2nd Condition Data Collection Programme
Surveying Organisation Services
*** INVITATION TO TENDER ***
VOLUME 2 – STATEMENT OF REQUIREMENTS

Contents

<u>Appendices</u>

1. INTRODUCTION

1.1. Background

The James Review of Education Capital (2011) recommended independent condition surveys on a rolling 20% sample of the estate, repeating this to develop a full picture of the estate's condition over five (5) years and thereafter. The Property Data Survey ("PDS") was delivered between 2012 and 2014 providing the first response to this recommendation and included approximately 18,500 Schools. The first Condition Data Collection programme ("CDC1") was commissioned in 2016 to collect condition and estates information on the entire School estate (circa 22,000 Schools) over a period of three (3) years. CDC1 started in March 2017 and the Schools programme completed in September 2019. In November 2018, the CDC1 scope was extended to include 261 FE Colleges. These were surveyed between May and December 2019.

1.2. CDC1

1.2.1. CDC1 has provided a comprehensive picture of the condition and nature of all School/FE College buildings. By building on the programmes' predecessor, the PDS, it continued to meet the recommendation in the 2011 Sebastian James review of School capital funding in that the Authority carries out a rolling programme of building condition data collection across all Schools/FE Colleges, to provide a credible picture of needs. A rolling programme also set a foundation to bring the Authority into line with good practice in managing large estates in the private sector.

1.2.2. The CDC1 Programme included all publicly funded Schools in England, circa 22,000 Schools with 63,000 buildings of over 77 million m2 of floor space and 261 FE Colleges with circa 2 million m2 of floor space.

1.3. The CDC2 Programme

1.3.1. Following the success of CDC1, the Authority now wishes to follow even more closely the Sebastian James recommendations in delivering the CDC2 Programme. The CDC2 Programme is a five (5) year programme of data collection which will include all Schools/FE Colleges.

1.3.2. The CDC2 Programme and, therefore, the Consultant and the other Surveying Organisations, will need to collect the following data, matching the CDC1 approach:

1.3.2.1 Asset/Contextual data which describes the estate and the buildings which form it including their size, construction type and context (listings, location in flood plains, shared use etc.);

1.3.2.2 Condition data which describes the condition of buildings and the priority associated with addressing that condition in a directly comparable form to that collected through CDC1; and

1.3.2.3 Management (Compliance) data which captures the existence of key management/compliance documentation and the date of most recent inspections/reviews. Although high level, this data will contribute to building the evidence base for good asset stewardship.

1.3.3. The IT Solution is expected to support the CDC2 Programme in order to help deliver the abovementioned high-level objectives by:

1.3.3.1 Being ready for the TQM to deliver Implementation Services by 19 October and the Consultant to deliver Implementation Services by 16 November 2020 (indicative), as further detailed in Section 3.2 (*Implementation Period*) below;

1.3.3.2 Fully supporting the CDC2 Programme's data collection process, allowing or providing:

1.3.3.2.1 In-the-field collection of data;

1.3.3.2.2 Storage and hosting of collected data;

1.3.3.2.3 Functionality to facilitate collection and maintenance of high quality and robust data; and

1.3.3.2.4 Reporting functionality.

1.3.4. It is expected that the IT Solution will be available for the duration of the Agreement Period including the Implementation Period.

1.3.5. The Authority's allocation of Schools/FE Colleges to the Consultant shall be carried out in accordance with the methodology set out in paragraphs 1.3.6 to 1.3.8 below. Table 1 and Table 2 set out the notional number (based on data as at the Commencement Date) of Schools/FE Colleges to be allocated per region and per Tranche respectively. The data in Table 1 and Table 2 below will vary during the Agreement Period as a result of new Schools/FE Colleges coming into existence, Schools/FE Colleges being decommissioned and School/FE College changes.

1.3.6. The Authority will not allocate Schools/FE Colleges until after the Commencement Date and allocations shall be made in Tranches. The Consultant shall ensure that Services are only delivered at the Sites within a released Tranche (i.e. neither the TQM nor the Consultant shall attempt to carry out Services at Sites in later Tranches before they have been instructed to do so).

1.3.7. The Schools/FE Colleges will be divided evenly between SOs using a filter by region and within this a filter by each gross internal floor area ("GIFA") band and then division of this number by three (3). This will ensure that across the country there is an even split and that within each region each SO has an even split of GIFA band Schools/FE Colleges. Where the number of Schools/FE Colleges does not divide evenly between three (3) SOs, the Authority will allocate as fairly as possible by ensuring overall each SO has a similar number and size of Schools/FE Colleges at which to carry out the Services.

1.3.8. The Authority will carry out a check using a formula to verify that there is an even split of Schools/FE Colleges across the three (3) SOs and that each SO also has an even split of Schools/FE Colleges within each pricing band. A check on the number of Schools/FE Colleges that each SO has within each region is also carried out to ensure there is a fair split across the country.

1.3.9. The Consultant shall deliver its Services across all Schools/FE Colleges.

1.3.10. All terms used in this Statement of Requirements shall have the same meaning as contained in Clause 1 (*Definitions*) of the Agreement unless expressly stated otherwise. This Statement of Requirements shall be construed and interpreted in accordance with the Agreement to which it forms part.

Table 1: Anticipated Regional allocation of Schools/FE Colleges

The information in the this table is indicative, is not fixed, and may vary during the course of the Agreement Period.

Region	Total Schools	Notional number per SO	Total FE Colleges	Notional number per SO
East Midlands	2075	692	16	5
East of England	2568	856	23	8
London	2630	877	36	12
North East	1148	383	21	7
North West	3219	1073	38	13
South East	3383	1128	48	16
South West	2379	793	21	7
West Midlands	2419	807	35	12
Yorkshire and the Humber	2260	754	23	8

Table 2: Anticipated number of Schools/FE Colleges per Tranche

Tranche	Schools/FE Colleges	Notional number per SO
1	1000	334
2	2635	879
3	2635	879
4	2635	879
5	2635	879
6	2635	879
7	2635	879
8	2635	879
9	2636	879
10 (FE Colleges)	261	87

2.   CDC2 PROGRAMME RESPONSIBILITY

There are four (4) organisational roles with defined responsibilities within the CDC2 Programme; each interacting and working with the others to deliver the CDC2 Programme. The successful delivery of the CDC2 Programme will require the development and pro-active maintenance of good working relationships between the four (4) roles, as illustrated in the diagram below.
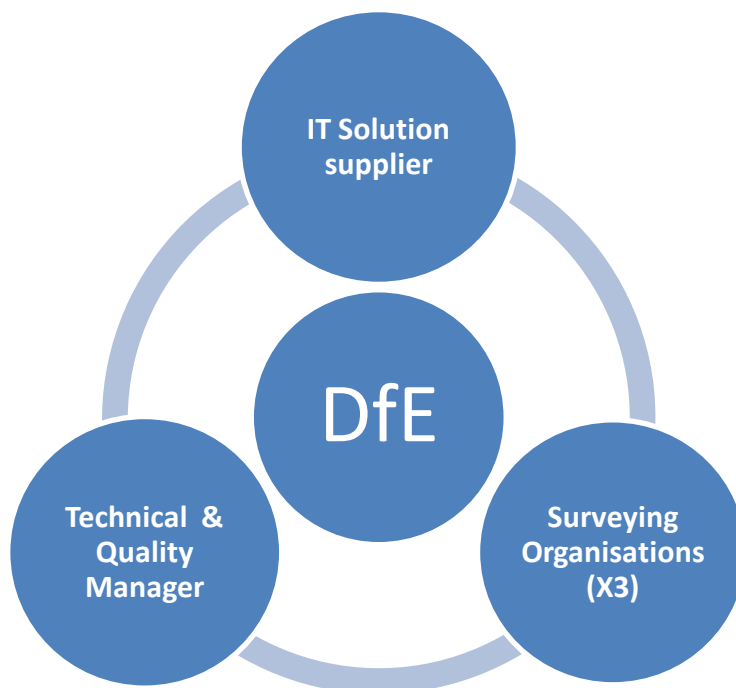
2.1. The Authority (Department for Education or DfE)

2.1.1.   The Authority will be both client and programme manager, responsible for the CDC2 Programme direction and delivery, provision of key information, approval of standards, contract management and wider engagement with the sector and will:

2.1.1.1   Produce a list of Schools/FE Colleges to be surveyed in a given Tranche and a given period (to be set by the Authority in accordance with the detail set out in Section 1.3 (*The CDC2 Programme*) and Table 1 and Table 2 above);

2.1.1.2   Undertake contract management of the TQM;

2.1.1.3   Undertake IT Solution contract management;

2.1.1.4   Undertake contract management of the Consultant and monitor performance;

2.1.1.5   Manage relationships with external stakeholder groups (e.g. Responsible Bodies, multi academy trusts, single academies etc.) and correspondence (but note that routine engagement with Schools/FE Colleges and Responsible Bodies to enable delivery of the Services is the responsibility of the Consultant and to an extent the TQM to arrange Shadow Audits and Revisit Audit where required);

2.1.1.6   Manage relationships with internal stakeholders;

2.1.1.7 Undertake technical governance/liaison between the Consultant, TQM, and IT Supplier;

2.1.1.8 Undertake investment model governance, i.e. model ownership and development, including different dimensions of need;

2.1.1.9 Develop and maintain a technical enquiry and response log to triage any technical enquiries from the Sites during the Agreement Period and will include this in the Supplier Management Meetings (as detailed in Table 4 below) and ongoing update reports. The Authority will also escalate enquiries to the Consultant via the TQM for rectification as necessary;

2.1.1.10 Be responsible for CDC2 Programme monitoring and management, including the management and operation of complex Site definition and process;

2.1.1.11 Be responsible for reviewing management information, programme reporting and KPI monitoring;

2.1.1.12 Be responsible for monitoring the effectiveness of the data capture application used to capture data on Sites and the data storage solution, providing feedback to the IT Supplier on material IT issues that need to be prioritised for resolution;

2.1.1.13 Be responsible for CDC2 Programme delivery plan and development, as illustrated in the CDC2 Delivery Process contained in Appendix A (*CDC2 Delivery Process*) to this Schedule 2 (*Statement of Requirements*);

2.1.1.14 Be responsible for Authority document ownership and development; and

2.1.1.15 Be responsible for the School/FE College and Responsible Body IT Solution account set up and management processes.

