



## Department for Education

### **CONTRACT FOR 'LONGITUDINAL SURVEY OF TEACHERS – FEASIBILITY STUDY' PROJECT REFERENCE NO: DFERPPU/EOR/SBU/2018/071**

This Contract is dated **20<sup>th</sup> March 2019**.

#### **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) **Kantar Public** whose registered office is **TNS House, Westgate, London, W5 1UA, United Kingdom** (“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/2018/071**.

#### **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 **31<sup>st</sup> January 2020**.

#### **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>
“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;
“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: <a href="https://www.gov.uk/government/publications/government-baseline-personnel-security-standard">https://www.gov.uk/government/publications/government-baseline-personnel-security-standard</a> ;
“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: <a href="https://www.ncsc.gov.uk/scheme/certified-professional">https://www.ncsc.gov.uk/scheme/certified-professional</a> ;
“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: <a href="https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy">https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy</a> ;
“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

	<p>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;</p>
“Contracting Department”	<p>any contracting authority as defined in Regulation 5(2) of the Public Contracts (Works, Services and Supply) (Amendment) Regulations 2000 other than the Department;</p>
“Contractor Personnel”	<p>all employees, agents, consultants and contractors of the Contractor and/or of any Sub-contractor;</p>
“Contractor Software”	<p>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;</p>
“Control”	<p>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;</p>
“Controller”	<p>take the meaning given in the GDPR;</p>
“Copyright”	<p>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);</p>
“Copyright Work”	<p>means any Work in which any Copyright subsists;</p>
“CPA” “Commercial Product Assurance” [formerly called “CESG Product Assurance”]	<p>is an ‘information assurance scheme’ which 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: <a href="https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa;">https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa;</a></p>
“Crown Body”	<p>any department, office or agency of the Crown;</p>
“Cyber Essentials” “Cyber Essentials Plus”	<p>Cyber Essentials is the government backed, industry supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme;</p> <p>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</p>

	<a href="https://www.iasme.co.uk/apply-for-self-assessment/">https://www.iasme.co.uk/apply-for-self-assessment/;</a>
“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;
“Deliverables”	means the specific materials (meaning information, output, documents, reports, data, programmes, plans, advertising materials or other information whether in hard copy or digital format (for the avoidance of doubt it does not include any consumer goods)) to be supplied by the Contractor to the Department as specified in Schedule 1
“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 which establishes the rules for classifying HMG information. The policy is available at: <a href="https://www.gov.uk/government/publications/government-security-classifications">https://www.gov.uk/government/publications/government-security-classifications</a> ;
“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;
“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 CESG Is the UK government’s National Technical Authority for Information Assurance. The NCSC website is <a href="http://www.ncsc.gov.uk">http://www.ncsc.gov.uk</a> ;
“OFFICIAL”	the term ‘OFFICIAL’ is used to describe the

“OFFICIAL SENSITIVE”	<p>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.</p> <p>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;</p>
“Original Copyright Work”	<p>means the first Copyright Work created in whatever form;</p>
“Personal Data”	<p>take the meaning given in the GDPR;</p>
“Personal Data Breach”	<p>take the meaning given in the GDPR;</p>
“Processor”	<p>take the meaning given in the GDPR;</p>
“Protective Measures”	<p>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;</p>
“Regulatory Bodies”	<p>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;</p>
“Request for Information”	<p>a request for information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations;</p>
“Secure Sanitisation”	<p>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 7nusable. Secure sanitisation was previously covered by “Information Assurance Standard No.5 – Secure Sanitisation” (“IS5”) issued by the former CESG. Guidance can be found at: <a href="https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media">https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media</a>;</p> <p>The disposal of physical documents and hardcopy materials advice can be found at: <a href="https://www.cpni.gov.uk/secure-destruction">https://www.cpni.gov.uk/secure-destruction</a>;</p>

“Security and Information Risk Advisor” “CCP SIRA” “SIRA”	the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: <a href="https://www.ncsc.gov.uk/articles/about-certified-professional-scheme;">https://www.ncsc.gov.uk/articles/about-certified-professional-scheme;</a>
“SPF” “HMG Security Policy Framework”	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. <a href="https://www.gov.uk/government/publications/security-policy-framework;">https://www.gov.uk/government/publications/security-policy-framework;</a>
“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 but excluding Vendor and third parties appointed by the Department;
“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
“Vendor”	means third party supplier and vendors that provide incidental, supplemental or otherwise ancillary goods or services that Contractor would not otherwise perform including stock, image and music houses, illustrators, photographers, editing firms, production companies, media and entertainment companies, shippers, postage suppliers, hosting providers, technology platforms (e.g. demand side platforms, supply side platforms, trading desks, ad exchanges, re-targeting companies, advertising networks etc.) and technical service providers (e.g. providers of ad serving/delivery ad tracking, listening and community management tools and other technology/ technical services), including media vendors
“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 Contract or any part of it;

"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.

