Department for Business, Energy & Industrial Strategy

Evaluation of the Regulators' Pioneer Fund (Round 1) – Technical Report

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Kantar (Public Division)

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Methodology

This section provides a more detailed overview of the methodology used for the evaluation.

Method overview

Kantar (Public Division) was commissioned by BRE in 2018 to undertake an evaluation of the RPF programme 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, mixed-method approach was adopted, which combined elements of impact and process evaluation. The Kantar project team collected data on funded regulators' experiences, challenges and achievements both at an interim stage and following completion of the funding period to build a comprehensive understanding of their progress and lessons learnt across the RPF lifespan.

Data collection was based around a series of qualitative case studies with selected regulators and stakeholders, the periodic collection of quantitative management information from regulators, and a final survey of project stakeholder views, allowing findings to be triangulated around these different perspectives. A series of 'wash-up' workshop sessions were also conducted with regulators at the end of the programme to collect their final reflections on the experience of participating in the RPF (all data collection approaches are explained in greater detail in section 2.2.2). The Better Regulation Executive were consulted throughout to provide a deeper understanding of the RPF and the individual projects funded by it, ensuring the evaluation was suited to the policy and organisational dynamics of the RPF.

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. The detailed understanding provided by qualitative case studies provided deep insight into the intermediate programme activities or outputs achieved during the lifetime of projects. Contribution analysis was used to draw inferences about the likely direction of travel. Management information was collected to provide an underpinning of quantitative metrics to case studies, via a series of self-reported measures relating to the completion of specific activities, outputs and outcomes. 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.

The last stages of this project, including aspects of the research and analysis, took place in 2020, during the COVID-19 pandemic. As a result, some aspects of the research, such as the wash up sessions, employed socially distanced qualitative research techniques, utilising video conferencing technology. Other impacts on the project include:

- Projects had 3 extra months to complete work where needed.
- Projects reported that some elements of their work were affected by COVID-19 (e.g. delaying comms and publications of reports (CQC), holding one to one meetings instead of roundtable events (SEPA), and having virtual events instead of live events etc).
- Some regulators proactively spotted that their RPF projects had scope to support the Government's response to COVID-19 and made positive changes to their original RPF project plans or used the knowledge and outputs from RPF to respond to the global pandemic. For example, the MHRA used the RPF funding to release COVID synthetic datasets which will support the development of cutting-edge medical technologies to fight the virus. The CAA's Innovation Hub changed its plans and launched a COVID-19 regulatory sandbox in April 2020 to assess the feasibility of the drone delivery to help the response. They trialled a two-way flight between Lorn and Islands Hospital in Oban and Mull and Iona Community Hospital in June 2020. Although the funding for this came from the Future Flight Challenge (not RPF), this fast response would not have been possible without the existence of the Innovation Hub and the knowledge and experience gained from the RPF.

However, the vast majority of the research conducted and activity of regulators and stakeholders, took place prior to the COVID-19 pandemic. As such Kantar believes that the impact of the pandemic on the project and its findings is minimal, except for in the later stages when some projects experienced issues with closing their projects or realising ongoing plans.

Impact evaluation

The impact evaluation aimed to assess how well the RPF was able to meet the programme goals defined at its inception. The evaluation was structured around the RPF policy logic model developed by BEIS (see figure 3).

An assessment was carried out by mapping projects' activities, progress and achievements - detected through the qualitative case studies, quarterly information management questionnaire, and a short stakeholder survey - against seven expected outputs formalised in the logic model. It should be noted that the extent to which this evaluation was able to assess the full extent of RPF's impact was limited for three key reasons:

- Evaluation activities ran in parallel with the lifespan of the RPF programme and participating projects, meaning the evaluation was only able to measure activities, outputs and outcomes achieved during this time period and not the longer-term outcomes or impacts arising as a result of the RPF programme.

- Data was drawn from a mixture of self-reported data on progress from regulators and qualitative case studies. A survey was also conducted amongst a set of project stakeholders, but these stakeholders were selected by project leads, and their view of project impacts cannot therefore be viewed as fully representative of the wider population.

- Although quantitative measures would provide stronger evidence of impact, a quantitative impact evaluation was not possible due to the timeline of the research. Even if conducted following the programme, a robust quantitative approach would still not be possible due to small sample sizes, outcomes that are difficult to quantify and/or relate causally to activities and the lack of a clear counterfactual.

Given the limitations of causal inference in qualitative research, a Contribution Analysis approach was adopted to assess progress relative to the programme logic model. Contribution analysis involves the collection of indicative data alongside a theory of change or logic model, to make an informed judgement on progress towards outcomes. In this case, views from across multiple data points were triangulated to understand the extent to which the programme had enabled contributory activities, outputs and outcomes that are likely to help realise the long-term outcomes of the Fund as defined by the original programme logic model supplied by BRE. Contribution analysis cannot create definitive proof of impact or causality (or of cost-effectiveness) but does provide a sound evidence base on which to draw a plausible conclusion about the likely direction of travel of a programme against its underlying design[1].

In interpreting the findings, it should also be kept in mind that the COVID-19 pandemic occurred during the course of projects, and some regulators reported that this affected their plans for closing their projects and for realising further benefits from their work.

Process evaluation

The process evaluation component of the research focused on identifying ways in which a policy measure like the RPF could better support regulators in potential future iterations, exploring regulator and other stakeholder experiences of interacting with the Fund and carrying out their funded innovation activities.

Insight was drawn from the qualitative case studies and cross-referenced against management information detailing the progress of each project, with emerging themes validated and explored further in the final 'wash up' sessions. Lessons learnt were identified at all stages of involvement with the programme, from the application process through to set up, delivery and findings dissemination.

Evaluation timeline

A detailed breakdown of research activities and timings is outlined in Figure 1 below.

[1] Better Evaluation *Contribution analysis* https://www.betterevaluation.org/en/plan/approach/contribution_analysis

Figure 1: Timeline of evaluation activities

Research approach

Scoping phase

An initial scoping stage was carried out by Kantar to build a solid understanding of the RPF's design and application phase, examining applicants' experiences of the competition to identify initial lessons for improvement.

This phase involved an initial light-touch review of the applications for funding and key related documents, followed by an online community of nine RPF applicants, four successful and five unsuccessful. Discussion within the community allowed the Kantar research team to explore regulators' experiences and views of the application process, to identify positive elements as well as components that could be improved.

A workshop, including four themed discussion sessions around various elements of regulatory reform[2], was also conducted with BRE and Innovate UK staff to explore in greater depth any issues identified in the applicant discussions. Views were triangulated during the analysis process to provide BEIS in January/February 2019 with a holistic understanding of how effectively and efficiently the RPF competition was delivered.

Data Collection

As explained earlier, the main stage of the evaluation sought to identify how the RPF delivered against its four key goals and what lessons could be drawn to improve the programme. The evaluation consisted of both an interim and final assessment, evaluating the portfolio of RPF projects[3] by exploring their experiences and achievements to provide an indication of the likely impact of the RPF and identify any lessons learned.

The *interim assessment* drew on:

- a review of the information management data collected from funded regulators (quarterly, starting six months into projects starting); and
- qualitative deep-dive case studies of five projects (nine and fourteen months into the projects).

The *final assessment* (following projects' completion) drew on:

- a review of the final information management questionnaire data collected from funded regulators;
- qualitative deep dive case studies with an additional five projects;
- follow-up reviews with two regulators interviewed at the interim stage;
- an online closing questionnaire distributed by regulators to relevant stakeholders of their projects, such as businesses and wider stakeholders; and

[2] i) Improving access to regulatory advice, ii) Experimentation and testing, iii) Competitions, challenges and opening up data, and iv) Feasibility studies/Improving regulatory practices

[3] It should be noted that measuring individual regulators' success in delivering against their projects' KPIs falls beyond the scope of this evaluation.

- two 'wash-up' workshop sessions with regulators to generate discussion among RPF participants.

More details on each of the key activities are outlined below.

Quarterly information management questionnaire

Information management and monitoring data was collected from regulators on a quarterly basis via an online questionnaire (see Research Materials) Collection started in July 2019 when projects were six months into their delivery and continued until March 2020 when most projects were completed. Questions were developed to enable the collection of quantitative metrics and indicators of success against intended programme outcomes (see the RPF policy logic model in Figure 3).

The format of the questionnaire was reviewed following each wave based on feedback from the regulators and discussion with BEIS. After the first wave, in agreement with BEIS, quantitative metrics with open questions were implemented to allow regulators to explain their answers and provide reflections on challenges encountered, lessons learnt, value provided by the RPF and suggested improvements.

Data was thoroughly reviewed each quarter to support the monitoring of projects and the identification of key changes or challenges as they arose over time.

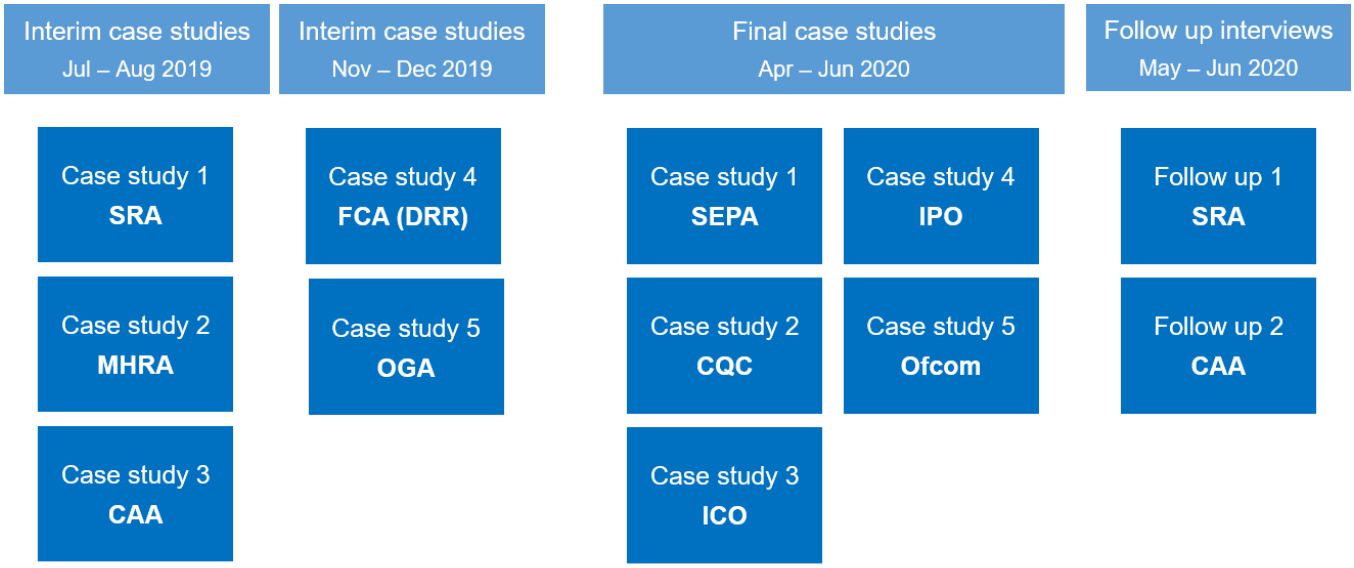
There were some limitations to analysing the findings from the questionnaire. For example, some regulators saw questions about specific outcomes as not relevant to them. However, findings did provide an indication at both a project and overall level of the extent of activities, the relative performance across different activities, and when different kinds of activities were completed.

Interim and final case studies with regulators and stakeholders

Five **interim qualitative case studies** were carried out between July 2019 and January 2020 with regulators chosen by BEIS and Kantar to reflect a range of views, experiences, project aims and progress achieved against these. For each project, the research team conducted two 60-minute interviews with key members of the project team (e.g. project and programme manager or bid manager, depending on team composition) and one with a strategic lead overseeing the project. Two to three 30-minute interviews were also conducted with stakeholders (e.g. delivery partners, businesses or other organisations operating in the sectors, other regulators) identified by the regulators and selected by BEIS.

Final qualitative case studies were conducted between April and June 2020 (five final case studies and two further follow ups to interim case studies). These followed the same format and selection protocol as those conducted at the interim stage. Follow-up 60-minute qualitative interviews were also conducted with two of the regulators interviewed at the interim stage selected by BEIS. These interviews were used to determine how their projects had progressed since the interim stage and provide an updated view of their activities, challenges, achievements and lessons. For a breakdown of case studies participants see Figure 2 below.

Figure 2: Overview of qualitative deep-dive case studies conducted



Both the interim and final case studies aimed to uncover early outcomes and lessons on delivery of the Fund by collecting and triangulating the views of a range of actors with different perspectives on the chosen projects. They were designed to build an understanding of how each project had enabled innovation through regulation, and how the project demonstrated the value of the RPF in line with its four key aims. Each case study explored:

- initial understandings and expectations of the RPF, including motivations for applying for funding;
- experiences of project set-up and ongoing engagement with the Fund;
- engagement with internal and external stakeholders as part of the Fund, including the ways in which these contributed to achieving project outcomes and aims;
- successes and challenges relative to the aims of each project; and
- lessons and reflections on the value of the Fund and suggestions for improvements for future iterations

Interview topic guides are included in this report under Research Materials and the case studies have been published as a separate Report.

The use of case studies complemented the quantitative metrics gathered through the quarterly information management questionnaire and allowed the research team to gain a deeper understanding of the key achievements and challenges facing each project, during the application and set-up stages as well as throughout the main phase of the project.

Closing questionnaire

A ten-minute online closing questionnaire was conducted with project stakeholders, such as businesses, innovators, and other regulators or public bodies, following the completion of project activities (between May and July 2020). This emailable survey included both quantitative metrics and open-ended questions.

The closing questionnaire metrics and questions mirrored topics covered in the case studies and quarterly information management questionnaire, seeking to validate information gathered from RPF project teams and their stakeholders.

To enable access, the closing questionnaire was circulated by regulators to stakeholders that had been impacted by or were related to the work, with a recruitment text suggested by Kantar. The survey received a total of 45 responses. As respondents were self-selecting the findings are not generalisable or representative of all parties related to the Fund. However, they provide a useful additional data point on stakeholder views against which to triangulate findings drawn from the qualitative case studies and management information.

'Wash up' sessions with regulators

As a final activity linked to the process evaluation, Kantar conducted two qualitative 'wash up' workshops with regulators in July 2020. The sessions, originally planned to be held face to face, were held online because of the COVID-19 pandemic to guarantee safety for all parties involved. Four regulators were invited to take part in each session to maximise engagement and enable in-depth discussion.

The first workshop focused on projects that had experimented with new methods to innovate in their sectors, and the second on projects that had focused on collaboration. The wash up sessions presented an opportunity for regulators to reflect on any challenges and lessons from the projects, and to discuss ways of collectively continuing with innovation into the future.

Analysis and reporting

Analysis of the impact of the RPF was framed around the extended programme logic model, which describes the intended programme outputs:

- RPF regulator(s) **stimulates / permits development of new business innovation** (e.g. products, services, processes, business models);
- RPF regulator(s) **reduces time or cost of introducing business innovation into markets** (e.g. products, services, processes, business models);
- RPF regulator(s) **improves business or investor confidence** in how business innovation (e.g. products, services, processes, business models) will be regulated;
- RPF regulator(s) **improves consumer confidence in regulation of business innovation** (e.g. products, services, processes, business models);
- RPF regulator(s) **influences other UK regulators** to take a pro-innovation regulatory approach; and
- RPF regulator(s) **influences other administrations** to align with its regulatory approach.

Given the macro and long-term nature of the final programme outcomes, which were outside of the scope of this evaluation to measure, analysis focused on looking at progress toward the final outcomes. As part of the process of contribution analysis, Kantar worked with BEIS to produce an extended logic model clearly delineating inputs, activities and outputs. This extended model distinguished more immediate project-related outcomes from the longer-term outcomes and impacts arising as a result of the RPF programme (see Figure 4). It should be

noted that this extended model, which was informed by the evidence gathered during the original logic model development process, does not alter any of the intended long-term outcomes for the RPF, but provides additional layers of granularity on the steps towards achieving them. As such, it allowed for a more effective assessment as to where participation in the Fund had allowed regulators to carry out activities, outputs and outcomes at different points in the process. By clearly delineating early indicators of success, this revised model increased the power with which the success of individual projects and the overall programme could be assessed, enabling an informed judgement about the direction and extent of travel towards longer-term outcomes.

Analysis progressed iteratively across the course of the evaluation, with findings from the scoping stage feeding into the design of the quarterly information management questionnaire. The findings from this questionnaire helped to identify issues to explore with each regulator as part of the qualitative case studies. Likewise, findings from the case studies were used as the basis for the closing workshops and stakeholder survey, which offered an opportunity to validate and build on emerging findings.

Following each case study, researchers listened back to recordings and charted findings into a thematic framework informed by the programme logic model. This framework also incorporated data from the quarterly information management survey, allowing for a systematic analysis across the different data points available for each regulator. Data was triangulated to identify consistencies or differences in views, which were then probed in later stages where possible. Alongside this, 'brainstorm' sessions were conducted by the research team following the interim and final case studies, to review the insights collected from all data points and draw out any overarching lessons for the process evaluation. Prior to final reporting, researchers conducted a final review of the completed analysis framework to assess project progress against each of the programme logic model outcomes, alongside a final discussion to assess the elements that are likely to have contributed to or hindered achievements.

