakeholders having new, more personal relationships with regulators and, as such, feeling more comfortable reaching out to regulators on a more informal basis. Formal mechanisms such as challenge groups, were found to enable engagement and partnership working in the sector beyond the project life cycle. Some regulators were already using such mechanisms to facilitate sector-wide engagement on other work streams.

“A lot of the people in the Challenge Group had been in contact separately and I think they feel much more comfortable reaching out to them directly going forwards, now they’ve got familiar faces.” (MHRA, Project lead)

Case Study – Cornwall Port Health Authority (CPHA)

Project Objective: To develop a prospective system for monitoring shellfish toxin

The project included a number of sector stakeholders including the Centre for Environment, Fisheries and Aquaculture Science (CEFAS), the National Oceanography Centre (NOC) and the universities of Exeter and Glasgow.

The project required extensive collaboration across all stakeholders, with each bringing a key skillset and knowledge base.

CPHA had pre-existing working relationships with CEFAS and NOC, however had not previously worked extensively with either university. All stakeholders found the collaborative nature of the project to be fundamental to its success, while producing additional learnings. CEFAS noted how, by participating in the project, they had *“opened their minds a little bit more”* about projects that fall outside of their usual scope.

All stakeholders recognised the value of collaboration and are seeking to continue this in the future. For example, the University of Exeter noted how the project helped them to *“understand the common challenges”* and as a result of the project are looking for future opportunities to collaborate with the CPHA and other partners.

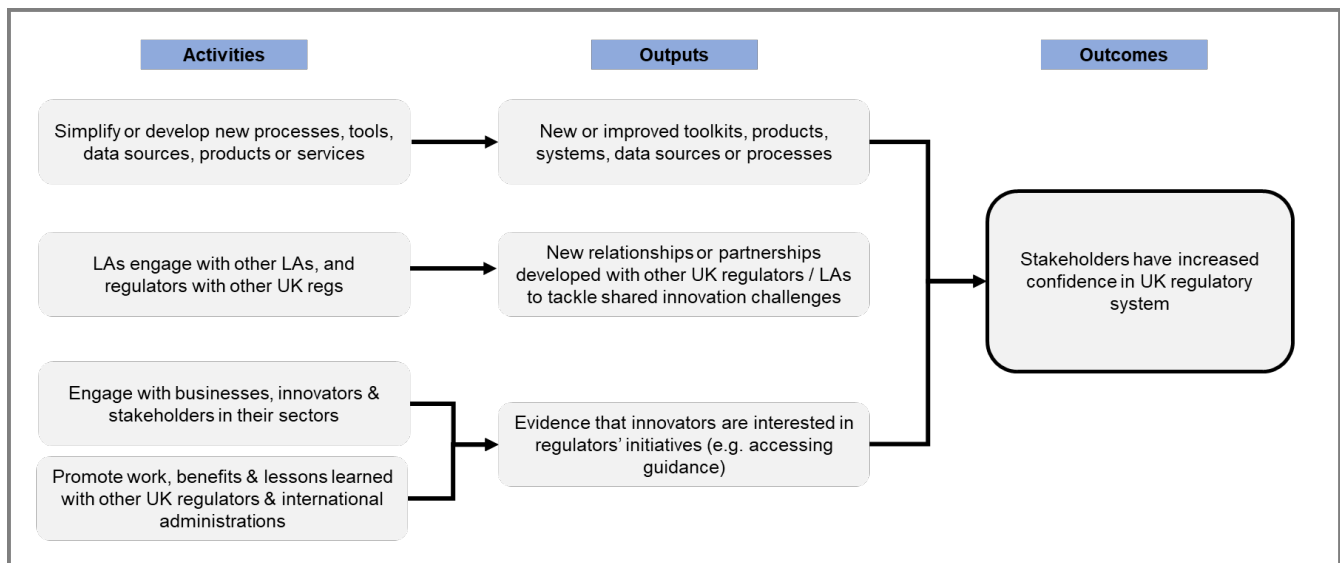
6.1.2 Confidence in the UK regulatory system

Increased confidence in the UK regulatory system amongst stakeholders was a key outcome for many projects in the second round of the RPF.⁶ Figure 5 shows the key activities and outputs carried out by regulators and local authorities that supported the achievement of this outcome.

Increased confidence amongst stakeholders was predominantly the result of the collaborative nature of projects, with new and closer relationships between regulators, local authorities and respective sectors leading to greater trust and confidence. However, other factors also played a role in increasing confidence, including the willingness demonstrated by regulators and local authorities to engage with innovation and through certain project outputs aimed at making regulation easier to understand.

⁶ It is also hoped that longer-term there will be increased confidence among consumers, however there is currently limited evidence for this outcome.

Figure 5. Increased confidence in UK regulatory system



As discussed in the previous section, regulators and local authorities worked collaboratively with sector stakeholders to deliver innovative projects. This has encouraged stakeholders to view regulators as adding value and benefit to the sector, beyond their core role of regulation. This enhanced regulators' reputations and led to an increase in sector stakeholders' interest in regulators and local authorities' initiatives. For example, one project noted that, by virtue of running a project focused on enabling and encouraging innovation, stakeholders reported increased confidence that regulators and local authorities were actively encouraging and supporting innovation, and not standing in its way.

“People look at NIBSC (as part of the MHRA) and see us as the regulator...so it’s balancing that and showing that we are not just the regulator, we do other things and are here to support. We’re not the bad guys.” (NIBSC, Project lead)

“I think the VCA (Vehicle Certification Agency) will benefit reputationally. It’s early days, but the feedback we’ve had so far and particularly the engagement from the stakeholders has been such that I would find it very difficult to think that we would be perceived negatively.” (CAA Stakeholder)

Increased confidence can also be a direct result of certain project outputs, such as toolkits and roadmaps. The Environment Agency developed a map of existing metrics for environmental regulation in the FMCG sector that are useful to stakeholders, accompanied by a question-and-answer document. It is hoped that this roadmap will increase confidence among stakeholders in the regulatory system, leading to improved compliance, as the regulatory process becomes more open and transparent.

Case Study – Security Industry Authority (SIA)

Project Objective: Simplifying regulatory compliance in the private security industry

As part of the SIA's project, an industry stakeholder tested the Application Programming Interface (API) which had been developed as the project's primary output. This API was designed to streamline the validation of SIA licences for security companies.

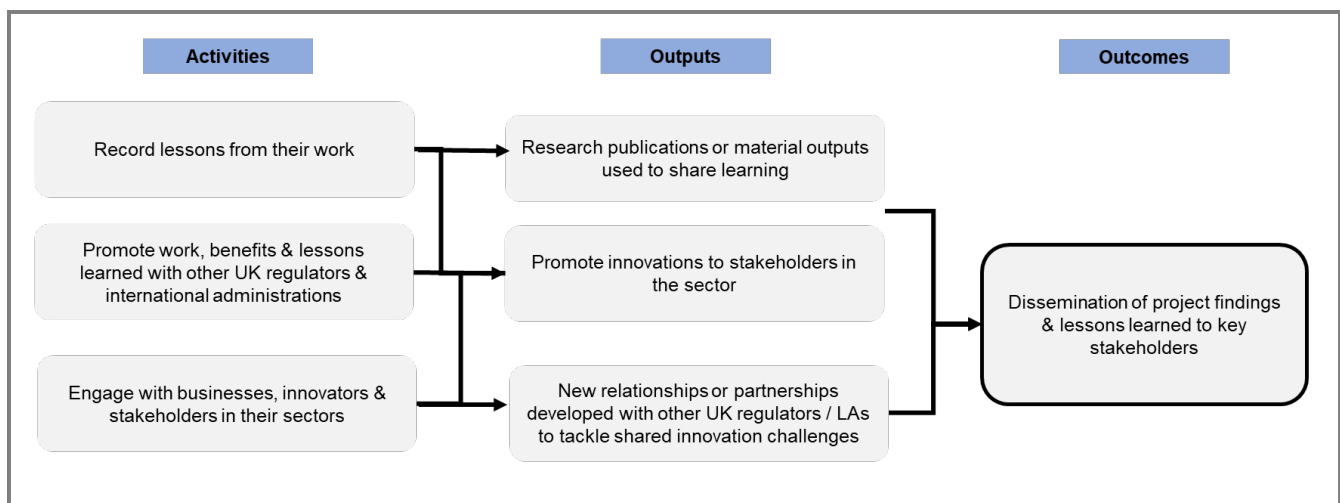
Both the SIA and stakeholders separately identified a sense of increased confidence in the regulators work, which stemmed directly from the RPF2. The SIA reported that they had received positive feedback from the sector about the potential impact of the API on stakeholders' day-to-day work. Stakeholders similarly noted that both the product and the project had increased confidence in the regulatory system within the private security industry.

“Confidence in the regulatory system has increased massively across security organisations thanks to the API. We can now have real-time confidence in the data that we are getting.” (SIA, Stakeholder)

Dissemination of learning and innovation developments

Another key outcome from this round was the dissemination of learning and innovation developments. Figure 6 shows the key activities and outputs carried out by regulators and local authorities that supported the achievement of this outcome. Projects were keen to ensure that the lessons they had learned during RPF delivery were captured for the wider benefit of the sector and other organisations doing similar work. They were also keen to share the outputs of their projects with other organisations doing similar work. By the end of the delivery period, projects had therefore begun (or intended) to disseminate learnings and innovation developments, internally within their organisations and externally across the sector. Sector stakeholders included those that had been involved as partners in projects (and their networks) and wider stakeholders including other regulators and local authorities.

Figure 6. Dissemination of learning and innovation developments



Internal dissemination of learnings and developments was mainly driven by the novel aspect of the work and was often actively encouraged by senior staff. Many organisations would not usually have the capacity and expertise for these kinds of innovative projects, so project teams felt it important to raise the awareness and profile of RPF project outputs, with a view to

encouraging and inspiring others. One example of internal dissemination is the CAA's internal reflection piece. The aim of this piece is to demonstrate to their organisation how they constructively engaged with stakeholders and how they effectively delivered a time sensitive innovative project.

Almost all regulators and local authorities are planning to disseminate their learnings externally to their sector. For most, this is expected to take the form of sharing their final reports and material outputs through their own and stakeholder websites. However, some regulators and local authorities are also planning additional dissemination activities. The Environment Agency, for example, planned on running webinars to discuss project findings, while Oxfordshire County Council planned to run workshops and create a video to disseminate learnings. Similarly, CQC featured their project in an episode of their regular podcast to promote wider awareness.

Some regulators and local authorities were very creative in their approach to dissemination, which was hoped to increase the impact and reach. For example, SEPA commissioned a film for an engagement session with their sector and the local Grangemouth community. This film was used to inform communities and the sector about the Regulatory Hub that was developed through the RPF second round. The impact of the Hub will be greater the more that it is used, so raising awareness is critical to the success of this project in the longer-term.

6.2 Other outcomes reported

Alongside the three key outcomes detailed above, and to a lesser extent, regulators and local authorities also reported other intended outcomes.

6.2.1 Outcomes relating to project delivery or within their organisation

A minority of regulators and local authorities identified **increased skills and capabilities within their organisations**. A key reason for this is that many regulators and local authorities engaged with external consultants to conduct technical elements of their projects. For example, Cornwall Port Health Authority applied the skills they already had with support from stakeholders and universities, who supplied the technical expertise needed to develop a predictive modelling tool. The technical skills that contributed to the project's success were not therefore necessarily newly developed but instead applied in a more effective or innovative way.

Likewise, a **willingness to implement changes to encourage and stimulate innovation within organisations** was already felt to exist among regulators and local authorities. Some already have the internal structures in place to continue their work beyond RPF. For example, the CAA are continuing to develop their project, noting how they are seeking to make the most of the momentum they have built over the past six months, especially regarding their efforts to build connections with the sector. For other regulators and local authorities, the main barrier faced for stimulating innovation is funding and resourcing. In the case of the CAA, they are able to continue developing the project because they successfully applied for alternative funding. As such, while there is already willingness to encourage innovation, some regulators and local authorities report that they lack the resource to do so.

Regulators and local authorities also did not generally identify **increased understanding & confidence in supporting innovation within their organisation (i.e. senior buy-in)** as an outcome from their projects, predominantly because they felt that this already existed. For

example, the project lead for SEPA noted how senior team members had been “*incredibly positive*” about new innovations and ways of working, including being involved in their RPF project. Where this outcome was identified, it was often in the context of seeing an increase in senior involvement and proactivity in engaging with innovation. For example, site visits among senior team members increased the visibility of the Environment Agency’s project, which in turn raised its profile among other senior teams.

6.2.2 Outcomes relating to recording learning and promoting work

While many regulators and local authorities intend that **learnings from their projects will lead to continued work on the development of new technologies, products or services**, this had not yet come into place. As above, many report that ongoing work will be subject to finding further funding, especially where projects fall outside regulators and local authorities’ normal responsibilities and activities. However, some organisations were starting to think about how to maintain momentum from their RPF project. For example, the regulatory hub created by SEPA will continue, with places to continue developing frameworks to build into it and continue the collaboration with stakeholders seen during their project.

A small number of regulators and local authorities reported that they had made changes to enable stakeholders to **access and benefit from shared learning and simplified processes**. They noted that, thanks to working more closely together, they had identified where differences in systems and processes hampered or negatively impacted on the sector. For example, through their RPF project the Environment Agency became more aware of differences in organisational culture and working practices between themselves and stakeholders. They are now able to better integrate with stakeholders by doing things like analysing differences across I.T. systems. Similarly, stakeholders working with the Cornwall Port Health Authority, noted that they have learned important lessons about the best ways to communicate with the regulator, enabling them to work together more effectively.

Regulators and local authorities reported that they were already aware of **how to promote innovation** and as such did not see an increased awareness or understanding for how to do this. Many organisations felt they were aware of the best ways to reach out to their respective industries, as they are required to do so on a regular basis. This is demonstrated by the high levels of sector engagement in project outreach, as previously discussed.

Table 2. Evidence against outcomes identified in the TOC

Outcomes	Volume of Projects Reporting	Evidence
Increased skills and capabilities within team	Low	There was limited evidence for this outcome as the majority of projects outsourced technical elements of their projects. Some were able to apply technical skills within their team/organisation in a more effective way
Implement changes to encourage and stimulate innovation within organisation	Low	There was limited evidence for this outcome as this was already felt to exist among some regulators and local authorities. However, for others, positive experiences and results from their projects will see changes be implemented, such

Outcomes	Volume of Projects Reporting	Evidence
		as building in more collaboration with sector stakeholders into standard approaches to regulation.
Increased understanding & confidence in supporting innovation within organisation (i.e. senior buy-in)	Low	Evidence for this outcome was limited as regulators and local authorities felt that overall there was already a high level of senior buy-in for innovation, however they noted that this was enhanced by the high-profile nature of the RPF projects that was brought by being associated with BEIS.
Learning contributes to continued work on the development of new technologies, products or services	Medium	There was moderate evidence for this outcome as many projects plan to continue work related to their project. However, future projects will largely continue to be dependent on additional funding, however some regulators and local authorities are looking to continue their work to ensure the learnings identified through their projects are further developed.
Access & benefit from shared learning / simplified processes	Medium	There was moderate evidence for this outcome as some regulators and local authorities that worked with other regulatory organisations in their sector during projects reported benefits from shared learnings and intend to continue this practice in the future.
Project lead & stakeholders have increased awareness & understanding of how to promote innovation	Low	Evidence of an increased awareness was limited , largely because regulators and local authorities' knowledge of their sectors ensured they were aware of how to promote innovation. However, improved collaborative relationships across stakeholders did lead to some regulators and local authorities identifying new ways to better engage with their sectors.
Dissemination of project findings & lessons learned to key stakeholders	Very High	There was very strong evidence for this outcome as all regulators and local authorities have, or intend to, disseminate findings and lessons both externally to stakeholders and internally within their organisations. Dissemination activities include webinars, press releases, and a short film produced for an engagement session.

