

**This contract is made on**                      **1<sup>ST</sup> day of   April 2021**

- 1        THE SECRETARY OF STATE FOR EDUCATION of Sanctuary Buildings, 20 Great Smith Street, London, SW1P 3BT ("**DFE**"); and
- 2        Coram Children's Legal Centre (CCLC) of Wellington House, 4th Floor, 90-92 Butt Road, Colchester, Essex CO3 3DA registered in England and Wales under number 1520787 (the "**Contractor**") each a "**Party**" and together the "**Parties**".

**It is agreed that:**

1.        this contract, together with the attached schedules and annexes, collectively form the "**Contract**"; and
2.        if there is a conflict between the provisions of the clauses of the Contract and the provisions of the schedules, the following order of precedence shall apply:
  - (a)        schedule 2 (Terms and Conditions);
  - (b)        schedule 1 (Specification);
  - (c)        schedules 3 to 9; and
  - (d)        schedule 10 (Contractor's Solution).

**The Contract has been executed on the date stated at the beginning of this page.**

**SIGNED by the CONTRACTOR acting by**

**Name**

[REDACTED]

**Position**

[REDACTED]

**Authorised Signatory**

**Date**

**SIGNED by DFE acting by**

[REDACTED]

[REDACTED]

**Name**

**Position**

**Authorised Signatory**

**Date**

## **Table of Contents**

### **Contract Schedules**

Schedule 1	<b>Specification</b>
Schedule 2	<b>Terms and Conditions</b>
Schedule 3	<b>Financials</b>
Schedule 4	<b>KPIs, Service Levels, Service Credits and Performance Measures.</b>
Schedule 5	<b>Implementation Plan</b>
Schedule 6	<b>Change Control Procedure</b>
Schedule 7	<b>Key Personnel and Key Sub-Contractors</b>
Schedule 8	<b>Processing Data (Data Protection Act)</b>
Schedule 9	<b>Commercially Sensitive Information</b>
Schedule 10	<b>Contractor's Solution</b>
Schedule 11	<b>Data Handling and Systems Assurance (Security)</b>

## **Schedule 1**

### **The Specification**

#### **What is the Independent Review Mechanism (IRM)**

The IRM provides an essential statutory service to prospective and existing foster parents, adopters, and adult adoptees. The main function of the IRM is to offer an objective and independent route for applicants to request a review of decisions made by fostering and adoption services about their approval status and access to their records access. The service offered by the IRM is unique within the sector and enables applicants to have their case heard by an independent panel of children's social care experts. The service can provide important insight into, and validation of, decisions made in children's social care and represents an unrivalled means of advocacy for applicants.

#### **The IRM process**

The service is provided for in regulations and as a result, some elements of its delivery are prescribed in legislation.

When a local authority or fostering or adoption agency decides to remove or deny approval, or change the approval of, a prospective or existing foster parent or adopter, they have to provide a formal notification of this decision. This is known as a Qualifying Determination (QD). If the recipient of the decision is unhappy with the outcome, they can contact the IRM to request a review of that QD. Historically most applications to the IRM have come from foster carers who have been deemed no longer suitable to foster.

Once it has been determined that an application is eligible for IRM consideration, the applicant is notified that their case has been accepted. Each case is then allocated to a case worker who reviews the applicant's case in detail, requesting further written evidence from them and from their local authority/agency and from any other source, and where necessary, draws on advice from legal and medical experts. The IRM then organises a panel of social workers and others with experience of children's social care to review the case. All panellists are independent of the parties concerned. During the panel hearing, panellists hear from both the applicant and representatives from their local authority or agency.

Following the hearing, the panel agrees a recommendation, which sets out whether they agree or disagree with the QD. This is communicated to both the applicant and the relevant agency. The panel's decision is not binding, and it is for the service to determine whether they change the original QD. Although some services decide not to reconsider their decision, the majority do take the IRM panel recommendations on board, in recognition of the independent assessment and evidence underpinning the IRM's recommendation. This means that carers who feel the QD was unfair have a chance to challenge that decision. It also means that the recommendation can endorse local decision-making processes and lend weight to the Agency Decision Maker's decisions.

#### **Process Summary – an example for a fostering applicant**

- A foster carer is issued a QD by their agency, which states that they are deemed as not eligible, or that changes will be made to their approvals, to practice as a foster carer with that agency.
- The foster carer challenges the decision and approaches the IRM to review the case within 30 days of receipt of the QD.
- After gathering casework from the agency and applicant on the decision, the IRM panel convenes.
- The panel decides whether they agree or disagree with the qualifying determination issued.
- The IRM panel send their recommendation to both parties (applicant and agency).
- The agency then decides whether to stand by their original qualifying determination /or the agency will change their original qualifying determination so that the foster carer can continue to practice with them.

The IRM is paid for through a combination of Department for Education funding and by the local authority (LA) or agency whose decision is being reviewed. The LA or agency has a regulatory duty to contribute to the cost of a panel. The contribution from the LA's / Agency(s) currently stands at £2,591 per agency per case.

### **History of the IRM**

The IRM was introduced in 2005 through secondary legislation, under Sections 9 and 12 of the [Adoption and Children Act 2002](#). The purpose of the 2005 Regulations were to offer prospective adopters an opportunity to have decisions (Qualifying Determinations) reviewed by an independent panel if they had not been approved to adopt by their local authority or agency and were unhappy with the decision.

The [2009 regulations](#) expanded the original remit to provide a similar service to prospective and existing foster parents who are deemed ineligible to foster, or who face changes to their approvals; and to adult adoptees wishing to review historic decisions made about accessing their birth records.

The current contract to deliver IRM expires at the end of March 2021. We wish to procure a supplier to deliver the IRM for 24 months (from April 2021 to 31 March 2023), with the option to extend for a further year.

### **Volume of work**

Over the past 3 years, the IRM has, on average, reviewed around 120 cases per year, with the vast majority of these being foster carer cases.

### **Future vision**

We know that the IRM remains an invaluable service for those applicants that use it, giving them a voice, a chance to be heard and to have their case considered in full. Therefore, it is essential that high-quality customer service is maintained under this new contract. We want to see the continued development of a streamlined, user-friendly, modern service that offers excellent value for money to DfE and for the IRM to build on its reputation within the sector.

There is significant scope to develop the IRM to offer wider support to services and other stakeholders using the knowledge they develop through the course of their work, shaping best practice and providing evidence-based challenge to drive improvements.

This new contract is an opportunity to reposition the IRM service, restating its importance as a route for advocacy and representation for the people who need it. For example, we know that provider led de-registrations were around 2,000<sup>1</sup> in the year to March 2020 (26% of all deregistrations). By working in collaboration with other CSC services the profile and reach of the IRM can be improved, increasing the numbers of applicants that can benefit from this important service.

The refreshed IRM will be a service the sector can be proud of, offering appropriate checks and balances to keep our decision-making in line with what is right for children and young people and their carers. We are determined that more local authorities and agencies will adhere to its recommendations, thereby ultimately improving the overall efficacy of the service.

### **Mandatory skills and requirements**

The successful bidder must demonstrate the following mandatory requirements:

- an innovative approach to running an efficient, independent panel review service for foster carers, adopters and adult adoptees seeking a review of their qualifying determination

---

<sup>1</sup> [Fostering in England 1 April 2019 to 31 March 2020 - GOV.UK \(www.gov.uk\)](#)

- a clear understanding of the purpose and value of the IRM and a commitment to sharing this within the sector.
- excellent customer service and confidence to support people who may be in distress

- 
- a commitment to collaborating with stakeholders to drive improvements, establishing the service as a source of practice insight
  - a highly organised and efficient approach to administration, with excellent timekeeping and attention to detail
  - an ability to produce detailed thematic, data driven reporting
  - knowledge of, or desire to learn, about children's social services
  - dynamic approach to processes with an openness to try new ways of doing things to achieve efficiencies and offer value for money
  - passion for using technology and innovation to make services more efficient

**The supplier's role will be:**

To run and manage the Independent Review Mechanism in line with the Regulations.

**Overall scope**

The supplier will:

**Core service**

- Provide the IRM service in accordance with the Regulations <http://www.legislation.gov.uk/ukxi/2009/395/contents/made> (The Department recommends that bidders read the Regulations before writing their bid).
- Organise and run all review panels, recruiting panelists with the correct expertise, as detailed in Regulations
- Offer a varied approach to panel reviews, both virtual and face to face ensuring accessibility for all applicants
- Ensure all panelists fully understand the IRM process and purpose of their role, so that they can carry out their roles effectively.
- Work closely with the Department in a collaborative manner, in order to ensure the service is of the highest quality possible.

**Administration**

- Create a project delivery plan for the first 6 months of the contract, showing how the handover period with the previous contractor will be managed including demonstration of business continuity throughout to minimise delays to applicants.
- Supply detailed data protection and digital security plans signed off by local Data Protection Officer and security manager for approval by the Department.
- Create complaints and privacy procedures, setting out how complaints will be handled, timescales for response, escalation criteria, appeals procedure and data protection policies to be published on the IRM gov.uk pages
- Develop a streamlined case work process deploying digital solutions with a focus on reducing case work times and digitalising document organisation and processing procedures
- Produce clear information for applicants and services to be published on gov.uk pages
- Produce an Exit Plan for the contract's end detailing how they would wind down the service, with as little disruption as possible to service users.

**Reporting and information**

- Publish an annual report on the gov.uk website, showing the IRM's achievements in year and providing evidence-based analysis of work detailing key learning.
- Issue timely monthly invoices detailing exact expenditure against agreed budget lines for the previous month
- Provide the Department with quarterly reports on the IRM's progress to the KPIs and meet with the Department each quarter to discuss the data provided, thematic issues arising and to agree solutions/new approaches where necessary.

- Develop learning materials to be shared with the sector outlining areas where the need for improvements have been identified through the case working process.
- Ensure the IRM section of the Gov.uk website is up to date, useful, and accessible for those who need it, meeting gov.uk publication requirements.
- Attend working groups with stakeholders such as Ofsted to feed into practice development and with DfE funded support services to create a more collaborative support function for foster parents.

### Quality measures

All bidders should ensure their bid fits with the future vision for the IRM, as described above. Success will be measured by the following governing objectives:

1. **Efficiency** - the provision of this service in a modern, streamlined and legally robust way, making use of technology and increasing the capacity to process additional cases.
2. **Value for Money** - ensuring the service provides good value for money to DfE and agencies.
3. **Sharing Learning** - use the IRM's unique insight into decision-making within the sector to spread key learnings to the sector to improve outcomes more widely.
4. **Reach and Profile** – increasing the reputation and knowledge of the IRM within the sector to develop closer working relationships with support services to increase the numbers of prospective foster parents and adopters that the IRM is able to support.

### Key Performance Indicators (KPIs)

1. Respond to enquiries within 3 working days, and to applications within 3 working days
2. Provide applicants, and their agency, with the IRM panel's outcome within 7 working days of the panel hearing
3. Acknowledge initial complaints within 3 working days and issue a formal response within one calendar month of the date of receipt
4. Monthly invoice detailing exact expenditure against agreed budget lines for the previous month and where applicable provide evidence of costs incurred.
5. Quarterly reports delivered 10 days after the end of each quarter and containing detailed metrics demonstrating case work completed and comparative data against previous months/years, and information on emerging themes, risks and issues
6. Completion of stakeholder engagement activities evidenced by participation in working groups and production and dissemination of learning materials for the sector
7. An increase in reach and profile of the IRM evidenced by increased acceptance of panel recommendations and an increase in application numbers (where 2020-21 data forms the baseline).
8. Annual reporting produced and submitted to the Department within 10 working days of the 31<sup>st</sup> of March and in the required format to enable publication on gov.uk. The annual reports must include clear and detailed evidence of performance against KPI's, including comparative evaluation against previous years' case work, and drawing on external data sources, such as DfE and Ofsted data, to set the work in the wider CSC context. The report will include a discussion of lessons learned, emerging themes and issues and a plan for the upcoming year.

### Website

The IRM website is hosted on Gov.uk. The website is primarily used to provide key information on: what is the IRM, what is the process and how to get in touch with someone who can advise applicants and services. The new contractor will need to work with DfE to keep the content up to date and to meet the standards of accessibility and format expected on the gov.uk website.

### IRM Staff TUPE information

The TUPE details are included within the ITT. The current programme manager will not be included under this arrangement due to planned retirement. This was originally planned for 31 December 2020, however they have agreed to remain in position until June 2021 to support a handover to a new supplier. Any new supplier will need to have a plan in place to recruit a new programme manager.

**IRM Panel members**

The IRM currently has 59 panel members that they can draw on to meet the minimum requirements for each panel hearing. Panel members are not employees but associates. The numbers that would be willing to transfer to a new provider (as of 15 December 2020) and a breakdown of their expertise is detailed in the table below. Contact details of transferring panel members will be issued to the new supplier as part of the mobilisation / handover period:

<b>Role</b>	<b>Current total</b>	<b>Transfer</b>	<b>Not wishing to transfer</b>
Panel Chairs	7	6	
Vice Chairs	4	3	
Panel Advisers	7	6	
Secretaries	3	3	
Independent members*	16	6	3
Social Work qualified members	15	12	
Medical advisers (can sit as panel members as well)	3		1
Legal advisers	4	3	

\*(covers a variety of experience including foster carers, care experienced people, adopted persons, health professionals, education professionals, legal professionals, criminal justice experience)

**Schedule 2**  
**Terms and Conditions**

**CONTENTS**

**CLAUSE**

<b>1</b>	<b>DEFINITIONS AND INTERPRETATION</b>
<b>2</b>	<b>TERM</b>
<b>3</b>	<b>THE SERVICES</b>
<b>4</b>	<b>CONSORTIA</b>
<b>5</b>	<b>TRANSFER AND SUB-CONTRACTING</b>
<b>6</b>	<b>PERSONNEL</b>
<b>7</b>	<b>TUPE</b>
<b>8</b>	<b>CHARGES</b>
<b>9</b>	<b>TAX AND VAT</b>
<b>10</b>	<b>PREVENTION OF CORRUPTION</b>
<b>11</b>	<b>DISCRIMINATION</b>
<b>12</b>	<b>INTELLECTUAL PROPERTY</b>
<b>13</b>	<b>PROCESSING DATA, (DATA PROTECTION ACT)</b>
<b>14</b>	<b>DATA HANDLING AND SYSTEMS ASSURANCE (SECURITY)</b>
<b>15</b>	<b>PUBLICITY AND PROMOTION</b>
<b>16</b>	<b>CONFIDENTIALITY</b>
<b>17</b>	<b>FREEDOM OF INFORMATION</b>
<b>18</b>	<b>OFFICIAL SECRETS ACT AND FINANCE ACT</b>
<b>19</b>	<b>LIABILITY</b>
<b>20</b>	<b>WARRANTIES AND REPRESENTATIONS</b>
<b>21</b>	<b>FORCE MAJEURE</b>
<b>22</b>	<b>MONITORING AND REMEDIATION</b>
<b>23</b>	<b>STEP IN RIGHTS</b>
<b>24</b>	<b>TERMINATION</b>
<b>25</b>	<b>RETENDERING AND HANDOVER</b>
<b>26</b>	<b>EXIT MANAGEMENT</b>
<b>27</b>	<b>AUDIT</b>
<b>28</b>	<b>ENTIRE AGREEMENT</b>
<b>29</b>	<b>PARTNERSHIP</b>



30	<b>WAIVER</b>
31	<b>CHANGE CONTROL</b>
32	<b>COUNTERPARTS</b>
33	<b>CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999</b>
34	<b>CONFLICTS OF INTEREST</b>
35	<b>FURTHER ASSURANCE</b>
36	<b>NOTICES</b>
37	<b>DISPUTE RESOLUTION</b>
38	<b>GOVERNING LAW AND JURISDICTION</b>

## **1. DEFINITIONS AND INTERPRETATION**

1.1 In the Contract, the following expressions have the following meanings, unless inconsistent with the context:

**“Area”** means the geographical area within England in respect of which the Contractor is appointed to provide the Services.

**“Associated Company”** means any company which is, in relation to another company, its holding company or its subsidiary or a subsidiary of its holding company. “Holding company” and “subsidiary” will have the meanings attributed to them in section 736 and 736A of the Companies Act 1985 and section 1159 of the Companies Act 2006.

**“Business Days”** means Mondays to Fridays (inclusive) in each week, excluding bank and other public holidays in England.

**“CCN”** means a Change Control Note in the form set out in schedule 6.

**“Charges”** means the fees subject to clause 8 payable to the Contractor for the provision of the Services calculated in accordance with schedule 3.

**“Commercially Sensitive Information”** means the information set out in schedule 1 comprising the information of a commercially sensitive nature relating to:

- (a) the Price;
- (b) details of the Contractor's Intellectual Property Rights; and
- (c) the Contractor's business and investment plans

which the Contractor has indicated to DFE that, if disclosed by the Authority, would cause DFE significant commercial disadvantage or material financial loss.

