

THE SECRETARY OF STATE FOR EDUCATION

- AND -

THE CONTRACTOR

CALL OFF CONTRACT

**for the supply of the 2025 cohort of ITTECF Services under the National
Institute of Teaching Framework Agreement**

Version Control		
Version	Date	Comments
2.0	25 May 2022	First version incorporated in Framework Agreement.
2.1	October 2024	Updated version for ITTECF variation.
2.2	December 2024	Revised version with amendments following the award of the ITTECF framework.

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THIS CONTRACT is made on 20 December 2024

BETWEEN

1. **THE SECRETARY OF STATE FOR EDUCATION** of Sanctuary Buildings, Great Smith Street, London, SW1P 3BT acting as part of the Crown ("The Department"); or
 2. **SCHOOL-LED DEVELOPMENT TRUST** (13429740) whose registered office is at Outwood Grange Academies Trust, Potovens Lane, Wakefield, WF1 2PF (the "Contractor");
- together, the "Parties"

WHEREAS:

- a) By way of a notice dated 19th April 2021 published on Find a Tender, the Department undertook a procurement for a service provider to be appointed to a Framework Agreement to establish and run the Institute of Teaching.
- b) The Contractor was one of the Potential Providers that submitted the most economically advantageous tender and has therefore been appointed to the framework agreement.
- c) This Call Off Contract ("the Contract") sets out the terms and conditions that govern the provision of the services.

NOW IT IS HEREBY AGREED AS FOLLOWS:-

1. INTERPRETATION

1.1. In this Contract the following words shall mean:-

"Agent"	means an organisation or individual engaged by the Department to represent it;
"Affiliate"	in relation to any person, the holding company or subsidiary of that person or any subsidiary of such holding company, and "holding company" and "subsidiary" shall have the meaning given to them in Section 1159 and Schedule 6 of the Companies Act 2006
"Appropriate Bodies"	means an organisation responsible for the quality assurance process for Newly Qualified Teacher induction;
"Best Practice Function"	means the service operated by the Contractor that develops and shares best practice in teacher development delivery, as set out in section 7 of the specification;
"Campus"	any one of the locations defined in Schedule 1 Part 1 (The Specification) where the Contractor delivers the Services;
"Central Government Body"	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ol style="list-style-type: none">(1) Government Department;(2) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal);

	(3) Non-Ministerial Department; or (4) Executive Agency;
"Charge"	means the Charge made by the Contractor to the Department in accordance with the Part 1 of Schedule 2 of this Call Off Contract;
"Cohort"	means a group of Participants that are receiving training from the Contractor via any of the following ECF, NLE, NPQ or the NPQH Early Headship Coaching Offer for New Head Teachers;
"Cohort Commencement Date"	means the date that the Participants commence their induction. If this Call Off Contract covers more than one Cohort, it shall be the date that the first Cohort commences;
"Contract Date"	means the date this Contract is duly executed as stated above;
"Confidential Information"	means information as defined in this Contract which includes the Department's Confidential Information and/or the Contractor's Confidential Information including for the Contractor the information set out in Schedule 10 (Commercially Sensitive Information);
"Continuous Improvement"	means the process of ongoing effort to make incremental improvements to services being delivered by the Institute;
"Continuous Improvement Plan"	means the Contractor's continuous improvement plan developed and maintained in accordance with Schedule 15 of the Call Off Contract;
"Contracting Department"	any contracting Department as defined in Regulation 5(2) of the Public Contracts (Works, Services and Supply) (Amendment) Regulations 2000 other than the Department;
"Contract Period"	shall be the contract duration as set out in clause 2.1;
"Contractor Personnel"	all employees, agents, consultants, and contractors of the Contractor and/or of any Sub-Contractor engaged by the Contractor;
"Contractor Premises"	means any and all premises used by the Contractor for the purposes of or in connection with this Contract;
"Contractor's Solution"	means the Contractor's proposals to deliver the Call Off Contract included in Part 2 of Schedule 1 of this Call Off Contract;
"Control"	means a person that possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and " Controls " and " Controlled " shall be interpreted accordingly;
"Controller", "Processor", "Data Subject", "Personal"	have the meaning given in the GDPR;

Data”, “Personal Data Breach”, “Data Protection Officer”

“Correctly Submitted Invoice”	means an invoice 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, Contractor name, contact details and bank details; quotes the relevant purchase order/contract reference and has been delivered to the nominated address;
“CPD”	means continuous professional development;
"Crown Body"	any department, office or agency of the Crown;
“the Department”	means the Department for Education and its agencies;
“the Department’s Contract Manager”	means [REDACTED];
“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;
“Default”	<p>any breach of the obligations of the relevant Party (including abandonment of this Contract in breach of its terms, repudiatory breach or breach of a fundamental term) or any other default, act, omission, negligence or statement:</p> <p>(a) in the case of the Department, of its employees, servants, agents; or</p> <p>(b) in the case of the Contractor, of its Sub-Contractors or any Contractor Personnel,</p> <p>in connection with or in relation to the subject-matter of this Contract and in respect of which such Party is liable to the other;</p>
“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;

"Declaration"	means a declaration made by the Contractor via the Department's digital platform that they have sufficient evidence to support a claim for an Output Payment and KPI performance;
"Delivery Solution"	means the Delivery Solution submitted with the Contractor's Quotation and included in Schedule 1: Part 2 – The Contractor's Solution;
"the Department"	means the Department for Education and its agencies;
"Department's Intellectual Property Rights"	means all Intellectual Property Rights comprised in or necessary for or arising from the performance of the Services;
"Digital Platform"	means the Contractor's technology and ICT systems including any portal that will be used to deliver any part of the Services;
"Disclosure and Barring Service or DBS"	the Home Office sponsored safeguarding services that helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children;
"Employee Transfer Date"	means in respect of any Transferring Contractor Employee the date on which the part of the Services to which they are assigned transfers from the Contractor to any Replacement Contractor;
"Environmental Information Regulations"	the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government Department in relation to such regulations;
"Establishment and Mobilisation"	means the Department's requirements set out in Specification that the Contractor is required to fulfil under the first Call Off Contract Agreement and in accordance with the Contractor's Solution;
Establishment and Mobilisation Costs	means the costs that form the Charges the Department pays the Contractor to deliver the Activities associated with the Establishment and Mobilisation;
"Existing IPR"	any and all IPR that are owned by or licensed to either Party which are or have been developed independently of the Contract whether prior to the date of the Contract or otherwise.
"Exit Plan"	the plan prepared by the Contractor in accordance with clause 15.11 setting out the Contractor's methodology for achieving an orderly transition of the Services from the contractor to the Department or a Replacement Contractor on the expiry or termination of this Contract;
"Expiry Date"	means 01 October 2028, being the last day of the Contract Period unless the Contract Period is extended in accordance with clause 2;
"Extension Period"	shall have the meaning given to it in clause 2.2;

"External Evaluator"	means the independent evaluator or evaluators appointed by the Department further to paragraph 17 of Schedule 1 (Part 1: The Services);
"Find and Apply"	means the digital service which allows potential teacher training candidates to search for teacher training courses;
"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;
"First Call Off Contract"	means the first call off contract awarded by the Department under the Framework Agreement;
"Force Majeure"	<p>means any event or occurrence which is outside the reasonable control of the Party concerned and which is not attributable to any act or failure to take reasonable preventative action by that Party, including fire; flood; violent storm; pestilence; explosion; malicious damage; armed conflict; acts of terrorism; nuclear, biological or chemical warfare; or any other catastrophe, natural or man-made, but excluding:</p> <ul style="list-style-type: none"> (a) any industrial action occurring within the Contractor's or any of its Sub-Contractor's organisation, or otherwise involving the Contractor Staff; or (b) the failure by any Sub-Contractor of the Contractor to perform its obligations under any Sub-Contract.
"Framework Agreement"	means the Framework Agreement dated 25 May 2022 between the Department and the Contractor which was awarded under Regulation 33 of the Regulations and under which the Services are being called off;
"Framework Tender"	Means the tender submitted by the Contractor during the procurement process to appoint a contractor to the Framework Agreement;
"Full Degree Awarding Powers (DAPs)"	means a full authorisation from OfS (time limited for three years) to an HEI, allowing it to grant its own degree awards up to and including bachelors' degrees and research awards. Full DAPs also enable the provider to validate the awards of other HEI;
"Future Transfer Date"	means the date of termination or expiry of this Contract;
"GDPR"	the General Data Protection Regulation (Regulation (EU) 2016/679);
"Get into Teaching"	means the service operated by the Department to support individuals find a route into the teaching profession;
"Good Industry Practice"	that degree of skill, care, prudence, foresight and operating practice which would reasonably and ordinarily be expected from time to time of a skilled and experienced operator

	(engaged in the same type of undertaking as that of the Contractor) or any Sub-Contractor under the same or similar circumstances;
“Good Work Plan”	means the report setting out the UK Government’s vision for the future of the UK labour market;
“Higher Education Institution (HEI)”	means an organisation that delivers Higher Education training;
“Her Majesty's Government”	means the duly elected Government for the time being during the reign of Her Majesty and/or any department, committee, office, servant, or officer of such Government;
“ICT”	means information and communications technology;
“Implementation Plan”	means the Implementation Plan included in Schedule 7;
“Independent Evaluation”	means the process by which the Department will facilitate an unbiased assessment of the Institute, to ensure that delivery is meeting the stated aims of the Institute, and the needs of teacher development providers, teachers, schools and the wider sector;
“Independent Evaluator”	means the organisation engaged by the Department to undertake the Independent Evaluation of the Contractor;
"Information"	has the meaning given under section 84 of the Freedom of Information Act 2000;
“Initial Teacher Training (ITT) Core Content Framework (CCF)”	means Initial Teacher Training Core Content Framework;
“IPR Claims”	any claim against the Department of infringement or alleged infringement (including the defence of such infringement or alleged infringement) of any IPRs used by or on behalf of the Contractor (including by a Sub-Contractor) in relation to the delivery of the Services save for any such claim to the extent that it is caused by any use by or on behalf of the Department of any IPRs that are relevant to this Contract in combination with any item not supplied or recommended by the Contractor pursuant to this Contract or for a purpose not reasonably to be inferred from the Specification or the provisions of this Contract;
"Intellectual Property Right"	means any copyright, rights in designs, database rights, domain names, trademarks, service marks, patents or any applications for any of the foregoing, know-how or similar rights or obligations (whether registerable or not) including Moral Rights as defined in Chapter IV of the Copyright, Designs and Patents Act 1988;
"Key Personnel" and “Key Sub-Contractor”	Any individual and / or organisation named in Schedule 9 of this Contract;
“LED”	Law Enforcement Directive (Directive (EU) 2016/680);

“Member”	means one of the members of the consortium that hold legal ownership of the Contractor;
“Members’ Agreement”	means the agreement between Members of the consortium that hold the legal ownership of the Contractor as set out in Schedule 19 of the Framework Agreement;
“Mental Health at Work Commitment”	means the framework developed on standards set out in Thriving at Work;
“Mentor”	means a designated person, part of the ECF Programme, who is a suitably experienced teacher who has formal responsibility to help ensure the Participant receives the highest-quality ECF Induction Programme;
“Milestone”	means an activity, or series of activities or tasks or deliverables associated with the delivery of the Service that the Contractor is required to meet, achieve, complete or deliver by a stated date;
“Milestone Date”	means the date by which the Contractor shall achieve the related Milestone;
“National Leaders of Education (NLE)”	means the National Leaders of Education Development Framework. This programme aims to engage and mobilise outstanding leaders within the further education sector to support improvement;
“National Professional Qualifications (NPQs)”	means a national voluntary suite of qualifications designed to support the professional development of teachers and leaders;
“National Professional Qualification (NPQ) Content Frameworks”	means the six documents published on GOV.UK under National Qualification Reforms from 2021: Frameworks;
“New Degree Awarding Powers (DAPs)”	means a probationary authorisation from OfS (time limited for three years) to an HEI , allowing it to grant its own degree awards up to and including bachelors’ degrees;
“New IPR”	IPR in items created by the Contractor (or by a third party on behalf of the Contractor) specifically for the purposes of a Call Off Contract and updates and amendments of these items including (but not limited to) data base schemes;
“Office for Students” or “OfS”	means the independent regulator of Higher Education in England;
“Ofsted”	Means the Office for Standards in Education, Children’s Services and Skills;
“Open Book Data”	means financial information such as books of account, invoices, charge out rates, time sheets, or other time recording documents kept by the Contractor in connection with the provision of the Services and all vouchers, receipts, invoices, orders, contractual documentation and other documentation relating to the Services to which the Contractor is a Party;

“Participant”	means an individual who is receiving training or undertaking a any of the ECF, NLE, NPQ or the NPQH Early Headship Coaching Offer programmes with the Contractor;
“Parties”	means the organisations named in the recitals that have agreed to enter into this Contract;
“Party”	means either of the organisations named in the recitals that have agreed to enter into this Contract;
“Payment Milestone”	means a milestone that the Contractor shall meet in order for the Department to make the relevant payment as set out Table 1 of Annex 1 of Schedule 2 Part 1;
“Payment Milestone Date”	means the date that the by which the Payment Milestone shall be achieved;
“Personal Data”	shall have the same meaning as set out in the Data Protection Act 1998;
“Post Graduate Certificate in Education (PGCE)”	means a one-or two-year academic qualification that can be achieved by Participants undergoing ITT ;
“Prescribed Particulars”	means the information prescribed in Schedule 13 (Staff Transfer);
“Property”	means the property, other than real property, issued or made available to the Contractor by the Client in connection with the Contract;
“Protective Measures”	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;
“Pupil Premium”	means additional funding for schools to improve the attainment of disadvantaged children as set out in section 5 of the Specification;
“Quality Assurance Agency (QAA)”	means the organisation that safeguards standards and improves quality of Higher Education;
“Quality Assurance”	means how the Department or its representatives will measure the Contractor’s performance in developing and delivering the training programme;
“Quality Assurance Framework”	means the documents that set out quality requirements and processes that the Contractor shall comply with when delivering the services;
“Quality Assurance Function”	means the Department, or external body appointed by the Department, to monitor quality assurance delivery;

“Quotation”	means the Contractor’s offer submitted to the Department to undertake this Contract;
“Recruitment Milestone”	means date at which the Contractor’s performance against their Recruitment Target is measured;
“Recruitment Target”	means the recruitment targets started in set by the Department relating to the number of Participants the Contractor is required to recruit to a Cohort under this Call Off Contract;
“Regulatory Bodies”	those government departments and regulatory, statutory and other entities, committees and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in this Contract or any other affairs of the Department and "Regulatory Body" shall be construed accordingly;
“the Regulations”	means the Public Contracts Regulations 2015;
“Relevant Legislation”	means any statute or regulations or the EC Treaty (or any directives or regulations made under them);
“Relevant Personnel Documentation”	means the information in relation to Transferring Contractor Employees as prescribed in Part C of Schedule 13 (Staff Transfer);
“Replacement Services”	any services which are the same as or substantially similar to any of the Services and which the Department receives in substitution for any of the Services following the expiry or termination or partial termination of this Contract, whether those services are provided by the Department internally or by any third party;
“Replacement Contractor”	any third party provider of Replacement Services appointed by the Department from time to time (or where the Department is providing Replacement Services for its own account, the Department);
"Request for Information"	a request for information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations;
“Required Insurances”	means the insurances as set out in clause 9.7;
“the School”	means the organisation named as a Party to this Contract;
“Scholarship Funding Criteria”	Means the criteria set out in Table 4 of the Specification that determines if a teacher is eligible to receive Department funded Training;
“Serious Breach”	means: <ul style="list-style-type: none"> (a) any breach referred to as a Serious Breach in the Contract; and/or (b) any breach or breaches which adversely, materially, or substantially affect the performance or delivery of the Services in part or in full, or the provisions of a safe,

	<p>healthy and supportive learning environment. Serious Breach includes but is not limited to:</p> <ul style="list-style-type: none"> (i) a breach of security that adversely affects the Personal Data or privacy of an individual; and (ii) failure to comply with Law, or acts or omissions by the Contractor that endanger the health or safety of others;
"the Services"	means the services to be performed by the Contractor as described in Schedule 1;
"Service Outputs"	means the outputs (milestones, research, reports, events, etc) delivered as part of the Best Practice Function service;
"Service Failure"	means the failure of the Contractor to meet SLAs, KPIs and Milestones as described in this Call Off Contract;
"Service Threshold"	means the thresholds set out in Schedule 2 Part 2 which, if reached by the Contractor in its performance of this Contract, trigger (without prejudice to its other rights and remedies) the Department's right of termination under clause 10.5.11;
"SME"	means a micro, small or medium-sized enterprise defined in accordance with the European Commission Recommendation 2003/361/EC and any subsequent revisions;
"Social Value"	means improving the economic, social and environmental well-being of those involved with the delivery, or receiving of the Services;
"Staffing Information"	means the Staffing Information provided by the Contractor in accordance with Schedule 13;
"Start Declaration"	means a declaration made by the Contractor via the Department's digital platform that a Participant has commenced their training with the Contractor, and which is used by the Contractor as evidence to support a claim for an Output Payment and KPI performance;
"Sub-Contract"	means a contract between two or more suppliers, at any stage of remoteness from the Department in a Sub-Contracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the Contract;
"Sub-Contractor"	the third party with whom the Contractor enters into a Sub-Contract or its servants or Agents and any third party with whom that third party enters into a Sub-Contract or its servants or Agents;
"Sub-processor"	any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;
"Summative Assessment"	means the assessment carried out at the end of a period of learning;
"Targeted Delivery Payments"	means payments made by the Department to the Contractor in circumstances set out in the Specification;
"Teacher Recruitment and Retention Strategy"	means the strategy the Department is taking to ensure recruitment and retention of teachers in England, as further detail at Teacher recruitment and retention strategy - GOV.UK (www.gov.uk) ;

“Teacher Reference Number (TRN)”	means a unique identifier for each teacher, allowing them to evidence teaching qualifications.
“Teachers’ Standards”	means the standards (found here Teachers' standards - GOV.UK (www.gov.uk) which set the minimum requirements for teachers’ practice and conduct;
“Termination Date”	means the date set out in a termination notice on which this Contract (or a part of it as the case may be) is to terminate;
“Transferring Contractor Employees”	means those employees of the Contractor who are at the Future Transfer Date employed under a contract of service or apprenticeship or otherwise in the relevant part of the undertaking which transfers on the termination or expiry of this Contract pursuant to TUPE or the Acquired Rights Directive 187/77/EC or otherwise to any Replacement Contractor;
“Transfer of Undertakings (Protection of Employment) Regulations 2006 or TUPE”	means the Transfer of Undertakings (Protection of Employment) Regulations 2006, as amended from time to time;
“Thriving at Work”	means the Stevenson / Farmer review of mental health and employers commissioned by the UK Government;
“Uplift Payment”	means a payment of £100 (or other such amount as specified by the Department) paid to the Contractor for recruiting Participants eligible for Targeted Delivery Payments;
“Variation”	means a change to the terms of this Contract agreed in accordance with Schedule 5;
“VCSE”	means voluntary, community and social enterprise;
“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 and the neuter. References to a person include any individual, firm, unincorporated association or body corporate.

2. COMMENCEMENT AND CONTINUATION

2.1 The Contractor shall commence the Services on the Contract Date and, subject to clause 10.1 shall complete the Services on or before the Expiry Date.

2.2 The Department shall have the right to request in writing that the Contract Period be extended for one or more period on one or more occasions but the maximum cumulative Extension Period shall not be longer than the original Contract Period.

2.3 If the Department exercises its right to request an extension under clause 2.2, the last date of the Extension Period shall be the new Expiry Date and references to “Expiry Date” shall be interpreted accordingly.

3. CONTRACTOR'S OBLIGATIONS

3.1 The Contractor shall promptly and efficiently deliver the Services in accordance with the provisions set out in Schedule 1: Part 1 (The Services), the special conditions set out in Schedule 3 (Additional clauses) and in accordance with the Schedule 1: Part 2 (The Contractor’s Solution). Where there is any conflict between the terms of this Contract and the special conditions set out in Schedule 3, the special conditions shall prevail.

- 3.2 The Contractor shall comply with the accounting and performance measures set out in Schedule 2 (Pricing and Performance Measures).
- 3.3 The Contractor implements quality management arrangements and complies with the Quality Assurance requirements set out in Schedule 2 and in Section 2B – of the Specification to ensure the Services are delivered to a consistent and high standard. The Contractor notifies the Department as soon as practicable in the event they become aware of any matter(s) which may affect the quality of the Services.
- 3.4 The Contractor attends meetings relating to the Services, Continuous Improvement and the Contractor's performance with the Department as set out in the Specification and this Contract. The Contractor is not paid separately for attending such meetings unless expressly set out in the Call Off Order.
- 3.5 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.
- 3.6 In entering into this Contract, the Contractor is confirming that:
- 3.6.1 it has read and understood the Department's expectations of all Services as set out in the Government's Contractor Code of Conduct at <https://www.gov.uk/government/publications/Contractor-code-of-conduct> and the Contractor will deliver the Services in accordance with the Contractor Code; and
- 3.6.2 it will deliver the Services by reference to the Contractor Code as dated February 2019 and thereafter as updated from time to time.
- 3.7 The Contractor shall update the Implementation Plan, as set out at Schedule 7 (Implementation Plan) and submit it to the Department, for its approval, a finalised Implementation Plan within 6 (six) weeks of the Contract Date.
- 3.8 The Contractor shall work co-operatively and in partnership with the Department's independent evaluator as set out in the Schedule 1: Part 1 (The Services) and shall commit to supporting continuous improvement for the Contract Period by sharing knowledge and experiences with the Department, the External Evaluator and the other suppliers of similar services to the Department.
- 3.9 NOT USED.
- 3.10 Where the Services include ECF delivery, the Contractor shall ensure they obtain written agreement which should be in the form of a Memorandum of Understanding (MoU) or a contract with schools to confirm that they have agreed to sign up to their training offer. Prior to issuing the MoU/Contract to schools, the Contractor shall provide the Department with a copy of their proposed wording for review and clearance.

4. DEPARTMENT'S OBLIGATIONS

- 4.1 The Department will comply with the payment provisions of Schedule 2: Part 1 (Pricing) provided that the Department has received full and accurate information and documentation as required by Schedule 2 to be submitted by the Contractor for work completed to the satisfaction of the Department.

5. STEP-IN RIGHTS

- 5.1 Without prejudice to the Department's rights of termination under clause 10, the Department may exercise one or more of the rights set out in this clause 8 ("**Step In Rights**") if:
- 5.1.1 there is a Default by the Contractor which materially prevents or materially delays performance of the Services or any part of the Services;
- 5.1.2 the Contractor fails to:
- (a) meet an Establishment and Mobilisation Milestone;
- (b) or is notified of a Service Failure;

- 5.1.3 an event of Force Majeure occurs which materially prevents or materially delays the performance of the Services or any part of the Services;
 - 5.1.4 a Regulatory Body has advised the Department that exercise by the Department of its Step In Rights is necessary;
 - 5.1.5 serious risk exists to the health and safety of persons, property or the environment;
 - 5.1.6 it is necessary to discharge a statutory duty; or
 - 5.1.7 the Contractor becomes insolvent.
- 5.2 If the Department has a Step In Right it may serve notice on the Contractor (a “Step-In Notice”) that it will take action under this clause 5 either itself or with the assistance of a third party.
- 5.3 The Step-In Notice shall set out:
- 5.3.1 the action the Department wishes to take and in particular the Services that it wishes to control (the “Required Action”);
 - 5.3.2 the event triggering the Step In Rights and whether the Department believes that the Required Action is due to the Contractor's Default;
 - 5.3.3 the date on which it wishes to commence the Required Action;
 - 5.3.4 the time period which it believes will be necessary for the Required Action;
 - 5.3.5 whether the Department will require access to the Contractor's premises; and
 - 5.3.6 to the extent practicable, the effect the Department anticipates the Required Action will have on the Contractor's obligations to provide the Services during the period that the Required Action is being taken.
- 5.4 Following service of a Step-In Notice, the Department shall:
- 5.4.1 take the Required Action set out in the Step-In Notice and any consequential additional action as it reasonably believes is necessary to achieve the Required Action;
 - 5.4.2 keep records of the Required Action taken and provide information about the Required Action to the Contractor;
 - 5.4.3 co-operate wherever reasonable with the Contractor in order to enable the Contractor to continue to provide those Services of which the Department is not assuming control; and
 - 5.4.4 act reasonably in mitigating the cost that the Contractor will incur as a result of the exercise of the Step In Rights.
- 5.5 For as long as and to the extent that the Required Action continues:
- 5.5.1 the Contractor shall not be obliged to provide the Services to the extent that they are the subject of the Required Action; and
 - 5.5.2 the Department shall pay the Contractor the Charges after subtracting the Department's costs of taking the Required Action.
- 5.6 If the Contractor demonstrates to the Department's reasonable satisfaction that the Required Action has resulted in the degradation of any Services not subject to the Required Action beyond that which would have been the case had the Department not taken the Required Action, the Department may adjust the Charges.
- 5.7 Before ceasing to exercise its Step In Rights the Department shall deliver a written notice to the Contractor (a “Step-Out Notice”), specifying:
- 5.7.1 the Required Action it has taken; and
 - 5.7.2 the date on which the Department plans to end the Required Action subject to the Department being satisfied with the Contractor's ability to resume the provision of the Services and the Contractor's plan developed in accordance with clause 8.

- 5.8 The Contractor shall, following receipt of a Step-Out Notice and not less than 20 Working Days prior to the date specified in clause 5.7.1, develop for the Department's approval a draft plan relating to the resumption by the Contractor of the Services, including any action the Contractor proposes to take to ensure that the affected Services satisfy the requirements of the Contract.
- 5.9 If the Department does not approve the draft plan, it shall inform the Contractor of its reasons for not approving it and the Contractor shall then revise the draft plan taking those reasons into account and shall re-submit the revised plan to the Department for approval. The Department shall not withhold or delay its approval of the draft plan unreasonably.
- 5.10 The Contractor shall bear its own costs in connection with any Step-In under this clause 5, provided that the Department shall reimburse the Contractor's reasonable additional expenses incurred directly as a result of any Step-In action taken by the Department under clauses 5.1.3 to 5.1.6 (insofar as the primary cause of the Department serving the Step-In Notice is identified as not being the result of a Contractor's Default).

6. MANAGEMENT

- 6.1 The Contractor shall promptly comply with all reasonable requests or directions of the Department's Contract Manager in respect of the Services.
- 6.2 The Contractor shall address any enquiries about procedural or contractual matters in writing to the Department's Contract Manager. Any correspondence relating to this Contract shall quote the reference number set out in the Recitals to this Contract.
- 6.3 The Contractor's Key Personnel and Key Sub-Contractors are set out in Schedule 9 (Key Personnel and Sub-Contractors). The Contractor shall notify the Department of any changes to its Key Personnel or any proposed change of Sub-Contractors. In relation to any proposed change of Sub-Contractor the Contractor shall comply with the provisions of clause 7.6-7.8 and clause 1919.

7. CONTRACTOR'S EMPLOYEES AND SUB-CONTRACTORS

- 7.1 The appointment by the Contractor of Sub-Contractors shall be subject always to the requirements of clause 19. Where the Contractor does enter into any Sub-Contract the provisions of clauses 7.2 to 7.10 shall apply.
- 7.2 Where the Contractor enters into a contract with one or more suppliers for the purpose of sub-contracting its obligations under the Contract (the "Sub-Contractor") it shall ensure prompt payment in accordance with this clause 7.2. 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 30 days from the receipt of a valid invoice.
- 7.3 The Contractor shall comply with clause 7.2 and shall provide, at the Department's request, sufficient evidence to demonstrate compliance. The Contractor shall comply with clause 15.2 and shall provide, at the Department's request, sufficient evidence to demonstrate compliance. The Contractor's performance of this obligation across all Call Off Contracts will be measured and monitored at a Framework Agreement level in accordance with KPI 'IoT3' of Schedule 18.
- 7.4 The Contractor shall take all reasonable steps to satisfy itself that the Contractor Personnel it engages are suitable in all respects to perform the Services.
- 7.5 The Contractor shall give to the Department, if so requested a list of all persons who are or may be at any time directly concerned with the performance of this Contract specifying the capacity in which they are concerned with the provision of the Services and giving such other particulars as the Department may reasonably require.
- 7.6 If the Department notifies the Contractor that it reasonably considers that a Sub-Contractor is not appropriately qualified or trained to provide the Services or otherwise is not providing the Services 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 reasonably required by the Department, shall remove the said Sub-Contractor from providing the Services and shall provide a suitable replacement (at no cost to the Department).

- 7.7 The Contractor shall take all reasonable steps to avoid changes of Sub-Contractors assigned to and accepted to provide the Services under the Contract except whenever changes are unavoidable or of a temporary nature. The Contractor shall give immediate notice in writing to the Department's Contract Manager of proposals to change Sub-Contractors.
- 7.8 The Contractor shall immediately notify the Department if they have any concerns regarding the propriety of any of its Sub-Contractors in respect of work/services rendered in connection with this Contract.
- 7.9 The Contractor acknowledges that Key Contractor Personnel and Key Sub-Contractors are essential to the proper provision of the Services. The Parties have agreed to the appointment of Key Contractor Personnel and Key Sub-Contractors listed in Schedule 9 as at the Contract Date.
- 7.10 The Contractor agrees that:
- 7.10.1 Key Contractor Personnel shall not be released from supplying the Services without the Department's consent except by reason of long-term sickness, maternity leave, paternity leave or termination of employment or other similar reason.
- 7.10.2 Any replacements of Key Contractor Personnel or Sub-Contractors shall be subject to the Department's consent and shall be of at least equal status, experience and skills to Key Contractor Personnel or Sub-Contractor(s) being replaced and be suitable for the responsibilities of that person or company in relation to the Services.
- 7.11 The Department shall not unreasonably withhold consent under clauses 7.10. Such consent shall be conditional on appropriate arrangements being made by the Contractor to minimise any adverse effect on Services which could be caused by a change in Key Contractor Personnel or Key Sub-Contractors.
- 7.12 The Department may require the Contractor to remove any Key Contractor Personnel or Sub-Contractors who the Department considers is in any respect unsatisfactory.
- 7.13 The Department shall not be liable for the cost of replacing any Key Contractor Personnel or Sub-Contractors and the Contractor shall indemnify the Department against all Employment Liabilities that may arise in this respect.
- 7.14 The Contractor, its employees and Sub-Contractors (or their employees), whilst on Departmental premises, shall comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time.
- 7.15 The Contractor shall ensure the security of all the Property whilst in its possession, during the supply of the Services, in accordance with the Department's reasonable security requirements as required from time to time.
- 7.16 The Parties agree that:
- 7.16.1 the Contractor shall both during and after the Contract Period indemnify the Department against all Employee Liabilities that may arise as a result of any claims brought against the Department by any person where such claim arises from any act or omission of the Contractor or any Contractor Personnel; and
- 7.16.2 the Department shall both during and after the Contract Period indemnify the Contractor against all Employee Liabilities that may arise as a result of any claims brought against the Contractor by any person where such claim arises from any act or omission of the Department or any of the Department's employees, Agents, consultants and contractors.

Staff Transfer

- 7.17 The Parties agree that:
- 7.17.1 where the commencement of the provision of the Services or any part of the Services results in one or more Relevant Transfers, Schedule 13 (Staff Transfer) shall apply as follows:

- (i) where the Relevant Transfer involves the transfer of Transferring Department Employees, Part A and Part D of Schedule 13 (Staff Transfer) shall apply;
 - (ii) where the Relevant Transfer involves the transfer of Transferring Former Contractor Employees, Part B and Part D of Schedule 13 (Staff Transfer) shall apply;
 - (iii) where the Relevant Transfer involves the transfer of Transferring Department Employees and Transferring Former Contractor Employees, Parts A, B and D of Schedule 13 (Staff Transfer) shall apply; and (iv) Part C of Schedule 13 (Staff Transfer) shall not apply.
- 7.17.2 where commencement of the provision of the Services or a part of the Services does not result in a Relevant Transfer, Part C of Schedule 13 (Staff Transfer) shall apply, Part D of Schedule 13 may apply and Parts A and B of Schedule 13 (Staff Transfer) shall not apply; and
- 7.17.3 Part E of Schedule 13 (Staff Transfer) shall apply on the expiry or termination of the Services or any part of the Services

7A SAFEGUARDING

- 7A.1 The Contractor shall make arrangements for ensuring that the Services are provided with a view to safeguarding and promoting the welfare of children receiving education or training. In doing so, the Contractor shall have regard to any guidance published, from time to time, by the Secretary of State for Education, which sets out the expectations in relation to safeguarding practice within schools. References to 'must' in any such guidance shall be treated as 'should' for the purposes of this Contract, save for any references to legal requirements arising from the Safeguarding Vulnerable Groups Act 2006 in respect of referrals to the Disclosure and Barring Service. Failure to do so may constitute a Serious Breach of this Contract.
- 7A.2 The Contractor must carry out appropriate Disclosure and Barring Service checks on all applicants including those from outside the UK for employment where such applicants would be employed to work in regulated activity relating to children or vulnerable adults (as defined by the Safeguarding Vulnerable Groups Act 2006) if successful, and must seek additional information about an applicant's conduct.
- 7A.3 The Contractor shall not employ or engage, or continue to employ or engage, any person who is subject to a prohibition order made under section 141B of the Education Act 2002 to carry out teaching work (as defined in regulation 3 of the Teachers' Disciplinary (England) Regulations 2012).
- 7A.4 The Contractor shall, in circumstances where it sub-contracts the management and / or delivery of the Services under this Contract, ensure that the content of this clause 7A is included in its contract with Sub-Contractors.
- 7A.5 The Contractor and its Sub-Contractors must be able to demonstrate that they have robust record-keeping procedures in respect of safeguarding through checks on record keeping undertaken.
- 7A.6 A breach by the Contractor and / or its Sub-Contractors of this clause 7A shall constitute a Serious Breach of the Contract.

8. INTELLECTUAL PROPERTY RIGHTS (IPR)

- 8.1 Each Party keeps ownership of its own Existing IPR.
- 8.2 Pursuant to clause 2.1 the Contractor gives the Department a non-exclusive, perpetual, royalty-free, irrevocable, transferable UK-wide licence to use, change and sub-license the Contractor's Existing IPR to enable it to both:
- 8.2.1 receive and use the Services;
 - 8.2.2 make use of the Services by a Replacement Contractor;

and the Department gives the Contractor and its Sub-Contractors, if any, a licence to use the Department's Existing IPR for the purpose of fulfilling its obligations set out in this Contract during the Contract Period.

