

**This contract is made on 1<sup>st</sup> day of August 2020**

- 1 The Secretary of State for Education acting through the Education and Skills Funding Agency (ESFA) and
- 2 Anna Morrison Consultancy Services Limited of [REDACTED]  
[REDACTED] registered in England and Wales under number 07237948  
whose registered office is Alexander House, 40a Wilbury Way, Hitchin, England, SG4 0AP.

**It is agreed that:**

1. this contract, together with the attached schedules and annexes, collectively form the "**Contract**"; and
2. if there is a conflict between the provisions of the clauses of the Contract and the provisions of the schedules, the following order of precedence shall apply:
  - (a) schedule 2 (Terms and Conditions);
  - (b) schedule 1 (Specification of service);
  - (c) schedules 3 to 8;

**The Contract has been executed on the date stated at the beginning of this page.**

**SIGNED by the CONTRACTOR acting by**

**Authorised Signatory**

**In the presence of**

**Witness signature**

**Occupation**

**Address**

**Date**

**SIGNED by ESFA acting by**

**Position**

**in the presence of**

**Witness signature**

**Occupation**

**Address**

**Date**

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## Schedule 1

### Overview & Specification

#### 1 Contract description

- 1.1 The services to be delivered under this contract from August 2020 to January 2021 are to host and manage the ESFA owned elements of the Amazing Apprenticeships website, to support the delivery of Information, Advice & Guidance services (IAG) specifically on apprenticeships, traineeships and T Levels to schools and colleges and to provide secretariat duties to the ESFA's other contractors delivering the IAG in schools contract specifications.

This includes the hosting, maintenance and management of:

- Referrals to the ASK programme
- The YAAN portal
- The Vacancy Snapshot portal
- The School Workforce pages
- The ASK Database
- The YAAN Database

It is anticipated that the above named portals and databases will transfer to a new domain by January 2021 and that all other content on the site will remain the property of Amazing Apprenticeships.

It is a requirement that THE CONTRACTOR must work with THE ESFA to transfer the developed resources to another domain should these digital resources migrate to an in-house solution

- 1.2 The funding is provided to deliver across England, working in partnership with our schools contractors in their respective geographical areas

#### 2 Contract duration

- 2.1 The funding must be used to undertake the activities listed in clause 4 from 1<sup>st</sup> August 2020 – 31<sup>st</sup> January 2021

#### 3 Background

- 3.1 Background information on THE ESFA can be found on THE ESFA's website – <https://www.gov.uk/government/organisations/skills-funding-agency>

#### 4 Overview of requirements and service coverage

- 4.1 THE CONTRACTOR must deliver the Services as shown in this Schedule 1 and in accordance with Schedule 3 Financials.
- 4.2 In delivering the Services the CONTRACTOR must engage with the Careers and Enterprise Company local representatives and other local IAG delivery organisations.

This will include working to enhance national initiatives and pilots to increase uptake of the ASK programme in schools and supporting the Careers Leaders programme by:

- Providing training for Enterprise Co-ordinators and Advisers
- Developing apprenticeship resources to be included within Careers Leader programmes
- Providing content for inclusion within CEC newsletters

4.3 THE CONTRACTOR must work with THE ESFA's Apprenticeships in schools contractors in supporting schools, teachers and parents in using the online resource portal.

4.4 THE CONTRACTOR must demonstrate where possible that outputs and outcomes from the Service will supplement and enhance existing practices, resources or fill gaps in provision and information must be shared with other organisations

4.5 THE CONTRACTOR will continue to host, further develop and update the online resources that are currently housed in the Amazing Apprenticeships portal

4.5.1 Consumer testing – Continue to carry out consumer testing with different user groups including teachers, apprenticeship champions, young people and members of the Young Apprentice Ambassador Network (YAAN)

4.6 YAAN – further details provided in schedule 1 annex 1

The YAAN portal will be hosted, managed and maintained, including:

- Ongoing compliance with legislative requirements
- Address GDPR issues to enable sharing of members' data with AAN Co-ordinators
- Data analytics showing search, downloads and click throughs
- Portal Management
- CRM & Data Management
- Portal Transitional Plan

4.6.1 Provide non-digital support to the overall facilitation and management of the YAAN including:

- Communications activity
- Social media, events and resources
- Campaign communications and support
- YAAN Training
- Covid-19 & Post-Covid support
- Project Management

4.7 **VACANCY SNAPSHOT**

Maintain the Vacancy Snapshot portal, providing:

- Search and filter options
- Signpost users to further support
- Maintain vacancy information through individual fact files for each employer
- Update and adapt vacancy information on a rolling basis
- Record interest from employers wishing to work with the ESFA

#### **4.8 AMAZING APPRENTICESHIPS WEBSITE and ASK SUPPORT**

4.8.1 Work with the ESFA to support the overall management of the ASK programme:

- Ensure that Activity Requests are dealt with by ASK partners in a timely manner
- Provide support to deal with requests outside of the ASK programme
- Continue to grow and develop the Apprenticeship Champion Network

4.8.2 Develop and update online resources to support the promotion of apprenticeships, traineeships and T Levels.  
Update and further develop the ASK central slide decks for use by delivery partners for the new blended delivery offer for 2020/21.

4.8.3 No developments of hardware or software used directly or indirectly in delivering services paid for by ESFA are to be made without the express agreement in writing by ESFA.

4.8.4 No changes to existing resources used directly or indirectly in delivering services paid for by ESFA are to be made without the express agreement in writing by ESFA

**4.9** THE CONTRACTOR will support THE ESFA's Apprenticeship Skills and Knowledge in Schools (ASK) contractors to encourage teachers, careers advisers, parents and students to access and use the free resources housed on the Amazing Apprenticeships website.

4.9.1 Co-ordinate central communications to all schools across England

- 6 monthly e-newsletters with additional ad-hoc notifications throughout the year
- Support regional communications for each delivery partner by offering additional ad-hoc mailings as requested in line with contract performance.

4.9.2 Co-ordinate central marketing materials for the ASK programme including electronic versions for download. Full suite of marketing materials including;

- Banner stand (design file)
- ASK Brochure
- ASK 1 page flyer/enquiry card (a5)
- Apprenticeship Application guide

4.9.3 Work with ESFA and ASK partners to design and conduct surveys amongst schools to measure impact of support and identify additional resource requirements. This will be achieved through:

- An survey conducted in January
- Other ad-hoc surveys and reports throughout the period

4.9.4 Support and communicate to Delivery Partners to make links with the Young Apprentice Ambassador Networks so that apprentices and employers can be utilised as part of the offer.

4.9.5 Support the ESFA to co-ordinate the Delivery Partners by

- Developing the Delivery Partner Toolkit
- Providing guidance and training materials

- Ongoing telephone/email support for partners
  - Creation of central paperwork/evidence materials
  - Updating and re-circulating the Delivery Partners' toolkit
  - Organising briefing webinars (as requested by ESFA) so that the management team may address all delivery staff regarding project progress and sharing of best practice.
- 4.9.6 Support ongoing communication with all stakeholder organisations to ensure that local connections to the project are supported.
- 4.9.7 Support wider stakeholders by delivering webinar updates throughout the contract term to: THE ESFA Colleagues, National Careers Service, Careers and Enterprise Company, Chairs of local ITP networks, Local Authority 14-19 teams, Job Centre Plus (JCP) School Advisors
- 4.9.8 Co-ordinate the central database of schools and track the activity for all project partners
- Central Database maintained
  - Data cleanse stakeholders before start of academic year
  - Seek intelligence on meetings/events that require project support
  - Add new contacts for stakeholder organisations e.g. social mobility where appropriate
  - Enhance the reporting features of the database to ensure that accurate data can be extracted easily
  - Support Delivery Partners with training requirements for their staff using the database
  - Enhance the tracking of Delivery Partners engagement with stakeholder organisations, supporting identification of schools who have not engaged in the project
  - Work with ESFA to create reporting functions for any new areas as required
- 4.9.9 Analyse data, identifying which schools are not participating – tracked in the monthly reports for as long as the contract continues.
- 4.9.10 Work with THE ESFA to support the implementation of a new in-house schools CRM system and facilitate the migration of all data from the current ASK CRM to the new system.
- 4.9.11 Work with THE ESFA to facilitate the migration of other digital systems to in-house solutions as and when necessary.
- 4.10 THE CONTRACTOR will provide secretariat duties to the ESFA including the organisation of central management meetings as requested. The frequency of these meetings will adapt depending on the needs of the ASK programme and could include fortnightly, monthly or less frequently as required.
- 4.10.1 Co-ordinate meetings including rooms, refreshments, agendas & minutes
- 4.10.2 Communications, ongoing actions, circulation of papers between partners and ESFA
- 4.10.3 Attend the ESFA Sector Comms Group meeting and THE ESFA Individual Comms Group as a representative of the ASK programme.

4.11 THE CONTRACTOR will continue to establish the apprenticeship champion's network where teachers, career professionals and partners are keen to promote apprenticeships and traineeships within their wider networks.

4.11.1 Work with the Delivery Partners to recruit Apprenticeship Champions from schools, colleges and partners across the 4 regions.

4.11.2 Create and maintain promotional materials for the Champions network.

4.11.3 Create and circulate apprenticeship resources for Apprenticeship Champion network members. Liaise with members to ascertain demand for resources and circulate as required

4.11.4 Support promotion of the Apprenticeship Awards, specifically the Apprenticeship Champion category, Apprentice categories (through YAAN) and employer categories (through Vacancy Snapshot).

#### **4.12 SCHOOL WORKFORCE**

Through the School Workforce link on Amazing Apprenticeships, THE CONTRACTOR will support the work of the Employer Relations team by encouraging schools to consider apprenticeships as a way to recruit new staff and retrain or upskill existing staff of all ages and levels of experience, in a wide variety of roles. Website and activities to include:

Activities:

- Provision of web pages dedicated to apprenticeships for the school workforce
- Targeted case studies demonstrating best practice to overcome issues
- Head teacher videos/case studies
- Webinars
- Monthly communications to schools as appropriate and directed by ESFA
- Social media communications/PR as directed by ESFA
- Promotion of events e.g. NAW

#### **5 Evidence Requirements**

5.1 THE CONTRACTOR must ensure that the following documentary evidence (in a form acceptable to THE ESFA is available for inspection and audit at your premises at the time of making claims to THE ESFA:-

5.1.1 A detailed delivery plan for the project

5.1.2 A list of teachers and champions engaged in the project to be developed and maintained and as minimum to include fields recording their name and school. This should be provided to the ESFA on request through an export of all contacts from the

ASK Database.

5.1.3 A list of apprenticeship champions to be developed and maintained and as a minimum including fields to record name, school and postcode (to be included as part of the database development).

5.1.4 Evidence of webinars having taken place.

5.1.5 Evidence of the central database of schools tracking the activity for all project partners

5.1.6 Evidence of support provided to ASK delivery partners through resources, training events and ad-hoc/localised support.

## **6 Reporting requirements**

6.1 THE CONTRACTOR is required to enter into a data sharing protocol agreement with THE ESFA to ensure that named data can be shared for monitoring purposes

6.2 THE CONTRACTOR's detailed delivery plan, is shown at Annexe 1 to this Schedule This includes the resources required for delivery of the Services and key milestones for meeting the Service requirements.

6.3 THE CONTRACTOR must hold monthly meetings to review progress against the delivery plan and provide copies of the minutes of the meetings to THE ESFA.

6.4 THE CONTRACTOR must submit progress reports and attend review meetings with THE ESFA representative on a quarterly basis throughout the duration of the project at times and dates to be agreed by THE ESFA representative. The reports and review meetings must include the following as minimum:

6.4.1. Progress made/performance achieved against the activities outlined in clause 4 of this Schedule and Schedule 3; and

6.4.2. Any problems encountered and the steps taken to resolve them; and

6.4.3. Where applicable, reasons for any variation of achievement (including timescales for delivery) against the activities outlined in clauses 4.1 to 4.8 of this Schedule.

6.5 THE CONTRACTOR must produce a final written report that will evaluate performance and submit this to THE ESFA's representative by 31 January 2021. The report must include the following as a minimum;

6.5.1. Project Summary

6.5.2. Lessons Learned

6.5.3. Recommendations for future activity



6.5.4. Feedback from teachers and young people about the project

6.5.5. Partner/local stakeholder comments/evaluation about the project; and

6.5.6. Outcomes achieved against targets.

6.6 THE CONTRACTOR must provide THE ESFA with details of all resources and other materials it has developed in delivering the Services at the end of the Contract.

## **7. EXIT STRATEGY**

7.1 THE CONTRACTOR must work with THE ESFA to produce and agree a plan to handle exit arrangements by **31 January 2021**.