**“Confidential Information”** (a) Information, including all Personal Data, which (however it is conveyed) is provided by the Disclosing Party pursuant to or in anticipation of this Agreement that relates to:

- (i) the Disclosing Party Group; or
- (ii) the operations, business, affairs, developments, intellectual property rights, trade secrets, Model Services Contract Combined Schedules v1.09A 10 know-how and/or personnel of the Disclosing Party Group;

(b) other Information provided by the Disclosing Party pursuant to or in anticipation of this Agreement that is clearly designated as being confidential or equivalent or that ought reasonably to be considered to be confidential (whether or not it is so marked) which comes (or has come) to the Recipient's attention or into the Recipient's possession in connection with this Agreement;

(c) discussions, negotiations, and correspondence between the Disclosing Party or any of its directors, officers, employees, consultants or professional advisers and the Recipient or any of its directors, officers, employees, consultants and professional advisers in connection with this Agreement and all matters arising therefrom; and

(d) Information derived from any of the above, but not including any Information which:  
(i) was in the possession of the Recipient without obligation of confidentiality prior to its disclosure by the Disclosing Party;

(ii) the Recipient obtained on a nonconfidential basis from a third party who is not, to the Recipient's knowledge or belief, bound by a confidentiality agreement with the Disclosing Party or otherwise prohibited from disclosing the information to the Recipient; (iii) was already generally available and in the public domain at the time of disclosure otherwise than by a breach of this Agreement or breach of a duty of confidentiality; Model Services Contract Combined Schedules v1.09A 11

(iv) was independently developed without access to the Confidential Information; or (v) relates to the Supplier's:

(1) performance under this Agreement; or

(2) failure to pay any Subcontractor as required pursuant to Clause 15.15(a) (Supply Chain Protection);

**"Consortium"** means an association of 2 or more persons acting together to deliver the Services but excludes Sub-Contractors.

**"Consortium Agreement"** means, if the Contractor is a Consortium, an agreement:

(a) signed by all the Consortium Members as at the Effective Date; and

(b) adhered to by Consortium Members who join the Consortium after the Effective Date by signing a Deed of Adherence

which sets out, amongst other things, how the Consortium Members will work together to deliver the Services.

**"Consortium Member"** means a member of a Consortium (if any).

**"Contractor Equipment"** means the Contractor's ICT equipment.

**"Contract Period"** means the start and end date of the contract as set out in Clause 2 subject to any extensions.

**"Contractor's Solution"** means the Contractor's proposal submitted in response to the DFE's invitation to tender attached at schedule 10.

**"Contracts Finder"** means the Government's publishing portal for public sector procurement opportunities.

**"Copyright"** means as it is defined in s.1 of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Crown”** means the government of the United Kingdom (including the Northern Ireland Executive Committee and Northern Ireland Departments, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers, government departments, government offices and government agencies and **“Crown Body”** is an emanation of the foregoing.

**“Database Rights”** means as rights in databases are defined in s.3A of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Deed of Adherence”** means a deed under which a new Consortium Member shall covenant with the other Consortium Members to adhere to the terms of the Consortium Agreement in either the form set out in schedule 10 or in any other form approved by DFE in writing.

**“Default”** means breach of the obligations of the relevant Party (including abandonment of the Contract in breach of its terms, repudiatory breach or breach of a fundamental term) or any other default, act, omission, negligence or statement of the relevant Party or the Personnel in connection with the subject-matter of the Contract and in respect of which such Party is liable to the other.

**“DFE Premises”** means any premises owned by, leased or hired to or otherwise controlled by DFE or which DFE nominates as such by notice in writing to the Contractor.

**“DFE Security Standards”** means the security standards as set out in schedule 11

**“DFE Trade Marks”** means proprietary trade mark rights of DFE including those notified to the Contractor by DFE from time to time.

**“Dispute”** means any dispute between the Parties in connection with the Contract.

**“DOTAS”** means the Disclosure of Tax Avoidance Schemes rules which require a promotor of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance (Application of Part 7 of the Finance Act 2004) regulations 2012, SI 2012/1868 made under section 132A of the Social Security Administration Act 1992.

**“DPA”** means the Data Protection Act 2018

**“Effective Date”** means **1 April 2021**

**“EIR”** means the Environmental Information Regulations 2004 and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to them.

**“Employment Liabilities”** means all actions, proceedings, costs (including reasonable legal costs), losses, damages, fines, penalties, compensation, awards, demands, orders, expenses and liabilities connected with or arising from all and any laws including, without limitation, directives, statutes, secondary legislation, orders, codes of practice, contractual obligations and other common law rights whether of the European Union, United Kingdom or any other relevant authority relating to or connected with:

- (a) the employment and dismissal of employees (including their health and safety at work); and
- (b) the engagement, use and termination of individuals other than employees who provide services (including their health and safety at work),

and all wages, holiday pay and employment benefit costs due in respect of (a) or (b) above, including claims for protective awards.

**“FOIA”** means the Freedom of Information Act 2000 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to it.

**“Force Majeure”** means any event or occurrence which is outside the reasonable control of the Party concerned and which is not attributable to any act or failure to take reasonable preventative action by that Party, including fire; flood; violent storm; pestilence; explosion; malicious damage; armed conflict; acts of terrorism; nuclear, biological or chemical warfare; or any other disaster, natural or man-made, but excluding:

- (a) any industrial action occurring within the Contractor’s or any of its Sub-Contractor’s organisation, or otherwise involving the Personnel; or
- (b) the failure by any Sub-Contractor of the Contractor to perform its obligations under any sub-contract.

**“General Anti-Abuse Rule”** means:

- (a) the legislation in Part 5 of the Finance Act 2013; and
- (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid NICs.

**“Good Industry Practice”** means the standards, practices, methods and procedures conforming to the law and the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances.

**“Halifax Abuse Principle”** means the principle explained in the CJEU Case C-255/02 Halifax and others.

**“HMRC”** means Her Majesty’s Revenue and Customs.

**“ICT”** means information and communications technology.

**“Implementation Plan”** means the plan and time schedule for the completion of the obligations of the Contractor under the Contract as set out in schedule 5 as the same may be replaced by any subsequent more detailed plan and time schedule as the Parties may agree in writing from time to time.

**“Initial Term”** means the period from the Effective Date to **31 March 2023**

**“Intellectual Property Rights”** means patents, inventions, trade-marks, service marks, logos, design rights (whether registrable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, trade and/or business names, rights in confidential information and know how, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off.

**“IP Materials”** means any materials used or developed for the purposes of the Contract including any programme materials, guidance, papers and research data, results, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models and designs.

**“KPIs”** means the key performance indicators in relation to the Services set out in schedule 4 which the Contractor shall comply with.

**“Key Personnel”** means any of the Personnel identified as such in schedule 7 or otherwise identified as such by DFE pursuant to clause 6.

**“Key Sub-Contractor”** means any Sub-Contractor identified as such in schedule 7 or otherwise identified as such by DFE.

**“Material Breach”** means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the DFE would otherwise derive from:

- (a) a substantial portion of the Contract; or
- (b) any of the obligations set out in clauses 9, 10, 12, 15, 17 and 33 and in schedule 8 and Schedule 11..

**“NICs”** means National Insurance Contributions.

**“Occasion of Tax Non-Compliance”** means:

- (a) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:
  - (i) a Relevant Tax Authority successfully challenging the Contractor under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;
  - (ii) the failure of an avoidance scheme which the Contractor was involved in, and which was, or should have been, notified to the Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or
- (b) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

**“Performance Measures/Standards”** means the standards which the Contractor will measured against in respect of the delivery of the Services aligned to defined Key Performance Indicators (KPIs)

**“Personnel”** means all persons employed by the Contractor to perform its obligations under the Contract together with the Contractor’s servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Contract.

**“Prohibited Act”** means:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the DFE a financial or other advantage to:
  - (i) induce that person to perform improperly a relevant function or activity; or
  - (ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with the Contract;
- (c) an offence:
  - (i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act;

- (ii) under legislation or common law concerning fraudulent acts; or
- (iii) the defrauding, attempting to defraud or conspiring to defraud the DFE;
- (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct has been carried out in the UK.

**“Quality Standards”** means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardization or other reputable or equivalent body, (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Contractor would reasonably and ordinarily be expected to comply with, and as may be further detailed in the Specification.

**“Regulations”** means the Public Contract Regulations 2015.

**“Regulatory Body”** means a government department and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in the Contract or any other affairs of the DFE.

**“Relevant Conviction”** means a conviction for an offence involving violence or dishonesty, of a sexual nature or against minors, or for any other offence that is relevant to the nature of the Services.

**“Relevant Requirements”** means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010.

**“Relevant Tax Authority”** means HMRC or, if applicable, a tax authority in the jurisdiction in which the Contractor is established.

**“Replacement Contractor”** means any third party supplier appointed by the DFE to supply any services which are substantially similar to any of the Services in substitution for the Contractor following the expiry, termination or partial termination of the Contract.

**“Request for Information”** means a request for information under the FOIA or the EIR.

**“Restricted Country”** means:

- a) any country outside the United Kingdom; and
- b) any country not deemed adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC

**“Returning Employees”** means those persons agreed by the Parties to be employed by the Contractor (and/or any Sub-Contractor) wholly or mainly in the supply of the Services immediately before the end of the Term.

**“Services”** means the services described in the Specification.

**“Services Commencement Date”** means 1 April 2021

**“Service Credits”** means the service credits specified in schedule 4 which shall be payable to the DFE by the Contractor in the event that the Service Levels are not met in respect of Services.

**“Service Level”** means the levels of Service defined in schedule 4.

**“Service Period”** means the following:

- (a) the first Service Period of the Contract shall begin on the Services Commencement Date and shall expire at the end of the calendar month in which the Service Commencement Date falls; and
- (b) after the first Service Period of the Contract a Service Period shall be a calendar month during the Contract save that the final Service Period of the Contract shall commence on the first day of the calendar month in which the Contract expires or terminates and shall end on the expiry or termination of the Contract.

**“Service Users”** means those receiving the Services.

**“SME”** means an enterprise falling within the category of micro, small and medium-sized enterprises defined by the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises

**“Specification”** means the description of the Services to be supplied under the Contract set out in schedule 1.

**“Staff”** means all persons employed by the Contractor to perform its obligations under the Contract together with the Contractor’s servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Contract.

**“Sub-Contract”** means a contract between 2 or more suppliers, at any stage of remoteness from DfE in a sub-contracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the Contract and **“SubContractor”** shall be construed accordingly.

**“Term”** means the period from the Effective Date until the date the Contract ends for whatever reason.

**“TFEU”** means the Treaty on the Functioning of the European Union.

**“Treaties”** means the TFEU and the Treaty on European Union.

**“TUPE”** means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

**“Variation”** means any variation to the Contract requiring a Change Control Note to be completed in accordance with schedule 6.

**“VCSE”** means a non-governmental organisation that is value-driven and which principally reinvests its surpluses to further social, environmental or cultural objectives.

1.2 The following notes of construction and interpretation apply to the Contract:

- 1.2.1 references to a statute or statutory provision shall, unless the context otherwise requires, include a reference to that statute or statutory provision as from time to time amended, modified, extended, re-enacted or consolidated and all statutory instruments or orders made pursuant to it whether replaced before or after the date of the Contract which are in force prior to the date of the Contract;
- 1.2.2 the expression “person” means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture;
- 1.2.3 the words “include”, “includes”, “including” and “included” will be construed without limitation unless inconsistent with the context;
- 1.2.4 the masculine includes the feminine and the neuter, and the singular includes the plural and vice versa as the context shall admit or require;

1.2.5 any reference in the Contract to a clause or schedule is a reference to a clause or schedule of the Contract and references in any schedule to paragraphs relate to the paragraphs in that schedule;

1.2.6 the clause headings are included for convenience only and shall not affect the interpretation of the Contract; and

1.2.7 the schedules and appendices form part of the Contract and shall have effect as if set out in full in the body of the Contract and any reference to the Contract includes the schedules.

## **2. TERM**

2.1 The Contract commences on the Effective Date 1 April 2021 to 31 March 2023, with an optional break clause after 12 months and, subject to any provision of this Contract for earlier termination, or extension set out in this clause 2, will terminate at the end of the Initial Term.

2.2 DFE may extend the Initial Term for a further period of 12 months from 1 April 2023 to 31 March 2024, as the DFE may choose by giving not less than 3 months' written notice to the Contractor prior to the expiry of the Initial Term.

## **3. THE SERVICES**

3.1 The Contractor shall provide the Services in the Area in accordance with the Specification and undertake and be responsible for all obligations of the Contractor in respect of the Services.

3.2 The DFE may appoint other Contractors for the Services in the Area.

3.3 The Contractor shall, in performing its obligations under the Contract:

3.3.1 conform to the requirements of the Specification and the Contractor's Solution or as otherwise agreed in writing between the Parties;

3.3.2 carry out and complete the Services in a proper professional manner (taking account of the standards of a reasonably proficient practitioner) and in conformity with all reasonable directions and requirements of the DFE specified by the DFE from time to time;

3.3.3 comply with Good Industry Practice;

3.3.4 ensure that the Services are provided by competent and appropriately trained personnel;

3.3.5 comply with the Quality Standards and where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body;

3.3.6 comply with the KPIs, Service Levels and Service Credit requirements set out in schedule 4;

3.3.7 comply with the Implementation Plan;

3.3.8 in so far as is reasonably practicable, comply with any policies and procedures adopted by the DFE from time to time within 14 days of the same being brought to the attention of the Contractor by the DFE;



- 3.3.9 comply with applicable law, any applicable codes of practice or governmental regulation, and monitor compliance with relevant legislation;
- 3.3.10 comply with all health and safety legislation, adopt and maintain safe operating systems of work and appropriate safety policies in order to protect the health and safety of Personnel, employees of the DFE, the Service Users and all other persons including members of the public; and
- 3.3.11 comply with all safety, security, acceptable use and other policies of the DFE from time to time notified to it and procure that the Personnel also comply.
- 3.4 The DFE may provide data and materials to the Contractor and access to systems for the purposes of providing the Services that the Contractor may use but only to the extent necessary to enable the Contractor to provide the Services.
- 3.5 All equipment and other property brought onto DFE Premises shall be at the Contractor's own risk and the DFE shall have no liability for any loss of or damage to any such equipment and property unless the Contractor is able to demonstrate that such loss or damage was caused by the negligence of the DFE.
- 3.6 Any land or DFE Premises made available from time to time to the Contractor by the DFE in connection with the Contract shall be made available to the Contractor on a non-exclusive licence basis free of charge and shall be used by the Contractor solely for the purpose of performing its obligations under the Contract. The Contractor shall have the use of such land or DFE Premises as a licensee and shall vacate the same on completion, termination or abandonment of the Contract or the task in respect of which such land or DFE Premises was made available.
- 3.7 The Contract does not create a tenancy of any nature whatsoever in favour of the Contractor or any of the Personnel and no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to the Contract, the DFE retains the right at any time to use any DFE Premises in any manner.

#### **4. CONSORTIA**

- 4.1 If the Contractor is a Consortium it shall comply with the terms of this clause 4.
- 4.2 The Contractor may appoint additional or replacement Consortium Members to assist it in carrying out its obligations under the Contract subject to compliance with clause 4.3.
- 4.3 No new person or entity may become a Consortium Member until:
- 4.3.1 the DFE has given its prior written consent to the new Consortium Member;
  - 4.3.2 the new Consortium Member has signed a Deed of Adherence; and
  - 4.3.3 a copy of the Deed of Adherence has been given to the DFE.
- 4.4 The Contractor shall promptly inform the DFE if and how any Consortium Member breaches the terms of the Consortium Agreement.

#### **5. TRANSFER AND SUB-CONTRACTING**

- 5.1 Save as set out in this clause 5 the Contractor may not sub-contract, assign, transfer, charge the benefit and/or delegate the burden of the whole or any part of the Contract (a "**Transfer**") without the prior written consent of the DFE.
- 5.2 If the DFE consents to a Transfer the Contractor will evidence the Transfer in writing and provide a copy of the Transfer document on request.

- 5.3 The Contractor may award Sub-Contracts with a value per annum not exceeding £10,000 without the DFE's consent.
- 5.4 Where the DFE has consented to a Sub-Contract, copies of each Sub-Contract shall, at the request of the DFE, be sent by the Contractor to the DFE as soon as reasonably practicable.
- 5.5 The Contractor shall not terminate or materially amend the terms of any Sub-Contract without the DFE's prior written consent.
- 5.6 The DFE may require the Contractor to terminate a Sub-Contract if the acts or omissions of the Sub-Contractor have given rise to the DFE's right of termination pursuant to clause 23 unless the Sub-Contractor can remedy the breach to the DFE's satisfaction within 21 days of receipt by the Contractor of written notice from the DFE requiring the Sub-Contract to be terminated.
- 5.7 The Contractor shall remain responsible for all acts and omissions of its SubContractors as if they were its own.
- 5.8 If the DfE believes there are:
- 5.8.1 compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the Contractor shall replace or not appoint the Sub-Contractor; or
- 5.8.2 non-compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the DfE may require the Contractor to replace or not appoint the Sub-Contractor and the Contractor shall comply with such requirement.

## **6. PERSONNEL**

- 6.1 The DFE may refuse admission to DFE Premises and/or direct the Contractor to end the involvement in the Services of any Personnel whom the DFE believes is a security risk.
- 6.2 If the DFE require the removal of any Personnel pursuant to clause 6.1, any Employment Liabilities and any other costs connected with that removal shall be at the Contractor's cost.
- 6.3 The Contractor shall use its reasonable endeavours to ensure continuity of Personnel and to ensure that the turnover rate of Personnel is at least as good as the prevailing industry norm for similar services, locations and environments.
- 6.4 The Contractor shall ensure that no person who discloses a Relevant Conviction or who is found to have any Relevant Convictions (whether as a result of a police check or through the Disclosure and Barring Service Procedures or otherwise), is employed or engaged in providing the Services without the DFE's prior written consent.
- 6.5 For each of the Personnel who, in providing the Services, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the DFE owes a special duty of care the Contractor shall (and shall procure that any relevant Sub-Contractor shall) ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service, and the Contractor shall not (and shall ensure that any Sub-Contractor shall not) engage or continue to employ in the provision of the Services any person who has a Relevant Conviction or what would reasonably be regarded as an inappropriate record.
- 6.6 The Contractor acknowledges that Key Personnel and Key Sub-Contractors are essential to the proper provision of the Services. The Parties have agreed to the appointment of Key Personnel and Key Sub-Contractors listed in schedule 7 as at the Effective Date.