## SCHEDULE ONE

### 1 BACKGROUND

The DfE recognises the potential a longitudinal survey of teachers has to strengthen the existing evidence base. It has the scope to provide an end-to end view of the teacher workforce, and to inform how policy and resources can address a range of current and future challenges and opportunities relating to the teaching workforce. A prospective survey has the potential to capture beliefs, attitudes and experiences, interventions and roles of others, and career related choices or behaviours over time.

The DfE requires a feasibility study into a longitudinal survey of teachers to gain an understanding of the viability of a study of this kind. In assessing its feasibility, the study will provide evidence and assessments on the potential scope of different features that underpin a longitudinal survey of teachers, including design and methodology, analytical potential, and a range of costs. In doing so, findings from this study will offer an overall assessment of the feasibility of a longitudinal survey of this kind, and what this might look like in theory.

### 2 AIM

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

- To assess the case, feasibility and viability of a longitudinal survey of teachers.
- To provide on-balance assessments about the scope, design and methodology, analytical potential, range of costs, and planning management of a prospective longitudinal survey of teachers.

### 3 OBJECTIVES

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

1. Explore the requirements and scope, and to what extent they can be met by, a longitudinal survey of teachers.
2. Assess the viability of a longitudinal survey, with consideration given to the full range of factors that may underpin this (including sampling frame, sampling approach).
3. Explore potential design and delivery options, and appraise how well options meet our needs, including a range of indicative costs.
4. Provide a reasoned, on-balance set of options and recommendations to inform decisions for a prospective longitudinal survey.
5. Provide recommendations to ensure effective practice and risk management is embedded in the planning, specification, management and delivery of the survey (should it go ahead).

#### Research questions:

The research questions here expand upon the overarching aims and objectives of the feasibility study as detailed above.

#### Scope

- What are the parameters, priorities and limitations of the scope and coverage of the survey?
- What sub-groups will the survey need to report on?

### Case for a longitudinal survey

- To what extent can a longitudinal study provide reliable information on the pathways of teachers from entry to departure, provide understanding on the factors influencing aspiration, retention and progression, and contribute to understanding of the impact of school workforce interventions?
- To what extent can the longitudinal study contribute to understanding of the outcomes and impacts of policy intervention for teacher, school and pupils?
- To what extent is there any overlap, and how could a survey best complement, existing data sources? (E.g. School Workforce Census, ITT Census).

### Design and delivery

- What are the options for the design of the survey? What are the options for the delivery of the survey? What are the relative benefits, challenges and trade-offs of each? How feasible are the options?
- Which combinations of designs, and delivery options, best meet/balances the aims, requirements and challenges?
- What evidence gaps/policy questions can and cannot be addressed by each option?
- To what extent do the design and delivery options support analytical and reporting needs on sub-groups and the topics of interest?
- What are the (indicative) costs for the proposed options for design and delivery?

### User engagement

- What are the options for meaningful user-engagement at different stages of design and planning, and development, and reporting of the longitudinal teach survey?

### Analysis

- What approaches will best support sub-group analysis, access to the data/usage of the survey and potential for impact?
- What will be the key analysis that the survey needs to deliver and report on? And, what are the implications of this for the survey design, sample size, frequency and scope (e.g. core and flex question coverage)?
- How will the different options for design and delivery influence the potential for analysis (coverage, timing and impact)? What are the pros and cons?
- What are the opportunities to connect with existing datasets to further the insights the survey affords? Which existing data sets could the survey be linked to? How can this survey build-upon and link with existing data sources to maximise potential for analysis?

### Communication

- What needs to be considered/included to strengthen opportunities for usage and impact, by DfE and others?
- What would enable and encourage academics and others to access the data and conduct secondary analysis?

### Planning

- What additional opportunities are there to integrate learning and good practice from other successful longitudinal surveys, and teacher workforce research?

