



# Department for Education

## **CONTRACT FOR: A REVIEW OF TEACHERS' AND LEADERS' VIEWS ON THE PAY FRAMEWORK PROJECT REFERENCE NO: DFERPPU/EOR/SBU/2018/014**

This Contract is dated 17 May 2018

### **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) [REDACTED] whose registered office is [REDACTED] ("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/EOR/SBU/2018/014.

### **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 complete the Project on or before 21 September 2018.

### **Contents**

Interpretations

Schedule One

Schedule Two

Schedule Three

Schedule Four

### **Signatories page 43**

## 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], Sanctuary Buildings, Great Smith Street, London, SW1P 3BT [REDACTED]   |
| "the Contractor's Project Manager"   | [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;  |
| "Commercially Sensitive Information" | information of a commercially sensitive nature relating 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 " <b>Controls</b> " and " <b>Controlled</b> " 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;   |
| "Crown Body"                          | any department, office or agency of the Crown;  |
| "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 Data"                     | <p>(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:</p> <p>(i) supplied to the Contractor by or on behalf of the Department; or</p> <p>(ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or</p> <p>(b) any Personal Data for which the Department is the Data Controller;</p> |

|   |  |
|---|--|
| "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 issued by the Information Commissioner or relevant Government Department in relation to such regulations;   |
| "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)  |
| "ICT"                                   | information and communications technology;   |
| "ICT Environment"                       | the Department's System and the Contractor System;   |
| "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).  |
| "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;   |
| "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 " <b>Regulatory Body</b> " 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;   |
| "Staff Vetting Procedures" | 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;  |
| "Sub-Contractor"           | 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;   |
| "Sub-processor"            | any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;   |
| "Third Party Software"     | 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  |
| "Work"                     | 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; |
| "Working Day"              | any day other than a Saturday, Sunday or public 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.  |

### 1. AIMS

The keys aims of this research project are to identify and assess:

- (i) Teachers', leaders' and governors' views and understanding of the teacher pay framework, including the uses of Teaching and Learning Responsibility allowances (TLRs), the main pay range (MPR) and the upper pay range (UPR) in their own settings; and,
- (ii) Teachers', leaders' and governors' views on how the teacher pay framework can best provide a clearer career pathway for classroom teachers, support recruitment and retention within the profession and what adjustments may be required to meet these goals.

### 2. OBJECTIVES

The research shall focus on gathering teachers', leaders' and governors' views on the potential for optimising the existing pay framework as one of the tools to recruit, retain and help teachers progress. The Contractor shall use all reasonable endeavours to answer the following key research questions:

- Are teachers clear about potential future earnings; including the role of the TLR structure in the pay framework and how TLRs and other allowances are awarded at their school?
  - How are schools currently using TLRs?
  - How are TLR3s (time-limited allowances) currently being used?
- Are leaders clear about the role of the TLRs and other allowances in the pay framework and how TLRs are awarded at their school?
  - Does the allowance structure work well?
  - Do leaders feel it is opaque for teachers?
  - How are they currently using the allowance system?
- Are teachers aware of safeguarding provisions for teacher pay allowances?
- Are leaders aware of safeguarding provisions? Are they considered a barrier to restructuring of staff responsibilities or as necessary to supporting staff to take on additional responsibilities?
- Would teachers/leaders welcome greater flexibility to move up and down pay ranges?
- Is the UPR useful to schools and teachers? If we reformed QTS to be two years<sup>1</sup>, do leaders/teachers think that this would change the utility of the UPR?
- How could the pay system set a clearer career pathway for classroom teachers? Could we link pay ranges more clearly with different levels of expertise/responsibility amongst classroom teachers? If we were to do so, would schools see this as restrictive/a loss of flexibility?
- Is there an issue of motivation/reward/retention linked to teachers at the top of their pay range and how could we better reward these teachers? Would leaders/teachers welcome the ability to use non-consolidated payments for these teachers (and use these payments more widely)?