Outcomes	Volume of Projects Reporting	Evidence
Improved collaboration & engagement between regulators, biz. & innovators	High	There was strong evidence for this outcome as many regulators, local authorities and sector stakeholders noted how they gained a better and more sympathetic understanding of the work carried out by other organisations in the sector through the project. As a result of this, regulators and local authorities have identified improved engagement with the sector.
Stakeholders have increased confidence in UK regulatory system	High	There was strong evidence for this outcome as many projects highlighted the greater communication and collaboration between regulators and their sectors fostering greater understanding and confidence in their regulatory role.
Improved understanding of consumer / beneficiary needs	Low	There was limited evidence for this outcome as it largely exceeded the scope of what many regulators and local authorities were seeking to achieve and as such was not identified as a project outcome by many projects.

6.3 Added value of the RPF second round funding

Section 4.1.2 highlighted that it is unlikely that these projects would have gone ahead at all without the funding from the RPF second round. Similarly, most regulators and local authorities noted that the outcomes identified from their projects would not have happened without the RPF second round funding. This was for a number of reasons, namely that:

- The flexible funding terms helped free up resource to innovate, both within regulators and local authorities and amongst their stakeholders
- The rapid turnarounds were a good match for fast-paced sectors such as technology
- The association with a government department fostered collaboration from sector stakeholders and within their own organisations.

As discussed in section 4.1.2, the financial contribution from the RPF enabled regulators and local authorities to **dedicate time and finances** to innovation work when they previously would not have been able to.

The money allows for us to be innovative and not "must do", which provides room to create freely. It is truly a game changer, and I don't say that lightly" (SRA, Project lead)

Some regulators and local authorities, especially those funded by members, are required to use their money for specific purposes. As such, most would not ordinarily be able to fund the involvement of stakeholders which can represent a barrier to collaboration. For example, the SIA is a membership organisation and could not use member funding to provide financial support to the external organisations that were instrumental in delivering their RPF project. Some regulators and local authorities used the second round RPF funding to provide direct financial support to stakeholders, ensuring they were able to make the time to participate effectively.

The **fast-paced timeframes** of the RPF second round (while presenting their own challenges for some) meant that regulators and local authorities working in developing industries were able to carry out projects that were on the cutting-edge. Some technology-based projects and regulators felt that longer-term funding would be less agile and flexible to the needs of technology innovation and might risk the project becoming redundant in the time between application and delivery.

“Without RPF I would have had to pitch for funds that would only have been able to receive or spend a couple of years later, by which time the technology would have moved on and the whole proposed project would have been redundant. The public sector needs to catch up with the speed the rest of the world moves, so the benefit of doing a project in this sprint way is huge.” (Information Commissioners Office, Project lead)

Many regulators and local authorities noted that **the funding having come from BEIS**, lent projects an authority that facilitated collaboration with stakeholders. Organisations such as DWI noted how the association with BEIS raised their profile in the sector and contributed to greater engagement. They also found that the link to BEIS also helped internally, ensuring the DWI's project was recognised with the government departments in which they are based. Similarly, the CAA noted that having the government funding helped drive engagement and ensured the project was prioritised within their organisation, for example by senior team members allocating sufficient resources to the project.

“Having the label, the funding and the backing helped to get the work prioritised and get resources to get stuff done. We were able to get people on board by saying ‘I’m doing this work for BEIS’. It brought momentum to the project” (CAA, Project lead)

“It’s gained us traction, opened up relationships and channels because we’re delivering an external partner’s funding.” (Environment Agency, Project lead)

7 Impact of the RPF Second Round

7.1 Overview of impact

The expected short- and long-term impacts from the overall RPF second round were also set out within the programme theory of change. However, the evaluation did not expect to be able to examine or capture evidence of all of these impacts, as these are likely to emerge beyond the six-month timeframe of delivery and evaluation. Nevertheless, follow-up and case study interviews with project leads and stakeholders considered whether there was any early evidence of impact, as well as identifying anticipated future impacts.

In spite of the short duration of second round projects, project leads and stakeholders were confident that some of these impacts were already showing some signs of emerging. As many of these impacts are closely related, they are discussed here in groups. A longer timeframe and further evidence-gathering would be required to delineate and separate these impacts further and to demonstrate if and how these impacts have been fully realised.

7.2 Short-term impacts

7.2.1 Sustaining the innovation focus within the regulatory sector

Impacts under this heading relate to the RPF's aim for regulators and local authorities to drive innovation in the UK by demonstrating a continued focus on innovation within their organisations, beyond the RPF funding period. The expectation is that regulators and local authorities will achieve this through making **innovation a strategic priority and objective within the organisation** and having a **dedicated team to continue innovation work**. For most regulators and local authorities, this would require the investment of time, money and personnel resource to conduct future innovation work.

There were **strong positive indications of progress** toward these impacts such that all regulators and local authorities participating in the second round recognised the value in having an ongoing organisational focus and objectives relating to innovation. Regulators reflected that innovation is necessary to enable them to continue to develop and improve as a regulator and effectively enact their role within their sector. For example, the SIA described how their project is part of a larger strategy to show how regulation can change and improve:

“Our strategy is not to change the world with a single strike, but to be a reliable, safe, that delivers what we say will do. This is an example of how we can be a better regulator.” (SIA, Project lead)

Similarly, the ICO's iAdvice project formed part of a wider organisational review of innovation. Through delivery of their second round RPF project they have identified where there are gaps in knowledge, and how they can be more streamlined and cohesive, to create a 'wholesale improvement' in their offer and in the ways in which they engage with sector innovators to make their advice and services more accessible. At the time of interview [April 2022], they were waiting for endorsement to introduce the iAdvice service and to bring on up to six additional staff members.

“[There is] genuine enthusiasm for the service from the innovation dept... it's already built into the assumptions going ahead... waiting for endorsement but it's having an impact in that the value and fact it's needed is recognised” (Information Commissioners Office, Project lead).

Whilst many organisations already recognise the strategic need to prioritise innovation, RPF provides the mechanism through which regulators and local authorities can begin to undertake the innovation work they are already keen to do. They also seemed to recognise the need for further investment of their own time and resource in future, to ensure that the momentum created by RPF is sustained. One regulator identified that ultimately, success for their project means significant changes to ways of working and culture to continue to grow this type of work within their organisation.

“It's a bit hand to mouth and stop-start, but RPF has enabled us to do something we could not otherwise do. I think there is potential for some sort of major funded piece of long-term work in this area.” (MHRA, Project lead)

“Success would be that this way of working is sustained and expanded and not as a discrete stand-alone project but as mainstream culture change that is part of the business.” (Environment Agency, Project lead)

7.2.2 Increasing wider investment in innovation

In addition to a greater organisational focus on innovation, the RPF aims to stimulate **increased future investment in innovation** from the private sector, or directly from regulators and local authorities themselves.

There were **positive signs of progress** towards this impact such that some regulators and local authorities reported that they will be dedicating their own funding from core budgets to continue their RPF second round projects. Additionally, there is already some evidence that regulators have been able to secure further funding to continue their existing project and/or new or different innovation projects from alternative funding bodies and sector stakeholders.

“We've got funding in place for the next couple of years through... a separate programme. And through the project we've been raising awareness with sponsors, and they are happy to keep funding that and more broadly because it's kick started, it will generate the internal procedures as well which will mean that it will become part of their daily business.” (CAA, Project lead)

Oxfordshire County Council reported that they had already received interest from sector businesses to be part of future projects. While this may not represent direct financial investment from business, it does demonstrate willingness to contribute time and resource to supporting innovation.

“We're seeing a lot of interest from other companies. On the back of the RPF... we got a lot of traction... because of the work we were doing on the RPF, when it was time to put in applications to other funding, we had people knocking on our door. We had a lot of traction from other companies wanting us to be part of their consortium...100% as a direct consequence of this project.” (OCC, Project lead)

7.2.3 Influencing wider regulatory practice

As well as stimulating innovation amongst those in receipt of funding, a key aim for the RPF second round is to **inspire other regulators and local authorities, and administrations to take a pro-innovation regulatory approach**, drawing on ideas, lessons and best practice from funded projects such that **other UK regulators apply lessons from RPF work** and that **other administrations are influenced to align with a regulatory approach**. Overall, there were **some positive indications of progress** towards these impacts; in particular, applying lessons and influencing other regulators to take a pro-innovation approach. However, these are impacts that are nuanced, difficult to capture and will take time to emerge. It is therefore too early to suggest that these had been achieved within the timeframe of the evaluation.

Some regulators felt that their participation in RPF (and sector engagement therein) had been recognised by stakeholders as evidence of a **positive change** in the regulator's attitude towards innovation. This was corroborated by stakeholders, for example, one expressed that the project represented a shift in the regulators attitude towards innovation, which was already being noticed and discussed by other businesses within the sector.

“The project itself is a change in the regulator's attitude to innovation but it's the only one at the moment. However, engaging in this sort of project impacts other businesses; 'Other businesses are talking about it [regulator's involvement in the project]'. (SIA, Stakeholder)

Although influences on other administrations and sector stakeholders will take time to be realised, all regulators felt that their projects could influence their sectors in different ways. For example, the SIA felt that their project can influence the sector by reducing the burden of regulation and making it easier for business to comply, such that innovation work has the potential to result in regulators and operators becoming less of a burden to each other.

“Our aim is that people can no longer say that this is too bureaucratic to comply... a regulator that is not a burden but adds value to the industry”. (SIA, Project lead)

Similarly, for the CLSB, the feedback they had received suggested that their project has the **potential to influence other, larger regulators** within the law sector. They hope that other regulators will look to their project as an example as to what can be achieved, and that this will encourage and challenge them to undertake their own innovation work and approach.

“The Legal Services Board (LSB), it's fair to say, are absolutely thrilled that we've done this, they couldn't be any happier about the bid ... that we were looking at these questions. They feel as though they are on an uphill battle with the regulators, to get legal regulators to do this kind of thing. The fact that we were doing this as the smallest [legal] regulator with no money gave them a huge amount of ammunition to point to the other regulators and say, 'we've been asking you for years to do this kind of thing and you have the money, and the smallest regulator with no money can manage it'.” (CLSB, Project lead)

7.2.4 Realising benefits to businesses and consumers

The RPF aims to support regulators to conduct work that **reduces the time and cost of introducing innovation to UK markets**, ultimately, for the wider benefit of sector businesses and consumers including end users and the public. Of all the short-term impacts, these were perhaps least evident within the evaluation timeframe. This is to be expected since most projects had a focus within and between themselves and sector stakeholders, and because

benefits to businesses and the public as consumers are likely to take longer to be implemented and realised. Nevertheless, there were **positive indications of progress** towards this impact as several projects reported that they anticipate the work undertaken as part of the RPF to lead to direct positive benefits for and impacts on business immediately after or shortly beyond the life of the RPF project. For example, DWI's creation of one-stop shop will immediately begin to provide better and quicker advice to business as it is accessed.

For others, additional work or development is required to enable businesses to access the new tools or services developed. For example, the SIA successfully developed and tested an API to allow licence validity checks to be conducted in real time. They reported that the next step is to begin a new project to make this new digital service generally available to private security businesses to use. This will lead to time, cost and efficiency savings both for the SIA by removing the requirement to manually check licences, and for businesses who need to check licences in batches.

Several regulators reported that the work they have undertaken will ultimately create benefits for end users including regulators, businesses and the public by making processes more streamlined, joined-up and efficient. For example, SEPA reflected that the centralised data tool they have created will not only benefit themselves as a regulator (by reducing the workload associated with data and freedom of information requests) but also allow businesses and communities to access multiple sources of data to inform planning and funding applications. By increasing efficiencies and making data sources publicly available, it ultimately aims to benefit the decision-making process of sector regulators, making it more strategic and holistic, and thereby reducing the time and cost of planning and executing future regeneration projects.

"[The project is about] being able to see information collectively so that those decisions in the longer term are not piecemeal, they are joined. It might be too early to see but it's not a way we've worked before... It's more about [all organisations involved] saying 'this is our bit' and how do we actually do this together. One of the things the tool can help with is in the long term we hope to turn it for the community to bring projects [and apply] for funding". (SEPA, Project lead)

Another regulator highlighted how reducing the time it takes to bring innovation to UK markets needs to be balanced with what it is possible for the regulator to allow. Through working with the sector, utilising their expertise and understanding what they can offer, it is hoped that they will achieve a better understanding of each other's position, and be able to work through challenges together. This aspiration aligns with the intended RPF impacts that **consumers (including businesses) gain a better understanding of regulatory bodies' role and function, and improved business and investor confidence in how business innovation will be regulated**. Although there is **limited evidence** for these impacts being achieved within the timeframe of the evaluation, there were **some positive indications** from regulators that the outcomes previously discussed relating to new or improved partnerships, greater collaboration, and sharing of learning to tackle innovation challenges will lead to improved understanding and confidence between regulators, businesses, innovators and investors.

"Balancing the interests and stances of the different people we work with. The industry wants to do things much quicker than the regulator can allow. We have very good reasons, they have very good reasons, but there has to be a meeting in the middle, so education of the industry as to what our reasons are for taking as long as we do and what the challenges are that we can share with them. And actually sharing those, helps us to work through them together." (CAA, Project lead)

Several projects reported that the ultimate impacts are **maintained or improved protections for consumers**, including public, consumer or patient safety, improved public health outcomes, and safer products in the UK market. It is **too early to demonstrate evidence** that this is being achieved as some of these impacts will take several years to materialise. However, regulators and local authorities believe and expect that the work they are delivering as part of the RPF will ultimately lead to tangible impacts for the public, businesses, innovation and regulation within their regulatory sectors.