## **Schedule 1 – Annex 1**

### **Delivery plan for YAAN**

#### **Digital activity**

##### **Portal Management – update & maintain**

- Content, Resources etc
- ASK Event Matching Calendar and member event notification
- Maintain and manage the YAAN application process
- Continue the agreed member on-boarding protocol for new members
- Maintain and Manage the YAAN Training event booking process
- Non-ASK Event Log
- User support via email and telephone

##### **CRM & Data Management**

- Maintain, update and refresh members data including any GDPR updates/requirements
- Train those that access it
- Support users that access it via email and telephone and training workshops
- Run regular and ad hoc reports to support the YAAN regions and ESFA
- Maintain pre-set report functions

##### **Portal Transitional Plan**

- Plan, assist and deliver the transition of the portal and its content into AS
- NB. If this action is postponed further by ESFA – agree alternative activity for funding

#### **Non digital activity**

##### **Communications**

- Weekly liaison with YAAN Chairs and YAAN members through on-boarding process
- Monthly newsletter via MailChimp
- Update and maintain Message board/feeds (news),
- Regular adhoc newsflash, surveys when required
- Monthly welcome webinars to new YAAN members prior to their formal training
- As required support/deliver NAS or AA led YAAN Chair KIT –
- Contribute to external comms that promote the work of the YAAN and encourage new membership

### **Social Media, events and resources**

- Promote and expand the YAAN through amplifying local and NAS social media campaigns by tweeting / retweeting / sharing and liking
- Attend local and national events/meetings as required and preparing supporting resources e.g. Film/documents
- Develop promotional materials e.g. flyers.
- Develop and update YAAN resources as required and updates (including YAAN handbook, Factsheets, Line Manager Briefing, Guide to role of Chair and governance, New master presentations incl. filmed examples of YAAs delivering sessions, filmed footage of YAAN activity, topic guides
- YAAN Insight Consultation / evaluation of members/events and support

Campaign Communication Support e.g. NAW2021, NAW

- Including information and updates on portal
- Creating bespoke promotional toolkits for Chairs and YAANs to use and design work e.g. logos / imagery
- Include articles in newsletters
- Develop member case studies/profiles
- Analysis and targeted comms for engagement in campaigns e.g. school visits during NAW

### **YAAN Training**

#### **YAAN Training QA & Updates**

- Quality Assure the national YAAN training delivered by the 4 x ASK providers and intervene/support as necessary
- Adapt the content of the programme and create new/updated training resources as required e.g. To reflect programme/policy changes.
- Conduct ongoing training satisfaction evaluation. Provide analysis of responses and make recommendation to ESFA on adaptations required
- With NAS explore accrediting mandatory YAAN training
- Ad-hoc QA observations where requested

#### **Train the Trainer – Post September 2020**

- Annual refresh of the Train the Trainer programme for new ASK providers staff delivering the YAAN Training to include –
- Refreshed trainer's handbook
- Includes 1 x face to face session (Cost includes venue costs and refreshments (if

YHA St Pancras) for 15 people (3 per ASK region + NAS),

- 3 x additional quarterly 1 hour
- update/discussion webinars throughout the year

#### **Other**

- Create new/updated training resources/modules outside of one day training programme as required eg. Mental Health, Digital Skills
- Preparation of paper for possible online delivery, including data, options and costings

#### **YAAN Chairs CPD**

- Plan, deliver and evaluate any remaining CPD sessions for the YAAN Leaders from agreed programme developed 19/20. (Online or f2f - ESFA to cover venue costs, refreshments, accommodation/travel for YAAs)
- Create social media template for use by YAAN Chairs
- Create accompanying resources for CPD sessions

#### **Covid 19 & Post Covid Support/Planning**

- Continue to deliver basic introduction to YAAN Presentational Training at welcome webinar
- Continue to plan, promote, host and deliver Teabreak Talk (TT) webinars until further agreement with ESFA
- Work with YAAN Chairs to co-deliver the TT webinars, assigning dates and agreeing themes for discussion
- Assist YAANs with their regional Covid Comms to members including SM, written communications and webinars
- Assist regional YAANs with forward planning
- Continue to deliver weekly YAAN at home newsletter until further agreement with ESFA
- Share good practice and assist YAs to develop blogs, update their profiles, film their presentations in the COVID period
- Support YAA buddying
- Signpost YAAs to Apprenticeship support & Guidance in Covid period
- Engage with ReSSA team to promote, host, deliver and record 1 x webinar to promote the new service once launched

#### **Project Management**

- Set up/support T&F groups, workshops, webinar as required with YAAs & ESFA

- Provide progress reports, updates and data as required
- Attend management meetings with ESFA and regular KITs
- Prepare/deliver reports and presentations for AAN
- Liaise with ASK programme providers to ensure YA are matching to events, receiving timely training etc. Flag issues with ESFA
- Respond to queries and support Chairs, Trainers, ASK Partners and ESFA with project plans/strategizing
- Attend meetings/events regarding the YAAN and represent the network and ESFA

**Schedule 2**  
**Terms and Conditions**

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## 1. DEFINITIONS AND INTERPRETATION

1.1 In the Contract, the following expressions have the following meanings, unless inconsistent with the context:

**“Area”** means England.

**“Associated Company”** means any company which is, in relation to another company, its holding company or its subsidiary or a subsidiary of its holding company. “Holding company” and “subsidiary” will have the meanings attributed to them in section 736 and 736A of the Companies Act 1985 and section 1159 of the Companies Act 2006.

**“Business Days”** means Mondays to Fridays (inclusive) in each week, excluding bank and other public holidays in England.

**“CCN”** means a Change Control Note in the form set out in schedule 6.

**“Charges”** means the fees subject to clause 8 payable to the Contractor for the provision of the Services calculated in accordance with schedule 3.

**“Commercially Sensitive Information”** means the information set out in schedule 1 comprising the information of a commercially sensitive nature relating to:

- (a) the Price;
- (b) details of the Contractor’s Intellectual Property Rights; and
- (c) the Contractor’s business and investment plans

which the Contractor has indicated to ESFA that, if disclosed by the Authority, would cause ESFA significant commercial disadvantage or material financial loss.

**“Confidential Information”** means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including information the disclosure of which would, or would be likely to, prejudice the commercial interests of any person or trade secrets or Intellectual Property Rights of either Party and all personal data and sensitive personal data within the meaning of the DPA. Confidential Information shall not include information which:

- (a) was public knowledge at the time of disclosure;
- (b) was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;
- (c) is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or
- (d) is independently developed without access to the Confidential Information.

**“Consortium”** means an association of 2 or more persons acting together to deliver the Services but excludes Sub-Contractors.

**“Consortium Agreement”** means, if the Contractor is a Consortium, an agreement:

- (a) signed by all the Consortium Members as at the Effective Date; and
- (b) adhered to by Consortium Members who join the Consortium after the Effective Date by signing a Deed of Adherence

which sets out, amongst other things, how the Consortium Members will work together to deliver the Services.

**“Consortium Member”** means a member of a Consortium (if any).

**“Contractor Equipment”** means the Contractor's ICT equipment.

**“Contractor's Solution”** means the Contractor's proposal submitted in response to the ESFA's invitation to tender attached at schedule 10.

**“Copyright”** means as it is defined in s.1 of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Crown”** means the government of the United Kingdom (including the Northern Ireland Executive Committee and Northern Ireland Departments, the Scottish Executive and the National Assembly for Wales), including, but not limited to, government ministers, government departments, government offices and government agencies and **“Crown Body”** is an emanation of the foregoing.

**“Database Rights”** means as rights in databases are defined in s.3A of Part 1 Chapter 1 of the Copyright, Designs and Patents Act 1988.

**“Deed of Adherence”** means a deed under which a new Consortium Member shall covenant with the other Consortium Members to adhere to the terms of the Consortium Agreement in either the form set out in schedule 10 or in any other form approved by ESFA in writing.

**“Default”** means breach of the obligations of the relevant Party (including abandonment of the Contract in breach of its terms, repudiatory breach or breach of a fundamental term) or any other default, act, omission, negligence or statement of the relevant Party or the Personnel in connection with the subject-matter of the Contract and in respect of which such Party is liable to the other.

**“ESFA Premises”** means any premises owned by, leased or hired to or otherwise controlled by ESFA or which ESFA nominates as such by notice in writing to the Contractor.

**“ESFA Security Standards”** means the security standards as set out in schedule 8.

**“ESFA Trade Marks”** means proprietary trade mark rights of ESFA including those notified to the Contractor by ESFA from time to time.

**“Dispute”** means any dispute between the Parties in connection with the Contract.

**“DOTAS”** means the Disclosure of Tax Avoidance Schemes rules which require a promotor of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance (Application of Part 7 of the Finance Act 2004) regulations 2012, SI 2012/1868 made under section 132A of the Social Security Administration Act 1992.

**“DPA”** means the Data Protection Act 1998 and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice published by the Information Commissioner or relevant government department in relation to such legislation.

**“Effective Date”** means **1 August 2020**

**“EIR”** means the Environmental Information Regulations 2004 and any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to them.

**“Employment Liabilities”** means all actions, proceedings, costs (including reasonable legal costs), losses, damages, fines, penalties, compensation, awards, demands, orders, expenses and liabilities connected with or arising from all and any laws including, without limitation, directives, statutes, secondary legislation, orders, codes of practice, contractual obligations and



other common law rights whether of the European Union, United Kingdom or any other relevant authority relating to or connected with:

- (a) the employment and dismissal of employees (including their health and safety at work); and
- (b) the engagement, use and termination of individuals other than employees who provide services (including their health and safety at work),

and all wages, holiday pay and employment benefit costs due in respect of (a) or (b) above, including claims for protective awards.

**“FOIA”** means the Freedom of Information Act 2000 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to it.

**“Force Majeure”** 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 disaster, natural or man-made, but excluding:

- (a) any industrial action occurring within the Contractor’s or any of its Sub-Contractor’s organisation, or otherwise involving the Personnel; or
- (b) the failure by any Sub-Contractor of the Contractor to perform its obligations under any sub-contract.

**“General Anti-Abuse Rule”** means:

- (a) the legislation in Part 5 of the Finance Act 2013; and
- (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid NICs.

**“Good Industry Practice”** means the standards, practices, methods and procedures conforming to the law and the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances.

**“Halifax Abuse Principle”** means the principle explained in the CJEU Case C-255/02 Halifax and others.

**“HMRC”** means Her Majesty’s Revenue and Customs.

**“ICT”** means information and communications technology.

**“Implementation Plan”** means the plan and time schedule for the completion of the obligations of the Contractor under the Contract as set out in schedule 5 as the same may be replaced by any subsequent more detailed plan and time schedule as the Parties may agree in writing from time to time.

**“Initial Term”** means the period from the Effective Date to **31 January 2021**

**“Intellectual Property Rights”** means patents, inventions, trade-marks, service marks, logos, design rights (whether registrable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, trade and/or business names, rights in confidential information and know how, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off.

**“IP Materials”** means any materials used or developed for the purposes of the Contract including any programme materials, guidance, papers and research data, results, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models and designs.

**“Key Personnel”** means any of the Personnel identified as such in schedule 7 or otherwise identified as such by ESFA pursuant to clause 6.

**“Key Sub-Contractor”** means any Sub-Contractor identified as such in schedule 7 or otherwise identified as such by ESFA.

**“Material Breach”** means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the ESFA would otherwise derive from:

- (a) a substantial portion of the Contract; or
- (b) any of the obligations set out in clauses 9, 10, 12, 15, 17 and 33 and in schedule 8.

**“NICs”** means National Insurance Contributions.

**“Occasion of Tax Non-Compliance”** means:

- (a) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:
  - (i) a Relevant Tax Authority successfully challenging the Contractor under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;
  - (ii) the failure of an avoidance scheme which the Contractor was involved in, and which was, or should have been, notified to the Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or
- (b) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

**“Outputs”** means the outputs in relation to the Services set out in schedule 4 which the Contractor shall comply with.

**“Personnel”** means all persons employed by the Contractor to perform its obligations under the Contract together with the Contractor’s servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Contract.

**“Prohibited Act”** means:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the ESFA a financial or other advantage to:
  - (i) induce that person to perform improperly a relevant function or activity; or
  - (ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with the Contract;
- (c) an offence:

- (i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act;
- (ii) under legislation or common law concerning fraudulent acts; or
- (iii) the defrauding, attempting to defraud or conspiring to defraud the ESFA;
- (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct has been carried out in the UK.

**“Quality Standards”** means the quality standards published by BSI British Standards, the National Standards Body of the United Kingdom, the International Organisation for Standardization or other reputable or equivalent body, (and their successor bodies) that a skilled and experienced operator in the same type of industry or business sector as the Contractor would reasonably and ordinarily be expected to comply with, and as may be further detailed in the Specification and in the attachment entitled British Standards in Customer Services included with the ITT

**“Regulations”** means the Public Contract Regulations 2015.

**“Regulatory Body”** means a government department and regulatory, statutory and other entities, committees, ombudsmen 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 the Contract or any other affairs of the ESFA.

**“Relevant Conviction”** means a conviction for an offence involving violence or dishonesty, of a sexual nature or against minors, or for any other offence that is relevant to the nature of the Services.

**“Relevant Requirements”** means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 and any guidance issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010.

**“Relevant Tax Authority”** means HMRC or, if applicable, a tax authority in the jurisdiction in which the Contractor is established.

**“Replacement Contractor”** means any third party supplier appointed by the ESFA to supply any services which are substantially similar to any of the Services in substitution for the Contractor following the expiry, termination or partial termination of the Contract.

**“Request for Information”** means a request for information under the FOIA or the EIR.

**“Restricted Country”** means:

- a) any country outside the United Kingdom; and
- b) any country not deemed adequate by the European Commission pursuant to Article 25(6) of Directive 95/46/EC

**“Returning Employees”** means those persons agreed by the Parties to be employed by the Contractor (and/or any Sub-Contractor) wholly or mainly in the supply of the Services immediately before the end of the Term.