Reports were produced following the scoping phase, each wave of the quarterly information management questionnaire, and both stages of case studies. These reports provided early indications of likely programme impacts according to the achievement of intermediate activities, outputs and outcomes and were reviewed by BEIS and the RPF programme board[4] to identify further areas for follow-up in later project stages.

[4] The RPF programme board was established by the Better Regulation Executive (BRE) to provide a coordinated approach and manage the delivery of the RPF programme. The board included representatives from the BRE, Innovate UK (the delivery partner), and Kantar (evaluation partner) and met regularly, to ensure proper governance and accountability of the programme as a whole, and to ensure that evidence is gathered and lessons are learnt and communicated properly to benefit the work of the UK Government and UK regulation in future.

Programme Logic Models

Figure 3: Original policy logic model developed by BEIS

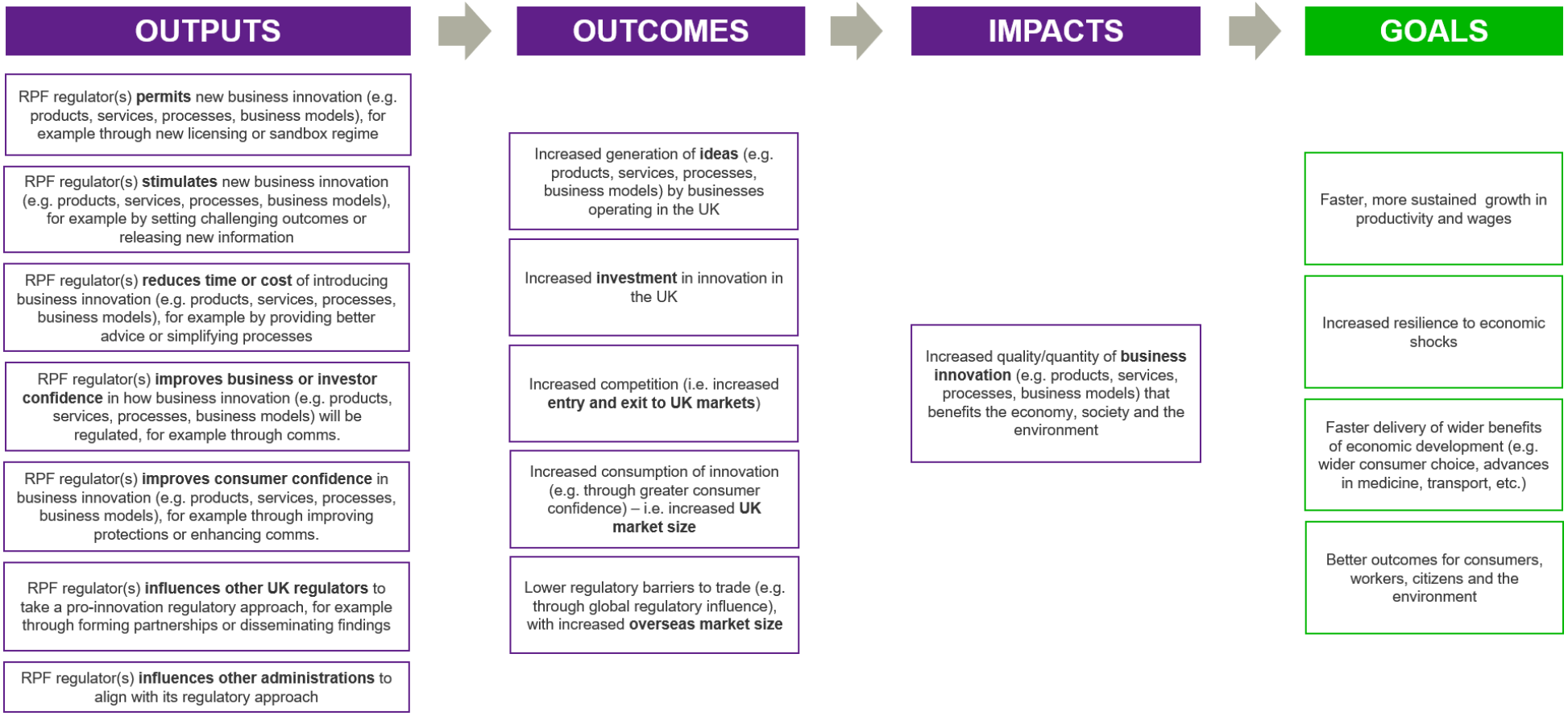
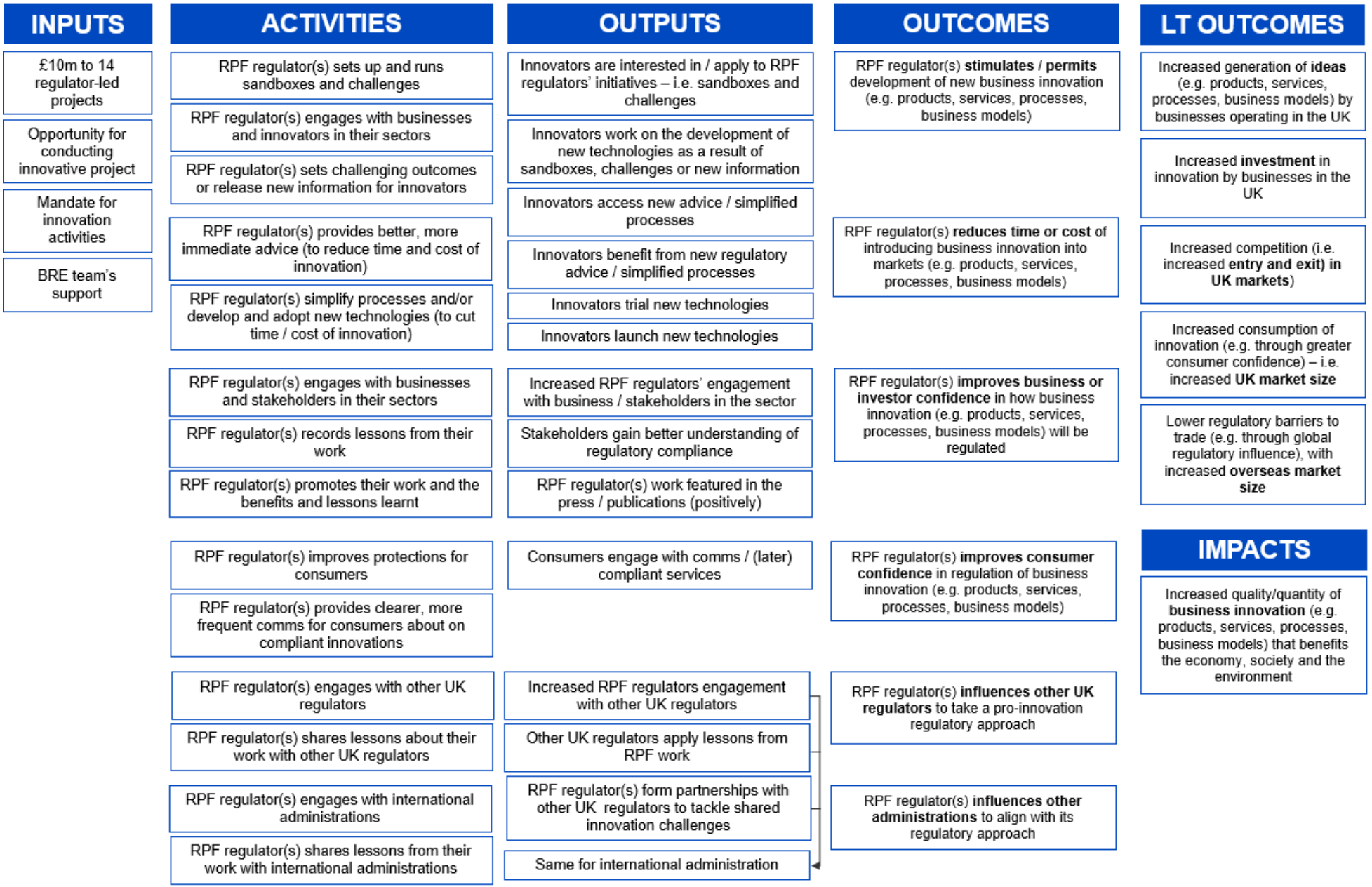


Figure 4: Revised policy logic model developed by BEIS and Kantar during the evaluation



Research materials

Online community with RPF applicants' topic guide

Day 1

Task 1) Learning a bit about you!

Task Type: Text Response; Video response (FULLY SOCIALISED)

Public Task

Thank you for taking part in this community. We would like to know a little more about you and give everyone in the community the chance to get to know each other.

Please could you tell us a little bit about yourself? We'd particularly like to know:

- Your name
- Organisation you work for
- Your role
- Regulatory area you work in

Feel free to upload a video to tell us more about you!

Task 2) Motivations and expectations

Task Type: Text Response; Video response (SEMI SOCIALISED)

Public Task

We'd like to understand more about your decision to submit an application to the Regulators' Pioneer Fund. We'd particularly like to know:

- Why you/your organisation submitted an application?
- What was your/your organisation's main motivation for doing so?
- What were you/your organisation hoping to achieve?
- What expectations, if any, did you have for the process?

Feel free to upload a video to tell us about your views!

You will be able to see everyone else's responses once you have submitted yours.

Task 3) Day 1 Close Task type: Text Thanks for all your responses so far! The next set of tasks will open tomorrow Thursday 18th October. Please come back then and complete the tasks. In the meantime, feel free to explore the community and chat to the other members.
Day 2
Task 1) Welcome back Text Public Task Welcome back to this forum about the Regulators' Pioneer Fund. We would now like to discuss your views and experiences of the application process.
Task 2) Fill in the blank Text Public Task Please describe the application process for the Regulators' Pioneer Fund in one word: _____ We'd encourage you to have a look at other participants' responses and let us know what you think.
Task 3) Application Process Task Type: Text (FULLY SOCIALISED) Public Task Now we'd like you to reflect on the application process for the Regulators' Pioneer Fund in more detail. We'd particularly like to know: • How you found the process? • What questions did you have? • Did you encounter any challenges? • Anything you found particularly helpful? • Did you seek any support from BEIS or UKRI?

- Did you seek out any support or guidance from anyone outside your organisation?
- What would you recommend BEIS do the same or differently if running any further stages of the RPF competition? Why?

We'd encourage you to reply to other participants' responses as well!

MODERATOR PROMPTS

- Do you have any previous experience of applying for a funding competition? If so, how did this process compare?
- Explore sources/type of support, reasons for seeking support, usefulness of this support
- Explore whether any support needs not met

Task 4) Agree / Disagree

Task type: Grid

Public Task

[Strongly agree, Agree, Neither, Disagree, Strongly disagree]

- The purpose of the Regulators' Pioneer Fund was clear
- I had all the information I needed (from BEIS) to complete the application
- The eligibility requirements for applicants were clear
- The online application guidance was useful
- The application form was easy to use
- The amount of time I had to submit an application was sufficient
- It was clear to me how the applications were being assessed
- The assessor feedback I received was useful

Task 5) Day 2 Close

Task type: Text

Public Task

Thanks for all your responses so far! The third and final set of tasks will open tomorrow Friday 19th October. Please come back then and complete the tasks.

In the meantime, feel free to explore the community and chat to the other members. You can also start and join conversations on the discussion board.

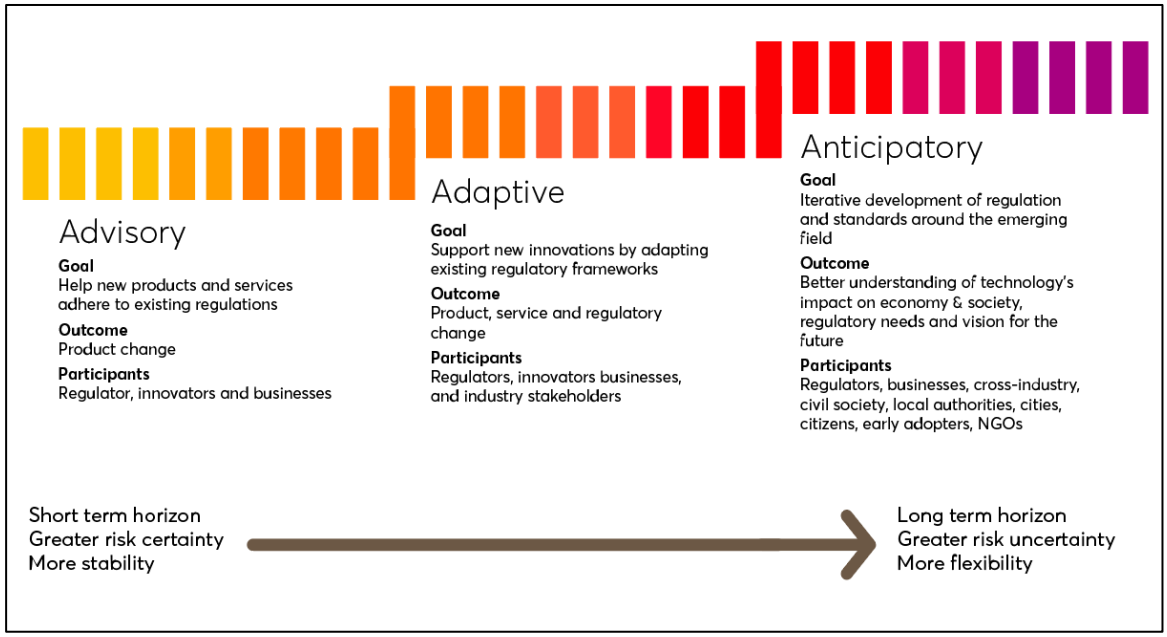
We've added an optional task in the discussion forum about approaches to regulation. Please have a look and let us know what you think. Tomorrow we'll be discussing your proposed projects in more detail.

Optional Task: Approaches to regulation

Text

Public Task

Which category (Advisory, Adaptive, Anticipatory) do you believe your proposed project falls under and why?



Day 3

Task 1) Welcome back

Task Type: Text

Public Task

Welcome back to the forum! Today we'll be asking you to think about the project you proposed for the Regulators' Pioneer Fund.

Task 2) Activities, Outputs, and Outcomes

Task Type: Fill the Blank (NOT SOCIALISED)

Public Task

We'd like you to think about the project you proposed and identify the main activities, outputs, and outcomes.

Activities are the actions undertaken in order to achieve the goals of the project. For example, holding a community meeting to raise awareness of an issue.

Outputs are the direct, short term results of the project. Another way to thinking about outputs is a way to quantify the project activities. For example, the number of community meetings held.

Outcomes are typically the medium-term results of a project and usually relate to the project's overall goal or aim. For example, increased community engagement with an issue as a result of community meetings.

Thinking about your proposed project, please complete the fill in the blanks below. Where possible try to think about how each Activity, Output, and Outcome links together.

ACTIVITIES		OUTPUTS		OUTCOMES	
Activity A		Output A		Outcome A	
Activity B		Output B		Outcome B	
Activity C		Output C		Outcome C	
Activity D		Output D		Outcome D	
Activity E		Output E		Outcome E	

Task 3) Reflections

Task Type: Text (NOT SOCIALISED)

Public Task

- How did you feel completing that activity?
- Did you find it challenging?
- Did you do anything similar when putting together your application?