## **4 TASKS**

### Schedule of work (in chronological order)

Phase	Task	Output	Date Required
	Throughout project		
Project management	Provide fortnightly written updates on progress of project	n/a	n/a
Project management	Attend phone KITs to update on progress of project at times agreed with the Department	n/a	n/a
Project management	Regularly review risk register, and highlight any concerns to the Department	n/a	n/a
	March		
Project management	<b>1)</b> Inception meeting	Attendance of and contribution to inception meeting.	By 21/03/19
Project management	<b>2)</b> Project plan	Delivery of agreed project plan (accounting for plans for each workstreams)	By 26/03/19
	April		
Strand 1 Workstream 1	<b>3)</b> Develop research tools for internal DfE workshop	Research tools including workshop plan.	By 03/04/19
Project management	<b>4)</b> First advisory group meeting	Attendance of and contribution to advisory group meeting. Confirm finalised plan for Strand 1.	By 26/04/19
	May		
Strand 1 Workstream 2	<b>5)</b> Design online forum for prospective data users	Shortlist of participants (to be finalised in liaison with the Department), recruitment screener and approach email, draft forum structure/content	By 10/05/19
Strand 1 Workstream 3	<b>6)</b> Plan teacher depth interview research tools	Sampling plan, finalised sample, recruitment screener and approach email, topic guides (produced in liaison with the Department).	By 10/05/19
Strand 1 Workstream 1	<b>7)</b> Deliver DfE internal workshop/ or interviews	Attendance and leading of DfE internal workshop/ or interviews.	By, or close to, 17/05/19
Strand 1 Workstream 1	<b>8)</b> DfE workshop/interview analysis and reporting	Workstream mini-report.	By two weeks after completion of task 7.
Strand 2 Workstream 5	<b>9)</b> Analysis of teacher data from understanding society reporting	Workstream mini-report.	By 17/05/19
Strand 1 Workstream 2	<b>10)</b> Deliver online forum for prospective data users	online forum fieldwork complete, progress update.	By 24/05/19
Strand 1 Workstream 3	<b>11)</b> Deliver teacher depth interviews	depth interviews completed, progress update.	By 24/05/19
Strand 2 Workstream 1	<b>12)</b> Deliver evidence review	Evidence review (as the workstream mini-report)	By 27/05/19
Strand 2 Workstream 2	<b>13)</b> Review of existing data sources reporting	Workstream mini-report.	By 27/05/19
	June		
Strand 1 Workstream 2	<b>14)</b> Online forum analysis and reporting	Workstream mini-report.	By 07/06/19

Phase	Task	Output	Date Required
Strand 1 Workstream 3	<b>15)</b> Depth interview analysis and reporting	Workstream mini-report.	By 07/06/19
Strand 2 Workstream 3	<b>16)</b> Assessment of sampling frame options reporting	Workstream mini-report.	By 07/06/19
Project management	<b>17)</b> Update to Advisory Group: review of stakeholder research	Written update to advisory group summarising outcome of stakeholder research & stakeholder engagement plan.	By 11/06/19
Strand 2 Workstream 4	<b>18)</b> Mapping of content preferences against current or planned research reporting	Workstream mini-report.	By 17/06/19
Strands 1 & 2	<b>19)</b> Report on scope and viability – including finalised workstream report	Report on scope and viability of – including finalised workstream reports.	By 28/06/19 (to then be reviewed by advisory group – either face-to-face or via email)
July			
Strand 3	<b>20)</b> Design workshop of methodological experts	Workshop plan (both to be finalised in liaison with the Department), research tools.	By 12/07/19
Strand 3	<b>21)</b> Workshop of methodological experts delivery, analysis and reporting	Progress update, headline findings.	By 22/07/19
August			
Strand 3	<b>22)</b> Deliver options appraisal report	First draft of options appraisal report.	By 16/08/19
Project management	<b>23)</b> Advisory group meeting	Attendance and contribution to advisory group meeting.	By 23/08/19
September			
Strand 3	<b>24)</b> Deliver final options appraisal report	Final options appraisal report, factoring feedback from second advisory group meeting, of publishable standard.	By 06/09/19

## 5 METHODOLOGY

The following methodology has been designed to address the aims, objectives and primary research questions. Kantar Public and DfE project KITs will include an agenda item to monitor and review risks concerning the effectiveness of the design, and a review of methods.

### Initial activity: inception and scoping

- An inception meeting attended by representatives of the Kantar project team.
- Project plan delivered following this.
- An advisory group meeting attended by representatives of the Kantar project team.

### Strand 1: stakeholder research

- Develop a stakeholder engagement plan and supporting tools.

- Hold either a 90-minute workshop, or individual telephone interviews, with a minimum of six to eight DfE policy and research stakeholders to finalise scope and study priorities of a prospective longitudinal survey of teachers.
- Provide four updates to the advisory group, 2-3 of these will be delivered face-to-face in advisory group meetings, and 1-2 of these will be delivered by email.
- Identify data collection priorities across the sector as a whole by:
  - Consulting interested parties who would use the data produced by the longitudinal study through an online forum of a minimum of 20 users, open for up to five days.
- Hold a minimum of 12 depth interviews lasting approximately 30-40 minutes each with teacher and school gatekeepers, including headteachers and members of the teaching workforce.
  - These interviews will explore the practical and logistic considerations of carrying out a longitudinal survey of teachers.

