



Department  
for Work &  
Pensions

**AGREEMENT DOCUMENT**

**For**

**The Provision of Career Coaching for Pre Work Capability Assessment  
ESA Claimants**

**Between**

**THE SECRETARY OF STATE FOR WORK AND PENSIONS  
(the “Authority”) acting as part of the Crown.**

**And**

**Best Practice Training and Development Ltd**

**AGREEMENT REFERENCE NUMBER: UI DWP 101557**

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This Agreement is made on the .....

**between the Parties** The Secretary of State for Work and Pensions

("the Authority") acting as part of the Crown.

Caxton House,  
Tothill Street  
London  
SW1H 9DA

of

and Best Practice Training and Development Ltd

with registered number 03302541

Gresham House  
53 Clarendon Road  
Watford  
Hertfordshire  
WD17 1LA

having the main or registered office at

("the Contractor")

and hereinafter called "the Parties"

## **A.GENERAL PROVISIONS**

### **A1 Definitions and Interpretation**

A1.1 In this Contract the following provisions shall have the meanings given to them below:

**"Administration"** means a rescue mechanism under the Insolvency Act 1986 where a company may be rescued or reorganised or its assets realised under the protection of a statutory moratorium. The company is put into Administration and an Administrator is appointed.

**"Activity Date"** means the date from when activities start on the contract if this date is later than the Commencement Date.

**"Affiliate"** means in relation to any company, any holding company or subsidiary of that company or any subsidiary of such holding company, and "holding company" and "subsidiary" shall have the meaning given to them in section 1159 of the Companies Act 2006.

**"Approval"** means the prior written consent of the Authority this includes email.

**"Authority"** means the Secretary of State for Work and Pensions.

**"Authority Data"** means

- a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are:
  - i) supplied to the Contractor by or on behalf of the Authority; or
  - ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or
- b) any Personal Data for which the Authority is the Data Controller.

**“Authority ICT System”** means the Authority’s computing environment (consisting of hardware, software and/or telecommunications networks or equipment) used by the Authority or the Contractor in connection with the Contract which is owned by or licensed to the Authority by a third party and which interfaces with the Contractor ICT System or which is necessary for the Authority to receive the Services].

**“Authority Software”** means software which is owned by or licensed to the Authority, including software which is, or will be used by the Contractor for the purpose of providing the Services but excluding the Contractor Software.

**“Breach of Security”** means the occurrence of unauthorised access to or use of the Premises, the Services, the Contractor system or any ICT or data (including the Authority’s Data) used by the Authority or the Contractor in connection with this Contract.

**“Bribery Act 2010”** means the Bribery Act 2010 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning the legislation.

**“Business Continuity Plan”** means any plan prepared as directed in clause H5.6, as may be amended from time to time.

**“Commencement Date”** means the date from when this Contract becomes legally binding. The contract will take effect (is awarded or made) on the date of the second party’s signature which is the Commencement Date. [Also see definition of Activity Date].

**“Commercially Sensitive Information”** means the Information:

- (i) listed in the Commercially Sensitive Information Schedule;
- (ii) notified to the Authority in writing (prior to the commencement of this Contract) which has been clearly marked as Commercially Sensitive Information which is provided by the Contractor to the Authority in confidence; or



- (iii) which constitutes a trade secret.

**“Commercially Sensitive Information Schedule”** means the Schedule containing a list of the Commercially Sensitive Information.

**“Confidential Information”** means:

- a) any information which has been designated as confidential by either Party in writing or that ought reasonably to be considered as confidential (however it is conveyed or on whatever media it is stored) including information that relates to the business, affairs, developments, trade secrets, know-how, personnel and suppliers of the Contractor, including Intellectual Property Rights, together with all information derived from the above, and any other information clearly designated as being confidential (whether or not it is marked as “confidential”) or which ought reasonably to be considered to be confidential; and
- b) the Commercially Sensitive Information and does not include any information:
  - i) which was public knowledge at the time of disclosure (otherwise than by breach of clause E4 (Confidential Information));
  - ii) which was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
  - iii) which is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or
  - iv) is independently developed without access to the Confidential Information.

**“Contract”** means the written agreement between the Authority and the Contractor consisting of these clauses and any attached Schedules, and any document referred to in Schedule 1, including the Specification, the Tender and the Contractor Guidance.

**“Contract Period”** means the period from the Commencement Date to:

- a) the date of expiry set out in clause A2 (Initial Contract Period), or
- b) following an extension pursuant to clause F8 (Extension of Initial Contract Period), the date of expiry of the extended period, or
- c) such earlier date of termination or partial termination of the Contract in accordance with the Law or the provisions of the Contract.

**“Contracting Body”** means the Department for Work and Pensions.

**“Contractor”** means the person, partnership or company with whom the Authority enters into the Contract.

**“Contractor Guidance”** means the instructions and recommended practices, including any instructions of an operational nature, and/or relating to Sustainable Development and promotion of race equality and non-discrimination, copies of which have been provided by the Authority to the Contractor prior to the Commencement Date, and any other instructions and recommended practices notified by the Authority to the Contractor from time to time.

**“Contract Price”** means the price (exclusive of any applicable VAT), payable to the Contractor by the Authority under the Contract, as set out in the Prices and Rates Schedule, for the full and proper performance by the Contractor of its obligations under the Contract but before taking into account the effect of any adjustment of price in accordance with clause C4 (Price Adjustment on Extension of Initial Contract Period).

**“Contractor Software”** means software owned or licensed to the Contractor, including software which is or will be used by the Contractor for the purposes of providing the Services.

**“Crown”** means the government of the United Kingdom (including the Northern Ireland Assembly and Executive Committee, the Scottish Government and The Welsh Government), including, but not limited to, government ministers, government departments, government and particular bodies, and government agencies. In this Agreement, the Authority is acting as part of the Crown.

**“Data Controller”** shall have the same meaning as set out in the DPA.

**“Data Subject”** shall have the same meaning as set out in the DPA.

**“Data Processing”** shall have the same meaning as set out in the DPA.

**“Default”** means any breach of the obligations of the relevant Party (including but not limited to fundamental breach or breach of a fundamental term) or any other default, act, omission, negligence or statement of the relevant Party or the Staff in connection with or in relation to the subject-matter of the Contract and in respect of which such Party is liable to the other.

**“Directive”** means EC Council Directive 2001/23/EC

**“DPA”** means the Data Protection Act 1998 and any subordinate legislation made under such Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such legislation.

**“DWP Offshoring Policy”** means the Authority’s policy and procedures in relation to hosting or accessing the Authority ICT System or official information outside of the UK including Landed Resources as advised to the Contractor by the Authority from time to time.

**“Environmental Information Regulations”** 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 such regulations.

**“Equipment”** means the Contractor’s equipment, plant, materials and such other items supplied and used by the Contractor in the performance of its obligations under the Contract.

**“FOIA”** means the Freedom of Information Act 2000 and any subordinate legislation made under this Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such legislation.

**“Fraud”** means any offence under Law or common law creating offences in respect of fraudulent acts, fraudulent acts in relation to the Contract, defrauding or attempting to defraud or conspiring to defraud the Crown.

**“Good Industry Practice”** means 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.

**“Guarantee”** means the deed of guarantee in favour of the Authority entered into by the Guarantor on or about the date of the Contract (which is substantially in the form set out in Schedule 11(Parent Company Guarantee) or such similar form acceptable to the Authority from time to time).

**“Guarantor”** means the body who has agreed to guarantee the due performance of the Contract by the Contractor as defined in Clause G4 and the deed at Schedule 11.

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

**“ICT Environment”** means the Authority system and the Contractor system.

**“Information”** has the meaning given under section 84 of the FOIA.

**“Initial Contract Period”** means the period from the Commencement Date to the date of expiry set out in clause A2 (Initial Contract Period), or such earlier date of termination or partial termination of the

agreement in accordance with the Law or the provisions of the Contract.

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

**“ISAE 3402”** means the International Standard on Assurance Engagements No. 3402, Assurance Reports on Controls at a Service Organisation, issued in December 2009 by the International Auditing and Assurance Standards Board, part of the International Federation of Accountants.

**“Key Personnel”** means those persons named in the Schedule1, Appendix D.

**“KPI”** means a key performance indicator to which the Services are to be provided as set out in the Specification.

**“Landed Resources”** means when the Contractor or its Sub-contractor causes foreign nationals to be brought to the United Kingdom to provide the Services.

**“Law”** means any applicable Act of Parliament, subordinate legislation, exercise of the royal prerogative, enforceable European Community right, regulatory policy, guidance or industry code, judgment of a relevant court of law, or directives or requirements or any Regulatory Body of which the Contractor is bound to comply.

**“Liquidation”** means the appointment of a Liquidator who collects in and distributes the company's assets and dissolves the company. The company can also be put into provisional Liquidation before a final winding up order is granted.

**“Loss”** means direct losses, liabilities, claims, damages, costs, charges, outgoings and expenses (including legal expenses) of every description, provided in each case that such losses are reasonable, direct, proper and mitigated.

**“Malicious Software”** means any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence.

**“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 terminating party would otherwise derive from:

- (a) a substantial portion of the Contract; or
- (b) any of the obligations set out in clauses B, D, E, F, H, over any three (3) month period during the term of the Contract.

In deciding whether any breach is material no regard shall be had to whether it occurs by some accident, mishap, mistake or misunderstanding.

**“Minimum Performance Levels”** means in relation to the Contractor the minimum performance levels to which the Services must be provided as set out in Schedule 3 Appendix A.

**“Minimum Service Levels”** means the set of service levels to which the Services must be provided as set out in Schedule 3 Appendix A and any other service levels as notified by the Authority to the Contractor from time to time.

**“Monitoring Requirements Schedule”** means the Schedule containing details of the monitoring arrangements.

**“Month”** means calendar month.

**“Outcome Payment”** means the fee payable by the Authority to the Contractor on achievement of an Outcome and which shall be payable in accordance with the requirements of Schedule 2 (Administration Requirements) and Schedule 4 (Prices and Rates).

**“Outcome”** means a job/training or placement outcome after the Start Date; and a Participant has been in employment/training/placement and Off-Benefit each week; and there has been an either continuous or cumulative individual period of employment/training/placement (Outcome payment trigger point) as detailed in the Specification for each Participant Group.

**“Participant”** means the person(s) directly receiving the Services provided by the Contractor as specified in this Contract. [This terminology is used for participant facing services contracts only, e.g. Welfare to Employment.

**“Party”** means a party to the Contract.

**“Performance Improvement Plan”** means the plan agreed in accordance with clause B15 for the resolution of a Contractor’s Default.

**“Performance Improvement Notice”** means a written notice given by the Authority to the Contractor pursuant to clause B15 to initiate the Performance Improvement Process.

**“Performance Improvement Process”** means the process for resolving certain of the Contractor’s Defaults as set out in clause B14.

**“Performance Manager”** means the Authority’s representative who will work with the Contractor to support delivery of the Minimum Performance Levels and the Minimum Services Levels.

**“Persistent Breach”** means a Default which has occurred on three or more separate occasions with a continuous period of three (3) months.

**“Personal Data”** shall have the same meaning as set out in the DPA.

**“Premises”** means the location where the Services are to be supplied, as set out in the Specification.

**“Prices & Rates Schedule”** means the Schedule containing details of the Contract Price.

**“Property”** means the property, other than real property, issued or made available to the Contractor by the Authority in connection with the Contract.

**“Provider Guidance”** means the instructions and recommended practices, including any instructions of an operational nature, and/or relating to Sustainable Development and promotion of race equality and non-discrimination, copies of which have been provided by the Authority to the Contractor prior to the Commencement date and any other instructions and recommended practices notified by the Authority to the Contractor from time to time.

**“Quality Standards”** means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardisation 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.

**“Regulatory Bodies”** means those government departments 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 Authority and “Regulatory Body” shall be construed accordingly.

**“Relevant Employees”** means the employees of the Contractor (including the Transferring Employees) who are wholly or mainly assigned to work in the provision of the Services and who are/will be the subject of a Relevant Transfer by virtue of the application of the TUPE Regulations.

**“Relevant Transfer”** means a transfer of employment to which the Employment Regulations applies.

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

**“Request for Information”** shall have the meaning set out in FOIA or the Environmental Information Regulations as relevant (where the meaning set out for the term “request” shall apply).

**“Schedule”** means a Schedule attached to, and forming part of, the Contract.

**“Security Plan”** means the Contractor’s security plan prepared as directed in paragraph 3 of Schedule (Security Requirements & Plan).

**“Security Policy”** means the Authority’s Security Policy annexed to Schedule (Security Requirements and Plan) as updated from time to time.

**“Security Tests”** means conduct tests of the processes and countermeasures contained in the Security Plan.

**“Services”** means the services to be supplied as specified in the Specification.

**“Service Failure”** means a failure by the Contractor to deliver any part of the Services in accordance with:- (a) any of the Minimum Performance Levels; and/or (b) any of the Minimum Service Levels.

**“Service Levels”** means the service levels to which the Services are to be provided, as set out in the Specification and in Schedule 3, Monitoring Requirements.]

**“Specification”** means the description of the Services to be supplied under the Contract as referred to in Schedule 1, The Services., including, where appropriate, the Key Personnel, the Premises and the Quality Standards.

**“Staff”** mean 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.

**“Staff Vetting Procedures”** means the Authority’s procedures for the vetting of personnel and as advised to the Contractor by the Authority.

**Optional “Start Date”** shall have the meaning described in the Contractor Guidance.

**“Sub-contractor”** means any third party appointed by the Contractor which through its employees or agents directly delivers the Services.

**“Tender”** means the document(s) submitted by the Contractor to the Authority in response to the Authority’s invitation to suppliers for formal offers to supply it with the Services.

**“Third Party Software”** means software which is proprietary to any third party (other than an Affiliate of the Contractor) which is or will be used by the Contractor for the purposes of providing the Services.

**“Variation”** has the meaning given to it in clause F3.1 (Variation).

**“VAT”** means value added tax in accordance with the provisions of the **Value Added Tax Act 1994**.

**“Working Day”** means any day other than a Saturday, Sunday, or public holiday when banks in the United Kingdom are open for business.

A1.2 The interpretation and construction of this Contract shall be subject to the following provisions:

- a) Words importing the singular meaning include where the context so admits the plural meaning and vice versa;
- b) Reference to a clause is a reference to the whole of that clause unless stated otherwise;
- c) Reference to any statute, law, order, regulation or other similar instrument shall be construed as a reference to the statute, law, order, regulation or instrument as subsequently amended or re-enacted;
- d) Reference to any person shall include natural persons and partnerships, firms and other incorporated bodies and all other legal persons of whatever kind and however constituted and their successors and permitted assigns or transferees;
- e) The words “include”, “includes” and “including” are to be construed as if they were immediately followed by the words “without limitation”;

Headings are included in this Contract for ease of reference only and shall not affect the interpretation or construction of the Contract.

## **A2 Initial Contract Period**

This Contract shall commence on the date specified within this contract (the Commencement Date) 27<sup>th</sup> April 2015 and shall expire automatically on 26th April 2016, unless it is otherwise terminated in accordance with the provisions of this Contract, or otherwise lawfully terminated, or extended under clause F9 (Extension of Initial Contract Period).



### **A3 Contractor's Status**

At all times during the Contract Period the Contractor shall be an independent contractor and nothing in this Contract shall create a contract of employment, a relationship of agency or partnership or a joint venture between the Parties and accordingly neither Party shall be authorised to act in the name of, or on behalf of, or otherwise bind the other Party save as expressly permitted by the Terms of this Contract.

### **A4 Authority's Obligations**

Save as otherwise expressly provided, the obligations of the Authority under this Contract are obligations of the Authority in its capacity as a contracting counterparty and nothing in this Contract shall operate as an obligation upon, or in any other way constrain the Authority in any other capacity, nor shall the exercise by the Authority of its duties and powers in any other capacity lead to any liability, under this Contract (howsoever arising), on the part of the Authority to the Contractor.

### **A5 Notices**

A5.1 Except as otherwise expressly provided within this Contract, no notice or other communication from one Party to the other shall have any validity under this Contract unless made in writing by or on behalf of the Party concerned.

A5.2 Any notice or other communication which is to be given by either Party to the other shall be given by electronic mail (confirmed in either case by letter), by letter (sent by hand, post, registered post or by the recorded delivery service) or by facsimile transmission. Provided the relevant communication is not returned as undelivered, the notice or communication shall be deemed to have been given two (2) Working Days after the day on which the letter was posted, or four (4) hours, in the case of electronic mail or facsimile transmission or sooner where the other Party acknowledges receipt of such letters, facsimile transmission or item of electronic mail. Such letters shall be addressed to the other Party in the manner referred to in clause A5.3.

A5.3 For the purposes of clause A5.2, the address of each Party shall be:

- a) For the Authority: Department for Work and Pensions  
Address: Ground Floor  
1 Hartshead Square  
Sheffield, S1 2FD

For the attention of: [REDACTED]

Tel: [REDACTED]

Email: [REDACTED]

- b) For the Contractor: Best Practice Training & Development Ltd  
Address: Gresham House  
53 Clarendon Road  
Watford  
Hertfordshire  
WD17 1LA

For the attention of: [REDACTED]  
Tel: [REDACTED]  
Fax: [REDACTED]  
Email: [REDACTED]

- A5.4 Either Party may change its address for service by serving a notice in accordance with this clause.

**A6 Mistakes in Information**

The Contractor shall be responsible for the accuracy of all drawings, documentation and information supplied to the Authority by the Contractor in connection with the supply of the Services and shall pay the Authority any extra costs occasioned by the Authority by any discrepancies, errors or omissions therein except where such discrepancies, errors or omissions originate from documentation supplied by the Authority.

**A7 Conflicts of Interest**

- A7.1 The Contractor shall take appropriate steps to ensure that neither the Contractor nor any Staff is placed in a position where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the financial or personal interests of the Contractor and the duties owed to the Authority under the provisions of this Contract. The Contractor will disclose to the Authority full particulars of any such conflict of interest which may arise.
- A7.2 The Authority reserves the right to terminate this Contract immediately by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the financial or personal interests of the Contractor and the duties owed to the Authority under the provisions of this Contract. The actions of the Authority pursuant to this clause shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.
- A7.3 This clause A7 shall apply during the continuance of this Contract and for a period of two (2) years after its termination.

**A8 Prevention of Fraud**

- A8.1 The Authority places the utmost importance on the need to prevent fraud and irregularity in the delivery of this Contract. Contractors and Sub-contractors are required to:
- a) have an established system that enables Contractor and Sub-contractor staff to report inappropriate behaviour by colleagues in respect of contract performance claims;
  - b) ensure that their performance management systems do not encourage individual staff to make false claims regarding achievement of contract performance targets;
  - c) ensure a segregation of duties within the Contractor's or Sub-contractors operation between those employees directly

- involved in delivering the service/goods performance and those reporting achievement of contract performance to the Authority;
- d) ensure that an audit system is implemented to provide periodic checks, as a minimum at six (6) Monthly intervals, to ensure effective and accurate recording and reporting of contract performance.

A8.2 The Contractor shall use its best endeavours to safeguard the Authority's funding of the Contract against fraud generally and, in particular, fraud on the part of the Contractor's directors, employees or Sub-contractors. The Contractor shall pay the utmost regard to safeguarding public funds against misleading claims for payment and shall notify the Authority immediately if it has reason to suspect that any serious irregularity or fraud has occurred or is occurring.

A8.3 If the Contractor, its Staff or its Sub-contractors commits Fraud in relation to this or any other contract with the Crown (including the Authority) the Authority may:

- a) terminate the Contract and recover from the Contractor the amount of any loss suffered by the Authority resulting from the termination, including the cost reasonably incurred by the Authority of making other arrangements for the supply of the Services and any additional expenditure incurred by the Authority throughout the remainder of the Contract Period; or
- b) recover in full from the Contractor any other loss sustained by the Authority in consequence of any Default of this clause.