“It’s ultimately going to contribute to safer products on the market... There isn’t a lot of this on the market just now, most of these products are in development stages. RPF2 has contributed to the creation of the environment where first steps have been taken into the world of these products being on the market.” (MHRA, Project lead)

“Increased reporting will be ultimate impact and that will lead to safer drone flying. If we had, had 12 months [we] could have seen some early impacts... done some policy changes and looked for increased reporting levels for example” (CAA, Project lead)

“Ultimately, the impact will be public health and patient safety and the quality of the medicinal product, that’s down the line depending how it performs in the study”. (NIBSC, Project lead)

7.3 Long-term impacts

Five long-term impacts were identified during the development of the theory of change, with a sixth added toward the end of the programme.⁷ Due to the limited timeframe of the RPF second round, long-term impacts are yet to be realised. It is too early to suggest that meaningful progress toward these impacts has been achieved at a project level. That said, most regulators and local authorities reported that, although there is more work to be done, what they have already delivered is on the right trajectory to contribute to these broader and longer-term impacts in the future. There is a large degree of overlap in how projects talk about these broader impacts, such that they consider their work will contribute to more than one of these bigger, long-term goals.

7.3.1 Drive innovation by boosting business R&D investment in the UK

Driving innovation and boosting business R&D and investment in the long term relies on a continued focus on and investment in innovation beyond the RPF. For the current RPF projects, critical to this is understanding the next steps and sustainability beyond the life of the immediate project. There is no evidence yet that any of the regulators or local authorities have secured R&D investment from business, however, both regulators and stakeholders identify this as a long-term objective.

“There was this opportunity to really develop... to look at how we could use the investment through the City Region deal and also the vision that the RPF have outlined to work out how we can both support each other. I would say SEPA’s a significant strategic partner... there’s a real desire and passion for this collaborative effort. All the partners are devoting time and money and want to see there is additional value to attract investment to fund the remainder and the evolution of the programme.” (SEPA, Stakeholder)

⁷ The impact ‘Making a difference to people and businesses everyday lives’ was added in April 2022.

For those projects that were 'proof of concept' or feasibility studies, next steps were already built into their plans. For example, the RPF second round funding enabled the SIA to build a hub for their APIs, and using the same strategy and tools employed in the current project (along with internal funding resource) they intend to build a further 25 APIs to develop the technology further.

"We don't want to build this as a one-off technology, but to be an enabler for our overall strategy. We built this so we can start creating the API management layer." (SIA, Project lead)

7.3.2 Backing long-term growth through increased competition, jobs creation & lower regulatory barriers to trade in UK market

Several regulators and stakeholders reported that through the current project, they better understood or could foresee that their innovation will help to reduce regulatory barriers, in part due to their own improved understanding of the challenges faced by their sector.

"It has helped them [the regulator] realising that the regulations can hold it back and they do have to look at things more sustainably and innovatively. Like that site wide thing. When they came to site, they realised that it's not going to work if you're segregating all the areas like that and the speed of the site and that we're focussed on investors, so we don't prepare the site unless there's real investment there." (Environment Agency, Stakeholder)

Stakeholders, regulators and local authorities also anticipate future impacts within and beyond the UK market, with the current innovations providing examples of good regulatory practice.

"We have a greater understanding of the problems and the requirements. We are a global business, so whatever happens, it's not just the UK." (CAA, Stakeholder)

"In five years' time I'm hoping that this will be a 'business as usual' type thing and the concept of it and how you do it is being adopted not just in the UK but that we take it to Europe and the rest of the world and say, 'this is how you do it'." (OCC, Project lead)

7.3.3 Making a difference to people and businesses everyday lives / Individuals with protected characteristics supported through innovation (PSED)

Making a difference to people and businesses everyday lives is an impact that is implicit to all the RPF second round projects. As noted in relation to impacts on consumers, this impact requires time to be realised, however, most projects anticipated that their work could eventually result in real benefits for individuals and businesses.

"More broadly the argument for using drones is unquestionable, particularly in the medical field and anything that facilitates that has got to be an absolute positive for society as a whole. From the end user stage there will be right from the outset very perceivable benefits." (CAA, Stakeholder)

One stakeholder reported that the potential benefits are indirect, to the sector, and with it, the economic status of related businesses. They reflected that:

"If industries have a predicting tool to better control their business, then they can organise their production and costs making their business more economically viable,

which would also impact retail, restaurants, and all seafood-related industries. In turn, if industries improve their risk assessment and management capabilities, this will benefit CEFAS, local authorities, regulators and so on.” (Cornwall Port Health Authority, Stakeholder)

7.3.4 Support levelling up & the Union through funding LAs & local projects, reducing inequalities between UK regions and place-based innovation

Projects that had a focus on a set geographical area, such as the Environment Agency's Teesworks Freeport or SEPA's Net Zero Hub for Grangemouth, emphasised the potential socio-economic impact on those regions. Others, such as CLSB gained insight into their sector that highlighted potential areas of need and support. For example, for CLSB, they identified where a large proportion of their sector resides, as well as gaining a greater understanding as to how they were impacted by the pandemic.

“We found out that we have a huge chunk of them [cost lawyers] in the North-East... we realised that because they [female costs lawyers] were the main caregivers and having to home school, they were the ones that were scaling down their hours the most during the pandemic”. (CLSB, Project lead)

One project where reducing inequalities was a key focus was the CQC's supporting innovation for GP practices. The central tenet of this project is to support GPs to evidence the innovation work that the regulator knows is already happening within the sector. By being able to better evidence their innovation is it hoped that this will lead to greater recognition of this work, amplifying the voices of people that have had poor access to health services. The aim is that this will then stimulate additional funding in those regions where there are particularly high levels of deprivation, and where stubborn health inequalities and poor health outcomes make it difficult to show the real 'on the ground' difference being made (as health outcomes data does not necessarily reflect this impact).

7.3.5 Greenhouse gas emissions reduced / progress toward net zero targets

Reducing gas emissions and making progress toward net zero targets is relevant to all regulators and local authorities in some way. However, these goals are particularly key for those regulators with an environmental focus or remit. SEPA described how their project enabled them to work with the sector to understand the challenges faced and how they can apply a regulatory perspective to see how their hub could work. They highlighted that these issues are multi-faceted and require ongoing collaboration with the sector to address.

“We've got some really good lessons learned that we can take forward into the design of the hub... when you talk about innovation and change and things that are a bit woolly like climate change and net zero...recognising that we don't know the answers and being confident about that is really key to allowing innovation... There is a big chasm between where we are and where we need to get to, [that] needs to be ok to say so and work it out together.” (SEPA, Project lead)

Similarly, a stakeholder working on the same project highlighted the potential scale of the impact:

“It will be a new way of working and will deliver on the net zero goals. It'll be a primary tool to deliver this... In its widest sense it's got quite an international focus because of the proportion of Scotland emissions in the Grangemouth area... so if we can get this right, it's certainly national level impact... then can lead to green jobs in the area and

impact on universities and education sector, health and wellbeing impacts for communities in the area, [as well as] day to day beneficiaries in regulators who have different working relationships with businesses, and of course preventing environmental degradation... So, I think it goes far beyond just improving regulation.” (SEPA, Stakeholder)

8 Lessons learned

This evaluation has been able to identify a number of important lessons from the second round of the RPF. These are clustered thematically: firstly a focus on learnings about how to deliver innovation projects from an **operational perspective**; secondly an examination of learnings around the **cultural and collaborative** aspects of project delivery. Third is a set of suggested improvements to fund **design and implementation**, and the fourth and final section considers the implications of this learning for **future innovation work**.

8.1 Operational: delivering innovation projects

Given the challenges experienced with sub-contractor procurement and onboarding processes, regulators and local authorities highlighted that rapid set up and turnaround time was critical to deliver projects within the programme timeframe. Regulators and local authorities learnt that they needed to **streamline their internal structures and processes**, such as procurement and staff recruitment, to allow them to respond with greater agility to future funding streams. Some projects learned that to attract bids quickly, the scope and scale of the tender should not be too complex.

This learning does not solely result from the six-month window of the RPF second round, as it was also noted in the first round evaluation that there were projects had underestimated the amount of time required to mobilise their project after being awarded funding. Indeed those projects that were previously involved in the first round noted that a key lesson they had carried forward to the second round was the need to set up and begin implementation quickly in order to complete project delivery within the allocated timescale. This included establishing clear and streamlined procurement processes so that the procurement phase could take place in a timely manner.

First and second round projects reflected that **working with existing partners** was helpful in enabling them to get projects up and running rapidly. This was particularly critical for the second round where a six-month timeframe allowed less time for building relationships, setting up protocols, and establishing ways of working. However, there was also recognition that it is important for ongoing innovation to expand engagement networks out to new partners and new stakeholders, to bring in new ideas and capacity over the longer-term.

Projects felt they had learnt a significant amount about **how to manage an innovation project**, including procurement and onboarding processes, reporting requirements, data protection, risk management, partnership working, and stakeholder communications. There was a suggestion that it would be helpful if these operational learnings could be collated and shared with potential bidders and at project inception award. This would support more efficient and timely delivery for future rounds.

Projects working on new challenges and products also identified value in undertaking **discovery phases, feasibility studies and scoping exercises**. These kinds of activities had surfaced valuable lessons around the barriers that needed to be overcome and outputs that would be required to most effectively progress innovation in their sector. This learning helped regulators and local authorities determine the appropriate scope of their projects, within timescales, and also how to plan and progress innovation work in their sector beyond the life of their project.

“This gave us a real opportunity to get a bit up close to the data and the problem in a new way...The new learning for me was the level of inconsistency and relatively poor quality of the risk indication early on that’s been routinely collated in projects.” (HSE, Project lead)

8.2 Cultural: collaboration and knowledge sharing to progress innovation

In addition to better understanding how to operationalise innovation, regulators and local authorities reported that their experience had generated insights into the culture of their particular sector and challenges faced in driving innovation forward.

Projects learned that it is important to explore the **values and attitudes of the sector towards innovation** through stakeholder consultation, to identify whether and how to align with those of the regulator, and to understand how innovation work has been carried out across their sector. Sectors varied in how innovative they typically were, but those that were more conservative and risk averse felt they required a significant change in mindset to challenge decades of status quo. Linked to this, regulators and local authorities in both RPF rounds reflected that there was an initial communications piece with the sector to emphasise that the role of the regulator was not incompatible with encouraging and supporting innovation. One of the key outcomes of this round has been the increased confidence in **the role of the regulator as innovator** and it would be beneficial for future projects to tackle this perception upfront.

Regulators felt that projects had taught them not only the value of reaching out to the sector and of ongoing collaboration with partners, but also that it was not as challenging to do so as they had previously supposed. There was also learning about how to get the most out of engagement, the value of **creating a safe space for open discussion** (e.g. through stakeholder workshops) and of acknowledging the many unknowns to facilitate a genuine exchange of ideas.

“It’s not as hard as you think it is, but you’ve got to be quite confident in your lack of confidence in what you’re doing. So, when you talk about innovation and change and things that are a bit woolly like climate change and net zero...recognising that we don’t know the answers and being confident about that is really key to allowing innovation.” (SEPA, Project lead)

In addition, project leaders had learnt the value of **involving a range of industries, sectors and specialisms** to collect a broad range of ideas, knowledge and input into projects. This learning had precipitated ongoing collaboration beyond the life of the project, as new partnerships brought about by the project were recognised as having value to other streams of work and broader regulatory practice.

8.3 Fund design and administration: suggested improvements

A key area of feedback from regulators and local authorities was that the **project timescale needs to be longer than six months** to allow valuable impacts to be realised. This was known and expected from the outset, and projects were scoped accordingly, but some regulators and local authorities suggested that they would need longer than six months to really be able to evidence the outcomes and impacts of their work. The first-round projects

interviewed early in this study (see [section 3](#)) were beginning to see some impacts start to be realised, approximately 16-months after their first-round funding finished.

First and second round applicants also identified some suggested improvements to the bidding process. The most pressing was **more clarity in knowing when applications would be selected**, to help project leads to appropriately prepare to start their projects. It was noted that by preparing contracts and stakeholders earlier, projects would have been more able to hit the ground running. It was suggested that adhering to a specific date when applicants would be notified of the outcome of their application (rather than a month) would help them to set up more swiftly.

Other suggestions related to the **management and monitoring of the fund** and included a secure portal to which project monitoring information and reports could be uploaded (rather than being sent to a generic email address which does not confirm receipt). Projects in receipt of multiple BEIS funding streams explained it would be helpful if their bank could denote which funding stream each deposit was from, to provide help with financial monitoring.

It was acknowledged by projects that had also been involved in the first round that the reporting requirements had since been streamlined by BRE, making them less onerous to fulfil. However, one regulator suggested that less frequent financial reporting might be more appropriate for projects of this scale.

“I know it’s only a six-month project, but every two months might have been better, because sometimes we would have a meeting just to report we were still waiting for the plastic. It does focus having that monthly meeting, but it was quite a burden having to do the report for the financing...Doing that every four weeks was a high frequency for this type of project.” (NIBSC Project Lead)

The RPF **knowledge sharing events** were considered to be useful during the course of project delivery, but some suggested that the level of difference between projects made it hard to see how lessons were transferable. Grouping or pairing projects within similar sectors or that were focusing on similar outputs could help to improve the perceived value of these activities and increase their impact. Increasing awareness and supporting greater use of the Teams channel can also be expected to facilitate knowledge exchange. The timing of opportunities to share learning is also important, with regulators and local authorities welcoming the chance to feedback learning to other projects and wider stakeholders, now that they are coming to an end.

“Now we’ve gone through our process we’ve got far more we could share, and I suspect others have as well. So further [events], now that we’ve actually done our projects would be useful.” (Environment Agency, Project lead)

8.4 Implications for future work

Findings provided clear direction on how lessons learnt from delivering RPF second round could be carried over to future work in this area. This included ways in which both BEIS/BRE and regulators could build on learnings from their experience of delivering projects.

Concerns about the project timeframes centre less on the duration of funding per se, and more on the time required to set up an innovation project - prior to implementation. To deliver a project that is innovative, by its nature, requires different or additional skills and resource to business-as-usual and these often need to be bought in. Regulators and local authorities were

strongly supportive of the idea of a **dedicated set-up phase** of 1-2 months. It would be used for procurement and contracting and setting up partnership working arrangements, before the mainstage implementation and delivery process got underway.

“Every minute change that each subcontractor wants to make to a contract has to go all the way up to head of legal and to cabinet – it’s a minefield. It needs to be part of the set-up, not part of the project. It might be six months’ worth of work, but you actually need two months of time at the start” (OCC, Project lead)

“I think this is an important learning for BEIS. When you’ve got a very short project window and the goal of this programme is really to understand emerging technologies. So quite often you’ll have regulators that are going to engage with commercial partners to help deliver a programme of work. To do that really quickly, drafting a tender document ... you have to go through quite a protracted procurement process....it doesn’t leave you much wriggle room.” (Information Commissioners Office, Project lead)

However, a shorter project timeframe makes it even more critical that there are **plans to continue and to grow the innovative work** begun with the RPF second round funding. Future funding rounds could encourage regulators, in their application, to give greater consideration of project continuation at the outset. Regulators and local authorities suggested that, if a longer project duration was not feasible, follow-on funding would be preferable to bidding for new funding, to avoid loss of momentum provide greater security for subcontractors and project staff. Similarly, if BRE was able to link successful projects to other potential sources of funding following project completion, that would also be helpful in ensuring sustainability of their initial investment.