## **Strand 2: methodological research**

- Perform a rapid evidence review of relevant existing literature to inform the recommendations and conclusions of the feasibility study. This will focus on the technical aspects of existing or past studies.
  - Activity underpinning this review will include mapping relevant literature to be reviewed by: finalising the types of studies to be searched for; developing a list of relevant search terms; using professional insights from the project team to help collate a list of relevant studies.
  - An initial list of study papers will be provided to DfE for review prior to the completion of the rapid review.
- Assess current data sources about teachers to identify the ways in which these could be utilised as a part of a longitudinal study design.
  - These sources may include: School Workforce Census, Initial Teacher Training Census, school-level information published at Get Information About Schools, and the Database of Qualified Teachers (DQT). There is a provision for this to be extended to any other sources identified by the advisory group, or through the evidence review workstream.
- Identify suitable sample frames by assessing the strengths and weaknesses of available data sources.
  - Consideration will be given to the benefits and drawbacks of different sampling methods.
  - Investigation will also be carried out into the possibility of merging information from other sources to develop a sampling frame with greater depth.
- Map study content to existing and planned research to assess what contribution a study of this kind would make and where it would fit relative to existing research.
  - Establish research objectives and preferences for longitudinal study content as articulated through stakeholder research.
  - Map these preferences against existing or planned research to ascertain whether any preferences for this study can already be answered by existing studies.
- Analysis of teacher data in the longitudinal survey Understanding Society.
  - This will include descriptive analysis of the eight years of data available.
  - Intended research questions will then be considered against this analysis to ascertain whether any can be answered through this existing survey.
  - Analysis will also be performed to consider technical parameters for running a longitudinal survey of this kind.
- Collate findings from the reports from strands 1 and 2 to produce a report on scope and viability in April 2019.

### Strand 3: developing the options appraisal

- Utilise insights from strands 1 and 2 to inform the development of the options appraisal (primary output).
- Hold a half-day workshop with at least four UK-based survey methodologists to discuss the different options for the prospective study, hosted by the Centre for Longitudinal Studies.
- Through both of the above, the Contractor will delineate the next steps that DfE could take, with the benefits and limitations associated with each option outlined.
- Outline three design options of different ranked standards ('gold'; 'silver'; and 'bronze') with detailed insights on sample size and design, data collection methods and frequency, cohort selection, questionnaire design, and data linkage choices within each.
- Present and discuss these options during the final advisory group meeting.

### Reporting outputs

- Project plan
- Stakeholder engagement plan – which will list all of the different stakeholder groups, with an engagement plan for each group. This will outline the most relevant channels to reach each group, the messaging which is most likely to be effective, and the recommended frequency of engagement activities.
- **An interim report on the scope and viability** of a longitudinal study due in June 2019. This report will collate and synthesise content from the eight mini-reports produced at the conclusion of each workstream, and include an overarching summary.
- **A draft and final report of publishable quality.** This report will respond to the aims, objectives and research questions, and provide a set of core options, and components, including:
  - Case, mapping of scope and viability
  - Options appraisal of the three ranked approaches, outlining the benefits and drawbacks of each, finalised by September 2019. This will include details of the full rationale and appraisal of how these address aims, scope, requirements and technical rigour, for:
    - Survey design, frequency and number of cohorts;
    - Sample coverage and frame, and size, including sub-groups of interest;
    - Sampling and recruitment approach(es)
    - Delivery mode, response rate and attrition measures;
    - Analytical potential, data linking, potential for follow-up;
    - User-engagement – teachers and audience for the research
    - Indicative cost of the options
  - Planning – options to support added value, risk management, user engagement, potential for impact

**To note: Any future work that the Department chooses to commission following completion of the Discovery Phase will be procured via open tender, without prejudice or favour. As reference in the ITT (page 7),** outputs must deliver a transparent account of the learning, analysis and rationale that underlies the options proposed, any discounted options or components and any recommendations at all stages of the study. This

is needed to ensure this is open to challenge by stakeholders and the advisory group. Full access to the underlying intelligence from the feasibility study is required to inform the design of the ITT specification (if the survey goes ahead) and to ensure fair and open competition, by sharing information with all bidding organisations. The DfE is committed to being transparent and would expect potential contractor to assist in ensuring that open and fair competition is possible. The final report must provide a full and transparent account of the options, underlying rationale and appraisal.

## **6. STAFFING**

<redacted>

## **7 Advisory Group**

The Project Manager shall set up an Advisory Group for the Project, consisting of representatives from the Department, the Contractor, and representatives from any other key organisations that offer relevant subject or technical expertise. The function of the Advisory Group includes to: review the scope and direction of the Project against its aims and objectives; provide feedback on the project plan; critique and help refine workstream approaches; help identify contributors for the consultation stage; critically assess the appraisal of the case and feasibility, and (if appropriate) the design and method options; provide input on the feasibility for overlap and linkages with other data sources. The Group shall meet 2-3 times over the course of the project, at times and dates agreed by the parties, or in the absence of agreement, specified by the Department. The Contractor's representatives on the Advisory Group shall provide updates or emerging learning presentations for each of the meetings. The Contractor may be required to provide documents for comment in between these points as appropriate and/or if requested by the Department. The Contractor's representatives on the Advisory Group shall attend all meetings of the Advisory Group in person unless otherwise agreed by the Department.

## **8. RISK MANAGEMENT**

Risk management outlined at tender stage and discussed at interview has informed the development of a Kantar Public risk plan for the study – attached. This will be monitored and reviewed as part of the regular project management meetings between DfE and Kantar Public.