To aid the further development and finalisation of these research questions, the Contractor shall develop an overall framework to collect and analyse teachers', leaders' and Governors' views. The Contractor shall base this framework on existing robust research assessing the efficacy of the pay structure, through three key criteria:

---

<sup>1</sup>[See here for the consultation on strengthening QTS.](#)

- **Strategy and direction** - for instance, does the teacher pay structure deliver its intended goals, does it help heads deliver their school strategy, does it actually reward the best performing teachers effectively etc.?
- **Design** - for instance, are increments the best way to do it, are pay ranges and grades right, are allowances having the intended effect?
- **Operation** – for instance, how motivated are teachers by the teacher pay structure, do they understand it, how fair do teachers feel the structure is?

The Contractor shall agree and clear the finalised research questions with the DfE.

### **3. TASKS AND PROJECT OVERVIEW**

The project shall consist of four stages, as outlined in Table 1 below.

### Table 1: Project overview and milestones

[illegible]



|  |  |  |  |  |  |
|--|--|--|--|--|--|
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |


#### 4. METHODOLOGY

The Contractors shall use all reasonable endeavours to achieve the minimum number of interviews with headteachers and teachers, and webinars with governors:

- a brief survey of teachers using [REDACTED] [REDACTED] online survey, with an achieved response from 750 teachers
- 15 in-depth headteacher telephone interviews
- 50 in-depth teacher telephone interviews
- webinars with 16 governors.

Table 2 below highlights which of these activities shall be used to answer each of the key research questions for the project. Full details on the methodology for each of the different parts is then outlined.

**Table 2: Research questions and participants**

| ID | Topic  | Participant Group |         |           |  | Methodology         |                 |                      |
|----|--|-------------------|---------|-----------|---|---------------------|-----------------|----------------------|
|    |  | Teachers          | Leaders | Governors |   | Headteacher<br>ints | Teacher<br>ints | Governor<br>webinars |
| 1  | Are teachers clear about potential future earnings; including the role of the TLR structure in the pay framework and how TLRs and other allowances are awarded at their school?  | X                 |         |           | X   |                     | X               |                      |
| 2  | How are schools currently using TLRs?  | X                 | X       | X         | X   | X                   | X               | X                    |
| 3  | How are TLR3s (time-limited allowances) currently being used?  | X                 | X       | X         | X   | X                   | X               | X                    |
| 4  | Are leaders clear about the role of the TLRs and other allowances in the pay framework and how TLRs are awarded at their school?   |                   | X       |           |   | X                   |                 |                      |
| 5  | Does the allowance structure work well?  |                   | X       |           |   | X                   |                 |                      |
| 6  | Do leaders feel it is opaque for teachers?   |                   | X       |           |   | X                   |                 |                      |
| 7  | How are they currently using the allowance system?   |                   | X       |           |   | X                   |                 |                      |
| 8  | Are teachers aware of safeguarding provisions for teacher pay allowances?  | X                 |         |           | X   |                     | X               |                      |
| 9  | A) Are leaders aware of safeguarding provisions?<br>B) Are they considered a barrier to restructuring of staff responsibilities or as necessary to supporting staff to take on additional responsibilities?  |                   | X       |           | X   | X                   |                 |                      |
| 10 | Would teachers/leaders welcome greater flexibility to move up and down pay ranges?   | X                 | X       | X         | X   | X                   | X               | X                    |
| 11 | A) Is the UPR useful to schools and teachers?<br>B) If we reformed QTS to be two years[1], do leaders/teachers think that this would change the utility of the UPR?  | X                 | X       | X         | X   | X                   | X               | X                    |
| 12 | A) How could the pay system set a clearer career pathway for classroom teachers?<br>B) Could we link pay ranges more clearly with different levels of expertise/responsibility amongst classroom teachers?<br>C) If we were to do so, would schools see this as restrictive/a loss of flexibility? | X                 | X       | X         |   | X                   | X               | X                    |
| 13 | A) Is there an issue of motivation/reward/retention linked to teachers at the top of their pay range and how could we better reward these teachers?<br>B) Would leaders/teachers welcome the ability to use non-consolidated payments for these teachers (and use these payments more widely)?     | X                 | X       | X         | X   | X                   | X               | X                    |

[REDACTED]

The Contractor shall use [REDACTED] to gain a broad set of responses from across the sector on seven key questions, as outlined in Table 2. In addition, the Contractor shall collect targeted demographic questions through an additional three questions. Ten questions shall be included in total.