2.2. Technical and Quality Management Services

2.2.1. The TQM will provide technical and quality leadership and advise all relevant CDC2 Programme stakeholders. The TQM will also be responsible for ensuring the maintenance of standards, continuous improvement, training and quality assurance of survey provision to ensure the provision of consistent high quality data throughout the Agreement Period and the Consultant shall:

2.2.1.1 Engage with the Authority and the IT Supplier during the design, scoping and UAT of the IT Solution during the IT Supplier's implementation period;

2.2.1.2 Arrange CDC2 Technical and Quality Programme Review Workshops including technical and quality assessments with the CDC2 Programme leadership to review how this is impacting the CDC2 Programme delivery;

2.2.1.3 Support the Authority in finding a resolution for any issues identified and carry out interventions when required including problem solving and trouble-shooting with all relevant stakeholders based on general observation and results from all audits;

2.2.1.4 Be responsible for CDC2 Programme quality assurance process and control, ensuring quality assurance is robust and proactive; Operate

processes which follow industry standards and best practice, such as ISO 9000/9001 or similar;

2.2.1.5 Ensure Consultant personnel have valid Enhanced DBS checks accordance with the requirements detailed in Appendix B (*CDC2 Experience, Qualifications, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*), and produce evidence if required by a School/FE College's safeguarding policy when carrying out any Visits to Schools/FE Colleges as set out in clauses 6.7 and 6.8 of the Agreement;

2.2.1.6 Undertake training and standards maintenance, which includes regular updates to the CDC2 Programme Technical Reference Manuals which are set out in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools),* Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part* 2) of this Schedule 2 (*Statement of Requirements*) and training modules to ensure clarity of requirements and common methodology across all Visits;

2.2.1.7 Carry out a wholesale review as part of the Consultant's Implementation Services, of the CDC2 Draft Data Collection Profroma contained in Appendix G (*CDC2 Draft Data Collection Proforma*) of this Schedule 2 (*Statement of Requirements*) and the Technical Reference Manuals which are set out in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools),* Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*) to align them with any changes to methodology and proforma since CDC1. This review will not have any substantive/significant impact on the manner in which the Consultant is expected to deliver the Services;

2.2.1.8 As part of the update to the Technical Reference Manuals set out in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools),* Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*), provide specific updates to system build sections of the Technical Reference Manuals as above, and also further training to assist surveyors to identify and classify system builds on each Site;

2.2.1.9 Maintain CDC2 Programme technical resource and technical passporting records in accordance with the requirements detailed in Appendix B (*CDC2 Experience, Qualifications, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*). Take responsibility for updating material as necessary and inform the Authority of any onboarding/offboarding of SO personnel so that changes can be made to the IT Solution accordingly by the Authority;

2.2.1.10 Throughout the CDC2 Programme, oversee the quality assurance of the Consultant's data collection activities and regularly update the Authority on items requiring review and action to ensure consistent high quality

levels of data. To minimise the effect of any SO variability that impacts on quality assurance, the TQM will undertake quality assurance procedures throughout the pre-survey, survey and post survey stages of the CDC2 Programme. This will be achieved through the TQM undertaking Shadow Audits, Revisit Audits and Desktop Audits and reporting (audits are as detailed in Section 4.5 (*Audit of School/FE College Data*) below) independently of the SOs to verify survey data provided by the SOs. Timing of these Shadow Audits, Revisit Audits and Desktop Audits shall be in line with the Contract and Delivery Management Meetings, Supplier Management Meetings with SOs and the TQM, and Technical and Quality Programme Review Workshops;

2.2.1.11 Take part in Technical and Quality Programme Review Workshops with the Authority tracking and guiding the development of the technical and quality aspects of the CDC2 Programme including, for example, at the CDC2 Advisory Group;

2.2.1.12 The TQM will audit and assure the Consultant's approach to quality assurance during the Implementation Period and annually thereafter to ensure quality assurance systems and processes are robust and comply with CDC2 Programme data collection requirements. This task may require the TQM to visit the Consultant to review and assess their internal processes and approach to quality assurance before feeding back to the Authority.

2.3. Surveying Organisations

The Consultant is one of three (3) SOs appointed for the CDC2 Programme.

The Consultant shall:

2.3.1.   Provide the appropriate IT hardware for surveyors and engineers along with all other surveying equipment necessary to carry out the data collection throughout the Agreement Period, including personal protective equipment ("PPE"), where appropriate, and adequate surveying equipment, including electronic device with height tracking, to achieve the levels of accuracy required;

2.3.2.   Ensure the selection, provision and maintenance of building surveying and mechanical and electrical ("M&E") engineering resource, along with management, Project Management Office ("PMO") and computer-aided design ("CAD") resources to undertake the collection of consistent, high quality data at pace and scale, and responsibility for the data collection team selection (surveyors, engineers, desktop support);

2.3.3.   Engage with individual Schools/FE Colleges and represent the CDC2 Programme consistently and professionally;

2.3.4.   Undertake Pre-Site Visit desktop work by arranging a Preliminary Virtual Meeting (by video conference) where details of the Consultant's Visit will be arranged and confirmed, and a number of questions will be posed to the School/FE College from the data collection proforma, and the Site plan is reviewed. The data collected should be subsequently checked and anything missing followed up and completed by the surveyor on Site;

2.3.5.   Carry out a Reconnoitre Visit at FE Colleges only;

2.3.6.   Undertake School/FE College data collection using the CDC Draft Data Collection Pro Forma contained at Appendix G (*CDC2 Draft Data Collection Proforma*) of this Schedule 2 (*Statement of Requirements*) and ensure upload of collected data onto the IT Solution;

2.3.7.   Undertake all post Visit desktop work;

2.3.8.   Quality assurance and quality control its own work, providing high quality data in accordance with the issued technical manuals: set out in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*) and set out in Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2*) to this Schedule 2 (*Statement of Requirements*);

2.3.9.   Undertake and maintain the quality assurance checking in line with the CDC2 Programme requirements to ensure provision of high quality reports. This may be reviewed by the TQM/Authority team at any time. Quality will be solely the Consultant's responsibility and it is the Consultant's responsbility to provide high quality reports to be audit approved by the TQM;

2.3.10.   Attend training initiated by the TQM/Authority (which may also involve training by the IT Supplier) throughout the CDC2 Programme and roll out/cascade to teams to maintain quality and consistency;

2.3.11.   Update CDC2 Programme technical resource registers and technical passporting records in accordance with the requirements detailed in Appendix B (*CDC2 Experience, Qualifications, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*). Take responsibility for updating material as necessary and inform the TQM of any onboarding/offboarding of personnel so that the TQM can inform the Authority to make changes to the IT Solution accordingly;

2.3.12.   Review, record and undertake a specific review of the first CDC2 Programme data output from their surveyors and engineers to ensure surveyors and engineers have understood and applied the training that they have received and take appropriate corrective action if they have not;

2.3.13.   Contribute on experience of working with Schools/FE Colleges to help shape the development of the CDC2 Programme, for example. at the CDC2 Advisory Group, continuous improvement/lessons learned and other CDC2 Programme wide processes including technical innovation;

2.3.14.   Respond to any corrective action in line with CDC2 Delivery Process shown in Appendix A (*CDC2 Delivery Process*) to this Schedule 2 (*Statement of Requirements*), as well as data fixes or other data queries from the TQM or the Authority where identified (including after receipt of any School/FE College feedback) as outlined in the CDC Delivery Process set out in Appendix A (*CDC2 Delivery Process*) to this Schedule 2 (*Statement of Requirements*); and

2.3.15.   Immediately upon becoming aware of any issues in respect of consistency or quality that could impact delivery of the CDC2 Programme notify the TQM and the Authority.