## **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 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.

#### **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.

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**

<b>Project Milestone</b>	<b>Tasks</b>	<b>Project management</b>	<b>Admin</b>	<b>T&amp;S</b>	<b>Payment Amount</b>	<b>Payment Date</b>
Completion of tasks 1-2; project management /set up	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>
Completion of tasks 3-13	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>
Completion of tasks 19-24, plus project management for strands 1, 2 and 3; admin for strands 1, 2 & 3; and travel & subsistence.	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>	<redacted>

Expenditure for the financial year 2018/19 shall not exceed <redacted> exclusive of VAT.  
Expenditure for the financial year 2019/20 shall not exceed <redacted> exclusive of VAT.

Total Project expenditure shall not exceed **£70,000** 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, provided always that any stated delivery dates or time lines shall be extended by a proportionate period and subject to any delay caused by the Department or a third party appointed by the Department.
- 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 promptly if it is experiencing any material 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 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 contract with a 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, reasonable 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 promptly 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 on the premises) as may be in force from time to time and of which the Contractor is made aware.
- 5.5. If the Department, acting reasonably, 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).
- 5.6. 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 as far as practicable 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. At all times all rights, including all Intellectual Property Rights, of whatsoever nature in and to any techniques, principles and formats and in all proprietary materials, software, programs, macros, algorithms, modules, methodologies, know-how created developed, acquired or licensed by the Contractor independent to the Contractor's obligation to perform the Services for Department under the Contract ("Background Intellectual Property Rights") shall at all times remain the exclusive property of the Contractor.
- 6.2. The Contractor hereby grants to the Department a worldwide, non-exclusive license without payment of royalty or other sum by the Department to use the Background Intellectual Property Rights to the extent necessary for the Department to obtain the benefit of the Deliverables. This will include (without limitation) the right to grant sub-licences of the Background Intellectual Property Rights if necessary to enable the Department to obtain the benefit of the Deliverables.
- 6.3. Ownership of Intellectual Property Rights in the Deliverables shall belong to the Contractor up to and until the Department has paid the outstanding amounts due to the Contractor for the relevant project milestones as set out in Schedule 1.
- 6.4. For the period until the Department has paid the Contractor in full as set out in 6.3, the Contractor hereby grants to the Department a worldwide, non-exclusive revocable license without payment of royalty or other sum by the Department in the Intellectual Property Rights to:
  - 6.4.1 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
  - 6.4.2 to exercise all rights of a similar nature as those described in Clause 6.4.1 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
- 6.5. In relation to the Deliverables, the Contractor now undertakes to the Department as follows:
  - 6.5.1 not to assign in whole or in part the legal or beneficial title in any

Intellectual Property Rights in the Deliverables (prior to ownership of them passing to the Department in accordance with clause 6.3) 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.

- 6.5.2 to procure that the Contractor is entitled both legally and beneficially to all Intellectual Property Rights in the Deliverables.
- 6.5.3 so far as reasonably possible 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.
- 6.5.4 in respect of the Original Copyright Works to:
  - a) supply copies on request to the Department the reasonable costs in respect of which the Department will pay; and
  - b) allow inspection of relevant documents by an authorised representative of the Department on receiving reasonable written notice;
  - c) to take all necessary steps and use its best 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.
  - d) 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
  - e) 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.

6.6 The Contractor now warrants to the Department that all Deliverables:

- 6.6.1 will not infringe in whole or in part any copyright or like right or any other Intellectual Property Rights of any other person

(wheresoever) and, agrees to indemnify the Department against any and all claims, demands, proceedings, damages, expenses and direct losses arising directly out of any act of the Department in relation to any Work, where such act is an infringement of a third party's copyright or like right or other Intellectual Property Rights

- 6.7 The warranty and indemnity contained in Clause 6.4.1 above shall survive the termination of this Contract .

## **7. Data Protection Act**

The Parties have entered into and agree to be bound by the Data Processing Agreement set out at Schedule 4.

## **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. Where the Contractor will provide ICT products or services or otherwise handle information at OFFICIAL on behalf of the Department, the requirements under Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification - Action Note 09/14 25 May 2016, or any subsequent updated document, are mandated; that “contractors supplying products or services to HMG shall have achieved, and retain certification at the appropriate level, under the HMG Cyber Essentials Scheme”. The certification scope must be relevant to the services supplied to, or on behalf of, the Department.
- 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 Department 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 Department Data).
- 8.5 Department 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 Department Data and enable the data to be identified and securely

deleted when required. In the event that it is not possible to segregate any Department 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 8.15.

- 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 Department Data.
- 8.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Department 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 Department 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 Department Data.
- 8.10 Storage of Department 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 8.11 and 8.12 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 Department 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 Department 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 Department 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 Department 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, 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 Department 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 Department Data is permitted.
- 8.17 All Contractor or Sub-contractor employees who handle Department 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 or comparable standards 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

comparison to ISO 22301. 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 summary report of the outcome, including required actions.