The questions shall be included on [REDACTED], and as outlined in Table 1 above.

[REDACTED]

[REDACTED]. The Contractor shall ensure the burden on teachers is reduced through clearly communicated and focused questions.

[REDACTED] results will be produced in Excel and include frequency tables and cross tabs. The Contractor shall analyse the results across the demographic information collected through [REDACTED] as a whole, as well as through the three targeted demographic questions. [REDACTED] shall create a [REDACTED] sample based on school phase (primary versus secondary), region, teacher gender and age, and school type (maintained versus academy), to ensure a representative sample. The Contractor shall ensure data collection through the three targeted demographics questions to cover other aspects of interest such as pay scale, length of time teaching, and job role, in agreement with DfE. The Contractor shall receive the data from [REDACTED] during w/c [REDACTED] 2018.

Analysis of [REDACTED] [REDACTED] results shall run alongside the interviews with headteachers and teachers. Results of the analysis shall feed in to the finalisation of schedules for the webinars with governors, as outlined below. In addition, the Contractor shall confirm with [REDACTED] whether [REDACTED] can be used to recruit teachers and headteachers for the interviews by providing a link to the Contractors contact details, alongside other strategies, as outlined below.

### **Headteacher telephone interviews**

The Contractor shall use all reasonable endeavours to achieve telephone interviews with a minimum of 15 headteachers, to capture their views on the key issues. The interviews shall take approximately 30 minutes, to minimise the burden on respondents and to maximise response rates. The interviews shall be completed by [REDACTED] 2018. Telephone interviews shall allow be offered at flexible times, to ensure engagement, including early morning, lunchtime or twilight calls to fit around the headteachers' schedules.

The Contractor shall use a two pronged recruitment and engagement strategy to sample headteachers, with initial contact to take place from [REDACTED] 2018:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

- [REDACTED]

[REDACTED]

Table 3: [REDACTED]

| [REDACTED] | [REDACTED] | [REDACTED] |
|------------|------------|------------|
| [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] |

Teacher telephone interviews

[REDACTED]

**Table 4:** [REDACTED]

| [REDACTED] | [REDACTED] |            |            | [REDACTED] |            |            |
|------------|------------|------------|------------|------------|------------|------------|
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |

[REDACTED]

**Governor Webinars**

[REDACTED]

**Strategies for maximising response rates and reducing burden on school staff**

[REDACTED]

**Qualitative Analysis**

The Contractor shall develop an analysis framework based on the agreed key research questions, to analyse the information from the headteacher and teacher interviews and the governor webinars.

With the participants' permission, the Contractor shall record all the interviews and webinars. The Contractor shall then use the recordings and interview notes to enter material into the analysis framework, including capturing crucial quotes where appropriate. The Contractor shall collate the information from the framework thematically to present in an emerging findings meeting with DfE and, after agreement on the themes, the Contractor shall prepare and finalise the final report.

The Contractor shall prepare and finalise five main outputs:

1. Materials to engage participants with the fieldwork research – this shall include a research briefing for each participant group – headteachers, early career teachers, teachers on the cusp of the pay ranges and governors. To be signed off by [REDACTED] 2018.
2. Data collection and analysis tools for review and agreement by DfE. This shall include questions for [REDACTED] (to be signed off by [REDACTED] 2018), semi-structured interview schedules for the telephone interviews and a semi-structured schedule of discussion points for the governor webinars (to be signed off [REDACTED] 2018). The Contractor shall ensure these include appropriate ethical statements so that participants are aware that they are under no obligation to take part in the research and that they can withdraw at any time. On the basis of these materials, the Contractor shall develop the data analysis tools with an overall framework to synthesise all the data around the key research questions.
3. The Contractor shall present emerging findings to DfE w/c [REDACTED] 2018. The emerging findings presentation shall contain 15 slides of findings from [REDACTED]

██████████, the telephone interviews and focus groups to summarise the most crucial findings from the participants. The slides shall be sent at least 24 hours before the meeting so that DfE has time to briefly review the findings before the meeting discussion.

