



**Department
for Education**

**CONTRACT FOR RESEARCH PROJECT FOR EDUCATIONAL PSYCHOLOGY
WORKFORCE IN ENGLAND
PROJECT REFERENCE NO: DFERPPU/2018/009**

This Contract is dated 03/08/18

Parties

- 1) The Secretary of State for Education whose Head Office is at Sanctuary Buildings, Great Smith Street, LONDON, SW1P 3BT ("the Department"); and
- 2) The University of Warwick, whose administrative offices are at, University House Coventry CV4 8UW ("the Contractor").

Recitals

The Contractor has agreed to undertake the Project on the terms and conditions set out in this Contract. The Department's reference number for this Contract is DFERPPU/2018/09

Commencement and Continuation

The Contractor shall commence the Project on the date the Contract was signed by the Department (as above) and, subject to Schedule Three, Clause 10.1 shall provide a draft report on or before 28th September 2018 and complete the project on or before 12th October 2018.

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**Authorised to sign for and on behalf
of the Secretary of State for Education**

**Authorised to sign for and on behalf
of Institute for Employment Research**

Signature

Signature

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Date 7/9/18

Date 8/8/2018.

Name in Capitals

Name in Capitals

STUART MILLER
Deputy Director of the SEND, Alternative
Provision and Attendance Unit
Sanctuary Buildings
Great Smith Street
London
SW1P 3BT

Assistant Director, Contracts
Research & Impact Services
University of Warwick
Coventry
CV4 8UW

1. Interpretation

1.1 In this Contract the following words shall mean:-

- "the Project" the project to be performed by the Contractor as described in Schedule One;
- "the Project Manager" [REDACTED]
Attendance Unit Life Skills, Disadvantage and SEND group, The Agora Building, Nottingham, NG1 6HU, Mobile [REDACTED], email: [REDACTED]
- "the Contractor's Project Manager" [REDACTED], Warwick Institute for Employment Research, University of Warwick Coventry CV4 7AL, Phone [REDACTED] (W) [REDACTED] (Home Office) [REDACTED]
- "the Act and the Regulations" means the Copyright Designs and Patents Act 1988 and the Copyright and Rights in Databases Regulations 1997;
- "Affiliate" in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time;
- "BPSS"
"Baseline Personnel Security Standard"
- a level of security clearance described as pre-employment checks in the National Vetting Policy. Further Information can be found at: <https://www.gov.uk/government/publications/government-baseline-personnel-security-standard>;
- "CC"
"Common Criteria"
- the Common Criteria scheme provides assurance that a developer's claims about the security features of their product are valid and have been independently tested against recognised criteria;
- "CCP"
"Certified Professional"
- is a NCSC scheme in consultation with government, industry and academia to address growing need for specialists in the cyber security profession and building a community of recognised professionals in both the UK public and private sectors. See website: <https://www.ncsc.gov.uk/scheme/certified-professional>;
- "CCSC"
"Certified Cyber Security Consultancy"
- is NCSC's approach to assessing the services provided by consultancies and confirming that they meet NCSC's standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website: <https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy>;
- "Commercially Sensitive" information of a commercially sensitive nature relating

Information"	to the Contractor, its IPR or its business or which the Contractor has indicated to the Department that, if disclosed by the Department, would cause the Contractor significant commercial disadvantage or material financial loss;
"Confidential Information"	means all information which has been designated as confidential by either party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including but not limited to information which relates to the business, affairs, properties, assets, trading practices, services, developments, trade secrets, Intellectual Property Rights, know-how, personnel, customers and suppliers of either party and commercially sensitive information which may be regarded as the confidential information of the disclosing party;
"Contracting Department"	any contracting authority as defined in Regulation 5(2) of the Public Contracts (Works, Services and Supply) (Amendment) Regulations 2000 other than the Department;
"Contractor Personnel"	all employees, agents, consultants and contractors of the Contractor and/or of any Sub-contractor;
"Contractor Software"	software which is proprietary to the Contractor, including software which is or will be used by the Contractor for the purposes of providing the Services;
"Control"	means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and "Controls" and "Controlled" shall be interpreted accordingly;
"Controller"	take the meaning given in the GDPR;
"Copyright"	means any and all copyright, design right (as defined by the Act) and all other rights of a like nature which may, during the course of this Contract, come into existence in or in relation to any Work (or any part thereof);
"Copyright Work"	means any Work in which any Copyright subsists;
"CPA"	is an 'information assurance scheme' which
"Commercial Product Assurance" [formerly called "CESG Product Assurance"]	evaluates commercial off the shelf (COTS) products and their developers against published security standards. These CPA certified products Can be used by government, the wider public sector and industry. See website: https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa ;
"Crown Body"	any department, office or agency of the Crown;
"Cyber Essentials"	Cyber Essentials is the government backed,
"Cyber Essentials Plus"	industry supported scheme to help organisations

protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme;

There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers

<https://www.iasme.co.uk/apply-for-self-assessment/>;

"Data"

means all data, information, text, drawings, diagrams, images or sound embodied in any electronic or tangible medium, and which are supplied or in respect of which access is granted to the Contractor by the Department pursuant to this Contract, or which the Contractor is required to generate under this Contract;

"Data Loss Event"

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

"Data Protection Impact Assessment"

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

"Data Protection Legislation"

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

"Data Protection Officer"

take the meaning given in the GDPR;

"Data Subject"

take the meaning given in the GDPR;

"Data Subject Access Request"

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

"Department Confidential Information"

all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, know-how, personnel, and suppliers of the Department, including all IPRs, together with all information derived from any of the above, and any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered to be confidential;

"Department's Data"

"Department's Information"

is any data or information owned or retained in order to meet departmental business objectives and tasks, including:

(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 Department; 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 Department is the Controller;
"DfE"	means the Department for Education;
"Department"	
"Department Security Standards"	means the Department's security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver;
"Digital Marketplace/GCloud"	the Digital Marketplace is the online framework for identifying and procuring cloud technology and people for digital projects. Cloud services (e.g. web hosting or IT Health checks) are on the G-Cloud framework;
"DPA 2018"	Data Protection Act 2018;
"Effective Date"	the date on which this Contract is signed by both parties;
"Environmental Information Regulations"	the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issues by the Information Commissioner or relevant Government Department in relation to such regulations;
"FIPS 140-2"	this is the Federal Information Processing Standard (FIPS) Publication 140-2, (FIPS PUB 140-2), entitled 'Security Requirements for Cryptographic Modules'. This document is the de facto security standard used for the accreditation of cryptographic modules;
"FOIA"	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;
"GDPR"	the General Data Protection Regulation (Regulation (EU) 2016/679);
"Good Industry Practice" "Industry Good Practice"	means the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"Good Industry Standard" "Industry Good Standard"	means the implementation of products and solutions, and the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"GSC" "GSCP"	means the Government Security Classification Policy

	<p>which establishes the rules for classifying HMG information. The policy is available at: https://www.gov.uk/government/publications/government-security-classifications;</p>
"HMG"	means Her Majesty's Government;
"ICT"	means Information and Communications Technology (ICT) used as an extended synonym for Information Technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution;
"ICT Environment"	the Department's System and the Contractor System;
"Impact"	means a) academic impact: the demonstrable contribution that excellent research makes to academic advances, across and within disciplines, including significant advances in understanding, methods, theory, application and academic practice; and b) wider impact: the effect on, change to or benefit to the economy, society, culture, public policy or services, health, the environment, or quality of life, beyond academia.
"Information"	has the meaning given under section 84 of the Freedom of Information Act 2000;
"Intellectual Property Rights"	means patents, trade marks, service marks, design (rights whether registerable or otherwise), applications for any of the foregoing, know-how, rights protecting databases, trade or business names and other similar rights or obligations whether registerable or not in any country (including but not limited to the United Kingdom);
"ISO/IEC 27001" "ISO 27001"	is the International Standard describing the Code of Practice for Information Security Controls;
"ISO/IEC 27002" "ISO 27002"	is the International Standard describing the Code of Practice for Information Security Controls;
"IT Security Health Check (ITSHC)" "IT Health Check (ITHC)" "Penetration Testing"	means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on the IT system;
"LED"	Law Enforcement Directive (Directive (EU) 2016/680);
"Malicious Software"	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;
"Need-to-Know"	the Need-to-Know principle is employed within HMG to

	limit the distribution of classified information to those people with a clear 'need to know' in order to carry out their duties;
"NCSC"	The National Cyber Security Centre (NCSC) formerly CESA is the UK government's National Technical Authority for Information Assurance. The NCSC website is http://www.ncsc.gov.uk ;
"OFFICIAL" "OFFICIAL SENSITIVE"	the term 'OFFICIAL' is used to describe the baseline level of 'security classification' described within the Government Security Classification Policy (GSCP) which details the level of protection to be afforded to information by HMG, for all routine public sector business, operations and services. the 'OFFICIAL-SENSITIVE' caveat is used to identify a limited subset of OFFICIAL information that could have more damaging consequences (for individuals, an organisation or government generally) if it were lost, stolen or published in the media, as described in the Government Security Classification Policy;
"Original Copyright Work"	means the first Copyright Work created in whatever form;
"Personal Data"	take the meaning given in the GDPR;
"Personal Data Breach"	take the meaning given in the GDPR;
"Processor"	take the meaning given in the GDPR;
"Protective Measures"	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;
"Regulatory Bodies"	those government departments and regulatory, statutory and other entities, committees 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 this Contract or any other affairs of the Department and "Regulatory Body" shall be construed accordingly;
"Request for Information"	a request for information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations;
"Secure Sanitisation"	Secure sanitisation is the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level. Some forms of sanitisation will allow you to re-use the media unusable. Secure sanitisation was previously