Findings suggested that, particularly where regulators and local authorities lacked experience of delivering innovation projects, delivery teams had gone through a steep learning curve in areas such as procurement, setting up and monitoring the performance of sub-contractors, stakeholder engagement, project reporting. Moreover, some projects that had previously received the first round of RPF funding felt that experience put them in a stronger position to deliver their second-round project. Future guidance should include **learning from previous rounds** and be made available at the bidding and design phases, to help projects scope their work appropriately, to plan for a rapid start and to manage their projects smoothly through implementation. As well as written guidance, opportunities to hear from previous projects at networking and knowledge exchange events would be valuable both for prospective bidders and to disseminate learning amongst the wider regulatory sector.

Finally, as the RPF continues it would be sensible for BEIS/BRE to consider how best to **demonstrate the cumulative and longer-term impact** of the programme. Some first-round projects found it easier to demonstrate outcomes and impact than others; this was often due to differences in intended outcomes. For example, publications and further funding are more easily measured than improved efficiencies. Future rounds could encourage applicants to specify how they intend to measure their outcomes and impact in the long-term.

Appendix 1 – detailed project descriptions

Care Quality Commission (CQC): *Supporting innovation by GPs to reduce health inequalities in areas of deprivation. through better regulatory recognition and sharing of best practice. RPF grant provided: £169,244*

The COVID-19 pandemic has had a huge effect on health and social care and has contributed to significant changes in how care is delivered.

This project will focus on GP practices who have responded to the challenges of health inequalities in innovative ways but may face difficulties in evidencing the impact of this innovative work. The project aims to identify the innovative ways these practices have responded to a range of factors affecting the health of their population to narrow health inequalities.

The CQC intend to use this learning to inform how we can support providers to drive and evidence innovation.

Civil Aviation Authority (CAA): *Crash protected containers to carry dangerous goods in drones. RPF grant provided: £55,000*

Recent trials using drones to deliver in time-critical conditions demonstrate the feasibility of drone logistics, and the value they bring to local communities. But they are limited to carrying items that are neither hazardous nor subject to leakage should the drone crash. New regulations require certain 'dangerous goods' to be carried in a crash protected container, but there is not yet any guidance or standards to describe how such a container must perform.

The Civil Aviation Authority (CAA), working with the Vehicle Certification Agency (VCA) and the Medical and Healthcare Products Regulatory Agency (MHRA), will look to establish guidance and standards to describe how a crash protected container must perform. An approved crash protected container could then be adopted by drone operators across the country and may create a market for containers with varying specifications suited to different roles. The dangerous goods carried could include blood samples and vaccines, but also consumer products such as batteries and cosmetics.

The UK could be the first country in the world to introduce such a regime, setting a global standard and providing opportunities for export and investment allowing container manufacturers to receive VCA approval for their products.

Civil Aviation Authority (CAA): *Enhanced safety reporting service to enable field-based submissions. RPF grant provided: £198,000*

This project is a discovery and proof-of-concept trial to create a service solution that initially allows remotely piloted aircraft system (RPAS) (for example, drones) owners, flyers, and the general public, to report safety concerns quickly, easily and conveniently to the relevant authorities, for investigation.

The project will also investigate options to extend the service to other forms of safety reporting including how to facilitate the general public's ability to report any incidents or concerns regarding RPAS flyers, such as a low-flying drone near a children's playground, a drone flying

over private property, etc., so that the relevant authorities, including law enforcement agencies, can investigate and take appropriate action.

Cornwall Council (CC): Harmful algal blooms – Artificial intelligence. RPF grant provided: £198,444

Harmful Algal Blooms (HABs) can produce toxins, which accumulate in filter-feeding shellfish and intoxicate human consumers. The toxins are heat stable and so can't be destroyed by freezing and/or cooking. If the regulatory threshold is breached a full-scale food chain product recall might occur.

By gathering high resolution field monitoring data using novel qPCR and lateral-flow (LF) techniques, Cornwall Council plan to refine and validate a computer model for predicting HABs caused by Dinophysis species. This model currently predicts HAB toxin concentrations in shellfish (versus regulatory action levels) with ~87% accuracy. The Council hope this project would allow them to accurately forecast with ~95% accuracy, helping to reduce recalls and protect human health.

Costs Lawyer Standards Board (CLSB): How could costs lawyers reduce the costs of legal services? RPF grant provided: £58,000

Costs Lawyers are specialist lawyers that deal with all aspects of legal costs. In addition to being skilled lawyers, they are skilled at financial analysis. Today, they often work in situations where costs are recovered between parties in litigation.

The Costs Lawyer Standards Board intends to carry out research based on the types of services that lawyers specialising in costs are providing or might provide in the future. The services of interest are those that help businesses and consumers. The research would explore whether, if regulation or legislation were different, Costs Lawyers could bring about downward pressure on the cost of legal services.

Drinking Water Inspectorate (DWI): Innovation one stop shop. RPF grant provided: £170,000

The water sewage industry in England must comply with a complex array of guidance and legislation that can make it difficult for new businesses and innovators to enter the market.

This project will bring three regulators together to provide a collaborative service, a one stop shop, to make it easier for business and innovators to obtain informal regulatory advice and help them navigate regulations and perceived barriers.

Environment Agency (EA): Teesworks greener freeport – Environmental permitting hub. RPF grant provided: £175,759.90

Tees Valley hosts the Teesworks site and the largest UK Freeport.

The project will bring together Defra environmental regulators to work in partnership with regulated operators and developers in the Tees Valley to co-design systems that support the sustainable economic growth in the new Tees Valley Freeport.

The project will review and test ways of working within and between Defra regulators to improve the pace, certainty, alignment, efficiencies and value for money of environmental permitting in the new Freeport policy environment.

Environment Agency (EA): Standardising environmental metrics for food businesses. RPF grant provided: £195,099

One big challenge for food businesses to mitigate climate change is how to communicate environmental performance that goes beyond legal compliance effectively and efficiently. Different food businesses have developed and adopted various environmental metrics and it can be time-consuming for food businesses to collect data from different supplier systems.

This project seeks to address this challenge by standardising environmental metrics for food businesses that go beyond legal compliance. It aims to provide an effective and efficient solution to enable the automation of environmental performance data transfer across different food businesses.

Greater London Authority (GLA): Leveraging the UK's regulatory systems to unlock benefits of collaborative street works. RPF grant provided: £200,000

The Greater London Authority (GLA) project will explore the case for collaborative street works projects and make recommendations for wider regulatory changes to support this way of working across all the UK's utility companies.

The focus of the research will include the potential design of a common street works collaboration incentive, and how such an incentive should apply in both cities and regional areas.

The project will actively design a methodology to consider more broadly and consistently the benefits associated with carrying out works in the street collaboratively and make recommendations around how disruption-reduction benefits can be incorporated into decision making frameworks for investment.

Health and Safety Executive (HSE): Sharing data, saving lives – Data sharing for safer design in construction. RPF grant provided: £198,831

Health and safety incidents in the construction industry are often associated with an underlying set of risks. However, there is limited publicly available information. This can cause difficulty in analysing the root-cause of incidents as well as limit the development of targeted insights to reduce harm, boost productivity and save costs.

The Health and Safety Executive in partnership with Atkins, Open Data Institute (ODI) and Metis Digital aim to develop specific proposals to increase the sharing of health and safety risk data in the construction sector.

The project will deliver a demonstrator to test and develop proposals for data sharing. This open-learning framework will support how regulators and industry can collaborate better, enabling industry to meet regulatory requirements including the Construction (Design Management) Regulations 2015 (CDM) on design risk management.

Information Commissioners Office (ICO): iAdvice. RPF grant provided: £187,140

Innovative businesses are twice as likely as others to seek regulatory information and advice. Where businesses face regulatory uncertainty, they are less likely to be able to persuade investors or consumers of the merits of their innovation – and less likely to introduce their ideas.

The Information Commissioners Office (ICO) will undertake a 'proof of concept' study with a view to establishing a direct advice service to innovators on the data protection implications of

their novel propositions. This service would complement the in-depth experimentation environment offered by the ICO's Sandbox and the sector outreach offered by the ICO's Innovation Hub.

The project will deliver a report to the ICO on whether and how to introduce such a direct advice service to innovators. With over 1 million organisations regulated by the ICO, success will be measured not simply by the number and nature of innovators that the service can directly advise, but the impact it is able to achieve at a market level.

Information Commissioners Office (ICO): Privacy-enhancing technologies (PETs) for public good. RPF grant provided: £187,140

Privacy-enhancing technologies (PETs) help to protect and preserve the privacy of personal data held by businesses and other institutions, while enabling safe, legal and economically valuable data sharing under the UK General Data Protection Regulation. Despite the significant benefits, the development and adoption of PETs is slow – with businesses citing that they lack regulatory clarity about how and when such approaches can be used.

To help kickstart this market, the Information Commissioner's Office (ICO) will host a series of public-facing tech sprints bringing together PETs developers, ICO staff and businesses in an identified sector to jointly solve real-world data-sharing challenges that could be addressed using PETs. The project aims to provide confidence to businesses and inform the development of new ICO guidance in this area.

Medicines and Healthcare Regulatory Agency (MHRA): Developing metrics that could signal significant changes in adaptive learning AI algorithms. RPF grant provided: £194,568

Adaptive AI algorithms change as they learn. This presents a challenge for regulators all over the world. To protect patient safety where medical devices use machine learning or adaptive AI algorithms, it will be necessary to understand if the logic of an algorithm has changed significantly since it was authorised. If it has, both manufacturers and regulators need to know whether it remains safe and fit for purpose and what to do about it.

This project will research a methodology for determining if there has been a significant change in the way that an adaptive AI algorithm medical device is working and how the change should be regulated. This project will research a methodology for determining if there has been a significant change in the way that an adaptive AI algorithm medical device is working and how the change should be regulated.

National Institute for Biological Standards and Control (NIBSC): Physical standards for adeno-associated virus gene therapy. RPF grant provided: £200,000

Gene therapy is an exciting technology that promises new innovative medicines to prevent or treat diseases including inheritable and those associated with old age. The success of these new medicines to transform the lives of the patients relies on disabled viruses, called vectors, to deliver the new DNA into patient cells to correct the missing or damaged gene. Making sure that each batch of medicine will be safe and work as intended requires careful measurement of the amount and efficiency of the medicine.

This project, which is a collaboration of the Cell and Gene Therapy Catapult (CGTC) and the National Institute of Biological Standards and Control (NIBSC), will involve preparing an initial reference batch of a gene therapy vector based on the Adeno-associated virus (AAV) virus. This batch will be produced at the CGTC and transferred to NIBSC for filling into 100's of vials,

each one containing an identical amount of product. Vials of this material will be sent globally to different developers, large scale manufacturers and clinical trials scientists handling AAV based medicines. Using each vial of material as a “yardstick”, the NIBSC and CGTC will then be able to compare the measurements made of the same material in each site. This information will then be used to harmonise measurements of AAV vectors to ensure gene therapies based on this technology are safe to use and deliver the promise of improving health for many people in the UK and beyond.

Oxfordshire County Council (OCC): AirTek. RPF grant provided: £169,500

Due to the emergence of multiple innovative technologies, primarily in the unmanned aerial vehicle (UAV) sector, there is a need for local authorities to engage with new developments in order to remain competitive and enable industry growth, while also not compromising safety. A common issue amongst projects dealing with UAV's is uncertainty around how to engage with other stakeholders and the number of underlying variables present when scoping a potential project.

AirTek will establish a framework to understand the requirements and progress of unmanned aerial vehicle services and trials. The project seeks to help reduce discretion and monitoring costs to de-risk new trials. AirTek's goal is to understand what needs there will be for ground-level infrastructure and urban planning to implement the framework. The project will focus primarily on legal compliance, aiming to reduce the risk and reduce barriers in deploying new innovative technologies rapidly for the public good.

Oxfordshire County Council (OCC): MODDEST - Minimum operational design domain environment specification tool. RPF grant provided: £198,943.20

In collaboration with Warwick Manufacturing Group, Met Office, Ordnance Survey and the National Physical Laboratory, Oxfordshire County Council aim to combine independent, trusted data sources and create an area categorisation according to the British Standards Institute Publicly Accessible Standard 1883 (PAS:1883).

Through MODDEST (Minimum Operational Design Domain Environment Specification Tool), the various stakeholders of a connected autonomous vehicle (CAV) trial will have a single independent point of reference regarding the operating conditions in a standardised manner (including land layout, weather and road users). This could reduce uncertainty on whether the vehicle should be able to operate autonomously (important to local authorities for traffic management, public transport providers and insurance companies) and provide independent validation to what the vehicles are self-reporting. It could also reduce the need for on-vehicle or roadside infrastructure sensors. For highways authorities, MODDEST could highlight when a change in the conditions will influence the performance of vehicles in the network.

Scottish Environment Protection Agency (SEPA): Industrial Net Zero Regulatory Hub. RPF grant provided: £200,000

This project will set out a framework for the creation of a regulatory hub that will support the transition to an inclusive and resilient net zero economy, providing a safe space for addressing the challenge collaboratively and innovatively.

Focusing on the Grangemouth industrial cluster, the project will bring together other regulators, public sector organisations, businesses and communities to understand the existing environment, understand what a future resilient Grangemouth could look like and set out a framework for creating a space for innovation, solving compliance problems quickly, exploring opportunities to go beyond compliance and driving transformational change.

Scottish Environment Protection Agency (SEPA): Regeneration for Growth – Data innovation for collaborative regulation. RPF grant provided: £200,000

Regeneration often brings complex challenges that cut across different stakeholders, different regulations, different community needs. To be truly effective in addressing these issues, a collaborative and well-informed response is needed.

This project will create a Knowledge Hub, focused on the Leven Catchment area that enables a collaborative cross sector response; providing a “one stop shop” to data, information and evidence from which informed ‘collective’ decisions can be based and enabling strategically planned projects that ensure inclusive growth and environmental regeneration. This project will connect key data sets that support activities across regulatory boundaries, providing multi-agency advice and enabling comprehensive understanding of decision impacts, investment/funding opportunities and catchment wide benefits.

Security Industry Authority (SIA): Simplifying regulatory compliance in the private security industry. RPF grant provided: £192,000

The Security Industry Authority (SIA) is the organisation responsible for regulating the private security industry in the UK.

Companies providing staffed guarding services under contract have a legal duty to ensure that the people they deploy are correctly licensed. Compliance with the SIA’s regulatory regime is high, but there have been instances of people working with a counterfeit licence, someone else’s genuine licence or their own suspended or revoked licence. The SIA publishes a public register of licence holders that anyone can use to check a licence. This project will enable the SIA to simplify this check and add an additional control to strengthen the integrity of the licence.