- 6.7 Key Personnel shall not be released from supplying the Services without the DFE's consent except by reason of long-term sickness, maternity leave, paternity leave or termination of employment or other similar reason.
- 6.8 Any replacements of Key Personnel shall be subject to DFE consent and shall be of at least equal status, experience and skills to Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- 6.9 The DFE shall not unreasonably withhold consent under clauses 6.7 or 6.8. Such agreement shall be conditional on appropriate arrangements being made by the Contractor to minimise any adverse effect on Services which could be caused by a change in Key Personnel or Key Sub-Contractors.
- 6.10 DFE may require the Contractor to remove any Key Personnel who the DFE considers in any respect unsatisfactory.
- 6.11 The DFE shall not be liable for the cost of replacing any Key Personnel and the Contractor shall indemnify the DFE against all Employment Liabilities that may arise in this respect.
- 6.12 Except in respect of any transfer of staff under TUPE, for the Term and for 12 months after the Term neither Party shall (except with the prior written consent of the other) solicit the services of any staff of the other Party who have been engaged in providing the Services or the management of the Contract or any significant part thereof either as principal, agent, employee, independent contractor or in any other form of employment or engagement other than by means of an open national advertising campaign and not specifically targeted at staff of the other Party.

## **7. TUPE**

- 7.1 No later than 6 Months prior to the end of the Term the Contractor shall fully and accurately disclose to the DFE, within 30 days of the request, all information that the DFE may reasonably request in relation to the Staff including the following:
- 7.1.1 the total number of Staff whose employment/engagement shall terminate at the end of the Term;
  - 7.1.2 the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Staff referred to in clause 7.1.1;
  - 7.1.3 the terms and conditions of employment/engagement of the Staff referred to in clause 7.1.1, their job titles and qualifications;
  - 7.1.4 details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
  - 7.1.5 details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union
- (together the “**TUPE Information**”).
- 7.2 At intervals determined by the DFE (which shall not be more frequent than once every 30 days) the Contractor shall give the DFE updated TUPE Information.
- 7.3 Each time the Contractor supplies TUPE Information to the DFE it shall warrant its completeness and accuracy and the DFE may assign the benefit of this warranty to any Replacement Contractor.
- 7.4 The DFE may use TUPE Information for the purposes of any retendering process.

7.5 If TUPE applies to the transfer of the Services on termination of the Contract, the Contractor shall indemnify and keep indemnified the DFE, the Crown and any Replacement Contractor against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which they may suffer or incur as a result of or in connection with:

7.5.1 the provision of TUPE Information;

7.5.2 any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Contractor or any SubContractor in respect of any Returning Employee on or before the end of the Term;

7.5.3 any failure by the Contractor or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the DFE or a Replacement Contractor to comply with its duties under regulation 13 of TUPE;

7.5.4 any Court or Employment Tribunal claims (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning Employees arising from or connected with any failure by the Contractor or any Sub-Contractor to comply with any legal obligation to such trade union, body or person; and

7.5.5 any claim by any person who is transferred by the Contractor to the DFE and/or a Replacement Contractor whose name is not included in the list of Returning Employees.

7.6 If the Contractor becomes aware that TUPE Information it provided has become inaccurate or misleading, it shall promptly notify the DFE and provide the DFE with up to date TUPE Information.

7.7 This clause 7 applies during the Term and indefinitely thereafter.

7.8 The Contractor undertakes to the DFE that, during the 12 Months prior to the end of the Term the Contractor shall not (and shall procure that any Sub-Contractor shall not) without written approval of DFE (such approval not to be unreasonably withheld or delayed):

7.8.1 amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Personnel (other than where such amendment or variation has previously been agreed between the Contractor and the Personnel in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);

7.8.2 terminate or give notice to terminate the employment or engagement of any Personnel (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);

7.8.3 transfer away, remove, reduce or vary the involvement of any other Personnel from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse effect on the delivery of the Services, (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or

- 7.8.4 recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

## 8. CHARGES

- 8.1 Except where otherwise expressly stated in the Contract the only payments to be paid by the DFE for the performance by the Contractor of its obligations under the Contract shall be the Charges which shall be inclusive of all costs and expenses incurred by the Contractor in the performance of its obligations.
- 8.2 In consideration for the provision of the Services the DFE shall pay the Charges in accordance with the schedule 3 subject to the receipt of correct invoices pursuant to clause 8.8 being issued by the Contractor.
- 8.3 The Department shall accept and process for payment an electronic invoice submitted for payment by the Contractor where the invoice is undisputed and where it complies with the standard on electronic invoicing. For the purposes of this paragraph, an electronic invoice complies with the standard on electronic invoicing where it complies with the European standard and any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870.
- 8.4 Except where otherwise expressly stated in schedule 3 the Contractor shall not be entitled to increase the Charges or any rates identified in schedule 3 throughout the Term.
- 8.5 The Charges are exclusive of Value Added Tax (“**VAT**”) and all other taxes, duties and levies, but shall be inclusive of all charges, costs and expenses of whatever nature the Contractor incurs in providing the Services, and performing all other obligations of the Contractor, under the Contract (unless expressly stated otherwise in the Contract). The Contractor should notify the DFE of any direct VAT charges for the delivery of the Contract. The Contractor shall identify VAT and other applicable taxes, duties and levies separately on invoices, including identifying the elements of the Charges that are subject to VAT at the standard rate or at any other rates and that are zero rated or exempt from VAT.
- 8.6 Payment of the Charges by the DFE shall be without prejudice to any rights the DFE may have by reason of any Services, or any part thereof, failing to comply with any provision of the Contract and any breach by the Contractor of the Contract shall not be deemed to be accepted or waived by the DFE by reason of such payment.
- 8.7 The DFE may deduct from or offset against any monies due or becoming due to the Contractor under the Contract (including the Charges) any monies due from the Contractor under the Contract or otherwise under any other agreement or account whatsoever.
- 8.8 Invoices shall be submitted electronically by email to [accountspayable.OCR@education.gov.uk](mailto:accountspayable.OCR@education.gov.uk) within 30 days of the end of the relevant invoicing date. To request a statement, please email [accountspayable.BC@education.gov.uk](mailto:accountspayable.BC@education.gov.uk). An invoice is a “**Valid Invoice**” if it is legible and includes:
- 8.8.1 the date of the invoice;
  - 8.8.2 Contractor's full name and address;
  - 8.8.3 Contract reference number;
  - 8.8.4 the charging period;
  - 8.8.5 a detailed breakdown of the appropriate Charges including deliverables or milestones achieved;

- 8.8.6 days and times worked (if applicable);
- 8.8.7 Service Credits (if applicable); and
- 8.8.8 VAT if applicable.
- 8.9 The DFE shall not pay an invoice which is not a Valid Invoice.
- 8.10 The DFE intends to pay Valid Invoices within 5 days of receipt. Valid Invoices not paid within 30 days are subject to interest at the rate of 2% above the base rate from time to time of Barclays Bank. This clause 8.10 is a substantial remedy for late payment of any sum payable under the Contract in accordance with section 8(2) Late Payment of Commercial Debts (Interest) Act 1998.
- 8.11 The DFE shall not be responsible for any delay in payment caused by receipt of invoices which are not Valid Invoices and shall, within 10 Business Days of receipt, return to the Contractor for correction invoices that are not Valid Invoices together with an explanation of the need for correction.
- 8.12 At the end of the Term the Contractor shall promptly draw-up a final invoice which shall cover all Services provided up to the end of the Term which have not already been invoiced to the DFE. The final invoice shall be submitted not later than 30 days after the end of the Term.
- 8.13 The DFE shall not be obliged to pay the final invoice until the Contractor has carried out all of the Service.
- 8.14 The Contractor shall ensure that a term is included in all Sub-Contracts which requires payment to be made of all sums due to Sub-Contractors within 30 days from the receipt of a valid invoice.
- 8.15 If the DFE disputes any amount specified in a Valid Invoice it shall pay such amount of the invoice as is not in dispute and within 10 Business Days notify the Contractor of the reasons for disputing the invoice. The DFE may withhold the disputed amount pending resolution of the dispute.
- 8.16 The Parties shall use all reasonable endeavours to resolve any dispute over invoices within 10 Business Days of the dispute being raised, after which period either Party may refer the matter for resolution in accordance with clause 36.

## **9. TAX and VAT**

- 9.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under the Contract it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax in respect of that consideration.
- 9.2 If the Services are liable for VAT the Contractor shall comply with HMRC rules and regulations. The Contractor will be liable for paying to HMRC any identified VAT including those which may fall due.
- 9.3 If the Contractor is liable to NICs in respect of consideration received under the Contract it shall comply with the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to NICs in respect of that consideration.
- 9.4 The DFE may ask the Contractor to provide information which demonstrates how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it.

9.5 A request under clause 9.4 may specify the information which the Contractor must provide and the period within which that information must be provided.

9.6 The DFE may terminate this Contract if:

9.6.1 in the case of a request mentioned in clause 9.4 the Contractor:

- (i) fails to provide information in response to the request within a reasonable time; or
- (ii) provides information which does not demonstrate either how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it;

9.6.2 it receives information which demonstrates that, if clauses 9.1 to 9.3 apply, the Contractor is not complying with those clauses.

9.7 The DFE may supply any information which it receives under clause 9.4 to HMRC.

9.8 The Contractor bears sole responsibility for the payment of tax and national insurance contributions due from it in relation to any payments or arrangements made under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract.

9.9 The Contractor will account to the appropriate authorities for any applicable income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract. The Contractor shall indemnify DFE against any liability, assessment or claim made by the HMRC or any other relevant authority arising out of the performance by the Contractor of its obligations under the Contract (other than in respect of employer's secondary national insurance contributions) and any costs, expenses, penalty fine or interest incurred or payable by DFE in connection with any such assessment or claim.

9.10 The Contractor authorises the DFE to provide HMRC and all other departments or agencies of the Government with any information which they may request as to fees and/or expenses paid or due to be paid under the Contract whether or not DFE is obliged as a matter of law to comply with such request.

9.11 If, during the Term, an Occasion of Tax Non-Compliance occurs, the Contractor shall:

9.11.1 notify the DFE in writing of such fact within 5 Business Days of its occurrence; and

9.11.2 promptly give the DFE:

- (i) details of the steps it is taking to address the Occasion of Tax NonCompliance and to prevent the same from recurring, together with any mitigating factors it considers relevant; and
- (ii) such other information in relation to the Occasion of Tax NonCompliance as the DFE may reasonably require.

## **10. PREVENTION OF CORRUPTION**

10.1 The Contractor represents and warrants that neither it, nor to the best of its knowledge any Personnel, have at any time prior to the Effective Date:

- 10.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; or
  - 10.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
- 10.2 The Contractor shall not:
- 10.2.1 commit a Prohibited Act; or
  - 10.2.2 do or suffer anything to be done which would cause the DFE or any of its employees, consultants, contractors, Sub-Contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
- 10.3 The Contractor shall:
- 10.3.1 and procure that its Sub-Contractors shall, establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act; and
  - 10.3.2 keep appropriate records of its compliance with its obligations under clause 10.3.2 and make such records available to the DFE on request.
- 10.4 The Contractor shall immediately notify the DFE in writing if it becomes aware of any breach of clauses 10.1 and/or 10.2, or has reason to believe that it has or any of the Personnel have:
- 10.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
  - 10.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; or
  - 10.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.
- 10.5 If the Contractor notifies the DFE pursuant to clause 10.4, the Contractor shall respond promptly to the DFE's enquiries, co-operate with any investigation, and allow the DFE to audit any books, records and any other relevant documentation.
- 10.6 If the Contractor is in Default under clauses 10.1 and/or 10.2, the DFE may by notice:
- 10.6.1 require the Contractor to remove from performance of the Contract any Staff whose acts or omissions have caused the Default; or
  - 10.6.2 immediately terminate the Contract.
- 10.7 Any notice served by the DFE under clause 10.6 shall specify the nature of the Prohibited Act, the identity of the party who the DFE believes has committed the Prohibited Act and the action that the DFE has taken (including, where relevant, the date on which the Contract shall terminate).



## 11. DISCRIMINATION

11.1 The Contractor shall perform its obligations under the Contract in accordance with all applicable equality law.

11.2 The Contractor shall comply with DFE's equality and diversity policy as given to the Contractor from time to time and any other requirements and instructions which the DFE reasonably imposes in connection with any equality obligations imposed on the DFE at any time under equality law.

11.3 The Contractor indemnifies the DFE in full from and against all Employment Liabilities that may arise as a result of any claims brought against the DFE by any of its employees, agents, consultants and contractors ("**DFE Personnel**") and/or any of the Personnel where such claim arises from any act or omission of the Personnel in respect of anti-discrimination legislation. The Contractor will also provide all reasonable cooperation, assistance and information as the DFE may request in connection with any investigation by the DFE into any complaint or other grievance received by it from any of the DFE Personnel or Personnel in respect of anti-discrimination legislation which may have arisen from, or been contributed to by, any act or omission of the Contractor or any Personnel.

## 12. INTELLECTUAL PROPERTY

12.1 All Intellectual Property Rights in materials:

12.1.1 furnished to or made available to the Contractor by or on behalf of the DFE (the "**DFE IP Materials**") shall remain the property of the DFE (save for Copyright and Database Rights which shall remain the property of the Crown); and

12.1.2 prepared by or for the Contractor on behalf of the DFE in connection with the Contract (the "**Service Specific IP Materials**") shall vest in the DFE (save for Copyright and Database Rights which shall vest in the Crown)

(together the "**IP Materials**").

12.2 The Contractor shall not, and shall ensure that Personnel shall not, use or disclose IP Materials without the DFE's approval save to the extent necessary for the performance by the Contractor of its obligations under the Contract.

12.3 The Contractor hereby assigns to the DFE or undertakes to procure the assignment to the DFE of all Intellectual Property Rights which may subsist in the Service Specific IP Materials (save for Copyright and Database Rights which it hereby assigns to the Crown or undertakes to procure the assignment of to the Crown). These assignments shall be given with full title guarantee, shall take effect on the Effective Date or as a present assignment of future rights that will take effect immediately on the coming into existence of the Intellectual Property Rights in the Service Specific IP Materials and shall include, without limitation, an assignment to the DFE (or the Crown as appropriate) of all rights arising in the United Kingdom and the world together with the right to sue for damages and other remedies for infringement occurring prior to the date of assignment. The Contractor shall execute all documents and do all other acts requested by the DFE and necessary to execute and perfect these assignments and to otherwise evidence the DFE's or the Crown's ownership of such rights.

12.4 The Contractor shall waive or procure a waiver on an irrevocable and unconditional basis of any moral rights subsisting in copyright produced by or in connection with the Contract or the performance of the Contract.

12.5 The Contractor shall ensure that the third party owner of any Intellectual Property Rights that are or which may be used to perform the Services grants to the DFE a nonexclusive licence or, if itself a licensee of those rights, shall grant to the DFE an authorised sub-

licence, to use, reproduce, modify, develop and maintain the Intellectual Property Rights in the same. Such licence or sub-licence shall be nonexclusive, perpetual, royalty-free, worldwide and irrevocable and shall include the right for the DFE to sub-licence, transfer, novate or assign to a Replacement Contractor. The Contractor shall notify the DFE of any third party Intellectual Property Rights to be used in connection with the Contract prior to their use in connection with the Contract or the creation or development of the Service Specific IP Materials.

12.6 The Contractor shall not infringe any Intellectual Property Rights of any third party in performing its obligations under the Contract and the Contractor shall indemnify and keep indemnified the DFE and any Replacement Contractor from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the DFE may suffer or incur as a result of or in connection with any breach of this clause 14, except to the extent that any such claim arises from:

12.6.1 items or materials supplied by the DFE; or

12.6.2 the use of data supplied by the DFE which is not required to be verified by the Contractor under any provision of the Contract.

12.7 The DFE shall notify the Contractor in writing of any claim or demand brought against the DFE for infringement or alleged infringement of any Intellectual Property Right in materials supplied and/or licensed by the Contractor.

12.8 The Contractor shall at its own expense conduct all negotiations and any litigation arising in connection with any claim for infringement of Intellectual Property Rights in materials supplied and/or licensed by the Contractor to the DFE, provided always that the Contractor shall:

12.8.1 consult the DFE on all substantive issues which arise during the conduct of such litigation and negotiations;

12.8.2 take due and proper account of the interests and concerns of the DFE; and

12.8.3 not settle or compromise any claim without the DFE's prior written consent (not to be unreasonably withheld or delayed).

12.9 Notwithstanding clause 12.8. the DFE may take any action it deems appropriate with respect to any such claim and shall have exclusive control of such claim. If the DFE takes action the Contractor shall at the request of the DFE afford to the Contractor all reasonable assistance to the DFE for the purpose of contesting such claim.

12.10 The DFE shall at the request of the Contractor afford to the Contractor all reasonable assistance for the purpose of contesting any claim or demand made or action brought against the DFE or the Contractor by a third party for infringement or alleged infringement of any third party Intellectual Property Rights in connection with the performance of the Contractor's obligations under the Contract subject to the Contractor indemnifying the DFE on demand and in full for all reasonable costs and expenses (including, but not limited to, legal costs and disbursements) incurred in doing so.

12.11 If a claim, demand or action for infringement or alleged infringement of any Intellectual Property Right is made in connection with the Contract or in the reasonable opinion of the Contractor is likely to be made, the Contractor shall notify the DFE and, at its own expense and subject to the consent of the DFE (not to be unreasonably withheld or delayed), use reasonable endeavours to:

12.11.1 modify any or all of the Service Specific IP Materials and, where relevant, the Services without reducing the performance or functionality of the same, or substitute alternative materials or services of equivalent performance and

functionality, so as to avoid the infringement or the alleged infringement, provided that the provisions of this clause 12 shall apply mutatis mutandis to such modified materials or services or to the substitute materials or services; or

12.11.2 procure a licence to use and supply the Service Specific IP Materials, other relevant Intellectual Property Rights and Services, which are the subject of the alleged infringement, on terms which are acceptable to the DFE.