	<p>covered by "Information Assurance Standard No.5 – Secure Sanitisation" ("IS5") issued by the former CESG. Guidance can be found at: https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media;</p> <p>The disposal of physical documents and hardcopy materials advice can be found at: https://www.cpni.gov.uk/secure-destruction;</p>
<p>"Security and Information Risk Advisor" "CCP SIRA" "SIRA"</p>	<p>the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: https://www.ncsc.gov.uk/articles/about-certified-professional-scheme;</p>
<p>"SPF" "HMG Security Policy Framework"</p>	<p>This is the definitive HMG Security Policy which describes the expectations of the Cabinet Secretary and Government's Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely. https://www.gov.uk/government/publications/security-policy-framework;</p>
<p>"Staff Vetting Procedures"</p>	<p>the Department's procedures and departmental policies for the vetting of personnel whose role will involve the handling of information of a sensitive or confidential nature or the handling of information which is subject to any relevant security measures, including, but not limited to, the provisions of the Official Secrets Act 1911 to 1989;</p>
<p>"Sub-Contractor"</p>	<p>the third party with whom the Contractor enters into a Sub-contract or its servants or agents and any third party with whom that third party enters into a Sub-contract or its servants or agents;</p>
<p>"Sub-processor"</p>	<p>any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;</p>
<p>"Third Party Software"</p>	<p>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, and</p>
<p>"Work"</p>	<p>means any and all works including but not limited to literary, dramatic, musical or artistic works, sound recordings, films, broadcasts or cable programmes, typographical arrangements and designs (as the same are defined in the Act) which are created from time to time during the course of this Contract by the Contractor or by or together with others at the Contractor's request or on its behalf and where such works directly relate to or are created in respect of the performance of this Contract or any part of it;</p>
<p>"Working Day"</p>	<p>any day other than a Saturday, Sunday or public</p>

holiday in England and Wales.

- 1.2 References to "Contract" mean this contract (and include the Schedules).
References to "Clauses" and "Schedules" mean clauses of and schedules to this Contract. The provisions of the Schedules shall be binding on the parties as if set out in full in this Contract.
- 1.3 Reference to the singular include the plural and vice versa and references to any gender include both genders. References to a person include any individual, firm, unincorporated association or body corporate.

SCHEDULE ONE

1 BACKGROUND

Educational Psychologists (EPs) work with children and young people (0-25 years) who have a Special Educational Need or Disability (SEND) or Learning Difficulty or Disability (LDD), as well as with other vulnerable groups. Their role is to support children and young people to achieve their full potential through assessment, monitoring and evaluation in schools and other settings; the input of an EP is a statutory requirement of the Education, Health and Care (EHC) plan assessment process.¹

To become a qualified EP, trainees are required to undertake a 3-year doctorate training course. The first year is university based, with the second and third years spent on practice placement in a Local Authority (LA) or other organisation working alongside a senior EP. When qualified, most EPs go on to employment within the public sector: the majority will work in LAs, while others may be employed directly by schools or by Child and Adolescent Mental Health Services (CAMHS). A small but increasing number of EPs are also self-employed or working in private practice.²

The Department for Education (DfE) commissions and funds providers to deliver the EP training course in order to ensure a steady supply of EPs to LAs in England. This is in order to enable LAs, when assessing a child and young person for an EHC plan, to obtain psychological advice and information from an educational psychologist. This requirement is set out in the SEND Code of Practice.

At present, the department funds 160 EP Funded Training (EPFT) places per annual intake, distributed across 13 universities³. Recruitment for EP training courses is consistently high⁴ and attrition consistently low⁵, yet we know that many LAs experience difficulties recruiting sufficient EPs to meet demand for their services. Based on anecdotal evidence, one possible driver of this is a lack of trainee EPs undertaking practice placements at certain LAs, with trainees citing long travel times and possible relocation costs as barriers to taking up placements far from their university.

Responding to these concerns, DfE is considering the possibility of moving to a regional commissioning model for EP training providers. The current distribution of training provider places does not correspond to the distribution of LAs in England: a regional model, meanwhile, would see places redistributed so that they broadly correspond to the number of LAs in each region. The department have already done some work to scope the implementation and financial implications of this model. This project will enable the Department to take an evidence-based approach to reported EP shortages.

¹ SEND Code of Practice (2015) – Advice and Information for EHC Needs Assessments, pp155 - 156

² Association of Educational Psychologists website - <http://www.aep.org.uk/careers/>

³ 150 of these places are provided by 12 universities, split into 2 consortia: SEEL covers London and the South East and has 70 trainee placements, while NORMID-SW cover the North and South West and have 80 trainee placements. DfE has also recently awarded a new contract to the University of East Anglia (UEA) for 10 trainee placements: their first cohort will begin training in 2019.

⁴ The demand for educational psychology funded place training is high, with an average of six applicants per available place (Review of clinical and educational psychology training arrangements, p25)

⁵ In 2014 – 15, the national attrition rate for educational psychology training was 0.99% (Review of clinical and educational psychology training arrangements, p26)

2 AIM

The Contractor shall use reasonable endeavours to achieve the following aims:

- Gather evidence on the distribution and demographic characteristics of the current EP workforce – with a particular focus on the LA EP workforce
- Map existing and projected EP shortages
- Provide robust evidence to enable the Department to make evidence-based decisions to inform any future reforms to the EP training provider commissioning model, and in particular to inform the commissioning of the next round of EP training provider contracts in January 2019.

3 OBJECTIVES

The Contractor shall use reasonable endeavours to achieve the following objectives:

- Map the current distribution and demographic profile of the LA educational psychologist workforce in England
- Where possible, map the current distribution and demographic profile of the non-LA educational psychologist workforce in England
- Provide evidence on factors driving shortages of trainee and qualified EPs in certain LAs. The research requires the use a range of research methods to build evidence on the factors driving existing and projected shortages, including for example whether distance from training providers and the ability to recruit trainee EPs for practice placements are important factors in determining LA EP capacity.
- Support an evidence-based decision on whether to implement a regional commissioning model or an alternative solution based on the factors above

4 MILESTONES AND TASKS

SCHEDULE OF WORK

Key milestones for the contractor to achieve for this project are:

Milestones	Output	Date required by DfE
Task 1: Identify participants for expert interviews, focus groups and telephone interviews, develop topic guides and recruitment materials (participant information form, consent form)	Topic guide for expert interviews Topic guide for Teesside case study Topic guides for telephone depth interviews and online focus groups Participant information sheets for expert interviews, Teesside case study, telephone depth interviews and online focus groups Consent form for all participants	6 th August 2018

	Recruitment sheets	
Task 2: Development of questionnaires, recruitment of all participants for expert interviews, stakeholder interviews and focus groups	<p>Questionnaire for online survey of EPs qualifying in the past 5 years</p> <p>Questionnaire for online survey of Principal EPs</p> <p>List of people to contact for interviews and focus groups</p>	10 th August
Task 3a: Semi-structured telephone interviews with experts completed	Meeting with IER and DfE to discuss outcomes	21st August
Task 3b: Analysis of existing data (2009-2018)	Report on the up to date profile of EP workforce.	27 th August
Task 4: Focus groups, semi structured telephone interviews and both surveys (PEPE's and EP's graduating in past 5 years) surveys completed	<p>Online census survey of PEPs at all of England's 152 LAs, with reminder email sent at an appropriate point and reasonable endeavours taken to reach a target response rate of 70%</p> <p>Online census survey of all EPs to have graduated within the last 5 years (approximately 750 respondents). Reasonable endeavours will be taken to reach a target response rate of 70%</p> <p>1 online focus group with 6/8 Teesside stakeholders, with relevant contacts to be provided by the DfE.</p> <p>1-2 online focus groups, each lasting 90 minutes and including 6-8 participants. Participants are likely to include training providers, course trainee representatives, representatives from ACDS, PEPs (LA / private practice / charitable sector), EP professional body representatives and wider stakeholders.</p> <p>Up to 10 telephone interviews with representatives from a range of LA areas (including LA areas with and without EP recruitment and retention problems). Participants</p>	17th September

	will be agreed with DfE and are likely to include training providers, course trainee representatives, representatives from ACDS, PEPs (LA / private practice / charitable sector), EP professional body representatives, wider stakeholders. The total number of participants reached via online focus groups and telephone interviews (excluding expert stakeholder interviews) will be at least 24.	
Task 5: Analysis and Reporting	<p>Fortnightly progress reports including a risk register</p> <p>Meeting to discuss emerging themes with IER, DfE team (KW, HH, AI and research team member) (w/c 27th August)</p> <p>Delivery of emerging findings (17th September), draft report (28th September) with a minimum of 2 commenting rounds</p> <p>Delivery of final report (12th October)</p>	All analysis and reporting completed by 12 th October