2.4. IT Supplier

2.4.1.   The IT Solution will support the CDC2 Programme by allowing the collection, storage and interrogation of data. Specifically, the IT Supplier will:

2.4.1.1   Provide the solution for data collection;

2.4.1.2   Provide the solution for data storage;

2.4.1.3   Provide the solution for data reporting and interrogation;

2.4.1.4   Cover all hosting, support and system maintenance activities as well as interim and ad-hoc development where deemend necessary by the Authority;

2.4.1.5   Through application of Validation Rules within the IT Solution, help support the quality of the data collected under the CDC2 Programme;

2.4.1.6   Deliver technical support relating to the functionality of data capture/mobile device application for all of the visits to establishments within the scope of the CDC2 Programme;

2.4.1.7   Ensure that the IT Solution is capable of exporting data for plugging into third party tools, such as analysis and business intelligence products;

2.4.1.8   Accommodate a user base likely to be in excess of 27,000, including Authority staff as well as Schools/FE Colleges, Responsible Bodies and SO surveyors; and

2.4.1.9   Provide support to users including training and self training materials.

2.4.2.   The IT Solution will not:

2.4.2.1   Be a project management tool in its own right, although data extracted from it will support project management functions;

2.4.2.2   Be a customer relationship management ("CRM") tool; or

2.4.2.3   Provide an editing facility for site plans and other building information as part of its function.

2.4.3.   The system log data provided by the IT Supplier detailing who made changes to data within the IT Solution and when will be conclusive and final. If the system log data shows that the Consultant made the change then the Consultant shall be responsible (at its own cost) for any corrective action required.

3.   GENERAL REQUIREMENTS

All activities described below must be delivered by the Consultant in the context of and subject to the detailed technical information provided about the CDC2 Programme and its approach, processes, requirements etc. in the Appendices to this Schedule 2 (*Statement of Requirements)*.

3.1. General Obligations

3.1.1.   The Consultant will (along with the high level obligations identified in Section 2.3 (*Surveying Organisations*) of this Schedule 2 (*Statement of Requirements*)):

3.1.1.1 Work in a collaborative manner with the Authority, the TQM, IT Supplier and with the other SOs to develop and maintain good working relationships;

3.1.1.2 Operate collaboratively across the CDC2 Programme to share lessons learnt, continuous improvement, best practice and proactively contribute to the CDC2 Programme's aims for high quality, consistent data, delivered at pace;

3.1.1.3 Provide quality assurance to the CDC2 Programme in every activity undertaken throughout the whole process including, CDC2 Programme management set-up, surveyor and engineer selection, training, utilising the range of supporting technical and process guidance, data collection on Site, the post Visit stage, and finally working with the TQM on their audit findings;

3.1.1.4 Have in place, utilise and operate a robust and formalised quality management system to a relevant industry certification, e.g. ISO 9000/9001 series;

3.1.1.5 Ensure that any surveyor or engineer proposed for involvement in the CDC2 Programme meets all of the experience and qualifications requirements and has completed all required training to ensure that they are competent to undertake a CDC2 Programme assessment before they are allocated any School/FE College within the CDC2 Programme;

3.1.1.6 Be responsible for ensuring and evidencing that all surveyors and engineers have received a cascade of the training provision provided by the TQM and / or the IT Supplier. In addition to the cascade training, the Consultant shall also brief and train surveyors and engineers in respect of any of their own internal procedures regarding any over-arching organisation wide quality management requirements or any quality procedures specifically developed by the Consultant for the CDC2 Programme;

3.1.1.7 Ensure that experienced and competent personnel are deployed on the CDC2 Programme. The Consultant shall ensure that this is complemented with effective management, rigorous processes and procedures, resources, expertise and training;

3.1.1.8 Need to ensure that any surveyors and engineers that are introduced into the delivery of the Services at subsequent stages will all receive the same level of training, including their satisfactory completion of the training, and ensure their readiness to undertake CDC2 Programme assessment is recorded. The Consultant has discretion whether it deems it appropriate to have any surveyor or engineer shadow a trained surveyor or engineer during a CDC2 Programme assessment on a Site(s) as part of the competency training before undertaking a CDC2 Programme assessment;

3.1.1.9 Produce and share with the TQM a log of all training provided, with a record to confirm each individual surveyor's and engineer's satisfactory completion of training and readiness to undertake CDC2 Programme assessments. An outline of training required can be found in Appendix B

(*CDC2 Experience, Qualification, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*). The scope of training provision to be provided by the Consultant to its surveyors and engineers must include:

3.1.1.9.1   Cascade of TQM training;

3.1.1.9.2   Training in the use of the mobile app;

3.1.1.9.3   Training in the use of the CDC2 Programme IT Solution in order to allow data entry and editing by the Consultant's personnel, together with responding to data quality analysis or audit queries;

3.1.1.9.4   For appropriate personnel (which may or may not include CDC2 Programme surveyors and engineers), training regarding access and use of underlying Ordnance Survey site plan files (Mastermap) for Site/block reference plan production purposes and for obtaining required Topographic Identifier ("TOID") references for input into the CDC2 Programme data set;

3.1.1.9.5   Familiarisation with and understanding of all the supporting CDC2 Programme technical and process guidance documentation;

3.1.1.10   Ensure that surveyor onboarding/offboarding processes are reported to the TQM for further reporting to the Authority so that the IT Solution can be updated;

3.1.1.11   Ensure that all CDC2 Programme data outputs are reviewed by the Consultant in line with its own internal quality assurance procedures. In addition, the Consultant shall record and undertake a specific review of the first CDC2 Programme data output from every surveyor and engineer to ensure they have understood and applied the training that they have received appropriately and have provided the required quality and consistency of CDC2 Programme data outputs;

3.1.1.12   Work with the Authority, other advisers, the Responsible Bodies and the Schools/FE Colleges (including their service providers as necessary);

3.1.1.13   Attend and contribute proactively to appropriate CDC2 Programme wide activities;

3.1.1.14   Contribute to CDC2 Programme management and project delivery, ensuring that all team members are prepared and able to participate in collaborating with the partner organisations and that, when required, facilities are made available for meetings, workshops and other collaborative activities at no cost;

3.1.1.15   Demonstrate team working skills and commitment to partnering and collaborative working to ensure mutual benefits and the most successful outcome for the Authority;

3.1.1.16   Provide and maintain appropriately qualified and trained personnel as identified in this Schedule 2 (*Statement of Requirements*) with adequate knowledge of health and safety Law, good industry practice (including

knowledge of the Royal Institution of Chartered Surveyors ("RICS") 'Surveying Safely' document), environmental and security issues (relevant to the Services), and other staff required to deliver the Services with appropriate qualifications and experience in the relevant professional disciplines and specialist areas. The Consultant's role and delivery of Services for the CDC2 Programme shall be led by a director/partner as described in the staff grading definitions in Schedule 1 (*Fees*) of the Agreement with chartered surveying, or equivalent status qualification, with experience specifically in the building condition surveying sector;

3.1.1.17 Provide and maintain personnel who have adequate experience in and knowledge of building condition surveying and related projects and where they undertake Visits meet the minimum requirements included in the Technical Reference Manuals contained in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools)*, Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2)* to this Schedule 2 (*Statement of Requirements*). Visits will be overseen by qualified building surveyors;

3.1.1.18 Ensure that the Services are progressed and delivered within the agreed milestones and timescales contained within the Programme Plan;

3.1.1.19 Demonstrate the ability to effectively review its own delivery of the Services in order to continually improve performance to the benefit of the Authority;

3.1.1.20 Demonstrate the commitment to help raise standards and promulgate best practice within the Authority delivery team;

3.1.1.21 Maintain a list of sub-contractors used in the delivery of the Services, during the Agreement Period. The Consultant must notify the Authority of any changes to that list;

3.1.1.22 Note and report Cancelled Visits and/or Abortive Visits in accordance with Appendix J (*Cancelled, Rescheduled and Aborted Visits*) of this Schedule 2 (*Statement of* Requirements).

3.2. Implementation Period

3.2.1. The Consultant shall take part in the Implementation Period of the CDC2 Programme, which will include the IT Solution 'user acceptance testing' and in which the data collection process is run end to end (as more fully set out in Table 3):

Pre-Site Visit → Visit on Site → SO Quality Assurance → TQM Audit → Ready for Release

3.2.2. Each of the CDC2 Programme Implementation Period stages and the activities required in order to successfully complete the Implementation Period of the wider CDC2 Programme are detailed in Table 3 below:

Table 3: CDC2 Programme Process Stages

CDC2 Programme Process Stage	Phase	Passing Implementation Period Phase Activity Milestone
Stage 1	CDC2 Programme implementation and planning	Authority assigns pilot Sites to the Consultant (45 - 15 per SO).
Stage 2	Pre-Site Visit	The Consultant's PMO assigns Site to surveyor. The Consultant's PMO schedules and holds Preliminary Virtual Meeting and collects data (by video conference). The Consultant's PMO generates blank survey.
Stage 3	Site Visit	The Consultant's surveyor carries out Visit (completes data collection and 'submits' data). Other post Visit tasks completed such as plan production and input of measurements. This results in 'Pre SO Checked and Approved' data.
Stage 4	SO Quality Assurance	Consultant assigns survey to Consultant audit personnel and other SO Quality Assurance personnel. Any corrective action cycles from Checkpoint Report or other analysis conducted. Upon completion, the Consultant's PMO assigns SO Checked and Approved status to the survey data (after any corrective action).
Stage 5	TQM Desktop Audit	The TQM chooses survey for Desktop Audit and carries out Desktop Audit. Any corrective action cycles from this Desktop Audit are identified by the TQM and carried out by the Consultant.