Task 4) Close

Task type: Text

A huge thank you for taking part in this online community. We hope you have enjoyed taking part. We are looking forward to reviewing all of your responses to the questions. Do let us know if you have any questions by emailing [insert named contact] at: [insert email address]

Quarterly information management questionnaire

Wave 1 quarterly information management questionnaire

Question text	Acceptable answers
INTRODUCTION Thank you for completing this Management Information Questionnaire. The purpose of this questionnaire is to enable you to collect relevant information about your RPF project and provide us with an update about your progress in delivering against the objectives of the Regulators' Pioneer Fund over the last three months. This questionnaire will be sent to you to complete on quarterly basis. Your quarterly responses will be collated and along with qualitative research undertaken separately (through focus groups, interviews and case studies), will be used for an intermediate assessment of the RPF outputs and outcomes in 2019, and the success of the programme against its stated objectives at the end of the programme in 2020. Your responses will help BEIS assess the effectiveness of the RPF programme and take away important learnings should additional rounds of funding be made available by Government in future for similar initiatives.	TEXT SCREEN ONLY
WHAT WE ARE ASKING YOU TO DO RPF has attracted a variety of projects. BEIS has identified seven key outputs for the RPF programme that can be consistently assessed across the projects. This questionnaire includes several questions for each of those seven outputs. BEIS has been in touch with you to confirm which of those seven outputs you are focusing on over the life of your funding. Consequently, this questionnaire is split into two sections: a REQUIRED section: this section includes all the RPF outputs you have told BEIS you are trying to deliver. You are required to answer all the questions relating to each of these outputs an OPTIONAL section: this section includes all the other RPF outputs. You have told BEIS these outputs are not a priority for your project. Consequently, you may choose to leave these questions blank. However, we encourage you to look at these	TEXT SCREEN ONLY

questions, and if you have relevant information, please do provide it to help us build a better picture of your project's progress.	
HOW YOUR INFORMATION WILL BE USED Please note, **your responses will not be aggregated with those from other regulators.** Your responses will be used to provide management information to BEIS about the progress of your project. I.e. **your individual responses will be shared with BEIS. Innovate UK and your Monitoring Officer will also have access to this information.** BEIS and Innovate UK will use the data you provide as **management information**. This means they will use the data to review your progress over the last three months. They may also contact you to ask questions, so that they can understand your responses and the data you have provided more fully. BEIS have advised us (Kantar Public) they want to use the data to help learn about how the RPF is working overall. Therefore, they are just as interested to hear about things not working well as to hear about things working well. Kantar Public will also use the data to identify individual potential projects that we can use as case studies for our evaluation work. Your data will help us identify which projects will help provide the most useful evaluation learning and insight. **By clicking forward you acknowledge that you have read, understood and accept the above. If you have any questions before you proceed, please contact the research lead, [insert named contact] at: [insert email address]**	TEXT SCREEN ONLY
GENERAL INSTRUCTIONS FOR COMPLETING THIS QUESTIONNAIRE We have consulted the regulators funded by RPF as we developed this questionnaire. One thing we know is that every RPF-funded project works differently. It is therefore difficult to draft one set of questions that works precisely for each project. This means we invite you to **be flexible in how you interpret the questions**. For instance, some of the questions ask about "businesses" you regulate. But we know some regulators regulate organisations that aren't necessarily businesses. In other words, when deciding how to respond, **please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus**. Help us understand us your project better. As this is being used as	TEXT SCREEN ONLY

management information, BEIS or Kantar Public will be able to follow up with you individually if we need clarification. Following the first wave of this questionnaire (March-April 2019), we may refine questions based on what we learn from this wave. To this end, please fill in the question at the end of the questionnaire with your suggestions on how the questionnaire could be improved to better understand and assess your project.	
REQUIRED SECTION You are **required** to answer the following set of questions - this section includes all the RPF outputs you have told BEIS you are trying to deliver. You are required to answer all the questions relating to each of these outputs.	TEXT SCREEN ONLY
OPTIONAL SECTION Thank you for answering the required questions. The next set of questions are **optional** and you can click forward without entering any answers. We recognise you're not focusing on these outputs but please feel free to provide any additional information in response to these questions.	TEXT SCREEN ONLY
In the last quarter, how many businesses have you engaged with through the new licencing or sandbox regime you set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q1.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have businesses trialled as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have been licenced or approved as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many businesses have you engaged with to advise them about changes in regulatory standards/ expectations that you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref

How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q2.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many times have you released new information/guidance to businesses designed to stimulate innovation, as a result of the RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please describe the nature/format of this new information you have provided to businesses	ASK IF 1 or MORE AT Q2.3 OPEN TEXT
In the last quarter, how many new products and services or processes or models have businesses trialled as a result of the information services and/or changes to standards and rules you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products and services or processes or models have been licenced as a result of the information services and/or changes to standards you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Have you generated new advice or information for businesses in order to cut the time or cost of introducing new products/services/ processes, as a result of the RPF funding?	Yes No
If yes, in the last quarter, how many businesses have contacted you to access that advice? (Please include all channels - e.g. web downloads, phone contact etc)	ASK IF YES AT Q3.1
Have you simplified processes in order to cut the time or cost of introducing new products/services/processes (but not counting sandboxes), as a result of RPF funding? (e.g. simplified information or licensing processes)	Yes No
If yes, in the last quarter, how many businesses have used the simplified processes you have introduced?	ASK IF YES AT Q3.3
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of better advice provided due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of simplified processes set up due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref

What evidence do you have that this activity has reduced the time and cost for businesses to develop and/or license innovative products and services?	OPEN, None
What evidence do you have that this activity has reduced the time and cost for you (the regulator) in enabling businesses to develop and/or license innovative products and services?	OPEN, None
In the last quarter, how many new products and/or services have been introduced to the market as a result of the advice and simplified processes (other than sandboxes) that you have introduced under RPF (If none, enter 0)	NUMERIC 0-500, DK, Ref
If you HADN'T introduced the new advice and processes under RPF, please estimate what proportion of these new products and services would have made it to market	SCALE: All (close to 100%) Most (around 75%) Around half (around 50%) Some (around 25%) None DK, Ref
What evidence can you provide that this RPF-funded activity is increasing business and investor confidence that your regulatory approach encourages innovation?	OPEN, None
What evidence can you provide that this RPF-funded activity is increasing business access to finance for developing new, innovative products and services?	OPEN, None
In the last quarter, how many new businesses/organisations are operating in the sector you regulate as a result of your RPF-funded activity? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Over the last quarter, has the media coverage of your RPF funded project been:	Entirely positive Mostly positive A mix of positive and negative Mostly negative Entirely

	negative. DK, Ref
Where possible, please specify if this was UK or international media.	UK media International Media Both DK, Ref
Please provide links to a selection of articles in the media that reflect your answer above	OPEN
What evidence do you have that this RPF-funded activity is increasing consumer confidence in the markets you regulate?	OPEN
Thinking about the products and services or processes/models covered by your RPF-funded activity, over the last quarter have consumer complaints increased/decreased/stayed the same/don't know?	Increased Decreased Stayed the same DK, Ref
What evidence do you have to support this conclusion?	OPEN
If consumer complaints have increased or decreased, to what extent do you attribute this to the activity you have been doing in your RPF funded project?	ASK IF 'Increased' or 'Decreased' AT Q5.2 Entirely due to RPF Mainly due to RPF Partly due to RPF Entirely due to other factors
In the last quarter, how many other UK based regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/ collaborations have you established with other UK based regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref

Please briefly describe any changes to your own practice over the last quarter as a result of such contact with other regulators (e.g. due to something you learnt from them), due to the RPF	OPEN
In the last quarter, how many international regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/collaborations have you established with international regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practices over the last quarter as a result of this contact with other regulators, due to RPF	OPEN
Thank you for taking the time to complete this questionnaire. As mentioned, we may refine the questionnaire following this first wave. Are there any comments or suggestions you would like to share that helps us better understand your project and its impacts and, therefore, how the questionnaire can be improved to better capture relevant evidence?	TEXT SCREEN ONLY

Additional follow up questions

The below questions were included as additional probes for the MHRA, FCA Cross-sector Regulatory Sandbox, and Ofgem Future Services Lab projects as they noted difficulties responding to the questionnaire in the format provided given the nature of their projects.

- How would you conclude that your RPF project has been successful? Can you describe what success looks like for you?
- What evidence do you currently have that you being successful in delivering this?
- How do you envisage this will support innovation and business growth in your sector?
- What learning and benefits have emerged from the work you have done in your project to date, and how do you plan to exploit and/or disseminate these?

Wave 2 quarterly information management questionnaire

Question text	Acceptable answers
INTRODUCTION Thank you for completing this Management Information Questionnaire. The purpose of this quarterly questionnaire is to enable you to collect relevant information about your RPF project and provide us with an update on how your project is developing and how you're working towards the overall objectives of the RPF programme. Your quarterly responses will be collated and along with qualitative research undertaken separately (including focus groups, interviews and case studies), will be used for an intermediate assessment of the RPF outputs and outcomes in 2019, and the success of the programme against its stated objectives at the end of the programme in 2020. Your responses will help BEIS assess the effectiveness of the RPF programme and take away important learnings on your experiences of engaging with the Fund and how it could be improved to provide better support for regulators in future.	TEXT SCREEN ONLY
WHAT WE ARE ASKING YOU TO DO The RPF programme has seven key outputs which are the object of this questionnaire. You will be asked several questions for each of those seven outputs. The questionnaire is split into three sections: a REQUIRED section: this includes all the RPF outputs you have told BEIS are priority for your project. You are required to answer all the questions relating to each of these outputs; an OPTIONAL section: this includes all the other RPF outputs. You may choose to leave these questions blank. However, we encourage you to look at these questions, and if you have relevant information, please do provide it to help us build a better picture of your project's development; a BROAD REFLECTIONS section: this includes questions about the challenges you encountered through your RPF funded project or any other lessons learned that might help us to improve the delivery of the fund for the future.	TEXT SCREEN ONLY

HOW YOUR INFORMATION WILL BE USED Your responses will not be aggregated with those from other regulators, but will be used to provide management information to BEIS about the development of your project, i.e. your individual responses will be shared with BEIS. Innovate UK and your Monitoring Officer will also have access to this information. BEIS and Innovate UK will use the data you provide as management information. This means they will use the data to review your progress over the last three months. They may also contact you to ask questions, so that they can understand your responses and the data you have provided more fully. One key way your data will be used is to **help BEIS understand the challenges of enabling innovation in your sector and to learn about how the RPF is working overall.** Therefore, they are just as interested to hear about things not working well as to hear about things working well. At this stage, we (Kantar Public) will also use the data **to identify individual projects that we can use as case studies** for our evaluation work. Your data will help us identify which projects will help provide the most useful evaluation learning and insight. As said, this can be positive or otherwise. **By clicking forward you acknowledge that you have read, understood and accept the above. If you have any questions before you proceed, please contact the research lead, [insert named contact] at: [insert email address]**	TEXT SCREEN ONLY
GENERAL INSTRUCTIONS FOR COMPLETING THIS QUESTIONNAIRE This questionnaire has been developed in consultation with the regulators funded by RPF. We understand that every RPF-funded project works differently. It is therefore difficult to draft one set of questions that works precisely for each project. So we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate. We know some regulators regulate organisations that aren't necessarily businesses. Please respond if the question is still applicable to you.	TEXT SCREEN ONLY

In other words, when deciding how to respond, please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus. Please **be as candid and open as you can** to help us and BEIS understand your project's better, as this will help BEIS identify any additional support needs and ways to improve RPF for the future. Please note, as this is being used as management information, BEIS or Kantar Public will be able to **follow up with you individually if we need clarification.** Following the first wave of this questionnaire (July-August 2019), we may refine questions based on what we learn from this wave. To this end, please fill in the question at the end of the questionnaire with your suggestions on how the questionnaire could be improved to better understand and assess your project.	
REQUIRED SECTION You are **required** to answer the following set of questions - this section includes all the RPF outputs you have told BEIS you are trying to deliver. You are required to answer all the questions relating to each of these outputs.	TEXT SCREEN ONLY
OPTIONAL SECTION Thank you for answering the required questions. The next set of questions are **optional** and you can click forward without entering any answers. We recognise you're not focusing on these outputs but please feel free to provide any additional information in response to these questions.	TEXT SCREEN ONLY
In the last quarter, how many businesses have you engaged with through the new licencing or sandbox regime you set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q1.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have businesses trialled as a result of the	NUMERIC 0-500, DK, Ref

licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	
In the last quarter, how many new products, services or processes or models have been licenced or approved as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN
In the last quarter, how many businesses have you engaged with to advise them about changes in regulatory standards/ expectations that you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q2.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many times have you released new information/guidance to businesses designed to stimulate innovation, as a result of the RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please describe the nature/format of this new information you have provided to businesses	ASK IF 1 or MORE AT Q2.3 OPEN TEXT
In the last quarter, how many new products and services or processes or models have businesses trialled as a result of the information services and/or changes to standards and rules you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products and services or processes or models have been licenced as a result of the information services and/or changes to standards you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects	OPEN

to have in this innovation area - whether initial, small or not quantifiable yet.	
Have you generated new advice or information for businesses in order to cut the time or cost of introducing new products/services/ processes, as a result of the RPF funding?	Yes No
If yes, in the last quarter, how many businesses have contacted you to access that advice? (Please include all channels - e.g. web downloads, phone contact etc)	ASK IF YES AT Q3.1
Have you simplified processes in order to cut the time or cost of introducing new products/services/processes (but not counting sandboxes), as a result of RPF funding? (e.g. simplified information or licensing processes)	Yes No
If yes, in the last quarter, how many businesses have used the simplified processes you have introduced?	ASK IF YES AT Q3.3
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of better advice provided due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of simplified processes set up due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
What evidence do you have that this activity has reduced the time and cost for businesses to develop and/or license innovative products and services?	OPEN, None
What evidence do you have that this activity has reduced the time and cost for you (the regulator) in enabling businesses to develop and/or license innovative products and services?	OPEN, None
In the last quarter, how many new products and/or services have been introduced to the market as a result of the advice and simplified processes (other than sandboxes) that you have introduced under RPF (If none, enter 0)	NUMERIC 0-500, DK, Ref
If you HADN'T introduced the new advice and processes under RPF, please estimate what proportion of these new products and services would have made it to market	SCALE: All (close to 100%) Most (around 75%) Around half (around 50%) Some (around 25%)

	None DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN
What evidence can you provide that this RPF-funded activity is increasing business and investor confidence that your regulatory approach encourages innovation?	OPEN, None
What evidence can you provide that this RPF-funded activity is increasing business access to finance for developing new, innovative products and services?	OPEN, None
In the last quarter, how many new businesses/organisations are operating in the sector you regulate as a result of your RPF-funded activity? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Over the last quarter, has the media coverage of your RPF funded project been:	Entirely positive Mostly positive A mix of positive and negative Mostly negative Entirely negative. DK, Ref
Where possible, please specify if this was UK or international media.	UK media International Media Both DK, Ref
Please provide links to a selection of articles in the media that reflect your answer above	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN
What evidence do you have that this RPF-funded activity is increasing consumer confidence in the markets you regulate?	OPEN

Thinking about the products and services or processes/models covered by your RPF-funded activity, over the last quarter have consumer complaints increased/decreased/stayed the same/don't know?	Increased Decreased Stayed the same DK, Ref
What evidence do you have to support this conclusion?	OPEN
If consumer complaints have increased or decreased, to what extent do you attribute this to the activity you have been doing in your RPF funded project?	ASK IF 'Increased' or 'Decreased' AT Q5.2 Entirely due to RPF Mainly due to RPF Partly due to RPF Entirely due to other factors
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN
In the last quarter, how many other UK based regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/ collaborations have you established with other UK based regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practice over the last quarter as a result of such contact with other regulators (e.g. due to something you learnt from them), due to the RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN

In the last quarter, how many international regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/collaborations have you established with international regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practices over the last quarter as a result of this contact with other regulators, due to RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet.	OPEN
INTRODUCTION TO BROADER REFLECTIONS These questions are designed for you to help us better understand your experience of the RPF, and any lessons you might have learned. In particular, we are interested in feedback that could help improve the design and delivery of the programme, or other observations that would improve the likelihood of success.	TEXT SCREEN ONLY
Please help us understand any challenges or barriers you've experienced in taking forward your project, so we can learn from your experience up to this point	OPEN
Please tell us in brief of any lessons you have learnt through your project about enabling innovation through regulation	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging stakeholders to better understand their needs	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging other regulators learn from, or to work with, them	OPEN
Please tell us in what ways, if any, the support you have received from the RPF could be improved. This will help us understand how to improve programme delivery, design or information provision for the future	OPEN

How have RPF funding and/or participation in the RPF helped you?	OPEN
Thank you for taking the time to complete this questionnaire. As mentioned, please let us know if there any comments or suggestions you would like to share that helps us better understand your project and its impacts and, therefore, how the questionnaire can be improved to better capture relevant evidence.	TEXT SCREEN ONLY

Wave 3 quarterly information management questionnaire

Question text	Acceptable answers
INTRODUCTION Thank you for completing this Management Information Questionnaire. The purpose of this quarterly questionnaire is to enable you to collect relevant information about your RPF project and provide us with an update on how your project is developing and how you're working towards the overall objectives of the RPF programme. Your quarterly responses will be collated and along with qualitative research undertaken separately (including focus groups, interviews and case studies), will be used for an intermediate assessment of the RPF outputs and outcomes in 2019, and the success of the programme against its stated objectives at the end of the programme in 2020. Your responses will help BEIS assess the effectiveness of the RPF programme and take away important learnings on your experiences of engaging with the Fund and how it could be improved to provide better support for regulators in future.	TEXT SCREEN ONLY
WHAT WE ARE ASKING YOU TO DO The RPF programme has seven key outputs which are the object of this questionnaire. You will be asked several questions for each of those seven outputs. The questionnaire is split into three sections: a REQUIRED section: this includes all the RPF outputs you have told BEIS are priority for your project. You are required to answer all the questions relating to each of these outputs; an OPTIONAL section: this includes all the other RPF outputs. You may choose to leave these questions blank. However, we encourage you to look at these questions, and if you have relevant information, please do provide it to help us build a better picture of your project's development; a BROAD REFLECTIONS section: this includes questions about the challenges you encountered through your RPF funded project or any other lessons learned that might help us to improve the delivery of the fund for the future. **This section should be relevant to all projects, so if you feel the questions are not applicable, please explain why in the open-ended question at the end of the section.**	TEXT SCREEN ONLY