Costed Tasks

TASKS	CL	DO	BB	GA	SP	MO	Total days	Total cost
<i>Day rate</i>								
Project management and ethical review submission	2		1				3	
8 expert interviews	1		2	2	1		6	
Analysis of existing data, including scoping data sources and producing profiles		12					12	
Online survey of Principal EPs, including accessing participants, design and data analysis	2	2	2	5	2		13	
Semi-structured telephone interviews x 8*, including accessing participants, design and data analysis	1		3	3	2		9	
Online focus groups x 2*, including accessing participants, design and data analysis	1		4	4	2		11	
Online FG x 1 (Teesside)	1		2	2			5	
Online survey of all graduate EPs, including accessing participants, design and data analysis	1	1	3.5	6	2		13.5	

Final report preparation	4	2	3	3	1		13	
Critical reader						1	1	
TOTAL STAFF DAYS	13	17	20.5	25	10	1	86.5	
TOTAL STAFF COSTS								
Online focus groups via VisionsLive platform x 3								
Prize draw for 1 online survey with students or recent EP graduates (3 x £50 Amazon voucher for each)								
TOTAL COSTS								57,684

5 METHODOLOGY

The contractor will achieve the aims of the research using the following stages:

Stage 1) Semi-structured telephone interviews (30 minutes) with 8 expert stakeholders

Stage 2) Scoping and analysing currently available EP workforce data and production of short summary of findings with tables and figures.

Stage 3) Online census survey of PEPs at all of England's 152 LAs

Stage 4) Semi-structured telephone interviews and online focus groups: online focus groups and telephone interviews with a total of at least 24 stakeholders including training providers, course trainee representatives, the Association of Directors of Children Services Principal Eps, EP professional body representatives and wider stakeholders (across 1-2 online focus groups involving 6-8 participants each, and up to 20 telephone interviews). An additional online focus group will involve stakeholders from Teesside LA area, with contact details to be provided by DfE.

Stage 5) Online census survey of all EPs qualifying in the past 5 years

In order to complete the project within the specified timelines, the contractor will conduct Stage 1 (expert interviews) and Stage 2 (analysis of workforce data) first (w/c 16th July), and run the focus groups, telephone interviews and online surveys running simultaneously after w/c 23rd July.

All data collection tools and fieldwork materials will be cleared with the Department before any fieldwork commences.

Stage 1) Semi-structured telephone interviews (30 minutes) with 8 expert stakeholders:

The contractor will conduct 8 semi-structured telephone interviews with key ('expert') stakeholders in order to:

- Obtain information on the changing pattern of organisations employing EPs
- Identify existing data sources on the EP workforce
- Identify their views on the reasons for EP shortages

The final list of stakeholders to be interview will be agreed with the DfE, and is likely to include representatives of:

- LA EP services
- The Association of Educational Psychologists (AEP)
- The British Psychological Society (BPS): Division of Educational and Child Psychology
- The National Association of Principal Educational Psychologists (NAPEP)
- The Health and Care Professions Council (HCPC)
- EP training providers
- Association of Child Psychologists in Private Practice (ACHIPP)
- The Association of Directors of Children's Services (ADCS)

The contractor will develop a project information form, a consent form and a semi-structured topic guide for the interviews. All recruitment and fieldwork tools will be agreed with the DfE before being deployed. The telephone interviews will be designed to last approximately 30 minutes and will cover the role/position of the respondent, the respondent's views on changing patterns of employment and current EP shortages, the respondent's views on potential changes to the EP training commissioning model and – where appropriate – the availability of EP workforce data held by the respondent's organisation.

The contractor will request consent to make an audio recording of the telephone interviews. If consent is given, the interview will be recorded; if consent is not given, the interview will be written up as comprehensive notes during and after the interview.

The contractor will use the findings from the expert interviews to inform the design of the topic guides for interviews and focus groups with stakeholders (training providers, course trainee representatives, the Association of Directors of Children Services Principal EPs, EP professional body representatives) as well as the online survey questionnaires with PEPs and EPs graduating in the past 5 years.

The contractor will analyse the data from the expert interviews using thematic analysis. Data will be coded and analysed according to themes that emerge. The initial codes will be discussed and agreed upon by all qualitative researchers in the project team to ensure inter-coder reliability.

Stage 2) Scoping and analysing currently available EP workforce data

The contractor will use currently available EP workforce data from 2009-2018 from sources focussed on the profession to produce a profile of the profession.

The DfE will provide contact details for a number of organisations which may hold data on the EP workforce in England. The contractor will contact these organisations using the contact details provided and by any other means available in order to identify the data they hold and the extent to which this is available for use in this project (in line with organisation's own guidelines and with GDPR requirements). The contractor will begin this process as soon as possible following clearance from the University of Warwick ethics board.

At a minimum, the contractor will include the following information in the EP profile's:

- Demographic profile (age and gender);
- Duration and nature of employment;
- The services in which EPs are employed or whether they are employed on a self-employed basis only;
- The geographical distribution of EPs at Local Authority level

Wherever possible, the contractor will cross tabulate these characteristics.

The contractor will also use reasonable endeavours to gather evidence on the changing nature of EP employment in England, including:

- Shifts from local authority employment to employment by broader service providers
- Shifts towards employment in Academy chains or independent self-employment from working in LA's.
- Shifts in the methods used to commission the services of EPs

Stage 3) Online census survey of PEPs at all of England's 152 LAs

The contractor will:

- Design an online census survey using Qualtrics online survey software based on previous similar surveys such as the DfE EP Workforce Survey (2013) and the 2015 NAPEP survey of educational psychologists. Where appropriate, the wording of questions will be replicated from these surveys in order to allow comparisons to be made between the datasets and provide robust data about changes to the EP workforce over time. The survey will include a mixture of open and closed questions, to be agreed with the DfE.
- Target the whole population of Principal EPs in England's 152 Local Authorities. In order to achieve this, the contractor will coordinate with NAPEP, who offered to provide the contractor with 'information, assisting with a revision of the workforce survey as required, promoting the workforce survey, providing contacts, mobilising PEPs to attend focus groups and anything else'.
- Provide drafts of all data collection tools to the Department, prior to any fieldwork, for comment and later sign off
- Agree with the Department in advance of any survey activity taking place the consent arrangements that shall apply for each of the participant groups
- Leave the survey open for a minimum of 5 weeks, giving people adequate time to respond
- Monitor the response rate decay curve and identify a timely point to send out a reminder
- Aim for a 70% response rate and use reasonable endeavours to achieve this

The contractor will include questions on four key areas to match those asked about in the 2013 DfE surveys⁶ and 2015 NAPEP surveys:

1. **The profile of the EP workforce**, including employee and trainee headcount (full and part-time), demographic details of the EP and trainee population, and questions about recruitment;
2. **Commissioning and funding**, including issues related to working across boundaries and shared services, and anticipated changes to commissioning and funding models

⁶ <https://www.gov.uk/government/publications/educational-psychology-workforce-survey-results-2013>

- as a consequence of changes to, for example, the new SEN and disability system and conversion of Statements of SEN to EHC Plans and the diversification of potential commissioning sources;
3. **Service delivery and demand**, which includes questions about the setting in which EPs and trainee EPs are working, ability to meet current demand and anticipated changes in demand and staffing to meet this demand;
 4. **Details of the participant**, including some contact details (see below), job title and position, and the LA in which they work.

In addition to questions replicating the previous surveys, the contractor will include additional questions as agreed with the DfE.

Stage 4) Semi-structured telephone interviews and/or online focus groups

Online Focus Groups

The contractor will:

- a) Conduct 1-2 online focus groups, using VisionsLive online platform, with a range of relevant stakeholders, with each focus group lasting 90 minutes and including 6-8 participants. Stakeholders invited to participate will include training providers, course trainee representatives, representatives from ACDS, PEPs (LA / private practice / charitable sector), EP professional body representatives and wider stakeholders. The contractor will draw on the assistance of both the DfE and NAPEP in order to gain access to potential focus group participants.
- b) Conduct a single 90-minute online focus group with 6/8 stakeholders in the Teesside area. Contact details for these stakeholders will be provided by the DfE.