- 8.19 Any suspected or actual breach of the confidentiality, integrity or availability of Department 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 promptly and escalated to the Department by a method agreed by both parties.
- 8.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Department Data, shall be subject to independent IT Health Checks (ITHC) using a mutually agreed NCSC approved ITHC provider before go-live and periodically (at least annually) thereafter. Should the Contractor already conduct equivalent testing as part of business as usual activities, submission of summary evidence of such testing shall be acceptable. Summary findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.
- 8.21 The Contractor or Sub-contractors providing the service will provide the Department with full details of any storage of Department Data outside of the UK or any future intention to host Department 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 shall be entitled to carry out audits of the Contractor in accordance with the following provisions:
- 8.22.1 The Department may itself, or through its authorised representatives, audit the Contractor's delivery of the Services at any time during the term of the Contract. Where the Department uses authorised representatives to carry out an audit:
- a) It shall use a reputable firm of auditors.
  - b) It shall ensure that its representatives enter into confidentiality undertakings in terms similar to Clause 13.
- 8.22.1 The Department shall endeavour to (but is not obliged to) provide at least ten (10) Working Days' notice of its intention to conduct an audit.
- 8.22.2 The scope of any such audit shall be limited to auditing the

Contractor's delivery of the Services and the Contractor's compliance with the terms of the Contract and shall be subject to the further limitations set out in Clauses 8.22.4 and 8.22.5.

8.22.3 The Contractor shall on request afford the Department or the Department's representatives such access to those records and processes as may be required to carry out an effective audit. Any audit shall be carried out within normal business hours and the Department shall use reasonable endeavours to ensure such audit does not cause any undue interruption to the Contractor's business. The findings of any audit shall be subject to the confidentiality provisions set out in Clause 13.

8.22.4 In no circumstances shall the Department or its authorised representatives have access to:

- a) individual payroll and personnel files;
- b) individual expenditure or records relating to the Contractor's other clients;
- c) any of the Contractor's overhead costs;
- d) financial records except for those financial records required to evidence that amounts that have been or are to be invoiced are properly due and owing; or
- e) the Contractor's server rooms or IT systems.

8.22.5 Neither the Department nor the Department's representatives shall be permitted to perform penetration tests, vulnerability scans, or otherwise interrogate the Contractor's network or information technology systems.

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 Department Data in the course of providing this service, including the Contractor's right to audit its Sub-Contractors providing the service within a mutually agreed timeframe. The audit shall cover the overall scope of the service being supplied and the Sub-contractor's compliance with the clauses contained in this section.

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 supplied in accordance with the specification set out in Contract.
- 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 against any reasonable expense, liability, direct loss, claim or proceedings arising as a direct result of the Contractor's negligence 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. Neither Party excludes or limits its liability for death or personal injury caused by its negligence, fraudulent misrepresentation or any other type of liability, which cannot by law be excluded or limited.
- 9.5. Subject to Clause 9.3 and 9.4, neither Party shall be liable for i) loss of business, use, profit, anticipated profit, contracts, revenues, goodwill or anticipated savings; or ii) consequential, special or indirect loss or damage.
- 9.6 Subject to Clauses 9.3, 9.4 and 9.5, either Party's total liability for all

claims (excluding claims relating to breaches of Schedule 4 (Data Protection) or otherwise arising in connection with the Data Protection Legislation) under or in connection with any Contract or Project for loss or damage not otherwise excluded shall not in aggregate exceed an amount equal to 125% (one hundred and twenty-five per cent) of the annual charges payable by the Department to the Contractor under that Contract.

- 9.7 Subject to clauses 9.3, 9.4 and 9.5, either Party's total liability for claims arising from a breach of Data Protection Legislation and their obligations as set out in Schedule 4, shall not in any year exceed an amount equal to 200% (two hundred per cent) of the annual charges payable by the Department to the Contractor in accordance with the relevant Contract.
- 9.8 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.
- 9.9 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.

Clause deleted

## **10. Termination**

- 10.1. This Contract may be terminated by either party giving to the other party at least 90 days notice in writing. In the event of a termination of a Contract for convenience by the Department pursuant to this Clause 10.1, the Department shall pay the Contract charges up to the date of termination
- 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.

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.

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

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;

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;

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;

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;
    - 13.6.2.1 for the purpose of the examination and certification of the Department's accounts; or
    - 13.6.2.2 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 Intellectual Property Rights.
- 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 Subject to Clause 8.22, 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 commercially reasonable 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, to the extent commercially reasonable, 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 the Deliverables, including the documents and data, if any, referred to in Schedule 1.