12.12 If the Contractor is unable to comply with clauses 12.11.1 and 12.11.2 within 20 Business Days of receipt of the Contractor's notification the DFE may terminate the Contract with immediate effect by notice in writing.

12.13 The Contractor grants to the DFE and, if requested by DFE, to a Replacement Contractor, a royalty-free, perpetual, irrevocable and non-exclusive licence (with a right to sub-licence) to use any Intellectual Property Rights the Contractor owned or developed prior to the Effective Date or otherwise not in connection with the Contract ("**Contractor IP**") and which the DFE (or a Replacement Contractor) reasonably requires in order to exercise its rights and take the benefit of the Contract including the Services provided and the use and further development of the IP Materials.

12.14 The DFE shall comply with the reasonable instructions of the Contractor in respect of the way in which it uses the Contractor IP.

12.15 If the Contractor is not able to grant to the DFE a licence to use any Contractor IP for any reason, including due to any Intellectual Property Rights that a third party may have in such Contractor IP, the Contractor shall use its reasonable endeavours to:

12.15.1 procure that the third party owner of any Intellectual Property Rights that are or that may be used to perform the Contract grants to the DFE a licence on the terms set out in clause 12.13; or

12.15.2 if the Contractor is itself a licensee of those rights and is able to do so under the terms of its licence, grant to the DFE a sub-licence on the terms set out in clause 12.13.

12.16 The Contractor shall not knowingly do or permit to be done, or omit to do in connection with its use of Intellectual Property Rights which are or are to be the DFE IP Materials any act or thing which:

12.16.1 would or might jeopardise or invalidate any trade mark application or registration comprised within the same or give rise to an application to remove or amend any such application or registration from the register maintained by the relevant trade mark registry; or

12.16.2 would or might prejudice the right or title of the DFE to any of the DFE IP Materials.

12.17 The Contractor shall comply with the DFE's branding guidelines and shall not use any other branding, including its own, other than as set out in the DFE's branding guidelines or as otherwise agreed with the DFE.

12.18 When using DFE Trade Marks the Contractor shall observe all reasonable directions given by the DFE from time to time as to colour and size and the manner and disposition thereof on any materials it provides to persons in connection with the Services. The Contractor may not:

12.18.1 adopt or use any trade mark, symbol or device which incorporates or is confusingly similar to, or is a simulation or colourable imitation of, any DFE Trade Mark, or unfairly competes with any DFE Trade Mark; or

12.18.2 apply anywhere in the world to register any trade marks identical to or so nearly resembling any DFE Trade Mark as to be likely to deceive or cause confusion.

### **13. PROCESSING DATA (DATA PROTECTION ACT)**

13.1 The Parties shall comply with the provisions of schedule 8.

### **14. DATA HANDLING AND SYSTEMS ASSURANCE (SECURITY)**

14.1 The Parties shall comply with the provisions of schedule 11.

### **15. PUBLICITY AND PROMOTION**

15.1 Subject to clause 16.2, without prejudice to the DFE's obligations under the FOIA, the EIR, the Regulations, or any policy requirements as to transparency, neither Party shall make any press announcement or publicise the Contract or any part thereof in any way, except with the written consent of the other Party.

15.2 The Contractor shall use reasonable endeavours to ensure its Personnel comply with clause 15.1

15.3 Without prejudice to the generality of clauses 12.18 and 15.1, the Contractor shall not itself, and shall procure that Consortium Members shall not, use the DFE's name, brand or DFE Trade Marks or the Personal Data of the DFE to sell, promote, market or publicise the Contractor's other programmes, courses, services or other activities.

15.4 Subject to clauses 12 and 16 DFE may disclose, copy and otherwise distribute to the public, including but not limited to, by way of the Open Government Licence, any information arising out of the Services or comprised in any work relating to the Services.

### **16. CONFIDENTIALITY**

16.1 Except to the extent set out in this clause 16 or if disclosure or publication is expressly permitted elsewhere in the Contract each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's written consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Contract.

16.2 The Contractor hereby gives its consent for the DFE to publish the whole Contract including from time to time agreed changes to the Contract.

16.3 The Contractor may only disclose the DFE's Confidential Information to Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that Personnel are aware of and shall comply with these obligations as to confidentiality.

16.4 The Contractor shall not, and shall procure that Personnel do not, use any of the DFE's Confidential Information received otherwise than for the purposes of the Contract.

16.5 Clause 16.1 shall not apply to the extent that:

16.5.1 such disclosure is a requirement of law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;

- 16.5.2 such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
- 16.5.3 such information was obtained from a third party without obligation of confidentiality;
- 16.5.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract; or
- 16.5.5 it is independently developed without access to the other Party's Confidential Information.
- 16.6 Nothing in clause 16 shall prevent the DFE disclosing any Confidential Information obtained from the Contractor:
- 16.6.1 for the purpose of the examination and certification of the DFE's accounts;
- 16.6.2 for the purpose of any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the DFE has used its resources;
- 16.6.3 to any other crown body and the Contractor hereby acknowledges that all government departments receiving such Confidential Information may further disclose the Confidential Information to other government departments on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department; or
- 16.6.4 to any consultant, contractor or other person engaged by the DFE provided that in disclosing information under clauses 16.6.3 and 16.6.4 the DFE discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.
- 16.7 Nothing in clauses 16.1 to 16.6 shall prevent either Party from using any techniques, ideas or know-how gained during the performance of its obligations under the Contract in the course of its normal business, to the extent that this does not result in a disclosure of the other Party's Confidential Information or an infringement of the other Party's Intellectual Property Rights.
- 16.8 The DFE shall endeavour to ensure that any government department, employee, third party or sub-contractor to whom the DFE's Confidential Information is disclosed pursuant to clause 16.6 is made aware of the DFE's obligations of confidentiality.
- 16.9 If the Contractor does not comply with clauses 16.1 to 16.5 the DFE may terminate the Contract immediately on notice to the Contractor.

## **17. FREEDOM OF INFORMATION**

- 17.1 The Contractor acknowledges that the DFE is subject to the requirements of the FOIA and the EIR.
- 17.2 The Contractor shall transfer to the DFE all Requests for Information that it receives as soon as practicable and in any event within 2 Business Days of receipt:
- 17.2.1 give the DFE a copy of all Information in its possession or control in the form that the DFE requires within 5 Business Days (or such other period as the DFE may specify) of the DFE's request;

17.2.2 provide all necessary assistance as reasonably requested by the DFE to enable the DFE to comply with its obligations under the FOIA and EIR; and

17.2.3 not respond to directly to a Request for Information unless authorised to do so in writing by the DFE.

17.3 The DFE shall determine in its absolute discretion and notwithstanding any other provision in the Contract or any other agreement whether the Commercially Sensitive Information and any other information is exempt from disclosure in accordance with the provisions of the FOIA and/or the EIR.

## **18. OFFICIAL SECRETS ACTS AND FINANCE ACT**

18.1 The Contractor shall comply with the provisions of:

18.1.1 the Official Secrets Acts 1911 to 1989; and

18.1.2 section 182 of the Finance Act 1989.

## **19. LIABILITY**

19.1 Neither Party excludes or limits its liability (if any) to the other:

19.1.1 for breach of any obligations arising under section 12 Sale of Goods Act 1979 or section 2 Supply of Goods and Services Act 1982;

19.1.2 for personal injury or death resulting from the its negligence;

19.1.3 under section 2(3) Consumer Protection Act 1987;

19.1.4 any breach of clause 16 (Confidentiality), schedule 8 or Schedule 11;

19.1.5 for its own fraud; or

19.1.6 for any other matter which it would be unlawful for it to exclude or to attempt to exclude its liability.

19.2 Subject to clauses 19.1 and 19.3, the Contractor shall indemnify the DFE and keep the DFE indemnified fully against all claims, proceedings, demands, charges, actions, damages, costs, breach of statutory duty, expenses and any other liabilities which may arise out of the supply, or the late or purported supply, of the Services or the performance or non-performance by the Contractor or any Personnel on the Premises, including in respect of death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Contractor, or any other loss which is caused directly by any act or omission of the Contractor.

19.3 The Contractor does not exclude or limit its liability (if any) pursuant to any indemnities given by it in clauses 12 (Intellectual Property) and 9 (Tax).

19.4 Subject to clauses 19.1, 19.3 and 19.6, neither Party shall have any liability to the other under or in connection with the Contract, whether in contract, tort (including negligence) or otherwise:

19.4.1 for any losses of an indirect or consequential nature;

19.4.2 for any claims for loss of profits, revenue, business or opportunity (whether direct, indirect or consequential); or

- 19.4.3 to the extent that it is prevented from meeting any obligation under the Contract as a result of any breach or other default by the other Party.
- 19.5 Subject to clauses 19.1 and 19.3, the maximum liability of either Party to the other under the Contract, whether in contract, tort (including negligence) or otherwise:
- 19.5.1 in respect of damage to property is limited to £5m in respect of any one incident or series of connected incidents; and
- 19.5.2 in respect of any claim not covered by clause 19.5.1, is limited in each calendar year in aggregate to 150% of the sum of the Charges payable in that year.
- 19.6 The DFE may recover from the Contractor the following losses incurred by the DFE to the extent they arise as a result of a Default by the Contractor:
- 19.6.1 any additional operational and/or administrative costs and expenses incurred by the DFE, including costs relating to time spent by or on behalf of the DFE in dealing with the consequences of the default;
- 19.6.2 any wasted expenditure or charges;
- 19.6.3 the additional costs of procuring a Replacement Contractor for the remainder of the Contract and or replacement deliverables which shall include any incremental costs associated with the Replacement Contractor and/or replacement deliverables above those which would have been payable under the Contract;
- 19.6.4 any compensation or interest paid to a third party by the DFE; and
- 19.6.5 any fine or penalty incurred by the DFE and any costs incurred by the DFE in defending any proceedings which result in such a fine or penalty.
- 19.7 Except as otherwise expressly provided by the Contract, all remedies available to either Party for breach of the Contract are cumulative and may be exercised concurrently or separately, and the exercise of any one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.
- 19.8 All property of the Contractor whilst on the DFE's premises shall be there at the risk of the Contractor and the DFE shall accept no liability for any loss or damage howsoever occurring to it.
- 19.9 The Contractor shall effect and maintain in force with a reputable insurance company employer's liability and public liability insurances for the sum and range of cover as the DFE deems to be appropriate but not less than £5,000,000 for any one claim, for professional indemnity insurances for the sum and range of cover as the DFE deems to be appropriate but not less than £1,000,000 for any one claim and insurance to cover the liability of the Contractor under the Contract. Such insurances shall be maintained for the Term and for a minimum of 6 years following the end of the Term.
- 19.10 The Contractor shall supply to the DFE on demand copies of the insurance policies maintained under clause 19.9.
- 19.11 The provisions of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract.
- 19.12 It shall be the responsibility of the Contractor to determine the amount of insurance cover that will be adequate to enable the Contractor to satisfy any liability it has under, or in connection with, the Contract.

## **20. WARRANTIES AND REPRESENTATIONS**

### **20.1 The Contractor warrants and represents that:**

20.1.1 it has full capacity and authority and all necessary consents (including where its procedures so require, the consent of its parent company) to enter into and perform its obligations under the Contract and that the Contract is executed by a duly authorised representative of the Contractor;

20.1.2 in entering the Contract it has not committed any fraud;

20.1.3 as at the Effective Date, all information contained in the Contractor's Solution remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the DFE prior to execution of the Contract;

20.1.4 no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might, and it is not subject to any contractual obligation, compliance with which is likely to, have a material adverse effect on its ability to perform its obligations under the Contract;

20.1.5 it owns, has obtained or is able to obtain valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract;

20.1.6 the Service Specific IP Materials will be its original work and will not have been copied wholly or substantially from another party's work or materials provided that this clause 20.1.6 shall not apply to any IP Materials used by the Contractor under permission or licence from any other person or entity (including, without limitation, any Sub-Contractor); and

20.1.7 the use by the DFE of any Intellectual Property Rights assigned or licensed to it by the Contractor under the Contract will not infringe or conflict with the rights of any third party;

20.1.8 in the 3 years (or actual period of existence if the Contractor has been in existence for less time) prior to the Effective Date:

- (i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files accounts;
- (ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
- (iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under the Contract;

20.1.9 it has and will continue to hold all necessary regulatory approvals from the Regulatory Bodies necessary to perform its obligations under the Contract; and

20.1.10 it has notified the DFE in writing of any Occasions of Tax Non-Compliance or any litigation in which it is involved that is in connection with any Occasion of Tax Non-Compliance.



## **21. FORCE MAJEURE**

21.1 If either Party is prevented or delayed in the performance of any of its obligations under the Contract by Force Majeure, that Party shall immediately serve notice in writing on the other Party specifying the nature and extent of the circumstances giving rise to Force Majeure, and shall subject to service of such notice and to clause 21.3 have no liability in respect of the performance of such of its obligations as are prevented by the Force Majeure events during the continuation of such events, and for such time after they cease as is necessary for that Party, using all reasonable endeavours, to recommence its affected operations in order for it to perform its obligations.

21.2 If either Party is prevented from performance of its obligations for a continuous period in excess of 3 months, the other Party may terminate the Contract forthwith on service of written notice upon the Party so prevented, in which case neither Party shall have any liability to the other except that rights and liabilities which accrued prior to such termination shall continue to subsist.

21.3 The Party claiming to be prevented or delayed in the performance of any of its obligations under the Contract by reason of Force Majeure shall use reasonable endeavours to end Force Majeure or to find solutions by which the Contract may be performed despite the Force Majeure.

## **22. MONITORING AND REMEDIATION**

22.1 The DFE or its authorised representatives may visit on reasonable notice to the Contractor any premises of the Contractor, any Consortium Member or any other premises at which the Services (or any part of them) are being or are to be performed to ascertain that the Contractor is conforming in all respects with its obligations arising under the Contract and otherwise to monitor and quality assure the provision of the Services.

22.2 During such visits, the DFE may inspect and take copies of such of the records of the Contractor and any Consortium Member as relate to the performance of their obligations under the Contract.

22.3 If the DFE reasonably considers that any provision of the Contract is at risk of not being complied with it may, notwithstanding and without prejudice to any other right or remedy that it may have under the Contract or otherwise:

22.3.1 require the Contractor to produce a plan of remedial action in order to remedy or remove such risk, which shall be subject to the approval of the DFE (not to be unreasonably withheld) and which, once approved, the Contractor shall implement; and

22.3.2 monitor, supervise, direct and/or guide the Contractor's provision of the Services until the DFE reasonably considers that any such risk has been remedied or removed. The Contractor shall cooperate at all times with the DFE in this regard.

22.4 If the Contractor fails to comply with any provision of the Contract or fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the DFE may instruct the Contractor to remedy the failure and the Contractor shall at its own cost and expense remedy such failure (and any damage resulting from such failure) within 21 days or such other period of time as the DFE may direct.

22.5 The DFE may review from time to time the progress of the Contractor against the Implementation Plan. The Contractor shall cooperate with the DFE in this regard and provide any information and evidence reasonably required by the DFE.

22.6 The DFE may instruct the Contractor to take appropriate remedial action where the DFE reasonably considers that the Implementation Plan is not being complied with or is at risk of not being complied with and the Contractor shall take such remedial action.

## **23. STEP IN RIGHTS**

23.1 Without prejudice to DFE's rights of termination under clause 23 the DFE may exercise one or more of the rights set out in this clause 23 ("**Step In Rights**") if:

23.1.1 there is a Default by the Contractor which materially prevents or materially delays performance of the Services or any part of the Services;

23.1.2 an event of Force Majeure occurs which materially prevents or materially delays the performance of the Services or any part of the Services;

23.1.3 a Regulatory Body has advised the DFE that exercise by the DFE of its rights under this clause 23 is necessary;

23.1.4 a serious risk exists to the health and safety of persons, property or the environment;

23.1.5 it is necessary to discharge a statutory duty; or

23.1.6 the Contractor becomes insolvent.

23.2 If the DFE has a Step In Right it may serve notice on the Supplier (a "**Step-In Notice**") that it will take action under this clause 23 either itself or with the assistance of a third party.

23.3 The Step-In Notice shall set out:

23.3.1 the action the DFE wishes to take and in particular the Services that it wishes to control (the "**Required Action**");

23.3.2 the event triggering the Step In Rights and whether the DFE believes that the Required Action is due to the Contractor's Default;

23.3.3 the date on which it wishes to commence the Required Action;

23.3.4 the time period which it believes will be necessary for the Required Action;

23.3.5 whether the DFE will require access to the Contractor's premises; and

23.3.6 to the extent practicable, the effect the DFE anticipates the Required Action will have on the Contractor's obligations to provide the Services during the period that the Required Action is being taken.