All online focus groups will be based on a single topic guide, designed using the findings from stages 1 and 2 and agree by the Department before going to field.

The contractor shall take notes at the time of the online focus groups and afterwards (one person will take notes and the other facilitate the discussion), but these will also be fully transcribed as part of the online process (all participants must have to consent to this beforehand).

8-10 Telephone Interviews

The contractor will:

- Conduct 8-10 semi-structured telephone interviews with relevant stakeholders identified in conjunction with the DfE. These stakeholders are likely to include training providers, course trainee representatives, representatives from ACDS, PEPs (LA / private practice / charitable sector), EP professional body representatives and wider stakeholders. The contractor shall use the data from the expert interviews to identify and include regions with particular workforce problems but also those without problems to identify examples of where EP recruitment works well.
- The contractor will ensure that a minimum of 24 participants are reached through semi-structured telephone interviews and the first two focus groups (not including the standalone Teesside focus group). The total number of telephone interviews conducted will depend on the number of participants recruited for online focus groups, but a minimum of stakeholders will be recruited for semi-structured telephone interviews.

- In the event that the contractor is unable to recruit enough participants to run meaningful online focus groups, the number of telephone interviews will be increased accordingly in order to reach a minimum of 24 stakeholders.
- The contractor will design the interview schedule in consultation with the Department based on the findings from Stages 1 and 2.
- The contractor will ensure confidentiality of responses in line with GDPR. The contractor will request consent to record interviews digitally. If consent is given, interviews will be recorded and recordings supplemented with detailed notes taken during and after the interview. If consent is not given, the interviewer will take detailed notes throughout the interview in order to minimise data loss as far as possible.
- The contractor will analyse the interview and focus group data using a framework approach (Ritchie and Spencer, 1994). Data will be coded and analysed according to themes that emerge using a coding procedure agreed by all team members. All coding and analysis will be crosschecked by another member of the research team in order to maintain inter-coder reliability. Comprehensive Excel spreadsheets will be designed to incorporate all key summary information. The findings will be synthesised and analysed for the final report and anonymised verbatim quotes will be used to highlight key themes.

Stage 5) Online survey of EPs qualifying in the past 5 years

In order to explore the employment choices and outcomes of EPs, the contractor will:

- Deliver an online survey of all EPs (approximately 750) who have qualified in the past five years. This will include EPs working in both LA and non-LA roles.
- Exhaust all possible avenues in order to reach the graduate EPs targeted by this survey. The starting point for this process will be contact with the HCPC. If possible, the contractor will work the HCPC to distribute a survey link to all registered EPs who have graduated within the last five years. If this is not possible, the contractor will aim to use data provided by the HCPC to identify employers of newly qualified EPs and approach them to circulate the survey.
- Design a survey which include a mixture of open and closed questions covering graduate EPs' employment choices and outcomes in order to allow respondents to give a rich picture of their decision-making processes while limiting the time required of respondents to complete the survey. The survey and all other fieldwork tools will be agreed with the Department before going into field.
- Monitor response rates and send timely reminders
- Use reasonable endeavours to maximise response rates and reduce response-bias by anticipating and mitigating potential issues in the survey before sending it out and monitoring survey responses to identify emerging issues with questions once the survey is live.
- Offer entry into a prize draw to win one of three £50 voucher prizes.

6. STAFFING

Project management

Clare Lyonette will lead the project. Clare will liaise directly with the Department and will keep them informed of any problems as soon as they arise. Clare will hold weekly telephone calls (and an email update) with the project manager at the Department to agree each stage and discuss progress, and an online teleconference with all team members from IER and the Department before report writing to agree key themes and report structure.

Staffing

The core IER team proposed for this study comprises four researchers supported by an administrative support staff member to organise interviews and focus groups and maintain interview summaries and other project outputs in secure project folders. In total, 86.5 days will be given to the project.

8. RISK MANAGEMENT The following sets out the key considerations and risks for the study.

Nature of risk	Likelihood of occurrence (high/medium/low)	Scale of impact	Means of mitigation
Difficulty in meeting timescales	High	High	<p>The contractor shall:</p> <ul style="list-style-type: none"> • Run all surveys simultaneously, rather than in sequence, to allow them to stay open for longer and to avoid duplication of effort • Resign the survey questionnaires as a priority at the start of the project • Draw on a large team of researchers to undertake fieldwork and other aspects of the project work, if required, to ensure its completion on time. <p>With the agreement of the Department, the contractor is able to re-conceptualise the approach to data gathering should the need arise, e.g. shifting from focus groups to telephone interviews in order to avoid delays if access issues arise.</p>
Educational psychologists and other stakeholders unwilling to participate	Medium	High	<p>The contractor shall draw upon the support of NAPEP and the Department to ensure fieldwork targets are met (administrative support has been built into the project to assist with this) and use 'tried and tested' methods of encouraging participation by using social media and other channels to advertise the project and its importance. Email reminders will also be sent out and we have included prize draws for two of the online surveys.</p>
Delays in gaining university ethical approval prior to fieldwork,	Medium	Medium	<p>The HSSREC ethics committee at the University of Warwick has a fast-track scheme allowing certain projects to gain early approval. The contractor has stated that they have used this on several occasions and will do so again.</p>

affecting the delivery of report			The contractor shall begin fieldwork as soon as ethical approval has been agreed and will work on workforce data and the survey questionnaires and interview topic guides while waiting for approval.
Illness of key personnel or changes in staffing	Low	Medium	The contractor has a large pool of researchers who can be called upon if required to deputise for other members of staff.

9 DATA COLLECTION

The Department seeks to minimise the burdens on Schools, Children's Services and Local Authorities (LAs) taking part in surveys.

When assessing the relative merits of data collection methods the following issues should be considered;

- Only data essential to the project shall be collected;
- Data should be collected electronically where appropriate/preferred;
- Questionnaires should be pre-populated wherever possible and appropriate;
- Schools must be given at least four working weeks to respond to the exercise from the date they receive the request; and
- LAs should receive at least two working weeks, unless they need to approach schools in which case they too should receive 4 weeks to respond;

The Contractor shall clear any data collection tools with the Department before engaging in fieldwork.

The Contractor shall check with the Department whether any of the information that they are requesting can be provided centrally from information already held.

10. CONSENT ARRANGEMENTS

The Department and the contractor shall agree in advance of any survey activity taking place the consent arrangements that shall apply for each of the participant groups. All participants should be informed of the purpose of the research, that the Contractor is acting on behalf of the Department and that they have the option to refuse to participate (opt out). Contact details should be provided including a contact person at the Department. Children who are 16 or over will usually be able to give their own consent but even where this is so, the Contractor, in consultation with the Department, should consider whether it is also appropriate for parents, guardians or other appropriate gatekeepers (e.g. schools, Local Authorities) to be informed when a child has been invited to participate in research audiences.

End of Schedule One

SCHEDULE TWO

1 Eligible expenditure

1.1 The Department shall reimburse the Contractor for expenditure incurred for the purpose of the Project, provided that:-

- (a) the expenditure falls within the heading and limits in the Table below; and
- (b) the expenditure is incurred, and claims are made, in accordance with this Contract.

Table

Project Milestone	Payment Amount	Payment Date
Research set up (research tools designed, participants recruited, discussion with organisations who we want to send out survey (HSPC) begun)		13 th August
All fieldwork completed, data analysis begun and short report with findings from analysis of existing data completed.		24 th September
1 st Draft of report		25 th September
Final Report		19 th October
Subtotal	£57,684	
VAT	£0	
Grand total	£57,684	

Total Project expenditure shall not exceed £57,684 exclusive of VAT.

- 2 The allocation of funds in the Table may not be altered except with the prior written consent of the Department.
- 3 The Contractor shall maintain full and accurate accounts for the Project against the expenditure headings in the Table. Such accounts shall be retained for at least 6 years after the end of the financial year in which the last payment was made under this Contract. Input and output VAT shall be included as separate items in such accounts.
- 4 The Contractor shall permit duly authorised staff or agents of the Department or the National Audit Office to examine the accounts at any reasonable time and shall furnish oral or written explanations of the accounts if required. The Department reserves the right to have such staff or agents carry out examinations into the economy, efficiency and effectiveness with which the Contractor has used the Department's resources in the performance of this Contract.