4. The final output shall be the written report delivered, the first draft of which shall be delivered by ██████████ 2018. The report shall be succinct and accessible and approximately 10,000 words. This shall build around the key messages identified in the emerging findings meeting. A second draft of the report shall be delivered on 24th August, whilst the Contractor shall deliver the final, signed-off report by ██████████ 2018, following a minimum of two rounds and a maximum of three rounds of comments. The report shall consist of, in agreement with DfE, an executive summary, introduction, aims and objectives, methodology/technical explanation of the methods adopted, main findings, and discussion of conclusions and summary.

Alongside these main outputs, the Contractor shall:

- Submit a weekly email progress update and any key emerging findings;
- Attend a fortnightly phone briefing;
- Present face-to-face emerging findings as outlined above, w/c ██████████ 2018; and,
- Post-project review to capture learning points, and client satisfaction survey completed by DfE.

## 5 STAFFING

The Contractor shall assign:

██████████  
 ██████████  
 ██████████  
 ██████████  
 ██████████  
 ██████████

## 6 RISK MANAGEMENT

Table 5 below covers the key risks and mitigating factors and control measures for this project.

### Table 5: Risk summary

[illegible]

## 7 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 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 field work.

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

## **8 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.

End of Schedule One

- (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.

[illegible]

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 its best 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 contract with a supplier or contractor for the purpose of performing its obligations under the Contract (the "Sub-contractor") it shall ensure prompt payment in accordance with this clause 5.1. Unless otherwise agreed by the Department in writing, the Contractor shall ensure that any contract requiring payment to a Sub-contractor shall provide for undisputed sums due to the Sub-contractor to be made within a specified period from the receipt of a valid invoice not

exceeding:

5.1.1 10 days, where the Sub-contractor is an SME; or

5.1.2 30 days either, where the sub-contractor is not an SME, or both the Contractor and the Sub-contractor are SMEs,

The Contractor shall comply with such terms and shall provide, at the Department's request, sufficient evidence to demonstrate compliance.

5.2 The Department shall be entitled to withhold payment due under clause 5.1 for so long as the Contractor, in the Department's reasonable opinion, has failed to comply with its obligations to pay any Sub-contractors promptly in accordance with clause 5.1. For the avoidance of doubt the Department shall not be liable to pay any interest or penalty in withholding such payment.

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 and Copyright**

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 licence without payment of royalty or other sum by the Department in the Copyright to:
- 6.2.1 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 exercise all rights of a similar nature as those described in Clause 6.1 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 Each party will at the request and reasonable expense of the other execute all such documents and do all such acts as may be reasonably necessary in order to vest in the other the rights granted to the other under this Clause 6.

## **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 its best 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 the Contractor is required by Law to retain the Personal Data.