A8.4 Any act of fraud committed by the Contractor or its Sub-contractors (whether under this Contract or any other contract with any other Contracting Body) shall entitle the Authority to terminate this Contract, and any other contract the Authority has with the Contractor, by serving written notice on the Contractor.

A8.5 If the Authority finds that the Contractor has deliberately submitted false claims for Contract payments with the knowledge of its senior officers the Authority will be entitled to terminate this Contract, or any other contract the Authority has with the Contractor, with immediate effect.

A8.6 The Contractor shall co-operate fully with the Authority and assist it in the identification of Participants who may be unlawfully claiming state benefits. The Authority may from time to time brief the Contractor as to the co-operation and assistance it reasonably requires including the provision of information regarding fraud by Participants. On receipt of the information, further evidence may be collected by the Authority or other department, office or agency of Her Majesty's Government with a view to prosecution.

## **A9 Volumes**

A9.1 The Contractor acknowledges and has submitted its Tender on the understanding that no guarantee is given by the Authority in respect of

levels or values of Services referred to in the Schedules which are indicative only and shall not be binding on the Authority.

## **B.SUPPLY OF SERVICES**

### **B1 The Services**

- B1.1 The Contractor shall supply the Services during the Contract Period in accordance with the Authority's requirements as set out in the Specification and the provisions of the Contract in consideration of the payment of the Contract Price. The Authority may inspect and examine the manner in which the Contractor supplies the Services at the Premises during normal business hours on reasonable notice.
- B1.2 If the Authority informs the Contractor in writing that the Authority reasonably believes that any part of the Services does not meet the requirements of the Contract or differ in any way from those requirements, and this is other than as a result of a Default by the Authority, the Contractor shall at its own expense re-schedule and carry out the Services in accordance with the requirements of the Contract within such reasonable time as may be specified by the Authority.
- B1.3 Timely supply of the Services shall be of the essence of the Contract, including in relation to commencing the supply of the Services within the time agreed or on a specified date.

### **B2 Provision and Removal of Equipment**

- B2.1 The Contractor shall provide all the Equipment necessary for the supply of the Services.

### **B3 Manner of Carrying Out the Services**

- B3.1 The Contractor shall at all times comply with the Quality Standards, and where applicable shall maintain accreditation with the relevant Quality Standards authorisation body. To the extent that the standard of Services has not been specified in the Contract, the Contractor shall agree the relevant standard of the Services with the Authority prior to the supply of the Services and in any event, the Contractor shall perform its obligations under the Contract in accordance with the Law and Good Industry Practice.
- B3.2 While not in anyway limiting any other provision of this Contract, in delivering the Services, the Contractor and any of its Sub-contractors, shall comply with the DWP Offshoring Policy. The DWP Offshoring Policy shall apply to Landed Resources.
- B3.3 The Contractor shall ensure that all Staff supplying the Services shall do so with all due skill, care and diligence and shall possess such qualifications, skills and experience as are necessary for the proper supply of the Services.

- B3.4 The Authority will conduct a review of the performance of this contract at least annually during the Contract Period. During this review, a performance report will be agreed.

**B4 Participant Complaints**

- B4.1 The Contractor shall have an internal dispute resolution procedure for dealing with complaints from Participants about the Contractor (and/or any of its Sub-contractors).
- B4.2 If the dispute between the DWP Participant and the Contractor (and/or the Sub-contractor) cannot be resolved the dispute shall be referred to the **Independent Case Examiner ("ICE")** for mediation].
- B4.3 If the dispute cannot be resolved by mediation, ICE will conduct a full investigation. The decision of ICE shall be final and binding upon the parties to the dispute. The ICE investigation shall carry a £5,000 (plus VAT) contribution to costs paid by the Contractor or the Sub-contractor who will also be liable for any financial redress recommended by ICE. In the event that the complaint against the Contractor or Sub-contractor is dismissed, no costs shall be payable. Any costs in respect of complaints that have been upheld against the Contractor or Sub-contractor and any financial redress due to the DWP Participant shall be paid within four (4) weeks of the date of the ICE final investigation report

**B5 Not Used**

**B6 Key Personnel**

- B6.1 The Contractor acknowledges that the Key Personnel, as detailed in Annex J of the Invitation to Tender, are essential to the proper provision of the Services to the Authority.
- B6.2 The Key Personnel shall not be released from supplying the Services without the prior written agreement of the Authority.
- B6.3 Any replacements to the Key Personnel shall be subject to the prior written agreement of the Authority. Such replacements shall be of at least equal status or of equivalent experience and skills to the Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- B6.4 The Authority shall not unreasonably withhold its agreement under clauses B6.2 or B6.3. Such agreement shall be conditional on appropriate arrangements being made by the Contractor to minimise any adverse impact on the Contract which could be caused by a change in Key Personnel.

**B7 Contractor's Staff**

- B7.1 Not Used
- B7.2 Not Used

B7.3 Not Used

B7.4 Not Used

B7.5 The Contractor shall comply with all applicable legislation relating to safeguarding and protecting vulnerable groups, including the Safeguarding Vulnerable Groups Act 2006, the Safeguarding Vulnerable Groups Order (Northern Ireland) 2007 and the Protection of Vulnerable Groups (Scotland) Act 2007 or other relevant or equivalent legislation, or any statutory modification or re-enactment thereof.

B7.6 The Contractor shall comply with Staff Vetting Procedures in respect of all persons employed or engaged in the provision of the Services. The Contractor confirms that all persons employed or engaged by the Contractor shall have complied with the Staff Vetting Procedures prior to commencing the Services and accessing the Premises.

B7.7 The Contractor shall provide training on a continuing basis for all Contractor Staff employed or engaged in the provision of the Services in compliance with the Security Policy and Security Plan.

B7.8 The Contractor shall further use all reasonable endeavours to ensure that its staff who are not EC nationals are legally entitled to be resident in the United Kingdom and have a work permit, where applicable. The Contractor shall promptly take all reasonable steps to ensure compliance with this clause.

B7.9 If the Contractor, in the reasonable opinion of the Authority, fails to comply with clauses B7.5 and B7.6 the Authority will be entitled to consider that failure a Material Breach of the Contract and may terminate the Contract in accordance with clause H2.

## **B8 Not Used**

### **B9 Licence to Occupy Premises**

B9.1 Any land or Premises made available from time to time to the Contractor by the Authority in connection with this 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 this Contract. The Contractor shall have the use of such land or Premises as licensee and shall vacate the same on completion, termination or abandonment of the Contract.

B9.2 The Contractor shall limit access to the land or Premises to such Staff as is necessary to enable it to perform its obligations under this Contract and the Contractor shall co-operate (and ensure that its Staff co-operate) with such other persons working concurrently on such land or Premises as the Authority may reasonably request.

B9.3 The Contractor shall (and shall ensure that its Staff shall) observe and comply with such rules and regulations as may be in force at any time

for the use of such Premises as determined by the Authority, and the Contractor shall pay for the cost of making good any damage caused by the Contractor or its Staff other than fair wear and tear. For the avoidance of doubt, damage includes damage to the fabric of the buildings, plant, fixed equipment or fittings therein.

B9.4 The Parties agree that there is no intention on the part of the Authority to create a tenancy of any nature whatsoever in favour of the Contractor or its Staff and that no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to this Contract, the Authority retains the right at any time to use any premises owned or occupied by it in any manner it sees fit.

B9.5 Should the Contractor require modifications to the Authority's Premises, such modifications shall be subject to prior Approval and shall be carried out by the Authority at the Contractor's expense. The Authority shall undertake approved modification work without undue delay. Ownership of such modifications shall rest with the Authority.

## **B10 Property**

B10.1 Where the Authority provides Property free of charge to the Contractor such Property shall be and remain the property of the Authority and the Contractor irrevocably licences the Authority and its agents to enter upon any premises of the Contractor during normal business hours on reasonable notice to recover any such Property. The Contractor shall not in any circumstances have a lien or any other interest on the Property and the Contractor shall at all times possess the Property as fiduciary agent and bailee of the Authority. The Contractor shall take all reasonable steps to ensure that the title of the Authority to the Property and the exclusion of any such lien or other interest are brought to the notice of all Sub-contractors and other appropriate persons and shall, at the Authority's request, store the Property separately and ensure that it is clearly identifiable as belonging to the Authority.

B10.2 The Property shall be deemed to be in good condition when received by or on behalf of the Contractor unless the Contractor notifies the Authority otherwise within five (5) Working Days of receipt.

B10.3 The Contractor shall maintain the Property in good order and condition (excluding fair wear and tear), and shall use the Property solely in connection with the Contract and for no other purpose without prior Approval.

B10.4 The Contractor shall ensure all the Property whilst in its possession, either on the Premises or elsewhere during the supply of the Services, is secured in accordance with the Authority's reasonable security requirements as published from time to time.

B10.5 The Contractor shall be liable for all loss of, or damage to, the Property (excluding fair wear and tear), unless such loss or damage was caused by the Authority's Default. The Contractor shall inform the Authority

within [two (2)] Working Days of becoming aware of any defects appearing in, or losses or damage occurring to, the Property.

**B11 Offers of Employment**

B11.1 For the duration of the Contract and for a period of twelve (12) Months thereafter neither the Authority nor the Contractor shall employ or offer employment to any of the other Party's staff who have been associated with the procurement and/or the contract management of the Services without that other Party's prior written consent.

**B12 Not Used**

**B13 Employee Provisions on Expiry or Termination**

B13.1 During the six (6) Months preceding the expiry of this Contract or after the Authority has given notice to terminate this Contract or at any other time as directed by the Authority, and within fifteen (15) Working Days of the Authority's request the Contractor shall fully and accurately disclose to the Authority and shall ensure that any relevant Sub-contractor accurately discloses any and all information in relation to all personnel engaged in providing the Services, (whether engaged by the Contractor or any Sub-contractor). This shall include all Relevant Employees who are to transfer as a consequence of a Relevant Transfer as the Authority may request, in particular but not necessarily restricted to any of the following:

- a) a list of employees employed by the Contractor, or any Sub-contractor;
- b) a list of agency workers, agents and independent contractors engaged by the Contractor;
- c) the total payroll bill (i.e. total taxable pay and allowances including employer's contributions to pension schemes) of those personnel
- d) the terms and conditions of employment of the Relevant Employees, their age, salary, date continuous employment commenced and (if different) the commencement date, accrued holiday entitlement, pension details, location, retirement age, enhancement rates, any other factors affecting their redundancy entitlement and any outstanding claims arising from employment;
- e) 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; or
- f) details of all collective agreements with a brief summary of the current state of negotiations with such bodies and with details of any current industrial disputes and claims for recognition by any trade union.

B13.2 Where the Contractor provides information in accordance with clause B13.1 and the Contractor or Sub-contractor makes or becomes aware of any changes or discovers new information the Contractor shall notify the Authority within seven (7) days of any such change or discovery.



- B13.3 The Contractor warrants that all of the information provided to the Authority pursuant to clause B13.1 and B13.2 shall be accurate and complete. The Contractor authorises the Authority to use any and all the information as it considers necessary for the purposes of its businesses or for informing any tenderer for any services which are substantially the same as the Services (or any part thereof).
- B13.4 During the [six (6)] Months preceding the expiry of this Contract or where notice to terminate this Contract for whatever reason has been given, the Contractor shall allow the Authority or persons authorised by the Authority to communicate with and meet the Relevant Employees and their trade union or employee representatives as the Authority may reasonably request.
- B13.5 During the [six (6)] Months preceding the expiry of this Contract or where notice to terminate this Contract for whatever reason has been given, the Contractor shall not without the prior written consent of the Authority unless genuinely in the ordinary course of business:
- a) vary, purport or promise to vary the terms and conditions of employment of any employee employed in connection with the Services;
  - b) increase or decrease the number of employees employed in connection with the Services; or
  - c) assign or redeploy any employee employed in connection with the Services to other duties unconnected with the Services.
- B13.6 The Contractor confirms that it will comply fully with its obligations under the TUPE Regulations in respect of providing information to any subsequent Contractor. The Contractor warrants that any information provided in accordance with Regulation 11 shall be accurate and complete.

#### Indemnity

- B13.7 The Contractor shall indemnify the Authority and any Replacement Contractor and keep the Authority and any Replacement Contractor indemnified in full from and against all direct, indirect or consequential liability or Loss awarded against or incurred or paid by the Authority or any Replacement Contractor as a result of or in connection with:
- a) the employment or termination of employment of any Relevant Employee or employee of any Sub-contractor during any period prior to and including the date of expiry or termination of this Contract; and
  - b) any claim brought against the Authority or any Replacement Contractor as a result of the Contractors failure to comply with any of its obligations under the TUPE Regulations.
- B13.8 Notwithstanding any other provisions of this Contract for the purposes of clauses B12 and B13 and in accordance with the Contracts (Rights of Third Parties) Act 1999, the Parties accept that any Replacement Contractor shall be entitled to enforce the benefits conferred by it in this Contract. If the Parties rescind this Contract or vary it in

accordance with the relevant provisions of this Contract or terminate this Contract, the consent of any Replacement Contractor shall not be required for such rescission, variation of termination.

B13.9 Clause B12 and this Clause B13 shall apply during the Contract Period and indefinitely thereafter.

## **C.PAYMENT AND CONTRACT PRICE**

### **C1 Payment and VAT**

C1.1 The Authority shall pay all sums by direct credit transfer into a suitable bank account or by other electronic payment methods as appropriate.

C1.2 The Authority shall pay the Contract Price due to the Contractor within thirty (30) days of receipt of a valid claim.

C1.3 The Contractor shall ensure that each claim contains a valid reference number. All appropriate references and a detailed breakdown of the Services supplied and any other documentation reasonably required by the Authority to substantiate the invoice should be supplied in accordance with Schedule 2.

C1.4 Where the Contractor enters into a sub-contract for the purpose of performing its obligations under the Contract, it shall ensure that a provision is included in such a sub-contract which requires payment to be made of all sums due by the Contractor to the Sub-contractor within a specified period not exceeding thirty (30) days from the receipt of a valid claim.

C1.5 The Contractor shall add VAT to the Contract Price at the prevailing rate as applicable and the Authority shall pay the VAT to the Contractor following an eligible claim for payment being notified by the Contractor in line with the provisions of Schedule 2.

C1.6 The Contractor shall indemnify the Authority on a continuing basis against any liability, including any interest, penalties or costs incurred which is levied, demanded or assessed on the Authority at any time in respect of the Contractor's failure to account for or to pay any VAT relating to payments made to the Contractor under the Contract. Any amounts due under this clause C2.6 shall be paid by the Contractor to the Authority not less than five (5) Working Days before the date upon which the tax or other liability is payable by the Authority.

C1.7 The Contractor shall not suspend the supply of the Services unless the Contractor is entitled to terminate the Contract under clause H2.3 (Termination on Default) for failure to pay undisputed sums of money. Interest shall be payable by the Authority on the late payment of any undisputed sums of money properly claimed in accordance with the Late Payment of Commercial Debts (Interest) Act 1998 (amended 2013).

- C1.8 Where payment by the Authority of all or any part of any payment submitted or other claim for payment by the Contractor is disputed, this dispute shall be resolved in accordance with the disputed claims procedure as set out in Schedule 2.

## **C2 Recovery of Sums Due**

- C2.1 Wherever under the Contract any sum of money is recoverable from or payable by the Contractor (including any sum which the Contractor is liable to pay to the Authority in respect of any breach of the Contract), the Authority may unilaterally deduct that sum from any sum then due, or which at any later time may become due to the Contractor under the Contract or under any other agreement or contract with the Authority.
- C2.2 Any overpayment by either Party, whether of the Contract Price or of VAT or otherwise, shall be a sum of money recoverable by the Party who made the overpayment from the Party in receipt of the overpayment.
- C2.3 The Contractor shall make all payments due to the Authority without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise unless the Contractor has a valid court order requiring an amount equal to such deduction to be paid by the Authority to the Contractor.
- C2.4 All payments due shall be made within a reasonable time unless otherwise specified in the Contract, in cleared funds, to such bank or building society account as the recipient Party may from time to time direct.

## **C3 Price adjustment on extension of the Initial Contract Period**

- C3.1 The Contract Price shall apply for the Initial Contract Period. In the event that the Authority agrees to extend the Initial Contract Period pursuant to clause F8 (Extension of Initial Contract Period), the Authority may, where applicable, in the six (6) Month period prior to the expiry of the Initial Contract Period, enter into good faith negotiations with the Contractor (for a period of not more than thirty (30) Working Days) to agree to a variation in the Contract Price. For the avoidance of doubt both Parties accept and acknowledge that any Variation to the Contract Price shall not have the effect of altering the economic balance of the Contract during the period of extension in favour of the Contractor in a manner not provided for in the terms of the Contract.
- C3.2 If the Parties are unable to agree a variation in the Contract Price (applicable to the period of extension) in accordance with clause C4.1, the Contract shall terminate at the end of the Initial Contract Period.
- C3.3 If a variation in the Contract Price is agreed between the Authority and the Contractor, the revised Contract Price will take effect from the first day of any period of extension and shall apply during such period of extension.

C3.4 Any increase in the Contract Price pursuant to clause C4.1 shall not exceed the percentage change in the Office of National Statistics' Consumer Prices Index (CPI) (or another such index specified in the Prices & Rates Schedule) between the Commencement Date and the date six (6) Months before the end of the Initial Contract Period.

**C4 Euro**

C4.1 Any requirement of Law to account for the Services in Euro (or to prepare for such accounting) instead of and/or in addition to sterling, shall be implemented by the Contractor at nil charge to the Authority.

C4.2 The Authority shall provide all reasonable assistance to facilitate compliance with clause C5.1 by the Contractor.

**C5 Third Party Revenue**

C5.1 The Contractor may not obtain any third party revenue, income or credit based on the Services and/or copyright works delivered under this Contract without the express prior written agreement of the Authority.

**D.STATUTORY OBLIGATIONS AND REGULATIONS**

**D1 Prevention of Bribery and Corruption**

D1.1 The Contractor shall not, and shall ensure that any Staff shall not, commit any of the prohibited acts listed in this clause D1. For the purposes of this clause D1, a prohibited act is committed when the Contractor or any Staff:

- a) directly or indirectly offers, promises or gives any person working for or engaged by the Authority 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) directly or indirectly requests, agrees to receive or accepts 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) commits any offence:
  - (i) under the Bribery Act 2010;
  - (ii) under legislation creating offences concerning fraudulent acts;
  - (iii) at common law concerning fraudulent acts relating to the Contract or any other contract with the Authority; or
  - (iv) defrauding, attempting to defraud or conspiring to defraud the Authority

D1.2 The Contractor warrants, represents and undertakes that it is not aware of any financial or other advantage being given to any person working for or engaged by the Authority, or that an agreement has been reached to that effect, in connection with the execution of the Contract,

excluding any arrangement of which full details have been disclosed in writing to the Authority before execution of the Contract.