8.3 Any New IPR created under this Contract will be owned by the Contractor. The Contractor gives the Department a non-exclusive, perpetual, royalty-free, irrevocable, transferable UK-wide licence to use, change and sub-license the Contractor's Existing IPR and New IPR to enable it to:

8.3.1 receive the Services under this Contract; and

8.3.2 make use of the Services provided by a Replacement Contractor; and

8.3.3 make use of the materials created under this Contract in other services related to, but not limited to, NPQs.

8.4 Where a Party acquires ownership of IPR incorrectly under this Contract it must do everything reasonably necessary to complete a transfer assigning them in writing to the other Party on request and at its own cost.

8.5 Neither Party has the right to use the other Party's IPR, including any use of the other Party's names, logos or trademarks, other than as set out in this clause 8 or as agreed in writing.

8.6 The Contractor shall indemnify the Department against all IPR Claims, demands, actions, costs, expenses (including legal costs and disbursements on a solicitor and client basis), losses and damages arising from or incurred by reason of any infringement or alleged infringement (including the defence of such alleged infringement) of any Intellectual Property Right.

8.7 The Contractor hereby waives any Moral Rights as defined at Chapter IV of the Copyright, Designs and Patents Act 1988.

8.8 The Contractor warrants:

8.8.1 that the Contractor's Intellectual Property Rights comprise its own original work including where its Intellectual Property Rights were created by or on behalf of the Contractor;

8.8.2 that the Department's Intellectual Property Rights have not and will not be copied wholly or in part from any other work or material;

8.8.3 that the use of or exercise by the Contractor of the Department's Intellectual Property Rights and the Background Intellectual Property will not infringe the rights of any third party;

8.8.4 that the Contractor has not granted or assigned any rights of any nature in the Department's Intellectual Property Rights to any third party except to its Sub-Contractors as appropriate.

8.9 The Department shall reserve the right to benefit from its investment in developing the National Institute of Teaching.

8.10 The Contractor shall report to the Department on an annual basis the amount of financial income that is generated through of the sale of content or materials that includes New IPR generated under this Contract. This shall include any financial income from the sale of services or products to Consortium Members or other organisations based in or outside of the United Kingdom (including other governments or authorities who deliver educational services). The Department reserves the right to share in the financial benefit from the Contractor's commercial or financial arrangements, via a reduction in the Charges and / or through the payment of a dividend.

8.11 The provisions of Schedule 14 (Contractor's Digital Platform) shall apply in relation to the Intellectual Property Rights in and licensing of Software.

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 using Good Industry

Practice. The Department will be relying upon the Contractor's skill, expertise and experience in the performance of the Services 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 Services 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 a part of the Services will be of satisfactory quality and fit for their purpose and will be free from defects in design, material and workmanship.

9.2 Without prejudice to any other remedy, if any part of the Services 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 Services without additional charge to the Department; or

9.2.2 if the Department considers it would be impracticable or inappropriate to require the Contractor to take action in accordance with clause 9.2.1, the Department may assess the cost of remedying the failure ("the Assessed Cost") and deduct from any sums due to the Contractor the Assessed Cost for the period that such failure continues

9.3 Neither Party limits its liability for:

- (a) death or personal injury caused by its negligence, or that of its employees, agents or sub-contractors (as applicable);
- (b) fraud or fraudulent misrepresentation by it or its employees;
- (c) breach of any obligation as to title implied by section 12 of the Sale of Goods Act 1979 or section 2 of the Supply of Goods and Services Act 1982; or
- (d) any liability to the extent it cannot be limited or excluded by Law.

9.4 The Contractor's liability in respect of the indemnities in clause 16 (VAT, Income Tax and National Insurance Contributions), clause 7.11 (Employment Indemnity), clause 8.6 (IPRs Indemnity), clause 15.8 (TUPE liability), clause 15.9 (TUPE liability) Schedule 13 (Staff Transfer) and the Annexes to Schedule 13 (Staff Transfer) shall be unlimited.

9.5 The Department's liability in respect of the indemnities in clause 7.11 (Employment Indemnity), Schedule 13 (Staff Transfer) and the Annexes to Schedule 13 (Staff Transfer) shall be unlimited.

9.6 Subject to clauses 9.3 and 9.4 (Unlimited Liability) and clauses 9.9 (Consequential Losses):

- (a) the Contractor's aggregate liability in respect of loss of or damage to the Department Premises or other property or assets of the Department (including technical infrastructure, assets or equipment but excluding any loss or damage to the Department's Data or any other data) that is caused by Defaults of the Contractor occurring in each and any Contract Year shall in no event exceed £10 million;
- (b) the Contractor's aggregate liability in respect of loss of or damage to Department Data or breach of the Data Protection Legislation that is caused by Default of the Contractor occurring in each and any Contract Year shall in no event exceed £10 million;
- (c) the Contractor's aggregate liability in respect of all Service Credits incurred shall be subject to the Service Credit Cap; and
- (d) the Contractor's aggregate liability in each Contract Year in respect of all other Losses incurred by the Department under or in connection with this Contract as a result of Defaults by the Contractor shall in no event exceed:
 - i) in relation to Defaults occurring in the first Contract Year, an amount equal to 150% of the Estimated Year 1 Charges or £5 million whichever is the higher;
 - ii) in relation to Defaults occurring during any subsequent Contract Year, an amount equal to 150% of the Charges paid and/or due to be paid to the Contractor under this Contract in the Contract Year immediately preceding the occurrence of the Default or £5 million, whichever is the higher; and

- iii) in relation to Defaults occurring after the end of the Contract Period, an amount equal to 150% of the Charges paid and/or due to be paid to the Contractor in the 12 month period immediately prior to the last day of the Contract Period or £5 million, whichever is the higher,

provided that where any Losses referred to this clause 9.6(d) have been incurred by the Department as a result of the Contractor's abandonment of this Contract or the Contractor's wilful default, wilful breach of a fundamental term of this Contract or wilful repudiatory breach of this Contract, the references in such clause to 150% shall be deemed to be references to 200% and references to £5 million shall be deemed to be references to £8 million.

- 9.7 Deductions from Charges shall not be taken into consideration when calculating the Contractor's liability under clause 9.6(c).
- 9.8 Subject to clauses 9.3 and 9.5 (Unlimited Liability) and clause 9.9 (Consequential Losses) and without prejudice to the Department's obligation to pay the Charges as and when they fall due for payment:
- (a) the Department's total aggregate liability in respect of all Losses incurred by the Contractor under or in connection with this Contract as a result of early termination of this Contract by the Department pursuant to clause 10.1 shall in no event exceed the amount set out Schedule 12 (Breakage Costs);
 - (b) the Department's aggregate liability in respect of all Losses incurred by the Contractor under or in connection with this Contract as a result of Defaults of the Department shall in no event exceed:
 - i) in relation to Defaults occurring in the first Contract Year, an amount equal to the Estimated Year 1 Charges;
 - ii) in relation to Defaults occurring during any subsequent Contract Year, an amount equal to the total Charges paid and/or due to be paid under this Contract in the Contract Year immediately preceding the occurrence of the Default; and
 - iii) in relation to Defaults occurring after the end of the Contract Period, an amount equal to the total Charges paid and/or due to be paid to the Contractor in the 12 month period immediately prior to the last day of the Contract Period.
- 9.9 Subject to clauses 9.3, 9.4 and 9.5 (Unlimited Liability) and clause 9.10, neither Party shall be liable to the other Party for:
- (a) any indirect, special or consequential Loss; or
 - (b) any loss of profits, turnover, business opportunities or damage to goodwill (in each case whether direct or indirect).
- 9.10 Notwithstanding clause 9.9 but subject to clause 9.6, the Contractor acknowledges that the Department may, amongst other things, recover from the Contractor the following Losses incurred by the Department to the extent that they arise as a result of a Default by the Contractor:
- (a) any additional operational and/or administrative costs and expenses incurred by the Department, including costs relating to time spent by or on behalf of the Department in dealing with the consequences of the Default;
 - (b) any wasted expenditure or charges;
 - (c) the additional cost of procuring Replacement Services for the remainder of the Contract Period and/or replacement Deliverables, which shall include any incremental costs associated with such Replacement Services and/or replacement Deliverables above those which would have been payable under this Contract;
 - (d) any compensation or interest paid to a third party by the Department; and

(e) any fine or penalty incurred by the Department pursuant to Law and any costs incurred by the Department in defending any proceedings which result in such fine or penalty.

- 9.11 Each Party shall use all reasonable endeavours to mitigate any loss or damage suffered arising out of or in connection with this Contract, including any Losses for which the relevant Party is entitled to bring a claim against the other Party pursuant to the indemnities in this Contract.
- 9.12 The Department's total liability to the Contractor under this Contract shall be limited to paying the Charges in accordance with schedule 2 (Pricing) and complying with any other contract provision in the Call Off Contract that requires a payment to be made by the Department
- 9.13 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.
- 9.14 Without prejudice to its liability to indemnify the Department under this Contract the Contractor shall take out and maintain in force or procure the taking out and maintenance of the Required Insurances and any other insurances as may be required by law. The Required Insurances shall be effective in each case no later than the date on which the relevant risk commences.
- 9.15 The Required Insurances referred to in clause 9.14 shall amount to:
- 9.15.1 at least five million pounds (£5 million) in respect of public liability cover in respect of each and every occurrence;
 - 9.15.2 at least five million pounds (£5 million) in respect of employer's liability cover in respect of each and every occurrence; and
 - 9.15.3 at least five million pounds (£5 million) in respect of professional indemnity cover in respect of each and every claim;
- 9.16 The Department may review the minimum indemnity limits specified for the Required Insurances in clause 9.11 on an annual basis. Any Change that is required to the minimum indemnity limits as a result of the Department's review shall be implemented in accordance with the Change Control Procedure.
- 9.17 The Contractor shall provide to the Department by 31st August annually during the Contract Period and at other times on request evidence confirming that the Required Insurances are and remain in place.

9A FINANCIAL DISTRESS

- 9A.1 The Parties shall comply with the provisions of Schedule 4 (Financial Distress) in relation to the assessment of financial standing of the Contractor and the consequences of a change to that financial standing.
- 9A.2 In the event that a Financial Distress Event occurs the provisions of Schedule 4 (Financial Distress) shall apply.

10. TERMINATION

- 10.1 This Contract may be terminated on notice by the Department giving to the Contractor at least 90 days' notice in writing.
- 10.2 If the Department terminates the Contract under clause 10.1 the Department shall make no further payments to the Contractor except for a Breakage Costs Payment assessed in accordance with Schedule 12 (Breakage Costs) and Charges for, Services supplied by the Contractor prior to termination where the payment has yet to be made by the Department.
- 10.3 In the event of a Serious Breach of this Contract by either party which can be remedied, 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.
- 10.4 If the Department holds the view, acting reasonably, that the Contractor has committed a Serious Breach of the Contract and that it would pose a risk to the health and safety of children

or vulnerable adults to permit the Contractor to continue to deliver the Services, the Department may require the Contractor to suspend delivery of the Services pending further investigations.

10.5 This Contract may be terminated by the Department with immediate effect by notice in writing if at any time:

- 10.5.1 the Contractor commits a Serious Breach which cannot be remedied;
- 10.5.2 in England and Wales, a petition is presented for the Contractor's bankruptcy or a criminal bankruptcy order is made against the Contractor or it makes any composition or arrangement with or for the benefit of creditors or makes any conveyance or assignment for the benefit of creditors;
- 10.5.3 in Scotland, if the Contractor becomes apparently insolvent within the meaning of Section 7 of the Bankruptcy (Scotland) Act 1985;
- 10.5.4 where the Contractor is a firm or a number of persons acting together in any capacity (including as trustees), any event referred to in Sub-clauses 10.5.1 or 10.5.2 occurs in respect of any partner in the firm or any of those persons (including any trustees);
- 10.5.5 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;
- 10.5.6 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;
- 10.5.7 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil its obligations relating to the payment of Social Security contributions;
- 10.5.8 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil its obligations relating to payment of taxes;
- 10.5.9 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;
- 10.5.10 any of the provisions of paragraph 4 of Schedule 4 (Financial Distress) have arisen; or
- 10.5.11 the Contractor's performance of the Service is such that any Service Threshold is reached or exceeded.

10.6 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.

Serious Breach due to not achieving a Milestone Date

10.7 If the Contractor does not achieve any Milestone Date in Schedule 16 of the First Call Off Contract awarded under the Framework Agreement, the Department reserves the right to class this as the Contractor having committed a Serious Breach and clauses 10.3 or 10.5.1 shall apply to this and any other call off contract it has been awarded under the Framework Agreement.

10A CONSEQUENCES OF TERMINATION AND EXPIRY

10A.1 Notwithstanding the service of a notice to terminate this Contract, the Contractor shall continue to fulfil its obligations under this Contract until the Termination Date or such other date as agreed in writing with the Department.

10A.2 A termination of this Contract shall not cause any other call off contracts or the Framework Agreement to terminate. For the avoidance of doubt, the Framework Agreement and all call off contracts other than the Contract shall remain in force unless and until they are terminated or expire in accordance with their own terms.

- 10A.3 The provisions of clauses 8, 9, 10A, 12, 14 and 17 and without limitation to the foregoing, any other provision of this Contract which by its terms is to be performed or observed notwithstanding termination or expiry or which is expressed to survive termination or expiry shall survive the termination or expiry 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. CONFIDENTIALITY

- 12.1 Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each party shall:
- 12.1.1 treat the other party's Confidential Information as confidential and safeguard it accordingly; and
 - 12.1.2 not disclose the other party's Confidential Information to any other person without the owner's prior written consent.
- 12.2 clause 12 shall not apply to the extent that:
- 12.2.1 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 13 (Freedom of Information);
 - 12.2.2 such information was in the possession of the party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
 - 12.2.3 such information was obtained from a third party without obligation of confidentiality;
 - 12.2.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or
 - 12.2.5 it is independently developed without access to the other party's Confidential Information.
- 12.3 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.
- 12.4 The Contractor shall not, and shall ensure that the Contractor Personnel do not, use any of the Department's Confidential Information received otherwise than for the purposes of this Contract.
- 12.5 The Contractor shall ensure that its employees, servants or such professional advisors or consultants are aware of the Contractor's obligations under this Contract.
- 12.6 Nothing in this Contract shall prevent the Department from disclosing the Contractor's Confidential Information:
- 12.6.1 on a confidential basis to any Central Government Body for any proper purpose of the Department or of the relevant Central Government Body;
 - 12.6.2 to Parliament and Parliamentary Committees or if required by any Parliamentary reporting requirement;
 - 12.6.3 to the extent that the Department (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions;
 - 12.6.4 on a confidential basis to a professional adviser, consultant, Contractor, or other person engaged by any of the entities described in clause 12.6.1 (including any benchmarking organisation) for any purpose relating to or connected with this Contract;

- 12.6.5 on a confidential basis for the purpose of the exercise of its rights under this Contract, including audit rights, step-in rights and exit management rights; or
- 12.6.6 on a confidential basis to a proposed successor body in connection with any assignment, novation or disposal of any of its rights, obligations or liabilities under this Contract.
- 12.7 The Department shall use all reasonable endeavours to ensure that any Central Government Body, Contracting Department, employee, third party or Sub-Contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause 12 is made aware of the Department's obligations of confidentiality.
- 12.8 Nothing in this clause 12 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.
- 12.9 The parties acknowledge that, except for any information that 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.
- 12.10 Subject to clause 12.9, the Contractor hereby gives its 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.
- 12.11 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.
- 12.12 The Contractor shall assist and cooperate with the Department to enable the Department to publish this Contract.

13. FREEDOM OF INFORMATION

- 13.1 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.
- 13.2 The Contractor shall and shall ensure that its Sub-Contractors shall:
 - 13.2.1 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;
 - 13.2.2 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
 - 13.2.3 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.
- 13.3 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.
- 13.4 In no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by the Department.
- 13.5 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:

13.5.1 in certain circumstances without consulting the Contractor; or

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

13.6 provided always that where clause 13.5.1 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.

13.7 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.

14. AUDIT AND SERVICE CONTINUITY PLAN

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

14.2 The Contractor shall provide the Department with its Service Continuity Plan in accordance with the provisions of Schedule 11 (Service Continuity Plan).

14.3 The Contractor shall comply with the provisions of Schedule 17 (Financial Reports and Audit Rights) regarding financial transparency, open book costing and audit rights.

15. TRANSFER OF RESPONSIBILITY ON EXPIRY OR TERMINATION

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

15.2 If to fulfil the Department’s request under clause 15.1 the Contractor requires resources:

15.2.1 not normally accounted for in delivering the Services; or

15.2.2 no accounted for in the Charges; or

15.2.3 after the Expiry Date;

then the Parties shall agree a variation to the Charges for direct, reasonable and verifiable costs (which in the case of the Contractor shall not exceed the time and materials of the resources required).

15.3 Such assistance may include (without limitation) the delivery of documents and data in the possession or control of the Contractor which relate to this Contract, including the documents and data, if any, referred to in clause 15.8.

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

15.5 The Department and the Contractor shall act on the basis that TUPE applies on expiry or termination of the Contract where the Department is proposing to re-procure services which are substantially the same as the Services.

15.6 Where any of the provisions in clause 7.17 apply, the Contractor will comply with the obligations set out in Schedule 13 and:

15.6.1 6 months preceding the Expiry Date (or within 20 Working Days after the Department or the Contractor has given notice to terminate the Contract), the Contractor shall disclose to the Department and shall permit the Department to disclose to any supplier that is a tenderer or is interested in tendering for services which are substantially the same as the Services, the Staffing Information of the Provisional Contractor Personnel

List provided that prior to so doing any such tenderer shall have executed in writing a confidentiality undertaking in favour of the Contractor;

- 15.6.2 the Contractor keeps the Staffing Information in the Provisional Contractor Personnel List updated at monthly intervals, to the Department and to the Replacement Contractor information in respect of each employee whom the Contractor reasonably believes will be a Transferring Contractor Employee provided that prior to so doing the Replacement Contractor nominated by the Department shall have executed in writing a confidentiality undertaking in favour of the Contractor;
- 15.6.3 the Contractor shall make reasonable endeavours to assist the Replacement Contractor to communicate with, meet and inform and consult with the employees whom the Contractor reasonably believes will be a Transferring Contractor Employee and their trade union or other employee representatives for the purposes of complying with the Transfer of Undertakings (Protection of Employment) Regulations 2006.
- 15.7 Within a period of 21 days following the Expiry Date or Termination Date of this Contract the Contractor shall provide to the Department or the Replacement Contractor in writing the Staffing Information in relation to Transferring Contractor Employees in accordance with Schedule 13 (Staff Transfer).
- 15.8 In the event that the Department or the Replacement Contractor incurs costs, liabilities or expenditure in respect of Transferring Contractor Employees which is greater than would have been the case if the Required Information supplied by the Contractor had been accurate and complete, then such (net) greater costs, liabilities or expenditure shall be deemed to be costs suffered or incurred by the Department and / or a Replacement Contractor and the Contractor shall fully indemnify the Department for such costs both incurred by the Department itself and a Replacement Contractor if applicable.
- 15.9 The Department on its own account or on behalf of a Replacement Contractor shall be entitled to recover from the Contractor in full any legal, accountancy and other costs actually and reasonably incurred by the Department or Replacement Contractor in connection with the Contractor's indemnity in clause 15.8.
- 15.10 This clause 15 shall continue in effect for six months following the expiry or termination of this Contract.

Exit Plan & Handover

- 15.11 The Contractor shall, within three (3) months of the Contract Date prepare and submit to the Department and shall thereafter maintain, an Exit Plan.
- 15.12 The Exit Plan shall set out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the Department and/or its Replacement Contractor at the end of the Contract Period or on the earlier termination of any part of the Contract or cessation of the provision of any part of the Services by the Contractor.
- 15.13 The Exit Plan shall include details of any risks, issues or matters relating to the termination or expiry of this Call Off Contract. It must include, but is not limited to, the following areas:
 - 15.13.1 Assets and the transfer thereof;
 - 15.13.2 Systems, software and licensing;
 - 15.13.3 Data;
 - 15.13.4 Sub-Contracts;
 - 15.13.5 Training and knowledge transfer;
 - 15.13.6 Staff matters;
 - 15.13.7 Timescales for any transfer; and
 - 15.13.8 Costs of exit.

- 15.14 Within thirty (30) days of the submission of the Exit Plan, both Parties will use reasonable endeavours to agree the Exit Plan. If the Parties are unable to agree the Exit Plan the dispute shall be referred to the dispute resolution procedure in clause 24.
- 15.15 The Contractor will review and (if appropriate) update the Exit Plan in the first month of each Contract Year of the Contract Period to reflect changes to the Services. Following such update, the Contractor will submit the revised Exit Plan to the Department for review.
- 15.16 The Contractor shall implement the aspects its Exit Plan that are relevant to this Call Off Contract not less than nine (9) months prior to whichever occurs first out of the Termination Date or the Expiry Date.
- 15.17 The Contractor shall co-operate fully with the Department during any handover at the end of the Contract Period including allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.
- 15.18 Within ten (10) Working Days of being requested by the Department, the Contractor shall transfer to the Department, or any person designated by the Department, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and catalogued disk format, to operate on a proprietary software package identical to that used by the Department.
- 15.19 The Contractor shall co-operate fully with the Department in order to enable an efficient and detailed knowledge transfer from the Contractor to the Department or any other Replacement Contractor at the end of the Contract Period or on the earlier termination of any part of the Contract or cessation of the provision of any part of the Services by the Contractor and shall provide the Department free of charge with full access to Contractor Staff, copies of all documents, reports, summaries and any other information requested by the Department. The Contractor shall comply with the Department's request for information no later than fifteen (15) Working Days from the date that that request was made.
- 15.20 In the event the Contractor is delivering more than one call off contract concurrently which expire at similar time, the Department may require the Contractor under this Contract to consolidate the Exit Plans into one Exit Plan.
- 15.21 The Department reserves the right to review the Exit Plan or a consolidated Exit Plan as referred to in clause 15.20 using the governance arrangements set out in Schedule 16 of the Framework Agreement to ensure it has a holistic view of the Contractor's delivery and to ensure that all call off contracts are being delivered and managed consistently.
- 15.22 The Contractor shall ensure they have plans in place to ensure business continuity and continuation of delivery of the Services in the event there is situation where a Member leaves the consortium for any reason. The Exit Strategy must show how this gap in service provision will be resolved and how the Contractor will ensure that the delivery of Services under this Contract will continue to be delivered in accordance with the Specification and the Contractor's Solution.

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. Where the Department has deemed the Contractor to be an Off-Payroll Contractor as defined by Her Majesty's Revenue and Customs (HMRC) the Department reserves the right to calculate Income Tax and pay it to HMRC. The amounts will be deducted from the Contractor's fee for the work provided.
- 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. Where the Department has deemed the Contractor to be

an Off-Payroll Contractor as defined by HMRC the Department reserves the right to calculate primary (employee) National Insurance contributions (NICs) and pay them to HMRC. The amounts will be deducted from the Contractor's fee for the work provided.

- 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:
- 16.5.1 in the case of a request mentioned in clause 16.3 above if the Contractor:
- (a) fails to provide information in response to the request within a reasonable time, or
 - (b) 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;
- 16.5.2 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;
- 16.5.3 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 HMRC 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. The Contractor shall promptly and regularly pay all National Insurance Contributions due from it as a self-employed person and shall account to the HMRC for all taxes due from it in respect of the payments made to it under this Contract.
- 16.8 If, notwithstanding clause 16.7 the HMRC and/or any other appropriate agency consider that the Contractor is an employee of the Department for the purposes of tax and/or national insurance contributions; then the Department shall be entitled to terminate this Contract immediately and deduct from the payments payable to the Contractor under the terms of this Contract, such sums as the HMRC and/or other agencies require in respect of income tax and employee national insurance contributions. The deduction of such tax and national insurance contributions will not affect the status of the Contractor as self-employed for all other purposes.
- 16.9 Without prejudice to the provisions of clause 16.8 above, the Contractor shall indemnify the Department against any liability, assessment or claim made by the HMRC or any other relevant Department arising out of the performance by the Contractor of its 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 the Department in connection with any such assessment or claim.
- 16.10 The Contractor authorises the Department to provide the HMRC and all other departments or agencies of the Government with any information which they may request as to fees and/or expenses paid or due to be paid under this Contract whether or not the Department is obliged as a matter of law to comply with such request.
- 16.11 The Contractor shall register for value added tax if and when required by law and shall promptly notify the Department for Work and Pensions of its liability for Class 2 and, where appropriate, Class 4 national insurance contributions.

17. DATA PROTECTION

- 17.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, they are joint Controllers. Schedule 6 describes the subject matter, duration, nature and purpose of the

processing and the Personal Data categories and Data Subject types in respect of which the Contractor may process to fulfil the purposes specifically set out in that Schedule 6. The Contractor shall seek relevant permission from the Data Subjects to process their Personal Data and ensure it is processed in accordance with the Data Protection Legislation and the Contractor's privacy policy

- 17.2 The Contractor shall notify the Department immediately if it considers that any of the Department's instructions infringe the Data Protection Legislation.
- 17.3 The Contractor shall provide all reasonable assistance to the Department in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Department, include:
 - 17.3.1 a systematic description of the envisaged processing operations and the purpose of the processing;
 - 17.3.2 an assessment of the necessity and proportionality of the processing operations in relation to the Services;
 - 17.3.3 an assessment of the risks to the rights and freedoms of Data Subjects; and
 - 17.3.4 the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
- 17.4 The Contractor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:
 - 17.4.1 process that Personal Data only in accordance with Schedule 6, unless the Contractor is required to do otherwise by Law. If it is so required, the Contractor shall promptly notify the Department before processing the Personal Data unless prohibited by Law;
 - 17.4.2 ensure that it has in place Protective Measures, which have been reviewed and approved by the Department as appropriate to protect against a Data Loss Event having taken account of the:
 - (a) nature of the data to be protected;
 - (b) harm that might result from a Data Loss Event;
 - (c) state of technological development; and
 - (d) cost of implementing any measures;
 - 17.4.3 ensure that:
 - 17.4.3.1 the Contractor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 6);
 - 17.4.3.2 it takes all reasonable steps to ensure the reliability and integrity of any Contractor Personnel who have access to the Personal Data and ensure that they:
 - (a) are aware of and comply with the Contractor's duties under this clause;
 - (b) are subject to appropriate confidentiality undertakings with the Contractor or any Sub-processor;
 - (c) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Department or as otherwise permitted by this Contract; and
 - (d) have undergone adequate training in the use, care, protection, and handling of Personal Data; and
 - 17.4.4 not transfer Personal Data outside of the UK and / or the EU unless the prior written consent of the Department has been obtained and the following conditions are fulfilled:

- (a) 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;
 - (b) the Data Subject has enforceable rights and effective legal remedies;
 - (c) the Contractor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Department in meeting its obligations); and
 - (d) the Contractor complies with any reasonable instructions notified to it in advance by the Department with respect to the processing of the Personal Data;
- 17.4.5 at the written direction of the Department, delete or return Personal Data (and any copies of it) to the Department on termination of the Contract unless the Contractor is required by Law to retain the Personal Data.
- 17.4.6 ensure it notifies, and seeks the permission of, any party whose Personal Data is being processed that the Department may share their data with other Government Departments and other organisations for the purposes set out in Schedule 6.
- 17.5 Subject to clause 17.6, the Contractor shall notify the Department immediately if it:
 - 17.5.1 receives a Data Subject Access Request (or purported Data Subject Access Request);
 - 17.5.2 receives a request to rectify, block or erase any Personal Data;
 - 17.5.3 receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
 - 17.5.4 receives any communication from the Information Commissioner or any other regulatory Department in connection with Personal Data processed under this Contract;
 - 17.5.5 receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
 - 17.5.6 becomes aware of a Data Loss Event.
- 17.6 The Contractor's obligation to notify under clause 17.5 shall include the provision of further information to the Department in phases, as details become available.
- 17.7 Taking into account the nature of the processing, the Contractor shall provide the Department with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 1.5 (and insofar as possible within the timescales reasonably required by the Department) including by promptly providing:
 - 17.7.1 the Department with full details and copies of the complaint, communication or request;
 - 17.7.2 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;
 - 17.7.3 the Department, at its request, with any Personal Data it holds in relation to a Data Subject;
 - 17.7.4 assistance as requested by the Department following any Data Loss Event;
 - 17.7.5 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.
- 17.8 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:
 - 17.8.1 the Department determines that the processing is not occasional;

- 17.8.2 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
- 17.8.3 the Department determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 17.9 The Contractor shall allow for audits of its Data Processing activity by the Department or the Department's designated auditor.
- 17.10 The Contractor shall designate a data protection officer if required by the Data Protection Legislation.
- 17.11 Before allowing any sub-processor to process any Personal Data related to this Contract, the Contractor must:
 - 17.11.1 notify the Department in writing of the intended sub-processor and processing;
 - 17.11.2 obtain the written consent of the Department;
 - 17.11.3 provide the Department with such information regarding the sub-processor as the Department may reasonably require.
- 17.12 The Contractor shall remain fully liable for all acts or omissions of any sub-processor.
- 17.13 The Contractor shall indemnify the Department against any liability, assessment or claim made by the Information Commissioner's Office or any other relevant Department or Agency arising out of the performance by the Contractor of its obligations under this Contract and any costs, expenses, penalty fine or interest incurred or payable by the Department in connection with any such assessment or claim.
- 17.14 The Contractor may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
- 17.15 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Department may on not less than thirty (30) Working Days' notice to the Contractor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

18. AMENDMENT AND VARIATION

- 18.1 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 which the Department may have in place from time to time.
- 18.2 In considering any amendment or Variation to this Contract, the parties shall use the Change Control Procedure as set out in Schedule 5 (Change Control Procedure).

19. ASSIGNMENT AND SUB-CONTRACTING

- 19.1 The benefit and burden of this Contract may not be assigned or sub-contracted in whole or in part by the Contractor without the prior written consent of the Department save as expressly set out in clause 19.2. 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.
- 19.2 The Contractor may enter into Sub-Contracts for the delivery of general services that indirectly enable the Contractor to perform the Services without the requirement to seek the Department's prior consent as set out in clause 19.1.
- 19.3 Where the Department has consented to the appointment of a Sub-Contractor, pursuant to clause 19.1, the Contractor shall, as soon as reasonably practicable following a request from the Department provide to the Department a copy of the Sub-Contract entered into between the

Contractor and the Sub-Contractor which should pass down to the Sub-Contractor in terms which are the same or substantially similar to the provisions in this Contract as is relevant for the delivery of the Services under the Sub-Contract.

- 19.4 Where the Department has consented to an assignment pursuant to clause 19.1 the Contractor shall evidence the assignment in writing to the Department and provide a copy of the assignment document on request.
- 19.5 The Contractor shall not terminate or materially amend the terms of any Sub-Contract whose value exceeds £10,000 (ten thousand pounds) without obtaining the Department's prior written consent.
- 19.6 The Department may require the Contractor to terminate a Sub-Contract if the acts or omissions of the Sub-Contractor have given rise to the Department's rights of termination pursuant to clause 10 unless the Sub-Contractor can remedy the breach to the Department's satisfaction with 21 days of receipt by the Contractor of written notice from the Department requiring the Sub-Contract to be terminated.
- 19.7 The Contractor shall remain responsible for all acts and omissions of its Sub-Contractors as if they were its own.
- 19.8 The Department accepts no liability to the Contractor in relation to a decision by the Department to consent to the appointment of a Sub-Contractor by the Department or to an assignment and the Contractor shall hold the Department harmless in relation to any such decisions.
- 19.9 If the Department believes there are:

- 19.9.1 Grounds for excluding a supplier from being a Sub-Contractor pursuant to the minimum requirements set out in the table below: or

Commercial organisations, charities, HEIs and consultants	Schools, trusts and ITT Providers
<ul style="list-style-type: none"> a) Does not meet with the same assessment criteria as the Contractor was subject to in respect of Parts 1 & 2 of the Selection Questionnaire; b) has unmanageable conflicts of interest or reputational risk to the Department; or the Institute; and c) has unresolved performance issues on any contract they have with the Department or the Institute. 	<ul style="list-style-type: none"> a) is not graded 'Good' or 'Outstanding' for overall effectiveness by Ofsted; b) has unmanageable conflicts of interest or poses a reputational risk to the Institute and/or Department; and c) has unresolved performance issues d) does not demonstrate sustained high performance for all pupils; e) Does not demonstrate fidelity to the ITT, ECF and NPQ frameworks as appropriate;

- 19.9.2 Compulsory grounds for excluding a Sub-Contractor pursuant to Regulation 57 of the Regulations; or
- 19.9.3 Non-compulsory grounds for excluding a Sub-Contractor pursuant to Regulation 57 of the Regulations;
- 19.10 the Department may require the Contractor to replace or not appoint the Sub-Contractor and the Contractor shall comply with such a requirement.
- 19.11 The Department reserves the right to undertake due diligence in relation to any Sub-Contractor in accordance with clause 19.8.

Promotion of Sub-Contracting opportunities

- 19.12 In respect of any Sub-Contracting opportunities that have an estimated value of more than £25,000, the Contractor shall:
- 19.12.1 subject to clause 19.14, advertise on Contracts Finder all subcontract opportunities arising from or in connection with the provision Services above a minimum threshold of £25,000 that arise during the Contract Period;

- 19.12.2 within 90 days of awarding a Sub-Contract to a Sub-Contractor, update the notice on Contracts Finder with details of the successful subcontractor;
 - 19.12.3 monitor the number, type and value of the subcontract opportunities placed on Contracts Finder advertised and awarded in its supply chain during the Contract Period;
 - 19.12.4 provide reports on the information at clause 19.12.3 to the Department in the format and frequency as reasonably specified by the Contracting Department; and
 - 19.12.5 promote Contracts Finder to its suppliers and encourage those organisations to register on Contracts Finder.
- 19.13 Each advert referred to at clause 19.12 above shall provide a full and detailed description of the subcontract opportunity with each of the mandatory fields being completed on Contracts Finder by the Department.
- 19.14 The obligation at clause 19.12 shall only apply in respect of subcontract opportunities arising after the contract date.
- 19.15 Notwithstanding clause 19.12, the Department may by giving its prior written approval, agree that a subcontract opportunity is not required to be advertised on Contracts Finder.

Reporting on levels of spend with SMEs

- 19.16 In addition to any other Management Information requirements set out in this Contract, the Contractor agrees and acknowledges that it shall, at no charge, provide to the Department upon request, data on the level of spending with SMEs in respect of the following:
- 19.16.1 the total revenue received by SMEs under this Contract;
 - 19.16.2 the total value of Sub-Contracted revenues under this Contract (including revenues for non-SMEs/non-VCSEs); and
 - 19.16.3 the total value of Sub-Contracted revenues to SMEs and VCSEs.
- 19.17 The data referred to in 19.16 shall be provided in format that is acceptable to the Department and included in the MI Report on a monthly basis.