HOW YOUR INFORMATION WILL BE USED Your responses will not be aggregated with those from other regulators, but will be used to provide management information to BEIS about the development of your project, i.e. your individual responses will be shared with BEIS. Innovate UK and your Monitoring Officer will also have access to this information. BEIS and Innovate UK will use the data you provide as management information. This means they will use the data to review your progress over the last three months. They may also contact you to ask questions, so that they can understand your responses and the data you have provided more fully. One key way your data will be used is to **help BEIS understand the challenges of enabling innovation in your sector and to learn about how the RPF is working overall.** Therefore, they are just as interested to hear about things not working well as to hear about things working well. At this stage, we (Kantar Public) will also use the data **to identify individual projects that we can use as case studies** for our evaluation work. Your data will help us identify which projects will help provide the most useful evaluation learning and insight. As said, this can be positive or otherwise. **By clicking forward you acknowledge that you have read, understood and accept the above. If you have any questions before you proceed, please contact the research lead, [insert named contact] at: [insert email address]**	TEXT SCREEN ONLY
GENERAL INSTRUCTIONS FOR COMPLETING THIS QUESTIONNAIRE This questionnaire has been developed in consultation with the regulators funded by RPF. We understand that every RPF-funded project works differently. It is therefore difficult to draft one set of questions that works precisely for each project. So we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate. We know some regulators regulate organisations that aren't necessarily businesses. Please respond if the question is still applicable to you. In other words, when deciding how to respond, please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus. Please **be as candid and open as you can** to help us and BEIS understand your project's better, as this will help BEIS identify any additional support needs and ways to improve RPF for the future. Please note, as this is being used as management information, BEIS or Kantar Public will be able to **follow up with you individually if we need clarification.**	TEXT SCREEN ONLY

Following the first wave of this questionnaire (July-August 2019), we may refine questions based on what we learn from this wave. To this end, please fill in the question at the end of the questionnaire with your suggestions on how the questionnaire could be improved to better understand and assess your project.	
REQUIRED SECTION You are required to answer the following set of questions - this section includes all the RPF outputs you agreed are a focal output for your project. If they are no longer relevant or this has changed, please provide details as to why this is the case. Currently, BEIS's understanding is that these outputs are still relevant for your project. Also, we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate and we know some regulators regulate organisations that aren't necessarily businesses – these questions would be applicable in relation to the *organisations* you do regulate. Please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus, and if it still seems not applicable to your project, please briefly explain why in the open-ended question at the end of the section.	TEXT SCREEN ONLY
OPTIONAL SECTION Thank you for answering the required questions. The next set of questions are **optional** and you can click forward without entering any answers. We recognise you're not focusing on these outputs but please feel free to provide any additional information in response to these questions, helping us to build a better picture of your project's development Also, we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate and we know some regulators regulate organisations that aren't necessarily businesses – these questions would be applicable in relation to the *organisations* you do regulate. Please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus, and if it still seems not applicable to your project, please briefly explain why.	TEXT SCREEN ONLY
In the last quarter, how many businesses have you engaged with through the new licencing or sandbox regime you set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q1.1

	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have businesses trialled as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have been licenced or approved as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
In the last quarter, how many businesses have you engaged with to advise them about changes in regulatory standards/ expectations that you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q2.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many times have you released new information/guidance to businesses designed to stimulate innovation, as a result of the RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please describe the nature/format of this new information you have provided to businesses	ASK IF 1 or MORE AT Q2.3 OPEN TEXT
In the last quarter, how many new products and services or processes or models have businesses trialled as a result of the information services and/or changes to standards and rules you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products and services or processes or models have been licenced as a result of the information services and/or changes to standards you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref

Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
Have you generated new advice or information for businesses in order to cut the time or cost of introducing new products/services/ processes, as a result of the RPF funding?	Yes No
If yes, in the last quarter, how many businesses have contacted you to access that advice? (Please include all channels - e.g. web downloads, phone contact etc)	ASK IF YES AT Q3.1
Have you simplified processes in order to cut the time or cost of introducing new products/services/processes (but not counting sandboxes), as a result of RPF funding? (e.g. simplified information or licensing processes)	Yes No
If yes, in the last quarter, how many businesses have used the simplified processes you have introduced?	ASK IF YES AT Q3.3
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of better advice provided due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of simplified processes set up due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
What evidence do you have that this activity has reduced the time and cost for businesses to develop and/or license innovative products and services?	OPEN, None
What evidence do you have that this activity has reduced the time and cost for you (the regulator) in enabling businesses to develop and/or license innovative products and services?	OPEN, None
In the last quarter, how many new products and/or services have been introduced to the market as a result of the advice and simplified processes (other than sandboxes) that you have introduced under RPF (If none, enter 0)	NUMERIC 0-500, DK, Ref
If you HADN'T introduced the new advice and processes under RPF, please estimate what proportion of these new products and services would have made it to market	SCALE: All (close to 100%) Most (around 75%) Around half

	(around 50%) Some (around 25%) None DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
What evidence can you provide that this RPF-funded activity is increasing business and investor confidence that your regulatory approach encourages innovation?	OPEN, None
What evidence can you provide that this RPF-funded activity is increasing business access to finance for developing new, innovative products and services?	OPEN, None
In the last quarter, how many new businesses/organisations are operating in the sector you regulate as a result of your RPF-funded activity? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Over the last quarter, has the media coverage of your RPF funded project been:	Entirely positive Mostly positive A mix of positive and negative Mostly negative Entirely negative. DK, Ref
Where possible, please specify if this was UK or International media.	UK media International Media Both DK, Ref
Please provide links to a selection of articles in the media that reflect your answer above	OPEN

Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
What evidence do you have that this RPF-funded activity is increasing consumer confidence in the markets you regulate?	OPEN
Thinking about the products and services or processes/models covered by your RPF-funded activity, over the last quarter have consumer complaints increased/decreased/stayed the same/don't know?	Increased Decreased Stayed the same DK, Ref
What evidence do you have to support this conclusion?	OPEN
If consumer complaints have increased or decreased, to what extent do you attribute this to the activity you have been doing in your RPF funded project?	ASK IF 'Increased' or 'Decreased' AT Q5.2 Entirely due to RPF Mainly due to RPF Partly due to RPF Entirely due to other factors
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
In the last quarter, how many other UK based regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/ collaborations have you established with other UK based regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with	NUMERIC 0-500, DK, Ref

terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	
Please briefly describe any changes to your own practice over the last quarter as a result of such contact with other regulators (e.g. due to something you learnt from them), due to the RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
In the last quarter, how many international regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/collaborations have you established with international regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practices over the last quarter as a result of this contact with other regulators, due to RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
INTRODUCTION TO BROADER REFLECTIONS These questions are designed for you to help us better understand your experience of the RPF, and any lessons you might have learned. In particular, we are interested in feedback that could help improve the design and delivery of the programme, or other observations that would improve the likelihood of success.	TEXT SCREEN ONLY
Please help us understand any challenges or barriers you've experienced in taking forward your project, so we can learn from your experience up to this point	OPEN

Please tell us in brief of any lessons you have learnt through your project about enabling innovation through regulation	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging stakeholders to better understand their needs	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging other regulators learn from, or to work with, them	OPEN
Please tell us in what ways, if any, the support you have received from the RPF could be improved. This will help us understand how to improve programme delivery, design or information provision for the future	OPEN
How have RPF funding and/or participation in the RPF helped you?	OPEN
Thank you for taking the time to complete this questionnaire. As mentioned, please let us know if there any comments or suggestions you would like to share that helps us better understand your project and its impacts and, therefore, how the questionnaire can be improved to better capture relevant evidence.	TEXT SCREEN ONLY

Wave 4 quarterly information management questionnaire

Question text	Acceptable answers
INTRODUCTION Thank you for completing this Management Information Questionnaire. The purpose of this quarterly questionnaire is to enable you to collect relevant information about your RPF project and provide us with an update on how your project is developing and how you're working towards the overall objectives of the RPF programme. Your quarterly responses will be collated and along with qualitative research undertaken separately (including focus groups, interviews and case studies), will be used for an intermediate assessment of the RPF outputs and outcomes in 2019, and the success of the programme against its stated objectives at the end of the programme in 2020. Your responses will help BEIS asses the effectiveness of the RPF programme and take away important learnings on your experiences of engaging with the Fund and how it could be improved to provide better support for regulators in future.	TEXT SCREEN ONLY
WHAT WE ARE ASKING YOU TO DO The RPF programme has seven key outputs which are the object of this questionnaire. You will be asked several questions for each of those seven outputs. The questionnaire is split into three sections: a REQUIRED section: this includes all the RPF outputs you have told BEIS are priority for your project. You are required to answer all the questions relating to each of these outputs; an OPTIONAL section: this includes all the other RPF outputs. You may choose to leave these questions blank. However, we encourage you to look at these questions, and if you have relevant information, please do provide it to help us build a better picture of your project's development; a BROAD REFLECTIONS section: this includes questions about the challenges you encountered through your RPF funded project or any other lessons learned that might help us to improve the delivery of the fund for the future. **This section should be relevant to all projects, so if you feel the questions are not applicable, please**	TEXT SCREEN ONLY

explain why in the open-ended question at the end of the section.	
HOW YOUR INFORMATION WILL BE USED Your responses will not be aggregated with those from other regulators, but will be used to provide management information to BEIS about the development of your project, i.e. your individual responses will be shared with BEIS. Innovate UK and your Monitoring Officer will also have access to this information. BEIS and Innovate UK will use the data you provide as management information. This means they will use the data to review your progress over the last three months. They may also contact you to ask questions, so that they can understand your responses and the data you have provided more fully. One key way your data will be used is to **help BEIS understand the challenges of enabling innovation in your sector and to learn about how the RPF is working overall.** Therefore, they are just as interested to hear about things not working well as to hear about things working well. At this stage, we (Kantar Public) will also use the data **to identify individual projects that we can use as case studies** for our evaluation work. Your data will help us identify which projects will help provide the most useful evaluation learning and insight. As said, this can be positive or otherwise. **By clicking forward you acknowledge that you have read, understood and accept the above. If you have any questions before you proceed, please contact the research lead, [insert named contact] at: [insert email address]**	TEXT SCREEN ONLY
GENERAL INSTRUCTIONS FOR COMPLETING THIS QUESTIONNAIRE This questionnaire has been developed in consultation with the regulators funded by RPF. We understand that every RPF-funded project works differently. It is therefore difficult to draft one set of questions that works precisely for each project. So we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate. We know some regulators regulate organisations that aren't necessarily businesses. Please respond if the question is still applicable to you.	TEXT SCREEN ONLY

In other words, when deciding how to respond, please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus. Please **be as candid and open as you can** to help us and BEIS understand your project's better, as this will help BEIS identify any additional support needs and ways to improve RPF for the future. Please note, as this is being used as management information, BEIS or Kantar Public will be able to **follow up with you individually if we need clarification.** Following the first wave of this questionnaire (July-August 2019), we may refine questions based on what we learn from this wave. To this end, please fill in the question at the end of the questionnaire with your suggestions on how the questionnaire could be improved to better understand and assess your project.	
REQUIRED SECTION You are required to answer the following set of questions - this section includes all the RPF outputs you agreed are a focal output for your project. If they are no longer relevant or this has changed, please provide details as to why this is the case. Currently, BEIS's understanding is that these outputs are still relevant for your project. Also, we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate and we know some regulators regulate organisations that aren't necessarily businesses – these questions would be applicable in relation to the *organisations* you do regulate. Please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus, and if it still seems not applicable to your project, please briefly explain why in the open-ended question at the end of the section.	TEXT SCREEN ONLY
OPTIONAL SECTION Thank you for answering the required questions. The next set of questions are **optional** and you can click forward without entering any answers. We recognise you're not focusing on these outputs but please feel free to provide any additional information in response to these questions, helping us to build a better picture of your project's development	TEXT SCREEN ONLY

Also, we invite you to **be flexible in how you interpret the questions.** For instance, some of the questions ask about the "businesses" you regulate and we know some regulators regulate organisations that aren't necessarily businesses – these questions would be applicable in relation to the *organisations* you do regulate. Please use your best interpretation of what the question is seeking to establish in the context of your own regulatory duties/focus, and if it still seems not applicable to your project, please briefly explain why.	
In the last quarter, how many businesses have you engaged with through the new licencing or sandbox regime you set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q1.1 NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have businesses trialled as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products, services or processes or models have been licenced or approved as a result of the licencing/sandbox regime you have set up with RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
In the last quarter, how many businesses have you engaged with to advise them about changes in regulatory standards/ expectations that you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
How many of these are businesses that you hadn't engaged with prior to the RPF funded project? (If none, enter 0)	ASK IF 1 OR MORE AT Q2.1

	NUMERIC 0-500, DK, Ref
In the last quarter, how many times have you released new information/guidance to businesses designed to stimulate innovation, as a result of the RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please describe the nature/format of this new information you have provided to businesses	ASK IF 1 or MORE AT Q2.3 OPEN TEXT
In the last quarter, how many new products and services or processes or models have businesses trialled as a result of the information services and/or changes to standards and rules you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many new products and services or processes or models have been licenced as a result of the information services and/or changes to standards you are trialling as a result of RPF funding? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
Have you generated new advice or information for businesses in order to cut the time or cost of introducing new products/services/ processes, as a result of the RPF funding?	Yes No
If yes, in the last quarter, how many businesses have contacted you to access that advice? (Please include all channels - e.g. web downloads, phone contact etc)	ASK IF YES AT Q3.1
Have you simplified processes in order to cut the time or cost of introducing new products/services/processes (but not counting sandboxes), as a result of RPF funding? (e.g. simplified information or licensing processes)	Yes No
If yes, in the last quarter, how many businesses have used the simplified processes you have introduced?	ASK IF YES AT Q3.3

When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of better advice provided due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
When trialling new products/services/processes/models, how many businesses have benefited from reduced time or cost, as a result of simplified processes set up due to the RPF project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
What evidence do you have that this activity has reduced the time and cost for businesses to develop and/or license innovative products and services?	OPEN, None
What evidence do you have that this activity has reduced the time and cost for you (the regulator) in enabling businesses to develop and/or license innovative products and services?	OPEN, None
In the last quarter, how many new products and/or services have been introduced to the market as a result of the advice and simplified processes (other than sandboxes) that you have introduced under RPF (If none, enter 0)	NUMERIC 0-500, DK, Ref
If you HADN'T introduced the new advice and processes under RPF, please estimate what proportion of these new products and services would have made it to market	SCALE: All (close to 100%) Most (around 75%) Around half (around 50%) Some (around 25%) None DK, Ref
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
What evidence can you provide that this RPF-funded activity is increasing business and investor confidence that your regulatory approach encourages innovation?	OPEN, None

What evidence can you provide that this RPF-funded activity is increasing business access to finance for developing new, innovative products and services?	OPEN, None
In the last quarter, how many new businesses/organisations are operating in the sector you regulate as a result of your RPF-funded activity? (If none, enter 0)	NUMERIC 0-500, DK, Ref
Over the last quarter, has the media coverage of your RPF funded project been:	Entirely positive Mostly positive A mix of positive and negative Mostly negative Entirely negative. DK, Ref
Where possible, please specify if this was UK or International media.	UK media International Media Both DK, Ref
Please provide links to a selection of articles in the media that reflect your answer above	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
What evidence do you have that this RPF-funded activity is increasing consumer confidence in the markets you regulate?	OPEN
Thinking about the products and services or processes/models covered by your RPF-funded activity, over the last quarter have consumer complaints increased/decreased/stayed the same/don't know?	Increased Decreased Stayed the same DK, Ref
What evidence do you have to support this conclusion?	OPEN

If consumer complaints have increased or decreased, to what extent do you attribute this to the activity you have been doing in your RPF funded project?	ASK IF 'Increased' or 'Decreased' AT Q5.2 Entirely due to RPF Mainly due to RPF Partly due to RPF Entirely due to other factors
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
In the last quarter, how many other UK based regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/ collaborations have you established with other UK based regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practice over the last quarter as a result of such contact with other regulators (e.g. due to something you learnt from them), due to the RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN

In the last quarter, how many international regulators have you engaged with as a result of your RPF funded project? (If none, enter 0)	NUMERIC 0-500, DK, Ref
In the last quarter, how many formal partnerships/collaborations have you established with international regulators as a result of your RPF funded project? (Count only collaborations which you have formalised, e.g. with terms of reference, memoranda of understanding, or governance arrangements such as a steering group) (If none, enter 0)	NUMERIC 0-500, DK, Ref
Please briefly describe any changes to your own practices over the last quarter as a result of this contact with other regulators, due to RPF	OPEN
Please use this space to explain your answers or give any additional information to help us put your answers into context. We're really interested in understanding your efforts towards this output and any impact you feel your project is having or expects to have in this innovation area - whether initial, small or not quantifiable yet. [ADD FOR MANDATORY BLOCK ONLY]: **If you have answered 'Not applicable' for any of the questions in this block, please provide details below as to why the question is not applicable/relevant.**	OPEN
INTRODUCTION TO BROADER REFLECTIONS These questions are designed for you to help us better understand your experience of the RPF, and any lessons you might have learned. In particular, we are interested in feedback that could help improve the design and delivery of the programme, or other observations that would improve the likelihood of success.	TEXT SCREEN ONLY
Please help us understand any challenges or barriers you've experienced in taking forward your project, so we can learn from your experience up to this point. Please note these final few questions are to capture any additional reflections **from the past quarter.**	OPEN
Please tell us in brief of any lessons you have learnt through your project about enabling innovation through regulation	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging stakeholders to better understand their needs	OPEN
Please tell us in brief of any lessons you have learnt through your project about engaging other regulators learn from, or to work with, them	OPEN

Please tell us in what ways, if any, the support you have received from the RPF could be improved. This will help us understand how to improve programme delivery, design or information provision for the future	OPEN
How have RPF funding and/or participation in the RPF helped you?	OPEN
In April/May 2020, we will be conducting follow up discussions with select projects to help build 'case study' stories to report on the funding programme in more detail. These discussions will (ideally) involve: - Bid manager - Core project team members, including a senior person providing oversight and strategic leadership Our understanding from BEIS is that many projects have already confirmed that there are little/no team changes expected but can you please confirm which of the following statements best describes your current expectations on the project team following the end of the funding period (March 31st 2020)?	1. We don't anticipate any key members of the project team to leave the project team on/around March 31st 2. We anticipate some members of the project team to leave the project team on/around March 31st but should still be able to effectively contribute to case study interviews in April/May 3. We anticipate key members of the project team to leave the project team on/around March 31st and not be available for any case study interviews in April/May
IF ANSWERED CODE 2 or CODE 3 AT Q9.1 Q9.2: Can you please provide a little detail on what team changes you anticipate after March 31st? Please provide the names and the contact details of the people we can contact in relation to your RPF project after March 31st.	[OPEN RESPONSE. Text length: Min 2 - Max 500 characters]

Thank you very much for taking the time to complete this questionnaire and for all your contribution to this evaluation.	TEXT SCREEN ONLY

Final quarterly information management questionnaire findings

Output		Summary of MI across 4 waves
1	*New business innovation through new licencing or sandbox regimes*	Regulators reported having engaged with a total of **653** businesses and other relevant organisations in relation to their sandboxes and challenges, **374** of these for the first time Regulators reported that **15** new products, processes or services were trialled
2	*Innovation by changing outcomes/releasing new information*	Regulators reported having released **18** pieces of guidance to businesses Regulators reported that **341** businesses and other relevant stakeholders had contacted them to access newly released information
3	*Reduced time or cost of introducing business innovation*	Regulators reported that **497** organisations benefited from reduced time/ cost of innovation from advice Regulators reported that **212** businesses benefited from reduced time/ cost of innovation from simplified processes
4	*Improved business/investor confidence in business innovation regulation*	Regulators reported **121** articles published on the project
5	*Improved consumer confidence in business innovation*	No innovation released into markets. IPO conducted usability tests and received positive feedback from a small sample (10 consumers).
6	*Other UK regulators influenced to take up pro-innovation regulatory approach*	Regulators reported having engaged with **380** other UK regulators Regulators reported having formed **39** formal partnerships
7	*Influencing other international administrations to align with regulatory approach*	Regulators reported having engaged with **96** international administrations and regulators Regulators reported having formed **4** formal partnerships

Case studies topic guides

Interim case studies (Aug. 2019) – Project team topic 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 in the sectors regulators operate in. To this end, we are interested in speaking to the core teams of projects showing significant progress.

Specifically, interviews will seek to uncover:

- Regulators' understanding and experience of the RPF;
- Expected and unexpected challenges they encountered over the course of their project;
- Lessons they learned about enabling innovation in their sector, engaging with businesses, regulators and other stakeholders;
- Any outcomes and impact of their project 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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (3 mins)

- Researcher to introduce themselves & Kantar (an independent research company)
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand their progress so far, any challenges they encountered and any lessons they learned about innovating in their sector and work with the RPF
- Interview will be around 60 mins
- The interview is voluntary – they can stop participating any time
- 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 understand how to improve the RPF going forward
- Your responses will not be anonymous. Your individual replies will be shared with BEIS, IUK and other government departments with potential interest in the RPF programme.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Any questions now? – feel free to also ask questions at any point.

Brief project summary

……
……
……
……

2. Background on them and the project (10 mins)

Objectives:

- Getting to know and building rapport with interviewees
- Explore their wider role and how RPF one fits within it
- Understand the regulatory context and project background

- **What is their wider role within the regulator?**
    - What are their main responsibilities?
    - How long have they been in the industry? What is their background?

- **Can they tell us a bit about the sector they regulate?**
    - What are their main duties as the regulator?
    - What businesses/organisations do they regulate?
    - How do they normally interact with them?
- **Can they tell us a bit about their role with regards to the project?**
    - What are their responsibilities?
    - **When did they become involved? (REFER TO THIS FOR FOLLOWING QUESTIONS)**
- **What is their project about in a nutshell?**
    - What change are they seeking to achieve?

3. The bidding process (5 mins)

Objectives:
- Uncover the regulator's understanding of the RPF
- Identify motivations for applying for RPF funding and their expectations
- Assess their initial understanding of the problem they're addressing

- **What motivated them to bid for RPF funding?**
    - What other government funding schemes, if any, have they bid for in the past to their knowledge?
    - What, if anything, made RPF different from other funding models?
    - Was the purpose of the fund clear?
    - **FOR BID MANAGERS/THOSE INVOLVED AT BIDDING STAGE:** What was their role in the bidding process?
- **What was/is their understanding of the problem the project is trying to address?**
    - What would they say might be the main challenges to innovation in the sector? Why?
    - How were these challenges identified and what level of understanding of the issues felt they had before the RPF?

- **What were they expectations of receiving RPF funding? (at bidding stage or when they became involved)**
    - Did they feel they understood the RPF purpose well?
    - What was their vision for the project? (what changes/innovations were they expecting to result from the project and what would be the main benefits?)
    - What was their initial timeframe for outcomes?
    - Have these expectations changed? Why?

4. Experience of project set up & implementation (15 mins)

Objectives:

- Understand their experience of the project
- Explore challenges and lessons learned about enabling innovation and engaging with internal and external stakeholders
- Identify support needs and how RPF has helped them

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… …… ……	…… …… …… …… …… ……

- **What have there been their main areas of work since the project started?**
    - What key activities did that include?
    - How does the work they've been doing compare with their original plan?
    - Have they made any changes? Why?
    - **In what ways, if any, has their understanding of the problem they were trying to address developed?** What prompted this?
- **How would they describe their experience of project set-up?**
    - Any challenges faced in getting your project going well?
    - What were your key learnings (positive and negative) from the set up and initiation phase of your project?
    - Would you do anything differently with hindsight? What, and why?

- **How would they describe their experience of project delivery?**
    - What do they think are their main achievements to date? Why?
    - What do they feel has facilitated their progress? Why?
    - Is there anything they think they could have done better?
    - What were the main barriers the project has had to overcome in order to make progress?
        - Internal (within your organisation)
        - External (your delivery partners and/or other sector stakeholders)
- **Internal engagement**
    - What types of internal engagement did they have to do for the project? Why?
    - What was the response from their organisation?
    - **PROBE:** delivering innovation, adopting innovative internal approaches
    - What changes – or early indications of change – have happened in your organisations as a result of your project?
- **Stakeholder engagement**
    - To what extent did they engage with external stakeholders? Why?
    - Who did they engage?
    - **PROBE:** Businesses in the sector, innovators, other regulators, public bodies
    - Did you work with them on any 'cross-cutting' or shared issues? Which ones?
    - What were the main challenges in these engagements?
    - What went well and what did not in these engagements? And why?
    - What are your main learnings from these engagements – in the context of being effective at progressing your project and achieving your desired outcomes when these are dependent on collaboration with others?

5. Outcomes and benefits of their project (10 mins)

Objectives:
- Understand (initial) impact of the project on the sector and enabling factors
- Explore perceived benefits of the RPF programme

- **Thinking of the RPF programme high level objectives, what have been the outcomes of their project so far? Why?**

  CONSIDER RPF END GOALS:

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

- **How has the work they've been doing supporting innovation in their sector?**

  - What indication do they have of positive outcomes achieved (now or in the future)?
  - What innovation(s) will result from your project?
  - Who will be benefitting from innovation deriving from their project?
  - What do they feel will be the main barriers achieving innovation in their sector?

- **What effects, if any, has their project had on their wider regulatory activity (i.e. any spill over effects)?**

  PROBE: expected, unexpected

  - What changes, if any, have happened or started to happen in their organisations as a result of their project?
  - Are these different to the changes the project was originally seeking to achieve?

- **What, if anything, has RPF funding helped them achieve?**

  PROBE: refer to achievements they identified earlier

  - Has their understanding of the problem they were trying to solve changed due to the RPF project? How?
  - What, if anything, do they think it will help them achieve in the future? When?

- **How will they conclude that their project has been successful?**
    - What does success look like for them?
    - What do they think will help them to achieve it?
    - When do they think they'll be able to recognise this?
    - What are the main drivers of success?

6. Lessons learned from participation in the RPF (10 mins)

Objectives:
- Understand lessons learned from the experience and plans to disseminate

- **What lessons have they learned about trying to enable innovation in their sector?**

  PROBE: engaging internally, adopting new working techniques, supporting licencing/delivering of innovative products/services
    - What, if anything, would they have done differently in hindsight?
    - What are the most important learnings?
    - What would they say is the main barrier to innovation in their sector? Has the RPF helped to overcome this?
- **What have they learned about engaging with other businesses/stakeholders in their sector?**
    - What challenges have they encountered?
    - In what way, if any, have they managed them?
    - What, if anything, do they feel has facilitated engagement?
    - How has engagement with stakeholders contributed to their work's progress?
    - PROBE: understanding of the problem, identifying best practices, solving issues etc.
- **Do they plan to disseminate learnings?**
    - How have they been capturing and codifying their learnings?
    - DO they feel that other regulators, or government, may benefit from these lessons?
    - What plans do they have in place to disseminate learnings?

7. Overall views on participation in the RPF (5 mins)

Objectives:
- Understand overall feeling about participation in RPF
- Understand thoughts on support from RPF and how this could be improved

- **What has been the value to their organisation of participating in RPF?**
- **What do they think about the support they received from RPF?**
    - Did it match their initial expectations?
    - How have RPF been supporting them specifically?
    - To what extent has support been helpful?
- **What if anything would they change to make the RPF better in the future for an organisation like them if the government were to repeat the initiative? Why?**

  PROBE: design, delivery, communications
- **Do they feel there is further value in collaborating more with other regulators, the Government or other public bodies to enable more innovative regulation?**
    - Specifically with whom?
    - On what issues?

8. Final reflections and close (2 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add?
    - Thank them again for taking the time for the interview

Interim case studies (Aug. 2019) – Stakeholders topic guide (30 mins)

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 in the sectors regulators operate in. To this end, we are interested in speaking to the core teams of projects showing significant progress.

Specifically, interviews will seek to uncover:

- Different stakeholders' (e.g. businesses, delivery partners, other regulators) perspective on regulators' work;
- Ways in which regulators can more effectively engage and collaborate with stakeholders to enable innovation;
- Any outcomes and impact of regulator's project on 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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (2 mins)

- Researcher to introduce themselves & Kantar (an independent research company)
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand regulators' progress so far, and explore any outcome or benefit from their effort to support innovation in their sector
- Interview will be around 30 mins
- The interview is voluntary – they can stop participating any time

- 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
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Your responses will not be anonymous. Your individual replies will be shared with BEIS, IUK and other government departments with potential interest in the RPF programme.
- Any questions now? – feel free to also ask questions at any point.

Brief project summary/outline of stakeholder interactions

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2. Background on them and the project (5 mins)

Objectives:

- Getting to know and building rapport with stakeholders
- Explore their wider role and how RPF one fits within it
- Understand the regulatory context stakeholders operate in

- **What is their role within their organisation?**
    - What are their main responsibilities?
    - What contact do they have with the regulator as part of their job? (e.g. direct, indirect)
    - How long have they been in the industry? What is their background?
- **How would they describe/how aware are they of current regulation in the sector?**
    - IF REGULATORS - how does it compare to their sector?

- **Can they tell us a bit about their role in / their exposure to the regulator's project?**
    - How have they been involved?
    - **How did they become involved/ were made aware of regulators' work?**
    - When did they become involved/ were made aware of regulators' work? **(REFER TO THIS FOR FOLLOWING QUESTIONS)**
- **Could they describe what the regulator's project is about in a nutshell?**
    - What change are they seeking to achieve?

3. Stakeholders engagement in the project (10 mins)

Objectives:

- Explore stakeholders' experiences and perspectives of regulators' work
- Understand their expectations on outcomes for the industry
- Identify opportunities for effective collaboration with stakeholders

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… …… ……	…… …… …… …… …… ……

- **What is their understanding of the problem the project is trying to address?**
    - What is their understanding of the vision for the project?
    - To what extent do they agree with it (i.e. existence of the problem itself & approach to tackling it)?
    - What would they say are the main challenges to innovation in the sector? Why?
    - To what extend they think the RPF project addresses these challenges?
    - **IF REGULATORS** - how does it compare to their sector?

- **What were they expectations of the regulator's project when they became involved/it was communicated to them?**
    - What was their understanding of RPF purposes?
    - What outcomes did they expect?
    - What did they understand to be the timeframe for outcomes?
    - Have these expectations changed? Why?
- **How have they been engaged as part of the regulator's work?**
    - What issues have they collaborated with regulators on?
    - What has been their involvement as part of the project?
    - **PROBE:** exploration of best practices, project set up, delivery, improving cross sector communication, sharing regulators efforts to innovate
    - How do they feel about their involvement?
    - How could it be improved?
    - Do they feel more collaboration is needed? In what area, and between who?
- **What do they feel has gone well/could be improved about their engagement?**

  PROBE: initiation (timings and communications), day to day contacts, strategic direction, quality of collaboration

    - What could make regulators more effective in collaborating with stakeholders/building relationships to facilitate innovation in the sector?
    - What role could the RPF play in supporting effective collaboration?

4. Outcomes and benefits (10 mins)

Objectives:

- Understand initial and expected impact of regulators' work to enable innovation

- **Thinking of the RPF programme high level objectives; in what way, if any, has the regulator's work been supporting innovation in their sector? Why?**
    - What indication do they have of positive outcomes achieved (now or in the future)?
    - Who will be benefitting from innovation deriving from their project?
    - What do they feel will be the main barriers achieving innovation in the sector?
    - What would they say the main drivers for success are?

RPF GOALS

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

- **What impact this had on them?**
- **For other regulators that the project engaged:**
    - Have they learnt any lessons they can apply themselves in their sector?
    - What are those?
    - Will they do things differently in their sector having been part of this project?
- **For businesses that the project engaged:**
    - What, if any, specific support they received from the project?
    - To what extend has the support been helpful?
    - What, if anything, has RPF enable them to do that they couldn't have otherwise?
    - What would have they done without the support?
    - What, if any, long term changes has the project resulted in their sector/work?
    - Would the learnings be beneficial to other sectors?

  - Do they plan to disseminate their learnings to other businesses, Government and public bodies? And how will they do this?

- **What changes, if any, have they seen because of the regulator's work?**

  For regulators: attitude to innovation within the business/sector, attempts to trialling/licencing new products service, general openness to innovation, cross sector collaborations, partnerships among regulators

  For businesses:

  - What change, if any, have they seen in the regulator's attitude, way of working with business, and engagement methods?
  - How if at all will they approach the regulator in the future?
  - Has their involvement in this project changed their perceptions of regulators? In what way?

- **What would make them conclude that the project has been successful?**
  - What does success look like for them? Why?
  - What do they think will help them to achieve it?
  - When do they think they'll be able to recognise this?

5. Final reflections and close (3 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **What if anything would make other regulators attempt to enable innovation in their sector? Why?**
  - What role could the RPF play in this?
- **Researcher to bring discussion to a close**
  - Anything that wasn't covered they'd like to add?
  - Thank them again for taking the time for the interview

Interim case studies (Nov. 2019) – Project team topic guide (60 mins)

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 in the sectors regulators operate in. To this end, we are interested in speaking to the core teams of projects showing significant progress.

Specifically, interviews will seek to uncover:

- Regulators' understanding and experience of the RPF;
- Expected and unexpected challenges they encountered over the course of their project;
- Lessons they learned about enabling innovation in their sector, engaging with businesses, regulators and other stakeholders;
- Any outcomes and impact of their project on innovation in their sector (in relation to focus outcomes agreed with BRE);
- 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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (3 mins)

- Researcher to introduce themselves & Kantar (an independent research company)
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand their progress so far, any challenges they encountered and any lessons they learned about innovating in their sector and work with the RPF
- Interview will be around 60 mins
- The interview is voluntary – they can stop participating any time
- 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 understand how to improve the RPF going forward
- Your responses will not be anonymous. Your individual replies will be shared with BEIS, IUK and other government departments with potential interest in the RPF programme.
- 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, comments might still be identifiable.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Any questions now? – feel free to also ask questions at any point.