- D1.3 The Contractor shall if requested, provide the Authority with any reasonable assistance, at the Authority's reasonable cost, to enable the Authority to perform any activity required by any relevant government or agency in any relevant jurisdiction for the purpose of compliance with the Bribery Act 2010.
- D1.4 The Contractor shall have an anti-bribery policy which prevents any Staff from committing any prohibited acts as set out in clause D1.1 and a copy of this shall be provided to the Authority upon request.
- D1.5 The Contractor shall immediately notify the Authority in writing if it becomes aware of or suspects any Default of clauses D1.1 or D1.2, or has reason to believe that it has or any Staff has:
- a) been subject to an investigation or prosecution which relates to an alleged prohibited act in Clauses D1.1 or D1.2;
  - b) 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
  - c) received a request or demand for any undue financial or other advantage of any kind in connection with the performance of this Agreement or otherwise suspects that any person or party directly or indirectly connected with this Agreement has committed or attempted to commit a prohibited act in clauses D1.1 or D1.2.
- D1.6 If the Contractor notifies the Authority that it suspects or knows that there may be a Default of clauses D1.1 or D1.2, the Contractor must respond promptly to the Authority's enquiries, co-operate with any investigation, and allow the Authority to audit books, records and any other relevant documentation.
- D1.7 If the Contractor, its Staff or anyone acting on the Contractor's behalf engages in conduct prohibited by clauses D1.1 or D1.2, the Authority may;
- a) terminate the Contract and recover from the Contractor the amount of any Loss suffered by the Authority resulting from the termination, including the cost reasonably incurred by the Authority of making other arrangements for the supply of the Services and any additional expenditure incurred by the Authority throughout the remainder of the Contract Period; and
  - b) recover in full from the Contractor any other Loss sustained by the Authority in consequence of any Default of those clauses.
- D1.8 Despite clause I (Disputes and Law), any dispute relating to:
- a) the interpretation of clause D1; or

b) the amount or value of any gift, consideration or commission,

shall be determined by the Authority, acting reasonably having given due consideration to all relevant factors, and its decision shall be final and conclusive.

D1.9 Any termination under clause D1.7 will be without prejudice to any right or remedy which has already accrued or subsequently accrues to the Authority.

D1.10 In exercising its rights or remedies under clause D1.7, the Authority shall act in a reasonable and proportionate manner having regard to such matters as the gravity of the conduct prohibited by clauses D1.1 or D1.2 and the identity of, the person performing that prohibited conduct.

## **D2 Discrimination**

D2.1 The Contractor shall not unlawfully discriminate either directly or indirectly on such grounds as age, disability, gender reassignment, marriage and civil partnerships, pregnancy and maternity, race, religion or belief, sex or sexual orientation and without prejudice to the generality of the foregoing the Contractor shall not unlawfully discriminate within the meaning and scope of the Equality Act 2010 or other relevant or equivalent legislation, or any statutory modification or re-enactment thereof.

D2.2 The Contractor shall take all reasonable steps to secure the observance of clause D2.1 by all Staff.

D2.3 The Contractor shall comply with the provisions of the Human Rights Act 1998.

## **D3 The Contracts (Rights of Third Parties) Act 1999**

A person who is not a party to the Contract shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of both Parties. This clause does not affect any right or remedy of any person which exists or is available apart from the Contracts (Rights of Third Parties) Act 1999 and does not apply to the Crown.

## **D4 Environmental Requirements**

D4.1 In delivering the Services, the Contractor shall comply at all times with the requirements set out in Schedule 7 (Sustainable Development Requirements) or such other requirements as notified by the Authority to the Contractor from time to time].

## **D5 Health and Safety**

D5.1 The Contractor shall promptly notify the Authority of any health and safety hazards which may arise in connection with the performance of its obligations under the Contract.

- D5.2 The Authority shall promptly notify the Contractor of any health and safety hazards which may exist or arise at the Authority's Premises and which may affect the Contractor in the performance of its obligations under the Contract.
- D5.3 While on the Authority's Premises, the Contractor shall comply with any health and safety measures implemented by the Authority in respect of Staff and other persons working there.
- D5.4 The Contractor shall notify the Authority immediately in the event of any incident occurring in the performance of its obligations under the Contract on the Premises where that incident causes any personal injury or damage to property which could give rise to personal injury.
- D5.5 The Contractor shall comply with the requirements of the Health and Safety at Work Act etc.1974 and any other acts, orders, regulations and codes of practice relating to health and safety, which may apply to Staff and other persons working on the Premises in the performance of its obligations under the Contract.
- D5.6 The Contractor shall ensure that its health and safety policy statement (as required by the Health and Safety at Work Act etc.1974) is made available to the Authority on request.

## **E.PROTECTION OF INFORMATION**

### **E1 Authority Data**

- E1.1 The Contractor shall not delete or remove any proprietary notices contained within or relating to the Authority Data.
- E1.2 The Contractor shall not store, copy, disclose, or use the Authority Data except as necessary for the performance by the Contractor of its obligations under this Contract or as otherwise expressly authorised in writing by the Authority.
- E1.3 To the extent that Authority Data is held and/or processed by the Contractor, the Contractor shall supply that data to the Authority as requested.
- E1.4 The Contractor shall take responsibility for preserving the integrity of Authority Data and preventing the corruption or loss of that data.
- E1.5 The Contractor shall perform secure back-ups of all Authority Data and shall ensure that up-to-date back-ups are stored off-site in accordance with the Contractor's Business Continuity Plan. The Contractor shall ensure that such back-ups are available to the Authority at all times upon request and are delivered to the Authority at no less than [three] Monthly intervals.
- E1.6 The Contractor shall ensure that any system or media on which the Contractor holds any Authority Data, including back-up data, is a

secure system that complies with the Security Policy detailed in Schedule 6 Appendix A.

- E1.7 If the Authority Data is corrupted, lost or sufficiently degraded as a result of the Contractor's default so as to be unusable, the Authority may:
- a) require the Contractor (at the Contractor's expense) to restore or provide for the restoration of the Authority Data or Personal Data and the Contractor shall do so as soon as practicable but not later than 10 days; and/or;
  - b) itself restore or provide for the restoration of the Authority Data or Personal Data, and shall be repaid by the Contractor any reasonable expenses incurred in doing so.
- E1.8 If at any time the Contractor suspects or has reason to believe that the Authority Data or Personal Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, then the Contractor shall notify the Authority immediately and inform the Authority of the remedial action the Contractor proposes to take.
- E1.9 In accordance with the DWP Offshoring Policy and while not in any way limiting any other provision of this Contract, the Contractor and any of its Sub-contractors, shall not process, host at or access Authority Data from premises outside the United Kingdom without the prior written consent of the Authority, and where the Authority gives consent, the Contractor shall comply with any reasonable instructions notified to it by the Authority in relation to the Authority Data in question.
- E1.10 Where the Authority has given its prior written consent to the Contractor to process, host or access Authority Data from premises outside the United Kingdom (in accordance with E1.9 of the Contract):
- a) the Contractor must notify the Authority (in so far as they are not prohibited by Law) where any Regulatory Bodies seek to gain or has gained access to such Authority Data;
  - b) the Contractor shall take all necessary steps in order to prevent any access to, or disclosure of, any Authority Data to any Regulatory Bodies outside the United Kingdom unless required by Law without any applicable exception or exemption."
- E1.11 Any breach by the Contractor of this clause E1 shall be a material breach for the purposes of clause H2 (Termination on Default) and shall entitle the Authority (at its absolute discretion) to exercise its rights under the corresponding provisions of clause H2 (Termination on Default).
- E1.12 In the event the Contractor is put into Liquidation as outlined in clause H1.1(b) and H1.1(c) or the Contract is terminated by the Authority pursuant to the provisions of the Contract relating to termination on insolvency in accordance with clause H1.1, the Contractor (or a



liquidator or provisional liquidator acting on behalf of the Contractor) shall at its own cost and at no cost to the Authority;

- a) conduct a full and thorough search for any electronic and paper records held by the Contractor which contain Authority Data/Information and Participant Personal Data/Information; in accordance with the Authority instructions;
- b) return all such records to the Authority in accordance with their instructions;
- c) permanently destroy all copies of any relevant electronic records; and
- d) provide written confirmation to the Authority that the actions outlined above in this paragraph have been completed.

E1.13 In the event of a Sub-contractor of the Contractor being in liquidation (in accordance with clause F1.2) then it is the responsibility of the Contractor to recover records held by the Sub-contractor and provide assurance to the Authority that they have been recovered.

E1.14 In the event the Contractor is put into A as outlined in clause H1.1(a) the Authority will work closely with the Administrator to ensure the Contractor is able to maintain Authority, Participant and other records they have created and held in accordance with clause E1 of this contract and maintain these standards in the safekeeping of Authority information, i.e. these records must be stored in accordance with Authority information assurance and HMG Cabinet Office information security standards.

E1.15 Whilst in Administration the duty of the Administrator is to help the Contractor trade. This may involve the Administrator seeking an organisation to buy up the Contractor. The assignment or novation of this contract to new ownership is not automatic and the Authority must be consulted (in accordance with clause F1.1) and prior approval obtained. Where the contract is assigned or novated with the Authority's prior approval, the contractor must provide the Authority with all the relevant information and records necessary for the assigned or novated contract to continue to be performed.

## **E2 Protection of Personal Data (Authority is Data Controller)**

E2.1 With respect to the Parties' rights and obligations under this Contract, the Parties agree that the Authority is the Data Controller and that the Contractor is the Data Processor.

E2.2 The Contractor shall:

- a) process the Personal Data only in accordance with instructions from the Authority (which may be specific instructions or instructions of a general nature as set out in this Contract as otherwise notified by the Authority to the Contractor during the Contract Period);

- b) process the Personal Data only to the extent, and in such manner, as is necessary for the provision of the Services or as is required by Law or any Regulatory Body;
- c) implement appropriate technical and organisational measures to protect the Personal Data against unauthorised or unlawful processing and against accidental loss, destruction, damage, alteration or disclosure. These measures shall be appropriate to the harm which might result from any of the above, having regard to the nature of the Personal Data which is to be protected.
- d) take reasonable steps to ensure the competence of any Staff who have access to the Personal Data;
- e) obtain prior written consent from the Authority in order to transfer the Personal Data to any Sub-contractors or agents for the provision of the Services;
- f) ensure that all Staff required to access the Personal Data are informed of the confidential nature of the Personal Data and comply with the obligations set out in this clause;
- g) ensure that none of the Staff publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Authority;
- h) notify the Authority within five (5) Working Days if it receives;
  - i) a request from a Data Subject to have access to that person's Personal Data; or
  - ii) a complaint or request relating to the Authority's obligations under the DPA;
- i) provide the Authority with full cooperation and assistance in relation to any complaint or request made, including by;
  - i) providing the Authority with full details of the complaint or request;
  - ii) complying with a data access request within the relevant timescales set out in the DPA and in accordance with the Authority's instructions;
  - iii) providing the Authority with any Personal Data it holds in relation to a Data Subject within the timescales required by the Authority; and
  - iv) providing the Authority with any other information requested by the Authority;
- j) permit the Authority or the Authority's representative (subject to reasonable and appropriate confidentiality undertakings), to inspect and audit the Contractor's Data Processing activities (and/or those of its agents, subsidiaries and Sub-contractors) and comply with all reasonable requests or directions by the Authority to enable the Authority to verify and/or procure that the Contractor is in full compliance with its obligations under this Contract;
- k) provide a written description of the technical and organisational methods employed by the Contractor for processing Personal Data within the timescales required by the Authority; and
- l) not process Personal Data outside the European Economic Area without the prior written consent of the Authority and, where the Authority consents to a transfer, to comply with:

- i) the obligations of a Data Controller under the Eighth Data Protection Principle set out in Schedule 1 of the DPA by providing an adequate level of protection to any Personal Data that is transferred; and
- ii) any reasonable instructions notified to it by the Authority.

E2.3 The Contractor shall comply at all times with the DPA and shall not perform its obligations under this Contract in such a way as to cause the Authority to breach any of its applicable obligations under the DPA.

E2.4 The Contractor shall indemnify and keep indemnified the Authority in full from and against all claims, proceedings, actions, damages, losses, penalties, fines, levies, costs and expenses and all loss of profits, business revenue or goodwill (whether direct or indirect) and all consequential or indirect loss howsoever arising out of, in respect of or in connection with, any breach by the Contractor (or any Sub-contractor) of this clause E2.

### **E3 Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989**

E3.1 The Contractor shall comply with, and shall ensure that its Staff comply with, the provisions of:

- a) the Official Secrets Acts 1911 to 1989; and
- b) Section 182 of the Finance Act 1989.

E3.2 Any breach by the contractor of this clause E3 shall be a material breach for the purposes of clause H2 (Termination on Default) and shall entitle the Authority (at its absolute discretion) to exercise its rights under the corresponding provisions of clause H2 (Termination on Default).

### **E4 Confidential Information**

E4.1 Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each Party shall:

- a) treat the other Party's Confidential Information as confidential and safeguard it accordingly; and
- b) not disclose the other Party's Confidential Information to any other person without the owner's prior written consent.

E4.2 Clause E4 shall not apply to the extent that;

- a) such disclosure is a requirement of Law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the Environmental Information Regulations pursuant to clause E5 (Freedom of Information);
- b) such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
- c) such information was obtained from a third party without obligation of confidentiality;

- d) such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or
  - e) it is independently developed without access to the other Party's Confidential Information.
- E4.3 The Contractor may only disclose the Authority's Confidential Information to the Staff who are directly involved in the provision of the Services and who need to know the information, and shall ensure that such Staff are aware of and shall comply with these obligations as to confidentiality.
- E4.4 The Contractor shall not, and shall procure that the Staff do not, use any of the Authority's Confidential Information received otherwise than for the purposes of this Contract.
- E4.5 At the written request of the Authority, the Contractor shall procure that members of Staff or such professional advisors or consultants identified by the Authority give a confidentiality undertaking before commencing any work in accordance with this Contract.
- E4.6 Nothing in this Contract shall prevent the Authority from disclosing the Contractor's Confidential Information:
- a) to any government department, any part of the Crown, or any other Contracting Body. All government departments, any part of the Crown or Contracting Bodies receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other government departments, other parts of the Crown or other Contracting Bodies 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, the Crown or any Contracting Body;
  - b) to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
  - c) to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
  - d) to any consultant, professional adviser, contractor, supplier or other person engaged by the Authority or any person conducting a Cabinet Office gateway review;
  - e) on a confidential basis for the purpose of the exercise of its rights under the agreement, including (but not limited to) for auditing purposes (Clause E9), to a body to novate, assign or dispose of its rights under the Agreement (Clause F1.8), to a replacement Contractor (Clause H6.2) and for the purpose of the examination and certification of the Authority's accounts; or
  - f) for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources.
- E4.7 The Authority shall use all reasonable endeavours to ensure that any government department, part of the Crown, Contracting Body,

employee, third party or Sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause E4 is made aware of the Authority's obligations of confidentiality.

- E4.8 Nothing in this clause E4 shall prevent either Party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other Party's Confidential Information or an infringement of Intellectual Property Rights.
- E4.9 Any breach by the Contractor of clauses E4.1-3 shall be a material breach for the purposes of clause H2 (Termination on Default) and shall entitle the Authority (at its absolute discretion) to exercise its rights under the corresponding provisions of clause H2 (Termination on Default).
- E4.10 Clauses E4.1-6 are without prejudice to the application of the Official Secrets Acts 1911 to 1989 to any Confidential Information.
- E4.11 The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. The Authority shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.
- E4.12 Notwithstanding any other term of this Contract, the Contractor hereby gives consent for the Authority to publish the Contract in its entirety (but with any information which is exempt from disclosure in accordance with the provisions of the FOIA redacted), including from time to time agreed changes to the Contract, to the general public.

## **E5 Freedom of Information**

- E5.1 The Contractor acknowledges that the Authority is subject to the requirements of the FOIA and the Environmental Information Regulations. The Contractor shall assist and cooperate with the Authority to enable the Authority to comply with its Information disclosure obligations.
- E5.2 The Contractor shall and shall procure that its Sub-contractors shall;
- a) transfer to the Authority all Requests for Information that it receives as soon as practicable and in any event within two (2) Working Days of receiving a Request for Information;
  - b) provide the Authority with a copy of all Information in its possession or power in the form that the Authority requires within five (5) Working Days (or such other period as the Authority may specify) of the Authority's request; and
  - c) provide all necessary assistance as reasonably requested by the Authority to enable the Authority to respond to the Request for Information within the time for compliance set out in section 10

of the FOIA or regulation 5 of the Environmental Information Regulations.

E5.3 The Authority shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether the Commercially Sensitive Information and/or any other Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.

E5.4 In no event shall the Contractor respond directly to a Request for Information unless expressly authorised in writing to do so by the Authority.

E5.5 The Contractor acknowledges that (notwithstanding the provisions of clause E5) the Authority may, acting in accordance with the Department for Constitutional Affairs' Code of Practice on the Discharge of the Functions of Public Authorities under section 45 of FOIA ("the Code"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Contractor or the Services;

- a) in certain circumstances without consulting the Contractor; or
- b) following consultation with the Contractor and having taken their views into account;

E5.6 Where E5.5 (a) applies the Authority shall, in accordance with any recommendations of the Code, take reasonable steps, where appropriate, to give the Contractor advanced notice, or failing that, to draw the disclosure to the Contractor's attention after any such disclosure.

E5.7 The Contractor shall ensure that all Information is retained for disclosure and shall permit the Authority to inspect such records as requested from time to time.

E5.8 The Contractor acknowledges that the Commercially Sensitive Information listed in the Commercially Sensitive Information Schedule is of indicative value only and that the Authority may be obliged to disclose it in accordance with clause E5.5.

## **E6 Publicity, Media and Official Enquiries**

E6.1 The Contractor shall not:

- a) make any press announcements or publicise this Contract or its contents in any way; or
- b) use the Authority's name or brand in any promotion or marketing or announcement of orders;

without the written consent of the Authority, which shall not be unreasonably withheld or delayed.

- E6.2 Both Parties shall take reasonable steps to ensure that their employees, agents, Sub-contractors, suppliers, professional advisors and consultants comply with clause E6.1.
- E6.3 Where applicable, each Party shall give the other advance notice of proposed visits to the Contractor's premises or any premises of its Sub-contractors (including Members of Parliament, members of the press and media) to observe the delivery of the Service(s) by the Contractor or its Sub-contractors.
- E6.4 If so requested by the Authority the notepaper and other written material of the Contractor and Sub-contractors relating to the delivery of the Services(s) shall carry only logos and markings approved by the Authority. This may include, but shall not be limited to, such banner or logo as the Authority shall use to identify the Service(s) from time to time. All publicity and marketing material produced by the Contractor (or its Sub-contractors) in relation to this Contract shall be submitted to the Authority for approval, and no such items shall be printed (other than for approval purposes) until such approval is received.

## **E7 Security**

- E7.1 The Authority shall be responsible for maintaining the security of the Authority premises in accordance with its standard security requirements. The Contractor shall comply with all security requirements of the Authority while on the Authority premises, and shall ensure that all Staff comply with such requirements.
- E7.2 The Contractor shall ensure that the Security Plan produced by the Contractor fully complies with the Security Policy.
- E7.3 The Contractor shall comply, and shall procure the compliance of its Staff, with the Security Plan and the Security Policy.
- E7.4 The Authority shall notify the Contractor of any changes or proposed changes to the Security Policy. Any changes shall be agreed in accordance with the procedure in clause F3.
- E7.5 Until and/or unless a change to the Contract Price is agreed by the Authority pursuant to clause E7.4 the Contractor shall continue to perform the Services in accordance with its existing obligations.

## **E8 Intellectual Property Rights**

- E8.1 Save as granted under the Contract, neither the Authority nor the Contractor shall acquire any right, title or interest in the other's pre-existing Intellectual Property Rights. The Contractor acknowledges that the Authority Data is the property of the Authority and the Authority hereby reserves all Intellectual Property Rights which may exist in the Authority Data.
- E8.2 The Authority shall grant the Contractor a non-exclusive, revocable, free licence for the Contract Period to use the Authority's Intellectual Property Rights where it is necessary for the Contractor to supply the

Services. The Contractor shall have the right to sub license the Sub-Contractor's use of the Authority's Intellectual Property Rights. At the end of the Contract Period the Contractor shall cease use, and shall ensure that any Sub-Contractor ceases use of the Authority's Intellectual Property Rights.

E8.3 The Contractor shall grant the Authority a non-exclusive, revocable, free licence for the Contract Period to use the Contractor's Intellectual Property Rights where it is necessary for the Authority in the provision of the Services. At the end of the Contract Period the Authority shall cease use of the Contractor's Intellectual Property Rights.