23.4 Following service of a Step-In Notice, the DFE shall:

23.4.1 take the Required Action set out in the Step-In Notice and any consequential additional action as it reasonably believes is necessary to achieve the Required Action;

23.4.2 keep records of the Required Action taken and provide information about the Required Action to the Contractor;

23.4.3 co-operate wherever reasonable with the Contractor in order to enable the Contractor to continue to provide those Services of which the DFE is not assuming control; and

- 23.4.5 act reasonably in mitigating the cost that the Contractor will incur as a result of the exercise of the Step In Rights.
- 23.5 For as long as and to the extent that the Required Action continues:
- 23.5.1 the Contractor shall not be obliged to provide the Services to the extent that they are the subject of the Required Action; and
- 23.5.2 the DFE shall pay the Contractor the Charges after subtracting any applicable Service Credits and the DFE's costs of taking the Required Action.
- 23.6 If the Contractor demonstrates to the DFE's reasonable satisfaction that the Required Action has resulted in the degradation of any Services not subject to the Required Action beyond that which would have been the case had the DFE not taken the Required Action, the DFE may adjust the Charges.
- 23.7 Before ceasing to exercise its Step In Rights the DFE shall deliver a written notice to the Contractor (a "**Step-Out Notice**"), specifying:
- 23.7.1 the Required Action it has taken; and
- 23.7.2 the date on which the DFE plans to end the Required Action subject to the DFE being satisfied with the Contractor's ability to resume the provision of the Services and the Contractor's plan developed in accordance with clause 23.8.
- 23.8 The Contractor shall, following receipt of a Step-Out Notice and not less than 20 Business Days prior to the date specified in clause 23.7.2, develop for the DFE's approval a draft plan relating to the resumption by the Contractor of the Services, including any action the Contractor proposes to take to ensure that the affected Services satisfy the requirements of the Contract.
- 23.9 If the DFE does not approve the draft plan, it shall inform the Contractor of its reasons for not approving it and the Contractor shall then revise the draft plan taking those reasons into account and shall re-submit the revised plan to the DFE for approval. The DFE shall not withhold or delay its approval of the draft plan unreasonably.
- 23.10 The Contractor shall bear its own costs in connection with any Step-In under this clause 23, provided that the DFE shall reimburse the Contractor's reasonable additional expenses incurred directly as a result of any Step-In action taken by the DFE under clauses 23.1.2 to 23.1.5 (insofar as the primary cause of the DFE serving the Step In Notice is identified as not being the result of a Contractor's Default).

## **24. TERMINATION**

- 24.1 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a company and in respect of the Contractor:
- 24.1.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;
- 24.1.2 a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);
- 24.1.3 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional

liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986;

24.1.4 a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;

24.1.5 an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;

24.1.6 it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;

24.1.7 being a "small company" within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or

24.1.8 any event similar to those listed in clauses 24.1.1 to 24.1.7 occurs under the law of any other jurisdiction.

24.2 The DFE may terminate the Contract with immediate effect by notice and without paying compensation to the Contractor where the Contractor is an individual and:

24.2.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Contractor's creditors;

24.2.2 a petition is presented and not dismissed within 14 days or order made for the Contractor's bankruptcy;

24.2.3 a receiver, or similar officer is appointed over the whole or any part of the Contractor's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets;

24.2.4 the Contractor is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986;

24.2.5 a creditor or encumbrancer attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Contractor's assets and such attachment or process is not discharged within 14 days;

24.2.6 he dies or is adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Capacity Act 2005;

24.2.7 he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business; or

24.2.8 any event similar to those listed in clauses 24.2.1 to 24.2.7 occurs under the law of any other jurisdiction.

24.3 The Contractor shall notify the DFE immediately in writing of any proposal or negotiations which will or may result in a merger, take-over, change of control, change of name or status including if the Contractor undergoes a change of control within the meaning of section 1124 of the Corporation Taxes Act 2010 ("**Change of Control**"). The DFE may terminate the Contract with immediate effect by notice and without compensation to the Contractor within 6 months of:

24.3.1 being notified that a Change of Control has occurred; or

24.3.2 where no notification has been made, the date that the DFE becomes aware of the Change of Control

but shall not be permitted to terminate where approval was granted prior to the Change of Control.

24.4 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a partnership and:

24.4.1 a proposal is made for a voluntary arrangement within Article 4 of the Insolvent Partnerships Order 1994 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;

24.4.2 it is for any reason dissolved;

24.4.3 a petition is presented for its winding up or for the making of any administration order, or an application is made for the appointment of a provisional liquidator;

24.4.4 a receiver, or similar officer is appointed over the whole or any part of its assets;

24.4.5 the partnership is deemed unable to pay its debts within the meaning of sections 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or

24.4.6 any of the following occurs in relation to any of its partners:

24.4.6.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, his creditors;

24.4.6.2 a petition is presented for his bankruptcy;

24.4.6.3 a receiver, or similar officer is appointed over the whole or any part of his assets; or

24.4.6.4. any event similar to those listed in clauses 24.4.1 to 24.4.6 occurs under the law of any other jurisdiction.

24.5 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a limited liability partnership and:

24.5.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;

24.5.2 it is for any reason dissolved;

24.5.3 an application is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given within Part II of the Insolvency Act 1986;

24.5.4 any step is taken with a view to it being determined that it be wound up (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation) within Part IV of the Insolvency Act 1986;

24.5.5 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator within Part IV of the Insolvency Act 1986;

- 24.5.6 a receiver, or similar officer is appointed over the whole or any part of its assets;  
or
- 24.5.7 it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- 24.5.8 a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- 24.5.9 any event similar to those listed in clauses 24.5.1 to 24.5.8 occurs under the law of any other jurisdiction.
- 24.6 References to the Insolvency Act 1986 in clause 24.5.1 shall be construed as being references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.
- 24.7 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if the Contractor commits a Default and:
- 24.7.1 the Contractor has not remedied the Default to the satisfaction of the DFE within 21 Business Days or such other period as may be specified by the DFE, after issue of a notice specifying the Default and requesting it to be remedied
- 24.7.2 the Default is not, in the opinion of the DFE, capable of remedy; or
- 24.7.3 the Default is a Material Breach.
- 24.8 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
- 24.8.1 the Contractor's warranty in clause 20.1.10 is materially untrue;
- 24.8.2 the Contractor commits a material breach of its obligation to notify the DfE of any Occasion of Non-Tax Compliance;
- 24.8.3 the Contractor has not, in performing the Services, complied with its legal obligations in respect of environmental, social or labour law.
- 24.9 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
- 24.9.1 the Contract has been subject to a substantial modification which requires a new procurement procedure pursuant to regulation 72(9) of the Regulations;
- 24.9.2 the Contractor was, at the time the Contract was awarded, in one of the situations specified in regulation 57(1) of the Regulations, including as a result of the application of regulation 57(2), and should therefore have been excluded from the procurement procedure which resulted in the award of the Contract;  
or
- 24.9.3 the Contract should not have been awarded to the Contractor in view of a serious infringement of the obligations under the Treaties and the Regulations which has been declared by the Court of Justice of the European Union in a procedure under Article 258 of the TFEU.
- 24.10 If the DFE terminates the Contract under clauses 24.7, 24.8 or 24.9:

- 24.10.1 and makes other arrangements for the supply of the Services, the DFE may recover from the Contractor the cost reasonably incurred of making those other arrangements; and
- 24.10.2 the DFE shall make no further payments to the Contractor (for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the DFE), until the DFE has established the final cost of making the other arrangements envisaged under this clause 24.
- 24.11 Either Party may terminate the Contract (or any part of it) at any time by giving at least 3 months' prior written notice to the other Party.
- 24.12 If the DFE terminates the Contract under clause 24.11 the DFE shall make no further payments to the Contractor except for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the DFE.
- 24.13 If any funding from governmental or other sources for the provision of the Services, or for a programme or a project to which the provision of the Services relates is withdrawn, reallocated or no longer available in such a way that the Contract cannot reasonably continue the DFE may terminate the Contract (or any part of it) by serving 3 months' written notice on the Contractor.
- 24.14 If the DFE terminates the Contract under clause 24.13 the DFE shall pay to the Contractor for Services supplied prior to the termination and in accordance with the Contract, and any disengagement costs and other costs reasonably incurred by the Contractor as a direct consequence of such termination (excluding any loss of profit and any possible redundancy costs), provided that the Contractor shall use all reasonable endeavours to mitigate the amount of such costs and has provided written evidence of the reasonableness and unavoidability of such costs.
- 24.15 If, through any Default of the Contractor, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Contractor shall be liable for the cost of reconstitution of that data and shall reimburse the DFE in respect of any charge levied for its transmission and any other costs charged in connection with such Default.
- 24.16 If the DFE fails to pay the Contractor undisputed sums of money when due the Contractor shall give notice to the DFE of its failure to pay. If the DFE fails to pay such undisputed sums within 30 Business Days of the date of such notice, the Contractor may terminate the Contract in writing with immediate effect, save that such right of termination shall not apply where the failure to pay is due to the DFE exercising its rights under clause 8.7 or to Force Majeure.
- 24.17 Save as otherwise expressly provided in the Contract:
- 24.17.1 termination or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and
- 24.17.2 termination of the Contract shall not affect the continuing rights, remedies or obligations of the DFE or the Contractor under clauses 8 (Payment), 9 (Tax and VAT), 10 (Prevention of Fraud), 12 (Intellectual Property Rights), 13 (Processing Data), 16 (Confidentiality), 17 (Freedom of Information), 18 (Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989), 180 (Warranties and Representations), 19 (Liability), 24 (Termination) 25 (Retendering and Handover), 26 (Exit Management), 27 (Audit), and 38 (Governing Law and Jurisdiction).

#### **24.18 Termination by DfE if monthly Performance Standards not met**

24.18.1 If the Contractor fails to meet any of the monthly Performance Standards in any two consecutive months, at either party's request to the other party, both parties must meet to work together in good faith to attempt to understand why the monthly Performance Standards have not been achieved and implement strategies jointly agreed between the parties to attempt to enable the Contractor to achieve the monthly Performance Standards.

24.18.2 If the parties agree on a strategy under clause 24.18.1 and, in the month following the implementation of the joint strategy under clause 24.18.1 the Contractor fails to achieve any of the monthly Performance Standards, DfE may terminate this agreement on 30 days' notice to Contract.

24.18.3 If Contractor fails to meet any of the monthly Performance Standards in any three consecutive months, DfE may terminate this agreement on 10 Business Days' notice to the Contractor.

#### **25. RETENDERING AND HANDOVER**

25.1 Within 30 days of being requested by the DFE, the Contractor shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information reasonably necessary to enable the DFE to issue tender documents for the future provision of replacement services.

25.2 The DFE shall take reasonable precautions to ensure that the information referred to in clause 25.1 is given only to potential contractors who have qualified to tender for the future provision of the replacement services.

25.3 The DFE shall require that all potential Contractors treat the information in confidence; that they do not communicate it except to such persons within their organisation and to such extent as may be necessary for the purpose of preparing a response to an invitation to tender issued by the DFE; and that they shall not use it for any other purpose.

25.4 The Contractor shall allow access to the Premises in the presence of DFE's authorised representative, to any person representing any potential contractor whom the DFE has selected to tender for the future provision of the Services.

25.5 If access is required to the Contractor's Premises for the purposes of clause 27.4, the DFE shall give the Contractor 7 days' notice of a proposed visit together with the names of all persons who will be visiting.

25.6 The Contractor shall co-operate fully with the DFE during any handover at the end of the Contract including allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.

25.7 Within 10 Business Days of being requested by the DFE, the Contractor shall transfer to the DFE, or any person designated by the DFE, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and catalogued disk format, to operate on a proprietary software package identical to that used by the DFE.

#### **26. EXIT MANAGEMENT**

26.1 If the DFE requires a continuation of all or any of the Services at the end of the Term, either by performing them itself or by engaging a third party to perform them, the Contractor shall co-operate fully with the DFE and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.



26.2 The Contractor will, within 3 months of the Effective Date, deliver to the DFE, a plan which sets out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the DFE and/or its Replacement Contractor at the end of the Term (an **"Exit Plan"**).

26.3 Within 30 days of the submission of the Exit Plan, both Parties will use reasonable endeavours to agree the Exit Plan. If the Parties are unable to agree the Exit Plan the dispute shall be referred to the dispute resolution procedure in clause 36.

26.4 The Contractor will review and (if appropriate) update the Exit Plan in the first month of each year of the Term to reflect changes to the Services. Following such update the Contractor will submit the revised Exit Plan to the DFE for review. Within 30 days following submission of the revised Exit Plan, the Parties shall meet and use reasonable endeavours to agree the revised Exit Plan and the changes that have occurred in the Services since the Exit Plan was last agreed. If the Parties are unable to agree the revised Exit Plan within 30 days, such dispute shall be referred to the dispute resolution procedure in clause 37.

26.5 If the Contractor:

26.5.1 does not have to use resources in addition to those normally used to deliver the Services prior to termination or expiry, there shall be no change to the Charges;  
or

26.5.2 reasonably incurs additional costs

the Parties shall agree a variation of the Charges.

26.6 If the DFE requests, the Contractor shall deliver to the DFE details of all licences for software used in the provision of the Services including the software licence agreements.

26.7 Within one month of receiving the software licence information described above, the DFE shall notify the Contractor of the licences it wishes to be transferred, and the Contractor shall provide for the approval of the DFE a plan for licence transfer.

26.8 The Contractor shall co-operate fully with the DFE in order to enable an efficient and detailed knowledge transfer from the Contractor to the DFE at the end of the Term and shall provide the DFE free of charge with full access to Personnel, copies of all documents, reports, summaries and any other information requested by the DFE. The Contractor shall comply with the DFE's request for information no later than 15 Business Days from the date that that request was made.

## **27. AUDIT**

27.1 The Contractor shall keep and maintain until 6 years after the end of the Term, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it and all Charges.

27.2 The Contractor agrees to make available to the DFE, free of charge, whenever requested, copies of audit reports obtained by the Contractor in relation to the Services

27.3 The Contractor shall permit duly authorised representatives of the DFE and/or the National Audit Office to examine the Contractor's records and documents relating to the Contract and to provide such copies and oral or written explanations as may reasonably be required.

27.4 The Contractor (and its agents) shall permit the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data)

and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the DFE and for carrying out examinations into the economy, efficiency and effectiveness with which the DFE has used its resources. The Contractor shall provide such explanations as are reasonably required for these purposes.

## **28. ENTIRE AGREEMENT**

28.1 The Contract contains all the terms which the Parties have agreed in relation to the subject matter of the Contract and supersedes any prior written or oral agreements, representations or understandings between the Parties.

28.2 Nothing in this clause 28 shall exclude any liability which one Party would otherwise have to the other Party in respect of any statements made fraudulently.

## **29. PARTNERSHIP**

29.1 Nothing in the Contract is intended to or shall operate to create a legal partnership between the Parties or to authorise either Party to act as an agent for the other, and neither Party shall have authority to act in the name or on behalf of or otherwise to bind the other in any way (including making any representation or warranty, the assumption of any obligation or liability and the exercise of any right or power).

## **30. WAIVER**

30.1 No failure or delay by any Party to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same, or of some other right, power or remedy.

## **31. CHANGE CONTROL**

31.1 Either Party may at any time request in writing a Variation in accordance with the change control procedure set out in schedule 6 (the “**Change Control Procedure**”). No Variation shall be effective unless made in accordance with the Change Control Procedure.

## **32. COUNTERPARTS**

32.1 The Contract may be executed in any number of counterparts, each of which so executed and delivered shall constitute an original, but together shall constitute one and the same instrument.

## **33. CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

33.1 The provisions of clauses 7.5 and 12.6 confer benefits on a Replacement Contractor and are intended to be enforceable by a Replacement Contractor by virtue of the Contracts (Rights of Third Parties ) Act 1999 (“**CRTPA**”).

33.2 Subject to clause 33.1, a person who is not a Party has no right under CRTPA to enforce provisions of the Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA and does not apply to the Crown.

33.3 A Replacement Contractor may not enforce or take steps to enforce the provisions of clauses 7.5 or 12.6 without DFE’s prior written consent.

33.4 The Parties may amend the Contract without the consent of any Replacement Contractor.

## **34. CONFLICTS OF INTEREST**

### **34.1 The Contractor shall:**

34.1.1 not permit its obligations to its other clients and third parties (including other governmental bodies and organisations providing services to other governmental bodies) to interfere or conflict in any material way with its duty (which the Contractor hereby acknowledges) to comply with its obligations under the Contract to the required standards; and

34.1.2 take appropriate steps to ensure that neither the Contractor nor any of the Personnel is placed in a position where, in the reasonable opinion of the DFE, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Contractor or any of the Personnel and the duties owed to the DFE under the provisions of the Contract in either case, referred to in this clause 34 as a “**Conflict of Interest**”.

34.2 If the Contractor becomes aware of any Conflict of Interest (or potential Conflict of Interest) or other situation which has arisen or may arise and which may cause a breach of this clause 34 the Contractor shall forthwith provide full particulars to the DFE.

34.3 In performing its obligations under the Contract the Contractor shall conduct its business, operations and activities in a politically neutral fashion.

34.4 Without prejudice to the foregoing provisions of this clause 34, if any Conflict of Interest (or potential Conflict of Interest) arises or is likely to arise, the Contractor shall:

34.4.1 take all reasonable steps to remove or avoid the Conflict of Interest or to prevent it occurring in each case, or to manage the conflict to the satisfaction of the DFE (acting reasonably); and

34.4.2 give the DFE a comprehensive and detailed written statement of the action it had taken.

34.5 If the DFE is not satisfied with the Contractor's actions, the Contractor shall, on request by the DFE promptly end any relationship it may have with any third party, where that relationship has given rise to the Conflict of Interest (or potential Conflict of Interest).

34.6 Without prejudice to any other right or remedy it may have, the DFE may terminate the Contract with immediate effect by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the DFE, there is any continuing breach by the Contractor of the provisions of this clause 34.

## **35. FURTHER ASSURANCE**

35.1 The Parties shall do or procure the doing of all such acts and things and will execute or procure the execution of all such documents as may be reasonably required including on or subsequent to the end of the Contract to vest in the relevant all rights granted under the Contract and otherwise to comply with its terms.

## **36. NOTICES**

36.1 Any notice, demand or communication in connection with the Contract shall be in writing and may be delivered by hand, pre-paid first class post or (where being sent to an address in a different country to where posted) airmail, facsimile or e-mail, addressed to the recipient at its registered office or its address (or such other address, facsimile number or e-mail address as may be notified in writing from time to time).