Solicitors Regulation Authority (SRA): Using Lawtech to address regional inequalities in access to justice. RPF grant provided: £167,856

Technology and innovation that helps to deliver legal services in new ways can boost access to justice, including for disadvantaged communities. However, those who want to deliver legal help through technology can face major barriers.

The Solicitors Regulation Authority’s (SRA’s) project aims to create a new network where regulators, expert research institutions and local government can work together to help overcome some of the barriers associated with accessing expert legal help. It will do this by demonstrating the feasibility of new legal technology tools focused on issues where there is significant access to justice problems in local communities.

Working with partners at Swansea and West of England Universities, the Information Commissioner’s Office, the West of England Combined Authority, and legal advice centre University House, the SRA seeks to demonstrate the feasibility of new technologies that can bridge the access to justice gap.

West Sussex Fire and Rescue Service: Fire Safety Awareness Tool. RPF grant provided: £195,840

The West Sussex Fire and Rescue Service, in partnership with National Fire Chief’s Council, West Sussex Fire & Rescue Service, University of Northampton, and Eyecademy Ltd, will build an innovative web-based tool that will improve users understanding of fire safety.

Using new technology, the project intends to propel a cultural shift in the way businesses seek, and are provided with, fire safety advice.

The tool will be hosted on the NFCCs web site and will be accessible to all businesses free of charge.

Appendix 2 – Research materials

Stakeholder Scoping Interview – Discussion Guide

Scoping Interviews objectives

- To better understand the policy and context, explore individual priorities for RPF2 and gain direct feedback on programme objectives and expectations from programme stakeholders
- Explore any perceived differences with RPF1 and reasons for these.
- Understand process and progress so far, including effectiveness/efficiency of the competition process, what has worked well/not so well.
- Review the programme logic model in relation to the aims, processes, assumptions and outcomes/impacts for BEIS to inform TOC review and workshop.

Note to Moderators: Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed

Introduction (2 minutes)

- Thanks & introduction: Introduce yourself and Kantar Public – independent research agency
- Reason for participation: Their perspective on the objectives, aims and priorities for the fund as well as views on the TOC to inform development of evaluation framework
- How their info will be used: Their views and experiences will be looked at together with views of others taking part in interviews.
- Ethical considerations: Anonymity, confidentiality, voluntary participation
- Duration: up to 45 minutes (or whatever time they can give)
- Reassurances: No right or wrong answers – we are simply asking for people's views and opinions; comfort – let me know if you'd like a break at any time
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Background (5 minutes)

- Participant introduction
 - Role and remit in BEIS and in relation to RPF2
 - Length of time in role
 - Involvement in process and decisions regarding the fund and competition process
 - Planned involvement in fund going forward

Programme Objectives (10 minutes)

- Views on what RPF2 is trying to achieve
 - What are the aims and objectives of the fund?
 - Short, medium, and long-term objectives?
 - Their personal interest / priorities for the fund

- Differences and learning from RPF1
 - What are the differences between RPF1 and RPF2
 - Reasons behind any differences
 - Length of delivery
 - Amount of funding
 - Objectives/ intended outcomes for RPF2
 - If worked on RPF1 – what insight or reflections have already informed RPF2
 - What learning can we take from RPF1 into RPF2 evaluation?
 - Monitoring data collection / analysis
 - Delivery
 - Progress towards outcomes and objectives

Competition Process (5-10 minutes)

- Process of fund so far
 - What has been the process so far?
 - Team and roles of those contributing to competition process
 - Level of interest in fund, particularly from RPF1 funded projects and Local Authorities
 - Aim of and view on the inclusion of Local Authorities as well as regulators
 - Competition process, what has worked well/less well
 - How effective/efficient was the competition process
 - Feedback or insights from successful/unsuccessful applicants
 - Feedback or insights from regulators/LAs who did not apply

Expectations for evaluation (5 mins)

- Expectations of the evaluation – particular areas of interest for the evaluation to capture
- Final thoughts
- Thanks and close

Project baseline interviews – Discussion Guide

Baseline Interviews objectives

- Explore and understand the project's aims, objectives, activities and intended outputs and outcomes.
- Explore the process of engaging with the Fund and of project delivery, including experiences of the competition, delivering and managing activities, supplying monitoring information and taking part in evaluation activities.
- Understand the regulatory / organisational context for the project, including legal, political, economic, cultural, and strategic environment
- Understand the strategic case for the project and process of initiating bid, including the role of different internal actors
- Discuss the process for developing and resourcing applications, challenges or facilitators, views on support from BEIS, any impacts on wider regulatory innovation activity
- Understand their experience of the appraisal and selection process and communications, including clarity and transparency of criteria, timescales and process
- Expectations for delivery, what success looks like, planned outcomes/impacts

Terminology

- BEIS – Department for Business, Energy and Industrial Strategy
- BRE – Better Regulation Executive
- Competition process – bid or application process to the fund

Note to Moderators: Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed

Introduction (2 minutes)

- Thanks & introduction: Introduce yourself and Kantar Public – independent research agency, on behalf of the Department for Business, Energy and Industrial Strategy.
- Reason for participation: To understand their project and its context, planned activity/delivery and outcomes, and experiences and views of engaging with the fund so far including the application/selection process.
- BEIS Introductory conversations: The RPF team within BEIS are also conducting introductory conversations to get to know projects. While there may be some overlap, the purpose of the conversation is different, and we will not have any information from their conversations with BEIS – so please tell us all they can
- How their info will be used: Their views and experiences will be looked at together with views of other projects taking part in interviews.
- Ethical considerations: Anonymity, confidentiality, voluntary participation
- Duration: up to 60 minutes
- Reassurances: No right or wrong answers – we are simply asking for people's views and opinions; comfort – let me know if you'd like a break at any time
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Background (5 minutes)

- Participant introduction
- Organisation and its regulatory area/environment
 - Role and length of time in role
- Involvement in application to the Regulators' Pioneer Fund round 2
 - Whether involved in RPF1 and how
- Organisations' experience of innovation project
- Brief description of funded project (will be explored in more depth later)

The competition process (10-15 minutes)

- Motivations and expectations
 - Why organisation applied
 - What factors motivated this
 - Why haven't been able to do project already / dependence on additional funding
 - How they heard about the fund
 - Who was involved in the decision to bid

- Roles of those involved in competition process
- Hopes for what will be achieved
- Expectations of the competition process

- Experience of the process
 - Describe experience of the competition process
 - Parties involved internally
 - Resource/time required to put the application together
 - Explore/quantify input
 - Senior buy-in / support
 - Any impact on other/wider regulatory innovation activity within organisation
- Any challenges or difficulties in putting application together
- Enablers - anything particularly useful/helpful
- Feedback on application form (clarity, ease of use, application guidance)
- Feedback on timeframes – sufficient/insufficient
- Assessment (was it clear how applications would be assessed, experience and views of assessment process)
- Any feedback received as part of assessment
 - Whether helpful/useful
 - Means of communicating feedback
 - Areas for improvement
- Communication
 - Clarity about the purpose of fund
 - Clarity about the eligibility criteria
 - General clarity
 - Timeliness
 - Mode
 - Responsiveness of communications during application process
 - Areas for improvement

- Support with application
 - Support received from BEIS/BRE during competition process
 - Participation in roundtables/meetings
 - One-to-one telephone or email support from BRE
 - Explore responsiveness, helpfulness
 - Any external support/guidance from elsewhere
 - Explore sources/type of support, reasons for seeking support, usefulness of this support
 - Any support needs not met
 - Whether had adequate information to complete application

- Overall views of process
 - Improvement suggestions for BEIS/BRE re the competition process
 - If able to comment, how did this process compare with RPF1 and/or other similar funding application processes they've been involved in?
 - Similarities
 - Differences
 - Anything unique?
 - Would they recommend to a peer? Why/why not?

The project (30 minutes)

Project activities, outputs and outcomes

Interviewer note: for this section please refer to the outcomes mapping document and/or the projects' application form and the programme Theory of Change (TOC). When referring to outputs and outcomes will need to be clear about what we mean – as well as project bid, look at outcomes mapping doc and monitoring form with TOC and indicators to get a sense for this programme.

Outputs are tangible deliverables such as a report, toolkit, guidance, product, data etc

Outcomes are the desired result or the effect of the outputs. Given the short time frame here, potential outcomes are only likely to be seen near the end of and beyond the life of the project.

- Summary
 - What are the main objectives or goal(s) of the project?
 - What impacts are hoped for as a result of this project?
- In the immediate/short term
- In the longer term
- What will success look like at the end of the fund? Longer-term?
- How will this be achieved? (Key activities)
- What outputs will activities lead to (direct short-term results – what and how many things will happen as a result of the key activities)
- What are the intended outcomes from these activities and outputs?
- How does each outcome contribute to the project's overall goal(s)?
- Any changes to intended activities, outputs or outcomes since submitting the application, if so, what? and why?

Theory of Change

Interviewer note: The theory of change is included in the monitoring form which has already been shared with projects, ask if they can open it and/or if online interview, you can share your screen with them to show it.

- In turn, talk through activities, outputs and outcomes. For each, consider:
- Which identify with / are relevant to project
- Which will be reporting against
- How intend to measure
- Any missing

Delivery

- Progress on project so far
- Enablers and any challenges or difficulties emerging in early set-up and/or delivery
- Are collaboration with other organisations/partners to deliver the project
 - Types of stakeholders
 - How engaged
- Any anticipated difficulties or delays
 - Reasons
- Any anticipated future challenges

Monitoring and evaluation (5 minutes)

- Expectations for monitoring during the project
 - Views on the monthly monitoring form
 - [If involved in RPF1] – what worked/didn't work well in RPF1
- How do you plan to monitor and track progress internally?
 - Person responsible for completing monthly monitoring report
- Any anticipated challenges or difficulties
- Information or support is needed from BRE/Kantar
- Any planned internal evaluation activity
- Any evaluation partners (e.g. an academic partner)?

Final thoughts (2 minutes)

- Any other thoughts, comments or questions
- Thanks and close

RPF round 1 follow-up interviews – Discussion Guide

Interview objectives

The Regulators' Pioneer Fund (RPF) evaluations seeks to assess the extent to which RPF grants have enabled regulators to become more innovation-enabling, and the extent to which this has had an impact on business innovation and culture in the sectors participating regulators operate in.

These interviews follow up with five regulators funded during RPF1 and seek to update understanding of regulators' experience of the RPF including:

- Expected and unexpected challenges they encountered since their project funding ceased;
- Longer term impacts emerging since the end of their funding, including any unintended impacts;
- Additional lessons learned about enabling innovation in their sector, engaging with businesses, regulators and other stakeholders;
- Any outcomes and impact of projects on innovation in their sector
- Perceptions of RPF support and any impact the Fund had on their ability to enable innovation in their sector;
- Ways the RPF could be improved for the future.

Using this guide

This guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used as appropriate.

As the guide applies to different stakeholders' interviews, it will be adapted to different roles within the project team. Times will also be used flexibly based on interviewees involvement in the project.

Introduction (3 mins)

- Thanks & introduction: Researcher to re-introduce themselves & Kantar (Public Division), an independent research company, on behalf of the Department for Business, Energy and Industrial Strategy.
- Reason for participation: Remind them of the purpose of RPF programme evaluation: aim of the discussion is to update us on what has been happening since their project funding ended, any challenges they've encountered and any lessons they've learned about innovating in their sector and work with the RPF.
- Ethical considerations: Anonymity, Voluntary participation
- Duration: up to 60 minutes (or whatever time they can give)
- Encourage openness – we are not assessing them, we're interested in hearing about achievements as well as challenges, as the information given will be used to further understand the value of the RPF and how to improve the programme going forward. We understand the projects are innovative and have long term goals, so there is no expectation that they will have gone perfectly or that work has continued since the end of RPF1.
- Reassurances: No right or wrong answers – we are simply asking for people's views and opinions; comfort – let me know if you'd like a break at any time
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Background and revisiting the RPF1 project (5 mins)

Researcher to review any information we have about project prior to interview (e.g., project plan, case studies). NOTE: check whether organisation is funded in round 2.

- Participant introduction
 - Organisation and role
 - Role in RPF1
- [If organisation is funded for round 2] Role in new round 2
- About RPF1 project
 - Main aims/objectives
 - Intended outputs, outcomes and impacts

Delivery since the end of the RPF1 project (15 mins)

Researcher note: present this to regulators as an opportunity to let Kantar and BEIS know about their achievements since the end of the project, what they gained from the programme in the long-term and ways it could be improved.

Activity since end of RPF1

- Project continued / new project(s) / no further work / team disbanded
 - [If continued activity] What has happened
 - [If project ended and no further work] Reasons for discontinuing
- Continuity in key activities from the original project
- Any further monitoring or evaluation activity to understand longer term impacts
- Any additional funding required/received to continue work, source(s)
- Progress since RPF1 compared with expectations or plans

- Reasons for any differences
- How achievements to date compare to plans
- Impact of Coronavirus disruption on organisation or work
- Any other challenges / setbacks
- Understanding of the problem they were trying to address in RPF1
 - Changes in understanding of issue/problem identified
 - New issues / questions
 - Further/ongoing innovation or change needed to address the problem/question

Engagement

- Internal engagement
 - Extent and purpose of internal engagement activity since end of RPF1
- Stakeholder/external engagement
 - Extent of engagement with stakeholders since end of RPF1
 - Who engaged and why
PROBE: Businesses in the sector, innovators, other regulators, public bodies, government
 - Any work with stakeholders on 'cross-cutting' or shared issues
 - Challenges in engaging stakeholders and how overcome
- Contribution of internal and/or external engagement to outcomes/impacts of project
PROBE: adopting or enabling change, sharing information or practice, feeding back on impacts for them, solving issues etc.