**“Services”** means the services described in the Specification.

**“Services Commencement Date”** means **1 August 2020**

**“Service Credits”** means the service credits specified in schedule 4 which shall be payable to the ESFA by the Contractor in the event that the Service Levels are not met in respect of Services.

**“Service Level”** means the levels of Service defined in schedule 4.

**“Service Period”** means the following:

- (a) the first Service Period of the Contract shall begin on the Services Commencement Date and shall expire at the end of the calendar month in which the Service Commencement Date falls; and
- (b) after the first Service Period of the Contract a Service Period shall be a calendar month during the Contract save that the final Service Period of the Contract shall commence on the first day of the calendar month in which the Contract expires or terminates and shall end on the expiry or termination of the Contract.

**“Service Users”** means those receiving the Services.

**“Specification of Service ”** means the description of the Services to be supplied under the Contract set out in schedule 1.

**“Staff”** means all persons employed by the Contractor to perform its obligations under the Contract together with the Contractor’s servants, agents, suppliers and Sub-Contractors used in the performance of its obligations under the Contract.

**“Sub-Contract”** means a contract between 2 or more suppliers, at any stage of remoteness from ESFA 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 and **“Sub-Contractor”** shall be construed accordingly.

**“Term”** means the period from the Effective Date until the date the Contract ends for whatever reason.

**“TFEU”** means the Treaty on the Functioning of the European Union.

**“Treaties”** means the TFEU and the Treaty on European Union.

**“TUPE”** means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

**“Variation”** means any variation to the Contract requiring a Change Control Note to be completed in accordance with schedule 6.

1.2 The following notes of construction and interpretation apply to the Contract:

- 1.2.1 references to a statute or statutory provision shall, unless the context otherwise requires, include a reference to that statute or statutory provision as from time to time amended, modified, extended, re-enacted or consolidated and all statutory instruments or orders made pursuant to it whether replaced before or after the date of the Contract which are in force prior to the date of the Contract;
- 1.2.2 the expression “person” means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture;
- 1.2.3 the words “include”, “includes”, “including” and “included” will be construed without limitation unless inconsistent with the context;
- 1.2.4 the masculine includes the feminine and the neuter, and the singular includes the plural and vice versa as the context shall admit or require;
- 1.2.5 any reference in the Contract to a clause or schedule is a reference to a clause or schedule of the Contract and references in any schedule to paragraphs relate to the paragraphs in that schedule;
- 1.2.6 the clause headings are included for convenience only and shall not affect the interpretation of the Contract; and

- 1.2.7 the schedules and appendices form part of the Contract and shall have effect as if set out in full in the body of the Contract and any reference to the Contract includes the schedules.

## **2. TERM**

- 2.1 The Contract commences on the Effective Date and, subject to any provision of this Contract for earlier termination, or extension set out in this clause 2, will terminate at the end of the Initial Term.

## **3. THE SERVICES**

- 3.1 The Contractor shall provide the Services in the Area in accordance with the Specification and undertake and be responsible for all obligations of the Contractor in respect of the Services.
- 3.2 The ESFA may appoint other Contractors for the Services in the Area.
- 3.3 The Contractor shall, in performing its obligations under the Contract:
- 3.3.1 conform to the requirements of the Specification and the Contractor's Solution or as otherwise agreed in writing between the Parties;
  - 3.3.2 carry out and complete the Services in a proper professional manner (taking account of the standards of a reasonably proficient practitioner) and in conformity with all reasonable directions and requirements of the ESFA specified by the ESFA from time to time;
  - 3.3.3 comply with Good Industry Practice;
  - 3.3.4 ensure that the Services are provided by competent and appropriately trained personnel;
  - 3.3.5 comply with the Quality Standards and where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body;
  - 3.3.6 comply with the Outputs, Service Levels and Service Credit requirements set out in schedule 4;
  - 3.3.7 comply with the Implementation Plan;
  - 3.3.8 in so far as is reasonably practicable, comply with any policies and procedures adopted by the ESFA from time to time within 14 days of the same being brought to the attention of the Contractor by the ESFA;
  - 3.3.9 comply with applicable law, any applicable codes of practice or governmental regulation, and monitor compliance with relevant legislation;
  - 3.3.10 comply with all health and safety legislation, adopt and maintain safe operating systems of work and appropriate safety policies in order to protect the health and safety of Personnel, employees of the ESFA, the Service Users and all other persons including members of the public; and
  - 3.3.11 comply with all safety, security, acceptable use and other policies of the ESFA from time to time notified to it and procure that the Personnel also comply.
- 3.4 The ESFA may provide data and materials to the Contractor and access to systems for the purposes of providing the Services that the Contractor may use but only to the extent necessary to enable the Contractor to provide the Services.

- 3.5 All equipment and other property brought onto ESFA Premises shall be at the Contractor's own risk and the ESFA shall have no liability for any loss of or damage to any such equipment and property unless the Contractor is able to demonstrate that such loss or damage was caused by the negligence of the ESFA.
- 3.6 Any land or ESFA Premises made available from time to time to the Contractor by the ESFA in connection with the Contract shall be made available to the Contractor on a non-exclusive licence basis free of charge and shall be used by the Contractor solely for the purpose of performing its obligations under the Contract. The Contractor shall have the use of such land or ESFA Premises as a licensee and shall vacate the same on completion, termination or abandonment of the Contract or the task in respect of which such land or ESFA Premises was made available.
- 3.7 The Contract does not create a tenancy of any nature whatsoever in favour of the Contractor or any of the Personnel and no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to the Contract, the ESFA retains the right at any time to use any ESFA Premises in any manner.

#### **4. CONSORTIA**

- 4.1 If the Contractor is a Consortium it shall comply with the terms of this clause 4.
- 4.2 The Contractor may appoint additional or replacement Consortium Members to assist it in carrying out its obligations under the Contract subject to compliance with clause 4.3.
- 4.3 No new person or entity may become a Consortium Member until:
- 4.3.1 the ESFA has given its prior written consent to the new Consortium Member;
- 4.3.2 the new Consortium Member has signed a Deed of Adherence; and
- 4.3.3 a copy of the Deed of Adherence has been given to the ESFA.
- 4.4 The Contractor shall promptly inform the ESFA if and how any Consortium Member breaches the terms of the Consortium Agreement.

#### **5. TRANSFER AND SUB-CONTRACTING**

- 5.1 Save as set out in this clause 5 the Contractor may not sub-contract, assign, transfer, charge the benefit and/or delegate the burden of the whole or any part of the Contract (a "**Transfer**") without the prior written consent of the ESFA.
- 5.2 If the ESFA consents to a Transfer the Contractor will evidence the Transfer in writing and provide a copy of the Transfer document on request.
- 5.3 The Contractor may award Sub-Contracts with a value per annum not exceeding £10,000 without the ESFA's consent.
- 5.4 Where the ESFA has consented to a Sub-Contract, copies of each Sub-Contract shall, at the request of the ESFA, be sent by the Contractor to the ESFA as soon as reasonably practicable.
- 5.5 The Contractor shall not terminate or materially amend the terms of any Sub-Contract without the ESFA's prior written consent.
- 5.6 The ESFA may require the Contractor to terminate a Sub-Contract if the acts or omissions of the Sub-Contractor have given rise to the ESFA's right of termination pursuant to clause 23 unless the Sub-Contractor can remedy the breach to the ESFA's satisfaction within 21 days of receipt by the Contractor of written notice from the ESFA requiring the Sub-Contract to be terminated.

- 5.7 The Contractor shall remain responsible for all acts and omissions of its Sub-Contractors as if they were its own.
- 5.8 If the ESFA believes there are:
- 5.8.1 compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the Contractor shall replace or not appoint the Sub-Contractor; or
- 5.8.2 non-compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the ESFA may require the Contractor to replace or not appoint the Sub-Contractor and the Contractor shall comply with such requirement.
- 5.9 In addition to any other management information requirements set out in this Contract, the Contractor agrees and acknowledges that it shall, on request and at no charge, provide timely, full, accurate and complete SME Management Information (MI) Reports to the Department including:
- 5.9.1 the total contract revenue received directly on this contract;
- 5.9.2 the total value of sub-contracted revenues under the contract (including revenues for non-SMEs/non-VCSEs); and
- 5.9.3 the total value of sub-contracted revenues to SMEs and VCSEs.

## **6. PERSONNEL**

- 6.1 The ESFA may refuse admission to ESFA Premises and/or direct the Contractor to end the involvement in the Services of any Personnel whom the ESFA believes is a security risk.
- 6.2 If the ESFA require the removal of any Personnel pursuant to clause 6.1, any Employment Liabilities and any other costs connected with that removal shall be at the Contractor's cost.
- 6.3 The Contractor shall use its reasonable endeavours to ensure continuity of Personnel and to ensure that the turnover rate of Personnel is at least as good as the prevailing industry norm for similar services, locations and environments.
- 6.4 The Contractor shall ensure that no person who discloses a Relevant Conviction or who is found to have any Relevant Convictions (whether as a result of a police check or through the Disclosure and Barring Service Procedures or otherwise), is employed or engaged in providing the Services without the ESFA's prior written consent.
- 6.5 For each of the Personnel who, in providing the Services, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the ESFA owes a special duty of care the Contractor shall (and shall procure that any relevant Sub-Contractor shall) ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service, and the Contractor shall not (and shall ensure that any Sub-Contractor shall not) engage or continue to employ in the provision of the Services any person who has a Relevant Conviction or what would reasonably be regarded as an inappropriate record.
- 6.6 The Contractor acknowledges that Key Personnel and Key Sub-Contractors are essential to the proper provision of the Services. The Parties have agreed to the appointment of Key Personnel and Key Sub-Contractors listed in schedule 7 as at the Effective Date.
- 6.7 Key Personnel shall not be released from supplying the Services without the ESFA's consent except by reason of long-term sickness, maternity leave, paternity leave or termination of employment or other similar reason.

- 6.8 Any replacements of Key Personnel shall be subject to ESFA consent and shall be of at least equal status, experience and skills to Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- 6.9 The ESFA shall not unreasonably withhold consent under clauses 6.7 or 6.8. Such agreement 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 Personnel or Key Sub-Contractors.
- 6.10 ESFA may require the Contractor to remove any Key Personnel who the ESFA considers in any respect unsatisfactory.
- 6.11 The ESFA shall not be liable for the cost of replacing any Key Personnel and the Contractor shall indemnify the ESFA against all Employment Liabilities that may arise in this respect.
- 6.12 Except in respect of any transfer of staff under TUPE, for the Term and for 12 months after the Term neither Party shall (except with the prior written consent of the other) solicit the services of any staff of the other Party who have been engaged in providing the Services or the management of the Contract or any significant part thereof either as principal, agent, employee, independent contractor or in any other form of employment or engagement other than by means of an open national advertising campaign and not specifically targeted at staff of the other Party.

## **7. TUPE**

- 7.1 No later than 6 Months prior to the end of the Term the Contractor shall fully and accurately disclose to the ESFA, within 30 days of the request, all information that the ESFA may reasonably request in relation to the Staff including the following:
- 7.1.1 the total number of Staff whose employment/engagement shall terminate at the end of the Term;
  - 7.1.2 the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Staff referred to in clause 7.1.1;
  - 7.1.3 the terms and conditions of employment/engagement of the Staff referred to in clause 7.1.1, their job titles and qualifications;
  - 7.1.4 details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
  - 7.1.5 details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union
- (together the “**TUPE Information**”).
- 7.2 At intervals determined by the ESFA (which shall not be more frequent than once every 30 days) the Contractor shall give the ESFA updated TUPE Information.
- 7.3 Each time the Contractor supplies TUPE Information to the ESFA it shall warrant its completeness and accuracy and the ESFA may assign the benefit of this warranty to any Replacement Contractor.
- 7.4 The ESFA may use TUPE Information for the purposes of any retendering process.
- 7.5 If TUPE applies to the transfer of the Services on termination of the Contract, the Contractor shall indemnify and keep indemnified the ESFA, the Crown and any



Replacement Contractor against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which they may suffer or incur as a result of or in connection with:

- 7.5.1 the provision of TUPE Information;
  - 7.5.2 any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Contractor or any Sub-Contractor in respect of any Returning Employee on or before the end of the Term;
  - 7.5.3 any failure by the Contractor or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the ESFA or a Replacement Contractor to comply with its duties under regulation 13 of TUPE;
  - 7.5.4 any Court or Employment Tribunal claims (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning Employees arising from or connected with any failure by the Contractor or any Sub-Contractor to comply with any legal obligation to such trade union, body or person; and
  - 7.5.5 any claim by any person who is transferred by the Contractor to the ESFA and/or a Replacement Contractor whose name is not included in the list of Returning Employees.
- 7.6 If the Contractor becomes aware that TUPE Information it provided has become inaccurate or misleading, it shall promptly notify the ESFA and provide the ESFA with up to date TUPE Information.
- 7.7 This clause 7 applies during the Term and indefinitely thereafter.
- 7.8 The Contractor undertakes to the ESFA that, during the 12 Months prior to the end of the Term the Contractor shall not (and shall procure that any Sub-Contractor shall not) without written approval of ESFA (such approval not to be unreasonably withheld or delayed):
- 7.8.1 amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Personnel (other than where such amendment or variation has previously been agreed between the Contractor and the Personnel in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);
  - 7.8.2 terminate or give notice to terminate the employment or engagement of any Personnel (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);
  - 7.8.3 transfer away, remove, reduce or vary the involvement of any other Personnel from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse effect on the delivery of the Services, (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or
  - 7.8.4 recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