36.2 The notice, demand or communication shall be deemed to have been duly served:

36.2.1 if delivered by hand, when left at the proper address for service;

36.2.2 if given or made by prepaid first class post 48 hours after being posted or in the case of airmail 14 days after being posted;

36.2.3 if given or made by facsimile or e-mail, at the time of transmission, provided that a confirming copy is sent by first class pre-paid post or (where being sent to an address in a different country to where posted) airmail to the other Party within 24 hours after transmission and that, in the case of transmission by email where the time of transmission is not between 9.00 am and 5.00 pm, service shall be deemed to occur at 9.00 am on the next following Business Day (such times being local time at the address of the recipient).

36.3 If proceedings to which the Civil Procedure Rules apply have been issued, the provisions of Civil Procedure Rule 6 must be complied with in respect of the service of documents in connection with those proceedings.

### **37. DISPUTE RESOLUTION**

37.1 Any Dispute shall be dealt with in accordance with this clause 37.

37.2 In the first instance, a representative of each Party will each use their reasonable endeavours to resolve the Dispute. If the Dispute cannot be resolved by such representatives within 15 days of the Dispute arising, it will be referred to a senior representative of each Party, who shall each use their reasonable endeavours to resolve the Dispute.

37.3 If a Dispute cannot be resolved by negotiation as referred to in clause 37.2 within 30 days of the Dispute arising, either Party may refer the Dispute for determination in accordance with the mediation procedure administered by the Centre for Effective Dispute Resolution, the costs of the mediator being split equally between the Parties, who shall otherwise bear their own costs.

### **38. GOVERNING LAW AND JURISDICTION**

38.1 The Contract and any non-contractual obligations arising out of or connection with it will be governed by and construed in accordance with English Law.

38.2 The courts of England shall have exclusive jurisdiction to settle any dispute which arises out of or in connection with the Contract.

38.3 If any provision of the Contract is held by any court or other competent authority to be void or unenforceable in whole or part, the other provisions of the Contract and the remainder of the affected provisions shall continue to be valid.

## Financials

- ### Table 1 – Invoices

45


5. Funds allocated to a particular expenditure heading in Table 1 are available for that expenditure heading only. Funds allocated to a particular accounting year are available for that accounting year only.

**Table 2**

COMMERCIAL ENVELOPE					Comments
	Year 1 (1 Apr 21 - 31 Mar 22)	Year 2 (1 Apr 22 - 31 Mar 23)	Year 3 (1 Apr 23 - 31 Mar 24)	TOTAL	
	£ -	£ -	£ -	£ -	



	£				
	£	£	£	£	
<b>A - TOTAL</b>	£	£	£		
<b>B - ESTIMATED INCOME FROM LA'S / AGENCY(S)</b>	£ 310,920.00	£ 310,920.00	£ 310,920.00	£ 932,760.00	
<b>A - B - TOTAL</b>	£	£	£	£ 804,348.00	£ -



## DFE TRAVEL AND SUBSISTENCE RATES

Period of absence from permanent place of work	Receipted actuals up to a limit of
More than 5 hours and no official food provided – One meal	£4.50
More than 10 hours and no official food provided – Two meals	£9.30
More than 12 hours and no official food provided – Three meals	£13.80
More than 24 hours and where breakfast is included in the accommodation tariff	£21.25
If breakfast is not included in overnight accommodation, then an additional meal is added to the 24-hour allowance	£4.50
More than 24 hours and staying with friends or family - receipted actuals for lunch and an evening meal up to:	£21.25
Overnight Accommodation	Receipted actuals up to a limit of
London	£135.00
Elsewhere in UK	£75.00

**Standard Rate of Mileage**

45p up to 10,000 miles per year Apr-Mar

25p over 10,000 miles per year Apr – Mar

**Public Transport Rate**

25p (for all miles travelled)

Scenario	Distance	Rate of Mileage
Early morning and late evening travel instead of a taxi to the station	Under 120 miles a day	Public Transport Rate
You have a disability which means you cannot use public transport	Any distance	Standard rate
Journey which is not accessible by public transport	Under 120 miles in a day	Standard rate
Journey which is accessible by public transport	Under 120 miles in a day	Public transport rate

## **Schedule 4**

### **KPIs, Service Levels and Service Credits**

- 1 The objectives of the Service Levels are to:
  - 1.1 ensure that the Services are of a consistently high quality and meet the requirements of the DFE;
  - 1.2 provide a mechanism whereby the DFE can attain meaningful recognition of inconvenience and/or loss resulting from the Contractor's failure to deliver the Services; and
  - 1.3 incentivise the Contractor to meet the Service Levels and to remedy any failure to meet the Service Levels expeditiously.

### **KEY PERFORMANCE INDICATORS (KPIs) AND SERVICE LEVELS (SLs)**

- 2 This schedule 4 sets out the KPIs and Service Levels against which the Contractor shall measure its performance.
- 3 The Contractor shall monitor its performance against of each of the KPIs and Service Levels in and send the DFE quarterly reports detailing the KPIs and Service Levels which were achieved in accordance with the provisions of this schedule 4.

### **PERFORMANCE STANDARDS/MEASURES**

- 4 The Contractor must meet the Performance Measure for each identified KPI as set out in table 1 below within the agreed Service Period (defined Schedule 2 and within table 1)
  - 4.1 Service period is defined as 1 April 2021 to 31 March 2023
- 5 If during a Service period the Contractor achieves a KPI/Service Level, no Service Credit ("reduction in total amount of charges payable to the Contractor") will accrue to the Contractor in respect of that KPI/Service Level
- 6 The Contractor confirms that it has taken Performance Measures and Service Credits into account in calculating the Charges. Both Parties agree that the Performance Measures and Service Credits are a reasonable method of adjusting the Charges to reflect poor Contractor performance.
- 7 The Contractor will be expected to meet/comply with all Service Levels as set out within table 2 below.

### **CONSEQUENCES OF FAILURE TO MEET KPIS**

- 8 A failure to meet at least the required performance level will be considered a "Service Failure" in respect of the KPIs set out in Table 1 below
- 9 If performance level is a Service Failure in one or more of the KPIs listed in Table 2 in any given service period/calendar month, DfE will be entitled at its sole discretion, to reduce the total amount of charges payable to the Contractor ("Service Credit") for that period/month by:
  - 9.1 5% for one KPI failed
  - 9.2 10% for two KPIs failed

9.3 to a maximum of 15% for three or more KPIs failed

10 A failure to meet the required performance level for the other KPIs will not be considered a Service Failure in the context of paragraph 7 but expects to meet the required performance levels and will consider repeated failures as breaches of this contract

11 In attrition to it's rights underder paragraph 7, if there are one or more Service Failures in **3 (three)** consecutive Service Periods/calendar months, will be entitled, as its sole discretion, to terminate this contract on 30 days written notice.

**Table 1 KPIs**

<b>KPI</b>	<b>Measurement Period</b>	<b>Performance Measure</b>	<b>Service Period</b>	<b>Monitoring method</b>
Respond to enquiries within 3 working days, and to applications within 3 working days	Monthly	100% of enquiries and applications responded to within 3 working days	Monthly	Interim monthly reports
Provide applicants, and their agency, with the IRM panel's outcome within 7 working days of the panel hearing	Monthly	100% of panel decisions provided to applicants and agencies within 7 working days	Monthly	Interim monthly reports
Acknowledge initial complaints within 3 working days and issue a formal response within one calendar month of the date of receipt	Monthly	100% of complaints acknowledged within 3 days and 100% of formal responses issued within one calendar month of receipt	Monthly	Interim monthly reports
Monthly invoice detailing exact expenditure against agreed budget lines for the previous month and where applicable provide evidence of costs incurred.	Monthly	All invoices submitted providing detail of flat and variable charges with accompanying evidence of spend	Monthly	Monthly invoicing

Quarterly reports delivered 10 days after the end of each quarter and containing detailed metrics demonstrating case work completed and comparative data against previous months/years, and information on emerging themes,	Quarterly	Quarterly reports delivered 10 days after the end of each quarter (based on a financial year). To include all requirements of content previously specified and a final document cleared and with input from the Head of National Programmes.	Monthly	Through quarterly reports and monitoring meetings
---	-----------	--	---------	---

KPI	Measurement Period	Performance Measure	Service Period	Monitoring method
risks and issues				
Completion of stakeholder engagement activities evidenced by participation in working groups and production and dissemination of learning materials for the sector	Monthly	Initial planning in place within first month of contract, to be updated throughout year and evidence of activities undertaken to be presented through invoicing and in interim and quarterly reports	Monthly	Engagement plan and through quarterly reporting and interim monthly reports
An increase in reach and profile of the IRM evidenced by increased acceptance of panel recommendations and an increase in application numbers (where 2020-21 data forms the baseline).	Monthly	Evidence of increased cases accepted by the IRM based on data from 20-21 and an increase in uptake of panel recommendations	Monthly	Through quarterly reports and monitoring meetings

Annual reporting produced and submitted to the Department within 10 working days of the 31 <sup>st</sup> of March and in the required format to enable publication on gov.uk. The annual reports must include clear and detailed evidence of performance against KPI's, including comparative evaluation against previous years' case work, and drawing on external data sources, such as DfE and Ofsted data, to set the work in the wider CSC context. The report will include a discussion of lessons learned, emerging themes and issues and a	Annually	Annual reports delivered 10 days after the end of each quarter (based on a financial year). To include all requirements of content previously specified and a final document cleared and with input from the Head of National Programmes in a format that is publishable on gov.uk	Annually	Through evidence generated in the quarterly reporting and through feedback in monitoring meetings
<b>KPI</b>	<b>Measurement Period</b>	<b>Performance Measure</b>	<b>Service Period</b>	<b>Monitoring method</b>
plan for the upcoming year.				

**Table 2 Service Levels**

Service Level	Measure	Compliance
Reporting and Meetings	<b>Monthly reporting:</b> submit an interim programme report by the third Business Day of the month, including any exception events within this report.	100% - DFE monitoring
	<b>Quarterly reporting:</b> Submit a full quarterly report within 10 days of end of the quarter based on a financial year	
	Contractor meetings – monthly for first six months of new contract. Moving to quarterly after initial period of monitoring	
Administration/Communication	Development and operations meetings – as required	
	In delivering the Services offer a responsive and supportive service to participants and their facilitators.	
Finance	Respond to 100% of queries and correspondence within 3 Business Days of receipt.	100% - DFE monitoring
	Ensure that invoices are submitted to DFE within 10 Business Days of the end of the relevant charging period/completion of the activity and include both flat rate charges and variable rate charges with	

	evidence monthly and in arrears	
Commercial Management	Ensure that Change Control Notes are signed by both Parties <b>prior</b> to any additional work being undertaken (DFE or Contractor to ensure paperwork is issued in a timely fashion when change required).	
Complaints	Ensure that all administrative Personnel are aware of and abide by relevant complaints procedures.	
	Programme Manager to report all complaints orally and in writing to DFE within 3 Business Days. Including a draft plan of response.	
Records and questionnaires	Ensure that all records are maintained and kept up to date throughout the Term. Records must be updated within 5 Business Days of a request being made or an event taking place (subject to system availability).	
	Support the DFE to ensure appropriate questionnaires are completed throughout the Term.	
Delivery	Supply appropriate equipment to support the delivery of the Services at any face to face/virtual events.	100%- Questionnaire records
	Suitability of venue: events take place in venues and facilities which are relevant to the day.	100% - Event questionnaires
	Training shall take place in rooms which are suitable for the size of groups and set up in the style appropriate to the event	
Workshop Events	ICT should be adequate and meet the minimum specification of the course.	
	Refreshments must be provided and where overnight accommodation is required the facilities must comply with the venue specification but adhere to DfE subsistence policies set out above.	
Evaluation	Contribute to the evaluation of the effects of its delivery by reviewing Service User satisfaction, learning outcomes, improvements in sector delivery, and the commissioning of impact studies.	

## Schedule 5

### Implementation Plan

1. The Contractor shall provide the Services in accordance with the Implementation Plan set out below.
2. The Implementation Plan shall be sufficiently detailed as is necessary to manage the Services and any proposed changes are subject to the Change Control Procedure.
3. The Contractor shall be responsible for implementing and managing the Services and for taking all such steps as may be necessary so as to ensure that from the Service Commencement Date the Contractor is able to provide the Services:
  - 3.1 in accordance with the provisions of the Contract; and
  - 3.2 in a manner that maintains the continuity of Services to the DFE.
4. The Contractor shall monitor its performance against the Implementation Plan and report to the DFE monthly (or more frequently if so required by the DFE) on its performance.

### Mobilisation/implementation plan

CCLC has extensive experience of delivering successful services/projects on a national scale, for example, Child Law Advice Line Service. We ensure that milestones and key performance indicators set are challenging and reviewed in line with funders expectations during contractual process. CCLC will ensure that the contract is delivered to specification by ensuring an open dialogue with the DfE and where there are any obstacles or concerns ensuring discussion and agreement, to ensure resolution and delivering of a successful, efficient and robust IRM service, adapting as needed to address the best outcomes and efficiency of the service.

Tasks and activities	Milestones	Timeline	Resources required
<b>Sign contract</b>	Contract validated	February	Dfe and CCLC check, validate and sign
<b>GDPR activities</b>	Review existing documentation including privacy notices and update and amend as necessary	1-8 March	Staffing resource (predominately Head of Service, HR & IRM Manager)
<b>Meetings with dfe re mobilisation/contract start</b>	Adherence to mobilisation plan  Agree KPIs and reporting formats  Agree financial reporting mechanisms	1 - 13 March	Staffing resource (predominantly Head of Service, HR & IRM Manager)

Tasks and activities	Milestones	Timeline	Resources required
----------------------	------------	----------	--------------------



<p><b>Create IRM calendar of events including learning and raising profile events</b></p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>March - April</p>	<p>IRM Manager, Head of service, CoramBAAF</p>
<p><b>Seamless handover/transition.</b></p> <p><b>Work with the existing programme staffing/infrastructure to ensure that the new contract's, milestones, outcomes, and budget are communicated, understood and embedded.</b></p>	<p>No break in service to applicants</p>	<p>March - April</p>	<p>Staffing resource and financial budget for administration of panels</p>
<p><b>Production of annual report and highlights/learning report</b></p>	<p>Publish both reports</p>	<p>April - May</p>	<p>Management and staff time, editing and production costs</p>
<p><b>Set-up panels post March</b></p>	<p>Confirm and stick to indicative panel dates schedule set under previous contract - ensure seamless service to applicants, agencies and providers</p>	<p>1-6 March</p>	<p>Staffing resource and administration time</p>
<p><b>Recruitment and introduction of new IRM Manager</b></p>	<p>Complete recruitment process, confirm preferred candidate appointment and start date</p>	<p>March - June</p>	<p>Head of Service, HR, CEO and administration time</p>

<b>Confirm and implement training plan</b>	Review needs and confirm schedule including updated anti-discriminatory practice training	March - May	Head of Service, HR
--	---	-------------	---------------------

Tasks and activities	Milestones	Timeline	Resources required
Purchase of IT equipment for staff within the team		8-12 March Ongoing	Staffing resources (both in IRM and wider Coram central services), review financial costs ensuring in line with budget
Recruit, vet, induct and train new IRM Manager	Successful induction and effective hand-over from outgoing manager.	June-August	Management time, HR admin time, recruitment is in line with proposed staff structure
Undertake recruitment drive for Legal Advisers	Increase the current pool of Legal Advisers	22 March - ongoing (as needed)	Management time, HR admin time
Create and update process documentation for IRM to reflect digital panels/streamlining process but ensuring quality		March Pilot new process - April	Staff and management time
Implement Quality Assurance (QA) process - reporting to DfE/ Coram Group QA process/ conflict of interest procedure	Work with Coram group QA and safeguarding team - adhere to Coram wide reporting standards Conflict of interest process - Coram cases	March	Coram Group QA Team, Head of Service, CCLC trustees, CEO
Communications to enhance profile, engagement and learning IRM		March First quarter First quarter Every quarter	Head of Service, Manager, Communications
Amendments to database		Ongoing	Staff, panel member and adviser time, database provider investment, administration time
Training for staff, panel members and advisers - technology roll-out	Yearly calendar of events and training and sharing for all staff , panel	March May	Management and staffing resources, venue costs (£0 as utilise Coram premises), database

Tasks and activities	Milestones	Timeline	Resources required
	members and advisers		developer time, admin time
<b>Recruitment, vetting, induction of panel members and advisers</b>	Increased pool of panel members	April - June	HR time, management time, utilise skype interviews (reduced costs)
<b>Development days for specific groups e.g. Chairs</b>	All groups received updated id f training a enable reflection o practice	September	Management time, training resource, panel members costs (travel), utilise Coram venues (£0)
<b>Continues delivery of digital panels</b>		March	Panel administration time, staff resource, IT resource, management time
<b>Contract management meetings</b>	Completion of activities and milestones within timescales	April (every quarter)	Staff time
<b>Casework and panels</b>	Panels set up on time, all timescales and deadlines met panels heard withi timescale and minutes produced and given to applicants on time	Continuous	Staff time, management time, administration costs, IT costs, venue costs, travel costs

#### Schedule 6 Change Control Procedure

- 1 The Parties acknowledge that minor changes to the Contract may be necessary to reflect operational and administrative procedures during the Term and that such minor changes may be agreed in writing between the Parties' respective contract managers.
- 2 The Contractor shall use reasonable endeavours to incorporate minor changes requested by the DFE within the current Charges and shall not serve a Contractor Notice of Change

unless the change involves a demonstrable material increase to its costs or requires a material change to the Contract.