Value for Money when sourcing Sub-Contractors and suppliers

- 19.18 The Contractor must undertake checks on its supply chain to ensure it is reputable, and the Contractor must adhere to the principles of seeking value for money when sourcing Sub-Contractors and suppliers e.g. seeks competitive quotations/tenders.
- 19.19 The Contractor must record decisions relating to the choice of its Sub-Contractors and suppliers and provides evidence to the Department to demonstrate that the Contractor seeks value for money when appointing its Sub-Contractors.

20. THE CONTRACT (RIGHTS OF THIRD PARTIES) ACT 1999

- 20.1 This Contract shall not create any rights, under the Contracts (Rights of Third Parties) Act 1999 or otherwise, that shall be enforceable by anyone other than the Department and/or the Contractor.

21. WAIVER

- 21.1 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.

22. FORCE MAJEURE

- 22.1 If either Party is prevented or delayed in the performance of any of its obligations under the Contract by Force Majeure, that Party shall immediately serve notice in writing on the other Party specifying the nature and extent of the circumstances giving rise to Force Majeure, and

shall subject to service of such notice and to clause 22.3 have no liability in respect of the performance of such of its obligations as are prevented by the Force Majeure events during the continuation of such events, and for such time after they cease as is necessary for that Party, using all reasonable endeavours, to recommence its affected operations in order for it to perform its obligations.

- 22.2 If either Party is prevented from performance of its obligations for a continuous period in excess of 3 months, the other Party may terminate the Contract forthwith on service of written notice upon the Party so prevented, in which case neither Party shall have any liability to the other except that rights and liabilities which accrued prior to such termination shall continue to subsist.
- 22.3 The Party claiming to be prevented or delayed in the performance of any of its obligations under the Contract by reason of Force Majeure shall use reasonable endeavours to end Force Majeure or to find solutions by which the Contract may be performed despite the Force Majeure.

23. NOTICES

- 23.1 Any notice, demand or communication in connection with the Contract shall be in writing and may be delivered by hand, pre-paid first class post or (where being sent to an address in a different country to where posted) airmail, or e-mail, addressed to the recipient at its registered office or its address (or such other address, or e-mail address as may be notified in writing from time to time).
- 23.2 The notice, demand or communication shall be deemed to have been duly served:
- 23.2.1 if delivered by hand, when left at the proper address for service;
- 23.2.2 if given or made by prepaid first-class post 48 hours after being posted or in the case of airmail 14 days after being posted;
- 23.2.3 if made by e-mail, at the time of transmission, dispatched as a pdf attachment to an e-mail to the correct e-mail address without any error message or, in the case of transmission by e-mail where the time of transmission is not between 9.00 am and 5.00 pm, service shall be deemed to occur at 9.00 am on the next following Working Day (such times being local time at the address of the recipient).

24. DISPUTE RESOLUTION

- 24.1 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. This shall include escalating the dispute to a more senior level within both the Department and the Contractor with a view to reaching a settlement.
- 24.2 Any dispute not capable of resolution by the parties in accordance with the terms of clause 24 shall be settled as far as possible by mediation in accordance with the Centre for Dispute Resolution (CEDR) Model Mediation Procedure.
- 24.3 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.

25. DISCRIMINATION

- 25.1 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.
- 25.2 The Contractor shall take all reasonable steps to secure the observance of clause 25.1 by all servants, employees or Agents of the Contractor and all Contractors and Sub-Contractors employed in the execution of the Contract.

26. LAW AND JURISDICTION

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

27. CONTINUOUS IMPROVEMENT

- 27.1 The Contractor must comply with schedule 15 of this Contract and adopts a policy of Continuous Improvement in relation to the Services pursuant to which the Contractor will regularly review with the Department, the Services and the manner in which it is providing the Services. The review will be undertaken with a view to reducing the Department's costs, and/or improving the quality and efficiency of the Services Contractor and the Department will provide to each other any information, which may be relevant to assisting the objectives of continuous improvement and in particular reducing costs.
- 27.2 As part of this obligation the Contractor shall:
- 27.2.1 undertake regular reviews of how it is operating and the provision of the Services and record and act on lessons learned;
 - 27.2.2 have processes in place to gather and action feedback and satisfaction rates from end users, the Contractor's supply chain, stakeholders and partners;
 - 27.2.3 benchmark and learn from other CPD and training and recruitment programmes;
 - 27.2.4 identify and capture best practice, emerging trends and insights from supply chain partners and stakeholders;
 - 27.2.5 draft and keep updated a Continuous Improvement Plan that is in accordance with the requirements of Schedule 15 (Continuous Improvement) and includes content that is relevant to each of Clauses 27.2.1 to 27.2.4; and
 - 27.2.6 submit the Continuous Improvement Plan to the Department in accordance with Schedule 15.
- 27.3 Should the Contractor's costs in providing the Services to the Department be reduced as a result of any changes implemented as a result of the Continuous Improvement plan, all of the cost savings shall be passed on to the Department by way of a reduction in the Charges for the Services agreed in accordance with Schedule 5 (Contract Change Procedure).
- 27.4 Where the Contractor is delivering more than one call off contract concurrently, the Department reserves the right to review the Contractor's Continuous Improvement Plan using the governance set out in Schedule 16 of the Framework Agreement. The Department may exercise this discretion where it needs to take a holistic view of the Contractor's programme of Continuous Improvement and the impact that any proposals to implement improvements would have on the Contract and all current and future call off contracts.

28. PAYMENTS AND INVOICING

- 28.1 Except where otherwise expressly stated in the Contract the only payments to be paid by the Department for the performance by the Contractor of its obligations under the Contract shall be the Charges which shall be inclusive of all reasonable costs and expenses incurred by the Contractor in the performance of its obligations.
- 28.2 In consideration for the provision of the Services and subject to the receipt of correct invoices pursuant to clause 28.14 being issued by the Contractor, the Department shall pay the Charges in accordance with the Schedule 2.
- 28.3 Invoices in relation to Milestone Payments and / or Output Payments will be paid once the Department has verified that Milestones / Outputs have been achieved or completed, subject to accurate Declarations, MI returns and/or satisfactory evidence being submitted where required, as set out in Annex 1 to Schedule 2: Part 1 – Payment Process.
- 28.4 If Output Payments are made based on inaccurate Declarations, MI returns or evidence being submitted, and it later emerges that Output Payments were incorrectly made for Participants who did not start or remain engaged on the programme, the Department will be eligible to clawback those payments made.
- 28.5 The Contractor shall submit the first invoice by [insert date] and subsequent invoices shall be submitted by the 25th of the month following the month in respect to which the invoice relates, unless otherwise stated in the contract.

- 28.6 The Department shall accept and process for payment an electronic invoice submitted for payment by the Contractor where the invoice is undisputed and where it complies with the standard on electronic invoicing. For the purposes of this paragraph, an electronic invoice complies with the standard on electronic invoicing where it complies with the European standard and any of the syntaxes published in Commission Implementing Decision (EU) 2017/1870.
- 28.7 Except where otherwise expressly stated in Schedule 2 the Contractor shall not be entitled to increase the Charges or any rates identified in Schedule 2 throughout the Contract Period.
- 28.8 The Charges are exclusive of Value Added Tax (“VAT”) and all other taxes, duties and levies, but shall be inclusive of all charges, costs and expenses of whatever nature the Contractor incurs in providing the Services, and performing all other obligations of the Contractor, under the Contract (unless expressly stated otherwise in the Contract). The Contractor should notify the Department of any direct VAT charges for the delivery of the Contract. The Contractor shall identify VAT and other applicable taxes, duties and levies separately on invoices, including identifying the elements of the Charges that are subject to VAT at the standard rate or at any other rates and that are zero rated or exempt from VAT.
- 28.9 It is the responsibility of the Contractor to determine whether the Services they provide are subject to VAT. The Contractor shall take its own legal advice in determining the applicability of VAT for these Services and the Department cannot be held liable for any errors on the Contractor’s behalf.
- 28.10 Payment of the Charges by the Department shall be without prejudice to any rights the Department may have by reason of any Services, or any part thereof, failing to comply with any provision of the Contract and any breach by the Contractor of the Contract shall not be deemed to be accepted or waived by the Department by reason of such payment.
- 28.11 NOT USED.
- 28.12 Invoices shall be submitted electronically by email to [\[accountspayable.OCR@education.gov.uk\]](mailto:accountspayable.OCR@education.gov.uk) by the relevant date as specified in clause 28.5. To request a statement, please email [\[accountspayable.BC@education.gov.uk\]](mailto:accountspayable.BC@education.gov.uk)
- 28.13 There is no postal address. Paper invoices or supporting documents will not be accepted. All supporting documents must be sent digitally along with the invoice to [\[accountspayable.OCR@education.gov.uk\]](mailto:accountspayable.OCR@education.gov.uk).
- 28.14 An invoice is a Correctly Submitted Invoice if it is legible and includes:
- 28.14.1 the date of the invoice;
 - 28.14.2 Contractor’s full name and address;
 - 28.14.3 Contract reference number;
 - 28.14.4 Purchase Order number
 - 28.14.5 the charging period;
 - 28.14.6 a detailed breakdown of the appropriate Charges including deliverables, Milestones, Service Outputs and Outputs achieved (if applicable) and the information set out in paragraph 12.8 of Part 1 of Schedule 2;
 - 28.14.7 days and times worked (if applicable);
 - 28.14.8 Service Credits (if applicable); and
 - 28.14.9 VAT, if applicable.
- 28.15 The Department shall not pay an invoice which is not a Correctly Submitted Invoice.
- 28.16 The Department intends to pay Correctly Submitted Invoice within 5 Working Days of receipt. Correctly Submitted Invoices not paid within 30 days are subject to interest at the rate of 2% above the base rate from time to time of Barclays Bank. This clause 28.16 is a substantial remedy for late payment of any sum payable under the Contract in accordance with section 8(2) Late Payment of Commercial Debts (Interest) Act 1998.

- 28.17 The Department shall not be responsible for any delay in payment caused by receipt of invoices which is not a Correctly Submitted Invoice and shall, within 10 Working Days of receipt, return to the Contractor for correction invoices that are not Correctly Submitted Invoices together with an explanation of the need for correction.
- 28.18 At the end of the Contract Period the Contractor shall promptly draw-up a final invoice which shall cover all Services provided up to the end of the Contract Period which have not already been invoiced to the Department. The final invoice shall be submitted not later than 30 days after the end of the Contract Period.
- 28.19 The Department shall not be obliged to pay the final invoice until the Contractor has carried out all of the Services and /or achieved all of the Milestones.
- 28.20 The Contractor shall ensure that a term is included in all Sub-Contracts which requires payment to be made of all sums due to Sub-Contractors within 30 days from the receipt of a valid invoice.
- 28.21 If the Department disputes any amount specified in a Correctly Submitted Invoice it shall pay such amount of the invoice as is not in dispute and within 10 Working Days notify the Contractor of the reasons for disputing the invoice. The Department may withhold the disputed amount pending resolution of the dispute.
- 28.22 The Parties shall use all reasonable endeavours to resolve any dispute over invoices within 10 Working Days of the dispute being raised, after which period either Party may refer the matter for resolution in accordance with clause 24.

29. QUALITY MANAGEMENT

- 29.1 The Contractor complies with the requirements in Schedule 8 and ensures they implement effective quality management arrangements to ensure that the Services are of high quality.
- 29.2 The Contractor cooperates with the Department's Quality Assurance Function (and any organisation employed by the Department to represent it). It will be the responsibility of the Quality Assurance Function to monitor the quality of the Services being provided by the Contractor.
- 29.3 The role of the Quality Assurance Function will be to provide assurance to the Department that the Services are being delivered in accordance with the Specification and the content and training materials are of an acceptable standard.
- 29.4 The Department may employ third parties to undertake some or all of the work of the Quality Assurance Function.

30. DIGITAL REQUIREMENTS

- 30.1 The Contractor's Digital Platform shall comply with the requirements of Schedule 14.

31. SOCIAL VALUE

- 31.1 The Contractor shall deliver Social Value during the Contract Period with the intention of:
- a. Tackling economic inequality by creating new jobs and skills; and
 - b. Improving health and wellbeing
- 31.2 As part of this obligation, the Contractor shall:
- 31.2.1 develop, implement and an maintain a Social Value Plan that sets out, but is not limited to;
 - 31.2.1.1 a timed project plan detailing their intended Social Value Proposals that meet with the requirements of section 22 of the Specification to deliver Social Value;
 - 31.2.1.2 monitoring and reporting arrangements;
 - 31.2.1.3 records and details of activities undertaken in respect of social value and any information to allow for the reporting of the Contractor's performance against the social value related KPIs.

31.2.2 deliver the Social Value Proposals included in the Contractor's Social Value Plan

Submitting and updating the Social Value Plan

- 31.3 The Contractor shall deliver to the Department, within three (3) Months of the Contract Date, its Social Value Plan which meets with the requirements set out in clause 31.2.
- 31.4 The Department shall notify the Contractor of its approval or rejection of the proposed Social Value Plan (or any updates to it) within twenty (20) Working Days of receipt.
- 31.5 Within ten (10) Working Days of receipt of the Department's notice of rejection and of the deficiencies of the proposed Social Value Plan, the Contractor shall submit to the Department a revised Social Value Plan reflecting the changes required.
- 31.6 Following the approval of the submission of the first Social Value Plan (in accordance with paragraph 31.3 of this schedule) the Contractor shall regularly review, maintain and provide the Department with an updated version of the Social Value Plan on at least a quarterly basis thereafter.
- 31.7 The Contractor shall ensure that the information that it provides to the Department within the Social Value Plan is sufficient for the Department to be able to measure the Contractor's performance against the social value KPIs.
- 31.8 In the event the Contractor is delivering more than one Call Off Contract concurrently, the Department may require the Contractor to consolidate its Social Value Proposals into one Social Value Plan and the Department reserves the right to review the consolidated plan and measure the combined performance against the social value KPIs using the governance set out in Schedule 16 of the Framework Agreement.

AS WITNESS the hands of the parties:

Authorised to sign for and on behalf of School-Led Development Trust

Signature:

[Redacted Signature]

Name:

[Redacted Name]

Position in Organisation:

[Redacted Position]

Date:

[Redacted Date]

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

Signature:

[Redacted Signature]

Name:

[Redacted Name]

Position in Organisation:

[Redacted Position]

Date:

[Redacted Date]

SCHEDULE 1: PART 1 – THE SERVICES

The Service Specification is attached as Appendix A.

SCHEDULE 1: PART 2 – THE CONTRACTOR’S SOLUTION

Refer to Framework Agreement Schedule 18 and Appendix B of this Call-off Contract.

SCHEDULE 2: PART 1 – PRICING

1. Definitions

1.1. In this Schedule, the following terms shall have the meanings set out below:

“Charges”	means the fees payable by the Department for the performance of the Services by the Contractor as set out in the tables in Annex 1 of this Schedule.
“Output”	means the successful completion of specific deliverables per Participant, per case study.
“Output Date”	means the date by which the Contractor shall achieve the Output”
“Output Payment”	means the price the Department will pay the Contractor for each Output or Service Output achieved.
“Paragraph”	means a paragraph of this Schedule 2: Part 1 unless expressly indicated to the contrary.
“Per Participant Price”	means the price set per participant for each person undertaking training as set out in the Pricing Schedule.
“Pricing Schedule”	means the pricing breakdown submitted by the Contractor with their Quotation for this Call Off Contract based on the Framework Prices set out in the Framework Agreement.
“Service Fee”	means a monthly fee paid for any of the following ECF, NPQ and Best Practice Function related Services and calculated in accordance with Annex 1 of this Schedule.
“Total Contract Value”	means the total value of the Services to be delivered under this Call Off Contract. The Total Contract Value is stated in the table at Annex 2 and detailed in the Contractor’s Pricing Schedule included at Annex 2.
“TRN”	means Teacher Reference Number.

2. General

- 2.1 The Department shall pay the Contractor the Charges in accordance with Annex 1 and as set out in Annex 2 [as included relevant to the Services being delivered] for delivery of the Services, based on costs as agreed in line with the submitted Pricing Schedule, subject to satisfying the Department’s payment conditions for the delivery of Services. These include satisfactorily meeting the KPIs, Service Levels and Performance Management, as set out in Part 2 of this Schedule 2 (Performance Measures).
- 2.2 The Charges are inclusive of all expenses incurred by the Contractor in relation to its provision of the Services and unless agreed otherwise in writing between the Contractor and the Department, the Contractor shall not be entitled to claim any expenses in addition to the Charges.
- 2.3 Indexation shall not apply to the Charges.
- 2.4 At any time during the Contract Period (including, for the avoidance of doubt, at any time before and/or after payment by the Department to the Contractor) the Department shall be entitled to validate any claim for payment made by the Contractor. At all times the Contractor shall provide all necessary assistance as requested by the Department (including without limitation, procuring the consent of Participants) to enable the Department to validate any claim for payment made by the Contractor.

3. Fees to Participants

- 3.1 Neither the Contractor nor its Agents or Sub-Contractors shall levy any charge on Participants except as expressly permitted in advance and in writing by the Department (at its sole discretion).

4. Charges to Schools (School Contribution)

- 4.1 Neither the Contractor nor its Agents or Sub-Contractors shall levy any charge on a School except where expressly agreed in advance and in writing by the Department (at its sole discretion). For the avoidance of doubt, Schools can be charged under a School Call Off Contract that they place an Order for.

5. Recovery of Sums Due

- 5.1 Whenever under the Contract any sum of money is recoverable from the Contractor, or payable by the Contractor (including any sum which the Contractor is liable to pay to the Department in respect of any breach of the Contract), the Department may set off the sum from any sum due, or which at any later time may become any other agreement or contract with the Department or the Crown.
- 5.2 Any overpayment by either Party, whether of the Charges or of VAT or otherwise shall be the sum of money recoverable by the Party who made the overpayment from the Party in receipt of the overpayment.
- 5.3 The Contractor shall make any payments due to the Department without any deductions whether by way of offset, counterclaim, discount, abatement or otherwise unless the Contractor has a valid court order requiring an amount equal to such deduction to be paid by Department to the Contractor.
- 5.4 All payments due shall be made within 28 days once agreed between the parties that a sum of money is recoverable, unless otherwise specified in the Contract, in cleared funds, to such bank or building society as the recipient Party may from time to time direct.
- 5.5 [For the avoidance of doubt, if the Contractor does not meet Milestones included in Schedule 16 of the First Call Off Contract, the Department reserves the right to recover any Establishment and Mobilisation Costs it has been paid under the First Call Off Contract. The agreed sum of Establishment and Mobilisation Costs will be recovered via a credit note submitted by the Contractor to the Department or by an invoice or by set-off at the Department's discretion.]

6. Disputed Claims

- 6.1 Notwithstanding paragraph 2.5 of this Schedule 2, payment by the Department of all or any part of any Charges rendered or other claim for payment by the Contractor shall not signify approval. The Department reserves the right to verify Charges after the date of payment and subsequently to recover any sums, which have been overpaid.
- 6.2 If any part of a claim rendered by the Contractor is disputed or subject to question by the Department either before or after payment then, upon request, the Contractor shall provide such further documentary and oral evidence as the Department may reasonably require to verify its liability to pay the amount which is disputed or subject to question and the Contractor shall promptly provide such evidence in a form satisfactory to the Department.
- 6.3 If any part of a claim for the Charges by the Contractor is disputed or subject to question by the Department, the Department shall not withhold payment of any part of the claim for the Charges which is not in dispute.
- 6.4 If any of the Charges rendered by the Contractor are paid but any part of is the Charges are disputed or subject to question by the Department and such part is subsequently agreed or determined not to have been properly payable then the Contractor shall immediately repay such part of the Charges to the Department.
- 6.5 The Department shall be entitled to deduct from sums due to the Contractor by way of offset any amounts owed to it or which are in dispute or subject to question either in respect of the Charges for which payment is being made or any previous Charges.

7. Adjustment of the Charges

- 7.1 The Charges may only be varied by means of a Contract Change Notice, and in accordance with the provisions of this Contract.
- 7.2 The Department reserves the right to adjust the monthly Service Fee in the following circumstances:
- 7.2.1 If the staffing headcount profile of the Contractor is less than 75% of what was specified in the Pricing Schedule when the Contractor submits their first bi-annual FTE profile as per paragraph 8.2; and / or
- 7.2.2 If the Contractor fails to recruit at least 90% of the Recruitment Target by a Recruitment Milestone.
- 7.3 In the circumstances set out in paragraphs 7.2.1 and 7.2.2, if the Department decides to adjust the monthly Service Fee, the Department will use Open Book Data to validate the actual costs incurred by the Contractor and adjust the Charges accordingly via a Contract Change Notice.

8. Financial Reporting and Audit

- 8.1 The Contractor complies with the provision of Schedule 17.
- 8.2 The Contractor shall provide, during the Contract Period, bi-annual (and prior to any Gainshare Assessment) updates to the Pricing Schedule that compares the forecast to the actual costs incurred. The Contractor will also supply a bi-annual profile of deployed FTE for the Cohort duration, which is updated for actuals every month and submitted to the Department. The first bi-annual update will be required within the first 12 months of the Contract Period and then at 6 months intervals after that point.
- 8.3 The Contractor shall co-operate fully and in a timely manner with any reasonable request from time to time of the Department or any Audit Agents and at the expense of the Contractor to provide documents, or to procure the provision of documents, relating to this Contract, and to provide, or to procure the provision of, any oral or written explanation relating to the same.
- 8.4 The Contractor shall instruct its external auditor to provide reasonable co-operation with the Audit Agents for the purposes of verifying financial information.
- 8.5 The Department shall during each audit comply with those security, sites, systems and facilities operating procedures of the Contractor that the Department deems reasonable and use its reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Contractor or delay the provision of the Services.

9 Pricing of Variations

- 9.1 The provisions of this paragraph 9 shall apply to the pricing of any Variation (or proposed Variation) and the calculation of any change to the Charges consequent upon a Variation (or proposed Variation).
- 9.2 The Parties acknowledge that a Variation or proposed Variation may have an impact on the Charges in one or more of the following ways:
- 9.2.1 One-off cost, in which case paragraph 9.5 shall apply;
- 9.2.2 Subject to the Contractor's obligation to mitigate increases in the Charges, a Process Variation may result in an amendment to the Charges, in which case paragraph 9.6 apply;
- 9.2.3 The cost of any up-front investment by the Contractor in order to achieve a Variation as set out in paragraph 9.2.2 in which case paragraph 9.12 shall apply.
- 9.3 In any of the cases referred to in paragraphs 9.2.1 to 9.2.3 above, and without prejudice to paragraph 9.4, the Contractor shall use the Pricing Schedule provided by the Department to demonstrate and justify any claim for additional or reduced Charges arising as a result of any proposed Variation.
- 9.4 Where a Variation is requested by either Party under the Change Control Procedure then, subject to the terms of the Change Control Procedure, the Contractor shall at its own cost

prepare, populate and submit for the Department's approval a specific version of the Pricing Schedule demonstrating the impact of the proposed Variation which shall:

- 9.4.1 Be based on and reflect the principles of the Pricing Schedule, having regard to any assumptions stated in the Pricing Schedule which affect the Charges;
- 9.4.2 Include estimated volumes of each type of resource to be employed and the applicable average annual salary for resource employed specified in the Pricing Schedule;
- 9.4.3 Include full disclosure of any assumptions underlying such a quotation. The Department reserves the right to request further clarity around these assumptions and the underlying calculations until it is satisfied as to their validity; and
- 9.4.4 Include evidence of the cost of any assets required for the Variation.
- 9.5 Where paragraph 9.2.1 applies:
 - 9.5.1 The Contractor shall be paid in full upon completion, or by an agreed Schedule of milestone payments (both payment options subject to meeting specified acceptance criteria agreed at the outset).
 - 9.5.2 The Department shall issue a separate purchase order and the Contractor shall raise a separate invoice or credit note in respect of the one-off cost.
- 9.6 Where paragraph 9.2.2 applies:
 - 9.6.1 Any necessary changes to the Charges shall be effected by means of changes to the relevant Price Per Participant, Service Fee and/or Output Payments set out in of the relevant Tables of this Schedule; and
 - 9.6.2 Any necessary changes to the Charges will be in accordance with the original requirements for the completion of the Pricing Schedule as set out in the Invitation to Tender, for example the maximum cap on Service Fee will still apply.
- 9.7 The Charges shall not be adjusted more than on a bi-annual basis. The date any Charges adjustment ("Price Adjustment Effective Date") takes effect shall be at the start of the six-month period immediately following implementation of the Variation in question. For example, where a Process Variation is implemented during the month of September in a Contract Year; the relevant Charges shall be adjusted with effect from 1 January in that Contract Year. If there are several adjustments in one six-month period, these will be aggregated to make one adjustment at the start of the next six month period.
- 9.8 The Department shall provide the Contractor with a revised copy of the relevant Tables of this Schedule by the date any such Variation takes effect (1 January, 1 April, 1 July, 1 October).
- 9.9 A Process Variation shall be implemented timeously, and such implementation shall not await the Price Adjustment Effective Date.
- 9.10 If a Process Variation is implemented and there is a demonstrable financial loss to a Party due to the relevant Charges not being adjusted until the Price Adjustment Effective Date (first day of next quarter), then the Party impacted in this way can seek recovery of the amount due in the following manner:
 - 9.10.1 if it is the Contractor, by notifying the Department and providing supporting documentation and then (if the claim is accepted by the Department) submitting a separate invoice; or
 - 9.10.2 if it is the Department, by issuing a credit note request and supporting documentation.
- 9.11 Any request to seek recovery of such an amount must be submitted within 3 (three) months of the Price Adjustment Effective Date.
- 9.12 Where paragraph 9.2.3 applies, the Process Variation element shall be dealt with in accordance with paragraph 9.6 above and any up-front investment required to implement such a Process Variation shall itself be dealt with through an adjustment to the relevant Charges under paragraph 9.6 above or treated as a one-off cost in accordance with paragraph 9.5 above.

- 9.13 Following implementation of a Variation, the Department shall make any necessary consequential changes and/or updates to the relevant Tables in Schedule 2: Part 1.

10 Gainshare Assessment

- 10.1 The Department reserves the right to assess (a “**Gainshare Assessment**”) on an annual basis and or within 12 months of the end of the Contract Period if the actual cost of the delivering the Services under this Call Off Contract is less than the amount of Charges paid by the Department. If the Gainshare Assessment identifies that the Contractor’s Cost of delivering the Services was less than the Charges already paid to the Contractor for the Services included in the Gainshare Assessment, the Department will recover an amount (“**Gainshare Payment**”) equal to 50% of the savings generated.
- 10.2 For example, if the Gainshare Assessment identifies the actual cost of delivering the Services was £50,000 (fifty thousand) less than the total amount of Charges paid to the Contractor for the Services, the Department would be entitled to a £25,000 Gainshare Payment.
- 10.3 The Contractor pays the Department the Gainshare Payment by crediting the amount to the invoice that is raised immediately after the Gainshare Payment is identified, or if no invoice is due, the Contractor issues a credit note equal to the Gainshare Payment to the Department on the 25th day of the month after the Gainshare Payment has been identified.
- 10.4 In addition to the provisions of 10.1 to 10.3 of this schedule, if this Contract is for any of the following services:
- 10.4.1 Establishment and Mobilisation;
 - 10.4.2 NPQ services for the 2022/23 Cohorts;
 - 10.4.3 ECF services for the 2023/24 and/or 2024/25 Cohorts
- the Department reserves the right to require the Contractor to repay the whole amount of any gainshare savings to the Department.
- 10.5 If 10.4 applies, the Contractor shall:
- 10.5.1 provide and maintain a financial forecast and details of costs incurred and income generated by the Institute. The forecast shall identify any costs that have changed, or are likely to change, since the award of the Call Off Order;
 - 10.5.2 provide Open Book Data relating to the actual cost incurred in the delivery of the Services and identify and quantify any savings; and
 - 10.5.3 repay any savings in a timeframe that is acceptable to the Department but as soon as practicable after the savings have been realised. For example, any savings that the realised in October 2023 and the Department has required the Contractor to pay should be credited to the invoice, or a credit note raised for the equivalent value, and submitted to the Department in November 2023.

ANNEX 1 TO SCHEDULE 2: PART 1 – ECF PAYMENT PROCESS

1. General

1.1 The Charges payable to the Contractor by the Department shall consist of:

- 1.1.1 The monthly Service Fee;
- 1.1.2 The Output Payments, consisting of;
 - a) ECT / Mentor start payments;
 - b) ECT retention payments; and
 - c) ECT / Mentor completion payments.
- 1.1.3 Set-up Milestone Payments;

All subject to and in accordance with the provisions of this Contract.

2. Volume Banded Per Participant Pricing

2.1 The Contractor shall provide the Services in accordance with the volume banded pricing below, based on a Recruitment Target of [REDACTED] ECTs and [REDACTED] Mentors:

Table 1 – ECF Volume Banded Per Participant Pricing		
Payment Band	Volume	Per Participant Price
ECT Band A	[REDACTED]	[REDACTED]
ECT Band B	[REDACTED]	[REDACTED]
Mentors	[REDACTED]	[REDACTED]

2.2 A full breakdown of the pricing and payments for this Call-off is available at Annex 2.

3. Service Fee

3.1 Subject to the terms of the Contract, a Service Fee is paid for each Cohort. The Service Fee is 40% of the cost of the Services to deliver the recruitment and training of ECTs.

3.2 The Service Fee is paid for a total of 40 months from June 2025. 90% of the Service Fee amount is paid over 29 months, and 10% of the Service Fee amount is paid over 40 months. The Service Fee is a fixed amount per month in accordance with Table 2 of Annex 2 of this schedule.

Adjusting the Service Fee

3.3 As per paragraph 7.2.2 of Part 1 of Schedule 2, if the Contractor fails to recruit 90% of the Recruitment Target by the Recruitment Milestones, then the Department reserves the right to adjust the monthly Service Fee as follows:

- 3.3.1 If the Contractor does not achieve 90% of the Recruitment Target at Recruitment Milestone 1 or 2, the Service Fee can be reduced to 90% of the forecast outturn of performance of recruitment; and
- 3.3.2 If the Contractor does not achieve 90% of the Recruitment Target at Recruitment Milestone 3 or 4, reduce the Service Fee to a value equivalent to the actual number of ECTs and / or Mentors recruited.

3.4 Where the Service Fee is reduced in accordance with paragraph 3.3, the Contractor shall ensure their invoice is based on the reduced value from the month following the Recruitment Milestone.

3.5 The Service Fee can be increased where the Department has agreed the Contractor can exceed their Recruitment Target. The Contractor must seek permission from the Department to exceed their Recruitment Target.

- 3.6 Where actual recruitment is up to 115% of the Recruitment Target, the Department will adjust the Service Fee at Recruitment Milestone 4 to align to the actual number recruited and backpay the relevant Service Fee amount.
- 3.7 A Service Fee is not payable for any ECT where the Contractor has already recruited more than 115% of their Recruitment Target(s). The Contractor is only paid Output Payments for any ECTs where the Contractor has recruited 115% of their Recruitment Target(s).
- 3.8 The Service Fee is not adjusted where an ECT defers their training, or transfers to, or from, the Contractor to/from another Lead Provider. The Contractor is only paid the Output Payment(s) that are due after the ECT(s) and / or Mentor(s) have transferred to the Contractor from another Lead Provider and the Contractor has made a relevant Declaration.

4. Per ECT and Per Mentor Prices and Output Payments

- 4.1 Subject to the terms of the Contract, the Contractor is paid Output Payments. Output Payments equate to:
- 4.1.1 60% of the cost of the Services to deliver the recruitment and training of ECTs; and
- 4.1.2 100% of the cost of the Services to deliver the recruitment and training of Mentors.

Output Payments

- 4.2 Subject to the terms of the Contract, the Department shall pay the Contractor the applicable Output Payment for each Output that is achieved in accordance with the requirements of the Contract. The applicable Output Payment shall be ascertained by reference to Table 2 below.

Table 2 – Outputs and Output Payment		
Outputs	Proportion of total Output Payment	Assumed date of Output based on a standard programme and measurement dates for Engagement Metrics
Mentor start	50%	By end of December
Mentor completion	50%	By end of July
ECT start	20%	By end of December
ECT Retention Point 1	15%	By end of March
ECT Retention Point 2	15%	By end of July
ECT Retention Point 3	15%	By end of December
ECT Retention Point 4	15%	By end of March
ECT completion	20%	By end of July

- 4.3 Output Payments are paid on a rolling basis, in accordance with the Declaration Window and profile of payments in Table 3 below. There are four payments that cover the first year of Cohort (1st July 2025 – 31st July 2026) and three thereafter for the remainder of the Contract Period.
- 4.4 Output Payments are based on the Declarations made by the Contractor during the related Declaration Window. The first payment is paid no later than 30 days after the 25th November 2025. This will be based on the ECT and Mentor start Declarations made by the Contractor up to the end of October 31st 2025.

Table 3 – Declaration Windows and payment profile for Output Payments			
Payment reference	Declaration Window	Invoice Date	Payment Date
Payment A	1 st July – 31 st October 2025	No later than the 25 th November 2025	no later than 30 days after the 25 th November 2025

Payment B	1 st November – 31 st December 2025	No later than the 25 th January 2025	no later than the 30 days after the 25 th January 2026
Payment C	1 st Jan – 31 st March 2026	No later than 25 th April 2026	no later than the 30 days after the 25 th April 2026
Payment D	1 st April – 31 st July 2026	No later than 25 th August 2026	no later than the 30 days after the 25 th August 2026
Payment E	1 st August – 31 st December 2026 and each year thereafter until the End Date	No later than 25 th January 2027 and each year thereafter until the End Date	no later than the 30 days after the 25 th January 2027 and each year thereafter until the End Date
Payment F	1 st Jan – 31 st March 2027 and each year thereafter until the End Date	No later than 25 th April 2027 and each year thereafter until the End Date	no later than the 30 days after the 25 th April 2027 and each year thereafter until the End Date
Payment G	1 st April – 31 st July 2027 and each year thereafter until the End Date	No later than 25 th August 2027 and each year thereafter until the End Date	no later than the 30 days after the 25 th August 2027 and each year thereafter until the End Date

- 4.5 Output Payments thereafter are based on the Declarations made by the Contractor for Participants who have started or reached a retention point since the previous Declaration Window.
- 4.6 The Contractor does not claim any payment if no Declarations have been made in the Declaration Window and / or all of their Participants have concluded their training prior to the End Date
- 4.7 Participants can start and conclude their training at various points and do not necessarily need to commence and complete their training in accordance with the dates in Table 2.