Impacts and benefits of their project (15 mins)

Impact of project in relation to project-level and RPF1 objectives

- Key outcomes/impacts
- Innovation(s) resulting from their project
- Supported further innovation within organisation and/or sector and how
- How impact is measured/assessed
- Evidence of positive impacts achieved

RPF GOALS

- enabling business growth
- boosting value for consumers
- projecting a pro-innovation image internationally
- fostering a pro-innovation business culture

Impact on stakeholders and/or beneficiaries

- Who has benefitted from project and how
 - How measured / evidenced
- Expected / unexpected impacts
- Feedback from beneficiaries
- Feedback from the sector / other stakeholders
- [If no feedback]: any plans to capture/evidence impact

Impact on organisation / wider regulatory activity (i.e. any spill over effects)

- Who has benefitted from project and how
- Changes in organisation's understanding of innovation work
- Changes in how they work because of RPF1 project
PROBE: delivering more innovation, change in ways of working, adopting innovative internal approaches, applying lessons from other regulators, attitudes/culture
- Permanent/sustained change
- How measured / evidenced
- Expected / unexpected impacts

- Feedback from within organisation
 - [If no feedback]: any plans to capture/evidence impact

Future impact

- Further change/work required to improve or embed impacts
- Any outcomes/impacts still hoping to achieve
- Plans for continuing innovation work
- Enablers/drivers of success/impact
- Challenges/barriers to success/impact

Learning and dissemination (5 mins)

- Lessons learned about trying to enable innovation in their sector
PROBE: engaging internally, adopting new working techniques, supporting licencing/delivering of innovative products/services
- Most important learnings
- Would they do anything differently
- Any new or ongoing barriers to enabling innovation in their sector

Dissemination of learning

- How have they been capturing their learnings
- How can other regulators, government, or others internationally benefit from this learning
- What learning have they disseminated to those audiences, who with and how
- Plans to disseminate learnings further

Overall views on participation in the RPF (5 mins)

- Value/benefit to their organisation of participating in RPF
 - Probe for answers beyond financial contribution
- Would these have been realised if RPF funding/support had not been available
- Support received from BRE – helpful/unhelpful
- Would they apply again. Why/why not
- Areas for improvement – e.g. design, delivery, communications

Final thoughts (2 minutes)

- Any other thoughts, comments or questions

Unselected Applicant interviews – Discussion Guide

Unselected Applicant Interviews objectives

- Discuss the process for developing and resourcing applications, barriers / enablers, views on support from BEIS, any impacts on wider regulatory innovation activity
- Understand the strategic case for the project and process of initiating bid, including the role of different internal actors

- Understand their experience of the appraisal and selection process and communications, including clarity and transparency of criteria, timescales and process
- Understand perceptions of why applications were not selected
- Understand whether unselected projects have been able to continue without RPF funding and the impact the absence of funding has had on the anticipated short and long term results

Terminology

- BEIS – Department for Business, Energy and Industrial Strategy
- BRE – Better Regulation Executive
- Competition process – bid or application process to the fund

Note to Moderators: Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed

Introduction (2 minutes)

- Thanks & introduction: Introduce yourself and Kantar Public – independent research agency, on behalf of the Department for Business, Energy and Industrial Strategy.
- Reason for participation: To understand their planned project, its context and whether it has been able to move forward without the RPF2 funding, experiences of developing bids and perceptions of the application process
- How their info will be used: Their views and experiences will be looked at together with views of other projects taking part in interviews.
- Ethical considerations: Anonymity, confidentiality, voluntary participation
- Duration: up to 30 minutes
- Reassurances: No right or wrong answers – we are simply asking for people's views and opinions; comfort – let me know if you'd like a break at any time
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Background (5 minutes)

- Participant introduction
- Organisation and its regulatory area/environment
- Role and length of time in role
- Involvement in application to the Regulators' Pioneer Fund round 2
- Whether involved in RPF1 and how
- Organisation's experience of innovation projects
- Experience of bidding for funding

Overview of intended project (10 minutes)

- Project overview
- What were the main objectives or goal(s) of the project
- How would this have been achieved? What would the key activities that you would have carried out have been

- What short-term results (i.e. within 6 months) would these activities have led to
- What long-term results (i.e. after 6 months of project activities) would these activities have led to
- Has the project been able to continue without RPF2 funding
 - If yes: Where has the funding come from, internally or a different bid
 - If different bid: How did the process of applying to other funding compare with the RPF2 application, why do you think this bid was successful compared to RPF2
 - If yes: How, if at all, is the project different from the one included in the RPF2 funding application?
- Have objectives been changed due to the absence of RPF funding
- Are anticipated short- and long-term results different due to the absence of RPF funding
- Has anything else around the project changed since applying to the RPF in the absence of the funding?
Probe on: budget, timescales, scope, stakeholders involved
 - If no: Why has the project not been carried out – any additional factors to lack of funding?
Probe on: lack of internal buy-in, lack of resources, needed BEIS support to complete project
- Is funding for the project still being sought? If so, through what channels?
- Perceptions of innovation in organisation without RPF funding – are projects that are pushing innovations still being run / funding sought or bid for?

The competition process (15 minutes)

Motivations and expectations

- Why organisation applied
- What factors motivated this
- How they heard about the fund
- Who was involved in the decision to bid
- Roles of those involved in competition process

Experience of the process

- Describe experience of the competition process, positive/negative?
- Resource/time required to put the application together
 - Explore/quantify input
 - Parties involved internally
 - Senior buy-in / support
- Any impact on other/wider regulatory innovation activity within organisation
- Impact on organisation / individual of expending time on unselected application
- Any challenges or difficulties in putting application together
- Enablers - anything particularly useful/helpful
- Feedback on application form (clarity, ease of use, application guidance)
- Feedback on timeframes – sufficient/insufficient
- Assessment (was it clear how applications would be assessed, experience and views of assessment process)
- Any feedback received as part of assessment
 - Whether helpful/useful
 - Means of communicating feedback
 - Areas where the application feedback process could improve
- Communication
 - Clarity about the purpose of fund

- Clarity about the eligibility criteria
- General clarity
- Timeliness
- Responsiveness of communications during application process
- Areas where communication during the application process could improve

Support with application

- Support received from BEIS/BRE during competition process
 - Participation in roundtables/meetings
 - One-to-one telephone or email support from BRE
 - Explore responsiveness, helpfulness
- Any external support/guidance from elsewhere
 - Explore sources/type of support, reasons for seeking support, usefulness of this support
- Any support needs not met
- Whether had adequate information to complete application

Reasons for application failure

- How were told of application non-selection, information provided as to why were unselected
- Any specific feedback on application after being notified of failure to win funding
 - Clarity/ usefulness of feedback
- Any additional perceptions as to why application was not selected
- Whether would apply to a future RPF round
- Whether feedback from this round would be used for future application

Overall views of process

- Suggestions for improving the competition process
- If able to comment, how did this process compare with RPF1 and/or other similar funding application processes they've been involved in?
 - Similarities
 - Differences
- Would they recommend to a peer? Why/why not?
- Would they bid again if there was a future round? Why/why not?

Final thoughts (2 minutes)

- Any other thoughts, comments or questions
- Thanks and close

Project lead follow-up interviews – Discussion Guide

Follow-up Interviews objectives

The Regulators' Pioneer Fund (RPF) evaluation seeks to assess the extent to which RPF grants have enabled regulators to become more innovation-enabling, whether the Fund has improved engagement, collaboration and partnership; stimulated and allowed new innovations; led to trials for new processes, products or services; and the extent to which this has had an impact on business innovation and culture in the sectors that participating regulators operate in.

These interviews follow up with project leads interviewed at the start of the fund and aim to understand regulators' experience of the RPF including:

- Their experience of delivering and managing implementation, including resourcing, team building, finance, administration, stakeholder and project management
- Any facilitators or barriers to delivery, expected and unexpected challenges
- Their experience of providing monitoring data to BRE and the ease or difficulty of collecting and sharing indicators
- Outputs and outcomes delivered, and how these match original project plans
- Impact of projects on innovation in their sector and views on future potential
- How overall experiences compared to expectations, drivers of any differences
- Learnings for future delivery of innovative regulation projects within organisation, any spillovers or carry-ons from activity; plans for future of their project/innovation activity
- Learnings about enabling innovation in their sector, engaging with businesses, regulators and other stakeholders.
- Perceptions of RPF support and any impact the Fund had on their ability to enable innovation in their sector.
- Ways the RPF could be improved for the future.

Terminology

- BEIS – Department for Business, Energy and Industrial Strategy
- BRE – Better Regulation Executive
- RPF – Regulator Pioneer Fund

Note to Moderators

Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed

Researchers will familiarise themselves with the individual projects ahead of the interviews by referring back to the project bid, their baseline interview and most recent monitoring report.

Introduction (3 minutes)

- Thanks & introduction: Introduce yourself and Kantar Public – independent research agency, on behalf of the Department for Business, Energy and Industrial Strategy.
- Reason for participation: The aim of the discussion is to help us understand regulators'/LAs activities and progress from their perspective and explore any outcome or benefit from their effort to support innovation in their sector.
- How their info will be used: Their views and experiences will be looked at together with views of other projects taking part in interviews.
- Ethical considerations: Interview is voluntary and can stop at any time
- Duration: up to 60 minutes
- Reassurances: No right or wrong answers – Encourage openness – we're interested to get your honest opinion and understanding what is/has gone well as well as what could be improved from your perspective. We know that projects are innovative and have long term goals, so there is no expectation that they will go perfectly or achieve their outcomes overnight.
- Their responses will not be anonymous. Their individual replies will be shared with BEIS and other government departments with potential interest in the RPF programme. Therefore, they should help us better understand their challenges and their work, so we can support them better in future! This is their main chance to influence and inform the evaluation – so tell us more!

- Responses could be also shared with the public in the context of final evaluation outputs. While personal details (such as name and role) will not be included in the reporting, given the specific nature of the projects and sectors, comments might still be identifiable.
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Experience of delivery (10-15 minutes)

- Researcher note: present this to regulators as the main opportunity to communicate via this research programme about their achievements, what they gained from the programme and ways it could be improved. We really want to understand their achievements and lessons, as that will affect availability and design of new funding.
- This is also an opportunity to check some of the information they've already given us, so while we might ask some of the same questions we asked at the start of the programme, it will be helpful for us to get an updated view.
- NB: Refer to bid document and latest monitoring return

- Researcher to remind regulators/LAs that we last spoke to them at the start of their project – Can they briefly summarise their overall progress
- Main areas of work / key activities
- Main achievements / setbacks
- How does the work they've done compare with their original plan
 - Any changes to planned activities, outputs, outcomes – what and why
- How do achievements/progress to date compare to their plans

- In what ways has their understanding of the problem they were trying to address developed
 - Discovered new issues
 - Better understood issues
 - What prompted

- How would they describe their experience of delivering the project
PROBE: Resourcing, team building, finance, administration, governance, stakeholder and project management, providing monitoring data – identifying, collecting and sharing indicators and progress, conducting own evaluation
 - Facilitators - what and why / how helped
 - Challenges / barriers to delivery – internal and external, expected and unexpected, what and why
 - Anything could have done better / would do differently

Experience of Internal engagement (within their organisation)

Researcher note: wherever possible, probe for specific numbers (e.g., number of stakeholders engaged, workshops delivered, consumers/beneficiaries consulted/surveyed etc)

- Type/amount/frequency of internal engagement have they done and purpose/goal
- Any internal changes or early indications of change as a result of their project

PROBE: awareness/understanding of innovation, delivering more innovation, change in ways of working, adopting innovative internal approaches, applying lessons from other regulators, senior buy-in and championing RPF internally, resource for innovation work (people, time, other)

- Anything they could have done better / would do differently

Experience of external engagement (with delivery partners and/or other sector stakeholders and beneficiaries)

Researcher note: wherever possible, probe for specific numbers (e.g., number of stakeholders engaged, workshops delivered, consumers/beneficiaries consulted/surveyed etc)

- Who engaged and how
PROBE: Businesses, innovators, other regulators/LAs, public bodies, consumers/beneficiaries, international administrations
- Type/amount/frequency of engagement and purpose
PROBE: delivery/implementation, 'cross-cutting' or shared issues, consumer consultation/review/input
- Benefits / what worked well and why
- Challenges / what didn't work well and why
- Any changes or early indications of change as a result of their project
PROBE: awareness/understanding of innovation, change in ways of working, collaboration, networking / relationships, adopting innovative approaches, applying lessons
- Main learnings – especially where effective delivery and achieving outcomes were dependent on collaboration with others
- Involvement in the Regulator Innovation Network (RIN) and RPF knowledge sharing events
- Anything they could have done better / would do differently

Outputs and outcomes (10-15 minutes)

Researcher note: Outputs are tangible deliverables such as a report, toolkit, guidance, product, data etc. Outcomes are the desired result or the effect of the outputs. Given the short time frame here, potential outcomes are only likely to be seen near the end of and beyond the life of the project. The links between inputs (e.g. the funding), activity, outputs, outcomes and impacts are assumed to be causal and (mostly) linear.

Wherever possible, probe for specific numbers (e.g., number of stakeholders engaged, workshops delivered, consumers/beneficiaries consulted/surveyed, guidance produced, publications/articles etc)

- What have been the achieved outputs and outcomes of their project
Probe in more detail / as relevant if not captured in first section
- Any longer-term outputs not yet achieved
- How has/is this work supporting innovation in their sector
- What indication do they have of positive outcomes achieved (now or in the future) Note to researcher: explore these with regulators'/LAs' outputs in mind and probe as appropriate in the time available.
- What innovation(s) have or will result from their project
- Who else, if anyone, is benefitting from their project and how / why
 - Wider stakeholders (not involved in delivery)
 - Other regulators / LA's
 - Consumers / end users / public beneficiaries

- How evidenced / captured and recorded / documented
- What feedback, if any, have they had from the sector / other stakeholders
 - How received – who from, amount & how
 - How responded
 - IF NO FEEDBACK: what plans if any do they have to get feedback
- Who is intended to ultimately benefit from innovation deriving from their project
 - How and why
- What effects, if any, has their project had on their wider regulatory activity (i.e. any spill over effects)?
PROBE: expected, unexpected, future changes
- Any differences to changes the project was aiming to achieve and how / why
- What would make them conclude that the project has been successful or not
- What are/were the main drivers for success of the project
- What are/were the barriers to success for the project
- What do they think will help themselves and other regulators or LAs to achieve success in future

Impacts (5 minutes)

Researcher note: Impacts are broader effects resulting from the project/work. These may be short, medium or long term. The projects may not have identified many or any clear intended impacts, so you'll need to review their bid/monitoring and probe against the TOC the most relevant short - long term impacts.

- What impacts, if any, have already been seen or are emerging from the project?
 - Refer to projects intended impacts and TOC
 - Whether intended or unintended and why
- What future impacts are anticipated (beyond the lifecycle of the project)?
 - When do they think they'll be able to see changes / recognise success
 - Probe around specific ones associated with their activities/outputs/outcomes [if they haven't identified ones for themselves]
 - Whether intended or unintended and why

Lessons learned from participation in RPF2 (10 minutes)

- What lessons have been learned about trying to enable innovation in their sector
PROBE: engaging internally, resource, governance, project management, testing ideas, adopting new working techniques, reviewing or developing guidance/toolkits/products/services, recording learning, engaging stakeholders, reaching consumers (where relevant)
- What are the most important learnings
 - From things that went well
 - From things that went 'wrong'
- What, if anything, would they have done differently in hindsight
- What would they say remain the main barriers to innovation in their sector
- If were part of RPF1: are learnings similar / different, what and why
- What have they learned about engaging with other businesses/stakeholders (including consumers) in their sector

- What challenges have they encountered
 - Have they overcome these and how
- What, if anything, has facilitated engagement
- How has engagement with stakeholders contributed to their work's progress
PROBE: understanding of the problem, identifying best practices, solving issues, confidence in regulators/system etc.