E8.4 All Intellectual Property Rights in any guidance, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other material:

- a) furnished to or made available to the Contractor by or on behalf of the Authority shall remain the property of the Authority; or
- b) prepared by or for the Contractor on behalf of the Authority for use, or intended use, in relation to the performance by the Contractor of its obligations under the Contract shall belong to the Authority;

and the Contractor shall not, and shall ensure that the Staff shall not, (except when necessary for the performance of the Contract) without prior Approval, use or disclose any such Intellectual Property Rights.

E8.5 The Contractor shall obtain approval before using any material, in relation to the performance of its obligations under the Contract which is or may be subject to any third party Intellectual Property Rights. The Contractor shall ensure that the owner of those rights grants to the Authority a non-exclusive licence, or if itself a licensee of those rights, shall grant to the Authority an authorised sub-licence, to use, reproduce, modify, develop and maintain the material. Such licence or sub-licence shall be non-exclusive, perpetual, royalty-free and irrevocable. That licence or sub-licence shall also include the right for the Authority to sub-license, transfer, novate or assign to other Contracting Bodies, the Replacement Contractor or to any other third party supplying services to the Authority.

E8.6 The Contractor shall not infringe any Intellectual Property Rights of any third party in supplying the Services. The Contractor shall, during and after the Contract Period, indemnify and keep indemnified and hold the Authority and the Crown harmless from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the Authority or the Crown may suffer or incur as a result of or in connection with any breach of this clause, except where any such claim arises from;

- a) items or materials based upon designs supplied by the Authority;  
or



- b) the use of data supplied by the Authority which is not required to be verified by the Contractor under any provision of the Contract.

E8.7 The Authority shall notify the Contractor in writing of any claim or demand brought against the Authority for infringement or alleged infringement of any Intellectual Property Right in materials supplied or licensed by the Contractor. The Contractor shall at its own expense conduct all negotiations and any litigation arising in connection with any claim for breach of Intellectual Property Rights in materials supplied or licensed by the Contractor, provided always that the Contractor:

- a) shall consult the Authority on all substantive issues which arise during the conduct of such litigation and negotiations;
- b) shall take due and proper account of the interests of the Authority; and
- c) shall not settle or compromise any claim without the Authority's prior written consent (not to be unreasonably withheld or delayed).

E8.8 The Authority shall at the request of the Contractor provide to the Contractor all reasonable assistance for the purpose of contesting any claim or demand made or action brought against the Authority or the Contractor for infringement or alleged infringement of any Intellectual Property Right in connection with the performance of the Contractor's obligations under the Contract. The Contractor shall indemnify the Authority for all costs and expenses (including, but not limited to, legal costs and disbursements) incurred in doing so. Such costs and expenses shall not be repaid where they are incurred in relation to a claim, demand or action which relates to the matters in clause E8.4 (a) or (b).

E8.9 The Authority shall not make any admissions which may be prejudicial to the defence or settlement of any claim, demand or action for infringement or alleged infringement of any Intellectual Property Right by the Authority or the Contractor in connection with the performance of its obligations under the Contract.

E8.10 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 Authority and, at its own expense and subject to the consent of the Authority (not to be unreasonably withheld or delayed), use its best endeavours to:

- a) modify any or all of the Services without reducing the performance or functionality, or substitute alternative Services of equivalent performance and functionality, so as to avoid the infringement or the alleged infringement, provided that the provisions herein shall apply with any necessary changes to such modified Services or to the substitute Services; or

- b) procure a licence to use and supply the Services, which are the subject of the alleged infringement, on Terms which are acceptable to the Authority;

and in the event that the Contractor is unable to comply with clauses E8.8 (a) or (b) within twenty (20) Working Days of receipt of the Contractor's notification the Authority may terminate the Contract with immediate effect by notice in writing.

## **E9 Audit and the National Audit Office**

- E9.1 The Contractor shall keep and maintain until six (6) years after the end of the Contract Period, 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, all expenditure reimbursed by the Authority, and all payments made by the Authority. The Contractor shall on request afford the Authority or the Authority's representatives such access to those records as may be requested by the Authority in connection with the Contract.
- E9.2 Without prejudice to the foregoing, where the Authority funds the delivery of this Contract using European Social Fund (ESF) funds or in its role as a Co-financing Organisation uses this contract as a match for ESF provision, either at the outset of the contract or at any point during the life of the contract, the Contractor and any Sub-contractors appointed by it shall be bound by the corresponding additional requirements detailed within relevant Contractor Guidance, including the maintaining of records until at least.
- E9.3 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 purpose of his financial audit of the Authority and for carrying out examinations into the economy, efficiency and effectiveness with which the authority has used its resources. The Contractor shall provide such explanations as are reasonably required for these purposes. This clause does not constitute a requirement or agreement for the examination, certification or inspection of the accounts of the Contractor under Section 6(3) (d) and (5) of the National Audit Act 1983.
- E9.4 Except where an audit is imposed on the Authority by a Regulatory body, the Authority may at any time during the Contract Period and for a period of 12 months after the Contract Period, conduct an audit for the following purposes:
  - a) to verify the accuracy of any charges that become due and payable by the Authority to the Contractor in respect of the Services (and proposed or actual variations to them in accordance with the Contract), or the costs of all suppliers (including Sub-Contractors) of the Services;
  - b) to review the integrity, confidentiality and security of the Authority Data;

- c) to review the Contractor's compliance with the DPA, FOIA and other Law applicable to the Services;
- d) to review the Contractor's compliance with its obligations under the Contract;
- e) to review any records created during the provision of the Services;
- f) to review any books of account kept by the Contractor in connection with the provision of the Services;
- g) to carry out the audit and certification of the Authority's accounts;
- h) to carry out an examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Authority has used its resources; and
- i) to verify the accuracy and completeness of any management information delivered or required by this agreement.

E9.5 The Authority shall use its reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Contractor or delay the provision of the Services.

E9.6 Subject to the Authority's obligations of confidentiality, the Contractor shall on demand provide the Authority, the Comptroller and Auditor General and any relevant Regulatory Body (and/or their agents or representatives) with all reasonable co-operation, access and assistance in relation to each audit, including:

- a) all Information requested within the permitted scope of the audit;
- b) reasonable access to any Premises or sites controlled by the Contractor and to any equipment used (whether exclusively or non-exclusively) in the performance of the Services;
- c) access to the Staff;
- d) access to the Contractor Software and ICT Environment; and
- e) accommodation (including desks) at the Premises as reasonably required to conduct the audit.

E9.7 The Authority shall endeavour to (but is not obliged to) provide at least fifteen (15) calendar days notice of its intention to conduct an audit.

E9.8 If an audit identifies that:

- a) the Contractor has committed a Material Default; the Contractor shall correct such Default as soon as reasonably practicable and implement a remedial plan;
- b) the Authority has overpaid any charges that become due and payable by the Authority to the Contractor in respect of the Services, the Contractor shall pay to the Authority the amount overpaid within twenty (20) Working Days. The Authority may deduct the relevant amount from the charges if the Contractor fails to make this payment; and
- c) the Authority has underpaid any charges that become due and payable by the Authority to the Contractor in respect of the

Services, the Authority shall pay to the Contractor the amount of the under-payment less the cost of audit incurred by the Authority if this was due to a Default by the Contractor within twenty (20) Working Days.

- E9.9 Without prejudice to clause 9.1, where the Authority funds the delivery of this Contract using European Social Fund (ESF) funds or in its role as a Co-financing Organisation uses this contract as a match for ESF provision, either at the outset of the contract or at any point during the life of the contract, the Contractor and any Sub-contractors appointed by it shall be bound by the corresponding additional requirements detailed within relevant Contractor Guidance, including the maintaining of records until at least 31 December 2023.

## **E10 Exceptional Audits**

- E10.1 The Contractor shall permit the Authority and/or its appointed representative's access to conduct an audit (an "Exceptional Audit") of the Contractor in any of the following circumstances:

- a) actual or suspected impropriety or Fraud;
- b) there are reasonable grounds to suspect that:
  - i) the Contractor is in Default under the Contract;
  - ii) the Guarantor may be in default of the Guarantee;
  - iii) the Contractor is in financial distress or at risk of insolvency or bankruptcy, or any fact, circumstance or matter which is reasonably likely to cause the Contractor financial distress and result in a risk of the Contractor becoming insolvent or bankrupt has occurred; or
  - iv) a breach of the Security Policy or the Security Plan has occurred under the Contract,

(each an "Exceptional Circumstance").

- E10.2 If the Authority notifies the **Contractor** of an Exceptional Circumstance and that it wishes to conduct an Exceptional Audit, the Contractor shall provide access in accordance with Clause E9.5 as soon as reasonably practicable after such request and in any event within forty eight (48) hours.

## **E11 Audit Costs**

- E11.1 The Parties agree that they shall bear their own respective costs and expenses incurred in respect of compliance with their obligations under Clauses E9.3 to E10.2, unless an audit identifies a material Default by the Contractor in which case the Contractor shall reimburse:

- a) the Authority for all the Authority's identifiable, reasonable costs and expenses properly incurred in the course of the audit; and
- b) where the Authority, a Regulatory Body, or the Comptroller and Auditor General appoint another Contracting Body to conduct an audit under this Clause, the Authority shall be able to recover on demand from the Contractor the identifiable,

reasonable and properly incurred costs and expenses of the relevant Contracting Body.

## **E12 Malicious Software**

E12.1 The Contractor shall ensure anti-virus software is updated as frequently as is necessary in order to provide protection against the latest threats and delete Malicious Software from the ICT Environment.

E12.2 Notwithstanding clause E12.1, if Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Authority Data, assist each other to mitigate any losses and to restore the Services to their desired operating efficiency.

E12.3 Any cost arising out of the actions of the Parties taken in compliance with the provisions of clause E13.2 shall be borne by the Parties as follows:

- a) by the Contractor where the Malicious Software originates from the Contractor Software, the Third Party Software or the Authority Data (whilst the Authority Data was under the control of the Contractor); and
- b) by the Authority if the Malicious Software originates from the Authority Software, the Third Party Software or the Authority Data (whilst the Authority Data was under the control of the Authority).

## **F.CONTROL OF THE CONTRACT**

### **F1 Transfer and Sub-Contracting**

F1.1 Except where F1.4 and F1.5 applies, the Contractor shall not assign, sub-contract or in any other way dispose of the Contract or any part of it without prior Approval. Sub-contracting any part of the Contract shall not relieve the Contractor of any of its obligations or duties under the Contract.

F1.2 The Contractor shall be responsible for the acts and omissions of its Sub-contractors as though they are its own.

F1.3 Where the Authority has consented to the placing of sub-contracts, copies of each sub-contract shall, at the request of the Authority, be sent by the Contractor to the Authority if requested within ten (10) Working Days.

F1.4 Notwithstanding clause F1.1, the Contractor may assign to a third party ("**the Assignee**") the right to receive payment of the Contract Price or any part thereof due to the Contractor under this Contract. Any assignment under this clause F1.4 shall be subject to:

- a) reduction of any sums in respect of which the Authority exercises its right of recovery under clause C3 Recovery of Sums Due;

- b) all related rights of the Authority under the Contract in relation to the recovery of sums due but unpaid; and
- c) the Authority receiving notification under both clauses F1.5 and F1.6.

F1.5 In the event that the Contractor assigns the right to receive the Contract Price under clause F1.4, the Contractor or the Assignee shall notify the Authority in writing of the assignment and the date upon which the assignment becomes effective.

F1.6 The Contractor shall ensure that the Assignee notifies the Authority of the Assignee's contact information and bank account details to which the Authority shall make payment at least 5 Working Days prior to submission of the relevant invoice.

F1.7 The provisions of clause C2 (Payment and Contract Price) shall continue to apply in all other respects after the assignment and shall not be amended without the Approval of the Authority.

F1.8 Subject to clause F1.10, the Authority may assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof to:

- a) any Contracting Body;
- b) any other body established by the Crown or under statute in order substantially to perform any of the functions that had previously been performed by the Authority; or
- c) any private sector body which substantially performs the functions of the Authority,

provided that any such assignment, novation or other disposal shall not increase the burden of the Contractor's obligations under the Contract.

F1.9 Any change in the legal status of the Authority such that it ceases to be a Contracting Body shall not, subject to clause F1.8, affect the validity of the Contract. In such circumstances, the Contract shall continue in full force and effect for bind and inure to the benefit of any successor body to the Authority.

F1.10 If the rights and obligations under the Contract are assigned, novated or otherwise disposed of pursuant to clause F1.8 to a body which is not a Contracting Body or if there is a change in the legal status of the Authority such that it ceases to be a Contracting Body (in the remainder of this clause both such bodies being referred to as the "**Transferee**"):

- a) the rights of termination of the Authority in clauses H1 (Termination on Insolvency and Change of Control) and H2 (Termination on Default) shall be available to the Contractor in the event of respectively, the bankruptcy or insolvency, or Default of the Transferee; and

- b) the Transferee shall only be able to assign, novate or otherwise dispose of its rights and obligations under the Contract or any part thereof with the prior consent in writing of the Contractor.

F1.11 The Authority may disclose to any Transferee any Confidential Information of the Contractor which relates to the performance of the Contractor's obligations under the Contract. In such circumstances the Authority shall authorise the Transferee to use such Confidential Information only for purposes relating to the performance of the Contractor's obligations under the Contract and for no other purpose and shall take all reasonable steps to ensure that the Transferee gives a confidentiality undertaking in relation to such Confidential Information.

F1.12 Each Party shall at its own cost and expense carry out, or use all reasonable endeavours to ensure it carries out whatever further actions (including the execution of further documents) the other Party reasonably requires from time to time for the purpose of giving that other party the full benefit of the provisions of the Contract.

## **F2 Waiver**

F2.1 The failure of either Party to insist upon strict performance of any provision of the Contract, or the failure of either Party to exercise, or any delay in exercising, any right or remedy shall not constitute a waiver of that right or remedy and shall not diminish or affect any other cause a diminution of the obligations established by the Contract.

F2.2 No waiver shall be effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with clause A5 (Notices).

F2.3 A waiver of any right or remedy arising from a breach of the Contract shall not constitute a waiver of any right or remedy arising from any other or subsequent breach of the Contract.

## **F3 Variation**

F3.1 The Authority may from time to time during the Contract Period, by written notice to the Contractor, request a variation of the Contract provided that such variation does not amount to a material change to it. Such a change is hereinafter called a "Variation".

F3.2 Following such notice, the Authority and the Contractor shall enter into good faith negotiations to agree the Variation and any variation in the Contract Price. Any variation in the contract price shall, in all the circumstances, properly and fairly reflect the nature and extent of the proposed Variation. The Parties shall negotiate for:

- a) Not more than thirty (30) Working Days from the date of the written notice to the Contractor; or
- b) Such shorter period as the Authority directs where, in the reasonable opinion of the Authority, the Variation is necessary as a matter of urgency.

F3.3 If the Parties are unable to agree such matters within the relevant period set out in clause F3.2, the Authority shall by written notice to the Contractor:

- a) agree that the Parties shall continue to perform their obligations under the Contract without the Variation; or
- b) if the Parties, acting reasonably, are unable to agree the Variation in the Contract Price referred to in clause F3.3, the matter shall be referred to dispute resolution under clause I.2. Pending resolution of the matter the Contractor shall nonetheless implement and comply with the Variation.
- c) terminate the Contract with immediate effect, except where the Contractor has already delivered all or part of the Services or where the Contractor can show evidence of substantial work being carried out to fulfil the requirements of the specification; and in such case the Parties shall attempt to agree upon a resolution to the matter. Where a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution Procedure detailed at clause I2

F3.4 If the Parties agree the Variation and any variation in the Contract Price within the relevant period set out in clause F3.2, the Contractor shall carry out such Variation and be bound by the same provisions so far as is applicable, as though such Variation was stated in the Contract.

F3.5 Any such Variation shall be communicated in writing by the Authority to the Contractor in accordance with clause A5 (Notices). All Variations shall form an addendum to the Contract.

#### **F4 Severability**

If any provision of the Contract is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed and the remainder of the provisions of the Contract shall continue in full force and effect as if the Contract had been executed with the invalid, illegal or unenforceable provision eliminated.

#### **F5 Remedies in the Event of Inadequate Performance**

F5.1 Without prejudice to clauses B4.1-B4.4, the Authority shall take all reasonable steps to investigate any complaint it receives regarding:

- a) the standard of Services;
- b) the manner in which any Services have been supplied,
- c) the manner in which work has been performed,
- d) the materials or procedures the Contractor uses; or
- e) any other matter connected with the performance of the Contractor's obligations under the Contract.

F5.2 Without prejudice to its other rights and remedies under the Contract, the Authority may, in its sole discretion, uphold the complaint and take further action in accordance with clause F5.23 or clause H2 (Termination on Default) of the Contract.



F5.3 In the event that the Authority reasonably believes that there has been a Default which is a material breach of the Contract by the Contractor, then the Authority may, without prejudice to its rights and remedies under the Contract including under clause H2 (Termination on Default), do any of the following:

- a) require the Contractor to submit a performance improvement plan detailing why the breach has occurred and how it will be remedied within ten (10) Working Days or such other period of time as the Authority may direct;
- b) without terminating the Contract, itself supply or procure the supply of all or part of the Services until such time as the Contractor has demonstrated to the reasonable satisfaction of the Authority that the Contractor can once more be able to supply all or such part of the Services in accordance with the Contract;
- c) without terminating the whole of the Contract, terminate the Contract in respect of part of the Services only (whereupon a corresponding reduction in the Contract Price shall be made) and thereafter itself supply or procure a third party to supply such part of the Services; or
- d) terminate, in accordance with clause H2 (Termination on Default), the whole of the Contract.

F5.4 Without prejudice to its rights under clause C3 Recovery of Sums Due the Authority may charge the Contractor for any costs reasonably incurred and any reasonable administration costs in respect of the supply of any part of the Services by the Authority or a third party to the extent that such costs exceed the payment which would otherwise have been payable to the Contractor for such part of the Services and provided that the Authority uses its reasonable endeavours to mitigate any additional expenditure in obtaining replacement Services.

F5.5 If the Contractor fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the Authority shall 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 ten (10) Working Days or such other period of time as the Authority may direct.

F5.6 In the event that:

- a) the Contractor fails to comply with clause F5.5 above and the failure is materially adverse to the interests of the Authority or prevents the Authority from discharging a statutory duty; or
- b) the Contractor persistently fails to comply with clause F5.5,

the Authority may terminate the Contract with immediate effect by notice in writing.

**F6 Remedies Cumulative**

Except as otherwise expressly provided for by the Contract, all remedies available to either Party for breach of the Contract are cumulative and may be exercised concurrently or separately. The exercise of any one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.

**F7 Monitoring of Contract Performance**

The Contractor shall comply with the monitoring arrangements set out in the Monitoring Requirements Schedule including, but not limited to, providing such data and information as the Contractor may be required to produce under the Contract.

**F8 Financial Assurance**

F8.1 The Contractor is required to disclose immediately to the Authority any material changes to the organisation that impacts on its ongoing financial viability including details of the revenue replacement strategy and impact awareness on the organisation's profitability and stability where significant contracts are due to end.

F8.2 The Contractor is required to notify the Authority immediately of proposed changes to the organisational control or group structure, proposed mergers or acquisitions or proposed changes to the Contractor's financial viability.

F8.3 Only where requested by the Authority, the Contractor is required to provide any financial information which could include but is not limited to a copy of the Annual Accounts and Annual Returns.

F8.4 If requested by The Authority, where a Parent Company Guarantee has been provided, the Contractor is required to provide the documents detailed in clause F8.3 for the Parent Company, including a translation and conversion (Profit and Loss, Balance Sheet and key Balance Sheet Notes) into £GB, stating the conversion rate used.