Brief project summary

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2. Background on them and the project (10 mins)

Objectives:

- Getting to know and building rapport with interviewees
- Explore their wider role and how RPF one fits within it
- Understand the regulatory context and project background

- **What is their wider role within the regulator?**
    - What are their main responsibilities?
    - How long have they been in the industry? What is their background?
- **Can they tell us a bit about the sector they regulate?**
    - What are their main duties as the regulator?
    - What businesses/organisations do they regulate?
    - How do they normally interact with them?
- **Can they tell us a bit about their role with regards to the project?**
    - What are their responsibilities?
    - **When did they become involved? (REFER TO THIS FOR FOLLOWING QUESTIONS)**
- **What is their project about in a nutshell?**
    - What change are they seeking to achieve?

3. Motivations and expectations for the bid (5 mins)

Objectives:
- Uncover the regulator's understanding of the RPF
- Identify motivations for applying for RPF funding and their expectations
- Assess their initial understanding of the problem they're addressing

- **What motivated them to bid for RPF funding?**
    - What other government funding schemes, if any, have they bid for in the past to their knowledge?
    - What, if anything, made RPF different from other funding models?
    - Was the purpose of the fund clear?
    - **FOR BID MANAGERS/THOSE INVOLVED AT BIDDING STAGE:** What was their role in the bidding process?

- **What was/is their understanding of the problem the project is trying to address?**
    - What would they say might be the main challenges to innovation in the sector? Why?
    - How were these challenges identified and what level of understanding of the issues felt they had before the RPF?
- **What were they expectations of receiving RPF funding? (at bidding stage or when they became involved)**
    - Howe well did they feel they understood the RPF purpose?
    - What was their vision for the project? (what changes/innovations were they expecting to result from the project and what would be the main benefits?)
    - What was their initial timeframe for outcomes?
    - Have these expectations changed? Why?

3. Experience of project set up & implementation (15 mins)

Objectives:

- Understand their experience of the project
- Explore challenges and lessons learned about enabling innovation and engaging with internal and external stakeholders
- Identify support needs and how RPF has helped them

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… …… ……	…… …… …… …… …… ……

- **What have there been their main areas of work since the project started?**
    - What key activities did that include?
    - How does the work they've been doing compare with their original plan?
    - Have they made any changes? Why?
    - **In what ways, if any, has their understanding of the problem they were trying to address developed?** What prompted this?

- **How would they describe their experience of project set-up?**
    - Any challenges faced in getting your project going well?
    - What were your key learnings (positive and negative) from the set up and initiation phase of your project?
    - Would you do anything differently with hindsight? What, and why?

If need for longer application / set up mentioned, try to briefly explore why and what timeframe would have been ideal.

If admin burden mentioned briefly cover what requirement were burdensome and who from (e.g. IUK, MOs, BRE / BEIS)

- **How would they describe their experience of project delivery?**
    - What do they think are their main achievements to date? Why?
    - What do they feel has facilitated their progress? Why?
    - Is there anything they think they could have done better?
    - What were the main barriers the project has had to overcome in order to make progress?
        - Internal (within your organisation)
        - External (your delivery partners and/or other sector stakeholders)
- **Internal engagement**
    - What types of internal engagement did they have to do for the project? Why?
    - What was the response from their organisation?
    - **PROBE:** delivering innovation, adopting innovative internal approaches
    - What changes – or early indications of change – have happened in your organisations as a result of your project?
- **Stakeholder engagement**
    - To what extent did they engage with external stakeholders? Why?
    - Who did they engage?
    - **PROBE:** Businesses in the sector, innovators, other regulators, public bodies
    - Did you work with them on any 'cross-cutting' or shared issues? Which ones?
    - What were the main challenges in these engagements?

- What went well and what did not in these engagements? And why?
- What are your main learnings from these engagements – in the context of being effective at progressing your project and achieving your desired outcomes when these are dependent on collaboration with others?

4. Outcomes and benefits of their project (10 mins)

Objectives:
- Understand (initial) impact of the project on the sector and enabling factors
- Explore perceived benefits of the RPF programme

- **Thinking of the RPF programme high level objectives, what have been the outcomes of their project so far? Why?**
- **CONSIDER RPF END GOALS:**
  - enabling business growth
  - boosting value for consumers
  - projecting a pro-innovation image internationally
  - fostering a pro innovation business culture
- **How has the work they've been doing 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' focus outputs in mind and probe as appropriate in the time available.*
  - What innovation(s) will result from their project?
  - Who will be benefitting from innovation deriving from their project?
  - What do they feel will be the main barriers achieving innovation in their sector?
- **What effects, if any, has their project had on their wider regulatory activity (i.e. any spill over effects)?**

  PROBE: expected, unexpected
  - What changes, if any, have happened or started to happen in their organisations as a result of their project?
  - Are these different to the changes the project was originally seeking to achieve?

- **What if anything has RPF funding helped them achieve?**

  PROBE: refer to achievements they identified earlier

  - Has their understanding of the problem they were trying to solve changed due to the RPF project? How?
  - What, if anything, do they think it will help them achieve in the future? When?

- **How will they conclude that their project has been successful?**

  - What does success look like for them?
  - What do they think will help them to achieve it?
  - When do they think they'll be able to recognise this?
  - What are the main drivers of success?

5. Lessons learned from participation in the RPF (10 mins)

Objectives:
- Understand lessons learned from the experience and plans to disseminate

- **What lessons have they learned about trying to enable innovation in their sector?**

  PROBE: engaging internally, adopting new working techniques, supporting licencing/delivering of innovative products/services

  - What, if anything, would they have done differently in hindsight?
  - What are the most important learnings?
  - What would they say is the main barrier to innovation in their sector? Has the RPF helped to overcome this?

- **What have they learned about engaging with other businesses/stakeholders in their sector?**

  - What challenges have they encountered?
  - In what way, if any, have they managed them?
  - What, if anything, do they feel has facilitated engagement?
  - How has engagement with stakeholders contributed to their work's progress?

  - PROBE: understanding of the problem, identifying best practices, solving issues etc.

- **What plans, if any, do they have to disseminate learnings?**
  - How have they been capturing and codifying their learnings?
  - Do they feel that other regulators, or government, may benefit from these lessons?
  - What plans do they have in place to disseminate learnings?
- **What plans, if any, do they have for continuing innovation after the RPF?**
  - Will additional funding be required / where will funding come from?
  - What consequences will this have on innovation efforts so far?

6. Overall views on participation in the RPF (5 mins)

Objectives:
- Understand overall feeling about participation in RPF
- Understand thoughts on support from RPF and how this could be improved

- **What has been the value to their organisation of participating in RPF?**
- **What do they think about the support they received from RPF?**
  - Did it match their initial expectations?
  - How have RPF been supporting them specifically?
  - To what extent has support been helpful?
- **What if anything would they change to make the RPF better in the future for an organisation like them if the government were to repeat the initiative? Why?**
- PROBE: design, delivery, communications
- **Do they feel there is further value in collaborating more with other regulators, the Government or other public bodies to enable more innovative regulation?**
  - Specifically with whom?
  - On what issues?

Final reflections and close (2 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add?
    - Thank them again for taking the time for the interview

Interim case studies (Nov. 2019) – Stakeholders topic guide (30 mins)

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 in the sectors regulators operate in. To this end, we are interested in speaking to the core teams of projects showing significant progress.

Specifically, interviews will seek to uncover:

- Different stakeholders' (e.g. businesses, delivery partners, other regulators) perspective on regulators' work;
- Ways in which regulators can more effectively engage and collaborate with stakeholders to enable innovation;
- Any outcomes and impact of regulator's project on 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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (2 mins)

- Researcher to introduce themselves & Kantar (an independent research company)
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand regulators' progress so far, and explore any outcome or benefit from their effort to support innovation in their sector
- Interview will be around 30 mins

- The interview is voluntary – they can stop participating any time
- 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
- 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, comments might still be identifiable.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Your responses will not be anonymous. Your individual replies will be shared with BEIS, IUK and other government departments with potential interest in the RPF programme.
- Any questions now? – feel free to also ask questions at any point.

Brief project summary/outline of stakeholder interactions

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2. Background on them and the project (5 mins)

Objectives:

- Getting to know and building rapport with stakeholders
- Explore their wider role and how RPF one fits within it
- Understand the regulatory context stakeholders operate in

- **What is their role within their organisation?**
    - What are their main responsibilities?
    - What contact do they have with the regulator as part of their job? (e.g. direct, indirect)
    - How long have they been in the industry? What is their background?
- **How would they describe/how aware are they of current regulation in the sector?**
    - IF REGULATORS - how does it compare to their sector?

- **Can they tell us a bit about their role in / their exposure to the regulator's project?**
    - How have they been involved?
    - **How did they become involved/ were made aware of regulators' work?**
    - When did they become involved/ were made aware of regulators' work? **(REFER TO THIS FOR FOLLOWING QUESTIONS)**
- **Could they describe what the regulator's project is about in a nutshell?**
    - What change are they seeking to achieve?

3. Stakeholders engagement in the project (10 mins)

Objectives:

- Explore stakeholders' experiences and perspectives of regulators' work
- Understand their expectations on outcomes for the industry
- Identify opportunities for effective collaboration with stakeholders

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… …… ……	…… …… …… …… …… ……

- **What is their understanding of the problem the project is trying to address?**
    - What is their understanding of the vision for the project?
    - To what extent do they agree with it (i.e. existence of the problem itself & approach to tackling it)?
    - What would they say are the main challenges to innovation in the sector? Why?
    - To what extend they think the RPF project addresses these challenges?
    - **IF REGULATORS** - how does it compare to their sector?

- **What were they expectations of the regulator's project when they became involved/it was communicated to them?**
    - What was their understanding of RPF purposes?
    - What outcomes did they expect?
    - What did they understand to be the timeframe for outcomes?
    - Have these expectations changed? Why?
- **How have they been engaged as part of the regulator's work?**
    - What issues have they collaborated with regulators on?
    - What have has been their involvement as part of the project?
    - **PROBE:** exploration of best practices, project set up, delivery, improving cross sector communication, sharing regulators efforts to innovate
    - How do they feel about their involvement?
    - How could it be improved?
    - Do they feel more collaboration is needed? In what area, and between who?
- **What do they feel has gone well/could be improved about their engagement?**

  PROBE: initiation (timings and communications), day to day contacts, strategic direction, quality of collaboration

    - What could make regulators more effective in collaborating with stakeholders/building relationships to facilitate innovation in the sector?
    - What role could the RPF play in supporting effective collaboration?

4. Outcomes and benefits (10 mins)

Objectives:

- Understand initial and expected impact of regulators' work to enable innovation

- **Thinking of the RPF programme high level objectives; in what way, if any, has the regulator's work been supporting innovation in their sector? Why?**
    - What indication do they have of positive outcomes achieved (now or in the future)?
    - Who will be benefitting from innovation deriving from their project?
    - What do they feel will be the main barriers achieving innovation in the sector?
    - What would they say the main drivers for success are?

RPF GOALS

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

- **What impact this had on them?**
- **For other regulators that the project engaged:**
    - Have they learnt any lessons they can apply themselves in their sector?
    - What are those?
    - Will they do things differently in their sector having been part of this project?
- **For businesses that the project engaged:**
    - What, if any, specific support they received from the project?
    - To what extend has the support been helpful?
    - What, if anything, has RPF enable them to do that they couldn't have otherwise?
    - What would have they done without the support?
    - What, if any, long term changes has the project resulted in their sector/work?
    - Would the learnings be beneficial to other sectors?

    - Do they plan to disseminate their learnings to other businesses, Government and public bodies? And how will they do this?

- **What changes, if any, have they seen because of the regulator's work?**
- **For regulators:** attitude to innovation within the business/sector, attempts to trialling/licencing new products service, general openness to innovation, cross sector collaborations, partnerships among regulators
- **For businesses:**
    - What change, if any, have they seen in the regulator's attitude, way of working with business, and engagement methods?
    - How if at all will they approach the regulator in the future?
    - Has their involvement in this project changed their perceptions of regulators? In what way?
- **What would make them conclude that the project has been successful?**
    - What does success look like for them? Why?
    - What do they think will help them to achieve it?
    - When do they think they'll be able to recognise this?

5. Final reflections and close (3 mins)

Objectives:

- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **What if anything would make other regulators attempt to enable innovation in their sector? Why?**
    - What role could the RPF play in this?
- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add?
    - Thank them again for taking the time for the interview

Final case studies (Apr. 2020) – Project team topic guide (60 mins)

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 in the sectors regulators operate in. To this end, we are interested in speaking to the core teams of projects showing significant progress.

Specifically, interviews will seek to uncover:

- Regulators' understanding and experience of the RPF;
- Expected and unexpected challenges they encountered over the course of their project;
- Lessons they learned about enabling innovation in their sector, engaging with businesses, regulators and other stakeholders;
- Any outcomes and impact of their project on innovation in their sector (in relation to focus outcomes agreed with BRE);
- 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 and ways in which innovation could be enabled or supported through regulatory action or reform.

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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (3 mins)

- Researcher to introduce themselves & Kantar (Public Division), an independent research company
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand their progress, any challenges they encountered and any lessons they learned about innovating in their sector and work with the RPF
- Interview will be around 60 mins
- The interview is voluntary – they can stop participating any time
- 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 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 go perfectly, according to initial plans and achieve outcomes overnight.
- Their responses will not be anonymous. Their individual replies will be shared with BEIS, IUK 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 last chance (within the RPF) to influence and inform us – 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, comments might still be identifiable.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Any questions now? – feel free to also ask questions at any point.

Brief project summary

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- **We are aware that Corona virus has caused disruption – how has it been affecting them?**
    - How has that been affecting their organisation or their work?
    - How have they been adjusting?

2. Background on them and the project (10 mins)

Objectives:
- Getting to know and building rapport with interviewees
- Explore regulators' wider role and how RPF fits within it
- Understand the regulatory context and project background

- **What is their wider role within the regulator?**
    - What are their main responsibilities?
    - What is their background?
- **Can they tell us a bit about the sector they regulate?**
    - What are their main duties as the regulator?
    - What businesses/organisations do they regulate?
    - How do they normally interact with them?
- **Can they tell us a bit about their role with regards to the project?**
    - What are their responsibilities?
    - **When did they become involved? (REFER TO THIS FOR FOLLOWING QUESTIONS)**
- **What is their project about in a nutshell?**
    - What changes or benefits are they seeking to achieve?

3. Motivations and expectations for the bid (5 mins)

Objectives:
- Uncover regulators' understanding of the RPF
- Identify motivations for applying for RPF funding and their expectations
- Assess their initial understanding of the problem their project addressed

- **What motivated them to bid for RPF funding?**
    - What other government funding schemes, if any, have they bid for in the past to their knowledge?
    - What, if anything, made RPF different from other funding models?
    - To what extent was the purpose of the fund clear?

- **What was/is their understanding of the problem the project is trying to address?**
    - What would they say might be the main challenges to innovation in the sector? Why?
    - How were these challenges identified and what level of understanding of the issues felt they had before the RPF?
- **What were their expectations of receiving RPF funding? (at bidding stage or when they became involved)**
    - How well did they feel they understood the RPF purpose?
    - What was their initial timeframe for outcomes?
    - Have these expectations changed? Why?

4. Experience of project set up & implementation (15 mins)

Objectives:
- Understand their experience of the project
- Explore challenges and lessons learned about enabling innovation and engaging with internal and external stakeholders
- Identify support needs and how RPF has helped them

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… ……	…… …… …… …… ……

Researcher note: present this to regulators as the last 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.

- **What have there been their main areas of work / activities since the project started?**
    - How does the work they've been doing compare with their original plan?
    - Have they made any changes? Why?
    - **In what ways, if any, has their understanding of the problem they were trying to address developed?** What prompted this?

- **How would they describe their experience of project set-up?**
    - Any challenges faced in getting their project going well?
    - What were your key learnings (positive and negative) from the set up and initiation phase of their project?
    - What would they do anything differently with hindsight? Why?

If need for longer application / set up mentioned try to briefly explore why and what timeframe would have been ideal.

If admin burden mentioned briefly cover

- **How would they describe their experience of project delivery?**
    - What do they think are their main achievements to date? Why?
    - What do they feel has facilitated their progress? Why?
    - Is there anything they think they could have done better?
    - What were the main barriers the project has had to overcome in order to make progress?
        - Internal (within your organisation)
        - External (your delivery partners and/or other sector stakeholders and beneficiaries)
- **Internal engagement**
    - What types of internal engagement did they have to do for the project? Why?
    - What was the response from their organisation?

      PROBE: delivering innovation, adopting innovative internal approaches
    - What changes – or early indications of change – have happened in your organisations as a result of your project?
- **Stakeholder engagement**
    - To what extent did they engage with external stakeholders? Why?
    - Who did they engage?