- What is the value of collaborating with other regulators/LAs, govt/public bodies to enable innovative regulation. Researcher note: Joint regulator RPF projects include: DWI, SEPA, GLA
- Whether collaboration will continue and how
- What worked well / did not work well
- Who else do they want or need to collaborate with at all or more
 - On what issues
- Should RPF support collaborative projects

- How will they disseminate their learning
- How has learning been captured / recorded
- How can other regulators/LAs, or government, benefit from these learnings
- How has learning already been shared / what plans are in place to do this

- What plans, if any, do they have for continuing the innovation work enabled by the RPF2 after the funding ends
 - Continuing work on existing project
 - New projects (related, unrelated, why)
- Any further monitoring or evaluation activity to understand longer term impacts
- Continued collaboration / work with stakeholders/beneficiaries
- Will additional funding be required to continue work and where will this come from

Overall views on participation in the RPF2 (5 minutes)

- What has been the value to their organisation of participating in RPF2
Probe for answers beyond financial contribution
- Main benefits to their work, team, organisation
- Any difference in experience from that expected what and why
- Has anything resulted from the RPF2 that would not have without it

- What do they think about the support they received from BRE
- What has been most helpful
- Regulator Innovation Network (RIN) and Knowledge Sharing Events
Researcher note: informal launch of an RPF Pathfinders Hub was held, and 3 Knowledge Sharing Events (Dec, Jan, March), all projects were invited to present
- Anything else they needed / would have liked

- What if anything would they change to make future rounds of the RPF for an organisation like them and why
PROBE: design, delivery, communications, support
- Whether would apply to future rounds, why / why not

Final thoughts (2 minutes)

- Any other thoughts, comments or questions
- Thanks and close

Case Studies – Stakeholders and beneficiaries Discussion Guide

Interview objectives

The Regulators' Pioneer Fund (RPF) evaluation seeks to assess the extent to which RPF grants have enabled regulators to become more innovation-enabling, whether the Fund has improved engagement, collaboration and partnership; stimulated and allowed new innovations; led to trials for new processes, products or services; and the extent to which this has had an impact on business innovation and culture in the sectors that participating regulators operate in. To this end, we are interested in speaking to stakeholders external to the core project team who will ensure rounded and multiple viewpoints of the innovation and allow us to validate and cross-reference views from the project team.

Specifically, the interviews aim to:

- Explore detail of the stakeholder / beneficiary's background, circumstances, and priorities.
- Explore different stakeholders/beneficiaries' (e.g. businesses, other regulators, government bodies, other organisations in the sector) perspective on regulators' work (including project activities and outputs).
- Understand experience of project implementation (if applicable) including any facilitators and barriers to delivery.
- Understand ways in which regulators can more effectively engage with stakeholders to enable innovation in their sectors.
- Explore any outcomes and initial impact of the regulator's/LA's project on innovation in their sector.
- Explore ways in which innovation could be enabled or supported in the future
- Understand/capture key learnings for themselves, the project and for BRE

Terminology

- BEIS – Department for Business, Energy and Industrial Strategy
- BRE – Better Regulation Executive
- RPF- Regulator Pioneer Fund

Note to Moderators

- Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed.
- Researchers will consistently reference objectives at the top of each section, so all information will be collected.
- As the guide applies to different stakeholders' interviews, it will be adapted to different roles within the project team. Times will also be used flexibly based on interviewees involvement in the project.
- Researchers will familiarise themselves with the individual projects ahead of the interviews.

Introduction (3 minutes)

- Thanks & introduction: Introduce yourself and Kantar Public – independent research agency, on behalf of the Department for Business, Energy and Industrial Strategy.
- Reason for participation: The aim of the discussion is to help us understand regulators'/LAs activities and progress from their perspectives and explore any outcome or benefit from their effort to support innovation in their sector.
- How their info will be used: Their views and experiences will be looked at together with views of other projects taking part in interviews.
- Ethical considerations: Interview is voluntary and can stop at any time
- Duration: up to 60 minutes
- Reassurances: No right or wrong answers – Encourage openness – we're interested to get your honest opinion on the regulators' work, understanding what's going well as well as what could be improved from your perspective. We know that regulators' projects are innovative and have long term goals, so there is no expectation that they will go perfectly or achieve their outcomes overnight.
- Their responses will not be anonymous. Their individual replies will be shared with BEIS and other government departments with potential interest in the RPF programme. Therefore, they should help us better understand their challenges and their work, so we can support them better in future! This is their main chance to influence and inform the evaluation – so tell us more!
- Responses could be also shared with the public in the context of final evaluation outputs. While personal details (such as name and role) will not be included in the reporting, given the specific nature of the projects and sectors, comments might still be identifiable.
- Reminder about audio recording: the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back when analysing the data. The recorder is encrypted and only the research team will have access to the recordings
- Any questions/concerns?
- Start recording: acknowledge consent for being recorded

Background (5 minutes)

- Participant introduction
- Organisation and its regulatory area/environment
- Role and length of time in role
- What contact/engagement they normally have with the regulator/LA as part of their job (direct/indirect, regular/infrequent, purpose etc)
- How would they describe regulation in the sector
- How innovative do they think their sector is
- IF RESPONDENTS ARE REGULATORS - how does regulation / level of innovation in the regulator's/LA's sector compare to their own?

Engagement with the project (15-20 minutes)

Awareness of project and innovation challenges

- What do they know about the regulator's/LA's project:
 - purpose / aims / what they're trying to achieve
 - activities
 - outputs (what they're creating e.g. a product/service)
- How and when they became aware of the work
- How do they feel about the regulator's/LA's efforts to enable innovation

- Main challenges to innovation in the sector
- Extent to which regulation is a barrier and how/why
- Extent to which this project address main challenges
 - Are there any challenges this project does not address?

Involvement in project and engagement with regulator/LA

- What engagement have they had with the regulator/LA because of the project activities
 - interactions / communications,
 - direct collaboration (e.g. delivery, sharing lessons, improving cross-sector collaboration)
 - dissemination of project findings / learnings
 - questions and queries
- How do contacts / interactions compare to before the project / normal
 - frequency
 - purpose
 - usefulness / benefit
 - strength of relationship
- Were they involved in delivery or implementation of the project:
 - role / purpose
 - experience
 - facilitators
 - barriers
- Whether interactions have affected their view of the regulator and how
- How easy/difficult has it been to reach out to regulators, why
- What has been positive about their interactions
 - What could be improved

Outcomes and impacts from the project (30 minutes)

Interviewer note: explore answers with both the RPF goals/Theory of Change and regulators' focus and aims in mind and probe as appropriate.

Outcomes

- How has the regulator's/LA's work been supporting innovation in the sector
- What indication do they have of positive outcomes achieved to date
 - How are these being measured
- Any indication of positive outcomes to come and what and when (within the next year, 5 years and 10 years for anticipated outcomes)

Probe within their organisation and the sector - see below and use TOC outcomes, specifically:

- Increased skills and capabilities within the team or organisation
 - Senior understanding, confidence and buy-in to support innovation with organisation
 - Increased collaboration and engagement between regulators & stakeholders/business
 - Stakeholders increased confidence in regulatory system
-
- To what extent have/will they benefit from innovation deriving from their project and how
 - Who else (other businesses / regulators / similar stakeholders) have/might benefit and how
 - What changes have they seen because of the regulator's work?
Probe within their organisation and the sector (see below and use TOC outcomes)

For other regulators that the project engaged:

- Any change in:

- attitude to innovation within the regulator community
- confidence in the regulatory system
- tangible changes in ways of working
- attempts to trialling/licencing new products service
- general openness to innovation
- cross sector collaborations
- partnerships among regulators (some also relevant for businesses)

For businesses / public bodies that the project engaged:

- Any change in:
 - Regulator's/LA's attitude to regulation
 - way of working with business
 - engagement methods
 - Has involvement in the project changed their perceptions of regulators, in what way
 - Confidence in regulators/LAs and/or regulatory system

Impact

- What impact, if any, has the regulator's work had on their organisation?

For other regulators that the project engaged:

- Lessons learned that they can apply themselves in their sector
- To what extent are/will they do things differently in their own sector having been part of this project
- Do they plan to disseminate their learnings further within their own organisation, to other businesses, Government and/or public bodies.
 - Why / why not
- How will learning be shared internally or externally
- Future impacts they would like to see

For businesses / public bodies that the project engaged:

- What, if any, specific support they received from the project
 - To what extent has the support been helpful/impactful
- Lessons learned from their involvement in the project
- What has the project enabled them to do that they couldn't have otherwise
- What long term changes has the project enabled in their sector/work
 - If too early / not established already, can they see any emerging
- Do they plan to disseminate their learnings to other businesses or public bodies
 - Why / why not
 - How will they do this
- Future impacts they would like to see

Success of project

- What would make them conclude that the project has been successful or not
- What are/were the main drivers for success of the project
- What are/were the barriers to success for the project
- What do they think will help themselves and other regulators or LA's to achieve success in future
- When do they think they'll be able to see changes / recognise success

Enabling innovation

- What could the regulator/LA do to better support innovation

- What could make regulators more effective in collaborating with stakeholders or building relationships to facilitate innovation in the sector
- What areas if any could benefit from more action from regulators to enable innovation
- Any areas that feel over-regulated and could use less regulation
- Is there anything specific the regulator/LA is not doing that you think they should

Final thoughts (2 minutes)

- Any other thoughts, comments or questions
- Thanks and close

Contribution Analysis Workshop – Discussion Guide

Workshop Aims

- This workshop will focus on some key outcome chains from the ToC (determined by those most commonly reported by projects in their monitoring and end of project reports) and set out whether and how these outcomes are occurring – based on evaluation evidence collected to date. Attendees will then be asked to discuss whether the evaluation evidence confirms or contradicts their own experience and to explain how and why the outcomes have or have not been achieved, as expected.
- Contribution analysis is a research method designed to collect the input of research subjects to allow evaluators to link activities to wider outcomes. It typically has a focus on processes, and allows evaluators to:
 - Create a story of how and why outcomes / impact occurs.
 - Assess the strength and weakness of the existing evidence for the 'contribution story'.
 - Please note, this guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation, topics covered in the order that they naturally arise, and probes used only when needed

Introduction (10 minutes)

- Aim: Introduce the session and warm up participants for ongoing discussion
- Key notes: Two group exercises; stimulus required (agenda, ToC)

Warm up and introduction (5 minutes)

- Introductions of moderator(s) and Kantar Public
- Aim of the discussion: strengthen the 'contribution story' and develop insights for the RPF2 evaluation
- Findings from the analysis will be summarised in the final RPF report, which will be published on GOV.UK, findings will be anonymised, and no individuals or organisations will be named. We will be using projects as case study examples to illustrate findings, but these will be checked with projects and agreed before publication.
- Workshop length and agenda: 1.5 hours, discuss structure
- Client introduction and Kantar Public's role: BRE/BEIS are present, everyone to speak freely; we are not commissioned to judge performance of individual projects; instead our task is to find out what works in order to help inform future policy development.

- Have some participants from projects and some from outside the programme – everyone should feel able to ask questions or contribute suggestions based on their knowledge / experience of the sorts of innovations we are discussing.
- We particularly welcome thoughts from external participants in terms of how our findings align with wider evidence (or otherwise), and how wider evidence can help to contextualise or explain our findings so far.
- Housekeeping: Consent for audio recording (internal analysis purposes only). Keep mics on mute when not speaking, raise hands to speak.
- Due to tight timings, we have not scheduled a formal break, but participants should feel free to take breaks as required. We advise you not to leave meeting but rather the mute and turn off camera whilst away – makes things easier when working with breakout rooms.
- We will not be doing plenary feedback sessions, but notes and recordings will be used by the evaluation team to draft the final report.
- Any questions?

Overview of the RPF Theory of Change (5 minutes)

- Introduction to ToC: Remind participants what it is and why we use it.
- Reiterate key points:
 - Whole programme/fund level
 - Activities, Outputs, Outcomes were synthesised from across all successful project applications, so, specifics may differ within individual projects, we're looking to arrive at overall programme-level analysis

Programme delivery – activities and outputs (25 minutes)

- Aim: To investigate key activities and what has helped or hindered progress towards outputs
- Key notes: One breakout room exercise; stimulus required: Slides 8-11
Introducing activity exercise –
- Investigate progress on the front end of the outcome chain i.e. key activities and outputs
- Identify activities which appear to be more or less critical to Fund delivery to date
- Explore any gaps in the assumed progress of activities to outputs
- Discuss what has helped / hindered progress.
- Evaluation team to briefly present analysis on key activities, relationship to outputs, and barriers and facilitators (5-10 mins)
- Break out room exercise, moderated by evaluation team, to discuss and refine the evidence presented (15-20 mins)
- Notes taken by evaluation team
- Assign participants to break out rooms

Key questions for moderators:

- Overall, why do you think these activities [as outlined in presentation slides] are key to achieving the aims of the Fund?
- What might explain why other activities appear to have seen less progress? PROMPT: are they less important / more difficult to achieve? Why?
- We found that reviewing regulatory frameworks or processes to identify gaps or opportunities was a key activity for a number of projects. We found less evidence so far that these activities had led to updated or improved regulatory frameworks in practice.

- Does that reflect your experience?
- Have you focused on other outputs?
- What have you learned about how to translate activities into outputs – what advice would you give to others trying to achieve the same?
- We have identified some barriers to progress but what has helped you to make progress with your work?
 - Can you provide any practical examples of these facilitators?
- All projects mention engaging with businesses, innovators & stakeholders in their sectors, and report having built new relationships as a result, why is that so important for this Fund? What are best ways to engage to ensure that engagement does have an impact and cement relationships
- Are there other outputs you feel you have achieved that are not identified here?
 - Can you provide any practical examples of these and why they are important?

Programme outcomes and short/medium term impacts (40 minutes)

Aim: Test our conclusions about which outcomes have been achieved so far and explore why and how these came about. Test whether these are expected to contribute to any short/medium-term impacts and if so, what are the conditions that would enable these to occur.

- Key notes: One breakout group, one group discussions; stimulus required, Slides 13-16
- Introducing outcomes (and impacts) exercise – [5 minutes]
- Introduce aim to explore what difference the fund has made so far and how
- Explain what mean by an outcome – using term here to mean a result of projects seen in the time frame of the RPF2 programme
- Note that we may not yet have seen the effects for what we've termed impacts in the ToC given many have longer-term causal chains but that we may have seen some steps towards them achieved already. We will invite participants to discuss:
- How and why some outcomes may have been achieved and not others? What is the evidence for and against various outcomes being achieved?
- For achieved outcomes, to consider the causal pathways and to draw the links between activities, outputs and outcomes. Consider how much of this change can be attributed to RPF?
- What the progress to date means for achievement of short/mid-term impacts, whether these will occur and what might support or hinder this progression.
- Evaluation team to present analysis on key outcomes materialised to date (5-10 mins)
- Break out room exercise, moderated by evaluation team, to discuss and refine the evidence presented (30-35 mins)
- Notes taken by evaluation team
- Assign participants to groups

[10 mins] Reflecting on the outcomes identified as achieved through the analysis so far:

- Do you recognise these outcomes as key outcomes?
- Where outcomes have been achieved, what kind of evidence /examples do we have for this? There are a number of outcomes that we expected to materialise from the updated or improved regulatory guidance and new products/tools and services but that we haven't found much evidence to support i.e. those in orange.
- Why might outcomes not have been achieved so far?
PROMPT: is more time required (if so, how much?); are they simply less relevant (if so, why?); is there a sequencing/ set of dependencies we have not yet recognised in the ToC?