**F9 Extension of Initial Contract Period**

F9.1 The Authority may, by giving written notice to the Contractor not less than 3 Month(s) prior to the last day of the Initial Contract Period, extend the Contract for a further period of up to 6 Months. The provisions of the Contract will apply (subject to any Variation or adjustment to the Contract Price pursuant to clause C3 Price adjustment on extension of the Initial Contract Period] throughout any such extended period.

**F10 Entire Agreement**

F10.1 The Contract constitutes the entire agreement between the Parties in respect of the matters dealt with therein. The Contract supersedes all prior negotiations between the Parties and all representations and undertakings made by one Party to the other, whether written or oral, with the exception that this clause shall not exclude liability in respect of any Fraud or fraudulent misrepresentation.

F10.2 Each of the Parties acknowledges and agrees that in entering into the Contract it does not rely on, and shall have no remedy in respect of, any statement, representation, warranty or undertaking (whether negligently or innocently made) other than as expressly set out in the Contract. The only remedy available to either Party for any such statements, representation, warranty or understanding shall be for breach of contract under the terms of the Contract.

F10.3 In the event of, and only to the extent of, any conflict between the clauses of the Contract, any document referred to in those clauses and the Schedules, the conflict shall be resolved in accordance with the following order of precedence:

- 1) the clauses of the Contract;
- 2) the Schedules; and
- 3) any other document(s) referred to in the clauses of the Contract.

#### **F11 Counterparts**

The Contract may be executed in counterparts each of which when executed and delivered shall constitute an original but all counterparts together shall constitute one and the same agreement.

### **G.LIABILITIES**

#### **G1 Liability, Indemnity and Insurance**

G1.1 Neither Party excludes or limits liability to the other Party for:

- a) death or personal injury caused by its negligence;
- b) fraud;
- c) fraudulent misrepresentation; or
- d) any Default of any obligations implied by Section 2 of the Supply of Goods and Services Act 1982.

G1.2 Subject to clause G1.3, the Contractor shall indemnify the Authority and keep the Authority indemnified fully:

- a) in respect of any personal injury or loss of or damage to tangible property incurred by the Authority or its employees and agents to the extent that such personal injury or loss of property is directly caused by any Default of the Contractor, its employees, agents or Sub-contractors or by circumstances within its or their control in connection with the performance or purported performance of the Contract; and
- b) against all claims, proceedings, actions, damages, costs, expenses (including but not limited to legal costs and disbursements on a solicitor and client basis) and any other liabilities in respect of any personal injury or damage arising from or incurred by reason of the use of the Services by any Participant; and
- c) against all claims, proceedings, actions, damages, costs, expenses (including but not limited to legal costs and disbursements) which may arise out of, or in consequence of:

- (i) the supply (or the late or purported supply), of the Services;
- (ii) the performance or non-performance by the Contractor of its obligations under the Contract;
- (iii) the presence of the Contractor or any Staff on the Premises, including financial loss arising from any advice given or omitted to be given by the Contractor; or
- (iv) any other loss which is caused directly or indirectly by any act or omission of the Contractor.

G1.3 The Contractor shall not be responsible for any injury, loss, damage, cost or expense if and to the extent that it is caused by the negligence or wilful misconduct of the Authority or by Default by the Authority of its obligations under the Contract.

G1.4 Subject to clause G1.3 responsibility for the control, management and supervision of all Participants shall rest entirely with the Contractor subject to the Participant complying with all reasonable instructions and directions which the Contractor may issue to the Participant from time to time. The Authority shall not be liable for any personal injury, disease or death, or loss or damage whatsoever caused, by any act or omission of a Participant.

G1.5 Subject always to clause G1.1 and without prejudice to clause H2, the liability of either Party for Defaults shall be subject to the following financial limits:

- a) the aggregate liability of either Party for Defaults that result in direct loss of or damage to the property of the other under or in connection with the Contract shall in no event exceed the greater of £250,000 (two hundred and fifty thousand pounds) or the contract price paid or payable by the Authority; and
- b) the annual aggregate liability under the Contract of either Party for all Defaults (including any liability incurred under G1.5a but excluding any liability under G1.5c) shall in no event exceed the greater of £250,000 (two hundred and fifty thousand pounds) or the Contract Price paid or payable by the Authority; and
- c) The aggregate liability of the Contractor under clause E8.3 (Intellectual Property Rights), which for the avoidance of doubt shall operate in addition to the annual aggregate liability incurred under G1.5b) shall in no event exceed the greater of £250,000 (two hundred and fifty thousand pounds) or the contract price paid or payable by the Authority.

G1.6 Subject always to clause E2.4, G1.1 and G2, in no event shall either Party be liable to the other for any:

- a) loss of profits, business, revenue or goodwill; and
- b) indirect or consequential loss or damage.

G1.7 The Contractor shall effect and maintain with a reputable insurance company a policy or policies of insurance providing an adequate level

of cover in respect of all risks which may be incurred by the Contractor, arising out of the Contractor's performance of its obligations under the Contract, including death or personal injury, loss of or damage to property or any other loss. Such policies shall include cover in respect of any financial loss arising from any advice given or omitted to be given by the Contractor. Such insurance shall be maintained for the duration of the Contract Period and for a minimum of six (6) years following the expiration or earlier termination of the Contract.

G1.8 The Contractor shall hold employer's liability insurance in respect of Staff in accordance with any legal requirement from time to time in force.

G1.9 The Contractor shall give the Authority, on request, copies of all insurance policies referred to in this clause or a broker's verification of insurance to demonstrate that the appropriate cover is in place, together with receipts or other evidence of payment of the latest premiums due under those policies.

G1.10 If, for whatever reason, the Contractor fails to give effect to and maintain the insurances required by the provisions of the Contract the Authority may make alternative arrangements to protect its interests and may recover the costs of such arrangements from the Contractor.

G1.11 The provisions of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract. 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 referred to in clause G1.2.

## **G2 Warranties and Representations**

G2.1 The Contractor warrants and represents that:

- a) 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;
- b) in entering the Contract it has not committed any Fraud;
- c) as at the Commencement Date, all information contained in the Tender remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the Authority prior to execution of the Contract;
- d) 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 have a material adverse effect on its ability to perform its obligations under the Contract;
- e) 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;

- f) no proceedings or other steps have been taken and not discharged (nor, to the best of its knowledge, are threatened) for the winding up of the Contractor or for its dissolution or for the appointment of a receiver, administrative receiver, liquidator, manager, administrator or similar officer in relation to any of the Contractor's assets or revenue;
- g) 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;
- h) in the three (3) years prior to the date of the Contract:
  - (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.

### **G3 Deed of Guarantee**

G3.1 This Contract is conditional upon the Contractor procuring that the Guarantor shall:

- a) execute and deliver to the Authority the Guarantee; and
- b) deliver to the Authority a certified copy of the board minutes of the Guarantor approving the execution of the Guarantee.

G3.2 On satisfaction of clause G4.1, the Authority shall promptly notify the Contractor that those conditions have been satisfied.

G3.3 The conditions specified in this clause G4 are inserted solely for the Authority's benefit. The Authority may waive them, in whole or in part and with or without conditions, without prejudicing the Authority's right to require subsequent fulfilment of such conditions.

G3.4 For the avoidance of doubt, if clause G4.1 has not been satisfied, on or before [**Insert** - date] this Contract shall not take effect].

## **H.DEFAULT, DISRUPTION AND TERMINATION**

### **H1 Termination on Insolvency and Change of Control**

H1.1 The Authority may terminate the Contract with immediate effect by notice in writing where the **Contractor is a company** and in respect of the Contractor:

- a) 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;

- b) 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);
- c) a petition is presented for its winding up (which is not dismissed within fourteen (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;
- d) a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;
- e) 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;
- f) it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;
- g) being a "small company" within the meaning of section 382(3) of the Companies Act 2006, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- h) any event similar to those listed in H1.1 (a)-(g) occurs under the law of any other jurisdiction.

H1.2 The Contractor shall notify the Authority immediately if the Contractor undergoes a change of control within the meaning of section 1124 of the Corporation Tax Act 2010 ("Change of Control"). The Authority may terminate the Contract by notice in writing with immediate effect within six (6) Months of:

- a) being notified that a Change of Control has occurred; or
- b) where no notification has been made, the date that the Authority becomes aware of the Change of Control;

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

H1.3 The Authority may terminate the Contract with immediate effect by notice in writing where the **Contractor is an individual** and:

- a) 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;
- b) a petition is presented and not dismissed within fourteen (14) days or order made for the Contractor's bankruptcy;
- c) 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;
- d) 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;

- e) a creditor or encumbrancer attaches or takes possession of, or a distress, execution, seizure 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 fourteen (14) days;
- f) he dies or is adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Health Act 1983; or
- g) he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of the business.

H1.4 The Authority may terminate the Contract with immediate effect by notice in writing where the **Contractor is a partnership** and:

- a) 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;
- b) it is for any reason dissolved;
- c) 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;
- d) a receiver, or similar officer is appointed over the whole or any part of its assets;
- e) the partnership is deemed unable to pay its debts within the meaning of section 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or
- f) any of the following occurs in relation to any of its partners:
  - (i) an application for an interim order is made pursuant to Section 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;
  - (ii) a petition is presented for his bankruptcy; or
  - (iii) a receiver, or similar officer is appointed over the whole or any part of his assets.

H1.5 The Authority may terminate the Contract with immediate effect by notice in writing where the **Contractor is a limited liability partnership** and:

- a) 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;
- b) it is for any reason dissolved;
- c) 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;
- d) 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;



- e) 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;
  - f) a receiver, or similar officer is appointed over the whole of any part of its assets;
  - g) it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986; or
  - h) a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986.
- H1.6 References to the Insolvency Act 1986 in clause H1.5 shall be construed as being references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.

## **H2 Termination on Default**

H2.1 The Authority may terminate the Contract by written notice to the Contractor with immediate effect if the Contractor commits a Default and if:

- a) the Contractor has not remedied the Default to the satisfaction of the Authority within twenty five (25) Working Days, or such other period as may be specified by the Authority, after issue of a written notice specifying the Default and requesting it to be remedied;
- b) the Default is not, in the opinion of the Authority, capable of remedy; or
- c) the Default is a Material Breach of the contract.

H2.2 Without prejudice to any other rights or remedies that the Authority has under the Contract (including without limitation clause B14 Minimum Performance Levels and Minimum Service Levels and the provisions of clause H1 or H2.1, where the Authority considers that the Contractor has committed a Persistent Breach in relation to the Contract or any part thereof (including any part of the Services), the Authority shall be entitled to serve a written notice (a “**Formal Warning Notice**”) on the Contractor:

- a) specifying that it is a Formal Warning Notice;
- b) giving details of the Persistent Breach; and
- c) stating that if the Persistent Breach recurs two or more times within a three (3) Month period after the date of service of the Formal Warning Notice, this may result in a termination of the Contract or that part of the Services affected by such Persistent Breach.

H2.3 If:

- a) twenty (20) Working Days after service of a Formal Warning Notice, the Contractor has failed to demonstrate to the the Authority’s satisfaction that the Persistent Breach specified has not continued and that the Contractor has put in place measures to ensure that such Persistent Breach does not recur; or

- b) within a three (3) Month period after the date of service of the Formal Warning Notice, the Contractor has failed to demonstrate to the satisfaction of the Authority that the Persistent Breach specified has not recurred [two] or more times within such three (3) month period and that the Contractor has put in place measures to ensure that such Persistent Breach does not recur;

then the Authority may deem such failure shall be a Default which is a Material Breach of the Contract not capable of remedy for the purposes of clause H2.1 (b).

H2.4 In the event that 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. The Contractor shall reimburse the Authority in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

H2.5 If the Authority fails to pay the Contractor undisputed sums of money when due, the Contractor shall notify the Authority in writing of such failure to pay. If the Authority fails to pay such undisputed sums within ninety (90) Working Days of the date of such written 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 Authority exercising its rights under clause C3 Recovery of Sums Due.

### **H3 Break**

H3.1 The Authority shall have the right to terminate the Contract at any time by giving three (3) Months' written notice to the Contractor. The Authority may extend the period of notice at any time before it expires, subject to agreement on the level of Services to be provided by the Contractor during the period of extension.

H3.2 On the expiry or termination of this Contract or any part thereof:

- a) the Contractor shall repay forthwith to the Authority any moneys paid up to and including such date of termination other than moneys in respect of the Service(s) or part thereof properly performed in accordance with this Contract;
- b) the Contractor shall cease all use of all the Authority's Intellectual Property Rights and shall return or destroy as the Authority requires, all documents and materials (including those in electronic format) incorporating or referring to the same.

### **H4 Consequences of Expiry or Termination**

H4.1 Where the Authority terminates the Contract under clause F5 (Remedies in the Event of Inadequate Performance) or clause H2 (Termination on Default) and then makes other arrangements for the supply of Services, the Authority may recover from the Contractor the cost reasonably incurred of making those other arrangements and any additional expenditure incurred by the Authority throughout the remainder of the Contract Period. The Authority shall take all

reasonable steps to mitigate such additional expenditure. Where the Contract is terminated under clause F5 or clause H2, no further payments shall be payable by the Authority to the Contractor until the Authority has established the final cost of making those other arrangements.

H4.2 Subject to clause H4.3, where the Authority terminates the Contract under clause H3 (Break), the Authority shall indemnify the Contractor against any commitments, liabilities or expenditure which would otherwise represent an unavoidable loss by the Contractor by reason of the termination of the Contract, provided that the Contractor takes all reasonable steps to mitigate such loss. Where the Contractor holds insurance, the Contractor shall reduce its unavoidable costs by any insurance sums available. The Contractor shall submit a fully itemised and costed list of such Loss, with supporting evidence, of losses reasonably and actually incurred by the Contractor as a result of termination under clause H3. Any payment paid by the Authority in accordance with this clause H4.2 shall be in full and final settlement of any claim, demand and/or proceedings of the Contractor in relation to any termination by the Authority pursuant to clause H3. The Contractor shall be excluded from all other rights and remedies it would otherwise have been in respect of any such termination.

H4.3 The Authority shall not be liable under clause H4.2 to pay any sum which:

- a) was claimable under insurance held by the Contractor, and the Contractor has failed to make a claim on its insurance, or has failed to make a claim in accordance with the procedural requirements of the insurance policy;
- b) when added to any sums paid or due to the Contractor under the Contract, exceeds the total sum that would have been payable to the Contractor if the Contract had not been terminated prior to the expiry of the Contract Period; or
- c) is a claim by the Contractor for loss of profit, due to early termination of the Contract.

H4.4 On the expiry or termination of this Contract or any part thereof:

- a) the Contractor shall repay at once to the Authority any moneys paid up to and including such date of termination other than moneys in respect of the Service(s) or part thereof properly performed in accordance with this Contract; and
- b) the Contractor shall cease all use of all the Authority's Intellectual Property Rights, generated Intellectual Property Rights, and any trade mark and shall return or destroy as the Authority requires, all documents and materials (including those in electronic format) incorporating or referring to the same.

H4.5 Unless otherwise expressly provided in the Contract:

- a) 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. Nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and
- b) termination of the Contract shall not affect the continuing rights, remedies or obligations of the Authority or the Contractor under clauses C2 (Payment and Contract Price), C3 Recovery of Sums Due, D1 (Prevention of Bribery and Corruption), E1 (Authority Data), E2 (Protection of Personal Data), E3 (Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989), E4 (Confidential Information), E5 (Freedom of Information), E8 (Intellectual Property Rights), E9 (Audit and National Audit Office), F6 Remedies Cumulative), G1 (Liability, Indemnity and Insurance), G2 (Professional Indemnity), H4 (Consequences of Expiry or Termination), H6 (Recovery upon Termination) and I1 (Governing Law and Jurisdiction).

## **H5 Disruption**

- H5.1 The Contractor shall take reasonable care to ensure that in performing of its obligations under the Contract it does not disrupt the operations of the Authority, its employees or any other contractor employed by the Authority.
- H5.2 The Contractor shall immediately inform the Authority of any actual or potential industrial action, whether such action is by their own employees or others, which affects or might affect its ability at any time to perform its obligations under the Contract.
- H5.3 In the event of industrial action by the Staff, the Contractor shall seek Approval to its proposals to continue to perform its obligations under the Contract.
- H5.4 If the Contractor's proposals referred to in clause H5.3 are considered insufficient or unacceptable by the Authority (acting reasonably), the Authority may terminate the Contract with immediate effect by notice in writing.
- H5.5 If the Contractor is temporarily unable to fulfil the requirements of the Contract owing to disruption of normal business by direction of the Authority, an appropriate allowance by way of extension of time will be approved by the Authority. In addition, the Authority will reimburse any additional expense reasonably incurred by the Contractor as a direct result of such disruption.
- H5.6 The Contractor shall have a Business Continuity Plan in place, agreed with the Authority, to ensure that the Service to the Authority will be maintained in the event of disruption (including, but not limited to, disruption to information technology systems) to the Contractor's operations, and those of Sub-contractors to the Contractor, however caused. Such contingency plans shall be available for the Authority to inspect and to practically test at any reasonable time, and shall be

subject to regular updating and revision throughout the Contract Period.

## **H6 Recovery upon Termination**

- H6.1 At the expiry or earlier termination of the Contract Period (howsoever arising) the Contractor shall immediately deliver to the Authority or as directed upon request all Property (including materials, documents, information and access keys) used in the performance of its obligations under the Contract in its possession or under its control or in the possession or under the control of any permitted suppliers or Sub-contractors. In the event the Contractor fails to do so, the Authority may recover possession thereof and the Contractor grants a licence to the Authority or its appointed agents to enter (for the purposes of such recovery) any premises of the Contractor or its permitted suppliers or Sub-contractors where any such items may be held.
- H6.2 At the expiry or early termination of the Contract Period (howsoever arising) or after the Contract Period the Contractor shall provide assistance to the Authority and the Replacement Contractor in order to ensure an effective handover of all work then in progress. Where the end of the Contract Period arises due to the Contractor's Default, the Contractor shall provide such assistance at nil charge. Where the contract ends for other reasons the Authority shall pay the Contractor's reasonable costs of providing the assistance and the Contractor shall take all reasonable steps to mitigate such costs.

## **I.DISPUTES AND LAW**

### **I 1 Governing Law and Jurisdiction**

The Contract shall be governed by and interpreted in accordance with English law and the Parties submit to the jurisdiction of the English courts. Each Party irrevocably waives any objection which it might at any time have to the courts of England being nominated as the forum to hear and decide any proceedings and to settle any disputes and agrees not to claim that the courts of England are not a convenient or appropriate forum.

### **I 2 Dispute Resolution**

- I 2.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Contract within twenty (20) Working Days of either Party notifying the other of the dispute. Such efforts shall involve the escalation of the dispute ultimately to the Commercial Director (or such other person as he may direct) of each Party.
- I 2.2 Nothing in this dispute resolution procedure shall prevent the Parties from seeking from any court of competent jurisdiction an interim order restraining the other Party from doing any act or compelling the other Party to do any act.
- I 2.3 If the dispute cannot be resolved by the Parties pursuant to clause I 2.1 the Parties shall refer it to mediation pursuant to the procedure set out

in clause I 2.5 unless (a) the Authority considers that the dispute is not suitable for resolution by mediation; or (b) the Contractor does not agree to mediation.

I 2.4 The obligations of the Parties under the Contract shall not cease, or be suspended or delayed by the reference of a dispute to mediation (or arbitration) and the Contractor and its Staff shall comply fully with the requirements of the Contract at all times.