## 8. CHARGES

- 8.1 Except where otherwise expressly stated in the Contract the only payments to be paid by the ESFA for the performance by the Contractor of its obligations under the Contract shall be the Charges which shall be inclusive of all costs and expenses incurred by the Contractor in the performance of its obligations.
- 8.2 In consideration for the provision of the Services the ESFA shall pay the Charges in accordance with the schedule 3 subject to the receipt of correct invoices pursuant to clause 8.7 being issued by the Contractor.
- 8.3 Except where otherwise expressly stated in schedule 3 the Contractor shall not be entitled to increase the Charges or any rates identified in schedule 3 throughout the Term.
- 8.4 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 ESFA 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.
- 8.5 Payment of the Charges by the ESFA shall be without prejudice to any rights the ESFA 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 ESFA by reason of such payment.
- 8.6 The ESFA may deduct from or offset against any monies due or becoming due to the Contractor under the Contract (including the Charges) any monies due from the Contractor under the Contract or otherwise under any other agreement or account whatsoever.
- 8.7 Invoices shall be submitted to [Claire.cummings@education.gov.uk](mailto:Claire.cummings@education.gov.uk) within 30 days of the end of the relevant invoicing date. An invoice is a “**Valid Invoice**” if it is legible and includes:
- 8.7.1 the date of the invoice;
  - 8.7.2 Contractor's full name and address;
  - 8.7.3 Contract reference number;
  - 8.7.4 the charging period;
  - 8.7.5 a detailed breakdown of the appropriate Charges including deliverables or milestones achieved (if applicable);
  - 8.7.6 days and times worked (if applicable);
  - 8.7.7 Service Credits (if applicable); and
  - 8.7.8 VAT if applicable.
- 8.8 The ESFA shall not pay an invoice which is not a Valid Invoice.
- 8.9 The ESFA intends to pay Valid Invoices within 10 days of receipt. Valid 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 8.9 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.

- 8.10 The ESFA shall not be responsible for any delay in payment caused by receipt of invoices which are not Valid Invoices and shall, within 10 Business Days of receipt, return to the Contractor for correction invoices that are not Valid Invoices together with an explanation of the need for correction.
- 8.11 At the end of the Term the Contractor shall promptly draw-up a final invoice which shall cover all Services provided up to the end of the Term which have not already been invoiced to the ESFA. The final invoice shall be submitted not later than 30 days after the end of the Term.
- 8.12 The ESFA shall not be obliged to pay the final invoice until the Contractor has carried out all of the Service.
- 8.13 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.
- 8.14 If the ESFA disputes any amount specified in a Valid Invoice it shall pay such amount of the invoice as is not in dispute and within 10 Business Days notify the Contractor of the reasons for disputing the invoice. The ESFA may withhold the disputed amount pending resolution of the dispute.
- 8.15 The Parties shall use all reasonable endeavours to resolve any dispute over invoices within 10 Business Days of the dispute being raised, after which period either Party may refer the matter for resolution in accordance with clause 36.

## **9. TAX and VAT**

- 9.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under the Contract it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax in respect of that consideration.
- 9.2 If the Services are liable for VAT the Contractor shall comply with HMRC rules and regulations. The Contractor will be liable for paying to HMRC any identified VAT including those which may fall due.
- 9.3 If the Contractor is liable to NICs in respect of consideration received under the Contract it shall comply with the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to NICs in respect of that consideration.
- 9.4 The ESFA may ask the Contractor to provide information which demonstrates how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it.
- 9.5 A request under clause 9.4 may specify the information which the Contractor must provide and the period within which that information must be provided.
- 9.6 The ESFA may terminate this Contract if:
  - 9.6.1 in the case of a request mentioned in clause 9.4 the Contractor:
    - (i) fails to provide information in response to the request within a reasonable time; or
    - (ii) provides information which does not demonstrate either how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it;

- 9.6.2 it receives information which demonstrates that, if clauses 9.1 to 9.3 apply, the Contractor is not complying with those clauses.
- 9.7 The ESFA may supply any information which it receives under clause 9.4 to HMRC.
- 9.8 The Contractor bears sole responsibility for the payment of tax and national insurance contributions due from it in relation to any payments or arrangements made under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract.
- 9.9 The Contractor will account to the appropriate authorities for any applicable income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract. The Contractor shall indemnify ESFA against any liability, assessment or claim made by the HMRC or any other relevant authority arising out of the performance by the Contractor of its obligations under the Contract (other than in respect of employer's secondary national insurance contributions) and any costs, expenses, penalty fine or interest incurred or payable by ESFA in connection with any such assessment or claim.
- 9.10 The Contractor authorises the ESFA to provide 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 the Contract whether or not ESFA is obliged as a matter of law to comply with such request.
- 9.11 If, during the Term, an Occasion of Tax Non-Compliance occurs, the Contractor shall:
- 9.11.1 notify the ESFA in writing of such fact within 5 Business Days of its occurrence; and
- 9.11.2 promptly give the ESFA:
- (i) details of the steps it is taking to address the Occasion of Tax Non-Compliance and to prevent the same from recurring, together with any mitigating factors it considers relevant; and
- (ii) such other information in relation to the Occasion of Tax Non-Compliance as the ESFA may reasonably require.

## **10. PREVENTION OF CORRUPTION**

- 10.1 The Contractor represents and warrants that neither it, nor to the best of its knowledge any Personnel, have at any time prior to the Effective Date:
- 10.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; or
- 10.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.
- 10.2 The Contractor shall not:
- 10.2.1 commit a Prohibited Act; or
- 10.2.2 do or suffer anything to be done which would cause the ESFA or any of its employees, consultants, contractors, Sub-Contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.

- 10.3 The Contractor shall:
- 10.3.1 and procure that its Sub-Contractors shall, establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act; and
  - 10.3.2 keep appropriate records of its compliance with its obligations under clause 10.3.2 and make such records available to the ESFA on request.
- 10.4 The Contractor shall immediately notify the ESFA in writing if it becomes aware of any breach of clauses 10.1 and/or 10.2, or has reason to believe that it has or any of the Personnel have:
- 10.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
  - 10.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; or
  - 10.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.
- 10.5 If the Contractor notifies the ESFA pursuant to clause 10.4, the Contractor shall respond promptly to the ESFA's enquiries, co-operate with any investigation, and allow the ESFA to audit any books, records and any other relevant documentation.
- 10.6 If the Contractor is in Default under clauses 10.1 and/or 10.2, the ESFA may by notice:
- 10.6.1 require the Contractor to remove from performance of the Contract any Staff whose acts or omissions have caused the Default; or
  - 10.6.2 immediately terminate the Contract.
- 10.7 Any notice served by the ESFA under clause 10.6 shall specify the nature of the Prohibited Act, the identity of the party who the ESFA believes has committed the Prohibited Act and the action that the ESFA has taken (including, where relevant, the date on which the Contract shall terminate).

## **11. DISCRIMINATION**

- 11.1 The Contractor shall perform its obligations under the Contract in accordance with all applicable equality law.
- 11.2 The Contractor shall comply with ESFA's equality and diversity policy as given to the Contractor from time to time and any other requirements and instructions which the ESFA reasonably imposes in connection with any equality obligations imposed on the ESFA at any time under equality law.
- 11.3 The Contractor indemnifies the ESFA in full from and against all Employment Liabilities that may arise as a result of any claims brought against the ESFA by any of its employees, agents, consultants and contractors ("**ESFA Personnel**") and/or any of the Personnel where such claim arises from any act or omission of the Personnel in respect of anti-discrimination legislation. The Contractor will also provide all reasonable cooperation, assistance and information as the ESFA may request in connection with any investigation by the ESFA into any complaint or other grievance received by it from any of the ESFA Personnel or Personnel in respect of anti-discrimination legislation which may have arisen from, or been contributed to by, any act or omission of the

Contractor or any Personnel.

## **12. INTELLECTUAL PROPERTY**

### **12.1 All Intellectual Property Rights in materials:**

12.1.1 furnished to or made available to the Contractor by or on behalf of the ESFA (the "**ESFA IP Materials**") shall remain the property of the ESFA (save for Copyright and Database Rights which shall remain the property of the Crown); and

12.1.2 prepared by or for the Contractor on behalf of the ESFA in connection with the Contract (the "**Service Specific IP Materials**") shall vest in the ESFA (save for Copyright and Database Rights which shall vest in the Crown)

12.1.3 databases developed under the previous contract are not included as an asset owned by the ESFA

(together the "**IP Materials**").

12.2 The Contractor shall not, and shall ensure that Personnel shall not, use or disclose IP Materials without the ESFA's approval save to the extent necessary for the performance by the Contractor of its obligations under the Contract.

12.3 The Contractor hereby assigns to the ESFA or undertakes to procure the assignment to the ESFA of all Intellectual Property Rights which may subsist in the Service Specific IP Materials (save for Copyright and Database Rights which it hereby assigns to the Crown or undertakes to procure the assignment of to the Crown). These assignments shall be given with full title guarantee, shall take effect on the Effective Date or as a present assignment of future rights that will take effect immediately on the coming into existence of the Intellectual Property Rights in the Service Specific IP Materials and shall include, without limitation, an assignment to the ESFA (or the Crown as appropriate) of all rights arising in the United Kingdom and the world together with the right to sue for damages and other remedies for infringement occurring prior to the date of assignment. The Contractor shall execute all documents and do all other acts requested by the ESFA and necessary to execute and perfect these assignments and to otherwise evidence the ESFA's or the Crown's ownership of such rights.

12.4 The Contractor shall waive or procure a waiver on an irrevocable and unconditional basis of any moral rights subsisting in copyright produced by or in connection with the Contract or the performance of the Contract.

12.5 The Contractor shall ensure that the third party owner of any Intellectual Property Rights that are or which may be used to perform the Services grants to the ESFA a non-exclusive licence or, if itself a licensee of those rights, shall grant to the ESFA an authorised sub-licence, to use, reproduce, modify, develop and maintain the Intellectual Property Rights in the same. Such licence or sub-licence shall be non-exclusive, perpetual, royalty-free, worldwide and irrevocable and shall include the right for the ESFA to sub-licence, transfer, novate or assign to a Replacement Contractor. The Contractor shall notify the ESFA of any third party Intellectual Property Rights to be used in connection with the Contract prior to their use in connection with the Contract or the creation or development of the Service Specific IP Materials.

12.6 The Contractor shall not infringe any Intellectual Property Rights of any third party in performing its obligations under the Contract and the Contractor shall indemnify and keep indemnified the ESFA and any Replacement Contractor from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the ESFA may suffer or incur as a result of or in connection with any breach of this clause 14, except to the extent that any such claim arises from:

12.6.1 items or materials supplied by the ESFA; or

- 12.6.2 the use of data supplied by the ESFA which is not required to be verified by the Contractor under any provision of the Contract.
- 12.7 The ESFA shall notify the Contractor in writing of any claim or demand brought against the ESFA for infringement or alleged infringement of any Intellectual Property Right in materials supplied and/or licensed by the Contractor.
- 12.8 The Contractor shall at its own expense conduct all negotiations and any litigation arising in connection with any claim for infringement of Intellectual Property Rights in materials supplied and/or licensed by the Contractor to the ESFA, provided always that the Contractor shall:
- 12.8.1 consult the ESFA on all substantive issues which arise during the conduct of such litigation and negotiations;
- 12.8.2 take due and proper account of the interests and concerns of the ESFA; and
- 12.8.3 not settle or compromise any claim without the ESFA's prior written consent (not to be unreasonably withheld or delayed).
- 12.9 Notwithstanding clause 12.8. the ESFA may take any action it deems appropriate with respect to any such claim and shall have exclusive control of such claim. If the ESFA takes action the Contractor shall at the request of the ESFA afford to the Contractor all reasonable assistance to the ESFA for the purpose of contesting such claim.
- 12.10 The ESFA shall at the request of the Contractor afford to the Contractor all reasonable assistance for the purpose of contesting any claim or demand made or action brought against the ESFA or the Contractor by a third party for infringement or alleged infringement of any third party Intellectual Property Rights in connection with the performance of the Contractor's obligations under the Contract subject to the Contractor indemnifying the ESFA on demand and in full for all reasonable costs and expenses (including, but not limited to, legal costs and disbursements) incurred in doing so.
- 12.11 If a claim, demand or action for infringement or alleged infringement of any Intellectual Property Right is made in connection with the Contract or in the reasonable opinion of the Contractor is likely to be made, the Contractor shall notify the ESFA and, at its own expense and subject to the consent of the ESFA (not to be unreasonably withheld or delayed), use reasonable endeavours to:
- 12.11.1 modify any or all of the Service Specific IP Materials and, where relevant, the Services without reducing the performance or functionality of the same, or substitute alternative materials or services of equivalent performance and functionality, so as to avoid the infringement or the alleged infringement, provided that the provisions of this clause 12 shall apply mutatis mutandis to such modified materials or services or to the substitute materials or services; or
- 12.11.2 procure a licence to use and supply the Service Specific IP Materials, other relevant Intellectual Property Rights and Services, which are the subject of the alleged infringement, on terms which are acceptable to the ESFA.
- 12.12 If the Contractor is unable to comply with clauses 12.11.1 and 12.11.2 within 20 Business Days of receipt of the Contractor's notification the ESFA may terminate the Contract with immediate effect by notice in writing.
- 12.13 The Contractor grants to the ESFA and, if requested by ESFA, to a Replacement Contractor, a royalty-free, perpetual, irrevocable and non-exclusive licence (with a right to sub-licence) to use any Intellectual Property Rights the Contractor owned or developed prior to the Effective Date or otherwise not in connection with the Contract

(“**Contractor IP**”) and which the ESFA (or a Replacement Contractor) reasonably requires in order to exercise its rights and take the benefit of the Contract including the Services provided and the use and further development of the IP Materials.