		The TQM undertakes report analytics, including Checkpoint Report.
		The TQM 'passes' a Batch of Sites or a Site after any corrective action cycles by the Consultant if there are errors .
		This results in 'Ready for Release' data.
Stage 6	Data Release	Following Batch approval, and if the Site has passed the Checkpoint Report, the Authority will release the data.

3.2.3. The Process Stages will involve assessment by the TQM of the Consultant's training of its surveyors and engineers and will culminate in participation in a Gateway Review Workshop at the end of the Implementation Period. It is intended that the Implementation Period data collection will be part of the final dataset. The Consultant shall attend the Gateway Review Workshop (as set out in Table 4 in Section 3.3 (*Meetings and Workshops*) below).

3.2.4. **IT Solution Design, Scoping and UAT**

3.2.4.1 At the Authority's discretion, the Consultant shall participate in a small number of IT Design Workshops run by the IT Supplier. These will focus on SO reporting and data export functionality that the IT Supplier will implement as part of their own implementation services.

3.2.4.2 For the School data collection, the Consultant's anticipated engagement in IT Design Workshops and IT Solution Functionality UAT Workshops and review is outlined in column G of Appendix O (*IT Design Workshop and UAT Involvement*) of this Schedule 2 (*Statement of Requirements).*

3.2.4.3 For the FE College data collection, the Consultant's anticipated engagement in IT DesignWorkshops is outlined in column I of Appendix O (*IT Design Workshop and UAT Involvement*) of this Schedule 2 (*Statement of Requirements)* (these will take place in Year 5 of the Agreement Period).

3.2.4.4 The Consultant shall also participate in UAT of IT Solution functionality (including participation in IT Solution Functionality UAT Workshops) for both School and FE College data collection implementations. The IT Solution UAT will encompass testing of all required functionality and will be undertaken by the Consultant, other SOs and the Authority as outlined in Appendix O (*IT Design Workshop and UAT Involvement*) of this Schedule 2 (*Statement of Requirements*). UAT for School data will take place in Year 1 of the Agreement Period, and will be as per column D of Appendix O (*IT Design Workshop and UAT Involvement*). UAT for FE College data will take place in Year 5 of the Agreement Period, and will

be as per column F of Appendix O (*IT Design Workshop and UAT Involvement*) of this Schedule 2 (*Statement of Requirements*). The UAT will consist of forty-five (45) School Visits (fifteen (15) per SO) selected from Tranche One (1) of the CDC2 Programme. The TQM will Visit not less than one (1) School per SO as part of this UAT. The UAT will be for the purpose of testing the data collection and quality assurance methodologies, and delivering UAT of the supporting mobile data collection app and web app components of the IT Solution. It will ensure sufficient infrastructure is in place for the delivery of the CDC2 Programme.

3.2.5. **Implementation Plan**

3.2.5.1 The Consultant shall provide a detailed Implementation Plan to the Authority within ten (10) Working Days of the Commencement Date. The Implementation Plan must include (but is not to be limited to):

3.2.5.1.1 Proposed timescales for achieving relevant implementation milestones (including but not limited to the Process Stages and the Passing Implementation Period Activity Milestone);

3.2.5.1.2 Proposed timescales for training and passporting Consultant personnel;

3.2.5.1.3 Clearly outlined roles and responsibilities of the Authority and the Consultant during the Implementation Period;

3.2.5.1.4 Provision for involvement in the IT Solution UAT. UAT is anticipated to take place during the period November 2020 to February 2021. The Consultant's involvement in UAT will be focussed on all aspects of the Consultant led process only rather than full system testing. Conseuqently, the Consultant shall not be required to be involved for the entirety of this period;

3.2.5.1.5 Reference to the supply by the Consultant of the ISMS and Security Management Plan.

3.2.5.2 Following receipt of the Implementation Plan from the Consultant, the Authority shall:

3.2.5.2.1 review and comment on the Implementation Plan as soon as reasonably practicable; and

3.2.5.2.2 notify the Consultant in writing that it approves or rejects the Implementation Plan no later than five (5) Working Days after the date on which the Implementation Plan is first delivered to the Authority.

3.2.5.3 If the Authority rejects the Implementation Plan:

3.2.5.3.1 the Authority shall inform the Consultant in writing of its reasons for its rejection; and

3.2.5.3.2 the Consultant shall then revise the Implementation Plan (taking reasonable account of the Authority's comments)

and shall re-submit a revised Implementation Plan to the Authority for the Authority's approval within ten (10) Working Days of the date of the Authority's notice of rejection. The provisions of this paragraph 3.2.5.3 shall apply again to any resubmitted Implementation Plan, provided that either Party may refer any disputed matters for resolution in accordance with clause 20 (*Disputes*) of the Agreement at any time.

[**DRAFTING NOTE**: THE EXACT TIME PERIODS FOR IMPLEMENTATION WILL BE CONFIRMED AFTER THE CONTRACT HAS BEEN AWARDED].

3.2.6. **Programme Plan**

3.2.6.1 The Consultant shall also submit a Draft Programme Plan within ten (10) Working Days of the Commencement Date for review and agreement by the Authority. The Draft Programme Plan shall reference and reflect the requirements of the CDC2 Delivery Process contained in Appendix A (*CDC2 Delivery Process*) to this Schedule 2 (*Statement of Requirements*).

3.2.6.2 Following receipt of the Draft Programme Plan from the Consultant, the Authority shall:

3.2.6.2.1 review and comment on the Draft Programme Plan as soon as reasonably practicable; and

3.2.6.2.2 notify the Consultant in writing that it approves or rejects the Draft Programme Plan no later than twenty (20) Working Days after the date on which the Draft Programme Plan is first delivered to the Authority.

3.2.6.3 If the Authority rejects the Draft Programme Plan:

3.2.6.3.1 the Authority shall inform the Consultant in writing of its reasons for its rejection; and

3.2.6.3.2 the Consultant shall then revise the Draft Programme Plan (taking reasonable account of the Authority's comments) and shall re-submit a revised Draft Programme Plan to the Authority for the Authority's approval within ten (10) Working Days of the date of the Authority's notice of rejection. The provisions of this paragraph 3.2.6.3 shall apply again to any resubmitted Draft Programme Plan, provided that either Party may refer any disputed matters for resolution in accordance with clause 20 (*Disputes*) of the Agreement at any time.

3.2.6.4 If the Authority approves the Draft Programme Plan it shall become the Programme Plan from the date of the Authority's notice of approval.

3.2.6.5 The Consultant shall ensure that all proposed activities for delivering the Process Stages are agreed with the Authority prior to the Services Commencement Date to allow for data collection to begin in accordance with the intended timetable for the CDC2 Programme. The dates agreed in accordance with this paragraph 3.2.6.5 must be included in the Consultant's Programme Plan.

3.2.6.6   For the data collection undertaken by the Consultant as part of the Implementation Period, the Consultant's surveyors and engineers shall record data in an Excel format (in addition to capturing data using the IT Solution data capture application) to prevent data loss during the early use of the IT Solution data capture application. It is intended that the Implementation Period data collection will be part of the final dataset.

3.2.7.   **Implementation Period for FE Colleges**

3.2.7.1   The Implementation Period for the FE Colleges will be conducted separately to the other Schools and will consist of one (1) Site Visit attended by the Consultant and the other SOs along with the TQM.

3.2.7.2   FE College implementation will also include the IT Solution UAT in which the data collection process is run end to end following the process set out in Table 3 above and will replicate the CDC2 Programme Schools process.

3.2.7.3   The FE College implementation will take place in the fifth (5th) year of the Agreement Period in the three (3) months' immediately prior to the start of Tranche ten (10) (as referred to in Table 2 above). The implementation stage for FE Colleges will run concurrently with the Service delivery of Tranche nine (9) to ensure continuity. There will be no break to CDC2 Programme Schools delivery whilst FE College data collection programme is implemented.

3.2.7.4   The Consultant shall undertake the following key activities during the FE College Implementation Period:

3.2.7.4.1   One (1) Site Visit to one (1) FE College to test methodology (with all three (3) SOs and TQM present), this will be part of SO training and UAT and will be a multi surveyor/engineer team approach;

3.2.7.4.2   FE College Gateway Review Workshop with all parties.

3.2.8.   **ISMS and Security Management Plan:**

3.2.8.1   The Consultant shall supply for approval by the Authority an ISMS within fifteen (15) Working Days of the Commencement Date as detailed in Schedule 13 (*Security Management*) of the Agreement.

3.2.8.2   The Consultant shall supply the Security Management Plan for the Authority's approval within twenty (20) Working Days of the Commencement Date as detailed in Schedule 13 (*Security Management*) of the Agreement.

3.3. Meetings and Workshops

3.3.1.   The Consultant shall attend the meetings/workshops detailed in Table 4 below and contribute as necessary to the effective and efficient delivery of the CDC2 Programme.

3.3.1.1   Table 4 below sets out a non-exhaustive list of the meetings/workshops the Consultant is required to attend/participate in. The Authority reserves the right to alter the frequency, purpose, number, duration,

location and required attendees of the meetings as may be required to facilitate delivery of the CDC2 Programme.

3.3.1.2 Meeting / workshop locations will be agreed based on staff and room availability with final decisions taken by the Authority. The Consultant will be expected to host face to face meetings/workshops on a regular basis, at no additional cost.