Declarations for Output Payments

- 4.8 Output Payments for Participants that undertake their training in a non-standard way will be paid according to their training profile. For example, if a Contractor has an ECT that commences their training in January, the Contractor would make a start Declaration in the January and claim payment at Payment B. Likewise, if an ECT did not reach Retention Point 2 until August, the Contractor would make the relevant Declaration in the August and claim payment at Payment E.
- 4.9 The Department will conduct a full reconciliation and validation after every Declaration Window or as directed by the Department to ensure of Output Payments after every payment to ensure that the Contractor has not been overpaid or underpaid for Outputs completed. The Contractor repays the Department in accordance with paragraph 5 of Schedule 2 Part 1 (Pricing) for any amounts that have been overpaid or vice-versa.
- 4.10 Output Payments are made according to the number of Declarations made by a Contractor in respect of a Participant starting, Participant retention, and Participant completion.
- 4.11 The Contractor makes Declarations via the Department's Digital Service by the end of the related payment Declaration Window in order to be eligible for the relevant Output Payment. The Contractor does not claim Output Payments where there is no related Declaration.
- 4.12 For non-standard training, the Contractor makes Declarations according to the Participant training profile as per paragraph 4.8 above.
- 4.13 For each Declaration, the Contractor must ensure they can evidence that they have met the

related Output.

- 4.14 The Contractor supports Declarations by recording the following Management Information for each Participant:
 - 4.14.1 The Participant's TRN, role, name, date of birth, working pattern, email address, date of sign up and commencement, Evidence of Engagement and completion and reason for withdrawal/deferral where applicable;
 - 4.14.2 The School's URN, contact details of the Induction Co-ordinator (including name, telephone number and email address), date school signed up, date school withdrew/reason for withdrawal when appropriate and reason for school not signing up with the Contractor.
- 4.15 Annex 1 of the Specification provides further details on what constitutes Evidence of Engagement. The Contractor submits full details of the evidence that the Contractor relies on for its Declarations to enable the Department to validate the achievement of Outputs. As part of the validation process, the Contractor will be required to meet with the Department to discuss matters relating to Declarations and related evidence after each Declaration Window. The Department reserves the right to request further information in order to verify a Participant's engagement in the Contractor's programme. The Department may also conduct spot checks to verify the data is accurate by cross-referencing with other Management Information returns or contacting Schools to validate participation and engagement data.
- 4.16 The Contractor cannot submit multiple Declarations for an ECT or Mentor unless there has been a delay, and they are submitting a Declaration late. For example, the Contractor cannot submit Declarations for both Retention Points 1 and 2 in payment C but could submit them both in payment D if there was a delay in submitting a Declaration for Retention Point 1.

Output Payments for Withdrawals, Deferrals and Transfers

- 4.17 The Contractor is not paid for an Output Payment that would be due after a Participant withdraws from their training, unless there is sufficient Evidence of Engagement to demonstrate the Participant met the Output which was due after the point of withdrawal. The Contractor must inform the Department of any Participant who withdraw from the programme.
- 4.18 If a Mentor transfers after the start but before completion:
 - 4.18.1 the Contractor is paid the Output Payment that would be due after the Mentor has transferred to another Lead Provider if there is sufficient Evidence of Engagement to demonstrate that the Mentor met the Output which was due after the point of transfer.
 - 4.18.2 the Contractor is paid the Output Payment that would be due after the Mentor has transferred from another Lead Provider if there is sufficient Evidence of Engagement to demonstrate that the Mentor met the Output which was due after the point of transfer.
- 4.19 If an ECT transfers between two Retention Points:
 - 4.19.1 the Contractor is paid the Output Payment that would be due after the ECT has transferred to another Lead Provider if there is sufficient Evidence of Engagement to demonstrate that the ECT met the Output which was due after the point of transfer. No further Output Payments will be made past that point as the Contractor is no longer delivering training to that ECT.
 - 4.19.2 the Contractor is paid the Output Payment that would be due after the ECT has transferred from another Lead Provider if there is sufficient Evidence of Engagement to demonstrate that the ECT met the Output which was due after the point of transfer. Subject to 4.13, the Contractor is paid the remaining Output Payments for the transferred ECT.

Exceptions to payment for Mentor training

- 4.20 Subject to paragraph below 4.22 below, Contractors are paid for the recruitment and training of Mentors who have not been previously trained to mentor ECTs. The costs associated with supporting Mentors after they have completed their training with the Contractor, or who have

already completed ECT Mentor training prior to being recruited by the Contractor are considered in the Contractor's Per ECT Prices.

- 4.21 Where a Mentor recruited by the Contractor has previously undertaken Initial Teacher Training mentor training with a provider who is not the Contractor, the Contractor shall make an assessment as to what, the extent of if any additional training the Mentor requires and tailor their training offer as appropriate. The Contractor is paid for providing training to such Mentors.
- 4.22 Where a Mentor recruited by the Contractor has previously undertaken Initial Teacher Training mentor training with the Contractor, the Mentor is not required to undertake additional mentor training, and the Contractor is not paid if they choose to provide additional training in any event. The costs associated with supporting Mentors who have previously undertaken Initial Teacher Training mentor training with the Contractor are considered in the Contractor's Per ECT Prices.

5. Set-Up Milestone Payments

- 5.1 The Contractor is paid a Milestone Payment for each Set-up Milestone it achieves in accordance with Annex 1 of Part A of Schedule 7.
- 5.2 The amounts, and dates, of payments for each Milestone Payment are as set out in Annex 2 of this Schedule.
- 5.3 The Contractor shall calculate and evidence the actual cost incurred in delivering the Set-up Milestones. In the event the cost is less than the Milestone Payment at the Start Date, the Contractor credits the Department the difference by reducing the invoiced amount.

ANNEX 2 TO SCHEDULE 2: PART 1 – ECF CONTRACT PRICING INFORMATION

1. General

- 1.1 The Contractor shall provide the Services in accordance with the Recruitment Target in paragraph 2.1 of Annex 1 of this Schedule and the Pricing Schedule as set out in the tables below:

2. Total of the Prices for the Services

- 2.1 The total price to deliver the Services is as set out in Table 1 below:

Table 1 – Total prices				
Service	Milestone Payments	Service Fee Amount	Output Payment Amount	Total price for the Service
Set Up		N/A	N/A	
Mentor Training	N/A	N/A		
ECT Training	N/A			
Total of prices to deliver the Services				

3. Set-up

- 3.1 The prices for Set Up related Services are subject to paragraph 5.3 of Annex A of this schedule and are as follows:

Table 2 – Set Up Services		
Reference	Milestone Date	Milestone Payment
Digital Set Up Milestone 1: Review of plans	No later than 8 th January 2025	
Digital Set Up Milestone 2: implementation progress update	No later than 3 rd March 2025	
Digital Set Up Milestone 3: Testing of Supplier Integrations, Digital Learning Solution implementation progress update and website	Testing to commence on or after the 1 st May and to conclude no later than 2 nd June 2025	
Digital Set Up Milestone 4: Digital Learning Solution Testing	Testing to commence on or after the 1 st July and to conclude no later than 1 st August 2025	
Programme Set Up 1: The Contractor submits Training Content to the Department for Sample Testing.	No later than 10 th February 2025	
Programme Set Up Milestone 7: Submission of finalised Training Content for year 1	No earlier than end of April 2025 and no later than end of July 2025	
Programme Set Up 12: Approval of School-Led Materials	No earlier than end of April 2025 and no later than end of June 2025	
Total price for the Set Up		

4. Volume Based Prices & Outputs and payment breakdown

- 4.1 The prices to deliver training to ECTs are as follows:

Table 3 – ECT Training			
Volume Band A 1 - 2,000 ECTs		Volume Band B 2,001+ ECTs	
Outputs	Proportion of total Output Payment	Output Payment Band A	Output Payment Band B
ECT Start	20%		
ECT Retention Point 1	15%		
ECT Retention Point 2	15%		
ECT Retention Point 3	15%		
ECT Retention Point 4	15%		
ECT Completion	20%		

4.2 The total value of payments for delivering training to ECTs is broken down as follows:

Table 4 – break down of total value of payments							
Payment Band	Target	Per ECT Price	Total Price	Breakdown			
				Total Service Fee Value	Number of monthly Service Fee payments	Monthly Service Fee Payable	Total of Output Payments
<div></div>							
Totals			<div></div>				

4.3 The prices to deliver training to Mentors are as follows:

Table 5 – Mentor Training		
Reference	Per Mentor Price	
Mentor Training		
Outputs	Proportion of Output Payment	Output Payment
Mentor Start	50%	
Mentor Completion	50%	

4.4 The total value of payments for delivering training to Mentors is broken down as follows:

Table 6 – Breakdown of total value of payments			
Reference	Recruitment Target	Per Mentor Price	Total Price
Mentor Training			

SCHEDULE 2: PART 2 – PERFORMANCE AND CONTRACT MANAGEMENT

In this section the words below have the following meaning:

“Contract Performance Review”	means a monthly review of the Contractor’s performance under this Call Off Contract.
“Improvement Plan”	means a plan for improvement that the Department can request from the Contractor within ten (10) Working Days in the event of failure.
“KPI”	means the Key Performance Indicators as set out in Annex A of this Schedule.
“Management Information”	means the data and information relevant to the Services and performance the Contractor shall collate and provide to the Department in accordance with this schedule.
“Management Information Report”	means the report containing the Management Information that the Contractor is required to submit to the Department in accordance with this schedule.
“Performance Management”	means how the Department will measure the Contractor’s performance and progress against the Service Specification (Schedule 1: Part 1), the Contractor’s Solution (Schedule 1: Part 2), the Implementation Plan (Schedule 7), and Pricing (Annex 1 of Schedule 2: Part 1).
“Performance Manager”	means the person the Contractor will appoint to ensure that the Contract is delivered as specified in the Contract and that Service Levels, Recruitment Targets and KPIs are achieved.
“Reporting Period”	means the reporting period that occurs every calendar month from 25th of each month to the 24th of the following month and will commence on the Contract Commencement Date.
“Service Credits”	means the service credits as set out in table 3 of this Schedule.
“Service Level”	means the Service Levels as set out in Table 1 of this Schedule by which the Contractor’s performance will be measured.

1 SERVICE LEVELS AND KPIS

- 1.1 This section sets out the Service Levels and Key Performance Indicators (KPIs) against which the Parties shall measure the Contractor’s performance.
- 1.2 The objective of the Service Levels and KPIs is to:
 - 1.2.1 ensure that the Services are of a consistently high quality and meet the requirements of the Department;
 - 1.2.2 provide a mechanism whereby the Department can attain meaningful recognition of inconvenience and/or loss resulting from the Contractor’s failure to deliver the Services; and
 - 1.2.3 incentivise the Contractor to meet the performance standards and to remedy any failure to meet the required standards expeditiously.

Service Levels

- 1.3 The Contractor shall ensure compliance with the Service Levels listed in Table 1 (Service Levels).
- 1.4 The Contractor and the Department shall monitor the Contractor’s performance against each of the Service Levels listed in Table 1 (Service Levels).

- 1.5 The Contractor shall complete and return the monthly Department Reporting Template outlining performance against the Service Levels to date and confirm whether they have been achieved.
- 1.6 If the Contractor fails to meet any one Service Level in any Reporting Period, the Department reserves the right to take action in line with paragraphs 2.11 to 2.15 (Consequence of Service Failure).
- 1.7 Service Levels are set out in Table 1 below:

Table 1 –Service Levels			
Subject	Ref	Service Level	Level to be Achieved
Appeals	APP1	Delivery of an internal process to resolve appeals within 3 months from the date submitted by the appellant.	100% of the internal processes as defined in the Contractor's Appeals Policy to be undertaken within the 3 month appeal window.
	APP2	If unresolved within 3 months from the date submitted by the appellant and all internal processes exhausted, a complete appeal bundle is to be sent to the Department and/or its designated External Body who will act as the final arbiter.	Refer 100% of unresolved appeals for arbitration on expiration of the 3 month appeal window.
Communication	C1	Provide a meaningful response to 100% of queries raised by the Department and correspondence within 3 Working Days from the date of receipt or within such other timescales for response as provided specifically for within the terms of the contract. In the event the query raised is complex the Contractor can request an extension of time, which will be subject to agreement by the Department.	100% of responses submitted within 3 Working Days.
	C2	One 100% compliance with the timescales set out in clause 23.2 (Freedom of Information)	100% compliance with timescales.
Digital	D1	Digital Service Levels are set out in Annex A of Schedule 14	As set out in Schedule 14
Finance	F1	Ensure that valid invoices are submitted to the Department by the 25 th of the month for the relevant Reporting Period.	100% of invoices to be submitted by 25 th of the month for the relevant Reporting Period
	F2	Comply and respond to any requests for Open Book or financial validation data within 10 Working Days.	100% of responses made to requests for Open book or financial validation data made within 10 Working Days.
	F3	Ensure that all financial discrepancies identified by the Department are 100% accurately reconciled ahead of the next invoice period and any variances to invoicing values offset.	100% of financial discrepancies accurately reconciled and invoicing values offset by the next Reporting Period deadline following identification or notification of the discrepancy.
	F4	Ensure that all Sub-Contractors are paid in accordance clause 7.2	100% of undisputed sums due to the Sub-Contractor to be made

			within 30 days from the receipt of a valid invoice
Management Information	MI1	Submit accurate and complete MI Reports to the Department by the 25 th of each month.	100% of required monthly management information submitted by the 25 th of each month.
	MI2	Ensure that all MI Report data discrepancies identified by the Department including any missing data or inaccurate data are 100% accurately addressed ahead of the next submission of the MI Report.	Resolve 100% of discrepancies by next reporting deadline following notification from the Department.
Meetings	RM2	Contractor's Attendance at CPR	100%
Quality and Improvement	QI1	Updating of the Contractor's Continuous Improvement Plan and report progress to the Department.	Meet 100% of deadlines agreed.
	QI2	Cooperate with the requirements of the QA Function by supplying information, facilitating visits, and otherwise supporting the implementation and ongoing work of the QA function.	Respond and comply with to 100% of QA Function requirements and requests.
Records and questionnaires	RQ1	All satisfaction questionnaires shall be completed in full and returned to the Department within 10 Working Days from the date of completion, and any information requested by the Department shall be provided by the Contractor to the Department within 5 Working Days from the date of the request.	95% of satisfaction questionnaires to be returned within 10 Working Days from the date of completion and submit 100% of information requested by the department within 5 Working Days.

KPIs

- 1.8 The Parties shall monitor the Contractor's performance against each of the KPIs listed in Annex A of this Schedule (KPIs). The Contractor acknowledges and agrees that the Department shall have the right to exercise (in its absolute and sole discretion) the remedial actions set out in the Table 2 below:

Table 2 – KPI Performance rating and performance management implications	
Rating	Implications
Good	<p><u>Criteria</u> The Contractor is meeting or exceeding the Service Level target.</p> <p><u>Performance Failure Remedies</u> N/A</p> <p><u>Service Credits</u> None.</p>

Approaching Target	<p><u>Criteria</u> The Contractor is close to meeting the KPI target.</p> <p><u>Performance Failure Remedies</u> No formal action required although the Department reserves the right to request an Improvement Plan from the Supplier where either; subsequent 'Approaching Target' measures are received for any single Service Level, or more than one measure of 'Approaching Target' is received in any single reporting period.</p> <p><u>Service Credits</u> None.</p>
Requires Improvement	<p><u>Criteria</u> The performance of the Contractor is below that of the KPI target.</p> <p><u>Performance Failure Remedies</u> The Contractor will be required to submit, for the Department's approval, an Improvement Plan setting out the identified cause and lessons learnt plus proposed resolutions, with the intention of improving future performance against the KPI. The Department reserves the right to implement interim performance measures and/or milestones to monitor the implementation of the Improvement Plan. If an Improvement Plan is not in place, or, in the Departments reasonable opinion, has not been progressed to a satisfactory standard, the Department may withhold or restrict the award of any future call-off contracts.</p> <p><u>Service Credits</u> The Department reserves the right to issue a suspended Service Credit. If the Contractor does not receive a rating of 'Approaching Target' or 'Good' for the subsequent Service Level measure, then it will be considered a Service Level Failure, and the Service Credit will be upheld.</p>
Inadequate	<p><u>Criteria</u> The performance of the Contractor is significantly below that of the KPI target and is deemed a Critical Service Level Failure</p> <p><u>Performance Failure Remedies</u> The Contractor will be required to submit, for the Department's approval, an Improvement Plan setting out the identified cause and lessons learnt plus proposed resolutions, with the intention of improving future performance against the KPI. The Department reserves the right to implement interim performance measures and/or milestones to monitor the implementation of the Improvement Plan. If an Improvement Plan is not in place, or, in the Departments reasonable opinion, has not been progressed to a satisfactory standard, the Department may withhold or restrict the award of any future call-off contracts.</p> <p><u>Service Credits</u> It will be considered a Critical Service Level Failure, and the Department reserves the right to issue a Service Credit.</p>

- 1.9 In the event that the Department has, in its absolute and sole discretion, invoked one or more of the remedies set out in Table 2 above the Department may withhold awarding further Call Off Orders to the Contractor under the Framework Agreement in accordance with clause 7.11 of the Framework Agreement pending the Department being satisfied that the Contractor has;
- 1.9.1 implemented an Improvement Plan approved by the Department;
 - 1.9.2 met the interim performance measures and/or milestones.
 - 1.9.3 provided sufficient assurances they have identified lessons learnt and addressed the causes of the Service Failure
- 1.10 Whether or not the Department has exercised its rights under pursuant to paragraph 1.9 in the event that the Department has, in its absolute and sole discretions invoked one or more of the remedies set out in Table 2 above and allowed the Contractor reasonable opportunity to remedy the Service Failure, and the Contractor either:

1.10.1 fails to implement an Improvement Plan approved by the Department; and/or

1.10.2 fails to meet the interim performance measures and/or milestones,

then (without prejudice to any other rights and remedies of termination provided for in this Contract), the Department shall be entitled to terminate this Contract and with immediate effect by notice in writing in accordance with clause 10.5.1. Termination of the Contract will be considered a Material Default and the Department may at its absolute discretion terminate the Framework Agreement as per paragraph 7.4 of the Framework Agreement.

2 SERVICE CREDITS

2.1 Accrual of Service Credits shall entitle the Department to a reduction in the Charges.

2.2 Financial consequences of Service Credits will be calculated against the Total Contract Value. The Contractor shall off-set the value of any Service Credits against the Charges for the Contract up to a maximum of 5% (the “Service Credit Cap”) of the Total Contract Value.

2.3 The Contractor confirms that it will take Service Credits and the potential financial consequences into account when calculating the Charges. Both Parties agree that the Service Credits are a reasonable method of adjusting the Charges to reflect failure to meet minimum performance standards.

2.4 The financial consequences that will be applied in the event of a Service Credit are broken down in Table 3 below.

Table 3: Service Credits	
Service Credits accrued:	Financial consequence equivalent to:
1 Service Credit	1% of Call Off Contract Value
2 Service Credits	2% of Call Off Contract Value
3 Service Credits	3% of Call Off Contract Value
4 Service Credits	4% of Call Off Contract Value
5 or more Service Credits	5% of Call Off Contract Value

3 PERFORMANCE MANAGEMENT

3.1 The Department shall monitor the Contractor’s performance and progress against the Service Specification (Schedule 1: Part 1), the Contractor’s Solution (Schedule 1: Part 2), the Mobilisation Plan (Schedule 16), the Implementation Plan (Schedule 7), and Pricing (Annex 1 of Schedule 2: Part 1) within a Reporting Period and during Contract Performance Review meetings. The Contractor shall cooperate with the Department in this regard and provide any information and evidence reasonably required by the Department within five (5) Working Days of a request being received.

3.2 The Contractor shall appoint a named Performance Manager who will cooperate with the Department to ensure that the Services are delivered as specified in the Contract and that Service Levels, Recruitment Targets and KPIs are achieved.

3.3 Unless otherwise agreed, the Contractor shall attend a monthly Contract Performance Review Meeting (CPR). The purpose of the CPR meetings is to encourage an open and regular dialogue between the Parties. The Contractor shall ensure the Department is furnished with the latest Management Information prior to each CPR meeting. The Parties shall review performance, discuss opportunities for continuous improvement, and address any complaints or persistent problems encountered.

3.4 Performance reviews shall be documented. The Contractor shall provide any information and data requested by the Department to facilitate the reviews and arrange, where necessary, access to any of Contractor Premises or delivery locations, including those operated by Sub-Contractors.

3.5 The Department may instruct the Contractor to take appropriate remedial action where the

Department reasonably considers that the Implementation Plan and/or a Performance Improvement Plan is not being complied with, and the Contractor shall take such remedial action.

- 3.6 If there is a failure to achieve a Service Level, Recruitment Target or KPI, the Contractor shall use all reasonable endeavours to immediately minimise the impact of any failure and to prevent such a failure from recurring.
- 3.7 The Contractor shall ensure that all systems and processes used for the monitoring and recording of performance are robust.
- 3.8 Where the Contractor is delivering more than one call off contract concurrently, the Department shall at its discretion review the Contractor's consolidated performance under this Contract and other call off contracts being delivered at the same time, using the governance set out in Schedule 16 of the Framework Agreement

4 CONTRACT MANAGEMENT

- 4.1 The Contractor's management arrangements shall include (without limitation) arrangements to ensure that:
 - 4.1.1 The Services are delivered in accordance with this Contract;
 - 4.1.2 The needs of Participants and mentors are fulfilled;
 - 4.1.3 The Services are delivered to a high quality throughout the Contract Period; and
 - 4.1.4 Effective quality assurance and improvement processes are in place.
- 4.2 The Contractor shall ensure that the Services are flexible and responsive to suggestions and requests put forward by the Department.
- 4.3 The Contractor shall have a clear plan for continuous review of the effectiveness of all its programmes (including how this will involve Participants in making positive changes to programmes year upon year).
- 4.4 The Contractor shall share information and work with the Department to make changes and/or improvements to the Services. The Contractor is required to continually assess, monitor, and reflect geographical areas of particular need within their strategy for increasing engagement and recruitment to all programmes.
- 4.5 The Contractor shall attend CPR meetings and proactively participate in any joint collaborative meetings that the Department convenes. These meetings will cover, but not be limited to:
 - 4.5.1 emerging challenges, joint solutions, recruitment, sharing best practice and lessons learnt, exploring opportunities for efficiency/resource improvements, and identifying future opportunities to work more collaboratively with the Department and/or other teacher development provider.
- 4.6 The Department may organise regular monitoring and spot checks of the premises at which the Services (or part of them) are being performed, at any time to ensure that the Contractor is complying with its obligations under this Call Off Contract and the Contractor shall co-operate fully, at its own cost, with the Department. The Department shall use all reasonable endeavours to ensure that the onsite monitoring will not interfere with the delivery of the Services by the Contractor.
- 4.7 The Contractor's performance and MI provided under this (and any other) Call Off Contract will be used by the Department in accordance Schedule 18 of the Framework Agreement.

Management Information

- 4.8 The Contractor shall collect a range of data and report on its performance against the KPIs set out in Annex A of this Schedule and the Service Levels set out in Table 1 of this Schedule.
- 4.9 The Contractor submits the Management Information (MI) Report on a monthly basis. The Department may amend the reporting frequency and format in respect of any or all Management Information or waive the requirement for any aspect of the Management

Information to be reported upon, by giving the Contractor not less than one (1) months' notice in writing.

- 4.10 The content and format of the MI Report shall be agreed with the Department but unless otherwise stated, it shall be presented in a tabular format or MS Excel and it shall include the formulas and calculations used by the Contractor to calculate the performance.
- 4.11 The Contractor shall include in its MI Report suitable commentary and narrative statements in respect of the report performance, including specifying any reasons for reported failures.
- 4.12 The Department will use the data presented by the Contractor and the Management Information (MI) Report to inform CPRs and contract management discussions, trigger payments, progress against Milestones and KPIs, reporting performance to other government departments, for Quality Assurance purposes as well as to support an independent evaluation of the Contractor. The Department will share data and the contents of the MI Report for these purposes.
- 4.13 The Contractor ensures it (and its Sub-Contractors do likewise) receives the necessary consent and puts in place data sharing agreements where necessary (with Participants, Sub-Contractors, third parties and the like), in relation to the collation and sharing of any data that is reported in its MI Report.
- 4.14 In addition to the Management Information requirements, the Contractor must respond to ad-hoc requests for information relating to the Activities and or Services from the Department.
- 4.15 Where any discrepancies, omissions or errors are identified in the MI Report, the Contractor shall correct and rectify the MI Report as soon as practicable.
- 4.16 For the avoidance of doubt, the Contractor is responsible for the collection of data including data collected by Sub-Contractors and ensuring it is collected in a timely, secure, consistent and compliant manner.
- 4.17 For ECF and NPQ programmes, the MI data shall be presented and submitted via a Department hosted and maintained digital solution.
- 4.18 In the absence of the digital solution, the Department will require the Contractor to collect Participant and school data using a spreadsheet developed by the Department. An example of the data the Department would expect to be collected is detailed in Table 4 below:

Table 4 – example MI requirements		
Frequency	Data Category	Examples
Monthly	Participant Information	<ul style="list-style-type: none">• Teacher Reference Number (TRN)• Full name• Gender• Ethnicity• Email address(es)• Telephone number(s)• Home address• Date of birth (if available)• Job role (if applicable)• Funded teacher or self funded teacher• Method of call off for self funded teacher
Monthly	School Details	<ul style="list-style-type: none">• URN• School name• School address (including post code)• Programme point of contact (including email address)
Monthly	Recruitment Details	<ul style="list-style-type: none">• Programme• Type of qualification• Forecast and actual numbers of participants• Start/withdrawal/deferral/restart dates• Withdrawal/deferral reasons and details

Annually	Programme Details	<ul style="list-style-type: none"> • Programme name • Cohort • Programme delivery region • Curriculum design • Qualification type / support offer • Qualification/Support offer end date • Date of assessment submission • Date of assessment completion • Outcome of qualification • Confirmation if Participant has gained promotion (to include promotion date (month/year), role and school) • Details of the number of ITT Participants per Cohort who are; students, career finders or career changers, the number of Participants who had not previously considered teaching as a career • The number of ITT Participants achieving QTS by region, subject and phase • The number of validated PGCEs of other Teacher Development Providers • Samples of published research, including details of research design and fieldwork
Monthly	Get into Teaching Database	<ul style="list-style-type: none"> • For ITT Participants* who have consented to share their data with the “Get Into Teaching” service details of First Name; Last Name; Date of Birth, Address, Post Code, Telephone number; Email address; Degree Stage, Degree Subject and Degree Class <p><small>*This should include details of unsuccessful ITT Participants, those that withdraw their applications, those who register interest but don't apply, and any for whom mainstream ITT may be a more suitable option</small></p>
Quarterly	Performance	<ul style="list-style-type: none"> • Performance against the Mobilisation Plan • Performance against KPIs and Service Levels • Continuous Improvement Plan • Risk Register • QA reports
Quarterly	Finance & Transparency	<ul style="list-style-type: none"> • Promotion of Sub-Contracting opportunities on Contracts Finder • Levels of spending with SMEs
Monthly	Complaints	<ul style="list-style-type: none"> • Details of complainant • Date, details and outcome of the complaint
	Ad hoc	<ul style="list-style-type: none"> • Any further information the Department may reasonably request

- 4.19 As the Contractor will be required to provide personal information about Participants and schools, the Contractor must ensure this data collection template is returned to the Department using an encrypted system such as Egress.
- 4.20 To support recruitment activity the Department will provide a list of Eligible Establishments and schools that fall within the clearly defined definitions of disadvantaged schools and schools requiring additional support.
- 4.21 Collection of the URN and Teacher Reference Number (TRN) will provide an opportunity to share the privacy notice(s) and collect consent for data sharing and analysis, collect contact details and consent to receive communications from the Department, Contractor, QA Function and the Independent Evaluator. The Contractor will, upon request, need to provide evidence that any trainee/participant/school participating in the programme has had sight of a privacy notice and authorised the collection and use of their information.

5 RECRUITMENT TARGETS

- 5.1 The Recruitment Targets the Contractor shall meet (unless changed in accordance with the terms of the Call Off Contract) are as stated Tables [insert table references according to what services are ordered] below.
- 5.2 The Contractor reports on its performance against meeting the Recruitment Targets and Recruitment Milestones in accordance with the Management Information reporting

requirements.

Table 5a – ECF Recruitment Targets	
ECTs:	██████████
Mentors:	██████████

Table 5b – ECF Recruitment Milestones				
	31 Oct 2025	31 Dec 2025	31 Mar 2026	31 Jul 2026
Recruitment Target	██████████	██████████	██████████	██████████
Service Fee Baseline (90% of Recruitment Target)	██████████	██████████	██████████	██████████

ANNEX A TO SCHEDULE 2: PART 2 – KEY PERFORMANCE INDICATORS

- 1.1 The KPIs in Table A below sets out the measures the Department will use to monitor the Contractor's performance. The KPIs will be applied to each Contract, with the Cohort specific targets and milestones included in the Contract in Part 2 of Schedule 2.
- 1.2 The Department and Schools reserve the right to tailor, amend or add additional KPIs to those stated in Table A for Contracts to ensure they reflect the needs and requirements of the specific Cohort.

Table A – Key Performance Indicators for ECF services					
Reference	Key Indicator	Performance Measure	Performance Levels	Service Credits	Transparency Reporting
ECF1a	Recruitment	The number of ECTs with a completed start Declaration on the Department's Digital Service compared against the respective Recruitment Target for each of the Cohort Commencement Dates.	Good: 95%+ Approaching Target: 90% - 94.9% Requires Improvement: 80% - 89.9% Inadequate: Below 80%	Subject to 1 Service Credit (end of the recruitment period)	Yes
ECF1b	Recruitment	The number of Mentors with a completed start Declaration on the Department's Digital Service compared against the respective Recruitment Target for each of the Cohort Commencement Dates.	90%	N/A	No
ECF2a	Retention	The percentage of ECTs that start their training in the first Declaration Window that are retained at the end of Year 1. For ECTs that start at other times and / or undertake their training in a non-standard way, retention is measured according to their start date and programmed timetabling.	Good: 85%+ Approaching Target: 75% to 84.9% Requires Improvement: 65% to 74.9% Inadequate: Below 65%	Subject to 1 Service Credits (end of Year 1)	Yes
ECF2b	Retention / Completion	The percentage of Mentors that start their training in the first Declaration Window that are retained or who have completed their training at the end of Year 1. For Mentors that start at other times and / or undertake their training in a non-standard way, retention/completion is measured according to their start date and programmed timetabling.	Good: 85%+ Approaching Target: 75% to 84.9% Requires Improvement: 65% to 74.9% Inadequate: Below 65%	N/A	No

ECF2c	Retention / Completion	The percentage of ECTs that started their training in the first Declaration Window that are retained or who have completed their training at the end of Year 2. For ECTs that start at other times and / or undertake their training in a non-standard way, retention / completion is measured according to their start date and programmed timetabling.	Good: 85%+ Approaching Target: 75% to 84.9% Requires Improvement: 65% to 74.9% Inadequate: Below 65%	Subject to 1 Service Credits Subject (end of Year 2)	Yes
ECF3	Overall Satisfaction	The percentage of the Participants who complete a survey that rate the training 'good' or above at the end of year 1 and 2.	Good: 80% Approaching Target: 70% to 79.9% Requires Improvement: 60% to 69.9% Inadequate: Below 60%	Subject to 2 Service Credits (end of year 1 and end of year 2)	Yes
ECF4	Programme Efficacy	The percentage of Participants who rate the overall impact of the training as 'good' or above in relation to ECT development (confidence, knowledge, behaviour management, classroom performance etc.)	80% of Participants rate the training as good or very good (Subject to baselining)	N/A	No
ECF5	Digital Satisfaction	The percentage of Participants that are satisfied with their provider's Digital Learning Solution at the end of year 1 and 2.	80% of Participants are satisfied or very satisfied with their providers Digital Learning Solution (Subject to baselining)	N/A	No
ECF6a	ECT Engagement	The number of ECTs that start their training with the Supplier and complete Year 1 and Year 2 of the Supplier's Training Programme who engage in at least 75% of their programmed training hours	100% of ECTs in scope of measure	N/A	No
ECF6b	Mentor Engagement	The number of Mentors that start and complete the training with the Supplier's Training Programme who engage in at least 75% of the total number of their programmed training hours	100% of Mentors in scope of measure	N/A	No

SV1	Social Value	<p>MAC 3.1 – Create a diverse supply chain to deliver the contract including schools, SMEs, and VCSEs.</p> <p>MAC 3.4 – Demonstrate collaboration throughout the supply chain, and a fair and responsible approach to working with supply chain partners in delivery of the contract.</p> <p>MAC 8.1 – Demonstrate collaboration with users and schools in the co-design and delivery of the contract to support strong integrated communities.</p> <p>Individual metrics to be agreed via Contract Management.</p>	To be agreed via contract management	N/A	No
Finance	Payment to supply chain	Percentage of valid, undisputed invoices submitted by Subcontractors paid in full, within 30 days of receiving.	<p>Good: 100%</p> <p>Approaching Target: 90% - 99.9%</p> <p>Requires Improvement: 80% - 89.9%</p> <p>Inadequate: Below 80%</p>	N/A	Yes

SCHEDULE 3: ADDITIONAL CLAUSES

1. Departmental Security Standards

“BPSS” “Baseline Personnel Security Standard”	a level of security clearance described as pre-employment checks in the National Vetting Policy. Further information can be found at: https://www.gov.uk/government/publications/government-baseline-personnel-security-standard
“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 contractors to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website: https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy
“CCP” “Certified Professional”	is a NCSC scheme in consultation with government, industry and academia to address the growing need for specialists in the cyber security profession and are building a community of recognised professionals in both the UK public and private sectors. See website: https://www.ncsc.gov.uk/scheme/certified-professional
“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.
“CPA” “Commercial Product Assurance” [formerly called “CESG Product Assurance”]	is an ‘information assurance scheme’ which evaluates commercial off the shelf (COTS) products and their developers against published security and development standards. These CPA certified products can be used by government, the wider public sector and industry. See website: https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa
“Cyber Essentials” “Cyber Essentials Plus”	Cyber Essentials is the government backed, industry supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme. There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers: https://www.iasme.co.uk/apply-for-self-assessment/

“Data”	shall have the meanings given to those terms by the GDPR
“Data Controller”	
“Data Processor”	
“Personal Data”	
“Sensitive Personal Data”	
“Data Subject”, “Process” and “Processing”	
“Department’s Data”	is any data or information owned or retained in order to meet departmental business objectives and tasks, including:
“Department’s Information”	<ul style="list-style-type: none"> (a) any data, text, drawings, diagrams, images or sounds (together with any repository or database made up of any of these components) which are embodied in any electronic, magnetic, optical or tangible media, and which are: <ul style="list-style-type: none"> (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 Data Controller;
“Department”	means the Department for Education
“Department”	
“Departmental 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.
“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.
General Data Protection Regulation (GDPR)	replaces Data Protection Act clauses for use in contracts that are live on or after 25 th May 2018.
“Good Industry 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.
“Industry Good Practice”	

“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: https://www.gov.uk/government/publications/government-security-classifications
“HMG”	means Her Majesty’s Government
“ICT”	means Information and Communications Technology (ICT) is used as an extended synonym for information technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution
“ISO/IEC 27001” “ISO 27001”	is the International Standard for Information Security Management Systems Requirements
“ISO/IEC 27002” “ISO 27002”	is the International Standard describing the Code of Practice for Information Security Controls.
“ISO 22301”	is the International Standard describing for Business Continuity
“IT Security Health Check (ITSHC)” “IT Health Check (ITHC)” “Penetration Testing”	means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on that IT system.
“Need-to-Know”	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 Department for Information Assurance. The NCSC website is https://www.ncsc.gov.uk
“OFFICIAL” “OFFICIAL-SENSITIVE”	the term ‘OFFICIAL’ is used to describe the baseline level of ‘security classification’ described within the Government Security Classification Policy (GSCP) which details the level of protection to be afforded to information by HMG, for all routine public sector business, operations and services. the ‘OFFICIAL–SENSITIVE’ caveat is used to identify a limited subset of OFFICIAL information that could have more damaging consequences (for individuals, an organisation or government generally) if it were lost, stolen or published in the media, as described in the Government Security Classification Policy.