- 12.14 The ESFA shall comply with the reasonable instructions of the Contractor in respect of the way in which it uses the Contractor IP.
- 12.15 If the Contractor is not able to grant to the ESFA a licence to use any Contractor IP for any reason, including due to any Intellectual Property Rights that a third party may have in such Contractor IP, the Contractor shall use its reasonable endeavours to:
  - 12.15.1 procure that the third party owner of any Intellectual Property Rights that are or that may be used to perform the Contract grants to the ESFA a licence on the terms set out in clause 12.13; or
  - 12.15.2 if the Contractor is itself a licensee of those rights and is able to do so under the terms of its licence, grant to the ESFA a sub-licence on the terms set out in clause 12.13.
- 12.16 The Contractor shall not knowingly do or permit to be done, or omit to do in connection with its use of Intellectual Property Rights which are or are to be the ESFA IP Materials any act or thing which:
  - 12.16.1 would or might jeopardise or invalidate any trade mark application or registration comprised within the same or give rise to an application to remove or amend any such application or registration from the register maintained by the relevant trade mark registry; or
  - 12.16.2 would or might prejudice the right or title of the ESFA to any of the ESFA IP Materials.
- 12.17 The Contractor shall comply with the ESFA's branding guidelines and shall not use any other branding, including its own, other than as set out in the ESFA's branding guidelines or as otherwise agreed with the ESFA.
- 12.18 When using ESFA Trade Marks the Contractor shall observe all reasonable directions given by the ESFA from time to time as to colour and size and the manner and disposition thereof on any materials it provides to persons in connection with the Services. The Contractor may not:
  - 12.18.1 adopt or use any trade mark, symbol or device which incorporates or is confusingly similar to, or is a simulation or colourable imitation of, any ESFA Trade Mark, or unfairly competes with any ESFA Trade Mark; or
  - 12.18.2 apply anywhere in the world to register any trade marks identical to or so nearly resembling any ESFA Trade Mark as to be likely to deceive or cause confusion.

### **13. DATA, SYSTEMS HANDLING AND SECURITY**

- 13.1 The Parties shall comply with the provisions of schedule 8.

### **14. PUBLICITY AND PROMOTION**

- 14.1 Subject to clause 15.2, without prejudice to the ESFA's obligations under the FOIA, the EIR, the Regulations, or any policy requirements as to transparency, neither Party shall make any press announcement or publicise the Contract or any part thereof in any way, except with the written consent of the other Party.
- 14.2 The Contractor shall use reasonable endeavours to ensure its Personnel comply with clause 14.1



- 14.3 Without prejudice to the generality of clauses 12.18 and 14.1, the Contractor shall not itself, and shall procure that Consortium Members shall not, use the ESFA's name, brand or ESFA Trade Marks or the Personal Data of the ESFA to sell, promote, market or publicise the Contractor's other programmes, courses, services or other activities.
- 14.4 Subject to clauses 12 and 15 ESFA may disclose, copy and otherwise distribute to the public, including but not limited to, by way of the Open Government Licence, any information arising out of the Services or comprised in any work relating to the Services.

## **15. CONFIDENTIALITY**

- 15.1 Except to the extent set out in this clause 15 or if disclosure or publication is expressly permitted elsewhere in the Contract each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Contract.
- 15.2 The Contractor hereby gives its consent for the ESFA to publish the whole Contract including from time to time agreed changes to the Contract.
- 15.3 The Contractor may only disclose the ESFA's Confidential Information to Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that Personnel are aware of and shall comply with these obligations as to confidentiality.
- 15.4 The Contractor shall not, and shall procure that Personnel do not, use any of the ESFA's Confidential Information received otherwise than for the purposes of the Contract.
- 15.5 Clause 15.1 shall not apply to the extent that:
- 15.5.1 such disclosure is a requirement of law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;
  - 15.5.2 such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
  - 15.5.3 such information was obtained from a third party without obligation of confidentiality;
  - 15.5.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract; or
  - 15.5.5 it is independently developed without access to the other Party's Confidential Information.
- 15.6 Nothing in clause 15 shall prevent the ESFA disclosing any Confidential Information obtained from the Contractor:
- 15.6.1 for the purpose of the examination and certification of the ESFA's accounts;
  - 15.6.2 for the purpose of any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the ESFA has used its resources;
  - 15.6.3 to any other crown body and the Contractor hereby acknowledges that all government departments receiving such Confidential Information may further disclose the Confidential Information to other government departments on the

basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department; or

15.6.4 to any consultant, contractor or other person engaged by the ESFA provided that in disclosing information under clauses 15.8.3 and 15.8.4 the ESFA discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.

15.7 Nothing in clauses 15.1 to 15.6 shall prevent either Party from using any techniques, ideas or know-how gained during the performance of its obligations under the Contract in the course of its normal business, to the extent that this does not result in a disclosure of the other Party's Confidential Information or an infringement of the other Party's Intellectual Property Rights.

15.8 The ESFA shall endeavour to ensure that any government department, employee, third party or sub-contractor to whom the ESFA's Confidential Information is disclosed pursuant to clause 15.6 is made aware of the ESFA's obligations of confidentiality.

15.9 If the Contractor does not comply with clauses 15.1 to 15.5 the ESFA may terminate the Contract immediately on notice to the Contractor.

## **16. FREEDOM OF INFORMATION**

16.1 The Contractor acknowledges that the ESFA is subject to the requirements of the FOIA and the EIR.

16.2 The Contractor shall transfer to the ESFA all Requests for Information that it receives as soon as practicable and in any event within 2 Business Days of receipt:

16.2.1 give the ESFA a copy of all Information in its possession or control in the form that the ESFA requires within 5 Business Days (or such other period as the ESFA may specify) of the ESFA's request;

16.2.2 provide all necessary assistance as reasonably requested by the ESFA to enable the ESFA to comply with its obligations under the FOIA and EIR; and

16.2.3 not respond to directly to a Request for Information unless authorised to do so in writing by the ESFA.

16.3 The ESFA shall determine in its absolute discretion and notwithstanding any other provision in the Contract or any other agreement whether the Commercially Sensitive Information and any other information is exempt from disclosure in accordance with the provisions of the FOIA and/or the EIR.

## **17. OFFICIAL SECRETS ACTS AND FINANCE ACT**

17.1 The Contractor shall comply with the provisions of:

17.1.1 the Official Secrets Acts 1911 to 1989; and

17.1.2 section 182 of the Finance Act 1989.

## **18. LIABILITY**

18.1 Neither Party excludes or limits its liability (if any) to the other:

18.1.1 for breach of any obligations arising under section 12 Sale of Goods Act 1979 or section 2 Supply of Goods and Services Act 1982;

18.1.2 for personal injury or death resulting from the its negligence;

- 18.1.3 under section 2(3) Consumer Protection Act 1987;
- 18.1.4 any breach of clause 15 or schedule 8;
- 18.1.5 for its own fraud; or
- 18.1.6 for any other matter which it would be unlawful for it to exclude or to attempt to exclude its liability.
- 18.2 Subject to clauses 18.1 and 18.3, the Contractor shall indemnify the ESFA and keep the ESFA indemnified fully against all claims, proceedings, demands, charges, actions, damages, costs, breach of statutory duty, expenses and any other liabilities which may arise out of the supply, or the late or purported supply, of the Services or the performance or non-performance by the Contractor or any Personnel on the Premises, including in respect of death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Contractor, or any other loss which is caused directly by any act or omission of the Contractor.
- 18.3 The Contractor does not exclude or limit its liability (if any) pursuant to any indemnities given by it in clauses 12 (Intellectual Property) and 9 (Tax).
- 18.4 Subject to clauses 18.1, 18.3 and 18.6, neither Party shall have any liability to the other under or in connection with the Contract, whether in contract, tort (including negligence) or otherwise:
  - 18.4.1 for any losses of an indirect or consequential nature;
  - 18.4.2 for any claims for loss of profits, revenue, business or opportunity (whether direct, indirect or consequential); or
  - 18.4.3 to the extent that it is prevented from meeting any obligation under the Contract as a result of any breach or other default by the other Party.
- 18.5 Not Applicable
  - 18.5.1 Not Applicable
  - 18.5.2 Not Applicable
- 18.6 The ESFA may recover from the Contractor the following losses incurred by the ESFA to the extent they arise as a result of a Default by the Contractor:
  - 18.6.1 any additional operational and/or administrative costs and expenses incurred by the ESFA, including costs relating to time spent by or on behalf of the ESFA in dealing with the consequences of the default;
  - 18.6.2 any wasted expenditure or charges;
  - 18.6.3 the additional costs of procuring a Replacement Contractor for the remainder of the Contract and or replacement deliverables which shall include any incremental costs associated with the Replacement Contractor and/or replacement deliverables above those which would have been payable under the Contract;
  - 18.6.4 any compensation or interest paid to a third party by the ESFA; and
  - 18.6.5 any fine or penalty incurred by the ESFA and any costs incurred by the ESFA in defending any proceedings which result in such a fine or penalty.
- 18.7 Except as otherwise expressly provided by the Contract, all remedies available to either Party for breach of the Contract are cumulative and may be exercised concurrently or

separately, and the exercise of any one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.

- 18.8 All property of the Contractor whilst on the ESFA's premises shall be there at the risk of the Contractor and the ESFA shall accept no liability for any loss or damage howsoever occurring to it.
- 18.9 The Contractor shall effect and maintain in force with a reputable insurance company employer's liability and public liability insurances for the sum and range of cover as the ESFA deems to be appropriate but not less than £5,000,000 for any one claim, for professional indemnity insurances for the sum and range of cover as the ESFA deems to be appropriate but not less than £1,000,000 for any one claim and insurance to cover the liability of the Contractor under the Contract. Such insurances shall be maintained for the Term and for a minimum of 6 years following the end of the Term.
- 18.10 The Contractor shall supply to the ESFA on demand copies of the insurance policies maintained under clause 18.9.
- 18.11 The provisions of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract.
- 18.12 It shall be the responsibility of the Contractor to determine the amount of insurance cover that will be adequate to enable the Contractor to satisfy any liability it has under, or in connection with, the Contract.

## **19. WARRANTIES AND REPRESENTATIONS**

- 19.1 The Contractor warrants and represents that:
  - 19.1.1 it has full capacity and authority and all necessary consents (including where its procedures so require, the consent of its parent company) to enter into and perform its obligations under the Contract and that the Contract is executed by a duly authorised representative of the Contractor;
  - 19.1.2 in entering the Contract it has not committed any fraud;
  - 19.1.3 as at the Effective Date, all information contained in the Contractor's Solution remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the ESFA prior to execution of the Contract;
  - 19.1.4 no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might, and it is not subject to any contractual obligation, compliance with which is likely to, have a material adverse effect on its ability to perform its obligations under the Contract;
  - 19.1.5 it owns, has obtained or is able to obtain valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract;
  - 19.1.6 the Service Specific IP Materials will be its original work and will not have been copied wholly or substantially from another party's work or materials provided that this clause 19.1.6 shall not apply to any IP Materials used by the Contractor under permission or licence from any other person or entity (including, without limitation, any Sub-Contractor); and
  - 19.1.7 the use by the ESFA of any Intellectual Property Rights assigned or licensed to it by the Contractor under the Contract will not infringe or conflict with the rights of any third party;

19.1.8 in the 3 years (or actual period of existence if the Contractor has been in existence for less time) prior to the Effective Date:

- (i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files accounts;
- (ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
- (iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under the Contract;

19.1.9 it has and will continue to hold all necessary regulatory approvals from the Regulatory Bodies necessary to perform its obligations under the Contract; and

19.1.10 it has notified the ESFA in writing of any Occasions of Tax Non-Compliance or any litigation in which it is involved that is in connection with any Occasion of Tax Non-Compliance.

## **20. FORCE MAJEURE**

20.1 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 20.3 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.

20.2 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.

20.3 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.

## **21. MONITORING AND REMEDIATION**

21.1 The ESFA or its authorised representatives may visit on reasonable notice to the Contractor any premises of the Contractor, any Consortium Member or any other premises at which the Services (or any part of them) are being or are to be performed to ascertain that the Contractor is conforming in all respects with its obligations arising under the Contract and otherwise to monitor and quality assure the provision of the Services.