- 5 Invoices shall be submitted on the invoice dates specified in the Table, be detailed against the task headings set out in the Table and must quote the Department's Order Number. **The Purchase order reference number shall be provided by the department when both parties have signed the paperwork.** The Contractor or his or her nominated representative or accountant shall certify on the invoice that the amounts claimed were expended wholly and necessarily by the Contractor on the Projects in accordance with the Contract and that the invoice does not include any costs being claimed from any other body or individual or from the Department within the terms of another contract.
- 6 Invoices shall be sent to the Department for Education, PO Box 407, SSCL, Phoenix House, Celtic Springs Business Park, Newport, NP10 8FZ and/or by email to APinvoices-DFE-U@sscl.gse.gov.uk. Invoices submitted by email must be in PDF format, with one PDF file per invoice including any supporting documentation in the same file. Multiple invoices may be submitted in a single email but each invoice must be in a separate PDF file. The Department undertakes to pay correctly submitted invoices within 10 days of receipt. The Department is obliged to pay invoices within 30 days of receipt from the day of physical or electronic arrival at the nominated address of the Department. Any correctly submitted invoices that are not paid within 30 days may be subject to the provisions of the Late Payment of Commercial Debt (Interest) Act 1998. A correct invoice is one that: is delivered in timing in accordance with the contract; is for the correct sum; in respect of goods/services supplied or delivered to the required quality (or are expected to be at the required quality); includes the date, supplier name, contact details and bank details; quotes the relevant purchase order/contract reference and has been delivered to the nominated address. If any problems arise, contact the Department's Project Manager. The Department aims to reply to complaints within 10 working days. The Department shall not be responsible for any delay in payment caused by incomplete or illegible invoices.
- 7 The Contractor shall have regard to the need for economy in all expenditure. Where any expenditure in an invoice, in the Department's reasonable opinion, is excessive having due regard to the purpose for which it was incurred, the Department shall only be liable to reimburse so much (if any) of the expenditure disallowed as, in the Department's reasonable opinion after consultation with the Contractor, would reasonably have been required for that purpose.
- 8 If this Contract is terminated by the Department due to the Contractor's insolvency or default at any time before completion of the Projects, the Department shall only be liable under paragraph 1 to reimburse eligible payments made by, or due to, the Contractor before the date of termination.
- 9 On completion of the Project or on termination of this Contract, the Contractor shall promptly draw-up a final invoice, which shall cover all outstanding expenditure incurred for the Project. The final invoice shall be submitted not later than 30 days after the date of completion of the Projects.
- 10 The Department shall not be obliged to pay the final invoice until the Contractor has carried out all the elements of the Projects specified as in Schedule 1.
- 11 It shall be the responsibility of the Contractor to ensure that the final invoice covers all outstanding expenditure for which reimbursement may be claimed. Provided that all previous invoices have been duly paid, on due payment of the final invoice by the Department all amounts due to be reimbursed under this Contract shall be deemed

to have been paid and the Department shall have no further liability to make reimbursement of any kind.

End of Schedule Two

SCHEDULE THREE

1. Contractor's Obligations

- 1.1. The Contractor shall promptly and efficiently complete the Project in accordance with the provisions set out in Schedule One.
- 1.2. The Contractor shall comply with the accounting and information provisions of Schedule Two.
- 1.3. The Contractor shall comply with all statutory provisions including all prior and subsequent enactments, amendments and substitutions relating to that provision and to any regulations made under it.
- 1.4. The Contractor shall inform the Department immediately if it is experiencing any difficulties in meeting its contractual obligations.

2. Department's Obligations

- 2.1. The Department will comply with the payment provisions of Schedule Two provided that the Department has received full and accurate information and documentation as required by Schedule Two to be submitted by the Contractor for work completed to the satisfaction of the Department.

3. Changes to the Department's Requirements

- 3.1. The Department shall notify the Contractor of any material change to the Department's requirement under this Contract.
- 3.2. The Contractor shall use reasonable endeavours to accommodate any changes to the needs and requirements of the Department provided that it shall be entitled to payment for any additional costs it incurs as a result of any such changes. The amount of such additional costs to be agreed between the parties in writing.

4. Management

- 4.1. The Contractor shall promptly comply with all reasonable requests or directions of the Project Manager in respect of the Services.
- 4.2. The Contractor shall address any enquiries about procedural or contractual matters in writing to the Project Manager. Any correspondence relating to this Contract shall quote the reference number set out in the Recitals to this Contract.

5. Contractor's Employees and Sub-Contractors

- 5.1. Where the Contractor enters into a sub-contract with a supplier or contractor 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 30 days from the receipt of a valid invoice.

- 5.2. The Contractor shall take all reasonable steps to satisfy itself that its employees or any approved sub-contractors (or their employees) are suitable in all respects to perform the Project.
- 5.3. The Contractor shall immediately notify the Department if they have any concerns regarding the propriety of any of its sub-contractors in respect of work/services rendered in connection with this Contract.
- 5.4. The Contractor, its employees and sub-contractors (or their employees), whilst on Departmental premises, shall comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time.
- 5.5. The Contractor shall ensure the security of all the Property whilst in its possession, during the supply of the Project, in accordance with the Department's reasonable security requirements as required from time to time.
- 5.6. If the Department notifies the Contractor that it considers that an employee or sub-contractor is not appropriately qualified or trained to perform the Project or otherwise is not performing the Project in accordance with this Contract, then the Contractor shall, as soon as is reasonably practicable, take all such steps as the Department considers necessary to remedy the situation or, if so required by the Department, shall remove the said employee or sub-contractor from performing the Project and shall provide a suitable replacement (at no cost to the Department).
- 5.7. The Contractor shall take all reasonable steps to avoid changes of employees or sub-contractors assigned to and accepted to perform the Project under the Contract except whenever changes are unavoidable or of a temporary nature. The Contractor shall give at least four week's written notice to the Project Manager of proposals to change key employees or sub-contractors

6. Ownership of Intellectual Property Rights, Copyright & Licence to the Department

- 6.1. Ownership of Intellectual Property Rights including Copyright, in any guidance, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other materials prepared by or for the Contractor on behalf of the Department for use, or intended use, in relation to the performance by the Contractor of its obligations under the Contract shall belong to the Contractor

- 6.2. The Contractor hereby grants to the Department a non-exclusive license without payment of royalty or other sum by the Department in the Copyright to:
- 6.2.1 to do and authorise others to do any and all acts restricted by the Act as amended from time to time or replaced in whole or part by any statute or other legal means in respect of any Copyright Work in the United Kingdom and in all other territories in the world for the full period of time during which the Copyright subsists; and
 - 6.2.2 to exercise all rights of a similar nature as those described in Clause 6.2.1 above which may be conferred in respect of any Copyright Work by the laws from time to time in all other parts of the world
- 6.3 The Contractor now undertakes to the Department as follows:
- 6.3.1 not to assign in whole or in part the legal or beneficial title in any Copyright to any person, firm or company without the prior written consent of the Department the granting of which consent shall be at its absolute discretion.
 - 6.3.2 to procure that the Contractor is entitled both legally and beneficially to all Copyright.
 - 6.3.3 to record or procure the recording on each and every Copyright Work the name of the author or authors and the date on which it was created and retain safely in its possession throughout the duration of the Copyright all Original Copyright Works.
 - 6.3.4 in respect of the Original Copyright Works to:
 - 6.3.5 supply copies on request to the Department the reasonable costs in respect of which the Department will pay; and
 - 6.3.6 allow inspection by an authorised representative of the Department on receiving reasonable written notice;
 - 6.3.7 to take all necessary steps and use its reasonable endeavours to prevent the infringement of the Copyright by any person, firm or company which shall include an obligation on the part of the Contractor to commence and prosecute legal proceedings for any threatened or actual infringement where there is a reasonable chance of success and account to the Department after the deduction of all legal expenses incurred in any such proceedings for one half of all damages paid whether by order, settlement or otherwise.
 - 6.3.8 to waive or procure the waiver of any and all moral rights (as created by chapter IV of the Act) of authors of all Copyright Works be waived; and
 - 6.3.9 not to demand and to procure that where any further licences are granted by the Contractor otherwise than to the Department the Licensees thereof do not demand any payment in whatever form and from any person, firm or company directly or indirectly

for the undertaking of any of the acts restricted by the Copyright (as defined in section 16 of the Act) in relation to any Copyright Work except in so far as any demand or payment received represents only the reasonable costs which might normally be incurred in respect of such an act.

6.4 The Contractor now warrants to the Department that all Works:

6.4.1 will not infringe in whole or in part any copyright or like right or any other intellectual property right of any other person (wheresoever) and agrees to indemnify the Department against any and all claims, demands, proceedings, damages, expenses and losses including any of a consequential nature arising directly or indirectly out of any act of the Department in relation to any Work, where such act is or is alleged to be an infringement of a third party's copyright or like right or other intellectual property rights (wheresoever).

6.5 The warranty and indemnity contained in Clause 6.4.1 above shall survive the termination of this Contract and shall exist for the life of the Copyright.

7. Data Protection Act

7.1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the Department is the Controller and the Contractor is the Processor. The only processing that the Contractor is authorised to do is listed in Schedule 4 by the Department and may not be determined by the Contractor.

7.2. The Contractor shall notify the Department immediately if it considers that any of the Department's instructions infringe the Data Protection Legislation.