I 2.5 The procedure for mediation and consequential provisions relating to mediation are as follows:

- a) a neutral adviser or mediator (the “Mediator”) shall be chosen by agreement between the Parties, or if they are unable to agree upon a Mediator within ten (10) Working Days after a request by one Party to the other or if the Mediator agreed upon is unable or unwilling to act, either Party shall within ten (10) Working Days from the date of the proposal to appoint a Mediator, or within ten (10) Working Days of notice to either Party that he is unable or unwilling to act, apply to a mediation provider to appoint a Mediator.
- b) The Parties shall within ten (10) Working Days of the appointment of the Mediator meet with him in order to agree a programme for the exchange of all relevant information and the structure to be adopted for negotiations to be held. If considered appropriate, the Parties may at any stage seek assistance from a mediation provider to provide guidance on a suitable procedure.
- c) Unless otherwise agreed, all negotiations connected with the dispute and any settlement agreement relating to it shall be conducted in confidence and without prejudice to the rights of the Parties in any future proceedings.
- d) If the Parties reach agreement on the resolution of the dispute, the agreement shall be recorded in writing and shall be binding on the Parties once it is signed by their duly authorised representatives.
- e) Failing agreement, either of the Parties may invite the Mediator to provide a non-binding but informative written opinion. Such an opinion shall be provided on a without prejudice basis and shall not be used in evidence in any proceedings relating to the Contract without the prior written consent of both Parties.
- f) If the Parties fail to reach agreement in the structured negotiations within sixty (60) Working Days of the Mediator being appointed, or such longer period as may be agreed by the Parties, then any dispute or difference between them may be referred to the Courts unless the dispute is referred to arbitration pursuant to the procedures set out in clause I 2.6.

I 2.6 Subject to clause I 2.2, the Parties shall not initiate court proceedings until the procedures set out in clauses I 2.1 and I 2.3 have been completed save that:

- a) the Authority may at any time before court proceedings are commenced, serve a notice on the Contractor requiring the dispute to be referred to and resolved by arbitration in accordance with clause I 2.7
- b) if the Contractor intends to commence court proceedings, it shall serve written notice on the Authority of its intentions and the Authority shall have twenty one (21) days following receipt of such notice to serve a reply on the Contractor requiring the dispute to be referred to and resolved by arbitration in accordance with clause I 2.7
- c) the Contractor may request by notice in writing to the Authority that any dispute be referred and resolved by arbitration in accordance with clause I 2.7, to which the Authority may consent as it sees fit].

I 2.7 In the event that any arbitration proceedings are commenced pursuant to clause I 2.6:

- a) the arbitration shall be governed by the provisions of the Arbitration Act 1996;
- b) the Authority shall give a written notice of arbitration to the Contractor (the “**Arbitration Notice**”) stating:
  - (i) that the dispute is referred to arbitration; and
  - (ii) providing details of the issues to be resolved;
- c) the London Court of International Arbitration (“LCIA”) procedural rules in force at the date that the dispute was referred to arbitration in accordance with I 2.7 (b) shall be applied and are deemed to be incorporated by reference to the Contract and the decision of the arbitrator shall be binding on the Parties in the absence of any material failure to comply with such rules;
- d) the tribunal shall consist of a sole arbitrator to be agreed by the Parties;
- e) if the Parties fail to agree the appointment of the arbitrator within ten (10) days of the Arbitration Notice being issued by the Authority under clause I 2.7 (b) or if the person appointed is unable or unwilling to act, the arbitrator shall be appointed by the LCIA;
- f) the arbitration proceedings shall take place in London and in the English language; and
- g) the arbitration proceedings shall be governed by, and interpreted in accordance with, English law.

## **J European Social Fund (ESF)**

### **J1 ESF Funding**

Where the Authority notifies the Contractor that it will fund the delivery of this Contract using ESF funds or in its role as a Co-financing Organisation uses this contract as a match for ESF provision, either at the outset of the contract or at any point during the life of the contract, the Contractor and any Sub-contractors appointed by it shall be bound by the corresponding additional requirements detailed within relevant

Provider Guidance, including maintain records until at least 31 December 2023.

## **J2 Publicity**

The Contractor shall observe the European Commission's and the Secretary of State for Work and Pensions' publicity requirements and regulations regarding ESF projects, as amended from time to time. The Contractor shall ensure that sufficient publicity is given to all ESF supported activity so that Participants and the general public are made aware of ESF and what it has achieved. This requirement applies to both domestic provision funded by ESF and to provision used as a match for ESF purposes. Upon request by the Authority, the Contractor shall provide a copy of its formal publicity policy clearly setting out the publicity arrangements used by the Contractor and its Sub-contractors (if any). Whether or not a copy of the foregoing policy is requested by the Authority, the Contractor shall retain copies of its policy (as revised from time to time) as part of the Contractor's record keeping obligations under clause E9.1.

## **J3 Evaluation Requirements**

J3.1 Where the Authority funds this Contract using ESF funds the Contractor shall within four (4) weeks of expiry or termination of this Contract provide evaluation information to the Authority which:

- a) summarises the project, focusing on how it has helped to achieve the project objectives set out in the specification;
- b) is concise, being no more than one A4 page in length; and
- c) indicates whether the objectives have been fully achieved or only partly achieved and sets out any other relevant issues in this context.

J3.2 The Contractor acknowledges the obligation the Authority has to evaluate all ESF projects by ESF priorities and to submit, within strict timescales, a final claim to Government Office including an assessment of performance in each of the priorities. Accordingly, the Contractor agrees that time shall be of the essence in relation to its obligation under clause J3.1.

J3.3 The Contractor understands and shall comply with the regular ESF MI reporting obligations set out in Schedule 3 (Monitoring Requirements). The Contractor acknowledges that the Authority depends on timely provision of this information in order to claim and receive ESF funds from the Government Office.

## **J4 Records**

The Contractor and any Sub-contractors appointed by it shall maintain the records referred to in clause E9.1 and such other documents as the Authority may reasonably require throughout the period of this Contract; and the Contractor and any Sub-contractors appointed by it shall maintain such records and documents until at least 31 December 2023.



**J5 Indemnity**

The Contractor shall indemnify and keep indemnified the Authority against all claims, demands, actions, costs (including legal costs and disbursements) and losses howsoever incurred resulting from any Default by the Contractor of this clause J. The Contractor's liability under this indemnity is not limited under clauses G1.5 and G1.6.

## FORM OF AGREEMENT

This agreement has been entered into on the commencement date stated at A2 – Initial Contract Period.

**SIGNED** for and on behalf of

The Secretary of State for Work and Pensions (the Authority) acting as part of the Crown

**SIGNED** for and on behalf of

Best Practice Training and Development Ltd

Name

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Position

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Signature

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Date

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Name

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Position

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Signature

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Date

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## **SCHEDULE 1 – THE SERVICES**

### **1 General**

The following additional documents shall be deemed to be incorporated into this Contract;

<b>Document</b>	<b>Dated</b>
Specification	06 February 2015
Contractors Tender	20 February 2015
Bid Clarification	N/A
Provider Guidance	As Per DWP Website
Service Requirements	As Per Specification
HMG Baseline Personnel Security Standard – a Guide for DWP Contractors	As Per DWP Website

### **2 Plan to Set Up and Mobilise Operations**

In order to commence full operations the Contractor must complete the following activities by the required dates;

<b>Activity</b>	<b>Date</b>
Go Live Date	27 April 2015

### **3 Working Hours**

3.1 The Services shall be carried out at the following times;

**As per Specification**

3.2 The Contractor shall not provide the Services on the following bank / public holidays or the stipulated ad-hoc Government holiday;

New Year's Day	Spring Bank Holiday
Good Friday	August Bank Holiday
Easter Monday	Christmas Day
May Day	Boxing Day
The Friday or the Tuesday immediately preceding or succeeding the Spring Bank Holiday.	A day other than a Saturday or Sunday which falls within the Christmas holiday period.

### **4 Recruitment Through Jobcentre Plus**

4.1 One of the key objectives of the Department for Work and Pensions is to move people from welfare into employment. DWP has a Great Britain-wide network of Jobcentre Plus offices that provide job broking services for unemployed people. The Contractor is therefore required to notify Jobcentre Plus when recruiting staff for any entry-level job vacancies located within Great Britain, which may arise from the delivery of their contract to the Authority.

- 4.2 The Contractor is also encouraged to notify Jobcentre Plus of any other vacancies that may arise. The Contractor may in addition use other recruitment methods.

## **SCHEDULE 2 – ADMINISTRATION REQUIREMENTS**

### **1 Authority's Authorisation**

- 1.1 The following person is the Authority's Representative and is authorised to act on behalf of the Secretary of State for Work and Pensions on all matters relating to the Contract. Contact details are shown in clause A5.3.

Name: **[REDACTED]**

Title: Authority's Representative

- 1.2 The Authority's Representative may approve deputy Authority's Representatives to exercise on his/her behalf such powers as are contained in this Contract.

### **2 Contractor's Authorisation**

- 2.1 The following person is the Contractor's Representative and is authorised to act on behalf of the Contractor on all matters relating to the Contract. Contact details are shown in clause A5.3.

Name: **[REDACTED]**

Title: Contractor's Representative

### **3 Payment Information**

- 3.1 The Authority and the Contractor shall exchange all orders, invoices, claims and payments via electronic methods.
- 3.2 The Authority shall issue a Purchase order to the Contractor prior to commencement of the Service.
- 3.3 All invoices payable in compliance with the requirements of clause C2, must include the appropriate purchase order number sent to the following address;

SSCL Accounts Payable Team  
Room 6124  
Tomlinson House  
Norcross  
Blackpool FY5 3TA

Shared Services Helpline: 0845 602 8244

### **4 Disputed Claims**

- 4.1 Notwithstanding paragraph 4.5 of this Schedule, payment by the Authority of all or any part of any Contract Price rendered or other claim for payment by the Contractor shall not signify approval. The Authority reserves the right to verify Contract Price after the date of payment and subsequently to recover any sums which have been overpaid.
- 4.2 If any part of a claim rendered by the Contractor is disputed or subject to question by the Authority either before or after payment then the

Authority may call for the Contractor to provide such further documentary and oral evidence as it may reasonably require to verify its liability to pay the amount which is disputed or subject to question and the Contractor shall promptly provide such evidence in a form satisfactory to the Authority.

- 4.3 If any part of a claim rendered by the Contractor is disputed or subject to question by the Authority, the Authority shall not withhold payment of the remainder.
- 4.4 If any fee rendered by the Contractor is paid but any part of it is disputed or subject to question by the Authority and such part is subsequently agreed or determined not to have been properly payable then the Contractor shall forthwith repay such part to the Authority.
- 4.5 The Authority shall be entitled to deduct from sums due to the Contractor by way of set-off any amounts owed to it or which are in dispute or subject to question either in respect of the fee for which payment is being made or any previous fee.

## **5 Final Claims**

- 5.1 Provided all previous claims have been paid, the authority shall have no further liability to make payment of any kind to the contractor once the final claims have been paid.

### **SCHEDULE 3 – MONITORING REQUIREMENTS**

This Schedule sets out the contract management requirements which are applicable to the delivery of the Services.

#### **1 Reviewing Contract Performance**

- 1.1 The Contractor shall work with the Authority to establish and maintain an effective and beneficial working relationship to ensure the Contract is delivered to at least the minimum required standard as specified.
- 1.2 The Contractor shall work with the Authority to establish suitable administrative arrangements for the effective management and performance monitoring of the Contract and shall provide information as requested to monitor and evaluate the success of the Contract and the Contractor's management and delivery of it.
- 1.3 The Contractor shall supply information requested relevant to the delivery of the Services to the Authority, using formats and to timescales specified by the Authority in this Schedule.
- 1.4 The Authority intends, wherever it can, to capture and collate information through its IT system(s). However, the Authority does reserve the right to make reasonable requests for information (at no additional charge) from the Contractor including ad-hoc requests for information from time to time.
- 1.5 Any additional requests for information shall be considered in consultation with the Contractor as shall the process of defining the methods of collection.
- 1.6 Where an ongoing, short-term or one-off requirement is agreed, both Parties agree that it shall be included, or deemed to be included within this Schedule.
- 1.7 Review meetings between the Authority and the Contractor shall also cover, as appropriate, resolving disputes and/or dealing with contractual breaches in accordance with the terms and conditions of this Contract. Roles and responsibilities will be documented and the personnel involved in managing the relationship identified and suitably empowered.
- 1.8 The Authority may undertake spot checks at any time to ensure that the Contractor is complying with its obligations under this Contract and the Contractor shall co-operate fully, at its own cost, with the Authority.
- 1.9 The Contractor will be responsible for managing and reporting on any sub-contractual arrangements. Arrangements shall include mechanisms for the provision of management information, including feedback to and from customers, stakeholders and employers. The Authority will agree with the Contractor day-to-day relationship management, contact points, communication flows and escalation procedures.

- 1.10 The Contractor will be expected to continuously improve the quality of the provision including that delivered by Sub-contractors. Where quality falls below acceptable levels the Contractor will be expected to have suitable escalation procedures in place and, in respect of sub-contracted provision, take action where necessary to terminate the contract.
- 1.11 The Authority will regularly monitor Contractor performance. The initial contract review will be informed by the award of contract process and reviewed thereafter.
- 1.12 The purpose of the Contractor performance reviews is to encourage an open and regular dialogue between the Parties with the purpose of ensuring that the Services, including the standards and outputs specified, are being delivered appropriately and to drive up the performance and quality of the Services. They will encourage the Parties to review performance, discuss opportunities for continuous improvement and raise and address any complaints or persistent problems encountered with the Contract. Where issues cannot be immediately addressed, the Authority and the Contractor will follow the dispute resolution process detailed in the Dispute Resolution clause.
- 1.13 Contractor performance reviews may be undertaken formally or informally. The Contractor will be expected to provide any additional management information required by the Authority to facilitate the reviews and arrange where necessary access to any of its delivery locations, including those operated by Sub-contractors.
- 1.14 Any improvements or actions agreed between the Parties will form part of the continuous improvement activity recorded in the performance improvement plan.
- 1.15 The Contractor will be expected to carry out self assessment and develop improvement action plans to continuously improve the quality of the Services including that delivered by Sub-contractors. Where quality falls below acceptable levels the Contractor will be expected to have suitable escalation procedures in place and, in respect of sub-contracted Services, take action where necessary to terminate the sub-contract.

## **2 Assuring Contractors' Systems**

- 2.1 The primary purpose of the Contractor Assurance Team (CAT) is to provide the Authority with an assurance that payments to contracted employment provision contractors are in accordance with DWP and Treasury requirements that public funds and DWP data are protected and that value for money has been obtained.
- 2.2 The Contractor Assurance Team
  - a) operates at a national level enabling it to present contractors operating across regions with a single view of the effectiveness



of their systems. Each contractor will have a nominated Senior Assurance Manager and therefore a single point of contact in DWP for management of assurance related issues and concerns;

- b) conduct its work primarily by visiting contractors to review the systems of internal control in place to manage the risks to DWP in relation to contracted employment programme expenditure and protection of DWP data. This will include the arrangements contractors have in place for sub-contractors;
- c) visits take account of a number of different factors and at the conclusion of their visit the CAT will discuss their findings with contractors and subsequently produce a report which will include an assurance rating for the overall system and an action plan detailing areas where control could be improved if necessary.

### 2.3 Contractors shall have suitable systems in place to:

- a) detect and prevent duplicate claims;
- b) prepare and submit accurate, valid, supported, timely claims;
- c) monitor, record and manage lateness and all absences;
- d) support claims for payments through an effective participant attendance recording procedure;
- e) ensure that all the required evidence is collected (and submitted, where appropriate) to support the claim;
- f) identify participants who have left the Services early to prevent over-claiming;
- g) carry out effective monitoring of Sub-contractors; and
- h) respond to financial appraisal and monitoring reports with an appropriate action plan.

## **3 Access**

- 3.1 In all instances, the Contractor shall co-operate and provide such reasonable assistance as may be necessary to facilitate such monitoring. Failure to provide such reasonable assistance shall be deemed a "Default" for the purposes of clause H2 (Termination on Default).

## **4 Health and Safety Responsibilities of the Authority Visiting Officers**

- 4.1 The Authority representatives visit Contractors and its Sub-contractors for a variety of reasons. In the course of their normal duties such representatives of the Authority shall adopt an 'eyes and ears' approach to monitoring health and safety. In doing this the Authority representatives shall not be conducting a health and safety inspection, nor shall they be in a position to offer advice on whether something is safe or not. Instead they shall approach this from the position of any lay person. If, however, the Authority representative does notice something on which they require assurance or clarification, they shall raise this with the Contractor or the Contractor's Sub-contractor's representative at the location where they are visiting. In no event are the Authority representatives to be seen as offering professional advice on health and safety matters and as such, shall not be liable for any advice or

comments or otherwise given to the Contractor or its Sub-contractors or any omission to give such advice, comments or otherwise.

## **5 Contractor Information (MI) Requirements**

5.1 The Contractor shall supply information listed below relevant to the delivery of the Services to the Authority, using formats and to timescales as specified. This includes but is not limited to;

<b>Contractor Information Required</b>	<b>Frequency or Date Required by</b>
Submit copy of Board Minutes for Parent Company where PCG has been signed	Date as outlined in clause G4
Full and final Security Plan in accordance with Schedule [6]	Within twenty (20) Working Days after the Commencement Date and reviewed at least annually thereafter.
Sustainable Development Policy Statement & Sustainable Development Plan in accordance with Schedule [7]	Within six (6) Months of contract start date and at least annually thereafter.
Diversity & Equality Delivery Plan in accordance with Schedule [8]	Within six (6) Months of contract start date and at least annually thereafter.
Workforce Monitoring Data Template – Appendix 3 of the Diversity and Equality Guidance for Contractors document, in accordance with Schedule [8]	Within six (6) Months of contract start date and at least annually thereafter.
Apprenticeships & Skills Report in accordance with Schedule [10]	Within six (6) Months of the contract start date and written updates on a <b>[quarterly]</b> basis thereafter.
HMG Baseline Personnel Security Standard - Contractor's Declaration see HMG Baseline Personnel Security Standard - A Guide for DWP Contractors	Within four (4) weeks of contract start date and submitted for each calendar year thereafter within one Month of the end of each calendar year (i.e. by 31 <sup>st</sup> January for year ending 31 <sup>st</sup> December)
Supply chain expenditure with SMEs (Quarterly return)	The contractor, and where applicable, its sub-contractors shall identify the volume of expenditure they undertake with SMEs in the delivery of this contract and submit this information to the Authority on a quarterly basis.

## Appendix A – Contract Performance Targets / Service Levels

### KPI's/Performance Requirements/Service Level

1. In delivering the Services the Contractor acknowledges that it is under an obligation to meet the following performance targets/service levels and furthermore that failure to meet all or any of the defined such targets/service levels, shall entitle the Authority to serve notice to terminate on the Contractor and / or seek compensation (Service Credits) as defined in this Appendix.
2. The following performance targets/service levels have been agreed between the parties.

Performance Target/Service Level
<b>100% of claimants to receive an initial, in-depth diagnostic assessment</b>
<b>A minimum of 40% of claimants who start the programme to convert into a voluntary work outcome or job outcome.</b>  <b>The definition of a qualifying Voluntary Work Outcome is where the claimant undertakes a minimum of four weeks voluntary work, or a work experience placement, following certification of Programme and Personal Career Development Plan completion.</b>  <b>The definition of a qualifying Job Outcome is where employment / self employment of more than 16 hours per week commences within 13 weeks of last attendance on the programme, and is sustained for 4 weeks.</b>

**“Service Levels”** means the service levels to which the Services are to be provided, as set out in the Specification.

**“Service Failure”** means a failure by the Contractor to provide the Services in accordance with any individual service level described above (measured on a monthly/quarterly/annual basis)

**“Target Performance Level”** means the minimum level of performance for a KPI which is required by the Authority, as set out against the relevant KPI in the Specification.

## **SCHEDULE 4 – PRICES AND RATES**

### **1 General**

For the performance of the Services, the Contractor shall be paid the Contract Price calculated using the prices and rates entered in this Schedule 4.