Note: VC = video conferencing

Per year = per contractual year

Table 4: Meeting/Workshops Requirements

	Name of Meeting / Workshop and Attendees	Minimum attendees for the Consultant	Duration	Meeting Type (Face to Face or VC)	Approximate Number of Meetings
IMPLEMENTATON PERIOD (SCHOOLS)	Implementation Period training: three (3) Implementation Period Training and Preparation Meetings with the full delivery team. The Consultant, TQM, other SOs, IT Supplier and the Authority.	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	3
	IT Design Workshop for IT Solution Functionality where required The Consultant, TQM, other SOs, IT Supplier and the Authority.	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	1
	IT Solution Functionality UAT Workshop (mobile app and web app) (Schools).	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	2
	One (1) Gateway Review Workshop. The Consultant, TQM, other SOs, IT Supplier and the Authority.	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	1

	Name of Meeting / Workshop and Attendees	Minimum attendees for the Consultant	Duration	Meeting Type (Face to Face or VC)	Approximate Number of Meetings
IMPLEMENTATON PERIOD (FE COLLEGES)	One (1) Implementation Period Preparation and Training Meeting with the full delivery team. The Consultant, other SOs, IT Supplier and the Authority.	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	1
	One (1) FE College Gateway Review Workshop. The Consultant, other SOs, IT Supplier and the Authority.	2 Key Personnel	Half Day (up to 4 hours)	Face to Face	1
	Technical Training Workshops delivered by the TQM. TQM, other SOs and the Authority. May involve IT Supplier if required.	All Key Personnel	1 day (8 hours)	Face to face	10 (allow 2 per year – every 6 months)
	Contract and Delivery Management Meeting The Consultant, TQM, other SOs, the Authority and IT Supplier.	1 Key Personnel	Half day (up to 4hrs)	Face to face	20
	Contract and Delivery Management Meeting The Consultant, TQM, other SOs, the Authority and IT Supplier.	1 Key Personnel	Half Day (up to 4hrs)	VC	20

	Name of Meeting / Workshop and Attendees	Minimum attendees for the Consultant	Duration	Meeting Type (Face to Face or VC)	Approximate Number of Meetings
	Supplier Management Meeting The Authority and the Consultant (individually). These will be monthly.	1 Key Personnel	2 hrs	VC	60
	Continuous Improvement Session Meeting - The Consultant, TQM, other SOs and the Authority. May involve IT Supplier if required.	5 (including 3 Key Personnel)	Half Day (up to 4hrs)	Face to face	5
	CDC2 Advisory Group - Stakeholder Engagement Meeting The Consultant, TQM, other SOs and the Authority.	1 Key Personnel	Half Day (up to 4hrs)	Face to Face	5 (1 per year)

3.4. Additional Services

3.4.1. Additional Services may be instructed by the Authority in accordance with clause 14 (*Additional Services*) of the Agreement.

3.4.2. **Net Capacity and Schedule of Accommodation Capture**

3.4.2.1 Supplementary to the CDC2 Programme and process, data may also be collected to support School/FE College Net Capacity Assessments ("NCA") and use of spaces within the School/FE College buildings and external areas on School/FE College Sites. This data is used by the Authority and local authorities to measure and plan School/FE College places provision.

3.4.2.2 Further guidance and detail in respect of the NCA is set out in Appendix K (*Assessing the Net Capacity of Schools*) to this Schedule 2 (*Statement of Requirements*).

3.4.2.3 Further context and detail regarding NCA is set out in Appendix H (*CDC2 Draft Scope for NCA Solution*) and Appendix K (*Assessing the Net Capacity*

of Schools) to this Schedule 2 (*Statement of Requirements*). Potential NCA data points are shown in Appendix I (*CDC2 IT NCA Data Points and Space Types*) to this Schedule 2 (*Statement of Requirements*) in the 'Net Establishment', 'Net Section', 'Net Space' sheets. Appendix I (*CDC2 IT NCA Data Points and Space Types*)shows proposed data points for Schools. FE College NCA data points are to be confirmed but will be similar in scope.

3.4.2.4 In accordance with clause 14.4 (*Additional Pre-Priced Variation*) of the Agreement the NCA is a Pre-Priced Variation. If the Authority elects to implement the Pre-Priced Variation then the Consultant shall:

3.4.2.4.1 Capture survey information at a space/room level including (but not limited to) dimensions, usage and facilities (e.g. sinks, toilets, playing fields);

3.4.2.4.2 Capture new floor plans of buildings/Sites (including external areas) and record annotations/mark ups linked to space/room level surveys;

3.4.2.4.3 Record survey data for the CDC2 Programme and NCA as separate or conduct integrated survey exercises depending on the Authority's operational requirements. For example, the Authority may use different organisations, processes and survey schedules to capture CDC2 Programme and NCA information respectively; and

3.4.2.4.4 If required, based on the Authority's operational requirements, engage with Responsible Bodies to ensure they view, update, and submit (via spreadsheet template if required) updated NCA data.

4. CONSULTANT DELIVERY REQUIREMENTS

4.1. Delivery Requirements

The Consultant shall comply with and deliver the Authority's delivery requirements which are split into two (2) categories:

4.1.1. Management Functions; and

4.1.2. Data Collection Functions.

All activities described below must be delivered in the context of and subject to the detailed technical information which is set out in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2*) to this Schedule 2 (*Statement of Requirements*). The aforementioned Appendices detail the CDC2 Programme, its approach, processes and requirements.

4.2. Management Functions

The Consultant shall:

4.2.1. Use a Preliminary Virtual Meeting to establish any School/FE College specific policies and ensure that they will be complied with. For example, ensuring

Consultant personnel have valid Enhanced DBS checks in accordance with the requirements detailed in Appendix B (*CDC2 Experience, Qualifications, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*) and produce evidence of the same at the Site Visit if required by a School/FE College's safeguarding policy. The Consultant shall be responsible for ensuring that its personnel are checked and vetted in accordance with each School/FE College's safeguarding policy and shall be responsible for the time and cost implications of a Cancelled Visit and/or Aborted Visits which is a result of the Consultant failing to comply with this requirement;

4.2.2. Check School/FE College access and safeguarding arrangements to ensure access is possible and compliance with safeguarding policies does not hinder or lead to a Cancelled Visit and/or Aborted Visit;

4.2.3. Check School/FE College health and safety access arrangements and provide any equipment required to safely and effectively undertake the data collection including PPE;

4.2.4. Confirm allocation of Schools/FE Colleges with surveyors;

4.2.5. Identify resources required to Visit selected Schools/FE Colleges and manage delivery to ensure that all Schools/FE Colleges allocated are visited in the required timescales on a consistent profile, limiting peaks and troughs;

4.2.6. Contact Schools/FE Colleges to provide reasonable levels of support as necessary or appropriate and make best endeavours to ensure the CDC2 Programme delivers the data required from Schools/FE Colleges;

4.2.7. Ensure the CDC2 Programme reference data is present as required prior to each Visit so that each School/FE College has been provided Pre-Site Visit data in advance of the Visit;

4.2.8. Manage technical queries which may be raised by Schools/FE Colleges or their Responsible Body as a result of the Visit or on report release;

4.2.9. Ensure blocks are properly identified and linked to unique identifiers (see Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*) for technical details);

4.2.10. Fulfil post Visit requirements to use completed Site/block reference plan to take off measurements as part of the dimensional data input requirements;

4.2.11. Provide information related to the delivery of the Services to the Authority and TQM on request and as agreed to ensure that the monthly reporting cycle can operate effectively;

4.2.12. Run data analysis reports to review and identify data outliers as part of the Consultant's quality assurance of the Services either within the IT Solution, if available, or by use of the Checkpoint Reports. In addition, carry out all corrective actions required to reach SO Checked and Approved data (Process Stage 4) as detailed in Appendix A (*CDC2 Delivery Process*) of this Schedule 2 (*Statement of Requirements*), as part of the Checkpoint Report results at any time of the data journey;

4.2.13. Record and report opportunities for improvement in the Services to the TQM on an ongoing basis;

4.2.14. Report to the TQM any issues with Schools/FE Colleges that may require escalation to the Authority so that the Authority is aware of any difficulties that may require resolution;

4.2.15. In compliance with clauses 16.1 and 16.2 (*Confidentiality and Publicity*) of the Agreement, submit for review and approval to the Authority any publicity or press material to be released as part of the Consultant's involvement in the CDC2 Programme;

4.2.16. Provide assurance and evidence to the TQM that all the Consultant's surveyors and engineers are qualified, experienced and trained prior to them undertaking Visits, providing data as necessary to ensure the quality of resource and data is maintained throughout the CDC2 Programme. Experience, qualifications and CDC2 Programme specific passporting requirements are set out in Appendix B *(CDC2 Experience, Qualifications, Training and Passporting Requirements*) to this Schedule 2 (*Statement of Requirements*);

4.2.17. Manage allocation of work to qualified surveyors and engineers, making sure appropriately qualified and experienced staff are conducting Visits at Sites which are appropriate based on their experience;

4.2.18. Manage health and safety reporting to the TQM as required, in terms of surveying safely, to comply with the Consultant's own policies, and also in terms of due diligence. If any health, safety or life threating issues are discovered during a survey the Consultant shall report these in accordance with the requirements set out in the Technical Reference Manuals contained in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2*) to this Schedule 2 (*Statement of Requirements*);