3. Either Party may request a Variation provided that such Variation does not amount to a material change.
4. The DFE may request a Variation by completing the Change Control Note and giving the Contractor sufficient information to assess the extent of the Variation and consider whether any change to the Charges are required in order to implement the Variation within a reasonable time limit specified by the DFE. If the Contractor accepts the Variation it shall confirm it in writing within 21 days of receiving the Change Control Note.
5. If the Contractor is unable to accept the Variation or where the Parties are unable to agree a change to the Charges, the DFE may allow the Contractor to fulfil its obligations under the Contract without Variation or if the Parties cannot agree to the Variation the Dispute will be determined in accordance with clause 36.
6. If the Contractor wishes to introduce a change to the Contract it may request a Variation by serving the Change Control Note on DFE.
7. The DFE shall evaluate the Contractor's proposed Variation in good faith, taking into account all relevant issues.
8. The DFE shall confirm in writing within 21 days of receiving the Change Control Note if it accepts or rejects the Variation.
9. The DFE may at its absolute discretion reject any request for a Variation proposed by the Contractor.

#### **Change Control Note**

:

<b>Contract Number</b>		<b>DFE Contract / Programme Manager</b>
<b>Contractor</b>		<b>Original Contract Value (£)</b>
<b>Contract Start Date</b>		<b>Contract Expiry Date</b>

<b>Variation Requested</b>	
<b>Originator of Variation</b> (tick as appropriate)	<b>DFE</b> <input type="checkbox"/> <b>Contractor</b> <input type="checkbox"/>
<b>Date</b>	
<b>Reason for Variation</b>	
<b>Summary of Variation</b> (e.g. specification, finances, contract period)	
<b>Date of Variation commencement</b>	
<b>Date of Variation expiry</b> (if applicable)	
<b>Total Value of Variation £</b> (if applicable)	
<b>Payment Profile (if applicable)</b> e.g. milestone payments	
<b>Revised daily rate (if applicable)</b>	

<b>Impact on original contract</b>  (if applicable)	
<b>Supporting Information</b>  (please attach all supporting documentation for this Change Control)	
<b>Terms and Conditions</b>	Save as herein amended all other terms and conditions of the Original Contract shall remain in full force and effect.
<b>Variation Agreed</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>For the Contractor:</b>   Signature.....    Full Name.....    Title.....    Date..... </div> <div style="width: 45%;"> <b>For the DFE:</b>   Signature.....    Full Name.....    Title.....    Date..... </div> </div>	

Please note that no works/services described in this form should be undertaken, and no invoices will be paid until both copies of the CCN are signed, returned and countersigned.

<b>To be entered by the Commercial department:</b>			
<b>Commercial Contact</b>		<b>Reference Number</b>	
<b>Date received</b>		<b>EC Reference</b>	

### Schedule 7

#### Key Personnel and Key Sub Contractors

##### Key Personnel

The individuals listed in the table below are Key Personnel:

Name	Role	Period of Involvement
[REDACTED]	[REDACTED]	Length of contract
[REDACTED]	[REDACTED]	Until replacement found and handover completed (hopefully June 2021)



## Schedule 8

### Processing Data (Data Protection Act)

#### Definitions

**"Control"**

means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and **"Controls"** and **"Controlled"** are interpreted accordingly;

**"Data Loss Event"**

any event that results, or may result, in unauthorised access to Personal Data held by the Processor under this Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach.

**"DPA"**

The Data Protection Act 2018

**"Data Protection Impact Assessment"**

an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data.

**"Data Protection Legislation"**

(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time  
(ii) the DPA 2018 to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy;

**"Data Subject"**

has the meaning given in the DPA;

**"Data Subject Request"**

a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data.

**"Controller", "Processor," "Data Subject", "Personal Data", "Personal Data Breach", "Data Protection Officer"**

shall have the meanings given in the GDPR;

**"GDPR"**

the General Data Protection Regulation (Regulation (EU) 2016/679)

**"Law"**

means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European

**“LED”**

Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Processor is bound to comply;  
Law Enforcement Directive (Directive (EU) 2016/680)

**“Processor Personnel”**

employees, agents, consultants and contractors of the Processor and/or of any Sub-Processor engaged in the performance of its obligations under this Contract.

**“Protective Measures”**

appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it including those set out in the Contract.

**“Sub-processor”**

any third Party appointed to process Personal Data on behalf of the Processor related to this Contract

1.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Schedule 8 Annex 1. The only processing that the Processor is authorised to do is listed in Schedule 8 Annex 1 by the Controller and may not be determined by the Processor

1.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.

1.3 The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Controller, include:

- (a) a systematic description of the envisaged processing operations and the purpose of the processing;
- (b) an assessment of the necessity and proportionality of the processing operations in relation to the Services;
- (c) an assessment of the risks to the rights and freedoms of Data Subjects; and (d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.

1.4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:

- (a) process that Personal Data only in accordance with Schedule 8 Annex 1 , unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Controller before processing the Personal Data unless prohibited by Law;

(b) ensure that it has in place Protective Measures, which are appropriate to protect against a Data Loss Event, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures), having taken account of the:

- (i) nature of the data to be protected;
- (ii) harm that might result from a Data Loss Event;
- (iii) state of technological development; and
- (iv) cost of implementing any measures;

(c) ensure that :

- (i) the Processor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 3a);
- (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:

(A) are aware of and comply with the Processor's duties under this clause; (B) are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;

(C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Controller or as otherwise permitted by this Contract; and

(D) have undergone adequate training in the use, care, protection and handling of Personal Data; and

(d) not transfer Personal Data outside of the EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

- (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
- (ii) the Data Subject has enforceable rights and effective legal remedies;
- (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
- (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;

(e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.

1.5 Subject to clause 1.6, the Processor shall notify the Controller immediately if it:

- (a) receives a Data Subject Request (or purported Data Subject Request);
- (b) receives a request to rectify, block or erase any Personal Data;
- (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
- (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
- (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
- (f) becomes aware of a Data Loss Event.

1.6 The Processor's obligation to notify under clause 1.5 shall include the provision of further information to the Controller in phases, as details become available.

1.7 Taking into account the nature of the processing, the Processor shall provide the Controller with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 1.5 (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:

- (a) the Controller with full details and copies of the complaint, communication or request;
- (b) such assistance as is reasonably requested by the Controller to enable the Controller to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
- (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
- (d) assistance as requested by the Controller following any Data Loss Event;
- (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.

1.8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this clause. This requirement does not apply where the Processor employs fewer than 250 staff, unless:

- (a) the Controller determines that the processing is not occasional;
- (b) the Controller determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
- (c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.

1.9 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.

1.10 Each Party shall designate its own data protection officer if required by the Data Protection Legislation.

1.11 Before allowing any Sub-processor to process any Personal Data related to this Contract, the Processor must:

- (a) notify the Controller in writing of the intended Sub-processor and processing;
- (b) obtain the written consent of the Controller;
- (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause 1 such that they apply to the Sub-processor; and (d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.

1.12 The Processor shall remain fully liable for all acts or omissions of any Subprocessor.

1.13 The Controller may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).

1.14 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Controller may on not less than 30 Working Days' notice to the Processor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

## SCHEDULE 8 ANNEX 1

### Processing, Personal Data and Data Subjects

This Schedule shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.

The contact details of the Controller's Data Protection Officer are:

[REDACTED]

The contact details of the Processor's Data Protection Officer are:

[REDACTED]

The Processor shall comply with any further written instructions with respect to processing by the Controller.

Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Schedule 8 Clause 1.1.
Subject matter of the processing	The processing is needed in order to ensure that the Processor can effectively deliver the contract to provide a service to members of the public.
Duration of the processing	Length of the contract
Nature and purposes of the processing	The nature and purpose of the processing is to comply with statutory obligations and the delivery of an effective IRM service to applicants and the sector. We will collect, record, store, redact, alter, erasure or destruction of this data in line with privacy notice available on .gov.
Type of Personal Data	Name, address, date of birth, telephone number, email address.
Categories of Data Subject	Staff (including associates and self-employed), applicants, agency contacts, other professionals details pertinent to individual cases heard by the IRM.

Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	Data will be held as stipulated in the regulations. Anonymised data is kept for statistical purposes but no case information is retained by the IRM and is deleted automatically from the database.
--	---

#### **Schedule 9**

#### **Commercially Sensitive Information**

**N/A**

**Schedule 10 The  
Contractor's Solution**

No.	Question
<b>Q1 APPROACH</b>	
<p>Please provide details of your proposed approach to deliver the IRM services whilst providing a high-quality customer service. Your response should demonstrate how you will develop and utilise technology to streamline the service and ensure that it is as efficient as possible. Please detail any delivery challenges that you envision and how these will be mitigated against.</p> <p><b>(Maximum Word Limit 750 words)</b></p> <p><i>This question is worth 20% of the Quality Score</i></p>	
<b>Q1 Response</b>	
<div style="background-color: black; height: 100px; width: 100%;"></div>	
<div style="background-color: black; height: 300px; width: 100%;"></div>	

[REDACTED]

CCLC will develop the future IRM to deliver an integrated digital-first service informing and

[REDACTED]

[REDACTED]

[REDACTED]



our results: from 2020-21, the team has handled 133 cases (the highest ever heard by the

[REDACTED]

[REDACTED]

[REDACTED]

Word count 749/750

## Q2 PREVIOUS EXPERIENCE

Please provide examples of your knowledge and experience of working in children's services and providing a casework and panel review service, including details on your ability to adhere to data security and confidentiality policies

**(Maximum Word Limit 500 words)**

*This question is worth 8% of the Quality Score*

### Q2 Response

As a registered legal practice and national advice line provider, CCLC has a clear understanding of the purpose and value of the IRM providing foster carers, adopters and adult adoptees the opportunity to have a fair review of their case/agency decision and of the need to ensure the process is accessible and that agencies can learn from the cases brought, adding value from system overview, coaching and independent facilitation.

CCLC is a well established legal centre that has been operating for over 40 years, with a wealth of casework experience in children's services including advice and representation across community care, immigration, family and education law. It is audited by the Solicitors' Regulatory Authority, whose audit commended the resilience of practice and process and the promotion of children's rights both in the UK and internationally.

[REDACTED]

[REDACTED]

[REDACTED]

<div style="background-color: black; width: 100%; height: 100%; min-height: 300px;"></div>
<b>499/500</b>
<b>Q3 REGULATED SERVICE</b>
<p>Please provide details of any experience you have of delivering a service governed by regulations, or examples of how you plan to ensure the service will meet the regulatory requirements</p> <p><b>(Maximum Word Limit 500 words)</b> <i>This question is worth 10% of the Quality Score</i></p>

### Q3 Response

CCLC delivers extensive national services governed by regulation including the CLA Education Law contract, the IRM and the Family Legal Advice Services.

Independent of any agency in adoption and fostering, CCLC ensures the service meets regulatory requirements by means of a robust all-through quality assurance process.



During the life of the contract, the service will ensure the adherence to regulations whilst

encouraging innovation, and focusing on raising the profile of the IRM.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

500/500

#### Q4 Reporting

Please describe how you intend to meet the contractual KPI reporting requirements. You should provide evidence of an understanding of accessibility and plain English requirements to meet gov.uk standards

**(Maximum Word Limit 500 words)**

*This question is worth 10% of the Quality Score*

#### Q4 Response

As part of delivery of the IRM it is important to ensure there is a comprehensive way of measuring and reporting performance and evaluating the service. This will be achieved by means of monthly statistical and financial returns provided to the DfE within timescales.

[REDACTED]

[REDACTED]

	April 2020-26 January 2021	April 2019 - March 2020
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]		[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

[REDACTED]



**Q5 Response**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

349/350

**Q6 SHARING LEARNING**

Please provide details of how you intend to share learning with the sector using evidence from casework. Please include examples on the types of learning materials, and engagement activities you intend to use and how you propose to disseminate and share your learning to maximise impact.

**(Maximum Word Limit 350 words)**

*This question is worth 6% of the Quality Score*

#### **Q6 Response**

The IRM hears on average over 100 cases a year; there are a number of recommendations made in any one case, it is imperative that this learning is shared to inform social work practice and provide tailored feedback to adoption agencies and fostering service providers. CCLC will utilise a plethora of ways of ensuring learning is shared with both practitioners, agencies and feed into national government to inform policy.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**347/350**

#### **Q7 MOBILISATION PLAN**

Please provide a detailed mobilisation and implementation plan demonstrating how you intend to achieve service commencement by the required date. Your plan should cover all aspects of the fully implemented service including associated timescales, activities, milestones, key tasks and roles and responsibilities. You should also include a risk register

highlighting the key risks, barriers, and challenges associated with mobilisation and transition and how these will be mitigated against.

**Attachment – Attach to relevant section in Qualification Envelope** *This question is worth 20% of the Quality Score*





## Appendix 1 - CCLC - IRM Risk and Issues Register

E. Independent Review Mechanism (April 2021 – March 2024)

	Risk Event	Risk Description & impact	Risk Grade	Mitigation in place	Further Actions	Assigned to
E1	[REDACTED]	[REDACTED] [REDACTED] [REDACTED] [REDACTED]	Low L=1 I=3	[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]	[REDACTED]	[REDACTED]

	Risk Event	Risk Description & impact	Risk Grade	Mitigation in place	Further Actions	Assigned to
E3	[REDACTED] [REDACTED]	[REDACTED] [REDACTED]	Medium	[REDACTED]	[REDACTED]	[REDACTED]

	<div>[REDACTED]</div> <div>[REDACTED]</div>	<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>	<div>L=3</div> <div>I=4</div>	<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>		
E3	<div>[REDACTED]</div> <div>[REDACTED]</div>	<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>	<div>Medium</div> <div>L=2</div> <div>I=3</div>	<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>	<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>	<div>[REDACTED]</div>



E5	<div></div>	<div></div>	Medium L=2 I=3	<div></div> <div></div>	<div></div> <div></div>	<div></div>
----	-------------	-------------	----------------------	-------------------------	-------------------------	-------------

		<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>		<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>		
		<div>[REDACTED]</div> <div>[REDACTED]</div> <div>[REDACTED]</div>		<div>[REDACTED]</div> <div>[REDACTED]</div>		
				<div>[REDACTED]</div> <div>[REDACTED]</div>		

	Risk Event	Risk Description & impact	Risk Grade	Mitigation in place	Further Actions	Assigned to
E6	[REDACTED]	[REDACTED] [REDACTED] [REDACTED]	Medium L=3 I=3	[REDACTED] [REDACTED] [REDACTED] [REDACTED]	[REDACTED] [REDACTED] [REDACTED]	[REDACTED]
E7	[REDACTED]	[REDACTED] [REDACTED] [REDACTED]	Low L=2 I=2	[REDACTED] [REDACTED]  [REDACTED] [REDACTED] [REDACTED]  [REDACTED] [REDACTED]  [REDACTED] [REDACTED]	[REDACTED] [REDACTED]  [REDACTED]	[REDACTED]

	Risk Event	Risk Description & impact	Risk Grade	Mitigation in place	Further Actions	Assigned to
				<div></div> <div></div>		
E8	<div></div>	<div></div>	<b>Medium</b> L=3 I=4	<div></div> <div></div> <div></div>	<div></div> <div></div>	<div></div>

Score	Description	Probability
1	Very Unlikely	<5%
2	Unlikely	5 – 25%
3	Possible	25 – 50%

4	Likely	50 – 75%	Likelihood Rankings
---	--------	----------	------------------------

#### Impact Rankings

5	Very likely	75 – 100%
Score	Description	Impact
1	Insignificant	Possible short term
2	Fairly serious	Short term impact
3	Serious	Possible long term
4	Very serious	Long term impact
5	Major disaster	Very serious



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

## Mobilisation/implementation plan

CCLC has extensive experience of delivering successful services/projects on a national scale, for example, Child Law Advice Line Service. We ensure that milestones and key performance indicators set are challenging and reviewed in line with funders expectations during contractual process. CCLC will ensure that the contract is delivered to specification by ensuring an open dialogue with the DfE and where there are any obstacles or concerns ensuring discussion and agreement, to ensure resolution and delivering of a successful, efficient and robust IRM service, adapting as needed to address the best outcomes and efficiency of the service.