21.2 During such visits, the ESFA may inspect and take copies of such of the records of the Contractor and any Consortium Member as relate to the performance of their obligations under the Contract.

21.3 If the ESFA reasonably considers that any provision of the Contract is at risk of not being complied with it may, notwithstanding and without prejudice to any other right or remedy that it may have under the Contract or otherwise:

- 21.3.1 require the Contractor to produce a plan of remedial action in order to remedy or remove such risk, which shall be subject to the approval of the ESFA (not to be unreasonably withheld) and which, once approved, the Contractor shall implement; and
- 21.3.2 monitor, supervise, direct and/or guide the Contractor's provision of the Services until the ESFA reasonably considers that any such risk has been remedied or removed. The Contractor shall cooperate at all times with the ESFA in this regard.
- 21.4 If the Contractor fails to comply with any provision of the Contract or fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the ESFA may instruct the Contractor to remedy the failure and the Contractor shall at its own cost and expense remedy such failure (and any damage resulting from such failure) within 21 days or such other period of time as the ESFA may direct.
- 21.5 The ESFA may review from time to time the progress of the Contractor against the Implementation Plan. The Contractor shall cooperate with the ESFA in this regard and provide any information and evidence reasonably required by the ESFA.
- 21.6 The ESFA may instruct the Contractor to take appropriate remedial action where the ESFA reasonably considers that the Implementation Plan is not being complied with or is at risk of not being complied with and the Contractor shall take such remedial action.

## **22. STEP IN RIGHTS**

- 22.1 Without prejudice to ESFA's rights of termination under clause 23 the ESFA may exercise one or more of the rights set out in this clause 22 ("**Step In Rights**") if:
  - 22.1.1 there is a Default by the Contractor which materially prevents or materially delays performance of the Services or any part of the Services;
  - 22.1.2 an event of Force Majeure occurs which materially prevents or materially delays the performance of the Services or any part of the Services;
  - 22.1.3 a Regulatory Body has advised the ESFA that exercise by the ESFA of its rights under this clause 22 is necessary;
  - 22.1.4 a serious risk exists to the health and safety of persons, property or the environment;
  - 22.1.5 it is necessary to discharge a statutory duty; or
  - 22.1.6 the Contractor becomes insolvent.
- 22.2 If the ESFA has a Step In Right it may serve notice on the Supplier (a "**Step-In Notice**") that it will take action under this clause 22 either itself or with the assistance of a third party.
- 22.3 The Step-In Notice shall set out:
  - 22.3.1 the action the ESFA wishes to take and in particular the Services that it wishes to control (the "**Required Action**");
  - 22.3.2 the event triggering the Step In Rights and whether the ESFA believes that the Required Action is due to the Contractor's Default;
  - 22.3.3 the date on which it wishes to commence the Required Action;

- 22.3.4 the time period which it believes will be necessary for the Required Action;
  - 22.3.5 whether the ESFA will require access to the Contractor's premises; and
  - 22.3.6 to the extent practicable, the effect the ESFA 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.
- 22.4 Following service of a Step-In Notice, the ESFA shall:
- 22.4.1 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;
  - 22.4.2 keep records of the Required Action taken and provide information about the Required Action to the Contractor;
  - 22.4.3 co-operate wherever reasonable with the Contractor in order to enable the Contractor to continue to provide those Services of which the ESFA is not assuming control; and
  - 22.4.5 act reasonably in mitigating the cost that the Contractor will incur as a result of the exercise of the Step In Rights.
- 22.5 For as long as and to the extent that the Required Action continues:
- 22.5.1 the Contractor shall not be obliged to provide the Services to the extent that they are the subject of the Required Action; and
  - 22.5.2 the ESFA shall pay the Contractor the Charges after subtracting any applicable Service Credits and the ESFA's costs of taking the Required Action.
- 22.6 If the Contractor demonstrates to the ESFA'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 ESFA not taken the Required Action, the ESFA may adjust the Charges.
- 22.7 Before ceasing to exercise its Step In Rights the ESFA shall deliver a written notice to the Contractor (a "**Step-Out Notice**"), specifying:
- 22.7.1 the Required Action it has taken; and
  - 22.7.2 the date on which the ESFA plans to end the Required Action subject to the ESFA being satisfied with the Contractor's ability to resume the provision of the Services and the Contractor's plan developed in accordance with clause 22.8.
- 22.8 The Contractor shall, following receipt of a Step-Out Notice and not less than 20 Business Days prior to the date specified in clause 22.7.2, develop for the ESFA'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.
- 22.9 If the ESFA 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 ESFA for approval. The ESFA shall not withhold or delay its approval of the draft plan unreasonably.
- 22.10 The Contractor shall bear its own costs in connection with any Step-In under this clause 22, provided that the ESFA shall reimburse the Contractor's reasonable additional expenses incurred directly as a result of any Step-In action taken by the ESFA under

clauses 22.1.2 to 22.1.5 (insofar as the primary cause of the ESFA serving the Step In Notice is identified as not being the result of a Contractor's Default).

## **23. TERMINATION**

23.1 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a company and in respect of the Contractor:

23.1.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;

23.1.2 a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);

23.1.3 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986;

23.1.4 a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;

23.1.5 an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;

23.1.6 it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;

23.1.7 being a "small company" within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or

23.1.8 any event similar to those listed in clauses 23.1.1 to 23.1.7 occurs under the law of any other jurisdiction.

23.2 The ESFA may terminate the Contract with immediate effect by notice and without paying compensation to the Contractor where the Contractor is an individual and:

23.2.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Contractor's creditors;

23.2.2 a petition is presented and not dismissed within 14 days or order made for the Contractor's bankruptcy;

23.2.3 a receiver, or similar officer is appointed over the whole or any part of the Contractor's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets;

23.2.4 the Contractor is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986;

23.2.5 a creditor or encumbrancer attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Contractor's assets and such attachment



- or process is not discharged within 14 days;
- 23.2.6 he dies or is adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Capacity Act 2005;
- 23.2.7 he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business; or
- 23.2.8 any event similar to those listed in clauses 23.2.1 to 23.2.7 occurs under the law of any other jurisdiction.
- 23.3 The Contractor shall notify the ESFA immediately in writing of any proposal or negotiations which will or may result in a merger, take-over, change of control, change of name or status including if the Contractor undergoes a change of control within the meaning of section 1124 of the Corporation Taxes Act 2010 ("**Change of Control**"). The ESFA may terminate the Contract with immediate effect by notice and without compensation to the Contractor within 6 months of:
  - 23.3.1 being notified that a Change of Control has occurred; or
  - 23.3.2 where no notification has been made, the date that the ESFA becomes aware of the Change of Control

but shall not be permitted to terminate where approval was granted prior to the Change of Control.
- 23.4 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a partnership and:
  - 23.4.1 a proposal is made for a voluntary arrangement within Article 4 of the Insolvent Partnerships Order 1994 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;
  - 23.4.2 it is for any reason dissolved;
  - 23.4.3 a petition is presented for its winding up or for the making of any administration order, or an application is made for the appointment of a provisional liquidator;
  - 23.4.4 a receiver, or similar officer is appointed over the whole or any part of its assets;
  - 23.4.5 the partnership is deemed unable to pay its debts within the meaning of sections 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or
  - 23.4.6 any of the following occurs in relation to any of its partners:
    - 23.4.6.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, his creditors;
    - 23.4.6.2 a petition is presented for his bankruptcy;
    - 23.4.6.3 a receiver, or similar officer is appointed over the whole or any part of his assets; or
    - 23.4.6.4 any event similar to those listed in clauses 23.4.1 to 23.4.6 occurs under the law of any other jurisdiction.
- 23.5 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a limited liability partnership

and:

- 23.5.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;
  - 23.5.2 it is for any reason dissolved;
  - 23.5.3 an application is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given within Part II of the Insolvency Act 1986;
  - 23.5.4 any step is taken with a view to it being determined that it be wound up (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation) within Part IV of the Insolvency Act 1986;
  - 23.5.5 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator within Part IV of the Insolvency Act 1986;
  - 23.5.6 a receiver, or similar officer is appointed over the whole or any part of its assets;  
or
  - 23.5.7 it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
  - 23.5.8 a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
  - 23.5.9 any event similar to those listed in clauses 23.5.1 to 23.5.8 occurs under the law of any other jurisdiction.
- 23.6 References to the Insolvency Act 1986 in clause 23.5.1 shall be construed as being references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.
- 23.7 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor if the Contractor commits a Default and:
- 23.7.1 the Contractor has not remedied the Default to the satisfaction of the ESFA within 21 Business Days or such other period as may be specified by the ESFA, after issue of a notice specifying the Default and requesting it to be remedied
  - 23.7.2 the Default is not, in the opinion of the ESFA, capable of remedy; or
  - 23.7.3 the Default is a Material Breach.
- 23.8 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
- 23.8.1 the Contractor's warranty in clause 19.1.10 is materially untrue;
  - 23.8.2 the Contractor commits a material breach of its obligation to notify the ESFA of any Occasion of Non-Tax Compliance;
  - 23.8.3 the Contractor fails to provide details of proposed mitigating factors which, in the ESFA's reasonable opinion are acceptable; or
  - 23.8.4 the Contractor has not, in performing the Services, complied with its legal obligations in respect of environmental, social or labour law.

- 23.9 The ESFA may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
- 23.9.1 the Contract has been subject to a substantial modification which requires a new procurement procedure pursuant to regulation 72(9) of the Regulations;
  - 23.9.2 the Contractor was, at the time the Contract was awarded, in one of the situations specified in regulation 57(1) of the Regulations, including as a result of the application of regulation 57(2), and should therefore have been excluded from the procurement procedure which resulted in the award of the Contract; or
  - 23.9.3 the Contract should not have been awarded to the Contractor in view of a serious infringement of the obligations under the Treaties and the Regulations which has been declared by the Court of Justice of the European Union in a procedure under Article 258 of the TFEU.
- 23.10 If the ESFA terminates the Contract under clauses 23.7, 23.8 or 23.9:
- 23.10.1 and makes other arrangements for the supply of the Services, the ESFA may recover from the Contractor the cost reasonably incurred of making those other arrangements; and
  - 23.10.2 the ESFA shall make no further payments to the Contractor (for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the ESFA), until the ESFA has established the final cost of making the other arrangements envisaged under this clause 23.
- 23.11 Either Party may terminate the Contract (or any part of it) at any time by giving at least 3 months' prior written notice to the other Party.
- 23.12 If the ESFA terminates the Contract under clause 23.11 the ESFA shall make no further payments to the Contractor except for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the ESFA.
- 23.13 If any funding from governmental or other sources for the provision of the Services, or for a programme or a project to which the provision of the Services relates is withdrawn, reallocated or no longer available in such a way that the Contract cannot reasonably continue the ESFA may terminate the Contract (or any part of it) by serving 3 months' written notice on the Contractor.
- 23.14 If the ESFA terminates the Contract under clause 23.13 the ESFA shall pay to the Contractor for Services supplied prior to the termination and in accordance with the Contract, and any disengagement costs and other costs reasonably incurred by the Contractor as a direct consequence of such termination (excluding any loss of profit and any possible redundancy costs), provided that the Contractor shall use all reasonable endeavours to mitigate the amount of such costs and has provided written evidence of the reasonableness and unavoidability of such costs.
- 23.15 If, through any Default of the Contractor, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Contractor shall be liable for the cost of reconstitution of that data and shall reimburse the ESFA in respect of any charge levied for its transmission and any other costs charged in connection with such Default.
- 23.16 If the ESFA fails to pay the Contractor undisputed sums of money when due the Contractor shall give notice to the ESFA of its failure to pay. If the ESFA fails to pay such undisputed sums within 90 Business Days of the date of such notice, the Contractor may terminate the Contract in writing with immediate effect, save that such

right of termination shall not apply where the failure to pay is due to the ESFA exercising its rights under clause 8.6 or to Force Majeure.

**23.17 Save as otherwise expressly provided in the Contract:**

23.17.1 termination or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and

23.17.2 termination of the Contract shall not affect the continuing rights, remedies or obligations of the ESFA or the Contractor under clauses 8 (Payment), 9 (Tax and VAT), 10 (Prevention of Fraud), 12 (Intellectual Property Rights), 13 (Data), 15 (Confidentiality), 16 (Freedom of Information), 17 (Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989), 180 (Warranties and Representations), 19 (Liability), 23 (Termination) 24 (Retendering and Handover), 25 (Exit Management), 26 (Audit), and 37 (Governing Law and Jurisdiction).

**23.18 Termination by ESFA if Outputs not met**

23.18.1 If the Contractor fails to meet any of the Outputs in any two consecutive periods where they are required, at either party's request to the other party, both parties must meet to work together in good faith to attempt to understand why the monthly Performance Standards have not been achieved and implement strategies jointly agreed between the parties to attempt to enable the Contractor to achieve the monthly Performance Standards.

23.18.2 If the parties agree on a strategy under clause 23.18.1 and, in the month following the implementation of the joint strategy under clause 23.18.1 the Contractor fails to achieve any of the monthly Performance Standards, ESFA may terminate this agreement on 30 days' notice to Contract.

23.18.3 If Contractor fails to meet any of the monthly Performance Standards in any three consecutive months, ESFA may terminate this agreement on 10 Business Days' notice to the Contractor.