<p>“Secure Sanitisation”</p>	<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, while others are destructive in nature and render the media unusable. Secure sanitisation was previously covered by “Information Assurance Standard No. 5 - Secure Sanitisation” (“IS5”) issued by the former CESG. Guidance can now be found at: https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media</p> <p>The disposal of physical documents and hardcopy materials advice can be found at: https://www.cpni.gov.uk/secure-destruction</p>
<p>“Security and Information Risk Advisor” “CCP SIRA” “SIRA”</p>	<p>the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: https://www.ncsc.gov.uk/articles/about-certified-professional-scheme</p>
<p>“SPF” “HMG Security Policy Framework”</p>	<p>This is the definitive HMG Security Policy which describes the expectations of the Cabinet Secretary and Government’s Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely. https://www.gov.uk/government/publications/security-policy-framework</p>
<p>“Tailored Assurance” [formerly called “CTAS”, or, “CESG Tailored Assurance”]</p>	<p>is an ‘information assurance scheme’ which provides assurance for a wide range of HMG, MOD, Critical National Infrastructure (CNI) and public sector Departments procuring IT systems, products and services, ranging from simple software components to national infrastructure networks. https://www.ncsc.gov.uk/documents/ctas-principles-and-methodology</p>

- 1.1. The Contractor shall comply with Departmental Security Standards for Contractors, which include but are not limited to the following clauses.
- 1.2. As the Contractor will be handling 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.
- 1.3. 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).
- 1.4. The Contractor shall have achieved, and be able to maintain, independent certification to ISO/IEC 27001 (Information Security Management Systems Requirements). The ISO/IEC 27001 certification must have a scope relevant to the services supplied to, or on behalf of, the Department. The scope of certification and the statement of applicability must be acceptable,

following review, to the Department, including the application of controls from ISO/IEC 27002 (Code of Practice for Information Security Controls).

- 1.5. The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing the Services, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 1.6. The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to: physical security controls; good industry standard policies and process; anti-virus and firewalls; security updates and up-to-date patching regimes for anti-virus solutions; operating systems, network devices, and application software, user access controls and the creation and retention of audit logs of system use.
- 1.7. Any data in transit using either physical or electronic transfer methods across public space or cyberspace, including mail and couriers systems, or third party provider networks must be protected via encryption which has been certified to FIPS 140-2 standard or a similar method approved by the Department prior to being used for the transfer of any Departmental Data.
- 1.8. Storage of Departmental Data on any portable devices or media shall be limited to the absolute minimum required to deliver the stated business requirement and shall be subject to clause 1.9 and 1.10 below.
- 1.9. Any portable removable media (including but not constrained to pen drives, flash drives, memory sticks, CDs, DVDs, or other devices) which handle, store or process Departmental Data to deliver and support the Services, shall be under the control and configuration management of the contractor or (sub-)contractors providing the service, shall be both necessary to deliver the Services 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.
- 1.10. All portable ICT devices, including but not limited to laptops, tablets, smartphones or other devices, such as smart watches, which handle, store or process Departmental Data to deliver and support the Services, shall be under the control and configuration management of the contractor or Sub-Contractors providing the Services, and shall be necessary to deliver the Services. 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.
- 1.11. Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.
- 1.12. When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.
- 1.13. At the end of the Contract Period 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.

- 1.14. Access by the Contractor or Sub-Contractor staff to Departmental Data shall be confined to those individuals who have a “need-to-know” in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or Sub-Contractor staff must complete this process before access to Departmental Data is permitted.
- 1.15. All Contractor or Sub-Contractor employees who handle Departmental Data must have annual awareness training in protecting information.
- 1.16. The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the Contractor will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 1.17. Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data being handled in the course of providing the Services, or any non-compliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the Services, shall be investigated immediately and escalated to the Department by a method agreed by both parties.
- 1.18. The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using a NCSC approved ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the Services 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.
- 1.19. The Contractor or Sub-Contractors providing the Services will provide the Department with full details of any storage of Departmental Data outside of the UK or any future intention to host Departmental Data outside the UK or to perform any form of ICT management, support or development function from outside the UK. The Contractor or Sub-Contractor will not go ahead with any such proposal without the prior written agreement from the Department.
- 1.20. The Department reserves the right to audit the Contractor or Sub-Contractors providing the Services within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any Sub-Contractors, compliance with the clauses contained in this Section.
- 1.21. The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party Contractors, Sub-Contractors or partners who could potentially access Departmental Data in the course of providing the Services.
- 1.22. The Contractor and Sub-Contractors shall undergo appropriate security assurance activities as determined by the Department. The Contractor and any Sub-Contractors shall support the provision of appropriate evidence of assurance and the production of the necessary security documentation such as completing the Department 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 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).

SCHEDULE 4 – FINANCIAL DISTRESS

1. INTRODUCTION AND DEFINITIONS

1.1 In this Schedule, the following definitions shall apply:

“Economic and Financial Standing Assessment” or “Assessment” means an assessment of the Contractor’s and their Key Sub-Contractor’s economic and financial standing undertaken by the Contractor in accordance with this Schedule;

“Financial Distress Event” means any one of the instances described in 4.1.1 to 4.1.10 of this schedule;

“Financial Distress Service Continuity Plan” The plan produced by the Contractor in the event the Contractor suffers a Financial Distress Event;

“Financial Monitoring Plan” The plan produced by the Contractor and updated in accordance with this Contract;

1.2 The Contractor acknowledges and agrees that the financial stability and solvency of the Contractor and its Key Sub-Contractors is critical to the stability and operation of the Institute and successful delivery of the Services and that any deterioration, or potential deterioration, of their financial position may have an adverse effect on the performance by them and its ability to comply with its obligations under this Call Off Contract and to deliver the Services.

2. GENERAL

2.1 The Contractor shall undertake an Economic and Financial Standing Assessment on the Contractor and its Key Sub-Contractors and submit the results, in the format specified by the Department, along with their last two sets of audited accounts on an annual basis and no later than [insert on award of Call Off Contract] of each year of the Contract.

2.2 If the Department deems, from the Assessment and audited accounts submitted, that there is a risk to the delivery of and/or continued performance of the Services, the Department may ask the Contractor to submit a Financial Distress Service Continuity Plan, as described in paragraph 5.

2.3 The Contractor shall monitor its own financial standing and that of its Key Sub-Contractors on a regular basis throughout the Contract Period and update their Financial Monitoring Plan in accordance with Schedule 8 of the Framework Agreement.

2.4 In the event the Contractor is delivering the Contract and other Call Off Contracts concurrently, the Department may require the Contractor to undertake one consolidated Assessment and provide the results to the Department which reserves the right to consider them using the governance set out in Schedule 16 of the Framework Agreement.

3. FINANCIAL MONITORING PLAN

3.1 The Contractor shall develop and maintain a Financial Monitoring Plan.

3.2 The Financial Monitoring Plan shall be designed by the Contractor and agreed with the Department to ensure that the Department has an early and clear warning indicator of any Financial Distress Event affecting the Contractor and/or Key Sub-Contractors which may affect the Services. The content and design is to be proportionate for the circumstances taking into account the delivery and nature of the Services, the use and type of Sub-Contractors and the identity of the Contractor.

3.3 Except where the Department has agreed otherwise, the Contractor shall within four (4) weeks of the Contract Date, prepare and submit for approval by the Department, its Financial Monitoring Plan which shall set out the Contractor’s proposals for the monitoring and reporting of its financial stability, and that of its Key Sub-Contractors, to the Department on a regular basis throughout the Contract Period.

3.4 The Financial Monitoring Plan to include (but shall not be limited to):

- (i) a summary of the Contractor's and Key Sub-Contractors' financial positions at the Contract Date which include but not limited to credit ratings, financial ratios, details of current liabilities, value of marketable securities, cash in hand and bank, account receivables, Trustees' reports, routine management accounts etc;
- (ii) how the Contractor and Key Sub-Contractors' financial standing will be reviewed on a regular basis throughout the Contract Period against historical financial standing to show any trend (including use of credit ratings, financial ratios and/or other financial indicators);
- (iii) the Contractor's proposals for reporting financial standing to the Department (including the template reporting forms which the Contractor intends to use);
- (iv) the frequency of monitoring and reporting activity;
- (v) provision of reporting lines for the supply chain to notify the Department of incidents of non-payment of valid and undisputed invoices; and
- (vi) any other provisions which in the reasonable opinion of the Contractor may be required by the Department to assess current financial standing of the Contractor and Key Sub-Contractors and which enable quick and easy assessment of any movement in financial standing.

3.5 The Department shall notify the Contractor of its approval or rejection of the proposed Financial Monitoring Plan (or any updates to it) within twenty (20) Working Days of receipt. The Contractor shall make any reasonable amendments to the Financial Monitoring Plan as may be requested by the Department.

3.6 Within ten (10) Working Days of receipt of the Department's notice of rejection and of the deficiencies of the proposed Financial Monitoring Plan, the Contractor shall submit to the Department a revised Financial Monitoring Plan reflecting the changes required.

3.7 Following the approval of the submission of the first Financial Monitoring Plan, the Contractor shall regularly review, maintain and provide the Department with an updated version of the Financial Monitoring Plan on at least a quarterly basis thereafter.

3.8 The Contractor shall comply with their Financial Monitoring Plan throughout the Contract Period.

3.9 In the event the Contractor is delivering the Contract and other call off contracts concurrently, the Department may require the Contractor to maintain and update one Financial Monitoring Plan reflecting all of the Services it is delivering. The Department reserves the right to review the consolidated Financial Monitoring Plan using the governance set out in Schedule 16 of the Framework Agreement.

4. FINANCIAL DISTRESS EVENTS

4.1 In addition to its obligations set out in paragraph 3, the Contractor shall as soon as practicable notify the Department in writing if any of the following Financial Distress Events occur in respect of the Contractor or a Key Sub-Contractor:

- 4.1.1 there is a material deterioration of its (or any Consortium Member's or respective parent company's) financial standing;
- 4.1.2 the appointment of an administrator or receiver;
- 4.1.3 late filing of statutory accounts with Companies House;
- 4.1.4 it issues a profits warning or other similar public announcement about a deterioration in its finances or prospects;
- 4.1.5 it is being publicly investigated for improper financial accounting and reporting, fraud or any other financial impropriety;
- 4.1.6 it commits a material breach of covenant to its lenders;
- 4.1.7 a Key Sub-Contractor not being paid any sums properly due under a specified invoice that is not subject to a genuine dispute;
- 4.1.8 it is subject to any claims, litigation, investigations, actions or decisions in respect of financial indebtedness;

4.1.9 in the auditor's opinion the Contractor or Key Sub-Contractor or respective parent company is no longer a 'going concern';

4.1.10 there is a sudden and/or unexpected change in the Chief Executive Officer and/or the Finance Director (or equivalents).

4.2 The notification shall include a summary explanation and background information relevant to the Financial Distress Event.

4.3 If the Contractor is delivering more than one call off contract concurrently, the notification shall be consolidated and include details relevant to all of the call off contracts that it is currently delivering.

5. CONSEQUENCES OF FINANCIAL DISTRESS EVENTS

5.1 In the event of a Financial Distress Event occurring, then the Contractor shall, and shall procure that any affected Key Sub-Contractor shall, as soon as reasonably practicable, comply with the obligations of paragraph 4 of this schedule.

5.2 Where the Department reasonably believes that the Financial Distress Event is likely to adversely impact on the performance of the Services under this or on the Department's request as per clause 2.2, the Contractor shall submit to the Department for approval a Financial Distress Service Continuity Plan as soon as is reasonably practicable and shall provide any further financial information as the Department may reasonably require to assess financial standing and risks.

5.3 The Financial Distress Service Continuity Plan shall set out how the Contractor intends to ensure it is still able to deliver the Services under this (and any other) Call Off Contract and resolve any issues that were a contributory factor to the event occurring.

5.4 Where the Contractor is delivering the Contract and other call off contracts under the Framework Agreement, it shall consolidate their proposals into one Financial Distress Service Continuity Plan.

5.5 If the Department acting reasonably considers that the Financial Distress Service Continuity Plan is insufficient to remedy the effects of the Financial Distress Event on the Service, then it may require the Contractor (and/or key sub-contractor) to redraft and resubmit an improved and updated plan or may require the issue to be escalated via the Dispute Resolution Procedure.

5.6 If the Department approves the Financial Distress Service Continuity Plan, then the Contractor shall execute and continue to review the Financial Distress Service Continuity Plan (with submissions to the Department for Approval where it is updated).

5.7 Where the Parties agree that the Financial Distress Event no longer adversely affects the delivery of the Services, the Contractor shall be relieved of its obligations in respect of the current Financial Distress Service Continuity Plan.

5.8 If the Department acting reasonably considers that the Financial Distress Service Continuity Plan is insufficient to remedy the effects of the Financial Distress Event on the Service, then it may require the Contractor (and/or Key Sub-Contractor) to redraft and resubmit an improved and updated plan or may require the issue to be escalated via the Dispute Resolution Procedure.

5.9 If the Department approves the Financial Distress Service Continuity Plan, then the Contractor shall execute and continue to review the plan (with submissions to the Department for Approval where it is updated).

5.10 Where the Parties agree that the Financial Distress Event no longer adversely affects the delivery of the Services, the Contractor shall be relieved of its obligations in respect of the current Financial Distress Service Continuity Plan.

6. TERMINATION RIGHTS

6.1 The Department shall be entitled to terminate this Contract under clause 7.4 if:

6.1.1 the Contractor fails to notify the Department of a Financial Distress Event;

- 6.1.2 the Contractor fails to comply with the terms of the Financial Distress Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) in accordance with paragraph 5.5.
- 6.1.3 the severity of the Financial Distress Event means the Contractor will no longer be able to deliver the Services and it is not practicable to put in place a Financial Distress Service Continuity Plan.

SCHEDULE 5 – CHANGE CONTROL PROCEDURE

1 INTRODUCTION

- 1.1 This Schedule 5 sets out the Change Control Procedure to be used by the Department and the Contractor to effect changes to this Contract.

2 PRINCIPLES

- 2.1 The Parties acknowledge that minor changes to the Contract may be necessary to reflect operational and administrative procedures during the Contract Period and that such minor changes may be agreed in writing between the Parties' respective contract managers.
- 2.2 The Contractor shall use reasonable endeavours to incorporate minor changes requested by the Department within the current Charges and shall not serve a Contractor Notice of Change unless the change involves a demonstrable material increase to its costs or requires a material change to the Contract.
- 2.3 Either Party may request a Variation provided that such Variation does not amount to a material change. For the avoidance of doubt, the Contractor must request a Variation in the event it is unable or wishes to change its method of delivery or Service Proposals.
- 2.4 The Contractor must request a Variation where it anticipates not delivering or is not delivering the Services or a part of the Services on an ongoing basis for a period that exceeds 5 (five) Working Days.
- 2.5 The Department and the Contractor shall conduct discussions relating to proposed changes to this Contract in good faith. Neither party shall unreasonably withhold or delay consent to the other party's proposed changes.
- 2.6 Until such time as a Change Control Notice (CCN) has been signed by both parties, the Contractor shall continue to provide the Services in accordance with this Contract.
- 2.7 Any work undertaken in connection with any proposed change to this Contract by the Contractor, its Sub-Contractors or Agents (other than that which has previously been agreed in accordance with the provisions of paragraph 2.5 of this Schedule 5) shall be undertaken entirely at the expense and liability of the Contractor unless otherwise agreed between the Department and the Contractor in advance.
- 2.8 Any discussions, negotiations or other communications which may take place between the parties in connection with any proposed change to this Contract, including but not limited to the submission of any written communications, prior to the signing by both parties of the relevant CCN, shall be without prejudice to the rights of either party.
- 2.9 The pricing of Variations shall be in accordance with Part 1 of Schedule 2

3 PROCEDURE

- 3.1 Should either party wish to amend this Contract, that party's Contract Manager shall submit a draft CCN in the format at Annex 1 to this Schedule 5 for discussion detailing the proposed change to the other party's Contract Manager.
- 3.2 Discussion between the parties following the submission of a draft CCN shall result in either:
- 3.2.1. no further action being taken on that draft CCN; or
 - 3.2.2. agreement between the parties on the changes to be made to Contract (including agreement on the date upon which the changes are to take effect (the "effective date")), such agreement to be expressed in the form of proposed revisions to the text of the relevant parts of this Contract.
- 3.3 Where agreement is reached in accordance with paragraph 3.2.2, the party submitting the draft CCN shall prepare the final CCN for execution by both parties. The final CCN, the content of which has been agreed between the parties in accordance with paragraph 3.2.2 of this Schedule 5, shall be uniquely identified by a sequential number allocated by the Department.
- 3.4 Two (2) copies of each CCN shall be signed by the Contractor and submitted to the Department not less than ten (10) Working Days prior to the effective date agreed in accordance with

paragraph 3.2.2 of this Schedule 5.

- 3.5 Subject to the agreement reached in accordance with paragraph 3.2.2 of this Schedule 5 remaining valid, the Department shall sign both copies of the approved CCN within five (5) Working Days of receipt by the Department. Following signature by the Department, one (1) copy of the signed CCN shall be returned to the Consultant by the Department.
- 3.6 A CCN signed by both parties shall constitute a valid variation or amendment to the Contract for the purposes of clause 18.2 of the Contract.
- 3.7 The Department may at its absolute discretion reject any request for a Variation proposed by the Contractor.

ANNEX 1 TO SCHEDULE 5 - CONTRACT CHANGE NOTE PRO FORMA

Contract Change Note for the Contract Change Procedure

Contract Reference Number: [to be inserted post award]
Sequential Number: [to be allocated by the Department's Framework Manager]
Title: [CCN title]
Originator: [the Department / the Contractor]
Date change first proposed: [date]
Number of pages attached: [pages]

WHEREAS the Contractor and the Department entered into a Contract for the provision of [insert services description eg National Professional Qualifications and NPQH Early Headship Coaching Offer for New Headteachers] related services dated [date] and now wish to amend that Contract;

Reason for proposed change

[Party proposing change to complete]

Full details of proposed change

[Party proposing change to complete]

Details of likely impact, if any, of proposed change on other aspects of the Call Off Contract

[Party proposing change to complete]

IT IS AGREED as follows:

1. With effect from [date] it is proposed that the Contract shall be amended as set out below:
[Details of the amendments to the Contract to be inserted here – to include the explicit changes required to the text in order to effect the change, i.e. clause/Schedule/paragraph number, required deletions and insertions etc.]
2. Save as herein amended, all other terms and conditions of the Contract inclusive of any previous CCNs shall remain in full force and effect.
3. The amendments shall be made by way of a Deed of Variation in accordance with clause 18 (Amendment and Variation) of this Contract.

Signed for and on behalf of [the Contractor]

By

Name

Title

Date

Signed for and on behalf of the Department

By

Name

Title

Date

SCHEDULE 6: PROCESSING, PERSONAL DATA AND DATA SUBJECTS

- 1.1 This Schedule shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.
- 1.2 The contact details of the Controller's Data Protection Officer is:
[REDACTED]
- 1.3 The contact details of the Processor's Data Protection Officer is:
[REDACTED]
- 1.4 The Processor shall comply with any further written instructions with respect to processing by the Controller.
- 1.5 Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of Controller for each Category of Personal Data	<p>The Parties are Joint Controllers</p> <p>The Parties acknowledge that they are Joint Controllers for the purposes of the Data Protection Legislation in respect of:</p> <ul style="list-style-type: none"> Deciding what the purpose or outcome of the Processing will be; Deciding what type of Personal Data is to be collected, as set out in the table below; and Processing the Personal Data, including; <ul style="list-style-type: none"> Data collected from Schools or other education settings, about Induction Coordinators will need to be shared with the Lead Providers and their Delivery network for them to contact them to discuss delivery plans. Data entered by Induction Coordinators, or other parties, about Participants and collected directly from Participants will need to be shared with the Lead Providers and their Delivery network for them to contact them to deliver their training or induction. <p>The Contractor is an Independent Controller in respect of:</p> <ul style="list-style-type: none"> The Personal Data of individuals, who are not Participants, that they identify as part of delivering the Services. For example, employees of schools and trusts they seek to work with; Collecting the Personal Data they are required collect in accordance with the contract; Personal Data that they collect in agreement with the relevant Data Subjects; Collecting and processing other Personal Data in order to meet its obligations under this Contract; and Personally identifiable information of Contractor Personnel for which the Contractor is the Controller. <p>The Department is an Independent Controller in respect of:</p> <ul style="list-style-type: none"> Deciding which Participants to collect Personal Data about and providing their data to the Contractor and other internal services. Longitudinal and/or historical impact analysis to support long-term evaluation of the ECF delivery, and understanding of the teaching workforce and its development; and Personally identifiable information of any directors, officers, employees, agents, consultants and contractors of Buyer (excluding the Contractor Personnel) engaged in the performance

	of the Buyer's duties under this Contract) for which the Buyer is the Controller.
Subject matter of the processing	<p>The processing is needed for the delivery of the Contract:</p> <ul style="list-style-type: none"> (a) in order to ensure that the Contractor can effectively deliver the Contract to provide the Services; (b) in order that the Department can effectively manage the delivery of the Contract by the Contractor; (c) for the purposes of the Department's teacher recruitment and retention statistics. The data provided will give an insight and quantitative description of Participant diversity and Participant teaching outcomes in terms of entry into teaching, retentions, career progression and contribution to shortage subjects and schools in areas of disadvantage.
Duration of the processing	The processing will take place throughout the lifetime of the contract.
Nature and purposes of the processing	<p><u>Legal Basis for Processing:</u></p> <ul style="list-style-type: none"> (i) Personal Data is shared and processed on the legal basis that the processing is necessary for the performance of a task in the public interest pursuant to Section 14 of the Education Act 2002. (ii) Personal Data shared for the purposes of the ITTECF2025, is shared and processed on the basis that the Data Subject has given consent to the processing. <p><u>Data Minimisation:</u></p> <p>For data processing requirements (a), (b) and (c) above, all Participant data will be processed, shared and retained. It is not possible to anonymise data for these purposes.</p> <p><u>Frequency of Sharing:</u></p> <p>Data will be shared by the Contractor, through the Digital Service, on an ongoing basis subject to Data Subject agreement. In addition, MI will be reported on a monthly cadence.</p> <p>Personal Data will be shared by the Contractor in accordance with the provisions set out in Schedule 13 of this Contract and Schedule 12 of the Framework Agreement.</p> <p><u>Systems Used for Processing:</u></p> <p>The processing instructed by the Contractor will be undertaken in accordance with their Tender.</p> <p>The nature of the processing means any operation such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction of data (whether or not by automated means) etc.</p> <p>The purpose might include: employment processing, statutory obligation, recruitment assessment, audit and assurance, invoicing and payments, withdrawals and deferrals, retention assessment, satisfaction and exit surveys etc</p> <p><u>Method and Format of Transferring the Data:</u></p> <p>Personal Data of all Participants (including those who do not give their consent to share their data with the Digital CPD Service) will be transferred from the Processor to the Department in accordance with a process that is agreed with the Department.</p> <p>The Controller reserves the right to request data that is not captured in this Annex if the need arises.</p>

Type of Personal Data being Processed	1 Teacher Reference Number (TRN) 2 Full name 3 Gender 4 Ethnicity 5 Email address(es) 6 Telephone number(s) 7 Home address 8 Date of birth (if available) 9 Job role 10 School URN 11 School Name 12 School Address 13 School Postcode 14 E-mail Address of School contact 15 Programme delivery region 16 Data required for Evidence of Engagement 17 Confirmation if the Participant has been 'inactive' 18 Confirmation if the Participant has withdrawn 19 Withdrawal date (if applicable) 20 Reason for withdrawal (if applicable) 21 Confirmation if the Participant has deferred 22 Deferral date (if applicable) 23 Reason for deferral (if applicable) 24 Length of deferral 25 Restart date (if previously deferred) 26 Satisfaction survey data 27 Other such data as required and agreed by the Joint Controllers and where there is consent from the Data Subjects, or enshrined provision.
Categories of Data Subject	Potential Participants and Participants
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>The data may be retained (in a restricted folder) by the Joint Controllers and the Processor as long as is required for the purpose(s) of this Contract; this period shall not exceed 7 years unless covered by existing provision.</p> <p>All data will be deleted or destroyed after this period unless the Joint Controller wishes to keep the data for longer period for research and statistical purposes only.</p> <p>Confirmation of destruction will be provided by the Processor to the Controller, within 15 Working Days of a request being made.</p>

SCHEDULE 7: IMPLEMENTATION PLAN

Part A - Implementation

1. Definitions

- 1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Schedule 1 (Definitions):

"Delay"	<p>(a) a delay in the Achievement of a Milestone by its Milestone Date; or</p> <p>(b) a delay in the design, development, testing or implementation of a Deliverable by the relevant date set out in the Implementation Plan;</p>
"Deliverable Item"	an item or feature in the supply of the Deliverables delivered or to be delivered by the Contractor at or before a Milestone Date listed in the Implementation Plan;
"Implementation Period"	has the meaning given to it in Paragraph 7.1;
"Milestone Payment"	a payment identified in the Implementation Plan to be made following the Achievement of the relevant Milestone;

2. Agreeing and following the Implementation Plan

- 2.1 The Contractor develops, implements, and maintains an Implementation Plan that is in a format which is acceptable to the Department. The first version of the Implementation Plan is at the Annex 2 to this Schedule. This was the version included in the Contractor's Tender accepted by the Buyer. The Contractor shall provide a further updated Implementation Plan 14 days after the Start Date.
- 2.2 The Implementation Plan:
- 2.2.1 must contain information at the level of detail necessary to manage the implementation stage effectively and as the Buyer may otherwise require;
 - 2.2.2 detail the activities the Contractor will undertake in order to deliver the Services up to the end of the Implementation Period (including recruitment and other activity undertaken prior to the delivery of training);
 - 2.2.3 show the resources (including any Subcontractors) involved in delivering the activities and tasks; and
 - 2.2.4 include a start and end date associated with each activity / task;
 - 2.2.5 it shall take account of all dependencies known to, or which should reasonably be known to, the Contractor.
- 2.3 The Contractor shall provide each of the Deliverable Items identified in the Implementation Plan by the date assigned to that Deliverable Item in the Implementation Plan so as to ensure that each Milestone identified in the Implementation Plan is Achieved on or before its Milestone Date.
- 2.4 The Contractor shall monitor its performance against the Implementation Plan and Milestones (if any) and report to the Buyer on such performance.
- #### **3. Reviewing and changing the Implementation Plan**
- 3.1 Subject to Paragraph 3.3, the Contractor shall keep the Implementation Plan under review in accordance with the Buyer's instructions and ensure that it is updated on a regular basis.
- 3.2 The Buyer shall have the right to require the Contractor to include any reasonable changes or provisions in each version of the Implementation Plan.

- 3.3 Changes to any Milestones, Milestone Payments and Delay Payments shall only be made in accordance with the Variation Procedure.
- 3.4 Time in relation to compliance with the Implementation Plan shall be of the essence and failure of the Contractor to comply with the Implementation Plan shall be a Material Default.

4. Security requirements before the Start Date

- 4.1 The Contractor shall note that it is incumbent upon them to understand the lead-in period for security clearances and ensure that all Contractor Staff have the necessary security clearance in place before the Start Date. The Contractor shall ensure that this is reflected in their Implementation Plan.
- 4.2 The Contractor shall ensure that all Contractor Staff and Subcontractors do not access the Buyer's IT systems, or any IT systems linked to the Buyer, unless they have satisfied the Buyer's security requirements which are set out in Schedules 3 and 16.
- 4.3 The Contractor shall be responsible for providing all necessary information to the Buyer to facilitate security clearances for Contractor Staff and Subcontractors in accordance with the Buyer's requirements.
- 4.4 The Contractor shall provide the names of all Contractor Staff and Subcontractors and inform the Buyer of any alterations and additions as they take place throughout the Contract Period.
- 4.5 The Contractor shall ensure that all Contractor Staff and Subcontractors requiring access to the Buyer Premises have the appropriate security clearance. It is the Contractor's responsibility to establish whether or not the level of clearance will be sufficient for access. Unless prior approval has been received from the Buyer, the Contractor shall be responsible for meeting the costs associated with the provision of security cleared escort services.
- 4.6 If a property requires Contractor Staff or Subcontractors to be accompanied by the Buyer's Authorised Representative, the Buyer must be given reasonable notice of such a requirement, except in the case of emergency access.

5. What to do if there is a Delay

- 5.1 If the Contractor becomes aware that there is, or there is reasonably likely to be, a Delay under this Contract it shall:
 - 5.1.1 notify the Buyer as soon as practically possible and no later than within two (2) Working Days from becoming aware of the Delay or anticipated Delay;
 - 5.1.2 include in its notification an explanation of the actual or anticipated impact of the Delay;
 - 5.1.3 comply with the Buyer's instructions in order to address the impact of the Delay or anticipated Delay; and
 - 5.1.4 use all reasonable endeavours to eliminate or mitigate the consequences of any Delay or anticipated Delay.

6. Not Used

7. Implementation Period

- 7.1 The Implementation Period will commence on the Contract Date and end on the 31st August 2025.
- 7.2 In accordance with the Implementation Plan, the Contractor shall:
 - 7.2.1 work cooperatively and in partnership with the Buyer and other Lead Providers, where applicable, to understand the scope of Services to ensure a mutually beneficial handover of the Services;
 - 7.2.2 liaise with other Lead Providers to enable the full completion of the Implementation Period activities;
 - 7.2.3 work cooperatively and in partnership with Lead Providers to ensure a smooth handover and operation where a Subcontractor is working with multiple Lead Providers;

- 7.2.4 work cooperatively and in partnership with Lead Providers and / or their delivery partners to ensure Participants that transfer to and from the Contractor have a smooth transfer; and
 - 7.2.5 produce an Implementation Plan, to be agreed by the Buyer, for carrying out the requirements within the Implementation Period including, key Milestones and dependencies.
- 7.3 In addition, the Contractor shall:
- 7.3.1 appoint a Contractor Authorised Representative who shall be responsible for the management of the Implementation Period, to ensure that the Implementation Period is planned and resourced adequately, and who will act as a point of contact for the Buyer;
 - 7.3.2 mobilise all the Services specified in the Specification within this Contract;
 - 7.3.3 manage and report progress against the Implementation Plan;
 - 7.3.4 construct and maintain an Implementation risk and issue register in conjunction with the Buyer detailing how risks and issues will be effectively communicated to the Buyer in order to mitigate them;
 - 7.3.5 attend Contract Management Meetings (frequency of such meetings shall be as set out in the Call Off Order) to discuss progress against the Implementation plan; and
 - 7.3.6 ensure that all risks associated with the Implementation Period are minimised to ensure a seamless mobilisation of delivery.