#### **Group Coaching**

A Course Fee for Six (6) Half Day Sessions over Three (3) Weeks: Up to <b>£3,000.00</b> payable per course.  <b>£3,000.00 x 10 courses = £30,000.00</b>	<b>Total (A)</b>  <b>£30,000</b>
A Completion Outcome Fee: Up to <b>£150.00</b> payable per customer achieving a completion outcome.  <b>£150.00 x 100 customers = £15,000.00</b>	<b>Total (B)</b>  <b>£15,000</b>
A Voluntary Work Outcome Fee: Up to <b>£100.00</b> payable per customer achieving a voluntary work outcome.  <b>£100.00 x 100 customers = £10,000.00</b>	<b>Total (C)</b>  <b>£10,000</b>
A Job Outcome Fee: Up to <b>£200.00</b> payable per customer achieving a job outcome.  <b>£200.00 x 100 customers = £20,000.00</b>	<b>Total (D)</b>  <b>£20,000</b>

#### **Individual Coaching**

A Workshop Fee per Individual Session: Up to <b>£250.00</b> payable per claimant per workshop.  <b>£250.00 x (20 customers x 3 sessions) = £15,000.00</b>	<b>Total (E)</b>  <b>£15,000</b>
A Completion Outcome Fee: Up to <b>£150.00</b> payable per customer achieving a completion outcome.  <b>£150.00 x 20 customers = £3,000.00</b>	<b>Total (F)</b>  <b>£3,000</b>
A Voluntary Work Outcome Fee: Up to <b>£100.00</b> payable per customer achieving a voluntary work outcome.  <b>£100.00 x 20 customers = £2,000.00</b>	<b>Total (G)</b>  <b>£2,000</b>
A Job Outcome Fee: Up to <b>£200.00</b> payable per customer achieving a job outcome.  <b>£200.00 x 20 customers = £4,000.00</b>	<b>Total (H)</b>  <b>£4,000</b>

<b>Overall Maximum Total Contract Value (A +B +D+E +F +H)</b>	<b>Total £87,000</b>
---------------------------------------------------------------	--------------------------

**Maximum Contract Value £87,000.00**

## **SCHEDULE 5 – COMMERCIALLY SENSITIVE INFORMATION**

1. The Authority acknowledges that the Contractor has requested that the following information be treated as Commercially Sensitive Information;

<b>Page Number (in your tender)</b>	<b>Clause/paragraph numbered (or other identification)</b>	<b>Explanation of harm which may result from disclosure and time period applicable to any sensitivity</b>
N/A		

2. The Authority will consult with the Contractor on any request for information, identified as Commercially Sensitive, under the FOIA.
3. The Authority reserves the right to disclose any Commercially Sensitive Information held within this Contract in response to a request under the FOIA as set out at clause E5 of this Contract.
4. The Authority will automatically publish all information provided by the Contractor **not** identified in this Schedule as constituting Commercially Sensitive Information provided that it satisfies the requirements of the FOIA.
5. The Authority reserves the right to determine whether any information provided in this Schedule does constitute Commercially Sensitive Information prior to publication.

## **SCHEDULE 6 – SECURITY REQUIREMENTS AND PLAN**

### **1 Introduction**

1.1 This schedule covers;

- a) Principles of security for the Contractor ICT System, derived from the Security Policy, including without limitation principles of physical and information security;
- b) The creation of the Security Plan;
- c) Audit and testing of the Security Plan;
- d) Conformance to ISO/IEC:27002 (Information Security Code of Practice) and ISO/IEC 27001 (Information Security Requirements Specification) (Standard Specification); and
- e) Breaches of Security.

### **2 Principles of Security**

2.1 The Contractor acknowledges that the Authority places great emphasis on confidentiality, integrity and availability of information and consequently on the security of the Premises and the security for the Contractor System. The Contractor also acknowledges the confidentiality of the Authority's Data.

2.2 The Contractor shall be responsible for the security of the Contractor System and shall at all times provide a level of security which;

- a) is in accordance with Good Industry Practice and Law;
- b) complies with the Security Policy;
- c) meets any specific security threats to the Contractor System; and
- d) complies with ISO/IEC27002 and ISO/IEC27001 in accordance with paragraph 5 of this Schedule.

2.3 Without limiting paragraph 2.2, the Contractor shall at all times ensure that the level of security employed in the provision of the Services is appropriate to minimise the following risks:

- a) loss of integrity of Authority Data;
- b) loss of confidentiality of Authority Data;
- c) unauthorised access to, use of, or interference with Authority Data by any person or organisation;
- d) unauthorised access to network elements and buildings;
- e) use of the Contractor System or Services by any third party in order to gain unauthorised access to any computer resource or Authority Data; and
- f) loss of availability of Authority Data due to any failure or compromise of the Services.

### **3 Security Plan**

#### **Introduction**

3.1 The Contractor shall develop, implement and maintain a Security Plan to apply during the Contract Period and after the end of the Contract

Period in accordance with the Exit Management Strategy, which will be approved by the Authority, tested, periodically updated and audited in accordance with this Schedule.

- 3.2 A draft Security Plan provided by the Contractor as part of its bid is set out in Appendix B.

**Development**

- 3.3 Within twenty (20) Working Days after the Commencement Date and in accordance with paragraphs 3.10 to 3.12 (Amendment and Revision), the Contractor will prepare and deliver to the Authority for approval the full and final Security Plan which will be based on the draft Security Plan set out in Appendix B.

- 3.4 If the Security Plan is approved by the Authority it will be adopted immediately. If the Security Plan is not approved by the Authority the Contractor shall amend it within ten (10) Working Days of a notice of non-approval from the Authority and re-submit to the Authority for approval. The Parties will use all reasonable endeavours to ensure that the approval process takes as little time as possible and in any event no longer than fifteen (15) Working Days (or such other period as the Parties may agree in writing) from the date of its first submission to the Authority. If the Authority does not approve the Security Plan following its resubmission, the matter will be resolved in accordance with clause 12 Dispute Resolution. No approval to be given by the Authority pursuant to this paragraph 3.4 of this schedule may be unreasonably withheld or delayed. However any failure to approve the Security Plan on the grounds that it does not comply with the requirements set out in paragraphs 3.1 to 3.9 shall be deemed to be reasonable.

**Content**

- 3.5 The Security Plan will set out the security measures to be implemented and maintained by the Contractor in relation to all aspects of the Services and all processes associated with the delivery of the Services and shall at all times comply with and specify security measures and procedures which are sufficient to ensure that the Services comply with:

- a) the provisions of this contract; this schedule (including the principles set out in paragraph 2);
- b) the provisions of Schedule 1 relating to security;
- c) ISO/IEC27002 and ISO/IEC27001;
- d) the data protection compliance guidance produced by the Authority.

- 3.6 The references to standards, guidance and policies set out in paragraph 3.5 shall be deemed to be references to such items as developed and updated and to any successor to or replacement for such standards, guidance and policies, from time to time.

- 3.7 In the event of any inconsistency in the provisions of the above standards, guidance and policies, the Contractor should notify the



Authority's Representative of such inconsistency immediately upon becoming aware of the same, and the Authority's Representative shall, as soon as practicable, advise the Contractor which provision the Contractor shall be required to comply with.

- 3.8 The Security Plan will be structured in accordance with ISO/IEC27002 and ISO/IEC27001.
- 3.9 Where the Security Plan references any document which is not in the possession of the Authority, a copy of the document will be made available to the Authority upon request. The Security Plan shall be written in plain English in language which is readily comprehensible to the staff of the Contractor and the Authority engaged in the Services and shall not reference any other documents which are not either in the possession of the Authority or otherwise specified in this schedule.

#### **Amendment and Revision**

- 3.10 The Security Plan will be fully reviewed and updated by the Contractor annually, or from time to time to reflect:
  - a) emerging changes in Good Industry Practice;
  - b) any change or proposed change to the Contractor ICT System, the Services and/or associated processes; and
  - c) any new perceived or changed threats to the Contractor ICT System.
  - d) a reasonable request by the Authority.
- 3.11 The Contractor will provide the Authority with the results of such reviews as soon as reasonably practicable after their completion and amend the Security Plan at no additional cost to the Authority.
- 3.12 Any change or amendment which the Contractor proposes to make to the Security Plan as a result of an Authority request or change to the Schedule 1 or otherwise shall be subject to the change control procedure and shall not be implemented until approved in writing by the Authority.

#### **4 Audit and Testing**

- 4.1 The Contractor shall conduct tests of the processes and countermeasures contained in the Security Plan ("Security Tests") on an annual basis or as otherwise agreed by the Parties. The date, timing, content and conduct of such Security Tests shall be agreed in advance with the Authority.
- 4.2 The Authority shall be entitled to send a representative to witness the conduct of the Security Tests. The Contractor shall provide the Authority with the results of such tests (in a form approved by the Authority in advance) as soon as practicable after completion of each Security Test.
- 4.3 Without prejudice to any other right of audit or access granted to the Authority pursuant to this Contract, the Authority shall be entitled at any

time and without giving notice to the Contractor to carry out such tests (including penetration tests) as it may deem necessary in relation to the Security Plan and the Contractor's compliance with and implementation of the Security Plan. The Authority may notify the Contractor of the results of such tests after completion of each such test. Security Tests shall be designed and implemented so as to minimise the impact on the delivery Services. If such tests impact adversely on its ability to deliver the Services to the agreed Service Levels, the Contractor shall be granted relief against any resultant under-performance for the period of the tests.

- 4.4 Where any Security Test carried out pursuant to paragraphs 4.2 or 4.3 above reveals any actual or potential security failure or weaknesses, the Contractor shall promptly notify the Authority of any changes to the Security Plan (and the implementation thereof) which the Contractor proposes to make in order to correct such failure or weakness. Subject to the Authority's approval in accordance with paragraph 3.12, the Contractor shall implement such changes to the Security Plan in accordance with the timetable agreed with the Authority or, otherwise, as soon as reasonably possible. For the avoidance of doubt, where the change to the Security Plan to address a non-compliance with the Security Policy or security requirements, the change to the Security Plan shall be at no additional cost to the Authority. For the purposes of this paragraph 4, a weakness means a vulnerability in security and a potential security failure means a possible breach of the Security Plan or security requirements.

## **5 Compliance with ISO/IEC 27001**

### **5.1 Not used.**

### **5.2 Not used.**

- 5.3 The Contractor shall carry out such regular security audits as may be required by the British Standards Institute in order to maintain delivery of the Services in compliance with security aspects of ISO 27001 and shall promptly provide to the Authority any associated security audit reports and shall otherwise notify the Authority of the results of such security audits.

- 5.4 If it is the Authority's reasonable opinion that compliance with the principles and practices of ISO 27001 is not being achieved by the Contractor, then the Authority shall notify the Contractor of the same and give the Contractor a reasonable time (having regard to the extent of any non-compliance and any other relevant circumstances) to become compliant with the principles and practices of ISO 27001. If the Contractor does not become compliant within the required time then the Authority has the right to obtain an independent audit against these standards in whole or in part.

- 5.5 If, as a result of any such independent audit as described in paragraph 5.4 the Contractor is found to be non-compliant with the principles and practices of ISO 27001 then the Contractor shall, at its own expense,

undertake those actions required in order to achieve the necessary compliance and shall reimburse in full the costs incurred by the Authority in obtaining such audit.

## **6 Breach of Security**

6.1 Either party shall notify the other immediately upon becoming aware of any Breach of Security including, but not limited to an actual, potential or attempted breach, or threat to, the Security Plan.

6.2 Upon becoming aware of any of the circumstances referred to in paragraph 6.1, the Contractor shall;

- a) immediately take all reasonable steps necessary to;
  - (i) remedy such breach or protect the Contractor ICT System against any such potential or attempted breach or threat; and
  - (ii) prevent an equivalent breach in the future.

Such steps shall include any action or changes reasonably required by the Authority. In the event that such action is taken in response to a breach that is determined by the Authority acting reasonably not to be covered by the obligations of the Contractor under this Contract, then the Contractor shall be entitled to refer the matter to the change control procedure in clause F3 (Variation).

- b) as soon as reasonably practicable provide to the Authority full details (using such reporting mechanism as may be specified by the Authority from time to time) of such actual, potential or attempted breach and of the steps taken in respect thereof.

## **Appendix A – Security Policy for Contractors**

1. The Department for Work and Pensions treats its information as a valuable asset and considers that it is essential that information must be protected, together with the systems, equipment and processes which support its use. These information assets may include data, text, drawings, diagrams, images or sounds in electronic, magnetic, optical or tangible media, together with any Personal Data for which the Department for Work and Pensions is the Data Controller.
2. In order to protect Departmental information appropriately, our Contractors must provide the security measures and safeguards appropriate to the nature and use of the information. All Contractors of services to the Department for Work and Pensions must comply, and be able to demonstrate compliance, with the Department's relevant policies and standards.
3. The Chief Executive or other suitable senior official of each supplier must agree in writing to comply with these policies and standards. Each Contractor must also appoint a named officer who will act as a first point of contact with the Department for security issues. In addition all staff working for the Contractor and where relevant Sub-contractors, with access to Departmental IT Systems, Services or Departmental information must be made aware of these requirements and must comply with them.
4. All Contractors must comply with the relevant DWP Security standards and policies. The Standards are based on and follow the same format as International Standard 27001, but with specific reference to the Department's use.
5. The following are key requirements and all Contractors must comply with relevant DWP policies concerning:
  6. **Personnel Security**
    - 6.1 Staff recruitment in accordance with government requirements for pre-employment checks;
    - 6.2 Staff training and awareness of Departmental security and any specific contract requirements.
  7. **Secure Information Handling and Transfers**
    - 7.1 Physical and electronic handling, processing and transferring of DWP Data, including secure access to systems and the use of encryption where appropriate.
  8. **Portable Media**
    - 8.1 The use of encrypted laptops and encrypted storage devices and other removable media when handling Departmental information.

**9. Offshoring**

- 9.1 The Department's Data must not be processed outside the United Kingdom without the prior written consent of DWP and must at all times comply with the Data Protection Act 1998.

**10. Premises Security**

- 10.1 Security of premises and control of access.

**11. Security Incidents**

- 11.1 Includes identification, managing and agreed reporting procedures for actual or suspected security breaches.
- 11.2 All Contractors must implement appropriate arrangements which ensure that the Department's information and any other Departmental assets are protected in accordance with prevailing statutory and central government requirements. These arrangements will clearly vary according to the size of the organisation.
- 11.3 It is the Contractor's responsibility to monitor compliance of any Sub-contractors and provide assurance to DWP.
- 11.4 Failure to comply with any of these Policies or Standards could result in termination of current contract.

## Appendix B – Draft Security Plan

### SECURITY PLAN

#### 1. Personnel Security

Please provide full contact details (name, e-mail, telephone number) of a named responsible officer within your organisation.

**[REDACTED]**

Please detail how you will comply with Baseline Personnel Security Standard (BPSS) – Pre-employment checks covering: identity, employment history (at least 3 years), nationality/immigration status and criminal record check. Who is responsible for managing these checks?

Best Practice Training & Development Ltd complies with the Baseline Personnel Security Standard BPSS by DBS checks for all personnel.

**DWP Comment – Can you confirm that all aspects of the BPSS checks noted above are covered**

**Response – We can confirm that all aspects of the BPSS checks noted above are covered.**

All personnel undertake an Enhanced Check which checks for spent and unspent convictions, cautions, reprimands and final warnings. The Enhanced Check also includes any information held by local police that is reasonably considered relevant by the workforce applicable to the personnel.

All DBS checks are located in our head office, for each personnel. For new personnel, we request their recent DBS check. If not in place, we will arrange the check before work commences.

All DBS checks are managed by the Quality Manager.

Please provide agreement here that, where at the written request of the authority, you will obtain individual confidentiality statements from your personnel including subcontractors.

Yes

Describe the measures you will operate to ensure your personnel understand their obligations when handling Authority Data including: Data Protection Act, Computer Misuse Act, Freedom of Information

Best Practice Training & Development confirms that where at the written request of the authority, we will obtain individual confidentiality statements from each personnel involved in this contract. We will not use any subcontractors in this contract.

Best Practice Training & Development Ltd acknowledges that DWP place great emphasis on confidentiality, integrity and availability of information and consequently on the security of the premises and our security. We also acknowledge the confidentiality of DWP data. We will maximise security measures to safeguard all aspects and delivery on this provision. We will comply with the relevant Standards from the DWP Information Systems Security Standards.

**DWP Comment – Can you provide some details re how you ensure staff understand their obligations e.g. is it covered at induction or through dedicated training courses?**

**Response – All staff undergo a full induction which covers their obligations when handling Authority Data. We also undertake regular training sessions, annually to ensure all staff are consistently up to date with their obligations.**

Staff Recruitment – if we need additional staff, we will ensure that we recruit appropriately qualified trainers and assessors for the role, ensuring all checks including DBS/CRB are carried out.

Please state what training is in place for your personnel prior to them accessing Authority Data, and how often is this refreshed.

Staff Training – we will ensure all personnel are fully training and up to date with areas such as Equality and Diversity, Health and Safety, Safeguarding, Data Protection and DWP requirements. We will also train staff with any additional requirements from DWP.

Training is conducted annually, at our head office. We will conduct refresher workshops 6 half yearly to ensure all personnel meet DWP requirements.

## 2. Secure Information Handling and Transfers

Describe the User Access Controls and Procedures in place to monitor access to Authority Data, limiting access to those directly involved in the provision of the services and who need to know the information.

At our head office, electronic data is stored on two dedicated file servers and are back up simultaneously. All systems are password protected to guard against unauthorised access.

**DWP Comment – Please can you provide more details, for example who manages the access control process and are there processes in place to ensure that access is removed timeously when no longer required**

**Response – The Access Control process is managed by the Managing Director, David Allenstein and the Quality Manager, Nina Griggs. Every user of the Authority Data is managed and monitored. When access is no longer required, the users access will be removed by the MD and QM.**

Please confirm that the encryption products used by your organisation (and subcontractors) are certified to FIPS 140-2 standard and also provide details of the policies and guidelines in place to manage the use of encryption.

Yes

Describe the procedures and policies in place to provide secure retention/storage/archiving and destruction of Authority Data – including redundant media including hard disks, CD, USB or any other storage used to process personal data.

The backup server is located on a secure network. The backup server also is password protected to ensure all data is secure.

Paper based data is stored securely in filing facilities in our head office. Again, only authorised personnel have access to paper based data.

Paper based data is securely archived after the permitted time allowance.

We will ensure any learner information e.g. CV's and personal data is securely stored. Any laptops used within each course will be automatically wiped clear after each course to remove any personal information.

Best Practice Training & Development Ltd are registered with the Information Commissioner's Office under registration reference Z5866412.

We also have procedures in place to ensure the safe destruction or re-use of redundant media including Hard disks, CD's, hard copies and any other storage used to process DWP data, by authorised personnel.

Please detail how all actions performed in delivering the contract will be traceable to users who

process Authority Data.
<p>Because of password protection and security processes, we can track and trace each time the data is accessed by authorised personnel.</p> <p>We will not use any subcontractors on this contract.</p>
Please describe how you ensure that any system on which you or any subcontractor holds any Authority Data is secure – including back-up data
<p>At our head office, electronic data is stored on two dedicated file servers and are back up simultaneously. All systems are password protected to guard against unauthorised access.</p> <p>The backup server is located on a secure network. The backup server also is password protected to ensure all data is secure.</p> <p>Paper based data is stored securely in filing facilities in our head office. Again, only authorised personnel have access to paper based data.</p> <p>Paper based data is securely archived after the permitted time allowance.</p>

### 3.Portable Media

Do you or your subcontractors intend to use any portable media in the delivery of this contract?
<p>We will ensure electronic devices such as laptops, USB memory devices, CD's etc will be encrypted to ensure protection and will be wiped clean at the end of every course completion, to ensure they are safe and ready to use for the next course.</p> <p>Typically, electronic devices used in course delivery will not contain any DWP data. The main DWP data will be securely stored at our head office and only accessed by authorised personnel.</p> <p><b>DWP Comment – If these devices do contain DWP data will they have the appropriate standard of encryption in place as referred to above?</b></p> <p><b>Response – Typically, electronic devices used in course delivery will not contain any DWP data. It is standard process to clear all electronic devices at the end of every working day. We manually wipe all computers and laptops at the end of every working day, this is to protect all DWP data.</b></p>
Will any remote access take place during delivery of the contract?
No
Describe the policies and guidelines you and your subcontractors have in place with regard to the use of office systems such as: electronic media, telephone, fax, e-mail and hard-copy post. This may include policies such as: Electronic Media Policy, Clear Desk Policy and Handling Official Information Policy.
<p>All equipment, systems and services are protected from unauthorised access, theft, interference or damage, through our security processes and adherence to the Data Protection Act.</p> <p>All equipment used at delivery sites will be kept securely when not in use and will not be accessed by unauthorised personnel.</p> <p><b>DWP Comment – Do you have policies in place as referred to above?</b></p> <p><b>Response – Our Data Protection Policy covers all aspects as referred to above – principles, personal data and processing, requirement to comply, notification of data held and processed, responsibilities of staff and managers, learner and tutor</b></p>



obligations, data security, rights to access information, publication of information, data subject consent, processing sensitive information etc.