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 Subject to Clause 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 to the extent that the 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 Contractor may not assign or sub contract this Contract in whole or in part 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, the Deliverables shall be published by the Department on the Department's research website. The Department shall not i) use the Contractor's name in any advertising or public communications unless agreed in writing in advance with the Contractor (such agreement not to be unreasonably withheld or delayed).
- 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 Deliverables 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

### Data Protection

“Affiliate”	any entity that directly or indirectly controls, is controlled by, or is under common control with the subject entity. “Control”, for purposes of this definition, means ownership (directly or indirectly) of more than 50% of the voting rights in the applicable entity.
“Contracted Processor”	Contractor or a Sub-processor.
“Controller”, “Processor,” “Processing”, “Data Subject”, “Personal Data”, “Personal Data Breach”, “Data Protection Officer,” and “Supervisory Authority”	take the meaning given in the GDPR and their cognate terms shall be construed accordingly.
“Data Loss Event”	any event that results in unauthorised access to Personal Data held by the Contractor under this Contract, and/or actual loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach.
“Department Personal Data”	any Personal Data Processed by the Contracted Processor on behalf of the Department pursuant to the Original Contract.
“DPA 2018”	Data Protection Act 2018
“Data Protection Impact Assessment”	an assessment by the Controller of the impact of the envisaged Processing on the protection of Personal Data.
“Data Protection Legislation”	(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 to the extent that it relates to Processing of personal data and privacy; (iii) all applicable Law about the Processing of personal data and privacy;
“Data Subject 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.

“GDPR”	the General Data Protection Regulation (Regulation (EU) 2016/679).
“LED”	Law Enforcement Directive (Directive (EU) 2016/680).
“Protective Measures”	appropriate technical and organisational measures which may include: pseudonymising and encrypting Department Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Department Personal Data can be restored in a timely manner after a Data Loss Event, and regularly assessing and evaluating the effectiveness of the such measures adopted by it.
“Sub-processor”	any third Party appointed by Contractor to Process Department Personal Data related to this Contract.
“Working Day”	Shall have the same meaning as defined in the Original Contract.

## **1 Data Protection**

- 1.1 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. For the avoidance of doubt, the Department’s instructions for the Processing of Department Personal Data shall at all times comply with Data Protection Laws. The Department shall have sole responsibility for the accuracy and quality of Department Personal Data that the Department transfers to the Contractor, the legal basis for processing Department Personal Data and the means by which the Department acquired Personal Data.
- 1.2 The Contractor shall, notify the Department immediately if it considers that any of the Department’s instructions infringe the Data Protection Legislation.
- 1.3 The Contractor shall provide all reasonable assistance to the Department in the preparation of any Data Protection Impact Assessment prior to commencing any Processing.
- 1.4 Such assessment will include:

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

1.5 The Contractor shall, in relation to any Department Personal Data Processed in connection with its obligations under this Contract:

- (a) Process that Department 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 Department Personal Data unless prohibited by Data Protection Legislation;
- (b) ensure that it has in place Protective Measures 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 Department 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 Department 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 Department Personal Data and do not publish, disclose or divulge any of the Department 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 Department Personal Data;
- (d) not transfer Department 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 Department Personal Data that is transferred (or, if it is not so bound, uses all 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 Department Personal Data; and
  - (v) the Contractor shall ensure that the Standard Contractual Clauses shall apply to any transfers of Department Personal Data under this Schedule 4 from the European Union, the European Economic Area and/or their member states, Switzerland and the United Kingdom to countries which do not ensure an adequate level of data protection within the meaning of Data Protection Legislation of the foregoing territories, to the extent such transfers are subject to such Data Protection Legislation.
- (e) at the written direction of the Department, delete or return Department 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 Department Personal Data, such retained copies to be kept confidential and secure in accordance with the Original Contract.
- 1.5 Subject to clause 1.6, the Contractor shall, to the extent legally permitted, notify the Department promptly and in any event within 3 working days, if it:
- (a) receives a Data Subject Access Request;
  - (b) receives a request to rectify, block or erase any Department Personal Data;
  - (c) receives a complaint about or request for information 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 Department Personal Data processed under this Contract;
  - (e) receives a request from any third Party for disclosure of Department Personal Data where compliance with such request is required or purported to be required by Law; or
  - (f) becomes aware of a Data Loss Event.
- 1.6 The Contractor's obligation to notify under clause 1.5 shall include, as far as reasonably practicable, the provision of further information to the Department in phases, as details become available.
- 1.7 Taking into account the nature of the Processing, the Contractor shall, provide the Department with assistance including implementing appropriate technical and organizational measures, insofar as this is possible, in relation to the

Department's obligations under Data Protection Legislation and any request made under clause 1.5 (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 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, to the extent that the Department does not have the ability to address a Data Subject Access Request and to the extent the Contractor is legally permitted to do so and the response to such Data Subject Access Request is required under Data Protection Legislation;
- (c) the Department, at its request, with any Department Personal Data it holds in relation to a Data Subject;
- (d) reasonable assistance as requested by the Department following any Data Loss Event;
- (e) reasonable 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.

1.8 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.