      PROBE: Businesses in the sector, innovators, other regulators, public bodies
    - Which 'cross-cutting' or shared issues did they work on?
    - What were the main challenges in these engagements?
    - What went well and what did not in these engagements? And why?

- What are your main learnings from these engagements – in the context of being effective at progressing your project and achieving your desired outcomes when these are dependent on collaboration with others?

5. Outcomes and benefits of their project (10 mins)

Objectives:
- Understand (initial) impact of the project on the sector and enabling factors
- Explore perceived benefits of the RPF programme

RPF GOALS
- enabling business growth
- boosting value for consumers
- projecting a pro-innovation image

- **Thinking of the RPF programme high level objectives, what have been the outcomes of their project so far? Why?**
- **How has the work they've been doing 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' focus outputs in mind and probe as appropriate in the time available.*
  - What innovation(s) will result from their project?
  - What do they feel will be the main barriers to encouraging innovation in their sector?
- **Who, if anyone, do they think is benefitting from their project? Why?**
  - What feedback, if any, have they had from the sector / other stakeholders? How?
  - IF NO FEEDBACK: what plans, if any, do they have to get it?
  - Who will ultimately benefit from innovation deriving from their project? Why and how so?
- **What effects, if any, has their project had on their wider regulatory activity (i.e. any spill over effects)? PROBE:** expected, unexpected
  - What changes, if any, have happened or started to happen in their organisations as a result of their project?
  - Do they expect any in the future?
- **How will they conclude that their project has been successful?**
  - What, from their perspective, would mean the project was successful?
  - What do they think will help them to achieve it?
  - When do they think they'll be able to recognise this?

6. Lessons learned from participation in the RPF (10 mins)

Objectives:
- Understand lessons learned from the experience and plans to disseminate

- **What lessons have they learned about trying to enable innovation in their sector?**

  PROBE: engaging internally, adopting new working techniques, supporting licencing/delivering of innovative products/services

  - What, if anything, would they have done differently in hindsight?
  - What would they say is the main barrier to innovation in their sector? Has the RPF helped to overcome this?

- **What have they learned about engaging with other businesses/stakeholders in their sector?**

  - What challenges have they encountered?
  - In what way, if any, have they overcome them?
  - What, if anything, do they feel has facilitated engagement?
  - How has engagement with stakeholders contributed to their work's progress?

    PROBE: understanding of the problem, identifying best practices, solving issues etc.

- **What plans, if any, do they have to disseminate learnings?**

  - How have they been capturing and codifying their learnings?
  - DO they feel that other regulators, or government, may benefit from these lessons?

- **What plans, if any, do they have for continuing innovation after the RPF?**

  - Are they doing any further monitoring or evaluation activity to understand longer term impacts?
  - Will additional funding be required to continue their work? Where will funding come from?
  - What consequences will this have on innovation efforts so far?

7. Overall views on participation in the RPF (5 mins)

Objectives:
- Understand overall feeling about participation in RPF
- Understand thoughts on support from RPF and how this could be improved

- **What has been the value to their organisation of participating in RPF?**
    - Probe for answers **beyond financial contribution**
    - Looking back now, what have been the main benefits?
- **What do they think about the support they received from RPF?**
    - Did it match their initial expectations?
    - How has the RPF been supporting them specifically?
    - To what extent has support been helpful?
- **What if anything would they change to make the RPF better in the future for an organisation like them if the government were to repeat the initiative? Why?**

  PROBE: design, delivery, communications
- **What do they feel there is the value in collaborating more with other regulators, the Government or other public bodies to enable more innovative regulation?**
    - Specifically with whom?
    - On what issues?
    - To what extent do they see themselves doing that in the future?
    - How / what would stop them?

8. Final reflections and close (2 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add? Anything we missed that we should take into consideration?
    - Thank them again for taking the time for the interview

Final case studies (Apr. 2020) – Stakeholders topic guide (30 mins)

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 that participating regulators operate in. To this end, we are interested in speaking to stakeholders affected by projects showing significant progress.

Specifically, interviews will seek to uncover:

- Different beneficiaries' (e.g. businesses, other regulators, government bodies, other organisations in the sector) perspective on regulators' work;
- Ways in which regulators can more effectively engage with stakeholders to enable innovation in their sectors;
- Any outcomes and initial impact of a regulator's project on innovation in their sector;
- Ways the RPF could be improved for the future and ways in which innovation could be enabled or supported through regulatory action or reform.

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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (3 mins)

- Researcher to introduce themselves & Kantar (an independent research company)
- Explain purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to help us understand regulators' activities and progress from their perspectives, and explore any outcome or benefit from their effort to support innovation in their sector
- Interview will be around 30 mins
- The interview is voluntary – they can stop participating any time
- 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, IUK 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 last chance (within the RPF) to influence and inform us – 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, comments might still be identifiable.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Any questions now? – feel free to also ask questions at any point.

Brief project summary/outline of stakeholder interactions
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Before starting the interview, researcher to thank respondent for agreeing to talk to us at this time and acknowledge disruptions caused by corona virus.

- **We are aware that coronavirus has caused disruption – how has it been affecting them?**
    - How has that been affecting their organisation or their work?
    - How have they been adjusting?

2. Awareness of and engagement with the project (10 mins)

Objectives:

- Understand beneficiaries' role and existing relationship with the regulator to put their experiences in context
- Explore awareness of and experiences / engagement with regulators' work

- **Could they describe their role and organisation?**
    - How long have they been in the role / industry?
- **What contact do they normally have with the regulator as part of their job? (e.g. direct, indirect)**
    - 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 sector compare to their own?
- **Can they tell us a bit about their exposure to the regulator's project?**
    - What do they know about it (e.g. purpose / vision, activities, what they're trying to achieve)?
    - **How and when did they become aware of regulator's work? (REFER TO THIS FOR FOLLOWING QUESTIONS)**
    - How do they feel about regulators' efforts to enable innovation?
    - How does it compare to their initial expectations?
    - What would they say are the main challenges to innovation in the sector? *Probe as appropriate to understand to what extent is regulation a barrier and how / why*
    - To what extend do they think this project addresses the main challenges?
- **What contact / engagement have they had with the regulator as a result of their project?**
    - **Probe**: activities, interactions, communications, direct collaboration (e.g. sharing lessons, improving cross-sector collaboration)
    - How do contacts / interactions compare to before the project / normal ones (e.g. have they increased)?
    - Have these interactions affected their view of the regulator?

- What has been positive about their interactions? What could be improved?

3. Perceived outcomes and benefits from the projects (15 mins)

Objectives:

- Understand initial, perceived and expected impact of regulators' work to enable innovation
- Identify value and perceived benefits of the RPF programme
- Reflect on where more action could be beneficial to enable innovation

Reminder of focus outputs	**Reminder of optional outputs**
…… …… …… …… …… ……	…… …… …… …… …… ……

- **In what way, if any, has the regulator's work been supporting innovation in their sector? How?**

  Note to researcher: *explore answers with RPF goals and regulators' focus outputs in mind and probe as appropriate in the time available.*

  RPF GOALS
  - enabling business growth
  - boosting value for consumers
  - projecting a pro-innovation image

  - What indication do they have of positive outcomes achieved (now or in the future)?
  - To what extent do they feel that they (and other businesses / regulators / similar stakeholders) will be benefitting from innovation deriving from their project? How?
  - What do they feel are the main barriers to innovation in the sector?
  - What would they say the main drivers for success of the project are?
  - What should the regulator do to better support innovation?
- **What impact, if any, has the regulator's work had on their organisation?**

- **For other regulators that the project engaged:**
    - What lessons, if any, have they learnt 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 organisations? Or to other businesses, Government and/or public bodies? Why?
    - And how will they do this?
- **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?
    - What, if anything, has the project enabled them to do that they couldn't have otherwise?
    - What, if any, 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, Government and public bodies? And how will they do this?
- **What changes, if any, have they seen because of the regulator's work?**
    - Probe within their organisation and the sector
- **For regulators:** attitude to innovation within the regulator community, 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:**
    - What change, if any, have they seen in the regulator's attitude, way of working with business, and engagement methods?
    - Has their involvement in this project changed their perceptions of regulators? In what way?

- **What would make them conclude that the project has been successful?**
    - What, from their perspective, would mean the project was successful? Why?
    - What do they think will help regulators to achieve success?
    - When do they think they'll be able to see changes / recognise success?
- **What could make regulators more effective in collaborating with stakeholders/building relationships to facilitate innovation in the sector?**
    - What areas if any could benefit from more action from regulators to enable innovation?
    - Is there anything specific the regulator is not doing that you think they should?

Final reflections and close (2 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add? Have we missed anything they think needs attention, or consideration?
    - Thank them again for taking the time for the interview

Final case studies (Apr. 2020) – Follow up interviews topic guide (60 mins)

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 case studies already conducted with two regulators and seek to update understandings of regulators' experience of the RPF including:

- Expected and unexpected challenges they encountered since their last interview;
- 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 (in relation to focus outcomes agreed with BRE);
- 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;
- However, 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.

Key contact: [insert key contact]

1. Introduction to the interview (3 mins)

- Researcher to re-introduce themselves & Kantar (Public Division), an independent research company
- Remind them of the purpose of RPF programme evaluation and purpose of case study phase: aim of the discussion is to update us on their progress, any challenges they encountered and any lessons they learned about innovating in their sector and work with the RPF.
- Interview will be around 60 mins
- The interview is voluntary – they can stop participating any time
- 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 go perfectly, according to initial plans and achieve outcomes overnight.
- Their responses will not be anonymous. Their individual replies will be shared with BEIS, IUK 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 last chance (within the RPF) to influence and inform us – 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, comments might still be identifiable.
- Check they are happy to be recorded - Turn on audio recorder and confirm consent to audio record
- Any questions now? – feel free to also ask questions at any point.

Reminder of key findings from case study

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Before starting the interview, researcher to thank respondent for agreeing to talk to us at this time and acknowledge disruptions caused by coronavirus.

- **We are aware that coronavirus has caused disruption – how has it been affecting them?**
    - How has that been affecting their organisation or their work?
    - How have they been adjusting?

2. Latest experience of project (15 mins)

Objectives:

- Update understanding of their experience of the project
- Explore challenges and lessons learned about enabling innovation and engaging with internal and external stakeholders
- Identify support needs and how RPF has helped them

Reminder of focus outputs

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Reminder of optional outputs

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Researcher note: present this to regulators as the last 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 repeat some question, it will be helpful for us to get an updated view.

- *Researcher to remind regulators which stage the project was at the time of the last interview* **–What has happened since we last spoke?**
    - What have there been their main areas of work?
    - What key activities did that include?
    - Any achievements / setbacks? Why?
- **NB:** *Researcher to refer to overview of work and achievements for following questions*
- **How does the work they've been doing recently compare with their original plan?**
    - Have they made any changes? Why?
    - How do achievements to date compare to their plans? Why?
- **In what ways, if any, has their understanding of the problem they were trying to address developed as a result of this more recent work?**
    - *PROBE as appropriate:* have they discovered new issues? Or better understood some issues?
    - What prompted this?
- **How would they describe their experience of delivering the new phase of work?**
    - What do they feel has facilitated their progress? Why?
    - Is there anything they think they could have done better?
    - What were the main challenges the project has had to overcome in the past 6 months in order to make progress?
        - Internal (within their organisation)
        - External (with delivery partners and/or other sector stakeholders and beneficiaries)
- **Internal engagement**
    - What types of internal engagement have they done for the project? Why?
    - How does it compare to what they told us previously?
    - Has their organisation's appreciation of their work changed? Why?

- What changes – or early indications of change – have happened in your organisations as a result of their project?

  PROBE: delivering more innovation, change in some ways of working, adopting innovative internal approaches, applying lessons from other regulators

- **Stakeholder engagement**
  - To what extent have they engaged with external stakeholders in the past few months? Why?
  - Who did they engage?

    PROBE: Businesses in the sector, innovators, other regulators, public bodies
  - Did you work with them on any 'cross-cutting' or shared issues? Which ones?
  - What were the main challenges in these engagements?
  - What went well and what did not in these engagements? And why?
  - What are your main learnings from these engagements – in the context of being effective at progressing your project and achieving your desired outcomes when these are dependent on collaboration with others?

3. Outcomes and benefits of their project (15 mins)

Objectives:
- Understand indications of impact of the project on the sector and enabling factors / barriers
- Explore perceived benefits of the RPF programme

- **Thinking of the RPF programme high level objectives, what have been the outcomes of their project so far? Why?**
- **How has the work they've been doing 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' focus outputs in mind and probe as appropriate in the time available.*

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

  - What innovation(s) will result from their project?
  - **What do they feel are the main barriers to encouraging innovation in their sector?**

- **Who (all), if anyone, do they think is benefitting from their project? Why?**
  - How do they know?
  - What feedback, if any, have they had from the sector / other stakeholders? How?
  - IF NO FEEDBACK: what plans if any do they have to get it?
  - Who (all) will ultimately benefit from innovation deriving from their project? Why and how so?
- **What effects, if any, has their project had on their wider regulatory activity (i.e. any spill over effects)?**

  PROBE: expected, unexpected
  - What changes, if any, have happened or started to happen in their organisations as a result of their project?
  - Do they expect any to happen in the future?
  - How are these different to the changes the project was originally seeking to achieve?
- **How will they conclude that their project has been successful?**
  - What are they still hoping to achieve from the project?
  - What do they think will help them to achieve it?
  - When do they think they'll be able to recognise this?
  - What are the main drivers of success? And what are the main barriers/challenges?

4. Lessons learned from participation in the RPF (15 mins)

Objectives:
- Understand lessons learned from the experience and plans to disseminate
- Explore plans to continue with innovation past the RPF

- **What lessons have they learned about trying to enable innovation in their sector?**

  PROBE: engaging internally, adopting new working techniques, supporting licencing/delivering of innovative products/services

  - What are the most important learnings?
  - What, if anything, would they have done differently in hindsight?
  - What would they say is the main barrier to innovation in their sector?

- **What have they learned about engaging with other businesses/stakeholders in their sector?**

  - What challenges have they encountered?
  - In what way, if any, have they overcome them?
  - What, if anything, do they feel has facilitated engagement?
  - How has engagement with stakeholders contributed to their work's progress?

    PROBE: understanding of the problem, identifying best practices, solving issues etc.

- **What plans, if any, do they have to disseminate their learnings?**

  - How have they been capturing and codifying their learnings?
  - DO they feel that other regulators, or government, may benefit from these lessons?
  - What plans do they have in place to disseminate learnings?

- **What plans, if any, do they have for continuing the innovation work enable by the RPF after the RPF?**

  - Are they doing any further monitoring or evaluation activity to understand longer term impacts?
  - Will additional funding be required to continue work? Where will funding come from?
  - What consequences will this have on their innovation efforts so far?

5. Overall views on participation in the RPF (10 mins)

Objectives:
- Revisit feeling about participation in RPF and its value
- Understand support needs and how RPF could be improved

- **What has been the value to their organisation of participating in RPF?**
    - Probe for answers **beyond financial contribution**
    - Looking back now, what have been the main benefits?
- **What do they think about the support they received from RPF? Why?**
    - How has the RPF been supporting them specifically?
    - To what extent has support been helpful?
- **What if anything would they change to make the RPF better in the future for an organisation like them? Why?**

  PROBE: design, delivery, communications
- **What do they feel is the value in collaborating more with other regulators, the Government or other public bodies to enable more innovative regulation?**
    - Specifically with whom?
    - On what issues?
    - To what extent do they see themselves doing that in the future?
    - How / what would stop them?

6. Final reflections and close (2 mins)

Objectives:
- Pick up any areas that haven't been covered yet
- Wrap up the interview

- **Researcher to bring discussion to a close**
    - Anything that wasn't covered they'd like to add? Anything we missed that we should take into consideration?
    - Thank them again for taking the time for the interview

Case study sample breakdown

	Project team member	Strategic lead within regulator	External stakeholder
Interim case studies			
SRA	3	1	3
MHRA	3		2
CAA	3		3
FCA (Digital Regulatory Reporting)	2	1	2
OGA	2	1	2
Final case studies			
CQC	2	1	2
SEPA	2		2
ICO	2	1	2
IPO	2	1	2
OFCOM	2	1	2
Follow up contacts			
SRA	1		
CAA	1		

Closing questionnaire (10 mins)

Thank you for taking part in this survey. We want to understand regulators' activities and progress as part of the RPF from your perspectives - and explore any positive outcomes or benefits from their effort to support innovation.

Data is being collecting by Kantar, and you can find the Kantar privacy policy here: https://uk.kantar.com/surveys

Kantar is an independent research company, as such individual answers will not be shared with regulators. Anonymised responses will however be used to inform the findings and analysis that will be summarised in a report

The survey should take no longer than 10 minutes to complete.