Annex 1: Summary of key Milestones in the Implementation Plan

The summary of key Milestones to be Achieved are in the Implementation Plan is set out below:

Milestone	Deliverable Items	Duration	Milestone Date	Buyer Responsibilities
Digital Set Up Milestone 1: Review of plans	The Contractor presents full and updated plans to achieve the Digital Deliverables and provides evidence as required for Stage 1 Testing.	As set out in the Implementation Plan (Appendix B)	No later than one week after the Start Date	The Department Tests the Contractor's Plans in accordance with Stage 1 of Table 5 of Part B of this Schedule.
Digital Set Up Milestone 2: Implementation progress update	Contractor confirms they are on track to deliver the Digital Deliverables as set out in their Tender and provides evidence as required for Stage 2 Testing.	As set out in the Implementation Plan (Appendix B)	By no later than 3 rd March 2025	The Department Tests the Contractors Implementation Update in accordance with Stage 2 of Table 5 of Part B of this Schedule
Digital Set Up Milestone 3: Testing of Contractor Integrations, Digital Learning Solution, implementation progress update and Contractor Website	Contractor Integrations are ready for testing in the sandbox environment by 1 st May and then testing is completed by 1 st June and provides evidence as required for Stage 3 Testing.	30 Days	Testing to commence on or after the 1 st May and to conclude no later than 2 nd June 2025	The Department Tests the Contractors Digital Learning Solution Implementation Update, Integrations, website and security/GDPR requirements in accordance with Stage 3 of Table 5 of Part B of this Schedule
Digital Set Up Milestone 4: Digital Learning Solution Testing	The Digital Learning Solution is ready for final Testing. The Contractor will be able to demonstrate the full functionality of their Digital Learning Solution compared to their full implementation plans. This includes being able to evidence meeting the required accessibility and security requirements and providing evidence as required for Stage 4 Testing.	As set out in the Implementation Plan (Appendix B)	Testing to commence on or after the 1 st July and to conclude no later than 1 st August 2025	The Department Tests the Contractors Digital Learning Solution in accordance with Stage 5 of Table 4 of Part B of this Schedule
Programme Set Up Milestone 1: Submission of Training Content for Stage 1 Sample Testing	Contractor submits Training Content to the Department for Sample Testing. Sample content materials provided in completed form for Testing as a coherent suite of products, and may be requested from any part of the year 1 programme (i.e. beginning, middle, or end modules)	As set out in the Implementation Plan (Appendix B)	By 10 th February 2025	The Department confirms receipt and commences Testing

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	<p>Specific details to be confirmed. Anticipated requirements could include some combination of:</p> <ul style="list-style-type: none"> • Curriculum map • Diagnostic tool(s) • Welcome seminars/onboarding materials • ECT self-study materials and ECT live sessions • Mentor self-study materials • Mentor training sessions 			
Programme Set Up Milestone 2: Outcome of Sample Testing (Stage 2)	Contractor complies with any requests for information and / provision of documentation during this stage of Testing	As set out in the Implementation Plan (Appendix B)	By 24 th March 2025	The Department Tests the Training Content in accordance with Stage 1 of Table 2 of Part B of this Schedule
Programme Set Up Milestone 3: Stage 3 Testing	<p>The Contractor:</p> <ol style="list-style-type: none"> confirms they have corrected the Severity Errors and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or submits the additional Training Content requested by the Department at Stage 2. 	As set out in the Implementation Plan (Appendix B)	By 6 th May 2025	The Department confirms receipt and commences Testing where applicable
Programme Set Up Milestone 4: Stage 4 Testing	Contractor complies with any requests for information and / provision of documentation during this stage of Testing	As set out in the Implementation Plan (Appendix B)	By 2 nd June 2025	The Department Tests the Training Content in accordance with Stage 4 of Table 2 of Part B of this Schedule
Programme Set Up Milestone 5: Stage 5 Testing	<p>The Contractor:</p> <ol style="list-style-type: none"> confirms they have corrected the Severity Errors and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or submits the additional Training Content requested by the Department at Stage 4. 	As set out in the Implementation Plan (Appendix B)	By no later than 18 th July 2025	The Department confirms receipt and commences Testing where applicable

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Programme Set Up Milestone 6: Stage 6 Testing	Contractor complies with any requests for information and / provision of documentation during this stage of Testing	As set out in the Implementation Plan (Appendix B)	By no later than 18 th July 2025	The Department Tests the Training Content in accordance with Stage 6 of Table 2 of Part B of this Schedule
Programme Set Up Milestone 7: Submission of finalised Training Content for year 1	Contractor submits their finalised Training Content	As set out in the Implementation Plan (Appendix B)	By no earlier than end of April 2025 and no later than end of July 2025	The Department confirms receipt, and the Contractor is named/promoted as a Lead Provider for ITTECF-Based Training
Programme Set Up Milestone 8: Submission of School-Led Materials for Stage 1 Sample Testing	<p>Contractor submits Training Content to the Department for Sample Testing. Sample content materials provided in completed form for Testing as a coherent suite of products, and may be requested from any part of the year 1 programme (i.e. beginning, middle, or end modules)</p> <p>Specific details to be confirmed. Anticipated requirements could include some combination of:</p> <ul style="list-style-type: none"> • Curriculum map • ECT self-study materials and training session outlines • Mentor self-study materials 	As set out in the Implementation Plan (Appendix B)	By no later than end February 2025	The Department confirms receipt and commences Testing
Programme Set Up Milestone 9: Outcome of Sample Testing (Stage 2) of School-Led Materials	Contractor complies with any requests for information and / provision of documentation during this stage of Testing	As set out in the Implementation Plan (Appendix B)	By no later than end March 2025	The Department Tests the Training Content in accordance with Stage 1 of Table 3 of Part B of this Schedule
Programme Set Up Milestone 10: Stage 3 Testing of School-Led Materials	<p>The Contractor:</p> <ol style="list-style-type: none"> I. confirms they have corrected the Severity Errors and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or II. submits the additional Training Content requested by the Department at Stage 2. 	As set out in the Implementation Plan (Appendix B)	By no later than end April 2025	The Department confirms receipt and commences Testing where applicable

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Programme Set Up Milestone 11: Stage 4 Testing of School-Led Materials	Contractor complies with any requests for information and / provision of documentation during this stage of Testing	As set out in the Implementation Plan (Appendix B)	By no later than end May 2025	The Department Tests the Training Content in accordance with Stage 4 of Table 2 of Part B of this Schedule
Programme Set Up Milestone 12: Submission of finalised School-Led Materials	Contractor submits their finalised Training Content	As set out in the Implementation Plan (Appendix B)	By no earlier than end of April 2025 and no later than end of June 2025	The Department confirms receipt, and the Contractor's School-Led Materials are made available to schools who will deliver School-Led Training

Part B – Testing

1. Definitions

1.1 In this Schedule, the following words shall have the following meanings and they shall supplement Schedule 1 (Definitions):

"Component"	any constituent parts of the Deliverables;
"Change Log"	means the record of changes that the Contractor makes to Training Content which previously been subjected to Testing;
"Material Test Issue"	Means a failure to meet with the Test Success Criteria and a Test Issue of Severity Level 1 is present;
"Quality Failure"	means where Quality Assurance processes have identified a failure to adhere to the quality assurance requirements set out in the Contract;
"QA Function"	means the Department or the third party appointed by the Department to monitor Quality Assurance delivery in accordance with the Specification;
"Quality Assurance"	means how the Department or its representatives will measure the Contractor's performance in developing and delivering the training programme;
"Satisfaction Certificate"	a certificate issued by the Buyer when a Deliverable and/or Milestone has satisfied its relevant Test Success Criteria;
"Severity Level"	the level of severity of a Test Issue, the criteria for which are described in Annex 1;
"Test Issues"	issues identified when Testing;
"Test Issue Log"	a log for the recording of Test Issues;
"Test Success Criteria"	in relation to a Test, the test success criteria for that Test as referred to in Paragraph 3 of this Schedule;
"Test Witness"	any person appointed by the Buyer pursuant to Paragraph 9 of this Schedule; and
"Testing Procedures"	the applicable testing procedures and Test Success Criteria set out in this Schedule.

2. Preparing for Testing

- 2.1 Prior to submitting Components for Testing, the Contractor shall subject the Components to quality assurance checks and internal testing to ensure they meet with the Test Success Criteria.
- 2.2 The Contractor shall not submit any Deliverable for Testing:

- 2.2.1 unless the Contractor is reasonably confident that it will satisfy the relevant Test Success Criteria; and
- 2.2.2 until the Buyer has issued a Satisfaction Certificate in respect of any prior, dependant Deliverable(s).
- 2.3 The Contractor shall use reasonable endeavours to submit each Deliverable for Testing or re-Testing by or before the date set out in the Implementation Plan for the commencement of Testing in respect of the relevant Deliverable.
- 2.4 The Buyer conducts Testing in accordance with this Schedule and prior to the issue of a Satisfaction Certificate, the Buyer shall be entitled to review the relevant Test Reports and the Test Issue Management Log.
- 2.5 When the Contractor has completed a Milestone it shall submit any Deliverables relating to that Milestone for Testing.
- 2.6 Each party shall bear its own costs in respect of the Testing. However, if a Milestone is not Achieved the Buyer shall be entitled to recover from the Contractor, any reasonable additional costs it may incur as a direct result of further review or re-Testing of a Milestone.
- 2.7 If the Contractor successfully passes the requisite Tests, the Buyer shall issue a Satisfaction Certificate as soon as reasonably practical following such successful completion. Notwithstanding the issuing of any Satisfaction Certificate, the Contractor shall remain solely responsible for ensuring that the Deliverables are implemented in accordance with this Contract.

3. Passing Testing

- 3.1 The Test Success Criteria is that the related Components shall meet with the Department's requirements set out in the Specification.

4. How Deliverables will be tested

- 4.1 The Department Test's the Components against the relevant criteria in the Specification.
- 4.2 The Department can employ or work with third parties to undertake all or part of the Testing.

Training Content

- 4.3 The Contractor's Training Content is subject to the Testing Procedures in accordance with paragraphs 8 of this Schedule.

Digital Deliverables

- 4.4 The Contractor's Digital Deliverables are subject to is subject to Testing Procedure in accordance with paragraphs 9 of this Schedule.

5. Discovering Problems

- 5.1 Where a Test Issue is identified, they shall be classified using the criteria specified in Annex 1 and the Test Issue Log maintained shall log Test Issues reflecting the Severity Level allocated to each Test Issue.
- 5.2 The Buyer shall confirm the classification of any Test Issue unresolved at the end of a Test in consultation with the Contractor and send the Test Issue Log to the Contractor.

6. Outcome of the testing

- 6.1 The Buyer will issue a Satisfaction Certificate when the Deliverables satisfy the Test Success Criteria in respect of that Test without any Test Issues.
- 6.2 If the Deliverables (or any relevant part) do not satisfy the Test Success Criteria then the Buyer shall notify the Contractor and:
 - 6.2.1 the Buyer may issue a Satisfaction Certificate conditional upon the remediation of the Test Issues;
 - 6.2.2 the Buyer may extend the Test Plan by such reasonable period or periods as the Parties may reasonably agree and require the Contractor to rectify the cause of the Test Issue and re-submit the Deliverables (or the relevant part) to Testing; or

- 6.2.3 where the failure to satisfy the Test Success Criteria results, or is likely to result, in the failure (in whole or in part) by the Contractor to meet a Milestone, then without prejudice to the Buyer's other rights and remedies, such failure shall constitute a Material Default.
- 6.3 The Buyer shall be entitled, without prejudice to any other rights and remedies that it has under this Contract, to recover from the Contractor any reasonable additional costs it may incur as a direct result of further review or re-Testing which is required for the Test Success Criteria for that Deliverable to be satisfied.
- 6.4 The Buyer shall issue a Satisfaction Certificate in respect of a given Milestone as soon as is reasonably practicable following:
- 6.4.1 the issuing by the Buyer of Satisfaction Certificates and/or conditional Satisfaction Certificates in respect of all Deliverables related to that Milestone which are due to be Tested; and
- 6.4.2 performance by the Contractor to the reasonable satisfaction of the Buyer of any other tasks identified in the Implementation Plan as associated with that Milestone.
- 6.5 The grant of a Satisfaction Certificate shall only entitle the Contractor to the receipt of a payment in respect of that Milestone where set out in Annex 1 of Part A of this Schedule.
- 6.6 If a Milestone is not Achieved, the Buyer shall promptly issue a report to the Contractor setting out the applicable Test Issues and any other reasons for the relevant Milestone not being Achieved.
- 6.7 If the Department is satisfied that the Test has been satisfied and there are no Material Test Issues, the Buyer shall issue a Satisfaction Certificate. This may be a conditional Satisfaction Certificate and the Contractor shall address such conditions, for example address the Severity Error(s) as set out in paragraph 11.9, as attached to the issue of the Satisfaction Certificate. Where the Contractor does not address, or comply with such conditions, the Department reserves the right to withdraw the Satisfaction Certificate
- 6.8 If there is one or more Material Test Issue(s), the Buyer shall refuse to issue a Satisfaction Certificate and, without prejudice to the Buyer's other rights and remedies, such failure shall constitute a Material Default.
- 6.9 If there are Test Issues but there are no Material Test Issues, the Buyer may at its discretion (without waiving any rights in relation to the other options) choose to issue a Satisfaction Certificate conditional on the remediation of the Test Issues in accordance with an agreed Rectification Plan provided that:
- 6.9.1 any Rectification Plan shall be agreed before the issue of a conditional Satisfaction Certificate unless the Buyer agrees otherwise (in which case the Contractor shall submit a Rectification Plan for approval by the Buyer within 10 Working Days of receipt of the Buyer's report pursuant to Paragraph 10.5); and
- 6.9.2 where the Buyer issues a conditional Satisfaction Certificate, it may (but shall not be obliged to) revise the failed Milestone Date and any subsequent Milestone Date.
- 7. Risk**
- 7.1 The issue of a Satisfaction Certificate and/or a conditional Satisfaction Certificate shall not:
- 7.1.1 operate to transfer any risk that the relevant Deliverable or Milestone is complete or will meet and/or satisfy the Buyer's requirements for that Deliverable or Milestone; or
- 7.1.2 affect the Buyer's right subsequently to reject all or any element of the Deliverables and/or any Milestone to which a Satisfaction Certificate relates.
- 8. Testing Procedures for Training Content**
- 8.1 The purposes of Testing the Contractor's Training Content is to ensure that it meets with the requirements of the Specification to ensure that ECTs and Mentors receive high quality training.

- 8.2 The Contractor's Training Content, [including School-Led Materials where applicable], shall be subject to Testing in accordance with this Schedule. There are two types of Testing that can be undertaken:
- 8.2.1 Sample Testing – see Table 1 and 2.
- 8.2.2 Annual Testing/re-Testing – see Table 3.
- 8.3 For this Call Off Contract, the Contractor will be subject to Sample Testing and where applicable Annual/re-testing.
- 8.4 [Sample Testing of Year 1 content will be carried out across academic year 2024/25 and sample testing of Year 2 content will be carried out across academic year 2025/26. The process will likely mirror that set out in Table 1 but timelines will be refined to suit delivery.]
- 8.5 The Department reserves discretionary right to amend how it undertakes Testing, and / or introduce new types of Testing to ensure that the Contractor's content is fit for purpose and meets with the requirements of the Specification.
- 8.6 The Contractor is not permitted to deliver Training Content unless it has been issued a Satisfaction Certificate that covers the period in which the training is to be delivered.
- 8.7 The Contractor shall submit Training Content for Testing in accordance with this Schedule. The Contractor shall only submit Training Content that has been subject to a quality assurance process which is undertaken in accordance with the Contractor's Tender.
- 8.8 The Department reserves the right to delay publication of School-Led Materials until 2026 in the event that the Department is unable to issue Satisfaction Certificates by end of May 2025.

Changes to Training Content that has already been Tested

- 8.9 Where the Contractor wishes to update/change/amend their Training Content that has been Tested and for which they have been issued a Satisfaction Certificate they are permitted to do so as part of continuous improvement.
- 8.10 The Contractor is required to keep a log of all changes that they make to Training Content that has been previously Tested and send this to the Department upon request. The Contractor uses the Change Log, or another form agreed with the Department, at Annex 3 to record any changes. The Department will require the Contractor to submit their Change Log, setting out changes that they are making to their programmes, on a termly reporting cycle throughout the contract duration (December, March and July of each contract year).

Table 1 – Sample Testing of Provider-Led Materials		
Type of Testing	Requirement	Testing Date(s)
Sample Testing Stage 1	<p>The Contractor submits Training Content to the Department for Sample Testing. The specifics of sample Training Content (including the format and how it should be submitted) that will be subjected to testing will be confirmed by the Department prior to the Testing Date(s). For the 2025 Cohort it is anticipated that sample Training Content will consist of Components that are to be delivered in Year 1 such as:</p> <ul style="list-style-type: none"> • curriculum map; • diagnostic tool(s); • Welcome seminars/onboarding materials; • ECT self-study materials and ECT live sessions; • mentor self-study materials; • mentor training sessions. <p>The Department will request materials that that together form a coherent suite of products. Content for review will be selected based on the curriculum map submitted as part of the Tender.</p>	By 10 th February 2025

	The Department may request products from any part of the year 1 programme – beginning, middle or end.	
Sample Testing Stage 2	The Department Tests the Training Content and either: (i) issues a Satisfaction Certificate and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to Training Content being delivered and the Contractor progresses to Stage 3; or (iii) requests additional Training Content for further Testing and the Contractor progresses to Stage 3; or (iv) confirms that there are Material Test Issues.	By 24 th March 2025
Sample Testing Stage 3	The Contractor: (i) confirms they have corrected the Test Issues and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or (ii) submits the additional Training Content requested by the Department at Stage 2.	By 6 th May 2025
Sample Testing Stage 4	The Department Tests the Training Content and either: (i) issues a Satisfaction Certificate and the Contractor; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to Training Content being delivered and the Contractor progresses to Stage 5; or (iii) requests additional Training Content for further Testing and the Contractor progresses to Stage 3; or (iv) confirms that there are Material Test Issues.	By 2 nd June 2025
Sample Testing Stage 5	The Contractor: (i) confirms they have corrected the Test Issues and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or (ii) submits the additional Training Content requested by the Department at Stage 4.	By 18 th July 2025
Sample Testing Stage 6	The Department Tests the Training Content and either: (i) issues a Satisfaction Certificate and the Contractor and the Contractor submits their finalised Training Content in accordance with the Implementation Plan; or (ii) confirms that there are Material Test Issues.	By end of July 2025

Table 2 – Sample Testing of School-Led Materials

Type of Testing	Requirement	Testing Date(s)
Sample Testing Stage 1	The Contractor submits School-Led Materials to the Department for Sample Testing. The specifics of sample content (including the format and how it should be submitted) that will be subjected to Testing will be confirmed by the Department prior to the Testing Date(s). For the 2025 Cohort it is anticipated that sample Training Content will consist of Components that are to be delivered in Year 1 such as: <ul style="list-style-type: none"> curriculum map ECT self-study materials and training session outlines 	By no later than end February 2025

	<ul style="list-style-type: none"> mentor self-study materials <p>The Department will request materials that that together form a coherent suite of products. Content for review will be selected based on the curriculum map submitted as part of the Tender. The Department may request products from any part of the year 1 programme – beginning, middle or end.</p>	
Sample Testing Stage 2	<p>The Department Tests the School-Led Materials and either:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate and the Contractor submits their finalised School-Led Materials in accordance with the Implementation Plan; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to School-Led Materials being finalised and the Contractor progresses to Stage 3; or (iii) requests additional School-Led Materials for further Testing and progresses to Stage 3; or (iv) confirms that the there are Material Test Issues. 	By end March 2025
Sample Testing Stage 3	<p>The Contractor:</p> <ul style="list-style-type: none"> (i) confirms they have corrected the Test Issues and the Contractor submits their finalised School-Led Materials in accordance with the Implementation Plan; or (ii) submits the additional School-Led Materials requested by the Department at Stage 2. 	By end of April 2025
Sample Testing Stage 4	<p>The Department Tests the School-Led Materials and either:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate and the Contractor and the Contractor submits their finalised School-Led Materials in accordance with the Implementation Plan; or (ii) confirms that the there are Material Test Issues. 	By end of May 2025

Table 3 – Annual/re-testing

Type of Testing	Requirement	Testing Date(s)
Annual/Re-testing Stage 1	<p>The Department confirms that the Contractors Training Content will be subject to Annual Testing/re-Testing. Where re-Testing applies, the Contractor submits a summary of their changes. The specifics of the Training Content (including the format and how it should be submitted) that will be subjected to Testing will be confirmed by the Department prior to the Testing Date.</p>	[TBC]
Annual/re-Testing Stage 2	<p>The Department Tests the Training Content and either:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate and the Contractor delivers their Training Content; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to Training Content being delivered and the Contractor progresses to Stage 3; or (iii) requires the Contractor to correct Test Issues and requests the Contractor to submit Training Content for further Testing at Stage 3; or (iv) confirms that the there are Material Test Issues. 	[TBC]
Annual/re-Testing Stage 3	<p>The Contractor:</p> <ul style="list-style-type: none"> (i) confirms they have corrected the Test Issues and the Contractor delivers their Training Content; or 	[TBC]

	(ii) corrects the Test Issues and submits the Training Content requested at Stage 2 for further Testing and progresses to Stage 4.	
Annual/re-Testing Stage 4	The Department Tests the Training Content and either: (i) issues a Satisfaction Certificate and the Contractor delivers their Training Content; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to Training Content being delivered and the Contractor progresses to Stage 5; or (iii) confirms that there are Material Test Issues.	[TBC]
Annual/re-Testing Stage 5	The Contractor confirms they have corrected the Test Issues and the Contractor delivers their Training Content.	[TBC]

9. Testing Procedure for Digital Deliverables

- 9.1 The purposes of Testing the Contractor's Digital Deliverables is to ensure that they meet the requirements of the Specification and ensure that ECTs and Mentors receive high quality training.
- 9.2 The Contractor's Digital Deliverable's shall be subject to Testing in accordance with this Schedule.
- 9.3 Table 5 below set out the process associated with Testing.
- 9.4 The Department reserves discretionary the right to amend how it undertakes Testing, and / or introduce new types of Testing to ensure that the Contractor's Digital Deliverables are fit for purpose and that they meet the requirements of the Specification.
- 9.5 The Contractor is not permitted to publicly launch their Digital Learning Solution unless it has been issued a Satisfaction Certificate that covers the period in which the training is to be delivered.
- 9.6 The Contractor shall ensure that their Digital Deliverables have been subject to a quality assurance process which are undertaken in accordance with the Contractor's Tender.
- 9.7 The Contractor can appoint a third party to help it undertake the Testing.

Changes to previously tested Digital Deliverables

- 9.8 Subject to 9.9 below, the Contractor ensures they implement changes that have been agreed as part of the Continuous Improvement Plan without the need for further Testing.
- 9.9 Where the Contractor wishes to update/change/amend their Digital Deliverables other than for the purposes of implementing continuous improvement, the Contractor must agree proposed changes with the Department prior to making them and whether there is a need for further Testing.

Table 4 – Testing of Digital Deliverables		
Type of Testing	Requirement	Testing Date(s)
Stage 1	<p>The Department will review the design and integrations plans included in the Contractor's Tender, and consideration of any subsequent feedback.</p> <p>The aim of this Test is to ensure the requirements are going to be met and the Contractor is on course to provide the Digital Deliverables. The Department will support the Contractor by sharing best practice based on delivery experience, this will be documented in the API guidance.</p> <p>Stage 1 Test will Test whether the Contractor is working towards meeting requirements 16.1 to 16.34 in the Specification.</p>	By no later than one week after the Start Date

	<p>Preparations for Stage 2 Testing will also be discussed.</p> <p>After conducting the Tests, the Department:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to the next milestone. 	
Stage 2	<p>The Department will review progress as per the Contractor's Implementation Plan and the Contractor confirms they have corrected any Test Issues from the previous Testing.</p> <p>The Department will also require Contractors to report on progress against implementing the GDS Service and Technology Standards, focusing on how they are gaining a deep understanding of their user's needs and completing user testing.</p> <p>Preparations for Stage 3 Testing will also be discussed.</p> <p>After conducting the Tests, the Department:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to the next milestone; or (iii) confirms that there are Material Test Issues. 	<p>By no later than 1st March 2025</p>
Stage 3	<p>The Contractor confirms that have been using the sandbox environment to start testing their integrations. By no later than 1st June 2025, the Contractor provides evidence that the Contractor Integrations can deal with the scenarios and tests set out below.</p> <p>The Contractor also confirms they have corrected any Test Issues from previous Testing.</p> <p>Testing of the Contractor's Integrations at stage 3</p> <ol style="list-style-type: none"> 1. The Department will provide a number of scenarios to test the functionality and effectiveness of the Contractor's Integrations. In order to complete this testing, the Department will facilitate demonstration sessions on sandbox. A series of predefined scenario users are added to the sandbox during the demo, these will be defined in the API guidance but will include one registration scenario and one updating an assumed Participant progress scenario at a minimum. These scenarios will test whether a Contractor's Integrations meet the basic functionality required to go live, this includes being able to integrate successfully and export/accept data. 2. We expect Contractors will be able to demonstrate that their integrations are robust to performance testing, this includes load and stress testing. The exact targets here will be defined in discussion with individual Contractors based on assumed Participant numbers agreed during Stage 1 Testing. 3. The Contractor will be required to demonstrate appropriate throughput times. Targets for throughput testing will be defined in discussion with individual Contractors during Stage 1 Testing. 4. The Department will also review the integrations plans indicated at Milestone 1 and review the integrations against these and requirements 16.25 to 16.34 in the Specification. <p>Testing of the Contractor's Website, Security and GDPR at stage 3</p> <ol style="list-style-type: none"> 1. The Department checks whether the Contractor's Website is live and functioning and whether the content on the website is accurate and aligned with Departmental terminology, 16.10 in the Specification. 2. The Department also tests the Security Requirements, 16.4 in the Specification and GDPR requirements, 16.3.3 in the Specification. 	<p>By no later than 1st June 2025</p>

	<p>Other Tests at Stage 3</p> <p>1. The Department will review progress on the Digital Learning Solution as per the Contractor's Implementation Plan and the Contractor confirms they have corrected any Test Issues from the previous Testing. The Department will also require Contractors to report on progress against implementing the GDS service and Technology Standards, in particular focusing on how they are gaining a deep understanding of their user's needs and completing user testing.</p> <p>After conducting the Tests, the Department:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to the next milestone; or (iii) confirms that there are Material Test Issues. 	
Stage 4	<p>The Contractor confirms they are able to commence Stage 4 testing of the Digital Learning Solution by no later than 1st July 2025 and by no later than 1st August 2025 they can evidence the following;</p> <p>1. That the Contractor's Digital Learning Solution meets the requirements 16.11 to 16.24 of the Specification. This includes but it not limited to providing evidence that the Contractor:</p> <ul style="list-style-type: none"> a. Has completed an external audit to confirm they have met WGAC2.2 level 2.2 accessibility standards and evidence of a public accessibility statement; b. Digital Learning Solution is resilient and responsive across devices and operating systems that users use. As a minimum the Contractor shall test their Digital Learning Solution works in browsers specified in the GOV.UK Service Manual; and c. has platform analytics and systems monitoring in place <p>2. That they have undergone and passed a penetration test of their Digital Learning Solution</p> <p>3. That their Digital Learning Solution is robust to performance testing, this includes load and stress testing. The exact targets here will be defined in discussion with individual Contractors based on assumed Participant numbers agreed during Stage 1 Testing;</p> <p>4. That they have conducted some functionality / QA testing to ensure their Digital Learning Solution are ready to be launched; and</p> <p>5. In addition, the Department will conduct an internal heuristic review of the Digital Learning Solution to Test whether it has achieved the design requirements as per the Contractors Tender and gather feedback for continuous improvement purposes.</p> <p>The Contractor also confirms they have corrected any Test Issues from previous Testing.</p> <p>After conducting the Tests, the Department:</p> <ul style="list-style-type: none"> (i) issues a Satisfaction Certificate; or (ii) issues a conditional Satisfaction Certificate with details of Test Issues that are required to be corrected prior to September 2025; or (iii) confirms that there are Material Test Issues. 	By no later than 1st August 2025

Annex 1 Part A: Test Issues – Severity Levels that applies to Testing for Digital Deliveries

Severity Error Type	Stage 1 Definition	Stage 2 Definition	Stage 3 Definition	Stage 4 Definition
Severity 1 Error	N/A	The Contractor has made no progress against their implementation plan and further conversations reveal they were unlikely to do so in time for September 2025.	<p>The Contractor has failed to supply a functioning Contractor Integration as per the scenarios and tests specified and further conversations reveal they will be unable to make it functional before registration goes live; and / or</p> <p>The Contractor doesn't have a publicly accessible Contractor Website and has failed to meet security and GDPR requirements, conversations reveal that they will be unable to rectify this before September 2025; and/or</p> <p>The Contractor has made no progress against implementing their Digital Learning Solution and further conversations revealed they were unlikely to do so in time for September 2025.</p>	A Contractor has failed to provide a functioning Digital Learning Solution and further conversations reveal they will be unable to make it functional before September 2025.
Severity 2 Error	<p>The Contractor's plan highlights they are not going to meet all of the required standards. A large intervention needs to occur in order to rectify this, but it is still possible for a Contractor to meet the requirements in time for launch.</p> <p>For example, the Contractor's plans reveal that they will be unable to integrate with new API versions within three months due to partnering or system choices.</p>	<p>The Contractor has made little progress against their Implementation Plan and as a result their Digital Learning Platform and Contractor Integrations are not going to meet all the required standards before launch, without a large intervention. For example, a Contractor might have to bring on additional resources, the Department could agree to extending the deadline on meeting some of the requirements, a Contractor might have to descope elements of build; and / or</p> <p>The Contractor is demonstrating limited understanding the GDS</p>	<p>The Contractor is unable to evidence that the Contractor Integration can deal with some of scenarios, tests and requirements specified and as a result they are not going to meet all the required standards, but a workaround can be implemented. For example, the Contractor might have to bring on additional resources, the Department could agree to extending the deadline on meeting some of the requirements, a Contractor might have to descope elements of build; and / or</p> <p>The Contractor's Website, whilst live, is missing elements of functionality and has limited correct information. This can be rectified in a reasonable timeframe; and / or</p> <p>The Contractor has failed to meet a few of the security and GDPR requirements, however these can be rectified in a reasonable timeframe; and / or</p> <p>The Contractor has made some progress against their implementation plan, but it has been limited, and as a result their online learning system is not going to meet all the required standards before</p>	A Contractor is unable to evidence that their Digital Learning Solution can deal with some of tests specified and as a result they are not going to meet all the required standards, but a workaround can be implemented. For example, a Contractor might have to bring on additional resources, the Department could agree to extending the deadline on meeting some of the requirements, a Contractor might have to descope elements of build.

		<p>service and tech standards and have yet to implement them but have plans which appear achievable to implement them moving forward; and / or</p> <p>The Department has concerns about how a Contractor is working with the Department, for example they are not engaging with us during this process, but there is opportunity to ameliorate this moving forward.</p>	<p>launch, but a workaround can be implemented. For example, a Contractor might have to bring on additional resources, the Department could agree to extending the deadline on meeting some of the requirements, a Contractor might have to descope elements of build; and / or</p> <p>A Contractor has made limited progress against implementing the GDS service and tech standards and have a very limited understanding of their user's needs. Additionally, they have not conducted any user testing. However they have planned to rectify this moving forward, this might include committing to User Research and Continuous improvement activities post September 2025.</p>	
Severity 3 Error	<p>The Contractor's plan indicates that they may not be able to meet all of the required standards fully but this has limited impact and can be rectified with small interventions. For example, a Contractor has not considered how they will utilise and deploy the GDS Service standards in their build process such as understanding user needs.</p>	<p>The Contractor has made good progress against their implementation plan with some small slippages; and / or</p> <p>The Contractor is demonstrating a good understanding of the GDS service standards and tech standards and has implemented some of the principles but there are small gaps. They have plans to rectify this moving forward.</p>	<p>The Contractor has a publicly accessible live website where some of the information is incorrect, however these can be rectified before launch; and / or</p> <p>The Contractor is able to evidence that their integration can deal with most of the scenario and tests specified with some small exceptions which will be rectified before registration opens; and / or</p> <p>The Contractor has made good progress against their Digital Learning Solution implementation plan with some small slippage; and / or</p> <p>The Contractor has made some progress against implementing the GDS service and tech standards and have a good understanding of their Users needs. They have conducted some limited user testing. They have plans to rectify this moving forward.</p>	<p>A Contractor is able to evidence that their Digital Learning Solution can deal with most of the tests specified with some small exceptions which will be rectified before September 2025.</p>

Annex 1 Part B: Test Issues – Severity Levels that applies to Testing of the Contractor's Training Content

1. Severity 1 Error

- 1.1 This is a material error(s) and / or issue(s) that
 - 1.1.1 causes non-recoverable conditions, i.e. it is not possible to continue using a Component; or
 - 1.1.2 require such a level of improvement or correction that they will not be able to be rectified in time for delivery.

2. Severity 2 Error

- 2.1 This is an error(s) and / or issue(s) for which, as reasonably determined by the Buyer, there is a practicable workaround available or can be rectified, but which without practicable workaround and / or rectification would:
 - 2.1.1 cause a Component to become unusable;
 - 2.1.2 cause a lack of functionality, or unexpected functionality within any of the Components; or
 - 2.1.3 have an adverse impact on any other Component(s) or any other area of the Deliverables.

3. Severity 3 Error

- 3.1 This is an error(s) and / or issue(s) which causes incorrect functionality of a Component or process, but for which there is a simple workaround or rectification, and which has no impact on the current Test, or other areas of the Deliverables.

Annex 2: Satisfaction Certificate

To: [insert name of Contractor]

From: [insert name of Buyer]

[insert Date dd/mm/yyyy]

Dear Sirs,

Satisfaction Certificate

Deliverable/Milestone(s): [Insert relevant description of the agreed Deliverables/Milestones].

We refer to the agreement ("**Contract**") [insert Contract reference number] relating to the provision of the [insert description of the Deliverables] between the [insert Buyer name] ("**Buyer**") and [insert Contractor name] ("**Contractor**") dated [insert Date dd/mm/yyyy].

The definitions for any capitalised terms in this certificate are as set out in this Contract.

[We confirm that all the Deliverables relating to [insert relevant description of Deliverables/agreed Milestones and/or reference number(s) from the Implementation Plan] have been Tested successfully in accordance with the Test Procedure [or that a conditional Satisfaction Certificate has been issued in respect of those Deliverables that have not satisfied the relevant Test Success Criteria].

[OR]

[This Satisfaction Certificate is granted on the condition that any Test Issues are remedied in accordance with the Rectification Plan attached to this certificate.]

[You may now issue an invoice in respect of the Milestone Payment associated with this Milestone in accordance with Clause 4 (Pricing and payments)].

Yours faithfully

[insert Name]

[insert Position]

acting on behalf of [insert name of Buyer]

Annex 3: Change Log

SCHEDULE 8 – QUALITY ASSURANCE

1 DEFINITIONS

1.1 In this Schedule, the following terms shall have the meanings set out below:

“Inspection”	means an inspection of the Contractor undertaken by the QA Function;
“Inspection Report”	means the report produced by the QA Function following an Inspection of the Contractor;
“Ofsted Judgement”	means the judgement (of either ‘Outstanding’, ‘Good’, ‘Requires Improvement’ or ‘Inadequate’) of Ofsted of the Contractor;
“Quality Failure”	means where Quality Assurance processes have identified a failure to adhere to the Quality Assurance Framework or any other failure to meet the quality requirements set out in the Contract;
“QA Function”	means the Department, Ofsted or any other the third party appointed by the Department to monitor Quality Assurance delivery in accordance with the Specification;
“Quality Assurance”	means how the Department or its representatives will measure the Contractor’s performance in developing and delivering the training programme;
“Quality Assurance Framework”	means the documents that set out quality requirements and processes that the Contractor shall comply with when delivering the services;
“Remedial Action Plan”	means the plan developed and implemented by the Contractor to address the most urgent issues/concerns identified by the QA Function;
“Service Credit”	shall have the same meaning as set out in Part 2 of Schedule 2;
“Service Failure”	shall have the same meaning as set out in Part 2 of Schedule 2;
“Service Improvements”	means a type of service improvement, categorised in accordance with paragraph 2.10 of this Schedule, recommended by the Quality Assurance function.