1.9 The Contractor shall allow for audits of its Data Processing activity ("GDPR Audits") in accordance with the following provisions:

1.9.1 The Department may itself, or through its authorised representatives, audit the Contractor's compliance with its obligations under this Schedule 4 at any time during the term of the Contract. Where the Department uses authorised representatives to carry out an audit:

- c) It shall use a reputable firm of auditors.
- d) It shall ensure that its representatives enter into confidentiality undertakings in terms similar to Schedule 3 Clause 13.

1.9.1 The Department shall endeavour to (but is not obliged to) provide at least ten (10) Working Days' notice of its intention to conduct an audit.

1.9.2 The scope of any such audit shall be limited to auditing the

Contractor's compliance with its data protection obligations under this Schedule w and shall be subject to the further limitations set out in Clauses 1.9.4 and 1.9.5.

1.9.3 The Contractor shall on request afford the Department or the Department's representatives such access to those records and processes as may be required to carry out an effective audit. Any audit shall be carried out within normal business hours and the Department shall use reasonable endeavours to ensure such audit does not cause any undue interruption to the Contractor's business. The findings of any audit shall be subject to the confidentiality provisions set out in Schedule 3 Clause 13.

1.9.4 In no circumstances shall the Department or its authorised representatives have access to:

- f) individual payroll and personnel files;
- g) individual expenditure or records relating to the Contractor's other clients;
- h) any of the Contractor's overhead costs;
- i) financial records except for those financial records required to evidence that amounts that have been or are to be invoiced are properly due and owing; or
- j) the Contractor's server rooms or IT systems.

1.9.5 Neither the Department nor the Department's representatives shall be permitted to perform penetration tests, vulnerability scans, or otherwise interrogate the Contractor's network or information technology systems.

1.10 The Contractor shall designate a data protection officer if required by the Data Protection Legislation.

1.11 Before allowing any new Sub-processor to Process any Department Personal Data related to this Contract, the Contractor or any Contractor Affiliate must:

- (a) notify the Department in writing of the intended Sub-processor and Processing;
- (b) obtain the written consent of the Department. If the Department notifies the Contractor in writing of any objections (on reasonable grounds) to the proposed appointment, the Contractor shall not appoint (or disclose any Department Personal Data to) that proposed Sub-processor until reasonable steps have been taken to address the objections raised by the Department and the Department has been provided with a reasonable written explanation of the steps taken provided that the final decision will be the Department's;
- (c) enter into a written agreement with the Sub-processor which give effect to similar terms as set out in this clause such that they apply to the

- Sub-processor; and
- (d) provide the Department with such reasonable information regarding the Sub-processor as the Department may reasonably require.
- 1.12 The Contractor and each Contractor Affiliate may continue to use those Sub-processors already engaged by the Contractor or any Contractor Affiliate as of the date of this Annex 1, subject to the Contractor and each Contractor Affiliate in each case as soon as practicable meeting the obligations set out in clause 1.11.
- 1.13 The Contractor shall remain liable for all acts or omissions of any Sub-processor, subject to clause 1.16.
- 1.14 The Contractor may, at any time on not less than 30 Working Days' written notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
- 1.15 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' written notice to the Contractor propose an amendment this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.
- 1.16 Each Party's and all of its Affiliates' liability, taken together in the aggregate, arising out of or related to a breach of its obligations under this Agreement whether in contract, tort or under any other theory of liability, is subject to clause 9 'Warranty and Indemnity' section of Schedule 3 of this Contract, and any reference in such section to the liability of a party means the aggregate liability of that party and all of its Affiliates under this Contract.

**SCHEDULE FOUR****Schedule 4 Processing, Personal Data and Data Subjects**

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

1. The contact details of the Controller's Data Protection Officer are: <redacted>
2. The contact details of the Processor's Data Protection Officer are: <redacted>
3. The Processor shall comply with any further written instructions with respect to processing by the Controller.
4. Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 1.1.
Subject matter of the processing	Capturing views on accessing teachers to participate in a survey, sample characteristics for that survey, frequency of survey delivery, content of survey.
Duration of the processing	Feb - March 2019 for qualitative data collection
Nature and purposes of the processing	Collecting, secure storing and retrieval by researchers of personal information from teachers, school staff and members of the public, including names, email, phone number and job title. No adaptation or alteration. No alignment or combination. Manual secure destruction of all personal information within 12 months of project close by researchers. Emails will be used to send incentive payment – no banking information is collected from participants. Audio recording, secure storing and retrieval by researchers of interviews for analysis purposes. Disposal as above.
Type of Personal Data	Name, telephone number email address, job role and audio recording of qualitative interview.
Categories of Data Subject	Staff (teachers/school staff), members of the public (users of survey data e.g. journalists, academics etc), Departments (DfE stakeholders)

<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>Up to 12 months from the close of the project. Manually destroyed by researcher, by securely deleting all personal information.</p>
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End of Schedule Four

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

**Signature**

**Name in CAPITALS**

<redacted>

**Position and Address**

<redacted>

**Date**

Authorised to sign for and on behalf of the Contractor

**Signature**

**Name in CAPITALS**

<redacted>

**Position and Address**

<redacted>

**Date**