7.5. Subject to clause 17.6, 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. Department's Data**

- 8.1. The Contractor shall employ appropriate organisational, operational and technological processes and procedures to keep the Department's Data safe from unauthorised use or access, loss, destruction, theft or disclosure. The organisational, operational and technological processes and procedures adopted are required to comply with the requirements of ISO/IEC 27001 as appropriate to the services being provided to the Department.
- 8.2. The Contractor shall not delete or remove any proprietary notices contained within or relating to the Department's Data.
- 8.3. The Contractor shall not store, copy, disclose, or use the Department's Data except as necessary for the performance by the Contractor of its obligations under this Contract or as otherwise expressly authorised in writing by the Department.
- 8.4. To the extent that the Department's Data is held and/or processed by the Contractor, the Contractor shall supply that the Department's Data to the Department as requested by the Department in the format specified by the Department as agreed with the Consultant.
- 8.5. The Contractor shall take responsibility for preserving the integrity of the Department's Data and preventing the corruption or loss of the Department's Data.
- 8.6. The Contractor shall ensure that any files containing the Department's Data are stored on the Contractor's secure servers and/or secured IT equipment. The Contractor shall ensure that the Department's Data relating to the project is segregated from other data on their IT systems.
- 8.7. The Contractor shall not keep the Department's Data on any laptop or other removable drive or device unless that laptop, other removable drive or device is protected by being fully encrypted and password protected, and the use of the device or laptop is necessary for the provision of the services set out in the Contract. Laptops should have full disk encryption using either a CESSG (Communications Electronic Security Group) CAPS approved product or alternatively a product that complies with the FIPS

140-2 Standard. USB devices used for transferring the Department's Data should be encrypted to the FIPS 140-2 Standard.

- 8.8. The Contractor shall keep an audit trail of where the Department's Data is held, including hardware, laptops, drives and devices.
- 8.9. The Contractor shall ensure that the Department's Data is stored in locked cabinets.
- 8.10. The Contractor shall ensure that the Department's Data is securely removed from their systems and any printed copies securely destroyed at the end of this work, or on termination of the contract. In complying with this clause, electronic copies of the Department's Data shall be securely destroyed by either physical destruction of the storage media or secure deletion using appropriate electronic shredding software, using a minimum setting of US DOD overwriting standard (7 passes). Any hard copy shall be destroyed by cross-cut shredding and secure re-cycling of the resulting paper waste.
- 8.11. The Contractor shall perform secure back-ups of all the Department's Data and shall ensure that up-to-date back-ups are stored off-site. The Contractor shall ensure that such back-ups are available to the Department at all times upon request.
- 8.12. The Contractor shall ensure that any of the Department's Data to be sent between the Contractor's offices/staff, and/or the sub-Contractors, and/or any other third party are sent by CD or DVD and are fully encrypted and password protected. The Contractor shall ensure that the password for files is sent separately from the data to the named recipient of the data. The Department's Data shall be transferred by a secure courier or registered postal service (special delivery) and not by e-mail or on USB pens.
- 8.13. If the Department's Data is corrupted, lost or sufficiently degraded as a result of the Contractor's Default so as to be unusable, the Department may:
  - 8.13.1. require the Contractor (at the Contractor's expense) to restore or procure the restoration of the Department's Data shall do so as soon as practicable and/or
  - 8.13.2. itself restore or procure the restoration of the Department Data, and shall be repaid by the Contractor any reasonable expenses incurred in doing so.
- 8.14. If at any time the Contractor suspects or has reason to believe that the Department's Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, then the Contractor shall notify the Department immediately and inform the Department of the remedial action the Contractor proposes to take.

## **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. 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. and in all cases shall be up to a maximum value of the amount payable under this contract (or £1 million) except for those liabilities which cannot be limited by law.
- 9.5. 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.
- 9.6. 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, its 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. The Contractor acknowledges that the Department is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the Department to enable the Department 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 Department 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. In no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by the Department.
- 12.5. 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:

12.5.1. in certain circumstances without consulting the Contractor; or

12.5.2. following consultation with the Contractor and having taken their views into account;

12.5.3. 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.

12.6. 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

13.1.2. 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 all 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 Contractor's 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. Tax indemnity**

- 16.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.
- 16.2 Where the Contractor is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to NICs in respect of that consideration.
- 16.3 The Department may, at any time during the term of this contract, ask the Contractor to provide information which demonstrates how the Contractor



complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it.

16.4 A request under Clause 16.3 above may specify the information which the Contractor must provide and the period within which that information must be provided.