Reflecting on the analysis presented on hypothetical outcome chains:

- How well does this story reflect your experience? PROMPTS:

- Are new or streamlining regulatory processes in place? If so, what are they?
- Are there any regulatory processes you think should have been streamlined/new from the RPF?
- Do businesses / stakeholders have better understanding of the regulatory regime?
- Are the regulators/ LAs better informed about innovation in their sectors?
- Is there an increased understanding/confidence within organisations and senior buy-in?
- Would this reduce time and cost for complying with regulations?
- Do you have other examples of how these activities and outputs led to these outcomes?
- Have outcomes materialised in the way you expected them to? Which steps / conditions have been satisfied in your project? Which haven't?
- What have been the drivers of change?
- To what extent would this have happened without RFP2?
- What has made change difficult to achieve?
 - How might these barriers be overcome?

[10 minutes] Reflecting on our discussion about change so far:

- What does this mean for achievement of short/medium term impacts? PROMPTS:
- Do you think that a better understanding of regulation will lead to improved business / investors' / consumers' confidence in the process and if so, how?
- Do you think that new or streamlined regulatory frameworks will reduce time and cost for bringing new products and services to market and how?
- Would this outcome increase business/investor confidence in how business innovation will be regulated?
- Is there evidence already that these will be achieved? Which impacts and why?
- What are the conditions that would enable them to be achieved?
(If barriers are mentioned, encourage to frame as a condition to be satisfied or to overcome)

Programme reflections (10 minutes)

- Aim: A final opportunity to build on the discussion so far and draw some preliminary conclusions about the additionality of the outcomes achieved through the Fund and its potential long-term impact.
- Key notes: One group discussion; stimulus required: slide 17

Reflecting on the discussion about progress to date:

- What progress (if any) do you believe is due to RPF?
- Why had this progress not taken place before the funding/any barriers?
- Why do you believe these processes would not have taken place without the RPF? Is there any progress that would potentially take place without the RPF?
- Looking ahead to the future:
- How confident are we that continued innovation work such as this will lead to these longer-term impacts? PROMPTS:
- To what extent will this programme (as delivered so far) make a difference to people and businesses everyday lives?
- To what extent will the achievements of this programme drive innovation by boosting business R&D investment in the UK?
- To what extent will this programme back Long-term Growth through increased competition, jobs creation & lower regulatory barriers to trade in UK market?
- What needs to happen to ensure these big impacts are realised?
- What are key steps?
- Who are the key actors?

Close (5 minutes)

- Aim: Close workshop
- Request to enter 1-2 key takeaways in the chat
- Thanks and close
- Note that a feedback questionnaire will be circulated to all participated at the start of next week

Monitoring forms

Projects were required to submit monthly monitoring forms. Each page of these forms can be found below.

Project details				Project RAG									
Project title:				Please select Green, Amber or Red from the drop-down and provide a brief reason for your rating alongside:									
Organisation:				<table border="1"> <tr> <td style="background-color: #92d050;">Green</td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>				Green					
Green													
Project lead:													
Reporting period (Date from: to:)													
Date of the report:													
Progress summary													
Provide a brief description of the main achievements and issues for the reporting period along with any changes to the milestones/deliverables. Please add any general comments that may support/add to later sections in the form. (Recommended approx 200 words)													
Work packages and deliverables													
Use the table below to describe the work packages and deliverables progressed in this reporting period.													
Work Package 1													
Brief description:													
Deliverables	Start /End Date	Progress	Next Steps	Activity/Output/Outcome	Indicator	Secondary Indicator	Secondary Indicator						
1													
2													
3													
4													
Work Package 2													
Brief description:													
Deliverables	Start /End Date	Progress	Next Steps	Activity/Output/Outcome	Indicator	Secondary Indicator	Secondary Indicator						
1													
2													
3													
4													
Work Package 3													
Brief description:													
Deliverables	Start /End Date	Progress	Next Steps	Activity/Output/Outcome	Indicator	Secondary Indicator	Secondary Indicator						
1													
2													
3													
4													
New learnings gained													
Please describe any new learning gained from undertaking the project, particularly in relation to facilitating new, innovative approaches or doing new, experimental things in your organisation. What are the main challenges you are facing? What has worked well so far and what hasn't?													

Project team and personnel			
Contracting and on-boarding partner organisations			
Describe your progress on contracting and on-boarding partner organisations.			
Personnel changes			
Provide an update on any changes to your team structure or personnel.			
Engagement			
Publicity			
Provide details of any planned publicity.			
Final report and dissemination plans			
Provide an update on the progress of your final report and the dissemination plans.			

Mapping Matrix

Evaluation questions	Sources
Impact of the fund	
How successfully have individual projects delivered against their aims and objectives and how do these align with the overall programme goals?	Monthly monitoring forms Follow-up interviews with second round projects
What are the anticipated longer-term impacts of RPF projects and how can they be monitored?	Follow-up interviews with second round projects Case study interviews with key stakeholders Contribution analysis workshop
What are the intended and unintended longer-term outcomes of first round projects?	Follow-up interviews with first round projects
Process of delivering the fund and projects	
How efficient/effective was the competition process?	Baseline interviews with second round projects Interviews with unselected second round applicants
What worked well and not so well for regulators when managing and delivering the fund?	Follow-up interviews with second round projects
How effective was the monitoring process in terms of process and allowing for evaluation against programme goals?	Follow-up interviews with second round projects

Evaluation questions	Sources
What lessons can we learn and share about delivery?	Follow-up interviews with second round projects Case study interviews with key stakeholders
Lessons learned from the projects for government and wider stakeholders	
What lessons can we learn from projects about what works to accelerate and encourage innovation?	Follow-up interviews with second round projects Case study interviews with key stakeholders Contribution analysis workshop
What can we learn from projects about what went well and what didn't?	Follow-up interviews with first round projects
How do these lessons compare with those from the first round? What lessons can we learn and share about delivery?	Follow-up interviews with second round projects

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		Indicators	Crash Protected Containers to Carry Dangerous Goods in Drones	RPAS Safety Reporting	How could Costs Lawyers drive down the costs of legal services?	Artificial Intelligence: Harmful Algal Bloom Study	Innovation In GP Practices	Innovation One Stop Shop	Teesworks Greener Freeport
		Regulator / LA	CAA	CAA	CLSB	Cornwall Council	CQC	DWI	EA
ACTIVITIES	Project delivery / within organisation	Develop ideas, engage with competition process to refine proposal & set challenging outcomes	X	X	X		X	X	
		Review regulatory frameworks or processes to identify gaps or opportunities within their organisation	X	X	X		X		X
		Simplify or develop new processes, tools, data sources, products or services	X			X	X	X	X
		Test, learn & iterate ideas that enable innovation			X			X	X
	Recording learning and promoting work	Record lessons from their work	X	X	X	X	X		X
		Promote work, benefits & lessons learned with other UK regulators, stakeholders & international administrations		X	X	X	X		X
		Engage in M&E process							
	Engaging / influencing stakeholders	Engage with businesses, innovators & stakeholders in their sectors	X	X	X		X	X	X
		LAs engage with other LAs, and regulators with other UK regs via the Regulators Innovation Network (RIN)							
	Consumer related	Engage with international administrations			X				
		Engage with beneficiaries of services		X	X	X	X		
		Provide clear, frequent communications for consumers							
OUTPUTS	Project delivery / within organisation	Updated or improved regulatory guidance	X		X		X		X
		New or improved toolkits, products, systems, data sources or processes	X	X	X	X	X	X	X
	Recording learning and promoting work	Research publications or material outputs used to share learning			X	X	X	X	X
		Promote innovations to key stakeholders within the sector			X	X	X	X	X
		Work or innovations features (positively) in press & publications					X		
	Engaging / influencing stakeholders	New relationships or partnerships developed with other UK regulators / LAs to tackle shared innovation challenges	X	X		X	X	X	X
		Innovators are interested in regulators' initiatives (e.g. accessing guidance)	X						
	Consumer related	Evidence of engagement with beneficiaries e.g. events / feedback received		X	X		X	X	
OUTCOMES	Project delivery / within organisation	Increased skills and capabilities within team		X	X				
		Implement changes to encourage & stimulate innovation within organisation	X				X	X	
		Increased understanding & confidence in supporting innovation within organisation (i.e. senior buy-in)	X		X		X		X
	Recording learning and promoting work	Learning contributes to continued work on the development of new guidance, products or services	X	X	X	X	X		
		Access & benefit from shared learning / simplified processes							X
		Key stakeholders have increased understanding of what works to promote innovation & how to apply it to future initiatives	X						
		Dissemination of project findings & lessons learned to key stakeholders	X	X	X	X	X	X	
	Engaging / influencing stakeholders	Improved collaboration & engagement between regulators, business & innovators	X	X	X			X	X
		Key stakeholders have increased confidence in UK regulatory system	X	X	X	X			
Consumer related	Improved understanding of consumer / beneficiary needs			X		X			

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		Indicators	See Beyond Standardising environmental metrics for food businesses	Leveraging the UK's regulatory systems to unlock benefits of collaborative streetworks	Sharing Data, Saving Lives	iAdvice - a proof-of-concept study on establishing a data protection advice service for innovators	PETS for Public Good	Developing metrics that could signal significant changes in adaptive learning AI algorithms	Physical Standards for Adeno-associated virus (AAV) Gene Therapy	
		Regulator / LA	EA	GLA	HSE	ICO	ICO	MHRA	NIBSC	
ACTIVITIES	Project delivery / within organisation	Develop ideas, engage with competition process to refine proposal & set challenging outcomes					X			
		Review regulatory frameworks or processes to identify gaps or opportunities within their organisation	X				X			
		Simplify or develop new processes, tools, data sources, products or services	X	X	X	X		X	X	
		Test, learn & iterate ideas that enable innovation					X	X	X	X
	Recording learning and promoting work	Record lessons from their work			X	X				
		Promote work, benefits & lessons learned with other UK regulators, stakeholders & international administrations			X					
		Engage in M&E process	X							
	Engaging / influencing stakeholders	Engage with businesses, innovators & stakeholders in their sectors	X	X	X	X	X	X	X	
		LAs engage with other LAs, and regulators with other UK regs via the Regulators Innovation Network (RIN)	X	X						
	Consumer related	Engage with international administrations								
		Engage with beneficiaries of services				X	X			
		Provide clear, frequent communications for consumers								
OUTPUTS	Project delivery / within organisation	Updated or improved regulatory guidance		X		X		X		
		New or improved toolkits, products, systems, data sources or processes	X	X	X	X		X		
	Recording learning and promoting work	Research publications or material outputs used to share learning	X	X				X	X	
		Promote innovations to key stakeholders within the sector	X	X				X	X	
		Work or innovations features (positively) in press & publications	X							
	Engaging / influencing stakeholders	New relationships or partnerships developed with other UK regulators / LAs to tackle shared innovation challenges	X	X	X					
		Innovators are interested in regulators' initiatives (e.g. accessing guidance)	X					X		
Consumer related	Evidence of engagement with beneficiaries e.g. events / feedback received				X	X		X		
OUTCOMES	Project delivery / within organisation	Increased skills and capabilities within team				X				
		Implement changes to encourage & stimulate innovation within organisation		X						
		Increased understanding & confidence in supporting innovation within organisation (i.e. senior buy-in)					X	X		
	Recording learning and promoting work	Learning contributes to continued work on the development of new guidance, products or services	X	X	X	X		X	X	
		Access & benefit from shared learning / simplified processes								
		Key stakeholders have increased understanding of what works to promote innovation & how to apply it to future initiatives								
	Engaging / influencing stakeholders	Dissemination of project findings & lessons learned to key stakeholders		X	X			X	X	
		Improved collaboration & engagement between regulators, business & innovators	X	X	X	X	X			
Consumer related	Key stakeholders have increased confidence in UK regulatory system					X				
	Improved understanding of consumer / beneficiary needs				X	X				

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		Indicators	MODDEST	Airtek	Grangemouth - Industrial Net Zero Regulatory Hub	Regeneration for Growth – Data Innovation for Collaborative Regulation	Register of Licence Holders API	Using lawtech to address regional inequalities in access to justice	Fire Safety Awareness Tool
		Regulator / LA	OCC	OCC	SEPA	SEPA	SIA	SRA	West Sussex F&R
ACTIVITIES	Project delivery / within organisation	Develop ideas, engage with competition process to refine proposal & set challenging outcomes			X	X	X		X
		Review regulatory frameworks or processes to identify gaps or opportunities within their organisation		X	X	X	X	X	
		Simplify or develop new processes, tools, data sources, products or services	X	X	X	X			X
		Test, learn & iterate ideas that enable innovation					X	X	X
	Recording learning and promoting work	Record lessons from their work	X			X	X	X	
		Promote work, benefits & lessons learned with other UK regulators, stakeholders & international administrations		X		X			
		Engage in M&E process				X			
	Engaging / influencing stakeholders	Engage with businesses, innovators & stakeholders in their sectors	X	X	X	X	X	X	
		LAs engage with other LAs, and regulators with other UK regs via the Regulators Innovation Network (RIN)		X					
	Consumer related	Engage with international administrations						X	X
		Engage with beneficiaries of services						X	
		Provide clear, frequent communications for consumers				X		X	
OUTPUTS	Project delivery / within organisation	Updated or improved regulatory guidance				X			
		New or improved toolkits, products, systems, data sources or processes	X	X	X	X	X	X	X
	Recording learning and promoting work	Research publications or material outputs used to share learning	X			X			
		Promote innovations to key stakeholders within the sector	X			X			X
		Work or innovations features (positively) in press & publications							
	Engaging / influencing stakeholders	New relationships or partnerships developed with other UK regulators / LAs to tackle shared innovation challenges				X		X	
		Innovators are interested in regulators' initiatives (e.g. accessing guidance)						X	
	Consumer related	Evidence of engagement with beneficiaries e.g. events / feedback received		X	X		X	X	
OUTCOMES	Project delivery / within organisation	Increased skills and capabilities within team		X			X	X	
		Implement changes to encourage & stimulate innovation within organisation							
		Increased understanding & confidence in supporting innovation within organisation (i.e. senior buy-in)							
	Recording learning and promoting work	Learning contributes to continued work on the development of new guidance, products or services	X	X	X	X	X	X	X
		Access & benefit from shared learning / simplified processes			X	X	X	X	
		Key stakeholders have increased understanding of what works to promote innovation & how to apply it to future initiatives			X				
		Dissemination of project findings & lessons learned to key stakeholders	X	X	X	X		X	
	Engaging / influencing stakeholders	Improved collaboration & engagement between regulators, business & innovators		X	X	X	X		
Key stakeholders have increased confidence in UK regulatory system						X			
Consumer related	Improved understanding of consumer / beneficiary needs			X			X		

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