I have attached our Data Protection Statement with this return.

Please describe the policies you and your subcontractors have in place for the secure use of laptops and encrypted storage devices (DWP needs to be assured that all laptops or any removable devices or media will be protected by encryption to at least FIPS140-2 standard).

Typically, electronic devices used in course delivery will not contain any DWP data. The main DWP data will be securely stored at our head office and only accessed by authorised personnel.

**DWP Comment – If these devices do contain DWP data will they have the appropriate standard of encryption in place as referred to above?**

**Response - Typically, electronic devices used in course delivery will not contain any DWP data. It is standard process to clear all electronic devices at the end of every working day. We manually wipe all computers and laptops at the end of every working day, this is to protect all DWP data.**

Where possible, any learner information e.g. CV's and personal data will be stored on learners own memory sticks and not our portable media. If there is a need to use our portable media, it will be wiped immediately after use.

#### 4.Offshoring

Do you intend to offshore any Authority data?, if so you will need to complete the template below and describe how you will comply with the requirements of Offshoring (including Landed Resources)



No

#### 5.Premises Security

Please detail the security measures you and your subcontractors will operate for your premises to ensure that Authority Data is protected from unauthorised access theft or damage, these should cover:

- Controls and procedures to secure the perimeter of site building or office;
- Controls and procedures to allow only authorised personnel to enter site; and
- Controls and procedures to allow only authorised personnel into secure areas

All premises will be secure before and after each course.

Our current employed provision runs on a similar basis, with learners confirming their DWP referral and ID before entrance is permitted.

Perimeter: We will conduct rigorous Risk Assessments and Security checks on every premise, to ensure a secure learning facility for learners and personnel.

Access Control: We will ensure controls and procedures are in place to allow only authorised personnel to enter site, building or office. Learners will be required to sign an attendance record on every attendance.

We will maintain an up to date list from DWP of individuals confirmed for each course. If an individual arrives, who is not confirmed by DWP, we will not allow access until DWP have been

contacted to check their identity.

Secure Areas: Only authorised personnel are permitted in our head office, which is the main storage facility for DWP data. We will also ensure all delivery locations are secure at all times, providing a safe and secure learning environment for learners and personnel.

Delivery and Collection of Data: DWP data will be safeguarded from unauthorised access, accidental or deliberate loss.

**DWP Comment – Can you provide some details re how this is safeguarded**

**Response – detailed in Data Protection Statement, as attached with this return.**

### **Please provide details of Business Continuity plans.**

#### **Purpose**

The purpose of this business continuity plan is to prepare Best Practice Training & Development in the event of extended service outages caused by factors beyond our control (e.g., natural disasters, man-made events), and to restore services to the widest extent possible in a minimum time frame. All Best Practice Training & Development sites are expected to implement preventive measures whenever possible to minimize operational disruptions and to recover as rapidly as possible when an incident occurs.

The plan identifies vulnerabilities and recommends necessary measures to prevent extended voice communications service outages. It is a plan that encompasses all Best Practice Training & Development system sites and operations facilities.

#### **Scope**

The scope of this plan is limited to Best Practice Training & Development. This is a business continuity plan, not a daily problem resolution procedures document.

#### **Plan objectives**

- Serves as a guide for the Best Practice Training & Development recovery teams.
- References and points to the location of critical data.
- Provides procedures and resources needed to assist in recovery.
- Identifies vendors and customers that must be notified in the event of a disaster.
- Assists in avoiding confusion experienced during a crisis by documenting, testing and reviewing recovery procedures.
- Identifies alternate sources for supplies, resources and locations.
- Documents storage, safeguarding and retrieval procedures for vital records.

#### **Assumptions**

- Key people (team leaders or alternates) will be available following a disaster.
- A national disaster such as nuclear war is beyond the scope of this plan.
- This document and all vital records are stored in a secure off-site location and not only survive the disaster but are accessible immediately following the disaster.
- Each support organisation will have its own plan consisting of unique recovery procedures, critical resource information and procedures.

#### **Disaster definition**

Any loss of utility service (power, water), connectivity (system sites), or catastrophic event (weather, natural disaster, vandalism) that causes an interruption in the service provided by Best Practice Training & Development operations. The plan identifies vulnerabilities and recommends measures to prevent extended service outages.

#### **Recovery teams**

- Emergency management team (EMT) including MD, Quality Manager and Area
- Managers

- IT technical services (IT)

#### Team member responsibilities

Each team member will designate an alternate

All of the members should keep an updated calling list of their work team members' work, home, and cell phone numbers both at home and at work.

All team members should keep this plan for reference at home in case the disaster happens after normal work hours. All team members should familiarize themselves with the contents of this plan.

## 6.Security Incidents

Describe the specific processes and policies in place to ensure action is instigated when suspected incidents of misuse or breaches of security occur.

Before a disciplinary hearing is convened there will normally be an investigation into the circumstances of the alleged misconduct. The purpose of the investigation is to:

- establish the nature of the allegations
- gather evidence to enable a decision to be taken on whether there is a disciplinary case to answer
- consider if the matter should proceed to a formal hearing

The individual will be informed promptly of any allegation and that an investigation to establish the facts will be undertaken. The investigation must be concluded as soon as reasonably possible whilst allowing sufficient time to interview relevant parties. Individuals must be kept informed if there is any unexpected delay in the process.

The individual's manager may appoint an 'investigatory manager' not immediately involved in the case to investigate the facts of the situation. A member of the Core team will assist in ensuring that the matters are handled fairly, reasonably and in compliance with current legislation and Best Practice procedures.

If there is no disagreement concerning the facts of the case because the individual admits misconduct, an investigation may not be necessary before a disciplinary hearing is arranged. However, in cases where misconduct is not admitted or if there are conflicting views or evidence, further investigation will usually be appropriate before a decision is taken to proceed to a formal hearing.

Investigatory Interviews are part of the process to establish whether disciplinary action is warranted. As part of the investigation the individual who is the subject of the allegation will be asked to attend an investigatory interview at which s/he may be accompanied. The individual must inform the investigating manager of any facts or witnesses that s/he feels are relevant to the case. Where appropriate, witnesses will also be interviewed. Interview statements which are signed and dated will be produced.

The outcomes of an investigation may be:

- There is no case to answer and therefore no disciplinary action is taken
- The matter is dealt with informally, if appropriate with support and or training to resolve the matter.
- Recommendation that there is a disciplinary case to answer and a disciplinary hearing should be arranged.

Please include details of your disciplinary policy in relation to data security.

We will report any security incidents directly to DWP. We will also follow our Malpractice and disciplinary procedure when suspected incidents of misuse or breaches of security occur. As a training provider, we are compliant of the Data Protection Act in all aspects of course delivery and ensure all staff are aware of the need to provide protection of any information shared.

Nina Griggs, Quality Manager is the designated Security Officer for this provision.

We will not subcontract any areas of course delivery. This provision will be solely provided by Best Practice Training & Development Ltd.

We will comply with all policies and standards of DWP.

Please can you confirm that you will inform DWP immediately of any incidents that could compromise Authority Data

Yes



DBS and Security of  
Information Policy 20



Data Protection  
Policy 2015.doc

## **SCHEDULE 7 – SUSTAINABLE DEVELOPMENT REQUIREMENTS**

This schedule sets out the Sustainable Development Requirements which are applicable to the provision of the Services.

### **1 General**

- 1.1 The Contractor acknowledges that the Authority must at all times be seen to be actively promoting Sustainable Development through its environmental, social and economic responsibilities.
- 1.2 In delivering the Services, the Contractor shall and shall ensure that its Sub-contractors assist and cooperate with the Authority, by fully complying with the requirements of this Schedule

### **2 Compliance**

- 2.1 The Contractor shall produce a Sustainable Development Policy Statement and Sustainable Development Plan in accordance with paragraphs 2.2 and 2.3 of this Schedule, within 6 (six) months of the Commencement Date and annually thereafter. The Sustainable Development Policy Statement and Sustainable Development Plan must be specific to the Contract and include all Sub-contractors involved in delivery of the Contract. The Contractor must obtain the required information from Sub-contractors and then collate and submit as stated above.
- 2.2 In delivering the Services, the Contractor shall prepare a Sustainable Development Policy Statement giving, for each organisation involved in delivery of the contract an overarching commitment to:
  - a) dispose of contract waste in a legal manner (i.e. waste is disposed of via a registered waste collector, the Waste Electrical and Electronic Equipment (WEEE) regulations are adhered to where relevant);
  - b) reduce energy consumption;
  - c) promote waste management including recycling;
  - d) promote green or public transport;
  - e) promote Corporate Social Responsibility (CSR);
  - f) the Sustainable Development Policy and that of continuous improvement which should be signed and dated by senior management.
- 2.3 In delivering the Services, the Contractor shall prepare and deliver a Sustainable Development Plan which should be used to turn the commitment shown in the Sustainable Development Policy into action and which as a minimum, detail how each organisation involved in delivery of the contract will:
  - a) reduce their **Environmental** footprint of this contract through:
    - (i) minimising the use of energy, water and materials;
    - (ii) minimising waste and increasing recycling levels;
    - (iii) utilising recycled goods within operations;
    - (iv) providing efficient low carbon delivery methods;

- (v) promoting the use of green or public transport.
- b) contribute to **Social** sustainability of this contract through:
  - (i) purchasing goods and services that are produced and delivered in line with International Labour Organisation principles in respect to human rights and conditions of employment;
  - (ii) supporting a diverse supply chain by cultivating opportunities for Minority Owned Businesses;
  - (iii) providing adequate training opportunities for all employees.
- c) drive **Economic** sustainability of this contract through:
  - (i) supporting job creation both locally and nationally;
  - (ii) facilitating opportunities for Minority Owned Businesses and Small and Medium-sized Enterprises.

2.4 To aid the department in monitoring the progress of each organisation the following information should also be included in your plan:

- a) a baseline assessment of current position in terms of waste minimisation, recycling and energy consumption (energy consumption only required if current energy usage is available to organisations);
- b) annual estimates of the progress of Sustainable Development actions;
- c) details of how Staff awareness of Sustainability will be increased in line with the Sustainable Development Plan.

## **SCHEDULE 8 – DIVERSITY AND EQUALITY REQUIREMENTS**

### **1 General**

- 1.1 The Contractor acknowledges that the Authority has a 'duty to promote' equality and must at all times be seen to be actively promoting equality of opportunity for, and good relations between, all persons from the protected characteristic groups covered by the Equality Act: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; and sexual orientation. The Contractor must ensure that each of its Sub-contractors involved in delivery of the contract are aware of, and acknowledge, that the Authority has a 'duty to promote' equality.
- 1.2 In delivering the Services, the Contractor shall, and shall ensure that its Sub-contractors, assist and cooperate with the Authority in satisfying Equality duties by fully complying with the requirements of this Schedule.

### **2 Compliance**

- 2.1 The Contractor acknowledges the provisions of the equality legislation set out in clause D2 (Discrimination).
- 2.2 The Contractor shall produce a Diversity and Equality Delivery Plan in accordance with paragraph 2.5 (and sub paragraphs) and paragraph 2.6 (and sub paragraphs) of this Schedule, within six (6) Months of the Commencement Date, and annually thereafter. The Diversity and Equality Delivery Plan must be specific to the Contract and include details for all Sub-contractors involved in delivery of the Contract.
- 2.3 The Contractor will provide workforce monitoring data in accordance with paragraph 3 (and sub paragraphs) of this Schedule, within six (6) Months of the Commencement Date and annually thereafter.
- 2.4 The Authority will consider and agree the submissions made by the Contractor when complying with paragraph 2 (and sub paragraphs of paragraph 2) and paragraph 3 (and sub paragraphs of paragraph 3) of this Schedule. Any issues will be raised with the Contractor by the Contract Manager acting on behalf of the Authority. If an issue relates to a Sub-contractor, the Contractor must raise and resolve the issue with the Sub-contractor. Once submissions are agreed by the Authority the Contractor will formally review, revise and resubmit all information required in paragraph 2.2 and paragraph 2.3 on an annual basis. Diversity and Equality aspects will also be discussed jointly by the Authority and the Contractor as an ongoing item at the Contract review meetings.
- 2.5 In delivering the Services, the Contractor shall prepare the Diversity and Equality Delivery Plan which as a minimum includes:
- a) an overview of Contractor and any Sub-contractor's policy/policies and procedures for preventing unlawful discrimination and promoting equality of opportunity in respect of:

- i) age;
  - ii) disability;
  - iii) gender reassignment;
  - iv) marriage and civil partnership;
  - v) pregnancy and maternity;
  - vi) race;
  - vii) religion or belief;
  - viii) sex; and
  - ix) sexual orientation.
- b) an overview of Contractor and any Sub-contractor's policy/policies and procedures covering:
  - i) harassment
  - ii) bullying
  - iii) victimisation
  - iv) recruitment procedures
  - v) staff training and development

Full policy documents must be made available to the Authority on request.

- c) Details of the way in which the above policy/policies and procedures are, or will be (and by when), communicated to the Staff;
- d) Details of what general diversity and equality related training has been, or will be delivered (and by when), to Staff;
- e) Details of what structure is already in place, or will be in place (and by when) and what resources are, or will be (and by when), directed towards diversity and equality within the Contractor and any Sub-contractor's organisation; and
- f) Details of any diversity and equality cases and tribunals (including volumes and outcomes) relating to the Contractor and any Sub-contractors.

2.6 In delivering the Services, the Contractor shall provide evidence, as required below, within the Diversity and Equality Delivery Plan as detailed at paragraph 2.2 of this Schedule:

- a) Where a Contractor is delivering Services to customers on behalf of the Authority or Services to the Authority's staff, the Contractor must provide written evidence that:
  - i) Equality Analysis has been carried out in conjunction with the Authority prior to the Services being delivered and will be carried out in the event of any changes to the Services, in accordance with equality legislation;
  - ii) reasonable adjustments are made, as required by equality legislation to make those Services accessible to disabled people and that in the case of Information Technology services, those services are in accordance with the Authority's standards;



- iii) all Staff have had appropriate training so that they understand the duties required by equality legislation, and where Services are being delivered on behalf of the Authority, the Contractor shall provide evidence that Staff understand the duties not to discriminate and to promote equality, in accordance with equality legislation.

- 2.7 The Authority may request further information and assurance relating to Diversity & Equality at any point during the duration of the Contract.

### **3 Monitoring and Reporting**

- 3.1 The Contractor shall provide workforce monitoring data as detailed in Appendix 3 (Workforce Monitoring Data Template) of the Diversity and Equality Guidance for Contractors document which is a supporting document to this ITT, or can be provided by the Authority on request. Completed templates for the Contractor and each Sub-contractor will be submitted by the Contractor with the Diversity and Equality Delivery Plan within six (6) Months of the Commencement Date and annually thereafter. Contractors are required to provide workforce monitoring data for the workforce involved in delivery of the Contract. Data relating to the wider Contractor workforce and wider Sub-contractors workforce would however be well received by the Authority. Contractors and any Sub-contractors are required to submit percentage figures only in response to paragraphs (a), (b) and (c) of the template.
- 3.2 The Contractor and any Sub-contractors will compare their figures, in all categories listed in paragraphs (a) & (b) of the template, and provide (where possible) comparisons against any official national/regional statistics that are publicly available. (In the Diversity & Equality guidance for contractor's document there are links to a number of data collection sources but it must be stressed this is not a full exhaustive list and other sources will be available). The Department acknowledges that there are regional variations in terms of population demographics and some data categories and coverage may not be complete or fully align, however, it should enable high level analysis and identification of trends.
- 3.3 The Contractor and any Sub-contractors will provide evidence of activities undertaken, or planned, in order to try and improve their current position in the categories detailed in paragraphs (a) & (b) of the template.
- 3.4 The Contractor shall, and shall ensure that its Sub-contractors will ensure at all times that they comply with the requirements of the DPA in the collection and reporting of the information to the Authority.

**SCHEDULE 9 – Not Used**

## **SCHEDULE 10 – APPRENTICESHIPS AND SKILLS REQUIREMENTS**

### **1 General**

- 1.1 Government is committed to addressing skills issues and promoting training opportunities through procurement, to maximise the potential for improvements provided by its considerable spend.
- 1.2 Supporting apprenticeships, skills and the fight against youth unemployment will support and drive economic growth.
- 1.3 The Contractor acknowledges that the Authority is required to support the apprenticeships and skills aims and targets.
- 1.4 In delivering the Services, the Contractor shall, and shall ensure that its Sub-contractors assist and cooperate with the Authority by fully complying with the requirements of this Schedule.

### **2 Compliance**

During the delivery of the Services:

- 2.1 The Contractor shall and shall ensure that its Sub-contractors take all reasonable steps to employ apprentices, and report to the Authority the numbers of apprentices employed and wider skills training provided.
- 2.2 The Contractor shall and shall ensure that its Sub-contractors shall take all reasonable steps to ensure that five percent (5%) of their employees are on a formal apprenticeship programme. This can include administration and support staff.
- 2.3 The Contractor shall and shall ensure that its Sub-contractors make available to employees information about the Government's Apprenticeship Programme and wider skills opportunities.
- 2.4 The Contractor shall and shall ensure that its Sub-contractors provide any appropriate further skills training opportunities for employees.

### **3 Monitoring and reporting**

- 3.1 The Contractor shall provide an Apprenticeships and Skills Report within six (6) Months of the Commencement Date and annually thereafter. The Apprenticeships and Skills Report must be specific to the Contract and include details for all Sub-contractors. The Contractor must obtain the required information from Sub-contractors and collate and submit an Apprenticeships and Skills Report.

In the delivery of the contract, the Apprenticeships and Skills Report will include:

- a) the number of Staff during the reporting period, including administration and support staff;
- b) the number of existing apprentices involved;
- c) the number of new starts on apprenticeships initiated as a result of delivering the Contract;

- d) if applicable, a robust explanation as to why it is not possible to meet the five percent (5%) target. (It may be that use of apprentices is not possible or appropriate in delivery of the Services);
- e) action being taken to improve the take up of apprenticeships. These could include issuing leaflets on apprenticeships to eligible existing staff, advertising apprenticeship vacancies with local Jobcentre Plus, schools and colleges, offering apprenticeships in administration/support roles or seeking advice from the National Apprenticeship Service; and
- f) other training/skills development being undertaken by staff:
  - i) Work experience placements for 14 to 16 year olds
  - ii) Work experience/work trial placements for other ages
  - iii) Student sandwich/gap year placements
  - iv) Graduate placements
  - v) Vocational training
  - vi) Basic skills training
  - vii) On site training provision/facilities.

3.2 The Contractor shall, and shall ensure that its Sub-contractors will ensure at all times that they comply with the requirements of the DPA in the collection and reporting of the information to the Authority.