16.5 The Department may terminate this contract if-

(a) in the case of a request mentioned in Clause 16.3 above if the Contractor:

(i) fails to provide information in response to the request within a reasonable time, or

(ii) provides information which is inadequate to demonstrate either how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it;

(b) in the case of a request mentioned in Clause 16.4 above, the Contractor fails to provide the specified information within the specified period, or

(c) it receives information which demonstrates that, at any time when Clauses 16.1 and 16.2 apply, the Contractor is not complying with those Clauses.

16.6 The Department may supply any information which it receives under Clause 16.3 to the Commissioners of Her Majesty's Revenue and Customs for the purpose of the collection and management of revenue for which they are responsible.

16.7 The Contractor warrants and represents to the Department that it is an independent contractor and, as such, bears sole responsibility for the payment of tax and national insurance contributions which may be found due from it in relation to any payments or arrangements made under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.

16.8 The Contractor will account to the appropriate authorities for any income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.

16.9 The Contractor shall indemnify Department against any liability, assessment or claim made by the HM Revenue and Customs or any other relevant authority arising out of the performance by the parties of their obligations under this Contract (other than in respect of employer's secondary national insurance contributions) and any costs, expenses, penalty fine or interest incurred or payable by Department in connection with any such assessment or claim.

16.10 The Contractor authorises the Department to provide the HM Revenue and Customs and all other departments or agencies of the Government with any information which they may request as to fees and/or expenses paid or due to

be paid under this Contract whether or not Department is obliged as a matter of law to comply with such request.

**17. Amendment and variation**

- 17.1 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.

**18. Assignment and Sub-contracting**

- 18.1 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.

**19. The Contract (Rights of Third Parties) Act 1999**

- 19.1 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.

**20. Waiver**

- 20.1 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.

**21. Notices**

- 21.1 Any notices to be given under this Contract shall be delivered personally or sent by 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.

**22. Dispute resolution**

- 22.1 The Parties shall use all reasonable endeavours to negotiate in good faith and settle amicably any dispute that arises during the continuance of this Contract.
- 22.2 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.
- 22.3 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.

**23. Law and Jurisdiction**

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

**24. 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.

**25. Safeguarding children who participate in research**

25.1 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.

25.2 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.

**26. 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/eoi-guide>

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.

- 26.5 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.
- 26.6 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.
- 26.7 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.

End of Schedule Three

**SCHEDULE FOUR: 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   | <i>██████████ will be processing data required to collate teachers', headteachers' and governors' views on the teacher pay framework. Views will be collated and presented anonymously in project output.</i>  |
| Duration of the processing   | <i>Processing will run between ██████████ and ██████████ 2018</i>  |
| Nature and purposes of the processing  | <i>We will be capturing data via recorded telephone interviews, an electronic survey and recorded webinars. The purpose of the processing will be to record views of teachers', headteachers' and governors' concerning the teacher pay framework so that the data can be analysed and used anonymously for the report. Data will be stored securely: paper notes in locked cabinets, recordings made using encrypted Dictaphones and transferred into a password protected folder with access restricted to research team members only; and online responses transferred into a password protected folder with access restricted to research team members only.</i> |
| Type of Personal Data  | <i>For teachers and headteachers: name, school name/address/telephone number<br/>For teachers: position on pay scale<br/>For governors: name, school name, telephone number, email address.<br/>For each group data will include qualitative views and opinions.</i>   |
| Categories of Data Subject   | <i>Teachers, headteachers, governors</i>   |
| 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 | <i>Data that can identify any individuals will be securely deleted within three months of completion and sign off of project. Data will be held for this period in case of queries from DfE.</i>   |

End of Schedule Four

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

**Signature**

[Redacted Signature]

**Name in CAPITALS**

[Redacted Name]

**Position and Address**

[Redacted Position and Address]

**Date**

[Redacted Date]

Authorised to sign for and on  
behalf of the Contractor

**Signature**

[Redacted Signature]

**Name in CAPITALS**

[Redacted Name]

**Position and Address**

[Redacted Position and Address]

**Date**

[Redacted Date]