4.2.19. Monitor progress and ensure data collection is being delivered at the pace required to comply with the Programme Plan, including Visits and production of data of sufficient quality and volume;

4.2.20. Provide hardware which operates iOS 11 or above which can capture necessary data, including images at an acceptable level of detail;

4.2.21. Provide high definition, current aerial photographs (by fixed wing aircraft, or helicopter only, no drones or telescopic aerial photography poles are permitted) of each Site, that captures the boundaries of the Site and each building on the Site in advance of the Visit to evidence and enable condition assessment of otherwise non-visible roof areas. The Consultant shall ensure that the high definition aerial photographs are stored to an agreed naming convention and folder structure, and can be transferred directly to the Authority (not via the IT Supplier);

4.2.22. Note that for some large FE Colleges the Authority acknowledges that the whole Site will not be encompassed, however, all buildings need to be shown. The Consultant shall use aerial photographs, together with any access or vantage points located around the School/FE College, as part of assessing the A, B, C and D conditions (categories of condition are as detailed in Appendix C (*CDC2 Technical*

Reference Manual Part 1 Schools) to this Schedule 2 (*Statement of Requirements*)). No alternative imaging will be accepted (for example a Google Map image is not acceptable);

4.2.23. Develop, update, maintain and comply with the Programme Plan in accordance with the following:

4.2.23.1 Ensure that the Authority (and the TQM) is informed of and approves any updates to the Programme Plan;

4.2.23.2 Any proposed amendments to the Programme Plan shall not come into force until they have been approved in writing by the Authority;

4.2.23.3 The agreed number of Visits as set out in the Programme Plan are successfully completed by the Consultant each month during the Agreement Period. The Consultant's performance will be monitored and managed in accordance with Schedule 7 (*Performance*) to the Agreement;

4.2.24. Include the Programme Plan in the Supplier Management Meetings ongoing update reports;

4.2.25. Report on progress against key milestones and KPIs to the Authority, provide any feedback received to the TQM and the Authority and encourage feedback to be given at Supplier Management Meetings;

4.2.26. Develop and maintain a programme risk and issues log and include this in the Supplier Management Meeting ongoing update reports; and

4.2.27. Work with the TQM and the Authority to identify options within data collection methodology to increase the accuracy of data collected.

4.3. Data and Systems Assurance Requirements

4.3.1. The Authority has a number of data security and compliance considerations that the Consultant shall meet and demonstrate evidence of.

4.3.2. The Consultant shall:

4.3.2.1 Meet or exceed the expectations set out in;

4.3.2.1.1 The Authority Security Standards out in Annex 1 of Schedule 13 (*Security Management*) to the Agreement; and

4.3.2.1.2 The Government's Minimum Cyber Security Standard (https://www.gov.uk/government/publications/the-minimum-cyber-security-standard);

4.3.2.2 Ensure effective security management is in place for any hardware managed and provided by the Consultant (tablets, desktop computers, smartphones etc);

4.3.2.3 Hold ISO 27001:2013 certification;

4.3.2.4 Ensure processing of data is undertaken within the European Economic Area ("EEA");

4.3.2.5 Comply with all relevant Law, including but not limited to the DPA 2018 and GDPR; and

4.3.2.6 Ensure annually commissioned IT Security Health Checks ("ITHC") for their IT Environment are conducted using a CHECK certified provider.

4.4. Data Collection Functions

4.4.1. The Consultant shall ensure that:

4.4.1.1 All required health and safety checks are undertaken before accessing a Site or specific areas of a Site that may require PPE and/or compliance with health and safety Law;

4.4.1.2 Those accessing a Site are made aware of any Site access issues, parking restrictions, building work or contractors on Site, third party Site users and any restricted times of access (at the beginning of or at the end of the School/FE College day);

4.4.1.3 At all times its personnel engaged in the Services act in a considerate and polite way, minimise the impact of the data collection activity on the School/FE College and work flexibly to accommodate a School/FE College's requests where reasonable and not unduly prohibitive and where to do so would not conflict with any activities as set out in the Technical Reference Manuals contained in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools),* Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part* 2) to this Schedule 2 (*Statement of Requirements*) and guidance developed by the Authority;

4.4.1.4 All communications with Schools/FE Colleges are completed professionally and courteously, and in accordance with the Technical Reference Manuals contained in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools),* Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part* 2) to this Schedule 2 (*Statement of Requirements*);

4.4.1.5 All Visit logistics are confirmed with personnel visiting on their behalf and the School/FE College;

4.4.1.6 Upon arrival, all personnel visting on their behalf report to reception and conform to any School/FE College safeguarding/ valid Enhanced DBS, in accordance with the requirements detailed in Appendix B (*CDC2 Experience, Qualifications, Training and Passporting Requirements*) of this Schedule 2 (*Statement of Requirements*), or other policy requirements and report any non-compliance;

4.4.1.7 A Site plan is prepared and provided by the Consultant for each Site in accordance with required standards (see Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1*) and Appendix F (*FECDC Technical Reference Manual Part 2*) to this Schedule 2 (*Statement of Requirements*)). The Site plans, including PDF plans and CAD files in .dwg format from CDC1, will be used as a basis for the CDC2 Programme and will be provided to the Consultant by the

Authority. The Consultant shall update these Site plans to reflect any changes on Site. For example, demolition of blocks or construction or acquisition of new ones must be reflected, using information obtained on Site, for example, measurements or plans or drawings from the School/FE College, or alternatively information from elsewhere such as the planning portal or Ordnance Survey extracts;

4.4.1.8   If a new Site is being surveyed for which there is no pre-existing information from CDC1, for example the Site was not visited or it is a newly constructed School/FE College, the Authority will provide access to OS Mastermap Topography and OS Mastermap Sites layers via the Public Sector Mapping Agreement to allow the Consultant to download an area specific polygon from Ordnance Survey data, providing source data for the Consultant. The Consultant shall import this data into AutoCAD Map 3d or software with equivalent functionality (to import OS Mastermap Data) to assist in creation of new Site plans;

4.4.1.9   It undertakes an initial meeting (Pre-CDC2 Site Meeting) with the Site contact, confirming:

4.4.1.9.1   The purpose of the Visit and what activities personnel visiting on their behalf will undertake;

4.4.1.9.2   The presence of all required compliance documentation, and the date on that documentation, ensuring that the School/FE College is aware of the requirement to collate this information; and

4.4.1.9.3   Answers to all necessary questions, regarding establishment, Site and block level and answers to those questions not answered at the Preliminary Virtual Meeting, as part of the data collection as outlined on the data collection proforma;

4.4.1.10 At the end of a Visit, it obtains the School/FE College's confirmation (by record) that the Consultant has visited the Site and seen/visited all the buildings on the Site and that it has achieved Pre SO Checked and Approved status;

4.4.1.11 Following the Visit and completion of all Consultant led quality assurance activity, it notifies the TQM that data has reached SO Checked and Approved status;

4.4.1.12 It makes all reasonable and safe endeavours to directly visually inspect or otherwise assess the condition of all elements and construction types clearly recording where this was not possible. The Consultant shall ensure that it carries out all assessments of condition in accordance with the content of Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part* 2) of this Schedule 2 (*Statement of Requirements*), and other guidance developed by the TQM/Authority;

4.4.1.13 It records construction type condition grades (A-D) and priorities (1-4) as required, (all as detailed in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*)) along with required compositions, maintaining evidence of condition as necessary and obtaining imagery as required on the mobile app or via the crop/compression of the high definition aerial images;

4.4.1.14 It obtains all mandatory images including the condition of all roofs in sufficient detail to make a judgement of condition (see Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part* 2) of this Schedule 2 (*Statement of Requirements*) for mandatory photograph requirements along with Appendix G (*CDC2 Draft Data Collection Proforma*) of this Schedule 2 (*Statement of Requirements*);

4.4.1.15 Where it is not possible for surveyors and engineers to obtain the mandatory photographs during the Site Visit using their data capture devices, the Consultant's PMO will source, obtain and upload required mandatory photographs (all as detailed in the Technical Reference Manuals at Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2)* of this Schedule 2 (*Statement of Requirements*));

4.4.1.16 All data collected during the School/FE College Visit is synchronised with the IT Solution before the end of the day of the Visit;

4.4.1.17 The School/FE College are made aware of any material/significant concerns on which they should act, in accordance with the Tehcincal Reference Manuals at Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2)* of this Schedule 2 (*Statement of Requirements)*, ensuring that these are captured and recorded and that there is an audit trail within the IT Solution;

4.4.1.18 It captures the extent of the Site and all key features ensuring these exist on the Site plans (e.g. water features, significant slopes, wooded areas, hardstanding/vehicular access, boundary treatment etc.) (see Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2)* of this Schedule 2 (*Statement of Requirements*) for technical requirements;

4.4.1.19 At the end of the Visit, the Consultant confirms with the School/FE College what comes next in the process, describes the quality assurance procedure and confirms any required contact details;

4.4.1.20 It informs Schools/FE Colleges Sites of any planned Shadow Audits or Revisit Audits (note this will be organised via the TQM); and

4.4.1.21 The PMO ensures that all (100%) of the CDC2 Programme data sets flow through their own quality assurance procedures before any CDC2 Programme data is signed off as SO Checked and Approved. This needs to occur before a CDC2 Programme data set is selected or subject to TQM Audit as further referenced below.