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

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

7.4. The Contractor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:

- (a) process that Personal Data only in accordance with Schedule 4, unless the Contractor is required to do otherwise by Law. If it is so required the Contractor shall promptly notify the Department before processing the Personal Data unless prohibited by Law;
- (b) ensure that it has in place Protective Measures, which have been reviewed and approved by the Department as appropriate to protect against a Data Loss Event having taken account of the:
 - (i) nature of the data to be protected;
 - (ii) harm that might result from a Data Loss Event;
 - (iii) state of technological development; and
 - (iv) cost of implementing any measures;
- (c) ensure that :
 - (i) the Contractor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 4);
 - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Contractor Personnel who have access to the Personal Data and ensure that they:
 - (A) are aware of and comply with the Contractor's duties under this clause;
 - (B) are subject to appropriate confidentiality undertakings with the Contractor or any Sub-processor;
 - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Department or as otherwise permitted by this Contract; and
 - (D) have undergone adequate training in the use, care, protection and handling of Personal Data; and
- (d) not transfer Personal Data outside of the EU unless the prior written consent of the Department has been obtained and the following conditions are fulfilled:
 - (i) the Department or the Contractor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Department;
 - (ii) the Data Subject has enforceable rights and effective legal remedies;
 - (iii) the Contractor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses reasonable endeavours to assist the Department in meeting its obligations); and
 - (iv) the Contractor complies with any reasonable instructions notified to it in advance by the Department with respect to the processing of the Personal Data;
- (e) at the written direction of the Department, delete or return Personal Data (and any copies of it) to the Department on termination of the Contract unless otherwise agreed in Schedule

4, or in the event that the Contractor is required by Law to retain the Personal Data.

- 7.5. Subject to clause 7.6, the Contractor shall notify the Department immediately if it:
- (a) receives a Data Subject Access Request (or purported Data Subject Access Request);
 - (b) receives a request to rectify, block or erase any Personal Data;
 - (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
 - (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - (f) becomes aware of a Data Loss Event.
- 7.6. The Contractor's obligation to notify under clause 7.5 shall include the provision of further information to the Department in phases, as details become available.
- 7.7. Taking into account the nature of the processing, the Contractor shall provide the Department with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 7.5 (and insofar as possible within the timescales reasonably required by the Department) including by promptly providing:
- (a) the Department with full details and copies of the complaint, communication or request;
 - (b) such assistance as is reasonably requested by the Department to enable the Department to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
 - (c) the Department, at its request, with any Personal Data it holds in relation to a Data Subject;
 - (d) assistance as requested by the Department following any Data Loss Event;
 - (e) assistance as requested by the Department with respect to any request from the Information Commissioner's Office, or any consultation by the Department with the Information Commissioner's Office.
- 7.8. The Contractor shall maintain complete and accurate records and information to demonstrate its compliance with this clause. This requirement does not apply where the Contractor employs fewer than 250 staff, unless:
- (a) the Department determines that the processing is not

occasional;

- (b) the Department determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
- (c) the Department determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.

- 7.9. The Contractor shall allow for audits of its Data Processing activity by the Department or the Department's designated auditor.
- 7.10. The Contractor shall designate a data protection officer if required by the Data Protection Legislation.
- 7.11. Before allowing any Sub-processor to process any Personal Data related to this Contract, the Contractor must:
 - (a) notify the Department in writing of the intended Sub-processor and processing;
 - (b) obtain the written consent of the Department;
 - (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause such that they apply to the Sub-processor; and
 - (d) provide the Department with such information regarding the Sub-processor as the Department may reasonably require.
- 7.12. The Contractor shall remain fully liable for all acts or omissions of any Sub-processor.
- 7.13. The Contractor may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
- 7.14. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Department may on not less than 30 Working Days' notice to the Contractor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

8. Departmental Security Standards

- 8.1. The Contractor shall comply with Departmental Security Standards for Contractors which include but are not constrained to the following clauses.
- 8.2. The DfE would prefer the Contractor to have Cyber Essentials Scheme certification. The Contractor does not currently hold the Cyber Essentials Scheme Certification, but will use best endeavours to work

towards submitting this for all IT systems relating to IER (being an Academic Department within the University of Warwick) by the end of August 2018. Warwick will keep the department updated on progress towards this aim and will confirm once it is acquired. This has been agreed with the Senior Information Risk Owner.

- 8.3 The Contractor shall be able to demonstrate conformance to, and show evidence of such conformance to the ISO/IEC 27001 (Information Security Management Systems Requirements) standard, including the application of controls from ISO/IEC 27002 (Code of Practice for Information Security Controls).
- 8.4 The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 8.5 Departmental Data being handled in the course of providing an ICT solution or service must be segregated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required. In the event that it is not possible to segregate any Departmental Data then the Contractor and any sub-contractor shall be required to ensure that it is stored in such a way that it is possible to securely delete the data in line with Clause 1.14.
- 8.6 The Contractor shall have in place and maintain physical security, in line with those outlined in ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access) to premises and sensitive areas
- 8.7 The Contractor shall have in place and maintain an access control policy and process for the logical access (e.g. identification and authentication) to ICT systems to ensure only authorised personnel have access to Departmental Data.
- 8.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to: physical security controls; good industry standard policies and process; anti-virus and firewalls; security updates and up-to-date patching regimes for anti-virus solutions; operating systems, network devices, and application software, user access controls and the creation and retention of audit logs of system use.
- 8.9 Any data in transit using either physical or electronic transfer methods

across public space or cyberspace, including mail and couriers systems, or third party provider networks must be protected via encryption which has been certified to FIPS 140-2 standard or a similar method approved by the Department prior to being used for the transfer of any Departmental Data.

- 8.10 Storage of Departmental Data on any portable devices or media shall be limited to the absolute minimum required to deliver the stated business requirement and shall be subject to Clause 1.11 and 1.12 below.
- 8.11 Any portable removable media (including but not constrained to pen drives, flash drives, memory sticks, CDs, DVDs, or other devices) which handle, store or process Departmental Data to deliver and support the service, shall be under the control and configuration management of the contractor or (sub-)contractors providing the service, shall be both necessary to deliver the service and shall be encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 8.12 All portable ICT devices, including but not limited to laptops, tablets, smartphones or other devices, such as smart watches, which handle, store or process Departmental Data to deliver and support the service, shall be under the control and configuration management of the contractor or sub-contractors providing the service, and shall be necessary to deliver the service. These devices shall be full-disk encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 8.13 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.
- 8.14 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.
- 8.15 At the end of the contract or in the event of equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored on the Contractor's ICT infrastructure must be securely sanitised or destroyed and accounted for in accordance with the current HMG

policy using a NCSC approved product or method. Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as a Storage Area Network (SAN) or shared backup tapes, or where specified in Schedule 4, then the Contractor or sub-contractor shall protect the Department's information and data until the time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.

- 8.16 Access by Contractor or sub-contractor staff to Departmental Data shall be confined to those individuals who have a "need-to-know" in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted.
- 8.17 All Contractor or sub-contractor employees who handle Departmental Data must have annual awareness training in protecting information.
- 8.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 8.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data being handled in the course of providing this service, or any non-compliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the solution, shall be investigated immediately and escalated to the Department by a method agreed by both parties.
- 8.20 The contractor should be subject to independent IT Health Checks (ITHC) using a CHECK certified tester before go-live and periodically (at least annually) thereafter. The Contractor is not currently subject to these IT Health checks, but will use best endeavours to ensure compliance when pertaining to Cyber Essentials. Warwick will keep the department updated on progress towards this aim. This has been agreed with the departments Senior Information Risk Owner.
- 8.21 The Contractor or sub-contractors providing the service will provide the

Department with full details of any storage of Departmental Data outside of the UK or any future intention to host Departmental Data outside the UK or to perform any form of ICT management, support or development function from outside the UK. The Contractor or sub-contractor will not go ahead with any such proposal without the prior written agreement from the Department.

- 8.22 The Department reserves the right to audit the Contractor or sub-contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-contractors, compliance with the clauses contained in this Section.
- 8.23 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-contractors or partners who could potentially access Departmental Data in the course of providing this service.
- 8.24. The Contractor and sub-contractors shall undergo appropriate security assurance activities as determined by the Department. Contractor and sub-contractors shall support the provision of appropriate evidence of assurance and the production of the necessary security documentation such as completing the DfE Security Assurance Model (DSAM) process or the Business Service Assurance Model (BSAM). This will include obtaining any necessary professional security resources required to support the Contractor's and sub-contractor's security assurance activities such as: a NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Professional (CCP) Security and Information Risk Advisor (SIRA).