**24. RETENDERING AND HANDOVER**

24.1 Within 30 days of being requested by the ESFA, the Contractor shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information reasonably necessary to enable the ESFA to issue tender documents for the future provision of replacement services.

24.2 The ESFA shall take reasonable precautions to ensure that the information referred to in clause 24.1 is given only to potential contractors who have qualified to tender for the future provision of the replacement services.

24.3 The ESFA shall require that all potential Contractors treat the information in confidence; that they do not communicate it except to such persons within their organisation and to such extent as may be necessary for the purpose of preparing a response to an invitation to tender issued by the ESFA; and that they shall not use it for any other purpose.

24.4 The Contractor shall allow access to the Premises in the presence of ESFA's authorised representative, to any person representing any potential contractor whom the ESFA has selected to tender for the future provision of the Services.

24.5 If access is required to the Contractor's Premises for the purposes of clause 26.4, the ESFA shall give the Contractor 7 days' notice of a proposed visit together with the names of all persons who will be visiting.

- 24.6 The Contractor shall co-operate fully with the ESFA during any handover at the end of the Contract 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.
- 24.7 Within 10 Business Days of being requested by the ESFA, the Contractor shall transfer to the ESFA, or any person designated by the ESFA, 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 ESFA.

## **25. EXIT MANAGEMENT**

- 25.1 If the ESFA requires a continuation of all or any of the Services at the end of the Term, either by performing them itself or by engaging a third party to perform them, the Contractor shall co-operate fully with the ESFA and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.
- 25.2 The Contractor will, within 3 months of the Effective Date, deliver to the ESFA, a plan which sets out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the ESFA and/or its Replacement Contractor at the end of the Term (an "**Exit Plan**").
- 25.3 Within 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 36.
- 25.4 The Contractor will review and (if appropriate) update the Exit Plan in the first month of each year of the Term to reflect changes to the Services. Following such update the Contractor will submit the revised Exit Plan to the ESFA for review. Within 30 days following submission of the revised Exit Plan, the Parties shall meet and use reasonable endeavours to agree the revised Exit Plan and the changes that have occurred in the Services since the Exit Plan was last agreed. If the Parties are unable to agree the revised Exit Plan within 30 days, such dispute shall be referred to the dispute resolution procedure in clause 36.
- 25.5 If the Contractor:
- 25.5.1 does not have to use resources in addition to those normally used to deliver the Services prior to termination or expiry, there shall be no change to the Charges; or
  - 25.5.2 reasonably incurs additional costs
- the Parties shall agree a variation of the Charges.
- 25.6 If the ESFA requests, the Contractor shall deliver to the ESFA details of all licences for software used in the provision of the Services including the software licence agreements.
- 25.7 Within one month of receiving the software licence information described above, the ESFA shall notify the Contractor of the licences it wishes to be transferred, and the Contractor shall provide for the approval of the ESFA a plan for licence transfer.
- 25.8 The Contractor shall co-operate fully with the ESFA in order to enable an efficient and detailed knowledge transfer from the Contractor to the ESFA at the end of the Term and shall provide the ESFA free of charge with full access to Personnel, copies of all documents, reports, summaries and any other information requested by the ESFA. The

Contractor shall comply with the ESFA's request for information no later than 15 Business Days from the date that that request was made.

## **26. AUDIT**

- 26.1 The Contractor shall keep and maintain until 6 years after the end of the Term, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it and all Charges.
- 26.2 The Contractor agrees to make available to the ESFA, free of charge, whenever requested, copies of audit reports obtained by the Contractor in relation to the Services
- 26.3 The Contractor shall permit duly authorised representatives of the ESFA and/or the National Audit Office to examine the Contractor's records and documents relating to the Contract and to provide such copies and oral or written explanations as may reasonably be required.
- 26.4 The Contractor (and its agents) shall permit the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data) and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the ESFA and for carrying out examinations into the economy, efficiency and effectiveness with which the ESFA has used its resources. The Contractor shall provide such explanations as are reasonably required for these purposes.

## **27. ENTIRE AGREEMENT**

- 27.1 The Contract contains all the terms which the Parties have agreed in relation to the subject matter of the Contract and supersedes any prior written or oral agreements, representations or understandings between the Parties.
- 27.2 Nothing in this clause 27 shall exclude any liability which one Party would otherwise have to the other Party in respect of any statements made fraudulently.

## **28. PARTNERSHIP**

- 28.1 Nothing in the Contract is intended to or shall operate to create a legal partnership between the Parties or to authorise either Party to act as an agent for the other, and neither Party shall have authority to act in the name or on behalf of or otherwise to bind the other in any way (including making any representation or warranty, the assumption of any obligation or liability and the exercise of any right or power).

## **29. WAIVER**

- 29.1 No failure or delay by any Party to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same, or of some other right, power or remedy.

## **30. CHANGE CONTROL**

- 30.1 Either Party may at any time request in writing a Variation in accordance with the change control procedure set out in schedule 6 (the "**Change Control Procedure**"). No Variation shall be effective unless made in accordance with the Change Control Procedure.

## **31. COUNTERPARTS**

- 31.1 The Contract may be executed in any number of counterparts, each of which so executed and delivered shall constitute an original, but together shall constitute one and the same instrument.

## **32. CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

- 32.1 The provisions of clauses 7.5 and 12.6 confer benefits on a Replacement Contractor and are intended to be enforceable by a Replacement Contractor by virtue of the Contracts (Rights of Third Parties ) Act 1999 ("**CRTPA**").
- 32.2 Subject to clause 32.1, a person who is not a Party has no right under CRTPA to enforce provisions of the Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA and does not apply to the Crown.
- 32.3 A Replacement Contractor may not enforce or take steps to enforce the provisions of clauses 7.5 or 12.6 without ESFA's prior written consent.
- 32.4 The Parties may amend the Contract without the consent of any Replacement Contractor.

## **33. CONFLICTS OF INTEREST**

- 33.1 The Contractor shall:
  - 33.1.1 not permit its obligations to its other clients and third parties (including other governmental bodies and organisations providing services to other governmental bodies) to interfere or conflict in any material way with its duty (which the Contractor hereby acknowledges) to comply with its obligations under the Contract to the required standards; and
  - 33.1.2 take appropriate steps to ensure that neither the Contractor nor any of the Personnel is placed in a position where, in the reasonable opinion of the ESFA, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Contractor or any of the Personnel and the duties owed to the ESFA under the provisions of the Contract in either case, referred to in this clause 33 as a "**Conflict of Interest**".
- 33.2 If the Contractor becomes aware of any Conflict of Interest (or potential Conflict of Interest) or other situation which has arisen or may arise and which may cause a breach of this clause 35 the Contractor shall forthwith provide full particulars to the ESFA.
- 33.3 In performing its obligations under the Contract the Contractor shall conduct its business, operations and activities in a politically neutral fashion.
- 33.4 Without prejudice to the foregoing provisions of this clause 33, if any Conflict of Interest (or potential Conflict of Interest) arises or is likely to arise, the Contractor shall:
  - 33.4.1 take all reasonable steps to remove or avoid the Conflict of Interest or to prevent it occurring in each case, or to manage the conflict to the satisfaction of the ESFA (acting reasonably); and
  - 33.4.2 give the ESFA a comprehensive and detailed written statement of the action it had taken.
- 33.5 If the ESFA is not satisfied with the Contractor's actions, the Contractor shall, on request by the ESFA promptly end any relationship it may have with any third party, where that relationship has given rise to the Conflict of Interest (or potential Conflict of Interest).
- 33.6 Without prejudice to any other right or remedy it may have, the ESFA may terminate the Contract with immediate effect by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the ESFA, there is any continuing breach by the Contractor of the provisions of this clause 33.

#### **34. FURTHER ASSURANCE**

- 34.1 The Parties shall do or procure the doing of all such acts and things and will execute or procure the execution of all such documents as may be reasonably required including on or subsequent to the end of the Contract to vest in the relevant all rights granted under the Contract and otherwise to comply with its terms.

#### **35. NOTICES**

- 35.1 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, facsimile or e-mail, addressed to the recipient at its registered office or its address (or such other address, facsimile number or e-mail address as may be notified in writing from time to time).
- 35.2 The notice, demand or communication shall be deemed to have been duly served:
- 35.2.1 if delivered by hand, when left at the proper address for service;
- 35.2.2 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;
- 35.2.3 if given or made by facsimile or e-mail, at the time of transmission, provided that a confirming copy is sent by first class pre-paid post or (where being sent to an address in a different country to where posted) airmail to the other Party within 24 hours after transmission and that, 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 Business Day (such times being local time at the address of the recipient).
- 35.3 If proceedings to which the Civil Procedure Rules apply have been issued, the provisions of Civil Procedure Rule 6 must be complied with in respect of the service of documents in connection with those proceedings.

#### **36. DISPUTE RESOLUTION**

- 36.1 Any Dispute shall be dealt with in accordance with this clause 36.
- 36.2 In the first instance, a representative of each Party will each use their reasonable endeavours to resolve the Dispute. If the Dispute cannot be resolved by such representatives within 15 days of the Dispute arising, it will be referred to a senior representative of each Party, who shall each use their reasonable endeavours to resolve the Dispute.
- 36.3 If a Dispute cannot be resolved by negotiation as referred to in clause 36.2 within 30 days of the Dispute arising, either Party may refer the Dispute for determination in accordance with the mediation procedure administered by the Centre for Effective Dispute Resolution, the costs of the mediator being split equally between the Parties, who shall otherwise bear their own costs.

#### **37. GOVERNING LAW AND JURISDICTION**

- 37.1 The Contract and any non-contractual obligations arising out of or connection with it will be governed by and construed in accordance with English Law.
- 37.2 The courts of England shall have exclusive jurisdiction to settle any dispute which arises out of or in connection with the Contract.
- 37.3 If any provision of the Contract is held by any court or other competent authority to be void or unenforceable in whole or part, the other provisions of the Contract and the



remainder of the affected provisions shall continue to be valid.

### Schedule 3

#### Financials

1. The ESFA shall pay the Contractor the Charges in accordance with the Contract, subject to successful delivery of the Services against the Outputs or Service Levels set out in schedule 4. The Charges are inclusive of all expenses incurred by the Contractor in relation to its provision of the Services and unless agreed otherwise between the Contractor and the ESFA, the Contractor shall not be entitled to claim any expenses in addition to the Charges.
2. The ESFA may review the detailed costs set out in the Implementation Plan to ensure that the Contract is value for money.
3. Indexation shall not apply to the Charges.
4. The Contractor shall be entitled to invoice the Charges following acceptance by the ESFA of satisfactory completion of the Services or, where performance of the Services will continue, either monthly in arrears or on satisfactory completion of milestones as set out in the delivery milestones, outputs or outcomes (as set out in the tables below).

**Table 1**

<b>Date invoice due</b>	<b>Payment</b>	<b>Evidence requirement</b>
<b>30<sup>th</sup> Sept 2020</b>	Traineeships £10,944  T Levels £12,960  Total payment £23,904	<ul style="list-style-type: none"> <li>• Signed invoice</li> <li>• Progress report with MI on numbers of schools, young people, teachers and parents engaged with through the ASK programme</li> <li>• Update on YAAN portal</li> <li>• Update on Vacancy snapshot</li> <li>• Minutes and reports aligned with secretariat duties</li> </ul>
<b>31<sup>st</sup> Oct 2020</b>	ASK £177,660  YAAN £33,750  Total payment £211,410	<ul style="list-style-type: none"> <li>• Signed invoice</li> <li>• Progress report with MI on numbers of schools, young people, teachers and parents engaged with through the ASK programme</li> <li>• Update on YAAN portal</li> <li>• Update on Vacancy snapshot</li> <li>• Minutes and reports aligned with secretariat duties</li> </ul>
<b>31<sup>st</sup> Jan 2021</b>	ASK £177,660  YAAN £33,750  Schools workforce £9,600	<ul style="list-style-type: none"> <li>• Signed invoice</li> <li>• Final evaluation report for the 2020/21 6 months delivery from the academic year to include (as a minimum):</li> <li>• Confirmed MI on numbers of schools, young people, teachers and parents engaged with.</li> </ul>

	<p>Traineeships £7,296</p> <p>T Levels £8,640</p> <p>Total payment £236,946</p>	<ul style="list-style-type: none"> <li>• Numbers of young people registering on Find an apprenticeship and applying for apprenticeships.</li> <li>• Evidence of webinars having taken place</li> <li>• Evidence of the central database of schools tracking the activity for all project partners</li> <li>• Evidence of the ASK delivery partners keep in touch updates</li> <li>• Report on the Vacancy Snapshot to include the number of employers engaged</li> <li>• Report on YAAN portal activity</li> <li>• Evidence of Schools Workforce section on website</li> <li>• Web statistics to evidence activity on the Amazing Apprenticeships website</li> </ul>
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ALL COSTS **INCLUDE** VAT

5. Funds allocated to a particular expenditure heading in Table 1 are available for that expenditure heading only. Funds allocated to a particular accounting year are available for that accounting year only.