2 GENERAL

- 2.1 The Contractor complies with the Quality Assurance requirements set out in this Schedule and the Quality Assurance Framework.
- 2.2 The Contractor ensures they implement effective quality management arrangements to ensure the Services are provided in accordance with the Specification.
- 2.3 The QA Function will monitor the quality of the Services being provided by the Contractor. The Department may employ third parties (a **“QA Agent”**) to undertake some or all the work of the QA Function.
- 2.4 The Contractor supports the work of, and collaborates with, the QA Function and takes the necessary actions as recommended by the Department or QA Agent.
- 2.5 The QA Function will quality assure the Contractor and its Sub-Contractors to ensure the Contractor is complying with Quality Assurance Framework and the Contract. They shall do this by quality assuring areas including, but not limited to, the following:
 - 2.5.1 content development – reviewing and approving all curriculum content as further described in this schedule;
 - 2.5.2 research outputs – reviewing the quality of published research and open-source materials;
 - 2.5.3 training delivery – including attending training sessions where relevant, engage with

sample Sub-Contractors and Participants;

- 2.5.4 ongoing contractual requirements – ensuring the Contractor is complying with its obligations, including reviewing, and using data produced by the Contractor;
- 2.5.5 Contractor’s QA systems – sample checking/reviewing the Contractor’s QA system and management arrangements; and
- 2.5.6 any specific areas set out in the Call Off Order.
- 2.6 Quality Assurance arrangements specific to each of the Institute’s functions (designing curriculum content; delivering ITT, the ECF, NPQs and NLEs; and delivering its role in building and sharing best practice) are detailed below. Further specific requirements may be included in the Call Off Order.
- 2.7 The Department reserves the right to amend the Quality Assurance arrangements as necessary to ensure they are working effectively, and Department is satisfied that the Services are being delivered to a high standard.
- 2.8 The Contractor shall cooperate with the ongoing requirements of the QA Function in supplying information, facilitating visits to the Contractor, its Sub-Contractors and Participants, and otherwise supporting the work of the QA Function to make assessments of quality according to an agreed Quality Assurance Framework.
- 2.9 The Contractor shall engage with the QA Function as required, including facilitating the QA Function’s contact with Sub-Contractors and/or Participants. The number and frequency of interactions between the QA Function and the Contractor will be depend on the quality of the Services that is being provided by the Contractor.
- 2.10 The QA Function may make recommendations that the Contractor will be required to action in relation to:
 - 2.10.1 Service Improvements – improvements that arise out of continuous improvements (in addition to those included within the Contractor’s Continuous Improvement Plan), lessons learnt, user feedback and best practice or any other action that at the QA Function’s discretion would benefit from being implemented by the Contractor and which affect Call Off Contracts; and
 - 2.10.2 Quality and Performance Improvements – where Quality Assurance processes have identified a failure on behalf of the Contractor in respect of:
 - 2.10.2.1 adherence to the “Quality Assurance Framework”;
 - 2.10.2.2 poor practice;
 - 2.10.2.3 breaches of contract; or
 - 2.10.2.4 any other action that at the QA Function’s discretion needs to be addressed to ensure that the quality of the Services that are being provided in accordance with the requirements set out in the Contract and / or Framework Agreement.
- 2.11 The Contractor must support the Quality Assurance arrangements and take the necessary actions as recommended by the QA Function.

3 SERVICE IMPROVEMENTS

- 3.1 Where the QA Function makes service improvement recommendations, they shall be under one of the following categories:
 - 3.1.1 continuous improvement – service development and improvement activity that is within the general scope of the obligation on the Contractor to apply continuous improvement, respond to feedback and adopt best practice in regard to content and delivery for both ongoing and future Cohorts.
 - 3.1.2 service development – activity that requires the Contractor to make considerable revisions to their content and/or delivery to a level whereby it is not possible to implement mid-Cohort and therefore will only be required for future Cohorts. In this

instance the Contractor should attempt to implement any such aspects of the recommendation that can be made under paragraph 3.1.1 but will not be required to implement the full recommendation until the next Call Off Contract.

3.1.3 urgent service development – activity that requires the Contractor to make immediate and significant revisions to their content and/or delivery in regard to ongoing Cohorts.

3.2 The Contractor implements service improvements that are in accordance with the requirements set out in this Call Off Contract (or minor additions or amendments to) at their own cost.

3.3 If the Department requires changes that are additional to those set out in the Call Off Contract and result in additional cost to the Contractor, the cost is assessed and any payment is made in accordance with Schedule 2: Part 1 Pricing via a Variation.

3.4 If the Contractor fails to implement a Service Improvement recommendation to the required standard as set out by the Department and within the specified timescale then the Department may, at its sole discretion, apply a Service Credit or any other.

4 QUALITY AND PERFORMANCE

4.1 Where the QA Function identifies quality and/or performance issues they will be identified under one of the following categories:

4.1.1 recommendation – minor issues or concerns that will need to be resolved by the Contractor within the scope and timescale of the recommendation.

4.1.2 A Quality Failure – significant issues or concerns that represent a material failure to meet the quality requirements or quality framework.

4.2 If the Contractor receives a Quality Failure, then the Department will issue a suspended Service Credit. If, in the opinion of the QA Function, the Quality Failure has not been resolved in full within the timescales imposed by the Department then it will be considered a Service Failure, and the Department reserves the right to take action in line with paragraph 2 (Consequence of Service Failure) of Part 2 of Schedule 2.

Inspection Reports and Ofsted Judgements

4.3 The Department will use Inspection Reports and Ofsted Judgements, to help the Department determine if the Contractor is adhering to the Quality Assurance Requirements and Quality Assurance Framework.

4.4 The Contractor will be inspected in accordance with <https://www.gov.uk/government/publications/early-career-framework-and-national-professional-qualification-inspection-framework-and-handbook>

4.5 The Contractor will be subject to the actions set out in Table 1 below as a direct response to an Ofsted Judgement of the Contractor made after the award of this Contract:

Table 1 – Action and impact of Ofsted judgements

Ofsted judgement of the Contractor	Action
Outstanding	<u>Immediate action</u> No formal action required – any recommendations identified can be incorporated within the Contractor's existing Continuous Improvement Plan(s). <u>Service Credits</u> None <u>Other implications</u> None <u>Re-Inspection timescales</u> The Contractor will be inspected again within 2 years.
Good	<u>Immediate action</u> Where there are recommendations identified the Department reserves the right to request the Contractor to develop an Improvement Plan and resolve any

	<p>identified issues within a timely manner.</p> <p><u>Service Credits</u></p> <p>None</p> <p><u>Other implications</u></p> <p>None</p> <p><u>Re-Inspection timescales</u></p> <p>The Contractor will be inspected again within 2 years</p>
Requires Improvement	<p><u>Immediate action</u></p> <p>The Contractor will be required to</p> <ol style="list-style-type: none"> I. to develop and implement an Improvement Plan to address the recommendations contained in the Inspection Report; II. identify and act on lessons learnt for future inspections; III. manage stakeholders; and IV. set out and implement proposals to manage and repair any reputational damage to the Institute. <p><u>Service Credits</u></p> <p>The Department reserves the right to issue a suspended Service Credit.</p> <p><u>Other implications</u></p> <p>If the Contractor does not receive a judgement of 'Outstanding' or 'Good' after its next subsequent inspection, then it will be considered a Service Failure and the Department reserves the right to take action in line with paragraph 2.3 to 2.5 of Schedule 2: Part 2 – Performance (Consequence of Service Failure)</p> <p><u>re-Inspection timescales</u></p> <p>The Contractor will be inspected again within 1 year.</p>
Inadequate	<p><u>Immediate action</u></p> <p>The Contractor will be required to:</p> <ol style="list-style-type: none"> I. develop and implement a Remedial Action Plan to address the most urgent issues/concerns identified in the Inspection Report. The Remedial Action Plan shall be implemented prior to the wider publication of the Inspection Report; and II. develop and implement an Improvement Plan to address recommendations contained in the Inspection report; III. identify and act on lessons learnt for future inspections; IV. manage stakeholders, and V. set out proposals to manage and repair any reputational damage to the Institute. <p><u>Service Credits</u></p> <p>The Department reserves the right to issue a suspended Service Credit as per paragraph 4.4.</p> <p><u>Other implications</u></p> <p>A judgement of 'Inadequate' will be considered a Service Failure and the Department reserves the right to take action in line with paragraph 2.3 to 2.5 of Schedule 2: Part 2 – Performance (Consequence of Service Failure)</p> <p>If the Contractor does not receive a judgement of 'Outstanding' or 'Good' at the subsequent inspection, it will be considered a Service Failure and the Department reserves the right to take action in line with paragraph 2.3 to 2.5 of Schedule 2: Part 2 – Performance (Consequence of Service Failure) and issue a Service Credit.</p> <p><u>re-Inspection timescales</u></p> <p>The Contractor will be inspected again within 1 year.</p>

4.6 Notwithstanding the actions set out in Table 1 above, if, after having considered the content of the Inspection Report, the Department believes the Inspection identified issues that have, or are considered likely to have, a negative impact on Services, Participant satisfaction or the reputation of the Institute, the Department reserves the right to consider there has been a

Service Failure and take action in line with paragraph 2.3 to 2.5 of Schedule 2: Part 2 – Performance (Consequence of Service Failure).

- 4.7 Where an Improvement Plan is required, it should include clear actions and mitigations to address the recommendations including, timelines, milestones and any interim performance measures to enable management of progress against the Improvement Plan. All Improvement Plans will need to be agreed with the Department in line with the following schedule:
- 4.7.1 First version submitted to the Department for review and comment no less than 1 week prior to the publication of the Inspection Report; and
 - 4.7.2 the version of the Improvement Plan to be implemented is to be agreed with the Department no later than 2 weeks after the publishing of the Inspection Report it is responding to.
- 4.8 In the event the Contractor is delivering the Contract and one or more other call off contracts concurrently, the Department may require the Contractor to consolidate its Improvement Plan / Remedial Action Plan under the Contract and one or more of the call off contracts into one Improvement Plan / Remedial Action Plan and the Department reserves the right to review the consolidated plan(s) under the governance set out in Schedule 16 of the Framework Agreement.
- 4.9 If the Contractor is issued a suspended Service Credit and the Contractor delivers the improvements set out in its Improvement Plan within the specified timescales, then the Service Credit will be rescinded. If, in the Department's opinion and at its sole discretion, the Contractor has not delivered the improvements set out in its Improvement Plan within the specified timescales the Service Credit will be applied to the Charges.

5 QUALITY ASSURANCE REPORTING

- 5.1 The Department reserves the right to use (which may include publishing under Government transparency policy) reporting data on the Contractor's performance against the QA Function requirements as a means of demonstrating the quality and performance of the framework. The reporting metrics are likely to be, but are not limited to:
- 5.1.1 Service Improvements – % of recommendations adopted within timescales.
 - 5.1.2 quality and performance – number of recommendations and Quality Failure.

6 COMPLAINTS

- 6.1 The Contractor shall implement, maintain and operate effective and clear procedures for receiving, investigating and responding to complaints.
- 6.2 The Contractor shall provide the Department with information about the number and nature of complaints it receives and the outcome of each complaint it processes and in accordance with 6.3.2 & 6.3.3 below. This information shall be provided with the Management Information report.
- 6.3 In addition, the Contractor shall ensure;
- 6.3.1 complaints are investigated by individuals not involved in the subject matter of the complaint;
 - 6.3.2 report all complaints about the Services to Department within three (3) Working Days from the date of the complaint;
 - 6.3.3 provide a meaningful response to all complainants by telephone or in person, as well as in writing, copying in the Department, within five (5) Working Days from the date of the complaint.

7 QUALITY ASSURANCE OF THE CONTRACTOR'S CURRICULUM AND TRAINING CONTENT DESIGN

- 7.1 The Contractor is responsible for ensuring the design and development of ECF and NPQ curriculum and training content is in accordance with the requirements set out in the Specification.

- 7.2 The Contractor must submit ITT, ECF, NPQ and NLE related content for review by the QA Function as set out in in this Schedule.
- 7.3 Should there be changes to the programme content made by the Department or requested to be made by the Contractor, a further review of the content for the relevant programme must be undertaken in a timely manner prior to the start of a Cohort Commencement Date. The Department reserves the right to instruct the Contractor to delay the start of Cohort if they are not satisfied that the programme content has been agreed by the Department.

ECF

- 7.4 The Contractor's ECF curriculum content will be subject to the same review and QA processes as any ECF Lead Provider. The Contractor must submit specified content for quality review and sign off by the QA Function.
- 7.5 The QA Function will undertake quality review checkpoints of ECF curriculum content developed during the Establishment & Mobilisation of the Institute. There will be two phases to the content quality review, as set out below.

Phase 1

- 7.6 The Contractor will submit drafts of the Year 1 ECF curriculum content for review and feedback by the QA Function as set out in Schedule 16.
- 7.7 The QA Function will review the Year 1 ECF curriculum content against quality thresholds and will assess whether it sufficiently aligns with the ECF and the chosen Core Induction Programme (CIP).
- 7.8 The outcome of the Year 1 review by the QA Function will be communicated to the Contractor by August 2023. Where the curriculum content has met expectations, the Contractor will be able to develop further content and will be permitted to commence delivery of the content to Participants in the first cohort (2023/24). Where curriculum content falls below expectations, the Contractor will be required to respond promptly to feedback, provide adequate reassurance, to the reasonable satisfaction of the Department and re-submit their amended Year 1 content to the Department before delivery of the first cohort (2023/24) can commence.
- 7.9 The Department will have final sign off on materials being delivered as part of this Contract.

Phase 2

- 7.10 The Contractor will submit drafts of the Year 2 ECF curriculum content for review and feedback by the QA Function as set out in Schedule 16.
- 7.11 The QA Function will review the Year 2 ECF curriculum content against quality thresholds and will assess whether it sufficiently aligns with the ECF and the chosen Core Induction Programme (CIP).
- 7.12 The outcome of the Year 2 review by the QA Function will be communicated to the Contractor by March 2024 (exact date to be clarified at Framework Agreement award). Where the curriculum content has met expectations, the Contractor will be able to conclude content development and will be permitted to deliver content under Call Off Contracts, without further planned content quality reviews by the Department. Where curriculum content falls below expectations, the Contractor will be required to respond to feedback promptly, provide adequate reassurance, to the reasonable satisfaction of the Department and re-submit their amended Year 2 content to the Department before a new Cohort can commence.
- 7.13 The Department will have final sign off on materials being delivered as part of this Contract.

NPQS

- 7.14 The Contractor's NPQ curriculum and training content will be subject to the same review and QA processes as any NPQ Lead Provider. The Contractor must submit specified content for quality review and sign off by the QA Function.
- 7.15 It is expected that the QA Function will undertake quality review checkpoints of NPQ course materials developed during the Establishment and Mobilisation of the Institute. There will be two phases to the content quality review, as set out below.

Phase 1

- 7.16 The Contractor must submit sample curriculum materials from the NPQ for Headship and NPQ for Leading Teacher Development, which are intended for delivery in the first 12 months of a Cohort. The Contractor must also submit one Summative Assessment case study and mark scheme for the NPQ for Leading Teacher Development.
- 7.17 The Department will notify the Contractor to which section(s) of the NPQ Content Framework will be tested as part of the quality assurance review, the Contractor shall submit relevant curriculum content (including Formative Assessment materials) that demonstrates delivery of the section(s). The Department recognises that content related to a section of a NPQ Content Framework may not be taught sequentially, therefore the Contractor will be required to submit supporting explanatory notes to assist the quality review.
- 7.18 The QA Function will review all NPQ sample curriculum content against quality thresholds and will assess whether it sufficiently demonstrates delivery across specified sections of the NPQ Content Framework and compliance with assessment requirements.
- 7.19 Outcomes of the Phase 1 review by the QA Function will be communicated to the Contractor by August 2022. Where the curriculum content has met expectations, the Contractor will be able to develop further content and will be permitted to commence delivery of the content to participants in the first cohort (2022/23). Where curriculum content falls below expectations, the Contractor will be required to respond promptly to feedback, provide adequate reassurance, to the reasonable satisfaction of the Department and re-submit their amended content before delivery of the first cohort (2022/23) can commence. The Department will work with the Contractor to manage the associated impact to enrolled Participants in this scenario.
- 7.20 The Department will have final sign off on materials being delivered as part of this Contract.

Phase 2

- 7.21 The Contractor must submit further sample curriculum content for the NPQ for Headship that demonstrates delivery beyond the 12th month of a Cohort, as well as sample curriculum content for the NPQ Leading Teaching and Summative Assessment case studies and mark schemes for both of these NPQs. The Contractor should consider this alongside content submission requirement in paragraph 7.20 above.
- 7.22 The QA Function will review the sample curriculum content and assessment materials against quality thresholds and will assess whether it sufficiently demonstrates delivery across specified sections of the NPQ Content Framework and compliance with assessment requirements.
- 7.23 The Department will notify the Contractor by November 2022 (exact date to be clarified at Framework Agreement award) to which section(s) of the NPQ Content Framework are being tested, the Contractor shall submit relevant curriculum content (including Formative Assessment materials) that demonstrates delivery of the section(s). The Department recognises that content related to a section of a NPQ Content Framework may not be taught sequentially, therefore the Contractor shall submit supporting explanatory notes to assist the quality review.
- 7.24 Outcomes of the Phase 2 review by the QA Function will be communicated to the Contractor by March 2023 (exact date to be clarified at contract award). Where the curriculum content has met expectations, the Contractor will be able to conclude content development and will be permitted to deliver content under call off contracts, without further planned content quality reviews by the Department. Where curriculum content falls below expectations, the Contractor will be required to respond to feedback promptly, provide adequate reassurance and re-submit their amended content before a new Cohort can commence.. The Department will work with the Contractor to manage the associated impact to enrolled Participants in this scenario.
- 7.25 The Department will have final sign off on materials being delivered as part of this Contract.

8 QUALITY ASSURANCE OF DELIVERY

- 8.1 The Contractor is responsible for ensuring the exemplary delivery of ITT, the ECF, NPQs and the NLE development programme.
- 8.2 The Contractor's delivery of ITT, ECF, NPQs and NLE programmes will be subject to quality assurance by the QA Function.

- 8.3 For ITT, Ofsted currently acts as the external quality assurance agent for ITT provision in England and it inspects all accredited ITT providers. The Contractor would be subject to this oversight if it became an accredited ITT provider.
 - 8.4 For ECF and NPQs, the Department is currently developing its QA Function and has confirmed Ofsted will act as a QA Agent to inspect service delivery under the Framework Agreement. It is anticipated that the QA Agent will conduct field visits to the Contractor and a sample of its Sub-Contractors (where relevant) during the Contract Period. The QA Function will begin inspection of the Contractor during the academic year 2022/23 and its quality assessments will support and inform the Department's management of the Contractor (including identifying Service Improvements and Quality and Performance Improvements).
 - 8.5 For the NLE development programme, the Department is currently developing its QA Function. It is anticipated that arrangements will include field visits to the Contractor and a sample of its Sub-Contractors (where relevant); reviews of the Contractor's documentation relating to service delivery (such as project management, governance or risk management documents) and reviews of evidence provided by the Contractor to demonstrate performance against the contract KPIs.
 - 8.6 In respect of Summative Assessments related to the provision of NPQs and NLEs, the Contractor shall develop mechanisms for accurately moderating Summative Assessment answers to ensure faithful and consistent application of the mark scheme across Sub-Contractors. Additionally, the Contractor will work with the QA Function to ensure a sample of up to 10% of Summative Assessment submissions are externally moderated.
- 9 DEVELOPING AND SHARING EVIDENCE AND BEST PRACTICE IN TEACHER DEVELOPMENT**
- 9.1 The Contractor must establish effective quality assurance arrangements to ensure it delivers robust and high-quality research. The Contractor must work alongside an expert external research body and/or researchers (a **"QA Body"**) to provide appropriate quality assurance and ensure that the design and delivery of research is independently quality assured before research is published.
 - 9.2 The Contractor shall confirm the arrangements relating to appointing and working with a QA Body (including who it intends to appoint and the terms of engagement that will apply) that has specialist knowledge of teacher development and expertise in research to provide robust, independent feedback.
 - 9.3 The primary focus of the quality assurance must be to assess the quality, frequency and breadth of the evidence synthesis, primary qualitative research and primary quantitative research that the Contractor produces, in addition to ensuring research findings are accurately communicated. The Contractor will establish quality assurance mechanisms and criteria to ensure that it delivers robust programmes of research.
 - 9.4 The Department will review and quality assure samples of published research, QA reports produced by the QA Body and the Contractor's own QA systems. The Department's QA Function for this area expected to begin operating during the academic year 2022/23.

The individuals listed in the table below are Key Personnel:

Key Sub-Contractors

[illegible]

SCHEDULE 10: COMMERCIALLY SENSITIVE INFORMATION

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

Commercially Sensitive Information	Period
██████████	Until expiry of Framework Agreement and/or Call-off Contracts
██████████	
██████████	

- 2 The Department will consult with the Contractor on any request for information, identified as Commercially Sensitive, under the FOIA.
- 3 The Department reserves the right to disclose any Commercially Sensitive Information held within this Contract in response to a request under the FOIA as set out at clause 13 of this Contract.
- 4 The Department will automatically publish all information provided by the Contractor not identified in this Schedule as constituting Commercially Sensitive Information provided that it satisfies the requirements of the FOIA.
- 5 The Department reserves the right to determine whether any information provided in this Schedule does constitute Commercially Sensitive Information prior to publication.

SCHEDULE 11 - SERVICE CONTINUITY PLAN

1 DEFINITIONS

1.1 In this Schedule, the following definitions shall apply:

“Business Continuity Plan”	has the meaning given in paragraph 2.2.1(ii);
“Business Continuity Services”	has the meaning given in paragraph 4.2.2;
“Department”	a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: Government Department; or Non-Ministerial Department.
“Disaster”	the occurrence of one or more events which, either separately or cumulatively, mean that the Services, or a material part of the Services will be unavailable for a period of 1 week or which is reasonably anticipated will mean that the Services or a material part of the Services will be unavailable for that period;
“Disaster Recovery Plan”	has the meaning given in paragraph 2.2.1(iii);
“Disaster Recovery Services”	the services embodied in the processes and procedures for restoring the Services following the occurrence of a Disaster;
“Disaster Recovery System”	the system identified by the Contractor in the Contractor Solution which shall be used for the purpose of delivering the Disaster Recovery Services;
“Insolvency Continuity Plan”	has the meaning given in paragraph 2.2.1(iv).
“Related Service Provider”	any person who provides the Services to the Department in relation to this Contract from time to time, which persons include as at the Contract Date;
“Review Report”	has the meaning given in paragraphs 7.2.1 to 7.2.3;
“Service Continuity Plan”	means the plan prepared pursuant to paragraph 2 of this Schedule which incorporates the Business Continuity Plan, Disaster Recovery Plan and the Insolvency Continuity Plan;

2 SERVICE CONTINUITY PLAN

- 2.1 Within 40 Working Days from the Contract Date the Contractor shall prepare and deliver to the Department for the Department’s written approval a Service Continuity Plan, which shall detail the processes and arrangements that the Contractor shall follow to:
- 2.1.1 ensure continuity of the business processes and operations supported by the Services following any failure or disruption of any element of the Services (including where caused by an Insolvency Event of the Contractor, any Key Sub-Contractor and/or any Contractor Group member); and
 - 2.1.2 the recovery of the Services in the event of a Disaster.

2.2 The Service Continuity Plan shall:

2.2.1 be divided into four parts:

- (i) Part A which shall set out general principles applicable to the Service Continuity Plan;
- (ii) Part B which shall relate to business continuity (the “**Business Continuity Plan**”);
- (iii) Part C which shall relate to disaster recovery (the “**Disaster Recovery Plan**”);
- (iv) Part D which shall relate to an Insolvency Event of the Contractor, any Key Sub-Contractors and/or any Contractor Group member (the “**Insolvency Continuity Plan**”); and

unless otherwise required by the Department in writing, be based upon and be consistent with the provisions of paragraphs 3, 4, 5 and 6.

2.3 Following receipt of the draft Service Continuity Plan from the Contractor, the Department shall:

2.3.1 review and comment on the draft Service Continuity Plan as soon as reasonably practicable; and

2.3.2 notify the Contractor in writing that it approves or rejects the draft Service Continuity Plan no later than 20 Working Days after the date on which the draft Service Continuity Plan is first delivered to the Department.

2.4 If the Department rejects the draft Service Continuity Plan:

2.4.1 the Department shall inform the Contractor in writing of its reasons for its rejection; and

2.4.2 the Contractor shall then revise the draft Service Continuity Plan (taking reasonable account of the Department's comments) and shall re-submit a revised draft Service Continuity Plan to the Department for the Department's approval within 20 Working Days of the date of the Department's notice of rejection. The provisions of paragraph 2.3.1 and this paragraph 2.3.2 shall apply again to any resubmitted draft Service Continuity Plan, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.

3 SERVICE CONTINUITY PLAN: PART A – GENERAL PRINCIPLES AND REQUIREMENTS

3.1 Part A of the Service Continuity Plan shall:

3.1.1 set out how the business continuity, disaster recovery and insolvency continuity elements of the plan link to each other;

3.1.2 provide details of how the invocation of any element of the Service Continuity Plan may impact upon the operation of the Services and any services provided to the Department by a Related Service Provider;

3.1.3 contain an obligation upon the Contractor to liaise with the Department and (at the Department's request) any Related Service Provider with respect to issues concerning business continuity, disaster recovery and insolvency continuity where applicable;

3.1.4 detail how the Service Continuity Plan links and interoperates with any overarching and/or connected disaster recovery, business continuity and/or insolvency continuity plan of the Department and any of its other Related Service Providers in each case as notified to the Contractor by the Department from time to time;

3.1.5 contain a communication strategy including details of an incident and problem management service and advice and help desk facility which can be accessed via multi-channels (including but without limitation a web-site (with FAQs), e-mail, phone and fax) for both portable and desk top configurations, where required by the Department;

3.1.6 contain a risk analysis, including:

- a) failure or disruption scenarios and assessments and estimates of frequency of occurrence;
- b) identification of any single points of failure within the Services and processes for managing the risks arising therefrom;
- c) identification of risks arising from the interaction of the Services with the Services provided by a Related Service Provider;
- d) identification of risks arising from an Insolvency Event of the Contractor, any Key Sub-Contractors and/or Contractor Group member; and
- e) a business impact analysis (detailing the impact on business processes and operations) of different anticipated failures or disruptions;

- 3.1.7 provide for documentation of processes, including business processes, and procedures;
- 3.1.8 set out key contact details (including roles and responsibilities) for the Contractor (and any Sub-Contractors) and for the Department;
- 3.1.9 identify the procedures for reverting to “normal service”;
- 3.1.10 set out method(s) of recovering or updating data collected (or which ought to have been collected) during a failure or disruption to ensure that there is no more than the accepted amount of data loss and to preserve data integrity;
- 3.1.11 identify the responsibilities (if any) that the Department has agreed it will assume in the event of the invocation of the Service Continuity Plan; and
- 3.1.12 provide for the provision of technical advice and assistance to key contacts at the Department as notified by the Department from time to time to inform decisions in support of the Department’s business continuity plans.

3.2 The Service Continuity Plan shall be designed so as to ensure that:

- 3.2.1 the Services are provided in accordance with this Agreement at all times during and after the invocation of the Service Continuity Plan;
- 3.2.2 the adverse impact of any Disaster; service failure; an Insolvency Event of the Contractor, any Key Sub-Contractor and/or any Contractor Group member; or disruption on the operations of the Department, is minimal as far as reasonably possible;
- 3.2.3 it complies with the relevant provisions of ISO/IEC 22301 and all other industry standards from time to time in force; and
- 3.2.4 there is a process for the management of disaster recovery testing detailed in the Service Continuity Plan.

3.3 The Service Continuity Plan shall be upgradeable and sufficiently flexible to support any changes to the Services, to the business processes facilitated by and the business operations supported by the Services, and/or changes to the Contractor Group structure.

3.4 The Contractor shall not be entitled to any relief from its obligations under the Performance Indicators or to any increase in the Charges to the extent that a Disaster occurs as a consequence of any breach by the Contractor of this Contract.

4 SERVICE CONTINUITY PLAN: PART B – BUSINESS CONTINUITY PRINCIPLES AND CONTENTS

4.1 The Business Continuity Plan shall set out the arrangements that are to be invoked to ensure that the business processes and operations facilitated by the Services remain supported and to ensure continuity of the business operations supported by the Services including, unless the Department expressly states otherwise in writing:

- 4.1.1 the alternative processes (including business processes), options and responsibilities that may be adopted in the event of a failure in or disruption to the

Services; and

- 4.1.2 the steps to be taken by the Contractor upon resumption of the Services in order to address any prevailing effect of the failure or disruption including a root cause analysis of the failure or disruption.

4.2 The Business Continuity Plan shall:

- 4.2.1 address the various possible levels of failures of or disruptions to the Services;
- 4.2.2 set out the Services to be provided and the steps to be taken to remedy the different levels of failures of and disruption to the Services (such services and steps, the “**Business Continuity Services**”);
- 4.2.3 specify any applicable Performance Indicators with respect to the provision of the Business Continuity Services and details of any agreed relaxation to the Performance Indicators in respect of other Services during any period of invocation of the Business Continuity Plan; and
- 4.2.4 clearly set out the conditions and/or circumstances under which the Business Continuity Plan is invoked.

5 **SERVICE CONTINUITY PLAN: PART C – DISASTER RECOVERY PRINCIPLES AND CONTENTS**

- 5.1 The Disaster Recovery Plan shall be designed so as to ensure that upon the occurrence of a Disaster the Contractor ensures continuity of the business operations of the Department supported by the Services following any Disaster or during any period of service failure or disruption with, as far as reasonably possible, minimal adverse impact.
- 5.2 The Disaster Recovery Plan shall be invoked only upon the occurrence of a Disaster.
- 5.3 The Disaster Recovery Plan shall include the following:
 - 5.3.1 the technical design and build specification of the Disaster Recovery System; details of the procedures and processes to be put in place by the Contractor in relation to the Disaster Recovery System and the provision of the Disaster Recovery Services and any testing of the same including but not limited to the following:
 - 5.3.2 data centre and disaster recovery site audits;
 - 5.3.3 backup methodology and details of the Contractor's approach to data back-up and data verification;
 - 5.3.4 identification of all potential disaster scenarios;
 - 5.3.5 risk analysis;
 - 5.3.6 documentation of processes and procedures;
 - 5.3.7 hardware configuration details;
 - 5.3.8 network planning including details of all relevant data networks and communication links;
 - 5.3.9 invocation rules;
 - 5.3.10 Service recovery procedures; and
 - 5.3.11 steps to be taken upon resumption of the Services to address any prevailing effect of the failure or disruption of the Services;
 - 5.3.12 any applicable Performance Indicators with respect to the provision of the Disaster Recovery Services and details of any agreed relaxation to the Performance Indicators in respect of other Services during any period of invocation of the Disaster Recovery Plan;
 - 5.3.13 details of how the Contractor shall ensure compliance with security standards ensuring

that compliance is maintained for any period during which the Disaster Recovery Plan is invoked;

5.3.14 access controls to any disaster recovery sites used by the Contractor in relation to its obligations pursuant to this Schedule; and

5.3.15 testing and management arrangements.

6 SERVICE CONTINUITY PLAN: PART D – INSOLVENCY CONTINUITY PLAN PRINCIPLES AND CONTENTS

6.1 The Insolvency Continuity Plan shall be designed by the Contractor to permit continuity of the business operations of the Department supported by the Services through continued provision of the Services following an Insolvency Event of the Contractor, any Key Sub-Contractor and/or any Contractor Group member with, as far as reasonably possible, minimal adverse impact.

6.2 The Insolvency Continuity Plan shall include the following:

6.2.1 communication strategies which are designed to minimise the potential disruption to the provision of the Services, including key contact details in respect of the supply chain and key contact details for operational and contract Contractor Personnel, Key Sub-Contractor personnel and Contractor Group member personnel;

6.2.2 identification, explanation, assessment and an impact analysis of risks in respect of dependencies between the Contractor, Key Sub-Contractors and Contractor Group members where failure of those dependencies could reasonably have an adverse impact on the Services;

6.2.3 plans to manage and mitigate identified risks;

6.2.4 details of the roles and responsibilities of the Contractor, Key Sub-Contractors and/or Contractor Group members to minimise and mitigate the effects of an Insolvency Event of such persons on the Services;

6.2.5 details of the recovery team to be put in place by the Contractor (which may include representatives of the Contractor, Key Sub-Contractors and Contractor Group members); and

6.2.6 sufficient detail to enable an appointed insolvency practitioner to invoke the plan in the event of an Insolvency Event of the Contractor.

7 REVIEW AND AMENDMENT OF THE SERVICE CONTINUITY PLAN

7.1 The Contractor shall review and update the Service Continuity Plan (and the risk analysis on which it is based):

7.1.1 on a regular basis and as a minimum once every 6 months;

7.1.2 within three calendar months of the Service Continuity Plan (or any part) having been invoked pursuant to paragraph 9;

7.1.3 within 14 days of a Financial Distress Event;

7.1.4 within 30 days of a Corporate Change Event; and

7.1.5 where the Department requests any additional reviews (over and above those provided for in paragraphs 7.1.1 to 7.1.4 by notifying the Contractor to such effect in writing, whereupon the Contractor shall conduct such reviews in accordance with the Department's written requirements. Prior to starting its review, the Contractor shall provide an accurate written estimate of the total costs payable by the Department for the Department's approval. The costs of both Parties of any such additional reviews shall be met by the Department except that the Contractor shall not be entitled to charge the Department for any costs that it may incur above any estimate without the Department's prior written approval.