4.5. Audit of School/FE College Data

4.5.1. The Consultant shall note that the TQM is charged with assuring the quality of the data through a series of audits; Shadow Audit, Revisit Audit, and Desktop Audit. Audit selection across the CDC2 Programme will be representative of the School/FE College estate in terms of type, size and region.

4.5.2. The frequency of any audit (Shadow Audit, Revisit Audit, Desktop Audit) may be adjusted as necessary to assure the quality of the CDC2 Programme data.

4.5.3. **Shadow Audits**

4.5.3.1 Shadow Audits will be undertaken as agreed with the Authority but will include at least two (2) Shadow Audits per SO during the Implementation Period, and at least two (2) Shadow Audits per SO during each subsequent six (6) monthly period. Shadow Audits will also be used if concerns are raised about a particular SO/surveyor/engineer. Shadow Audits will focus on all aspects of the Visit, including the Pre-CDC2 Meeting.

4.5.3.2 During a Visit for the purposes of a Shadow Audit the Consultant's surveyor and/or engineer will be accompanied by a TQM surveyor and/or engineer. The TQM surveyor and/or engineer will check that the Consultant's surveyors and engineers understand the CDC2 Programme methodology contained in the Technical Reference Manuals (see Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*)) and that the correct approach is being followed. The TQM will report their results to both the Consultant and the Authority. Where necessary, the TQM will agree with the Consultant the corrective action the Consultant is required to take as a consequence of the results of the Shadow Audit.

4.5.4. **Revisit Audits**

4.5.4.1 The TQM, as agreed with the Authority, shall undertake a Revisit Audit where:

4.5.4.1.1 there are any concerns with a particular surveyor/engineer or the Consultant more generally;

4.5.4.1.2   significant errors are identified as part of the Desktop Audit; or

4.5.4.1.3   complaints or discrepancies/disagreement with grades are reported by a School/FE College or Responsible Body.

4.5.4.2   In a Revisit Audit the TQM will take a School/FE College's CDC2 Programme data or access a School/FE College's CDC2 Programme data for the purpose of revisiting the Site to check the robustness of the data captured by the Consultant.
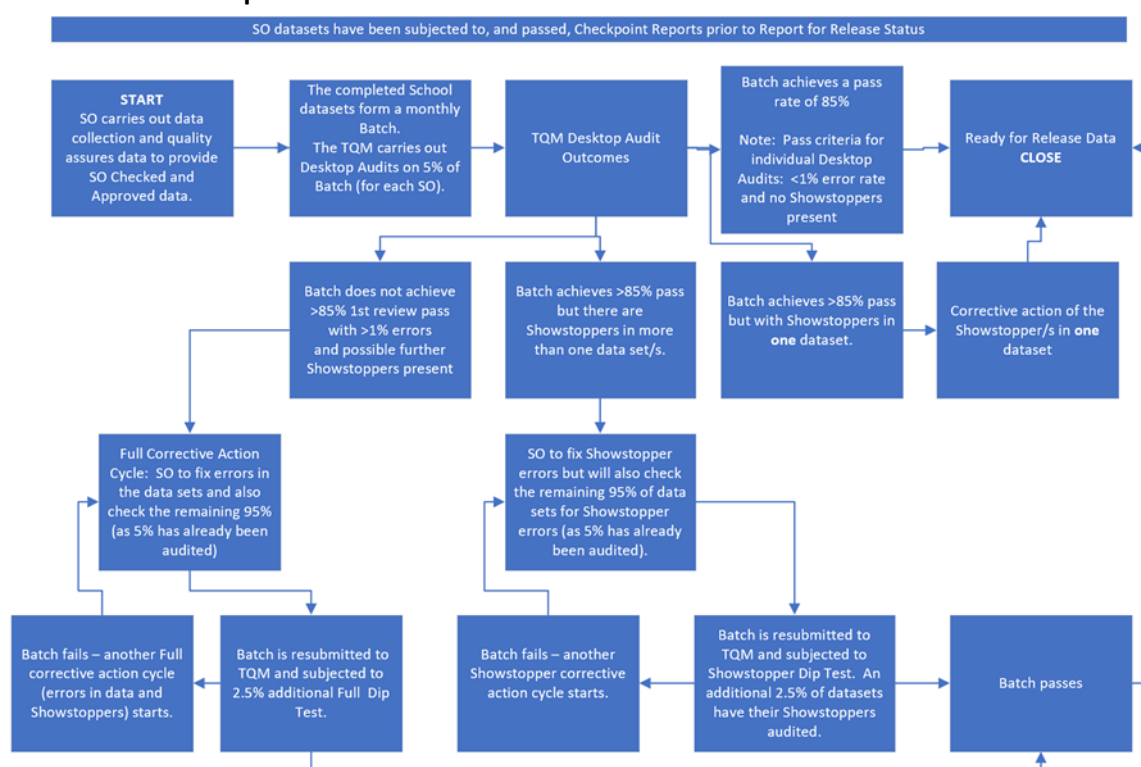
4.5.5.   **Desktop Audits - Schools**

4.5.5.1   The Consultant will upload the SO Checked and Approved datasets for each Site in an allocated Tranche. The SO Checked and Approved data sets for each calendar month shall constitute a Batch.

4.5.5.2   Data for Sites which passes the Desktop Audit undertaken by the TQM (on first review or following successful completion of the corrective action cycle) and which has passed a Checkpoint Report becomes Ready for Release by the Authority to Schools and Responsible Bodies.

4.5.5.3   The TQM will audit each monthly Batch. This process will provide the basis for assessing the Consultant's data quality across all completed data by checking the robustness of the data in each Batch by using captured photographs and Site/block plans held. The Desktop Audit will be undertaken by a qualified technical resource within the TQM.

4.5.5.4   The Desktop Audit is an independent review of the CDC2 Programme dataset and documents in terms of completeness, compliance, accuracy and condition assessment. It is anticipated that the IT Solution will provide the facility to generate, process and report on Desktop Audits via inbuilt functionality that will enable TQM auditors to assess a School based upon the pass/fail criteria.

4.5.5.5   The Desktop Audit will be carried out by the TQM on 5% or a minimum of six (6) datasets from each of the Consultant's Batches, whichever is the greater. Where there are six (6) or less datasets in a Batch they will all be subject to Desktop Audit. In any event the Authority reserves the right to adjust the percentage of Desktop Audits required. The Consultant shall be aware that whilst Desktop Audit will be part of the integrated function in the IT Solution, Shadow Audit and Revisit Audit reporting will sit outside of the IT Solution and will not be part of any integrated function.

4.5.5.6   Passing the Desktop Audit will be determined by a percentage error rate, based on critical datapoints, and will be calculated by the TQM auditor by determining the overall number of data points (across fabric and M&E) within the dataset against which the number of data queries is identified which will then define an error percentage.

4.5.5.7   The Pass Criteria are as follows:

4.5.5.7.1   <1% critical errors for an individual Desktop Audit (what constitutes a critical error is to be finalised by the TQM); on

4.5.5.7.2 85% of audited datasets where 5% of a Batch has been subject to a Desktop Audit and 100% of a Batch where six (6) or less data sets have been subject to Desktop Audit; with

4.5.5.7.3 No Showstoppers present.

4.5.5.8 Desktop Audits will consider critical and non-critical audit queries and will define data queries/errors against the following data failure categories (NB: errors may appear in one or more categories):

4.5.5.8.1 Missing Data: Where mandatory data is missing (e.g. measurement values for a Block);

4.5.5.8.2 Conflicting Data: Where data is conflicting within the dataset (e.g. Elemental data suggests kitchen present but no kitchen selected);

4.5.5.8.3 Incorrect Assessment: where the surveyor or engineer have incorrectly assessed something and there is clear evidence to this effect such as a photograph;

4.5.5.8.4 Process or Measurement Error: where the surveyor or engineer have not followed the CDC2 Programme survey methodology or have made an error in calculating any measurements which are required;

4.5.5.8.5 Methodology Error: where the surveyor or engineer have not followed the process methodology as set out in the Technical Reference Manuals contained in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC2 Technical Reference Manual Part 2*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*).

4.5.5.9 The Desktop Audit (and Revisit Audit proforma) questions for Schools (Appendix L (*CDC1 Desktop Fabric Audit Proforma SAMPLE*) and Appendix M (*CDC1 Desktop M&E Audit Proforma SAMPLE*) of this Schedule 2 (*Statement of Requirements*)) detail critical (shown in blue) or non-critical (shown in purple) data-points. Audit data points for FE Colleges will be broadly similar to Schools but will be reviewed by the TQM.