9. Warranty and Indemnity

- 9.1. The Contractor warrants to the Department that the obligations of the Contractor under this Contract will be performed by appropriately qualified and trained personnel with reasonable skill, care and diligence and to such high standards of quality as it is reasonable for the Department to expect in all the circumstances. The Department will be relying upon the Contractor's skill, expertise and experience in the performance of the Project and also upon the accuracy of all representations or statements made and the advice given by the Contractor in connection with the performance of the Project and the accuracy of any documents conceived, originated, made or developed by the Contractor as part of this Contract. The Contractor warrants that any goods supplied by the Contractor forming part of the Services will be of satisfactory quality and fit for their purpose and will be free from defects in design, material and workmanship.
- 9.2. Without prejudice to any other remedy, if any part of the Project is not performed in accordance with this Contract then the Department shall

be entitled, where appropriate to:

- 9.2.1. require the Contractor promptly to re-perform or replace the relevant part of the Project without additional charge to the Department; or
- 9.2.2. assess the cost of remedying the failure ("the assessed cost") and to deduct from any sums due to the Contractor the Assessed Cost for the period that such failure continues.
- 9.3. The Contractor shall be liable for and shall indemnify the Department in full against any expense, liability, loss, claim or proceedings arising under statute or at common law in respect of personal injury to or death of any person whomsoever or loss of or damage to property whether belonging to the Department or otherwise arising out of or in the course of or caused by the performance of the Project.
- 9.4. The parties shall indemnify on demand and keep indemnified the other party from and against all and any losses that are sustained, suffered or incurred by, awarded against or agreed to be paid by the other party to the extent arising from the first party's breach of its obligations and/or failure to comply with the Data Protection Legislation. To the extent permissible by law, the liability of either party shall be limited to the maximum value of the other party's fine under the applicable Data Protection Legislation.
- 9.5. Without prejudice to any other exclusion or limitation of liability in this Contract, the liability of the Contractor for any claim or claims under this Contract shall be limited to such sums as it would be just and equitable for the Contractor to pay having regard to the extent of his responsibility for the loss or damage giving rise to such claim or claims etc. Notwithstanding, the liabilities of either party shall not extend to indirect or consequential losses (including but not limited to loss of profits), in any event the aggregate liabilities shall not exceed the return of monies paid under this agreement.
- 9.6. All property of the Contractor whilst on the Department's premises shall be there at the risk of the Contractor and the Department shall accept no liability for any loss or damage howsoever occurring to it.
- 9.7. The Contractor shall ensure that it has adequate insurance cover with an insurer of good repute to cover claims under this Contract or any other claims or demands which may be brought or made against it by any person suffering any injury damage or loss in connection with this Contract. The Contractor shall upon request produce to the Department, it's policy or policies of insurance, together with the receipt for the payment of the last premium in respect of each policy or produce documentary evidence that the policy or policies are properly maintained.

10. Termination

- 10.1. This Contract may be terminated by either party giving to the other party at least 30 days notice in writing.
- 10.2. In the event of any breach of this Contract by either party, the other party may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice which shall be reasonable in all the circumstances. If the breach has not been remedied by the expiry of the specified period, the party not in breach may terminate this Contract with immediate effect by notice in writing.
- 10.3. In the event of a material breach of this Contract by either party, the other party may terminate this Contract with immediate effect by notice in writing.
- 10.4. This Contract may be terminated by the Department with immediate effect by notice in writing if at any time:-
 - 10.4.1. the Contractor passes a resolution that it be wound-up or that an application be made for an administration order or the Contractor applies to enter into a voluntary arrangement with its creditors; or
 - 10.4.2. a receiver, liquidator, administrator, supervisor or administrative receiver be appointed in respect of the Contractor's property, assets or any part thereof; or
 - 10.4.3. the court orders that the Contractor be wound-up or a receiver of all or any part of the Contractor's assets be appointed; or
 - 10.4.4. the Contractor is unable to pay its debts in accordance with Section 123 of the Insolvency Act 1986; or
 - 10.4.5. there is a change in the legal or beneficial ownership of 50% or more of the Contractor's share capital issued at the date of this Contract or there is a change in the control of the Contractor, unless the Contractor has previously notified the Department in writing. For the purpose of this Sub-Clause 10.4.5 "control" means the power of a person to secure that the affairs of the Contractor are conducted in accordance with the wishes of that person by means of the holding of shares or the possession of voting power; or
 - 10.4.6. the Contractor is convicted (or being a company, any officers or representatives of the Contractor are convicted) of a criminal offence related to the business or professional conduct; or
 - 10.4.7. the Contractor commits (or being a company, any officers or representatives of the Contractor commit) an act of grave

misconduct in the course of the business; or

10.4.8. the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to the payment of Social Security contributions; or

10.4.9. the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to payment of taxes; or

10.4.10. the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to disclose any serious misrepresentation in supplying information required by the Department in or pursuant to this Contract.

10.5. Nothing in this Clause 10 shall affect the coming into, or continuance in force of any provision of this Contract which is expressly or by implication intended to come into force or continue in force upon termination of this Contract.

11. Status of Contractor

11.1 In carrying out its obligations under this Contract the Contractor agrees that it will be acting as principal and not as the agent of the Department.

11.2 The Contractor shall not say or do anything that may lead any other person to believe that the Contractor is acting as the agent of the Department.

12. Freedom of information

12.1 Each party acknowledges that the other is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the other to enable it to comply with its information disclosure obligations.

12.2 The Contractor shall and shall procure that its Sub-contractors shall:

12.2.1 transfer to the Department all Requests for Information that it receives as soon as practicable and in any event within two Working Days of receiving a Request for Information;

12.2.2 provide the Department with a copy of all Information in its possession, or power in the form that the Department requires within five Working Days (or such other period as the Department may specify) of the Department's request; and

12.2.3 provide all necessary assistance as reasonably requested by the Department to enable the Department 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.

- 12.3 The party in receipt of the request shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether any Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.
- 12.4 The Contractor acknowledges that (notwithstanding the provisions of Clause 13) the Department may, acting in accordance with the Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000 ("the Code"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Contractor or the Project:
- 12.4.1 in certain circumstances without consulting the Contractor; or
 - 12.4.2 following consultation with the Contractor and having taken their views into account;
 - 12.4.3 provided always that where 12.5.1 applies the Department 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.
- 12.5 The Contractor shall ensure that all Information is retained for disclosure and shall permit the Department to inspect such records as requested from time to time.

13. CONFIDENTIALITY

- 13.1 Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each party shall:
- 13.1.1 treat the other party's Confidential Information as confidential and safeguard it accordingly; and
 - 13.3.2 not disclose the other party's Confidential Information to any other person without the owner's prior written consent.
- 13.2 Clause 13 shall not apply to the extent that:
- 13.2.1 such disclosure is a requirement of Law placed upon the party making the disclosure, including any requirements for disclosure under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations

pursuant to clause 12 (Freedom of Information);

13.2.2 such information was in the possession of the party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;

13.2.3 such information was obtained from a third party without obligation of confidentiality;

13.2.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or

13.2.5 it is independently developed without access to the other party's Confidential Information.

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

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

13.5 At the written request of the Department, the Contractor shall procure that those members of the Contractor Personnel identified in the Department's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.

13.6 Nothing in this Contract shall prevent the Department from disclosing the Contractor's Confidential Information:

13.6.1 to any Crown Body or any other Contracting Department. All Crown Bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown Body or any Contracting Department;

13.6.2 to any consultant, contractor or other person engaged by the Department or any person conducting an Office of Government Commerce gateway review;

13.6.3 for the purpose of the examination and certification of the Department's accounts; or

13.6.4 for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with

which the Department has used its resources.

- 13.7 The Department shall use reasonable endeavours to ensure that any government department, Contracting Department, employee, third party or Sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause 13 is made aware of the Department's obligations of confidentiality.
- 13.8 Nothing in this clause 13 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 IPR.
- 13.9 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 Department 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.
- 13.10 Subject to Clause 13.9, the Contractor hereby gives his consent for the Department to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.
- 13.11 The Department may consult with the Contractor to inform its decision regarding any redactions but the Department shall have the final decision in its absolute discretion.
- 13.12 The Contractor shall assist and cooperate with the Department to enable the Department to publish this Contract.

14. Access and Information

- 14.1 The Contractor shall provide access at all reasonable times to the Department's internal auditors or other duly authorised staff or agents to inspect such documents as the Department considers necessary in connection with this Contract and where appropriate speak to the Contractors employees.

15. Transfer of Responsibility on Expiry or Termination

- 15.1 The Contractor shall, at no cost to the Department, promptly provide such assistance and comply with such timetable as the Department may reasonably require for the purpose of ensuring an orderly transfer of responsibility upon the expiry or other termination of this Contract. The Department shall be entitled to require the provision of such assistance both prior to and, for a reasonable period of time after the

expiry or other termination of this Contract.

15.2 Such assistance may include (without limitation) the delivery of documents and data in the possession or control of the Contractor which relate to this Contract, including the documents and data, if any, referred to in the Schedule.