Tasks and activities	Milestones	Timeline	Resources required
<b>Sign contract</b>	Contract validated	February	Dfe and CCLC check, validate and sign
<b>GDPR activities</b>	Review existing documentation including privacy notices and update and amend as necessary	1-8 March	Staffing resource (predominately Head of Service, HR & IRM Manager)
<b>Meetings with dfe re mobilisation/contract start</b>	Adherence to mobilisation plan Agree KPIs and reporting format Agree financial reporting mechanisms	1 - 13 March	Staffing resource (predominantly Head of Service, HR & IRM Manager)
<b>Create IRM calendar of events including learning and raising profile events</b>		March - April	IRM Manager, Head of service, CoramBAAF

Tasks and activities	Milestones	Timeline	Resources required
<b>Seamless handover/transition.</b>  Work with the existing programme staffing/infrastructure to ensure that the new contract's, milestones, outcomes, and budget are communicated, understood and embedded.	No break in service to applicants	March - April	Staffing resource and financial budget for administration of panels
<b>Production of annual report and highlights/learning report</b>	Publish both reports	April - May	Management and staff time, editing and production costs
<b>Set-up panels post March</b>	Confirm and stick to indicative panel dates schedule set under previous contract - ensure seamless service to applicants, agencies and providers	1-6 March	Staffing resource and administration time
<b>Recruitment and introduction of new IRM Manager</b>	Complete recruitment process, confirm preferred candidate appointment and start date	March - June	Head of Service, HR, CEO and administration time

<b>Confirm and implement training plan</b>	Review needs and confirm schedule including updated anti-discriminatory practice training	March - May	Head of Service, HR
<b>Purchase of IT equipment for staff within the team</b>		8-12 March Ongoing	Staffing resources (both in IRM and wider Coram central services), review financial costs ensuring in line with budget

Tasks and activities	Milestones	Timeline	Resources required
<b>Recruit, vet, induct and train new IRM Manager</b>	Successful induction and effective hand-over from outgoing manager.	June-August	Management time, HR admin time, recruitment is in line with proposed staff structure
<b>Undertake recruitment drive for Legal Advisers</b>	Increase the current pool of Legal Advisers	22 March - ongoing (as needed)	Management time, HR admin time
<b>Create and update process documentation for IRM to reflect digital panels/streamlining process but ensuring quality</b>		March Pilot new process - April	Staff and management time

<b>Implement Quality Assurance (QA) process - reporting to DfE/ Coram Group QA process/ conflict of interest procedure</b>	Work with Coram group QA and safeguarding team - adhere to Coram wide reporting standards Conflict of interest process - Coram cases	March	Coram Group QA Team, Head of Service, CCLC trustees, CEO
<b>Communications to enhance profile, engagement and learning IRM</b>		March First quarter First quarter Every quarter	Head of Service, Manager, Communications
<b>Amendments to database</b>		Ongoing	Staff, panel member and adviser time, database provider investment, administration time
<b>Tasks and activities</b>	<b>Milestones</b>	<b>Timeline</b>	<b>Resources required</b>
<b>Training for staff, panel members and advisers - technology roll-out</b>	Yearly calendar of events and training and sharing for all staff , panel members and advisers	March - May	Management and staffing resources, venue costs (£0 as utilise Coram premises), database developer time, admin time

<b>Recruitment, vetting, induction of panel members and advisers</b>	Increased pool of panel members	April - June	HR time, management time, utilise skype interviews (reduced costs)
<b>Development days for specific groups e.g. Chairs</b>	All groups received updated training and enable reflection of practice	September	Management time, training resource, panel members costs (travel), utilise Coram venues (£0)
<b>Continues delivery of digital panels</b>		March	Panel administration time, staff resource, IT resource, management time
<b>Contract management meetings</b>	Completion of activities and milestones within timescales	April (every quarter)	Staff time
<b>Casework and panels</b>	Panels set up on time, all timescales and deadlines met, panels heard within timescale and minutes produced and given to applicants on time	Continuous	Staff time, management time, administration costs, IT costs, venue costs, travel costs

#### SUMMARY OF ALL TENDER CLARIFICATIONS

Commercial Envelope Questions	Response	Date of Response
-------------------------------	----------	------------------

1.	<div>[REDACTED]</div>	<div>[REDACTED]</div>	08-Feb
2. 3.	<div>[REDACTED]</div>	<div>[REDACTED]</div>	08-Feb
	<div>[REDACTED]</div>	<div>[REDACTED]</div>	08-Feb

<div>4.</div> <div></div>	<div></div>	<div>08-Feb</div>
<div>5.</div> <div></div>	<div></div>	<div>08-Feb</div>
<div>6.</div> <div></div>	<div></div>	<div>08-Feb</div>



7. [REDACTED]	[REDACTED]	08-Feb
QUALITY QUESTIONS		
Q1 - [REDACTED]	[REDACTED]	11-Feb
[REDACTED]	[REDACTED]	
Q2 - [REDACTED]	[REDACTED]	11-Feb
[REDACTED]	[REDACTED]	

<div>Q3 - [REDACTED]</div>	<div>[REDACTED]</div>	<div>11-Feb</div>
<div>Q4. [REDACTED]</div>	<div>[REDACTED]</div>	<div>11-Feb</div>
<div>COMMERCIAL ENVELOPE QUESTIONS</div>		
<div>Q5. [REDACTED]</div>	<div>[REDACTED]</div>	<div>11-Feb</div>

<div>Q6.</div> <div></div>	<div></div>	11-Feb
<div>Q7.</div> <div></div>	<div></div>	11-Feb
<div>Q8.</div> <div></div>	<div></div>	11-Feb

Q9.

[REDACTED]

[REDACTED]

[REDACTED]

Q10.

[REDACTED]

[REDACTED]

1.

[REDACTED]

[REDACTED]

11-Feb

11-Feb



COMMERCIAL ENVELOPE QUESTIONS		
Q2.	1.	17-Feb

Q3.

[REDACTED]

[REDACTED]

1.

[REDACTED]

17-Feb

[illegible]



<div>Q4.</div> <div></div> <div></div>	<div></div>	
<div>Q5</div> <div></div> <div></div> <div></div>	<div></div>	<div>17-Feb</div> <div></div> <div>17-Feb</div>

<div>Q6</div> <div></div>	<div></div>	
<div>Q7</div> <div></div> <div></div> <div></div> <div></div> <div></div>	<div></div>	<div>17-Feb</div> <div></div> <div></div> <div></div> <div></div> <div>17-Feb</div>

<div data-bbox="174 191 1043 269"></div>		
--	--	--

## Schedule 11

### Data Handling and Systems Assurance (Security)

#### Definitions

#### DFE SECURITY STANDARDS

### 12. Departmental Security Standards for Business Services and ICT Contracts

<p>“BPSS” “Baseline Personnel Security Standard”</p>	<p>means the Government’s HMG Baseline Personal Security Standard . Further information can be found at: <a href="https://www.gov.uk/government/publications/governmentbaseline-personnel-security-standard">https://www.gov.uk/government/publications/governmentbaseline-personnel-security-standard</a></p>
<p>“CCSC” “Certified Cyber Security Consultancy”</p>	<p>is the National Cyber Security Centre’s (NCSC) approach to assessing the services provided by consultancies and confirming that they meet NCSC’s standards. See website: <a href="https://www.ncsc.gov.uk/scheme/certified-cyberconsultancy">https://www.ncsc.gov.uk/scheme/certified-cyberconsultancy</a></p>
<p>“CCP” “Certified Professional”</p>	<p>is a NCSC scheme in consultation with government, industry and academia to address the growing need for specialists in the cyber security profession. See website: <a href="https://www.ncsc.gov.uk/information/about-certifiedprofessional-scheme">https://www.ncsc.gov.uk/information/about-certifiedprofessional-scheme</a></p>
<p>“CPA” “Commercial Product Assurance” [formerly called “CESG Product Assurance”]</p>	<p>is an ‘information assurance scheme’ which evaluates commercial off the shelf (COTS) products and their developers against published security and development standards.. See website: <a href="https://www.ncsc.gov.uk/scheme/commercial-productassurance-cpa">https://www.ncsc.gov.uk/scheme/commercial-productassurance-cpa</a></p>
<p>“Cyber Essentials” “Cyber Essentials Plus”</p>	<p>Cyber Essentials is the government backed, industry supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme. There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to these providers: <a href="https://www.cyberessentials.ncsc.gov.uk/gettingcertified/#what-is-an-accreditation-body">https://www.cyberessentials.ncsc.gov.uk/gettingcertified/#what-is-an-accreditation-body</a></p>

<p>“Data”</p> <p>“Data Controller”</p> <p>“Data Protection Officer”</p> <p>“Data Processor”</p> <p>“Personal Data”</p> <p>“Personal Data requiring Sensitive Processing”</p> <p>“Data Subject”,</p> <p>“Process” and</p> <p>“Processing”</p>	<p>shall have the meanings given to those terms by the Data Protection Act 2018</p>
--	---

<p>"Department's Data"</p> <p>"Department's Information"</p>	<p>is any data or information owned or retained in order to meet departmental business objectives and tasks, including:</p> <p>(a) any data, text, drawings, diagrams, images or sounds (together with any repository or database made up of any of these components) which are embodied in any electronic, magnetic, optical or tangible media, and which are:</p> <p>(i) supplied to the Contractor by or on behalf of the Department; or</p> <p>(ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or (b) any Personal Data for which the Department is the Data Controller;</p>
<p>“DfE”</p> <p>“Department”</p>	<p>means the Department for Education</p>
<p>“Departmental Security Standards”</p>	<p>means the Department’s security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver.</p>
<p>“Digital Marketplace / G-Cloud”</p>	<p>means the Digital Marketplace is the online framework for identifying and procuring cloud technology and people for digital projects.</p>
<p>End User Devices</p>	<p>means the personal computer or consumer devices that store or process information.</p>
<p>“Good Industry Practice”</p> <p>“Industry Good Practice”</p>	<p>means the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector.</p>
<p>“Good Industry Standard”</p> <p>“Industry Good Standard”</p>	<p>means the implementation of products and solutions, and the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector.</p>

“GSC” “GSCP”	means the Government Security Classification Policy which establishes the rules for classifying HMG information. The policy is available at: <a href="https://www.gov.uk/government/publications/governmentsecurity-classifications">https://www.gov.uk/government/publications/governmentsecurity-classifications</a>
“HMG”	means Her Majesty’s Government
“ICT”	means Information and Communications Technology (ICT) and is used as an extended synonym for information technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution
“ISO/IEC 27001” “ISO 27001”	is the International Standard for Information Security Management Systems Requirements
“ISO/IEC 27002” “ISO 27002”	is the International Standard describing the Code of

	Practice for Information Security Controls.
“ISO 22301”	is the International Standard describing for Business Continuity
“IT Security Health Check (ITSHC)” “IT Health Check (ITHC)” “Penetration Testing”	means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on that IT system.
“Need-to-Know”	means the Need-to-Know principle employed within HMG to limit the distribution of classified information to those people with a clear ‘need to know’ in order to carry out their duties.
“NCSC”	The National Cyber Security Centre (NCSC) is the UK government’s National Technical Authority for Information Assurance. The NCSC website is <a href="https://www.ncsc.gov.uk">https://www.ncsc.gov.uk</a>
“OFFICIAL” “OFFICIAL-SENSITIVE”	the term ‘OFFICIAL’ is used to describe the baseline level of ‘security classification’ described within the Government Security Classification Policy (GSCP).  the term ‘OFFICIAL–SENSITIVE is used to identify a limited subset of OFFICIAL information that could have more damaging consequences (for individuals, an organisation or government generally) if it were lost, stolen or published in the media, as described in the GSCP.
“RBAC” “Role Based Access Control”	means Role Based Access Control. A method of restricting a person’s or process’ access to information depending on the role or functions assigned to them.

“Storage Area Network” “SAN”	means an information storage system typically presenting block based storage (i.e. disks or virtual disks) over a network interface rather than using physically connected storage.
“Secure Sanitisation”	<p>means the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level.</p> <p>NCSC Guidance can be found at:  <a href="https://www.ncsc.gov.uk/guidance/secure-sanitisationstorage-media">https://www.ncsc.gov.uk/guidance/secure-sanitisationstorage-media</a></p> <p>The disposal of physical documents and hardcopy materials advice can be found at:  <a href="https://www.cpni.gov.uk/secure-destruction">https://www.cpni.gov.uk/secure-destruction</a></p>
“Security and Information Risk Advisor” “CCP SIRA” “SIRA”	means the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: <a href="https://www.ncsc.gov.uk/articles/about-certifiedprofessional-scheme">https://www.ncsc.gov.uk/articles/about-certifiedprofessional-scheme</a>
“Senior Information Risk Owner” “SIRO”	means the Senior Information Risk Owner (SIRO) responsible on behalf of the DfE Accounting Officer for overseeing the management of information risk across the organisation. This includes its executive agencies, arms length bodies (ALBs), non-departmental public bodies (NDPBs) and devolved information held by third parties.
“SPF” “HMG Security Framework”	<p>Policy</p> <p>means the definitive HMG Security Policy which describes the expectations of the Cabinet Secretary and Government’s Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely.  <a href="https://www.gov.uk/government/publications/securitypolicy-framework">https://www.gov.uk/government/publications/securitypolicy-framework</a></p>

- 12.1. The Contractor shall be aware of and comply the relevant [HMG security policy framework](#), [NCSC guidelines](#) and where applicable DfE Departmental Security Standards for Contractors which include but are not constrained to the following clauses.
- 12.2. Where the Contractor will provide products or services or otherwise handle information at OFFICIAL for the Department, the requirements of [Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification - Action Note 09/14](#) dated 25 May 2016, or any subsequent updated document, are mandated; that “contractors supplying products or services to HMG shall have achieved, and will be expected to retain certification at the appropriate level for the duration of the contract. The certification scope shall be relevant to the services supplied to, or on behalf of, the Department.
- 12.3 Where clause 12.2 above has not been met, the Contractor shall have achieved, and be able to maintain, independent certification to ISO/IEC 27001 (Information Security Management Systems Requirements).

The ISO/IEC 27001 certification must have a scope relevant to the services supplied to, or on behalf of, the Department. The scope of certification and the statement of applicability must be acceptable, following review, to the Department, including the application of controls from ISO/IEC 27002 (Code of Practice for Information Security Controls).

- 12.4 The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service and will handle all data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 12.5 Departmental Data being handled in the course of providing an ICT solution or service must be separated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required in line with clause 12.14.
- 12.6 The Contractor shall have in place and maintain physical security to premises and sensitive areas in line with ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access), CCTV, alarm systems, etc.
- 12.7 The Contractor shall have in place and maintain an appropriate user access control policy for all ICT systems to ensure only authorised personnel have access to Departmental Data. This policy should include appropriate segregation of duties and if applicable role based access controls (RBAC). User credentials that give access to Departmental Data or systems shall be considered to be sensitive data and must be protected accordingly.
- 12.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to:
- physical security controls;
  - good industry standard policies and processes; ○ malware protection;
  - boundary access controls including firewalls;
  - maintenance and use of fully supported software packages in accordance with vendor recommendations;
  - software updates and patching regimes including malware signatures, for operating systems, network devices, applications and services;
  - user access controls, and;
  - the creation and retention of audit logs of system, application and security events.
- 12.9 The contractor shall ensure that any departmental data (including email) transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted when transmitted.
- 12.10 The contractor shall ensure that any departmental data which resides on a mobile, removable or physically uncontrolled device is stored encrypted using a product or system component which has been formally assured through a recognised certification process agreed with the department except where the department has given its prior written consent to an alternative arrangement.
- 12.11 The contractor shall ensure that any device which is used to process departmental data meets all of the security requirements set out in the NCSC End User Devices Platform Security Guidance, a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/end-user-device-security> and <https://www.ncsc.gov.uk/collection/end-user-device-security/eud-overview/eudsecurity-principles>.



- 12.12 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.

The term 'lock and key' is defined as: "securing information in a lockable desk drawer, cupboard or filing cabinet which is under the user's sole control and to which they hold the keys".

- 12.13 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.

The term 'under cover' means that the information is carried within an opaque folder or envelope within official premises and buildings and within a closed briefcase or other similar bag or container when outside official premises or buildings.

- 12.14 In the event of termination of contract due to expiry, liquidation or non-performance, all information assets provided, created or resulting from the service shall not be considered as the supplier's assets and must be returned to the department and written assurance obtained from an appropriate officer of the supplying organisation that these assets regardless of location and format have been fully sanitised throughout the organisation in line with clause 12.15.

- 12.15 In the event of termination, equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored by the Contractor must be accounted for and either physically returned or securely sanitised or destroyed in accordance with the current HMG policy using an NCSC approved product or method.

Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as data stored in a cloud system, Storage Area Network (SAN) or on shared backup tapes, then the Contractor or sub-contractor shall protect the Department's information and data until such time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.

Evidence of secure destruction will be required in all cases.

- 12.16 Access by Contractor or sub-contractor staff to Departmental Data, including user credentials, shall be confined to those individuals who have a "need-to-know" in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted. Any Contractor or sub-contractor staff who will be in contact with children or vulnerable adults must, in addition to any security clearance, have successfully undergone an Enhanced DBS (Disclosure and Barring Service) check prior to any contact.
- 12.17 All Contractor or sub-contractor employees who handle Departmental Data shall have annual awareness training in protecting information.
- 12.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall

be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.

- 12.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data, including user credentials, used or handled in the course of providing this service shall be recorded as an incident. This includes any noncompliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the solution.

Incidents shall be reported to the department immediately, wherever practical, even if unconfirmed or when full details are not known, but always within 24 hours of discovery. If incident reporting has been delayed by more than 24 hours, the contractor should provide an explanation about the delay.

Incidents shall be reported through the department's nominated system or service owner.

Incidents shall be investigated by the contractor with outcomes being notified to the Department.

- 12.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using an NCSC CHECK Scheme ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.

- 12.21 The Contractor or sub-contractors providing the service will provide the Department with full details of any actual or future intent to develop, manage, support, process or store Departmental Data outside of the UK mainland. The Contractor or subcontractor shall not go ahead with any such proposal without the prior written agreement from the Department.

- 12.22 The Department reserves the right to audit the Contractor or sub-contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-contractors', compliance with the clauses contained in this Section.

- 12.23 The Contractor and sub-contractors shall undergo appropriate security assurance activities and shall provide appropriate evidence including the production of the necessary security documentation as determined by the department. This will include

obtaining any necessary professional security resources required to support the Contractor's and sub-contractor's security assurance activities such as: a Security and Information Risk Advisor (SIRA) certified to NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Cyber Professional (CCP) schemes.

- 12.24 Where the Contractor is delivering an ICT solution to the Department they shall design and deliver solutions and services that are compliant with the HMG Security Policy Framework in conjunction with current NCSC Information Assurance Guidance and Departmental Policy. The Contractor will provide the Department with evidence of compliance for the solutions and services to be delivered. The Department's expectation is that the Contractor shall provide written evidence of:

- Compliance with HMG Minimum Cyber Security Standard.

- Any existing security assurance for the services to be delivered, such as: ISO/IEC 27001 / 27002 or an equivalent industry level certification.
- Any existing HMG security accreditations or assurance that are still valid including: details of the awarding body; the scope of the accreditation; any caveats or restrictions to the accreditation; the date awarded, plus a copy of the residual risk statement.
- Documented progress in achieving any security assurance or accreditation activities including whether documentation has been produced and submitted. The Contractor shall provide details of who the awarding body or organisation will be and date expected.

12.25 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-contractors or partners who could potentially access Departmental Data in the course of providing this service.