Demographics and background information

A1. [ASK ALL] Which of the following best describes the sort of organisation you work for/represent? [SINGLE CHOICE]

- Business
- Public sector
- Voluntary sector
- Regulator
- Other

A2. [ASK ALL] Which of the following projects are you most engaged in or familiar with? [SINGLE CHOICE]

[DROP DOWN LIST OF RPF SPONSORED PROJECTS AND RELATED REGULATORS]

- SRA Data-Driven Innovation in Legal Services (Legal Access Challenge)
- Ofcom Using blockchain for telephone number management
- IPO AI solutions to enhance the IPR online filing process
- MHRA Developing and applying datasets
- CQC Supporting innovation in health and social care
- SEPA Decommissioning Regulatory Hub
- FCA Digital Regulatory Reporting
- CAA Innovation in Aviation Engagement Capability
- MCGA Putting Wind in the Sails

- ICO Regulators' Business Privacy Innovation Hub
- FCA Cross-sector regulatory sandbox
- OGA Realising cross-sector integration transition
- Ofgem Energy Market Challenge
- Ofgem Future Services Lab

A3. [ASK ALL] Thinking about the above projects, please indicate which of the following best describes your relationship with it [SINGLE CHOICE]

- Direct beneficiaries (i.e. funded by)
- Indirect beneficiaries (i.e. have engaged with in other ways)

Awareness and engagement

B1. [ASK ALL] Thinking about PROJECT X, to what extent, if at all, were you engaged by REGULATOR X as a part of the project? For the purposes of these is questions, please consider engagement as meaning being informed or consulted about the project, in any form of communication.

- To a great extent
- To some extent
- Minimally engaged
- Not at all

B2. [ASK ALL] How did you initially become aware of/become engaged with PROJECT X?

- Part of a sandbox / challenge
- Directly received information about regulatory changes
- Indirectly received info (e.g. through regulators' website or other materials)
- Was made aware of simplified processes (whether directly by regulator or indirectly)
- Was asked for feedback on PROJECT X
- Found out about project through others / heard about in the press

B3. [ASK ALL] Thinking about your engagement with REGULATOR X in the context of project Y, to what extent would you say that you were satisfied or dissatisfied, if at all, you were with this engagement?

- Very satisfied
- Mostly satisfied
- Somewhat satisfied
- Neither satisfied or dissatisfied
- Somewhat dissatisfied
- Very dissatisfied

Benefit and value of RPF projects

C1. [ASK ALL] Please tell us briefly about any support you received from the regulator as a part of PROJECT X and what difference it made to you

[Open text]

C2. [ASK ALL] Thinking about the support you received from the regulator, to what extent, if at all, do you agree with the following:

Strongly agree / Tend to agree / Neither agree nor disagree / Tend to disagree / Strongly disagree / Don't know

PROJECT X either had or will …

- Make the development of new innovations more likely
- Reduce the time and cost to developing new innovations
- Improve business or investor confidence in how business innovation is regulated
- Improve consumer confidence in business innovation

C3. [ASK ALL] Thinking again about PROJECT X, to what extent has this changed, if at all, your perception of REGULATOR X?

- Greatly improved
- Somewhat improved
- No change
- Somewhat worsened
- Greatly worsened

C4. Thinking about the past year, to what extent, if at all, would you say that the regulator X has improved, worsened or remained the same changed with respect in relation to following statements:

Greatly improved / Somewhat improved / No change / Somewhat worsened / Greatly worsened

- Supporting or enabling the innovation efforts of businesses in their sector
- Providing clear processes and helpful advice
- Understanding the innovation needs of their sector
- Being innovative themselves
- Supporting a culture of innovation in business
- Appearing as an innovative or pro innovation organisation

C5. Thinking about Project X, have you perceived any changes in how the regulator engages with you and/or your sector? If so, please provide a short and clear explanation

[Open text]

C6. [Following on from earlier question] Can you please elaborate on how or why this is the impact the that this change had and whether they were positive?

[Open text]

C7. [ASK ALL REGULATORS – A1 CODE D] Please tell us in brief what about any of lessons you have learnt through PROJECT X about enabling or supporting innovation through regulation or by the regulator

[Open text]

C8. Thinking about PROJECT X and REGULATOR X's activities, were there any positive changes, behaviours or activities by the regulator that you noticed, or would encourage? If so please provide a brief description below

[Open text]

Next steps and improvement

D1. Thinking about PROJECT X and REGULATOR X's activities or work, can you please describe briefly the most effective form of engagement from REGULATOR X

[Open text]

D2. Thinking about PROJECT X and REGULATOR X's activities or work, can you please describe briefly any ways in which they could be improved – including activities you suggest they do which they might not already, or ways in which they could be more effective in collaborating with stakeholders/building relationships to facilitate innovation in the sector.

[Open text]

D3. Thinking about your business area or your sector, if further efforts were made by Government to support innovation and innovators, where should these efforts focus?

[Open text]

D4. And if you consider that more support from regulators would be beneficial, what form(s) should this additional or new support take?

[Open text]

Wash up sessions guide and stimulus

Wash up session topic guide (60-90 mins)

Researcher information

Session objectives

The wash up sessions are the final activity of the RPF evaluation, following and building on the findings from previous evaluation activities (e.g. individual case studies and quarterly questionnaires). The sessions are designed as an opportunity for regulators to reflect back as a group on what worked well with their experiences of the Fund, and collectively discuss ways to improve the Fund for future iterations. This will provide a forum to collect further detail on lessons and help refine recommendations. The objectives for the session (also outlined at the top of each section in the guide) are:

- Further explore challenges, lessons learnt and support needs
- Build on existing understanding of cross-sector / regulator lessons
- Develop effective recommendations to improve the Fund.

Sessions will last 60-90 mins and the structure is as follows:

- Session set up
- Warm up and introductions
- Challenges faced and how the RPF could support regulators with them
- Lessons learned / advice they would give to organisations taking part in the RPF in the future
- Discussion on what generally makes a regulator innovative
- Thoughts on the evaluation and personal reflections

Please note:

This guide is not a script and is intended to be used flexibly, with participant responses guiding the flow of the conversation and using probes as needed to uncover reasons for answers.

Start a dialogue between participants whenever possible, encouraging them to compare their views and thoughts and build on each other responses as applicable.

Familiarise yourself with objective boxes at the beginning of each section, as they break down insight we want to get out of the conversation.

Researchers will **familiarise themselves with the individual projects and insights** ahead of the interviews to probe as appropriate in the time available.

Equipment /stimulus needed

- STIM 1 – challenges
- STIM 2 - lessons
- Laptop with video recording capabilities and telephone
- Recorder

1. Introduction/ groups set up (5 mins)

- **Thanks and introduction:** Introduce yourself and Kantar (Public Division) – independent research agency
- **About the client:** Research on behalf of BEIS as part of the RPF evaluation
- **Brief mention of research aims and purpose of discussion**: aim to understand their shared experience of the RPF – challenges, enablers, lessons – to improve the Fund and better support regulators in the future
- **Duration:** up to 90 minutes
- **Encourage openness:** No right or wrong answers - we are simply asking for people's views and experiences. We are looking to understand their challenges and their work, so we can support them better in future! This is their last chance (within the RPF) to influence and inform us – so tell us more!
- **Ethical considerations:** participation is voluntary; names / roles will not be used in the reporting but their responses. Anonymised findings will be shared with BEIS, Innovate UK, other government departments with potential interest in the RPF programme, and the public as part of final evaluation outputs.
- **Reminder about audio recording:** the discussion will be recorded so that we can accurately capture their views, and so researchers can listen back. The recorder is encrypted and only the research team will have access to the recordings. Audio will be stored securely for up to 12 months.
- **Any questions/concerns?**
- **Start recording:** acknowledge consent for being recorded.

4. Warm up (10 mins)

Objectives

- Warm the participants up & introduce each other
- Set an informal and open tone for the session

Moderator to ask participants to introduce themselves to the group. Afterwards they will introduce the other person to the group.

- Role within the organisation / project
- What their RPF project is about in a nutshell
    - Do you recognise any other regulators in the 'room' because of your RPF work? How?

Moderator to thank participants and give a brief outline for the session. Explain they've been divided up based on similarities between projects (i.e. **Session 1***: projects focusing on experimenting with new methods to facilitate innovation;* **Session 2:** *projects focusing on collaboration) and explain that this is just a starting point and we are looking to explore a range of topics with them.*

Moderator to introduce our understanding of different phases of their work (e.g. team recruitment and set up, establishing problem / applications of innovation, stakeholder engagement, internal collaboration, setting up and project specific elements (e.g. feasibility studies, platforms, sandboxes, challenges, collaboration tools), promoting and evaluating work) and ask if that resonates / there is anything else that we missed that they can add by typing in the chat. These are supposed to be macro areas all projects have in common. Moderators to note them down and use them to inform following discussion on challenges and lessons.

Throughout the session, we want participants to build on each other experience and keep the conversation fairly general, without going into project specifics as much as possible*. Be mindful that some regulators might want to go in detail with project experiences. If that's the case politely shift the conversation back to the lead questions.*

3. Challenges (20 mins)

Objectives:

- Understand challenges regulators' faced at different stages of the projects
- Validate our hypothesis on how challenges group
- Explore any ideas for support from the Fund

Moderator to thank participants for being so great with the warm up. Explain that we would like to start by talking about challenges that they encountered throughout the project.

- **What have been the main challenges you faced?**

Moderator to encourage participants **to use the chat function in the next couple of minutes to briefly note down the challenges.** *Note them down and probe on answers as appropriate, exploring similarities and differences between responses, asking certain participants to elaborate on common /unusual ones.*

Moderator should also aim to cluster emerging challenges as much as possible around **operational** *(i.e. getting set up / organised internally),* **cultural** *(i.e. internal collaboration, involving stakeholders from different orgs),* **RPF design** *(i.e. funding admin and monitoring processes)* **– or any other category that might arise** *to test research hypotheses.*

  - **Why was this a challenge for you?**
  - At what point in the process did you face it?
  - How did it affect the project?

- **Did you overcome this challenge? How?**
  - What did you learn from it?

After exploring spontaneous reactions, moderators to probe on challenges identified through the research (STIMULUS 1) not previously explored to test their salience / whether they resonate and identify any additional missing ones.

- **To what extent do these challenges resonate with your experiences? How so?**
  - Which resonate the most / the least? Why?
  - *When discussing the stimulus, probe around interpretation / meaning to regulators as appropriate to uncover more detail* – **What does this mean in the context of your work?**
  - **Did you overcome them? How?**
  - **What did you learn?**

    - Is there anything you already mentioned, not on here, that you feel is significant enough to include?

- **Have any stages of work been more challenging than others? How so?**
    - Have some of these been bigger challenges for you than others? Why?
- **What could the RPF do to address these challenges we discussed?**
    - *Probe for around main challenges for the group individually as needed.*
    - Why / how would this help?
- FOR SESSION 1, *if not covered before:* thinking specifically about challenges you encountered in setting up and implementing new methods to enable innovation in the sector, what, if anything, could the RPF support regulators overcoming them?
- FOR SESSION 2, *if not covered before*: thinking specifically about challenges you encountered in initiating and /or maintaining collaboration with stakeholders, how could the RPF support regulators overcoming them?

If raised, acknowledge it, but probe to go beyond request for more time or money.

- **Who do you think should help (i.e. MOs, IUK, BRE, other)?**
    - How could they better support regulators?

4. Lessons (20 mins)

Objectives:

- Explore lessons from the RPF experience and identify cross sector learnings
- Unpack specific lessons from different groups
- Understand how lessons can be applied to contribute to outcomes / innovation

Moderator to explain we'd now like to move to discussing more in detail lessons they learnt about through their experience of their RPF project. Once again, we'll be **using the chat function in the for a few minutes to briefly note down the key lessons they learnt about enabling innovation through regulation.** *Moderator to note them down and probe on answers as appropriate, exploring similarities and differences between responses, asking certain participants to elaborate on common / unusual ones.*

Some lessons might already have been covered in previous conversation. If so, acknowledge it and recap on previous answers, and briefly ask for additional thoughts before moving on.

- **What lessons have you learnt about enabling innovation through regulation from your participation in the RPF?**
    - Why has this been important in enabling innovation?
    - How have you learnt this?
    - **How did you apply these lessons to your project work?** *i.e. important to secure senior buy in within organisation / engage internal and external stakeholders, but how have they done it?*
    - How has it contributed to your progress / achievements?

After exploring spontaneous reactions, moderators **to probe on lessons identified through the research (STIMULUS 2) prioritising those not previously explored to test their salience / whether they resonate, and identify and missing ones** – *e.g. value of a permanent team, combining multiple areas of expertise, getting other internal teams involved, securing buy in at the senior level, reaching out to stakeholder personally / timely, proactively integrating the sector's views in their work build a scoping phase in to understand the problem before starting work.*

- **To what extent to these resonate with your experiences? How so?**
    - Which resonate the most / the least? Why?
    - *When discussing the stimulus, probe around interpretation / meaning to regulators as appropriate to uncover more detail* – **What does this mean to you?** What do you mean by that?
    - *For the ones that resonate:* How did you apply them to your project?
    - How did they contribute to your progress / enabling innovation?
- FOR SESSION 1: **Given your focus on exploring new ways of enabling innovation, what / what else have you learned about applying innovative methods or technologies to innovation?**
    - What, if anything, do you feel has facilitated this?
    - What have you learnt from cross sector collaboration with other regulators?
- FOR SESSION 2: **Given your focus on collaboration, what / what else have you learned about engaging with other businesses/stakeholders in their sector?**
    - What, if anything, do you feel has facilitated engagement?
    - What have you learnt from cross sector collaboration with other regulators?

- *If not covered:* **Have there been any phases of work / activities more important than others / important for a project aiming to enable innovation? Why?**
    - *Probe: scoping phase to understand the sector / applications of innovation, building time for feedback for the sector, cross sector collaboration, promotion*
    - Why is this important?
- **What would your advice be to other organisations taking part in the RPF in future years?**
    - Why?
    - What, if anything, would you do differently in hindsight?
- **What lessons will you continue to apply to your regulatory work past the RPF? Why?**

5. Taking innovation further (30 mins)

Objectives:

- Understand how innovation can be taken forward past the RPF
- Explore improvements to the evaluation process
- Encourage final personal reflections

Moderator to encourage regulators to take stock of their experience and reflect on how innovation can be taken forward beyond the lifetime of the RPF, as promoting innovation through regulatory activity is one of the high level goals of the Fund.

- **What do you think makes a regulator innovative?**

Moderator to ask regulators to take a few mins and briefly share any thoughts in the chat. *Moderator to note them down and probe on answers as appropriate.*

- Why?
- What are the main barriers to this from your perspective?
- What can help / facilitate on the other hand?
- To what extent is this something you're doing after the RPF?
- How can regulators continue innovation past the RPF?

- **What can regulators do to encourage this?** *Probe for reason for answer*
    - **How can RPF help to encourage this?**
    - *Probe for reason for answer*

If not explored before (e.g. in challenges section) moderator explain that as part of their final reflections, we'd like their thoughts on the evaluation process. If necessary, remind participants that an external, independent evaluation is a requirement for public funding.

- **There have been several ways in which we (i.e. Kantar on behalf of BRE, as opposed to Innovate UK) have been evaluating your work to understand what worked well and what didn't (e.g. quarterly surveys, interviews) - how have you found this process?**
    - To what extent do you feel we understood your progress / fully captured what your project achieved? Why?
    - What should have been the focus from their perspective?
    - How could this / the process be improved (e.g. clarity / timings of communications, less burdensome activities, more appropriate metrics – but to take into account multiple projects)?
- Thinking about your experience of the Fund, what has worked well for you?

Moderator to ask regulators to take a few mins and briefly share any thoughts in the chat. *Moderator to note them down and probe on answers as appropriate.*

- How has this been helpful?
- *Probe: create opportunities for collaboration with the sector / other regulators, fast-track their innovation plans, enable international presence, build innovation capabilities / improved sector knowledge*

- *If not covered & time allows*: **How do you feel regulators can collaborate more with other regulators, the Government or other public bodies to enable more innovative regulation?**
    - Specifically with whom?
    - On what issues / regulatory areas?
    - To what extent do you see themselves doing that in the future?
    - How / what would stop them?

Moderator to leave the last 10 minutes for participants to submit individual responses *to the following questions. Explain we don't need anything long from them, a couple of sentences will do as there's a 150 characters limit for answers – we just want to recap on the discussion and make sure we don't miss any personal views that might not have come up.*

- *What have been the main lessons about enabling innovation through their project in the sector for them?*
- *How do they plan to take these lessons forward now?*
- *What information / support / anything else they'd like to see would help them overcome the challenges identified today / through their project?*
- *If they were in charge of improving the RPF for a future iteration, what changes would they make?*
- *What are the three things they would they like future RPF participants to know or do to be successful?*

Before we wrap up moderator to the whiteboard function to capture anything that we haven't covered that they'd like to add / it would be important for us to know.

5. Final thoughts / close (5 mins)

- Anything else they would like to discuss / share / ask before we close (*if needed spill over from whiteboard)*
- Thank participants for their time

Close the meeting (after having saved chat / polling feature / any whiteboard responses)

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