15.3 The Contractor undertakes that it shall not knowingly do or omit to do anything that may adversely affect the ability of the Department to ensure an orderly transfer of responsibility.

16. Amendment and variation

16.1 No amendment or variation to this Contract shall be effective unless it is in writing and signed by or on behalf of each of the parties hereto. The Contractor shall comply with any formal procedures for amending or varying contracts that the Department may have in place from time to time.

17. Assignment and Sub-contracting

17.1 The benefit and burden of this Contract may not be assigned or sub-contracted in whole or in part by the Contractor without the prior written consent of the Department. Such consent may be given subject to any conditions which the Department considers necessary. The Department may withdraw its consent to any sub-contractor where it no longer has reasonable grounds to approve of the sub-contractor or the sub-contracting arrangement and where these grounds have been presented in writing to the Contractor.

18. The Contract (Rights of Third Parties) Act 1999

18.1 This Contract is not intended to create any benefit, claim or rights of any kind whatsoever enforceable by any person not a party to the Contract.

19. Waiver

19.1 No delay by or omission by either Party in exercising any right, power, privilege or remedy under this Contract shall operate to impair such right, power, privilege or remedy or be construed as a waiver thereof. Any single or partial exercise of any such right, power, privilege or remedy shall not preclude any other or further exercise thereof or the exercise of any other right, power, privilege or remedy.

20. Notices

20.1 Any notices to be given under this Contract shall be delivered personally, or sent by e-mail, post or by facsimile transmission to the Project Manager (in the case of the Department) or to the address set out in this Contract (in the case of the Contractor). Any such notice shall be

deemed to be served, if delivered personally, at the time of delivery, if sent by post, forty-eight hours after posting or, if sent by facsimile transmission, twelve hours after proper transmission.

21. Dispute resolution

- 21.1 The Parties shall use reasonable endeavours to negotiate in good faith and settle amicably any dispute that arises during the continuance of this Contract.
- 21.2 Any dispute not capable of resolution by the parties in accordance with the terms of Clause 21 shall be settled as far as possible by mediation in accordance with the Centre for Dispute Resolution (CEDR) Model Mediation Procedure.
- 21.3 No party may commence any court proceedings/arbitration in relation to any dispute arising out of this Contract until they have attempted to settle it by mediation, but any such mediation may be terminated by either party at any time of such party wishing to commence court proceedings/arbitration.

22. Law and Jurisdiction

- 22.1 This Contract shall be governed by and interpreted in accordance with English Law and the parties submit to the jurisdiction of the English courts.

23. Discrimination

- 24.1 The Contractor shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation or otherwise) in employment.
- 24.2 The Contractor shall take all reasonable steps to secure the observance of Clause 24.1 by all servants, employees or agents of the Contractor and all suppliers and sub-contractors employed in the execution of the Contract.

24. Safeguarding children who participate in research

- 24.1 The Contractor will put in place safeguards to protect children from a risk of significant harm which could arise from them taking part in the Project. The Contractor will agree these safeguards with the Department before commencing work on the Project.
- 24.2 In addition, the Contractor will carry out checks with the Disclosure and Barring Service (DBS checks) on all staff employed on the Project in a Regulated Activity. Contractors must have a DBS check done every

three years for each relevant member of staff for as long as this contract applies. The DBS check must be completed before any of the Contractor's employees work with children in Regulated Activity. Please see <https://www.gov.uk/crb-criminal-records-bureau-check> for further guidance.

25. Project outputs

- 26.1 Unless otherwise agreed between the Contractor and the Project Manager, all outputs from the Project shall be published by the Department on the Department's research website.
- 26.2 The Contractor shall ensure that all outputs for publication by the Department adhere to the Department's Style Guide and MS Word Template, available to download from:
<https://www.gov.uk/government/publications/research-reports-guide-and-template>
- 26.3 Unless otherwise agreed between the Contractor and Project Manager, the Contractor shall supply the Project Manager with a draft for comment at least eight weeks before the intended publication date, for interim reports, and eight weeks before the contracted end date, for final reports.
- 26.4 The Contractor shall consider revisions to the drafts with the Project Manager in the light of the Department's comments. The Contractor shall provide final, signed off interim reports and other outputs planned within the lifetime of the Project to the Department by no later than four weeks before the intended publication date, and final, signed off reports and other outputs at the end of the Project to the Department by no later than the contracted end date for the Project.
- 26.2 Until the date of publication, findings from all Project outputs shall be treated as confidential, as set out in the Clause 13 above. The Contractor shall not release findings to the press or disseminate them in any way or at any time prior to publication without approval of the Department.
- 26.3 Where the Contractor wishes to issue a Press Notice or other publicity material containing findings from the Project, notification of plans, including timing and drafts of planned releases shall be submitted by the Contractor to the Project Manager at least three weeks before the intended date of release and before any agreement is made with press or other external audiences, to allow the Department time to comment. All Press Notices released by the Department or the Contractor shall state the full title of the research report, and include a hyperlink to the Department's research web pages, and any other web pages as relevant, to access the publication/s. This clause applies at all times prior to publication of the final report.

- 26.4 Where the Contractor wishes to present findings from the Project in the public domain, for example at conferences, seminars, or in journal articles, the Contractor shall notify the Project Manager before any agreement is made with external audiences, to allow the Department time to consider the request. The Contractor shall only present findings that will already be in the public domain at the time of presentation, unless otherwise agreed with the Department. This clause applies at all times prior to publication of the final report.
- 26.5 The Department will allow Warwick to demonstrate to Funding Bodies how Warwick have impacted on public good through its research through the REF. The acknowledgement of this will be confidential and does not contain details about data or any personal information.

End of Schedule Three

SCHEDULE FOUR

Schedule 4 Processing, Personal Data and Data Subjects

The Contractor shall comply with any further written instructions with respect to processing by the Department.

Any such further instructions shall be incorporated into this Schedule.

Description	Details
Subject matter of the processing	<p>Processing data to recruit PEP's, graduate EP's and other stakeholders for focus groups, qualitative interviews and surveys. These aim to gather evidence on the demographic and distribution of EP workforce, map current shortages and understand views of the sector on the reason for EP shortages and the effectiveness of the current commissioning model.</p>
Duration of the processing	<p>The collection of data will start in July/August 2018.</p> <p>All data will be destroyed ten years from collection i.e., July/August 2028.</p> <p>In all cases, the data kept will have the same protection as the data during the study, i.e. anonymization by coding which can only be reconnected to individuals via the reversal of the process of coding described above. As such, the re-linking must be undertaken under strict controls.</p>
Nature and purposes of the processing	<p>The primary data collected will consist of recorded (with informed consent) interviews with expert and non-expert stakeholders and the interviewers shall also take notes during and after the interviews. The data will also consist of digitally recorded transcripts from online focus groups (these may also be supplemented with notes) and survey data from two online surveys with PEP's and Graduate EP's.</p> <p>The recordings, notes and transcriptions will all be kept under secure conditions (both electronically and in hard copy) according to the requirements of the University of Warwick's Humanities and Social Science Research Ethics Committee.</p> <p>Audio-recorded information and personal data collected from consenting individuals will be up-loaded onto password-protected folders on University of Warwick computers as soon as practicably possible after the recording.</p> <p>The purpose of primary data collection is to understand the views of the sector on the reasons for shortages and changes in the patterns of work in the EP workforce.</p> <p>Secondary data from key organisations like HCPC will also be collected and processed for recruitment purposes and for further data analysis to create a profile of the EP workforce e.g. registration data and/or EP employer databases.</p>

	<p>The data used to conduct a trend analysis will be taken from HCPC and other organisations holding useful datasets.</p> <p>All personal data will be stored using an ID number. A separate password-protected file will be created matching the ID to the name of the respondent and the organisation, if applicable. The list of ID's will be kept separate from the raw data, which is coded, in order to prevent matching.</p> <p>If personal computers or USB sticks are used to intermittently analyse or store personal data (e.g. transfer of interview recordings), folders containing any project-based personal data will be encrypted under University of Warwick standards. Analysis of safely stored personal data on personal computers will, however, be kept to an absolute minimum.</p> <p>The contractor should inform the department if they are planning to undertake any further secondary analysis using the data and warn the department of any publication.</p> <p>The contractor should archive anonymised datasets with the UK Data Archive on completion of the research and before undertake any secondary analysis.</p>
<p>Type of Personal Data</p>	<p>Name, email, telephone number, address, position and role in organisation.</p>
<p>Categories of Data Subject</p>	<p>Organisations, LA representatives, Educational Psychologists and Principal Educational Psychologists, Trainee EP's, Training providers (universities)</p>
<p>Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data</p>	<p>In line with the University of Warwick's requirements, data will be stored for 10 years after completion of the project. All personal data will be permanently destroyed or erased using the University of Warwick's secure disposal systems when it is no longer required for the approved purpose(s).</p>

End of Schedule Four