4.5.5.10 The following errors render the data completely or substantially unusable and therefore constitute Showstoppers. The Showstoppers are:

4.5.5.10.1 Whole Block, Element or Site data missing;

4.5.5.10.2 Fundamental error with the Site/Block;

4.5.5.10.3 Reference Plan (block missing, incorrect labelling leading to potential data misinterpretation, etc.);

4.5.5.10.4 Meta data fields >10% tolerance;

4.5.5.10.5 Methodology Error (i.e. surveyor/engineer creating multiple construction types in a Block);

4.5.5.10.6 Cover Photo not tagged (only critical photo that relies on a tag being present) (this is checked via Checkpoint Report);

4.5.5.10.7 Any photographic image that does not conform with the standards set out in the Technical Reference Manuals contined in Appendix C (*CDC2 Technical Reference Manual Part 1 Schools*), Appendix D (*CDC Technical Reference Manual Part 2 Schools*), Appendix E (*FECDC Technical Reference Manual Part 1)* and Appendix F (*FECDC Technical Reference Manual Part 2*) of this Schedule 2 (*Statement of Requirements*);

4.5.5.10.8 Miscellaneous - where the error is so fundamental to the quality of the data and is not covered in any category above.

4.5.5.11 The list of Showstoppers is based on CDC1 and is indicative only. The list, and critical and non- critical datapoints, will be reviewed by the Authority/TQM on the basis of the proforma set out in Appendix G (*CDC2 Draft Data Collection Proforma*) of this Schedule 2 (*Statement of Requirements*).

4.5.5.12 The Desktop Audit process for Schools described in the preceding paragraphs is outlined below in Flowchart 1:

Flowchart 1: Desktop Audit Process - Schools

4.5.6. Desktop Audits – FE Colleges

4.5.6.1 The Desktop Audit process for FE Colleges will differ from the School's approach. The FE College Desktop Audit will consist of one (1) fabric

survey, and one (1) M&E survey, per FE College, per SO, because there may be multi surveyor and engineer teams collecting data.

4.5.6.2   Flowchart 2 below demonstrate the FE College Desktop Audit Process:

Flowchart 2: Desktop Audit Process – FE Colleges
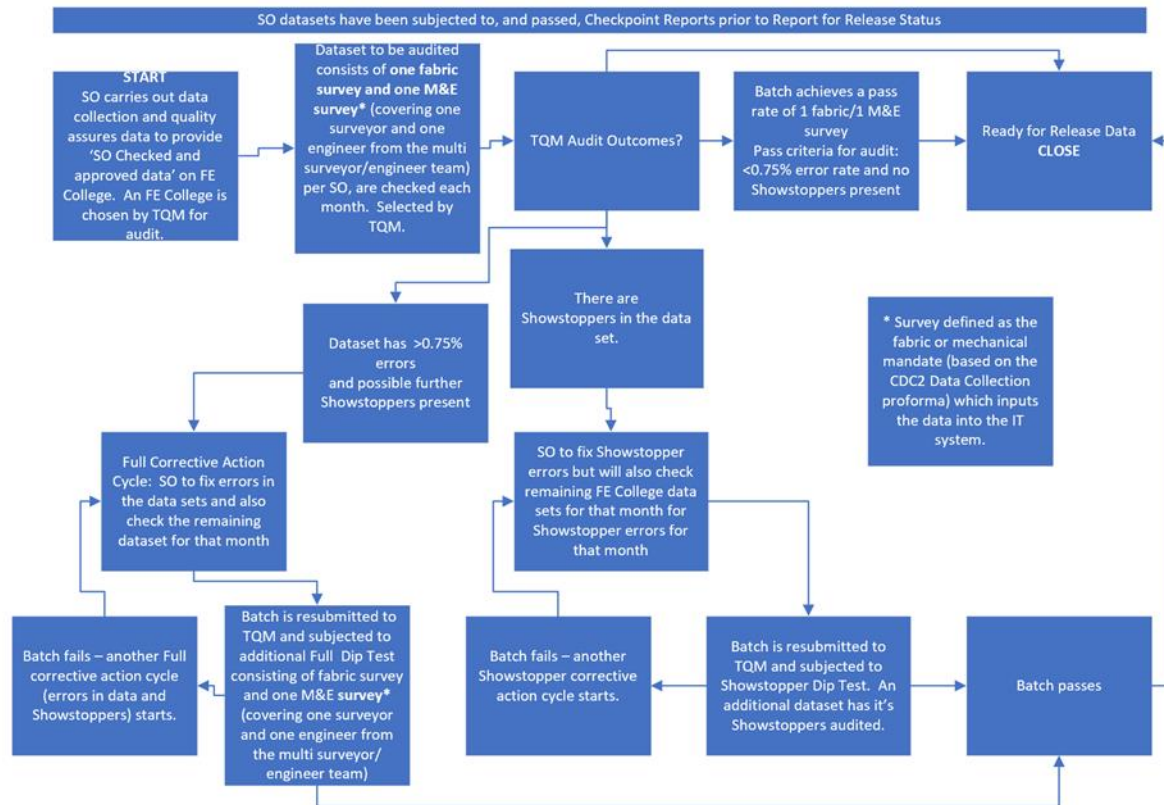
4.5.6.3   The FE College data must be SO Checked and Approved and the TQM will audit one hundred percent (100%) of the data-points within the dataset. It is anticipated each FE College Desktop Audit will pass/fail against a <0.75% error rate pass criteria, but this may be reviewed.

4.5.7.   **Corrective Action for Schools/FE Colleges**

4.5.7.1   Where the Desktop Audit identifies failures by the Consultant, corrective action is required by the Consultant.

4.5.7.2   The extent of corrective action required is dependent upon the presence of Showstoppers and/or percentage error rate as set out in Table 5 below. The Consultant shall also refer to Flowcharts 1 and 2 above. If Showstoppers are found during a Desktop Audit this will result in an immediate fail of the Desktop Audit (although the audit process must be completed on the dataset).

Table 5: Batch Results and Corrective Action Requirements

	First Review Batch Result	Corrective Action Required by the Consultant
1	Batch achieves >85% error rate pass but with Showstoppers in one dataset.	Fix the Showstoppers identified in the individual dataset within the audit Batch window.
2	Batch achieves >85% error rate pass but there are Showstoppers in more than one dataset.	The Consultant will fix Showstopper errors in the audits and will also check the remaining 95% of the Batch for any corrections required. The 95% will be subject to additional 2.5% Showstopper Dip Test.
3	Batch does not achieve >85% pass with >1% errors and possible further Showstoppers present.	The Consultant shall fix errors and Showstoppers in the data sets and shall also check the remaining 95% as these will be subject to 2.5% additional Full Dip Test.

4.5.7.3   A month end status report will be issued by the TQM to the Consultant stating the outcome of the Desktop Audit and the required corrective actions.

4.5.7.4   Where the Consultant has not achieved the first Batch pass, a corrective action cycle will be required (as identified in Table 5 above) and the data for that month will not be Ready for Release (unless corrective action on '1' is completed within the audit Batch window).

4.5.7.5   The TQM shall reconfirm the quality of the dataset for that month via the corrective action cycle, after the data has been corrected by the Consultant. Showstopper Dip Tests and Full Dip Tests consist of re-audits of failed, but corrected datasets to ensure that corrections have been carried out by the Consultant, and are a 2.5% sample across the 95% of the remaining Batch. The Consultant shall review the whole of the remaining dataset to check for errors.

4.5.7.6   The Consultant shall achieve a level of 95% of the actions required (as notified by the TQM to the Consultant) to ensure reports are Ready for Release during the KPI Measurement Period.

4.5.7.7   The Authority shall monitor the Consultant's performance in accordance with Schedule 7 (*Performance*) of the Agreement. Any failure of the Consultant to achieve the required performance levels shall entitle the Authority to undertake the actions detailed in Schedule 7 (*Performance*) of the Agreement.

4.5.8.   **Audit Tracking**

4.5.8.1   The Consultant shall be aware that the TQM shall undertake ongoing tracking and analysis of the audited datasets outside of the IT Solution. The tracking will record the data query/error against both the critical and non-critical data points to provide prevalence and trend analysis for review. This will inform future improvement strategies and will help develop requirements for corrective action and provide focus for future continuous improvement.

4.5.8.2   The TQM will maintain this analysis on a live tracker which will detail by SO and by month, the status of each SO's dataset in terms of meeting or missing the monthly target, and where the Consultant stands on the corrective action requirements.

4.5.8.3   The tracker will be updated each month by the TQM in respect of any change in status of a dataset which originally failed to meet the target but which has passed through corrective action requirements. It will state the stage in the corrective action cycle the dataset is in, for example, first or other review.

4.6. Exit Management

4.6.1.   The Consultant shall provide an Exit Plan to the Authority before the start of the final year of the Agreement. This Exit Plan will be reviewed and where required updated on a monthly basis, and shall set out the Consultant's proposed methodology for achieving an orderly transition of the Services from the Consultant to the Authority and/or any replacement consultant on the expiry or termination of the Agreement.

4.6.2.   The Exit Plan must include details such as (but not limited to):

4.6.2.1   Data (including Authority Data) to be transferred to the Authority;

4.6.2.2   The mechanism for transferring that data;

4.6.2.3   The mechanism for securely returning or destroying data (including Authority Data) held by the Consultant;

4.6.2.4   An outline of risks, issues and dependencies;

4.6.2.5   Details of Consultant personnel that will be engaged in the off-boarding process, with roles and responsibilities outlined;

4.6.2.6   Process for any required corrections to the data found after the Agreement has ended; and

4.6.2.7   Contribution to post CDC2 Programmereview, and post CDC2 Programme continuous improvement run by the TQM and the Authority.