7.2 Each review of the Service Continuity Plan pursuant to paragraph 7.1 shall be a review of the procedures and methodologies set out in the Service Continuity Plan and shall assess their suitability having regard to any change to the Services or any underlying business processes

and operations facilitated by or supported by the Services which have taken place since the later of the original approval of the Service Continuity Plan or the last review of the Service Continuity Plan and shall also have regard to any occurrence of any event since that date (or the likelihood of any such event taking place in the foreseeable future) which may increase the likelihood of the need to invoke the Service Continuity Plan. The review shall be completed by the Contractor within the period required by the Service Continuity Plan or, if no such period is required, within such period as the Department shall reasonably require. The Contractor shall, within 20 Working Days of the conclusion of each such review of the Service Continuity Plan, provide to the Department a report (a “**Review Report**”) setting out:

- 7.2.1 the findings of the review;
 - 7.2.2 any changes in the risk profile associated with the Services; and
 - 7.2.3 the Contractor's proposals (the “**Contractor's Proposals**”) for addressing any changes in the risk profile and its proposals for amendments to the Service Continuity Plan following the review detailing the impact (if any and to the extent that the Contractor can reasonably be expected to be aware of the same) that the implementation of such proposals may have on any services or systems provided by a third party.
- 7.3 Following receipt of the Review Report and the Contractor's Proposals, the Department shall:
- 7.3.1 review and comment on the Review Report and the Contractor's Proposals as soon as reasonably practicable; and
 - 7.3.2 notify the Contractor in writing that it approves or rejects the Review Report and the Contractor's Proposals no later than 20 Working Days after the date on which they are first delivered to the Department.
- 7.4 If the Department rejects the Review Report and/or the Contractor's Proposals:
- 7.4.1 the Department shall inform the Contractor in writing of its reasons for its rejection; and
 - 7.4.2 the Contractor shall then revise the Review Report and/or the Contractor's Proposals as the case may be (taking reasonable account of the Department's comments and carrying out any necessary actions in connection with the revision) and shall re-submit a revised Review Report and/or revised Contractor's Proposals to the Department for the Department's approval within 20 Working Days of the date of the Department's notice of rejection. The provisions of paragraph 7.4.1 and this paragraph 7.4.2 shall apply again to any resubmitted Review Report and Contractor's Proposals, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.
- 7.5 The Contractor shall as soon as is reasonably practicable after receiving the Department's approval of the Contractor's Proposals (having regard to the significance of any risks highlighted in the Review Report) effect any change in its practices or procedures necessary so as to give effect to the Contractor's Proposals. Any such change shall be at the Contractor's expense unless it can be reasonably shown that the changes are required because of a material change to the risk profile of the Services.
- 7.6 In the event the Contractor is delivering the Contract and other call off contracts concurrently, the Department may require the Contractor to consolidate (where appropriate) the contents of the Service Continuity Plan for the Contract and the other call off contracts. The Department may undertake reviews of any consolidated Service Continuity Plan using the governance set out in Schedule 16 of the Framework Agreement.
- 8 TESTING OF THE SERVICE CONTINUITY PLAN**
- 8.1 The Contractor shall test the Service Continuity Plan on a regular basis (and in any event not less than once in every Contract Year). Subject to paragraph 8.2, the Department may require the Contractor to conduct additional tests of some or all aspects of the Service Continuity Plan at any time where the Department considers it necessary, including where there has been any change to the Services or any underlying business processes, or on the occurrence of any event which may increase the likelihood of the need to implement the Service Continuity Plan.

- 8.2 If the Department requires an additional test of the Service Continuity Plan, it shall give the Contractor written notice and the Contractor shall conduct the test in accordance with the Department's requirements and the relevant provisions of the Service Continuity Plan. The Contractor's costs of the additional test shall be borne by the Department unless the Service Continuity Plan fails the additional test in which case the Contractor's costs of that failed test shall be borne by the Contractor.
- 8.3 The Contractor shall undertake and manage testing of the Service Continuity Plan in full consultation with the Department and shall liaise with the Department in respect of the planning, performance, and review, of each test, and shall comply with the reasonable requirements of the Department in this regard. Each test shall be carried out under the supervision of the Department or its nominee.
- 8.4 The Contractor shall ensure that any use by it or any Sub-Contractor of "live" data in such testing is first approved with the Department. Copies of live test data used in any such testing shall be (if so required by the Department) destroyed or returned to the Department on completion of the test.
- 8.5 The Contractor shall, within 20 Working Days of the conclusion of each test, provide to the Department a report setting out:
 - 8.1.1 the outcome of the test;
 - 8.1.2 any failures in the Service Continuity Plan (including the Service Continuity Plan's procedures) revealed by the test; and
 - 8.1.3 the Contractor's proposals for remedying any such failures.
- 8.6 Following each test, the Contractor shall take all measures requested by the Department, (including requests for the re-testing of the Service Continuity Plan) to remedy any failures in the Service Continuity Plan and such remedial activity and re-testing shall be completed by the Contractor, at no additional cost to the Department, by the date reasonably required by the Department and set out in such notice.
- 8.7 For the avoidance of doubt, the carrying out of a test of the Service Continuity Plan (including a test of the Service Continuity Plan's procedures) shall not relieve the Contractor of any of its obligations under this Agreement.
- 8.8 The Contractor shall also perform a test of the Service Continuity Plan in the event of any major reconfiguration of the Services or as otherwise reasonably requested by the Department.

9 INVOCATION OF THE SERVICE CONTINUITY PLAN

- 9.1 In the event of a loss of any critical part of the Service or a Disaster, the Contractor shall immediately invoke the business continuity and disaster recovery provisions in the Service Continuity Plan, including any linked elements in other parts of the Service Continuity Plan, and shall inform the Department promptly of such invocation. In all other instances the Contractor shall invoke the business continuity and disaster recovery plan elements only with the prior consent of the Department.
- 9.2 The Insolvency Continuity Plan element of the Service Continuity Plans, including any linked elements in other parts of the Service Continuity Plan, shall be invoked by the Contractor:
 - 9.1.1 where an Insolvency Event of a Key Sub-Contractor and/or Contractor Group member (other than the Contractor) could reasonably be expected to adversely affect delivery of the Services; and/or
 - 9.1.2 where there is an Insolvency Event in relation to the Contractor and the insolvency arrangements enable the Contractor to invoke the Insolvency Continuity Plan.

SCHEDULE 12 – BREAKAGE COSTS

1 DEFINITIONS

1.1 In this Schedule, the following definitions shall apply:

“Applicable Contractor Personnel”	<p>any Contractor Personnel who:</p> <ul style="list-style-type: none"> (i) at the Termination Date: <ul style="list-style-type: none"> a) are employees of the Contractor; b) are Dedicated Contractor Personnel; c) have not transferred (and are not in scope to transfer at a later date) to the Department or the Replacement Contractor as a result of the operation of TUPE; and (ii) are dismissed or given notice of dismissal by the Contractor within: <ul style="list-style-type: none"> d) 40 Working Days of the Termination Date; or e) such longer period required by Law, their employment contract (as at the Termination Date) or an applicable collective agreement; and (iii) have not resigned or given notice of resignation prior to the date of their dismissal by the Contractor; and (iv) the Contractor can demonstrate to the satisfaction of the Department: <ul style="list-style-type: none"> a) are surplus to the Contractor's requirements after the Termination Date notwithstanding its obligation to provide services to its other customers; b) are genuinely being dismissed for reasons of redundancy; and c) have been selected for redundancy by the Contractor on objective grounds other than the fact that the Contractor is entitled to reimbursement under this provision in respect of such employees;
“Assets”	means all assets and rights used by the Contractor to provide the Services in accordance with this Contract but excluding any assets belonging to the Department;
“Breakage Costs Payment”	an amount equal to the Redundancy Costs and the Contract Breakage Costs as at the Termination Date as determined in accordance with paragraph 2;
“Contract Breakage Costs”	the amounts payable by the Contractor to its Key Sub-Contractors or other third parties (as applicable) for terminating all relevant Key Sub-Contracts as a direct result of the early termination of this Contract;
“Dedicated Contractor Personnel”	all Contractor Personnel then assigned to the Services or any part of the Services. If the Contractor is unsure as to whether Contractor Personnel are or should be regarded as so assigned, it shall consult with the Department whose view shall be determinative provided that the employee has been materially involved in the provision of the Services or any part of the Services;

“Former Contractor”	a contractor supplying services to the Department before the Relevant Transfer Date that are the same as or substantially similar to the Services (or any part of the Services) and shall include any Sub-Contractor of such Contractor
“Redundancy Costs”	<p>the total sum of any of the following sums paid to Applicable Contractor Personnel, each amount apportioned between the Contractor and the Department based on the time spent by such employee on the Services as a proportion of the total Service duration:</p> <p>(a) any statutory redundancy payment; and</p> <p>(b) in respect of an employee who was a Transferring Former Contractor Employee any contractual redundancy payment (or where such a contractual benefit on redundancy is a benefit payable from a pension scheme, the increase in cost to the Contractor as a net present value compared to the benefit payable on termination of employment without redundancy), provided that such employee was entitled to such contractual redundancy payment immediately prior to his or her transfer to the Contractor as a result of the operation of TUPE;</p>
“Relevant Transfer”	a transfer of employment to which TUPE applies.
“Relevant Transfer Date”	in relation to a Relevant Transfer, the date upon which the Relevant Transfer takes place.
“Request for Estimate”	a written request sent by the Department to the Contractor, requiring that the Contractor provide it with an accurate estimate of the Breakage Costs Payment that would be payable if the Department exercised its right under clause 25.11 (Termination) to terminate this Contract for convenience on a specified Termination Date;
“Termination Estimate”	has the meaning given in paragraph 8.2;
“Transferring Former Contractor Employees”	in relation to a Former Contractor, those employees of the Former Contractor to whom TUPE will apply on the Relevant Transfer Date; and

2 BREAKAGE COSTS PAYMENT

2.1 The Contractor may recover through the Breakage Costs Payment only those costs incurred by the Contractor directly as a result of the termination of this Contract on notice under Clause 10.1 which:

- (a) would not have been incurred had this Contract continued until expiry of the Contract Period;
- (b) are unavoidable, proven, reasonable, and not capable of recovery;
- (c) are incurred under arrangements or agreements that are directly associated with this Contract;
- (d) are not Contract Breakage Costs relating to contracts or Sub-Contracts with Affiliates of the Contractor; and
- (e) relate directly to the termination of the Services.

Limitation on Breakage Costs Payment

- 2.2 The Breakage Costs Payment shall not exceed the lower of:
- (a) the relevant limit set out in Annex 1 (Maximum Breakage Costs); and
 - (b) 120% of the estimate for the Breakage Costs Payment set out in any relevant Termination Estimate.

Redundancy Costs

- 2.3 The Department shall not be liable under this Schedule for any costs associated with Contractor Personnel (whether relating to redundancy, redeployment or otherwise) other than the Redundancy Costs.
- 2.4 Where the Contractor can demonstrate that a member of Contractor Personnel will be made redundant following termination of this Contract, but redeployment of such person is possible and would offer value for money to the Department when compared with redundancy, then the Department shall pay the Contractor the actual direct costs incurred by the Contractor or its Sub-Contractor arising out of the redeployment of such person (including retraining and relocation costs) subject to a maximum amount of £30,000 per relevant member of the Contractor Personnel.

Contract Breakage Costs

- 2.5 The Contractor shall be entitled to Contract Breakage Costs only in respect of Sub-Contracts which:
- (a) are not assigned or novated to a Replacement Contractor at the request of the Department); and
 - (b) the Contractor can demonstrate:
 - (i) are surplus to the Contractor's requirements after the Termination Date, whether in relation to use internally within its business or in providing services to any of its other Departments; and
 - (ii) have been entered into by it in the ordinary course of business.
- 2.6 The Contractor shall seek to negotiate termination of any Sub-Contracts with the relevant Sub-Contractor (as the case may be) using all reasonable endeavours to minimise the cancellation or termination charges.
- 2.7 Except with the prior written agreement of the Department, the Department shall not be liable for any costs (including cancellation or termination charges) that the Contractor is obliged to pay in respect of:
- (a) the termination of any contractual arrangements for occupation of, support of and/or services provided for Contractor premises which may arise as a consequence of the termination of this Contract; and/or
 - (b) Assets not yet installed at the Termination Date.

3 MITIGATION OF CONTRACT BREAKAGE COSTS AND REDUNDANCY COSTS AND UNRECOVERED COSTS

- 3.1 The Contractor agrees to use all reasonable endeavours to minimise and mitigate Contract Breakage Costs and Redundancy Costs by:
- (a) the appropriation of Assets, employees and resources for other purposes;
 - (b) at the Department's request, assigning any Sub-Contracts to the Department or a third party acting on behalf of the Department; and
 - (c) in relation to Sub-Contracts that are not to be assigned to the Department or to another third party, terminating those contracts at the earliest possible date without breach or where contractually permitted.

- 3.2 If Assets, employees and resources can be used by the Contractor for other purposes, then there shall be an equitable reduction in the Contract Breakage Costs, and Redundancy Costs payable by the Department or a third party to the Contractor. In the event of any dispute arising over whether the Contractor can use any Assets, employees and/or resources for other purposes and/or over the amount of the relevant equitable reduction, the dispute shall be determined in accordance with the procedure set out in clause 39 (Dispute Resolution).

4 FULL AND FINAL SETTLEMENT

- 4.1 Any Breakage Costs paid under this Schedule shall be in full and final settlement of any claim, demand and/or proceedings of the Contractor in relation to any termination by the Department pursuant to clause 10.2 (Termination) and the Contractor shall be excluded from all other rights and remedies it would otherwise have been entitled to in respect of any such termination.

5 INVOICING FOR THE BREAKAGE COSTS

- 5.1 All sums due under this Schedule shall be payable by the Department to the Contractor in accordance with the payment terms set out in Schedule 2 (Financials).

6 SET OFF

- 6.1 The Department shall be entitled to set off any outstanding liabilities of the Contractor against any amounts that are payable by it pursuant to this Schedule.

7 NO DOUBLE RECOVERY

- 7.1 If any amount payable under this Schedule (in whole or in part) relates to or arises from any Assets that are to transfer to the Department then, to the extent that the Department makes any payments pursuant to the Exit Plan that the Contractor shall draft in accordance with clause 15.14 of the Contract in respect of such Assets, such payments shall be deducted from the amount payable pursuant to this Schedule.
- 7.2 The value of the Breakage Costs Payment shall be reduced or extinguished to the extent that the Contractor has already received the Charges or the financial benefit of any other rights or remedy given under this Contract so that there is no double counting in calculating the relevant payment.
- 7.3 Any payments that are due in respect of Assets that are to transfer to the Department shall be calculated in accordance with provisions agreed between the Parties and detailed in the Exit Plan.
- 7.4 Where the Department has terminated the Contract under Clause 10.1 and one or more other call off contracts under the equivalent clause to Clause 10.1 in the other call off contracts, the Contractor shall not be entitled to double count and / or double recover any costs including but not limited to those associated with Assets, employees, properties or any other item that is used across the Contract and one or more of the other call off contracts.

8 ESTIMATE OF TERMINATION PAYMENT AND COMPENSATION PAYMENT

- 8.1 The Department may issue a Request for Estimate at any time during the Contract Period provided that no more than 2 Requests for Estimate may be issued in any 6 month period.
- 8.2 The Contractor shall within 20 Working Days of receiving the Request for Estimate (or such other timescale agreed between the Parties), provide an accurate written estimate of the Breakage Costs that would be payable by the Department based on a postulated Termination Date specified in the Request for Estimate (such estimate being the "Termination Estimate"). The Termination Estimate shall:
- (a) be based on the relevant amounts set out in the Financial Model;
 - (b) include:
 - (i) details of the mechanism by which the Termination Payment is calculated;
 - (ii) full particulars of the estimated Contract Breakage Costs in respect of each Sub-Contract and appropriate supporting documentation; and
 - (iii) such information as the Department may reasonably require; and

- (c) state the period for which that Termination Estimate remains valid, which shall be not less than 20 Working Days.

8.3 The Contractor acknowledges that issue of a Request for Estimate shall not be construed in any way as to represent an intention by the Department to terminate this Contract.

ANNEX 1: MAXIMUM BREAKAGE COSTS PAYMENT

The table below sets out, by Contract Year, the maximum amount of Breakage Costs that the Department shall be liable to pay to the Contractor pursuant to this Contract for termination on notice under Clause 10.1:

Termination Date	Maximum Breakage Costs Payment
Anytime in the first Contract Year	██████████
Anytime in the second Contract Year	██████████
Anytime in third Contract Year	██████████

SCHEDULE 13 – STAFF TRANSFER

See Framework Agreement Staff Transfer Schedule.

SCHEDULE 14 - CONTRACTOR'S DIGITAL PLATFORM

1. DEFINITIONS

1.1. In this Schedule, the following words shall have the following meanings and:

“Commercial off the shelf Software” or “COTS Software”	Non-customised software where the IPR may be owned and licensed either by the Contractor or a third party depending on the context, and which is commercially available for purchase and subject to standard licence terms
"Contractor System"	means the information and communications technology systems and software used by the Contractor in supplying the Services, including the Provider's hosted website or webpages (relevant to the services), mobile app, COTS software, the Provider's equipment, configuration and management utilities, calibration and testing tools and related cabling.
“Critical Service Level Failure”	means a failure by the Contractor to meet any Service Level for a continuous period of 7 days or a combined period of more than 14 days in a 28-day period;
"Department Property"	the property, other than real property and IPR, including the Department System, any equipment issued or made available to the Contractor by the Department in connection with this Contract;
"Department Software"	any software which is owned by or licensed to the Department and which is or will be used by the Contractor for the purposes of providing the Services;
"Department System"	the Department's computing environment (consisting of hardware, software and/or telecommunications networks or equipment) used by the Department or the Contractor in connection with this Contract which is owned by or licensed to the Department by a third party and which interfaces with the Contractor System or which is necessary for the Department to receive the Services;
"Defect"	any of the following: <ol style="list-style-type: none"> any error, damage or defect to the Contractor's System that affects the delivery of the Services; or any error or failure of code within the software which causes any part of the Contractor's or Department System to malfunction or to produce unintelligible or incorrect results; or any failure to provide the performance, features and functionality specified by the Contractor (including any adverse effect on response times) regardless of whether or not it prevents the relevant part of the Contractor's System from passing any test required under this Contract; or any failure of any part of the Contractor's System to operate in conjunction with or interface with any other part of the Contractor's or Department System in order to provide the performance, features and functionality required to deliver the Services;

"Emergency Maintenance"	ad hoc and unplanned maintenance provided by the Contractor where either Party reasonably suspects that the ICT Environment or the Services, or any part of the ICT Environment or the Services, has or may have developed a fault;
"ICT Environment"	the Department System and the Contractor System;
"Licensed Software"	all and any Software licensed by or through the Contractor, its Sub-Contractors or any third party to the Department for the purposes of or pursuant to this Contract, including any COTS Software;
"Maintenance Schedule"	has the meaning given to it in paragraph 5 of this Schedule;
"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;
"New Release"	an item produced primarily to extend, alter or improve the Contractor System or any part of it by providing additional functionality or performance enhancement (whether or not defects in the Software are also corrected) while still retaining the original designated purpose of that part of the Contractor's System;
"Open Source Software"	computer software that has its source code made available subject to an open-source licence under which the owner of the copyright and other IPR in such software provides the rights to use, study, change and distribute the software to any and all persons and for any and all purposes free of charge;
"Operating Environment"	means the Department System and any premises (including the Department Premises, the Contractor's premises or third party premises) from, to or at which: <ul style="list-style-type: none"> a) the Services are (or are to be) provided; or b) the Contractor manages, organises or otherwise directs the provision or the use of the Services; or c) where any part of the Contractor System is situated;
"Permitted Maintenance"	has the meaning given to it in paragraph 5.2 of this Schedule;
"Service Levels"	means the service levels set out in Table A of this Schedule 14;
"Service Level Failure"	means a failure by the Contractor to meet the Service Level Performance Measure in respect of a Service Level;
"Service Level Performance Measure"	shall be as set out against the relevant Service Level in Table A of this Schedule 14.

"Software"	Specially Written Software COTS Software and non-COTS Contractor and third party Software;
"Source Code"	computer programs and/or data in eye-readable form and in such form that it can be compiled or interpreted into equivalent binary code together with all related design comments, flow charts, technical information and documentation necessary for the use, reproduction, maintenance, modification and enhancement of such software;
"Specially Written Software"	any software (including database software, linking instructions, test scripts, compilation instructions and test instructions) created by the Contractor (or by a Sub-Contractor or other third party on behalf of the Contractor) specifically for the purposes of this Contract, including any modifications or enhancements to COTS Software. For the avoidance of doubt Specially Written Software does not constitute New IPR;

2. LICENSED SOFTWARE WARRANTY

2.1. The Contractor represents and warrants that:

- 2.1.1. it has and shall continue to have all necessary rights in and to the Licensed Software used by the Contractor (and/or any Sub-Contractor) which are necessary for the performance of the Contractor's obligations under this Contract;
- 2.1.2. all components of the Specially Written Software shall:
 - 2.1.2.1. be free from Defects, material design and programming errors;
 - 2.1.2.2. perform in all material respects in accordance with the Annex A of this Schedule; and
 - 2.1.2.3. not infringe any IPR.

3. PROVISION OF THE DIGITAL PLATFORM

3.1. The Contractor shall:

- 3.1.1. ensure that the release of any new COTS Software, or upgrade to any Software complies with the interface requirements of the Department and (except in relation to new Software or upgrades which are released to address Malicious Software) shall notify the Department three (3) Months before the release of any new COTS Software or Upgrade;
 - 3.1.2. ensure that all Software including upgrades, updates and New Releases used by or on behalf of the Contractor are currently supported versions of that Software and perform in all material respects in accordance with the relevant specification;
 - 3.1.3. ensure that the Contractor System will be free of all encumbrances;
 - 3.1.4. ensure that the Contractor System is fully compatible with any Contractor Software, Contractor System, or otherwise used by the Contractor in connection with this Contract;
 - 3.1.5. minimise any disruption to the Services and the ICT Environment and/or the Department's operations when providing the Services;
 - 3.1.6. Correct any Defects as soon as practicable;
- Non-functional requirements:**
- 3.1.7. ensure that the Digital Platform is fully scalable to meet current and future needs, without having any negative impact upon the performance (and user experience) of the Digital Platform;
 - 3.1.8. have an understanding of non-functional requirements and build them into the Digital Platform i.e. volumetrics, usability, security, accessibility, interoperability, reliability, maintainability, availability, scalability, portability and compatibility;

- 3.1.9. makes use of Software that complies with Good Industry Practice including availability, change, incident, knowledge, problem, release & deployment, request fulfilment, service asset and configuration, service catalogue, service level and service portfolio management. If such Software has been assessed under the ITIL Software Scheme as being compliant to "Bronze Level", then this shall be deemed acceptable.

Accessibility:

- 3.1.10. ensure its Digital Platform meets industry standards for accessibility and is compliant with WCAG V2.1 to 'AA' Standard <https://www.w3.org/TR/WCAG21/> and ISO 9241-171:2008 (Ergonomics of human-system Interface);
- 3.1.11. ensure that the Digital Platform is compatible with the following 'Assistive Technologies': JAWS, Zoomtext, Dragon NaturallySpeaking, and Dolphin Supernova or equivalent.

Hosting:

- 3.1.12. ensure the Digital Platform is hosted within the UK mainland, ensuring all development, management, support, processing and storage of Departmental Data remains within the UK and in compliance with domestic standards. Hosting within the European Union (EU) is also acceptable, provided that the Contractor can demonstrate its adherence to the Information Commissioner's Office's (ICO) regarding data hosted in the EU.

4. AUDIT

- 4.1. The Contractor shall allow any auditor access to the Contractor Premises to:
- 4.1.1. inspect the ICT Environment and the wider service delivery environment (or any part of them);
 - 4.1.2. review any records created during the design and development of the Contractor System and pre-operational environment such as information relating to testing;
 - 4.1.3. review the Contractor's quality management systems relating to the Contractor's System including all relevant quality plans.

5. MAINTENANCE OF THE ICT ENVIRONMENT

- 5.1. The Contractor shall create and maintain a rolling schedule of planned maintenance to the ICT Environment ("**Maintenance Schedule**") and make it available to the Department.
- 5.2. The Contractor shall only undertake such planned maintenance (which shall be known as "**Permitted Maintenance**") in accordance with the Maintenance Schedule.
- 5.3. The Contractor shall give as much notice as is reasonably practicable to the Department prior to carrying out any Emergency Maintenance.
- 5.4. The Contractor shall carry out any necessary maintenance (whether Permitted Maintenance or Emergency Maintenance) where it reasonably suspects that the ICT Environment or any part thereof has or may have developed a fault. Any such maintenance shall be carried out in such a manner and at such times so as to avoid (or where this is not possible so as to minimise) disruption to the ICT Environment and the provision of the Services.

6. MALICIOUS SOFTWARE

- 6.1. The Contractor shall, throughout the Contract Period, use the latest versions of anti-virus definitions and software available from an industry accepted anti-virus software vendor to check for, contain the spread of, and minimise the impact of Malicious Software.
- 6.2. If Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption of Government Data, assist each other to mitigate any losses and to restore the provision of the Services to its desired operating efficiency.
- 6.3. Any cost arising out of the actions of the Parties taken in compliance with the provisions of paragraph 6.2 shall be borne by the Parties as follows:
- 6.3.1. by the Contractor, where the Malicious Software originates from the Contractor Software, the third party Software supplied by the Contractor or the Government Data

(whilst the Government Data was under the control of the Contractor) unless the Contractor can demonstrate that such Malicious Software was present and not quarantined or otherwise identified by the Department when provided to the Contractor; and

- 6.3.2. by the Department, if the Malicious Software originates from the Department Software or the Department Data (whilst the Department Data was under the control of the Department).

7. SERVICE MANAGEMENT SOFTWARE & STANDARDS

- 7.1. The Contractor complies with relevant industry and HM Government standards and best practice guidelines in the management of the Services, including the following and/or their equivalents:
- a) ITIL v3 2011;
 - b) ISO/IEC 20000-1 2011 "ITSM Specification for Service Management";
 - c) ISO/IEC 20000-2 2012 "ITSM Code of Practice for Service Management";
 - d) ISO 10007 "Quality management systems – Guidelines for configuration management"; and
 - e) BS25999-1:2006 "Code of Practice for Business Continuity Management" and, ISO/IEC 27031:2011, ISO 22301 and ISO/IEC 24762:2008 in the provision of "IT Service Continuity Strategy" or "Disaster Recovery" plans.

8. SERVICE LEVELS

- 8.1. If the level of performance of the Contractor's System:

8.1.1. is likely to or fails to meet any Service Level Performance Measure; or

8.1.2. is likely to cause or causes a Critical Service Level Failure to occur,

the Contractor shall immediately notify the Department in writing and the Department, in its absolute discretion and without limiting any other of its rights, may:

8.1.3. require the Contractor to immediately take all remedial action that is reasonable to mitigate the impact on the Department and to rectify or prevent a Service Level Failure from taking place or recurring; or

8.1.4. apply the measures outlined in paragraph 2 of part 2 of Schedule 2 (Consequence of Service Failure).

9. PLANNED MAINTENANCE

- 9.1. The current planned maintenance times are as specified in the Contractor's latest Maintenance Schedule which shall be notified to the Department in accordance with Paragraph 5.1.

10. FAILURE TO MEET THE SERVICE LEVELS

- 10.1. The Contractor shall at all times meet the Service Level Performance Measure for each Service Level.
- 10.2. The Contractor acknowledges that any Service Level Failure shall entitle the Department to the rights set out in paragraph 8 of this Schedule.
- 10.3. The Contractor shall send MI Reports to the Department detailing the level of compliance which was achieved against each Service Level Performance Criteria in accordance with the provisions of part 2 of Schedule 2.

Table A - Service Levels			
Service Level Performance Criteria	Reference	Description	Service Level Performance Measure
Contractor's System	CS1	The Contractor's System shall be resilient and made available 24 hours per day, fifty-two (52) weeks a year, except for agreed downtime and	100%

		maintenance. Plans should be made if the system is to be offline.	
Maintenance and Upgrades	MU1	All essential scheduled maintenance and/or system upgrades to the Contractor's System shall occur outside the hours of 07:30 to 20:00 GMT (or BST as appropriate) Monday to Friday.	100%
	MU2	The Contractor shall provide prior notification of maintenance and/or system upgrades to the Department.	100%
	MU3	Where applicable (e.g. on a website or app), a message shall be placed on the Contractor's System at least 2 weeks in advance of any maintenance or upgrade taking place, followed by subsequent reminders 48 and 24 hours prior to the maintenance or upgrade.	100%
	MU4	When required the Contractor and Department shall ensure any system maintenance/upgrades are tested prior to the upgraded version release going live.	100%
Correction of Defects	D1	Defects to be corrected within 24hrs of identification.	99%

SCHEDULE 15 - CONTINUOUS IMPROVEMENT

1 GENERAL

1.1 The Contractor shall, in accordance with this Schedule have an ongoing obligation throughout the Contract Period to identify new or potential improvements to the Services and how the Institute operates, pursuant to which it shall regularly review with the Department the Services and the manner in which it is providing them and how it is operating with a view to:

- 1.1.1 reducing the Department's costs (including the Charges); and
- 1.1.2 improving the quality and efficiency of how the Institute operates and the Services provides.

2 THE CONTINUOUS IMPROVEMENT PLAN

2.1 The Contractor must include in its Continuous Improvement Plan a programme of continuous improvement to how it operates and the Services it provides. The Contractor will ensure that the continuous improvement programme takes account of:

- (a) the need to maintain and increase the levels of quality outputs;
- (b) proven tools and methodologies that may be of financial or operational benefit to the Department;
- (c) procedures to ensure that the Services are, at all times, provided in accordance with good industry practice and which are at least comparable with the level of change and innovation generally being used by similar services;
- (d) any issues identified and resolved in respect of the Services, including lessons learned;
- (e) the needs of the Participants and Schools;
- (f) feedback from end users/Participants, schools and other stakeholder groups;
- (g) identifying the emergence of new and evolving technologies, which could improve the Services;
- (h) identifying changes in behaviour by the Department that could/would result in a cost saving and a reduction in the Charges;
- (i) identifying and implementing efficiencies in the Contractor's internal processes and administration that may lead to cost savings and reductions in the Charges;
- (j) identifying and implementing efficiencies in the way the Department interacts with the Contractor that may lead to cost savings and reductions in the Charges;
- (k) identifying and implementing efficiencies in the Contractor's supply chain that may lead to cost savings and reductions in the Charges;
- (l) baselining the quality of the Services it provides and its cost structure and demonstrating the efficacy of its Continuous Improvement Plan on each element during the Framework Period;
- (m) ways in which it can provide Social Value; and
- (n) measuring and reducing the sustainability impacts of the Contractor's operations and supply-chains pertaining to the Services and identifying opportunities to assist the Department in meeting its sustainability objectives.

3 SUBMITTING AND UPDATING THE CONTINUOUS IMPROVEMENT PLAN

3.1 The Contractor shall deliver to the Department, within three (3) Months of the Contract Date, its Continuous Improvement Plan which sets out full details of the review conducted pursuant to clause 27.2.5.

3.2 The Department shall notify the Contractor of its approval or rejection of the proposed Continuous Improvement Plan (or any updates to it) within twenty (20) Working Days of receipt.

3.3 Within ten (10) Working Days of receipt of the Department's notice of rejection and of the deficiencies of the proposed Continuous Improvement Plan, the Contractor shall submit to the

Department a revised Continuous Improvement Plan reflecting the changes required.

- 3.4 Following the approval of the submission of the first Continuous Improvement Plan (in accordance with paragraph 3.1 of this schedule) the Contractor shall regularly review, maintain and provide the Department with an updated version of the Continuous Improvement Plan (including to comply with clause 27 of this Contract) on at least a quarterly basis thereafter.
- 3.5 The Contractor shall ensure that the information that it provides to the Department within the Continuous Improvement Plan is sufficient for the Department to decide whether any improvement to the way in the which the Institute operates or improvement to the Services should be implemented including (where applicable) whether any improvement would give rise to any addition to or reduction in the Charges or whether it could be implemented within the current pricing of the Framework Agreement or any subsequent Call Off Contract. The Contractor shall provide any further information that the Department requests in connection with any improvements to the Services identified by the Contractor.
- 3.6 In the event the Department agrees to Contractor implementing any changes as a result of the Continuous Improvement plan, the changes (including any changes to the Framework Prices or Call Off Order pricing) shall be formally agreed by means of a Variation to the Framework Agreement and/or relevant Call Off Order(s) in accordance with Contract Change Procedure of the Framework Agreement and Call Off Contract.
- 3.7 In the event the Contractor is delivering the Contract and one or more other call off contracts concurrently, the Department may require the Contractor to consolidate its continuous improvement programme under the Contract and one or more of the call off contracts into one Continuous Improvement Plan and the Department reserves the right to review the consolidated plan under the governance set out in Schedule 16 of the Framework Agreement.

SCHEDULE 16 – NOT USED

SCHEDULE 17: FINANCIAL REPORTS AND AUDIT RIGHTS

PART A - Financial Transparency Objectives and Open Book Data

1 FINANCIAL TRANSPARENCY OBJECTIVES

- 1.1 The Contractor shall co-operate with the Department in order to achieve the following objectives:

Understanding the Charges

- (a) for the Department to understand any payment sought from it by the Contractor including an analysis of the costs, and time spent by Contractor Personnel in providing the Services;
- (b) for the Department to be able to understand the impact of any proposed Change on the Charges;

Agreeing the impact of Change

- (c) for both Parties to agree the quantitative impact of any Changes that affect ongoing costs and to identify how these could be mitigated and/or reflected in the Contractor's Charges;
- (d) for both Parties to be able to review, address issues with and re-forecast progress in relation to the provision of the Services;

Continuous improvement

- (e) for the Parties to challenge each other with ideas for efficiency and improvements; and
- (f) to enable the Department to demonstrate that it is achieving value for money for the taxpayer relative to current market prices.

2 OPEN BOOK DATA

- 2.1 The Contractor shall keep or cause to be kept full and proper books of account in relation to the provision of the Services and the entries made therein shall be kept up-to-date at all times and shall include all such matters and things which are usually entered in books of account in the United Kingdom kept by persons or companies engaged in concerns of a similar nature in accordance with best accountancy practices.
- 2.2 Such books of account, invoices, charge out rates, time sheets, or other time recording documents kept by the Contractor in connection with the provision of the Services and all vouchers, receipts, invoices, orders, contractual documentation and other documentation relating to the Services to which the Contractor is a Party ("**Open Book Data**") shall be open to inspection by the Department or any persons appointed to act on the Department's behalf at any reasonable time having made prior appointment with the Contractor. The Department shall be entitled to ask for a copy of the Open Book Data or any part thereof which (subject to the prior payment of the Contractor's reasonable copying and administrative charges) the Contractor shall provide within 10 Working Days of the Department's written request.
- 2.3 If the Department reasonably considers the Open Book Data does not accurately represent and detail sums relating to this Contract, and the Services then the Contractor shall provide the Department with documentary evidence relating to such sums and contractual obligations.
- 2.4 During the Contract Period, and for a period of 7 years following the end of the Contract Period, the Contractor shall:
- (a) maintain and retain the Open Book Data; and
 - (b) disclose and allow the Department and/or the auditor (whether internal or external) of the Department access to the Open Book Data.

PART B - Audit Rights

1 AUDIT RIGHTS

- 1.1 The Contractor shall co-operate fully and in a timely manner with any reasonable request from time to time of the Department or any Audit Agents and at the expense of the Contractor to provide documents, or to procure the provision of documents, relating to this Contract, and to provide, or to procure the provision of, any oral or written explanation relating to the same.
- 1.2 The Contractor shall instruct its external auditor to provide reasonable co-operation with the Audit Agents for the purposes of verifying financial information.
- 1.3 The Department shall during each audit comply with those security, sites, systems and facilities operating procedures of the Contractor that the Department deems reasonable and use its reasonable endeavours to ensure that the conduct of each audit does not unreasonably disrupt the Contractor or delay the provision of the Services.