**Schedule 4**

**Outputs, Service Levels and Service Credits NOT APPLICABLE**

## **Schedule 5**

### **Change Control Procedure**

- 1 The Parties acknowledge that minor changes to the Contract may be necessary to reflect operational and administrative procedures during the Term and that such minor changes may be agreed in writing between the Parties' respective contract managers.
- 2 The Contractor shall use reasonable endeavours to incorporate minor changes requested by the ESFA 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.
- 3 Either Party may request a Variation provided that such Variation does not amount to a material change.
- 4 The ESFA may request a Variation by completing the Change Control Note and giving the Contractor sufficient information to assess the extent of the Variation and consider whether any change to the Charges are required in order to implement the Variation within a reasonable time limit specified by the ESFA. If the Contractor accepts the Variation it shall confirm it in writing within 21 days of receiving the Change Control Note.
5. If the Contractor is unable to accept the Variation or where the Parties are unable to agree a change to the Charges, the ESFA may allow the Contractor to fulfil its obligations under the Contract without Variation or if the Parties cannot agree to the Variation the Dispute will be determined in accordance with clause 36.
6. If the Contractor wishes to introduce a change to the Contract it may request a Variation by serving the Change Control Note on ESFA.
7. The ESFA shall evaluate the Contractor's proposed Variation in good faith, taking into account all relevant issues.
8. The ESFA shall confirm in writing within 21 days of receiving the Change Control Note if it accepts or rejects the Variation.
9. The ESFA may at its absolute discretion reject any request for a Variation proposed by the Contractor.

### Change Control Note

:

<b>Contract Number</b>		<b>ESFA Contract / Programme Manager</b>
<b>Contractor</b>		<b>Original Contract Value (£)</b>
<b>Contract Start Date</b>		<b>Contract Expiry Date</b>

<b>Variation Requested</b>	
<b>Originator of Variation</b> (tick as appropriate)	<b>ESFA</b> <input type="checkbox"/> <b>Contractor</b> <input type="checkbox"/>
<b>Date</b>	
<b>Reason for Variation</b>	
<b>Summary of Variation</b> (e.g. specification, finances, contract period)	
<b>Date of Variation commencement</b>	
<b>Date of Variation expiry</b> (if applicable)	
<b>Total Value of Variation £</b> (if applicable)	
<b>Payment Profile (if applicable)</b> e.g. milestone payments	
<b>Revised daily rate (if applicable)</b>	

Impact on original contract  (if applicable)	
Supporting Information  (please attach all supporting documentation for this Change Control)	
Terms and Conditions	Save as herein amended all other terms and conditions of the Original Contract shall remain in full force and effect.
<b>Variation Agreed</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>For the Contractor:</b>   Signature.....    Full Name.....    Title.....    Date..... </div> <div style="width: 45%;"> <b>For the ESFA:</b>   Signature.....    Full Name.....    Title.....    Date..... </div> </div>	

Please note that no works/services described in this form should be undertaken, and no invoices will be paid until both copies of the CCN are signed, returned and counter-signed.

<b>To be entered by the Commercial department:</b>			
Commercial Contact		Reference Number	
Date received		EC Reference	

## Schedule 6

### Key Personnel and Key Sub Contractors

[This schedule shall be finalised at contract fine tuning stage]

#### Key Personnel

The individuals listed in the table below are Key Personnel:

Name	Role	Period of Involvement
Anna Morrison	CEO	10 years

#### Key Sub-Contractors

The Contractor may sub-contract its obligations under the Contract to the Sub-Contractors listed in the table below.

Key Sub-Contractor Name and Address (if not the same as the registered office)	Registered Office and Company Number	Related Product/Service Description	Sub-contract Price expressed as a percentage of total projected Charges over Term	Role in delivery of the Services

## Schedule 7

### Data, Systems Handling and Security

#### Definitions

<b>"Control"</b>	means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and <b>"Controls"</b> and <b>"Controlled"</b> are interpreted accordingly;
<b>"Data Loss Event"</b>	any event that results, or may result, in unauthorised access to Personal Data held by the Processor 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.
<b>"DPA"</b>	Data Protection Act 2018
<b>"Data Protection Impact Assessment"</b>	an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data.
<b>"Data Protection Legislation"</b>	(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy;
<b>"Data Subject Request"</b>	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.
<b>"Controller", "Processor," "Data Subject", "Personal Data", "Personal Data Breach", "Data Protection Officer"</b>	shall have the meanings given in the GDPR;
<b>"GDPR"</b>	the General Data Protection Regulation (Regulation (EU) 2016/679)
<b>"Law"</b>	means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order,



	regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Processor is bound to comply;
<b>“LED”</b>	Law Enforcement Directive (Directive (EU) 2016/680)
<b>“Processor Personnel”</b>	employees, agents, consultants and contractors of the Processor and/or of any Sub-Processor engaged in the performance of its obligations under this Contract.
<b>“Protective Measures”</b>	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 including those set out in the Contract.
<b>“Sub-processor”</b>	any third Party appointed to process Personal Data on behalf of the Processor related to this Contract

1.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Schedule 7 Annex 2. The only processing that the Processor is authorised to do is listed in Schedule 7 Annex 2 by the Controller and may not be determined by the Processor

1.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.

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

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

1.4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:

- (a) process that Personal Data only in accordance with Schedule 7 Annex 2 , unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Controller before processing the Personal Data unless prohibited by Law;

(b) ensure that it has in place Protective Measures, which are appropriate to protect against a Data Loss Event, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures), having taken account of the:

- (i) nature of the data to be protected;
- (ii) harm that might result from a Data Loss Event;
- (iii) state of technological development; and
- (iv) cost of implementing any measures;

(c) ensure that :

- (i) the Processor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 3a);
- (ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:

- (A) are aware of and comply with the Processor's duties under this clause;
- (B) are subject to appropriate confidentiality undertakings with the Processor 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 Controller or as otherwise permitted by this Contract; and
- (D) have undergone adequate training in the use, care, protection and handling of Personal Data; and

(d) not transfer Personal Data outside of the EU unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

- (i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
- (ii) the Data Subject has enforceable rights and effective legal remedies;
- (iii) the Processor 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 Controller in meeting its obligations); and
- (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;

(e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.

1.5 Subject to clause 1.6, the Processor shall notify the Controller immediately if it:

- (a) receives a Data Subject Request (or purported Data Subject Request);
- (b) receives a request to rectify, block or erase any Personal Data;
- (c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;
- (d) receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;
- (e) receives a request from any third Party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or
- (f) becomes aware of a Data Loss Event.

1.6 The Processor's obligation to notify under clause 1.5 shall include the provision of further information to the Controller in phases, as details become available.

1.7 Taking into account the nature of the processing, the Processor shall provide the Controller 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 Controller) including by promptly providing:

- (a) the Controller with full details and copies of the complaint, communication or request;
- (b) such assistance as is reasonably requested by the Controller to enable the Controller to comply with a Data Subject Request within the relevant timescales set out in the Data Protection Legislation;
- (c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;
- (d) assistance as requested by the Controller following any Data Loss Event;
- (e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.

1.8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this clause. This requirement does not apply where the Processor employs fewer than 250 staff, unless:

- (a) the Controller determines that the processing is not occasional;
- (b) the Controller determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
- (c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.

1.9 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.

1.10 Each Party shall designate its own data protection officer if required by the Data Protection Legislation.

1.11 Before allowing any Sub-processor to process any Personal Data related to this Contract, the Processor must:

- (a) notify the Controller in writing of the intended Sub-processor and processing;
- (b) obtain the written consent of the Controller;
- (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause 1 such that they apply to the Sub-processor; and
- (d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.

1.12 The Processor shall remain fully liable for all acts or omissions of any Sub-processor.

1.13 The Controller 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).

1.14 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Controller may on not less than 30 Working Days' notice to the Processor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

## SCHEDULE 7 – ANNEX 1

<p>“BPSS”</p> <p>“Baseline Personnel Security Standard”</p>	<p>a level of security clearance described as pre-employment checks in the National Vetting Policy. Further information can be found at:</p> <p><a href="https://www.gov.uk/government/publications/government-baseline-personnel-security-standard">https://www.gov.uk/government/publications/government-baseline-personnel-security-standard</a></p>
<p>“CCSC”</p> <p>“Certified Cyber Security Consultancy”</p>	<p>is NCSC's approach to assessing the services provided by consultancies and confirming that they meet NCSC's standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website:</p> <p><a href="https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy">https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy</a></p>
<p>“CCP”</p> <p>“Certified Professional”</p>	<p>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:</p> <p><a href="https://www.ncsc.gov.uk/scheme/certified-professional">https://www.ncsc.gov.uk/scheme/certified-professional</a></p>
<p>“CC”</p> <p>“Common Criteria”</p>	<p>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.</p>
<p>“CPA”</p> <p>“Commercial Product Assurance”</p> <p>[formerly called “CESG Product Assurance”]</p>	<p>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: <a href="https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa">https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa</a></p>
<p>“Cyber Essentials”</p> <p>“Cyber Essentials Plus”</p>	<p>Cyber Essentials is the government backed, industry supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme.</p> <p>There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers:</p> <p><a href="https://www.iasme.co.uk/apply-for-self-assessment/">https://www.iasme.co.uk/apply-for-self-assessment/</a></p>

<p>"Department's Data"</p> <p>"Department's Information"</p>	<p>is any data or information owned or retained in order to meet departmental business objectives and tasks, including:</p> <p>(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:</p> <p>(i) supplied to the Contractor by or on behalf of the Department; or</p> <p>(ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or</p> <p>(b) any Personal Data for which the Department is the Data Controller;</p>
<p>"ESFA"</p> <p>"Department"</p>	<p>means the Department for Education</p>
<p>"Departmental Security Standards"</p>	<p>means the Department's security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver.</p>
<p>"Digital Marketplace / GCloud"</p>	<p>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.</p>
<p>"FIPS 140-2"</p>	<p>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.</p>
<p>"Good Industry Practice"</p> <p>"Industry Good Practice"</p>	<p>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.</p>
<p>"Good Industry Standard"</p> <p>"Industry Good Standard"</p>	<p>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.</p>
<p>"GSC"</p> <p>"GSCP"</p>	<p>means the Government Security Classification Policy which establishes the rules for classifying HMG information. The policy is available at: <a href="https://www.gov.uk/government/publications/government-security-classifications">https://www.gov.uk/government/publications/government-security-classifications</a></p>

"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 Authority for Information Assurance. The NCSC website is <a href="https://www.ncsc.gov.uk">https://www.ncsc.gov.uk</a>
"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.
"Secure Sanitisation"	Secure sanitisation is the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level. Some forms of sanitisation will allow you to re-use the media, while others are destructive in nature and render the media unusable. Secure sanitisation was previously covered by "Information Assurance Standard No. 5 - Secure

	<p>Sanitisation" ("IS5") issued by the former CESG. Guidance can now be found at: <a href="https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media">https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media</a></p> <p>The disposal of physical documents and hardcopy materials advice can be found at: <a href="https://www.cpni.gov.uk/secure-destruction">https://www.cpni.gov.uk/secure-destruction</a></p>
<p>"Security and Information Risk Advisor"</p> <p>"CCP SIRA"</p> <p>"SIRA"</p>	<p>the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: <a href="https://www.ncsc.gov.uk/articles/about-certified-professional-scheme">https://www.ncsc.gov.uk/articles/about-certified-professional-scheme</a></p>
<p>"SPF"</p> <p>"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. <a href="https://www.gov.uk/government/publications/security-policy-framework">https://www.gov.uk/government/publications/security-policy-framework</a></p>
<p>"Tailored Assurance"</p> <p>[formerly called "CTAS", or,</p> <p>"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 customers procuring IT systems, products and services, ranging from simple software components to national infrastructure networks. <a href="https://www.ncsc.gov.uk/documents/ctas-principles-and-methodology">https://www.ncsc.gov.uk/documents/ctas-principles-and-methodology</a></p>

## SCHEDULE 7 ANNEX 2

### Processing, Personal Data and Data Subjects

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 The contact details of the Controller's Data Protection Officer are: Emma Wharram, DFE [emma.wharram@education.gov.uk](mailto:emma.wharram@education.gov.uk)
- 2 The contact details of the Processor's Data Protection Officer are: Anna Morrison, Amazing Apprenticeships [anna@amazingapprenticeships.com](mailto:anna@amazingapprenticeships.com)
- 3 The Processor shall comply with any further written instructions with respect to processing by the Controller.
- 4 Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 17.1.
Subject matter of the processing	The process is needed in order to ensure that the Processor can effectively deliver the contract to provide a service to schools and produce reports for the ESFA to inform the evaluation of Amazing Apprenticeships and the Apprenticeship Support and Knowledge for Schools (ASK) programme.
Duration of the processing	The duration of the processing will be from the 1 August 2020 to the 31 January 2021
Nature and purposes of the processing	The nature of the processing means the collection, recording of data to evidence the effectiveness of activities in schools and to evidence all KPIs .This will include contact information of schools career advisers/teachers.. No personal information is to be shared externally without the written approval of the individuals concerned.  Information will be for reporting purposes only
Type of Personal Data	Types of information will include name, email address and telephone number



Categories of Data Subject	School contacts, YAAN, employers, other stakeholders Subject such as Careers Enterprise Company staff and JCP school advisors
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	The data will be reviewed on an annual basis and any old contact information shall be deleted from all systems. Contract details will remain live for the duration of the project

**Schedule 8**  
**Commercially Sensitive Information**

**Not Applicable**