

This contract is made on day of 20

BETWEEN

- 1 THE SECRETARY OF STATE FOR EDUCATION of Sanctuary Buildings, 20 Great Smith Street, London SW1P 3BT ("**DFE**"); and
- 2 Anvil Education Ltd whose registered office is 17 Compton Avenue Romford RM26ET registered in England and Wales under Company Number **08545493** (the "**Contractor**")

each a "**Party**" and together the "**Parties**".

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);
 - (c) schedules 3 to 9; and
 - (d) schedule 10 (Contractor's Solution).

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 DFE acting by

Position

in the presence of

Witness signature

Occupation

Address

Date

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Schedule 1
The Specification

Invitation to Bid (ITB)
Specification & Requirements
Document

RFX185 – TEACHING AND LEADERSHIP
INNOVATION FUND [TLIF] ROUND 1

27th March 2017

Notes

This document is currently for internal use only – the details will be migrated on to DfE's online procurement portal – REDIMO

This document

The Department for Education (DfE) intends to procure contractor(s) to deliver Round 1 of contracts for the Teaching and Leadership Innovation Fund¹ (TLIF).

This Invitation to Bid (ITB) sets out the details and arrangements for the procurement.

Bidders should note that it is envisaged that further rounds of TLIF will be arranged under separate procurements. DfE is currently considering and planning the timing and extent of such further rounds; whether they will be contracts, grants or other arrangements; and whether to focus future rounds on specific policies, types of schools, and areas. DfE does not commit at this point to further rounds, but expects to run at least 2 and up to 4 bidding rounds, of which this opportunity is the first.

In addition to this document and its supporting attachments (listed later in this document), bidders should also read:

1. Instructions to Bidders

2. The Questions to Bidders and the Evaluation Guidance

Definitions within this document:

“Authority” means DfE, or anyone acting on behalf of the Secretary of State for Education or her nominees, which is inviting Suppliers (Bidders to this tender) to participate in this procurement process.

“ITB” means this Invitation to Bid.

“Regulations” means the Public Contract Regulations 2015.

“You” “Your” or “Supplier” means the body completing these questions **i.e. the legal entity seeking to be invited to participate in the procurement process and responsible for the information provided.** The “Supplier” is intended to cover any economic operator as defined by the Regulations and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle (SPV); or other form of entity.

Data Handling

¹ The webpage for TLIF is <https://www.gov.uk/guidance/teaching-and-leadership-innovation-fund>

Data Processor and Data Controller

As TLIF providers will receive and process personal data and/or official data throughout the term of any award of contract, all providers must be in a position to adhere to data security standards (i.e. how and where it will store this data and how it will plan to dispose of it once the contract has expired) from the start of the contract term.

Security of Data

Within 30 days of contract award:

- TLIF providers will be required to submit a security plan, which will comply with the Data Protection Act 1998 and explain how the provider will ensure that Departmental and personal data, including historic data, will be protected, including a risk assessment.
- TLIF providers will further be required to provide a strategy to ensure that data will be appropriately disposed of in line with all relevant Government standards.

Further information is provided in the Draft Contract (Attachment 1)

Queries and Guidance

Queries

Any queries in respect of this Specification should be raised via REDIMO2 through the Messages function.

Details

Supplier Notice: Please note that responses need to be made electronically through REDIMO2 by completing evaluation sections and questions. Further guidance on this process can be downloaded from REDIMO2 at:
<https://supplierlive.proactisp2p.com/Account/Login/?cid=DFE>

Bidders experiencing technical difficulties can also contact the commercial team at commercial.contactpoint@education.gov.uk.

Background to this procurement – “the Specification of Services”

Terms in **bold** are set out in the Glossary at the end of this background section.

An overview of the Teaching and Leadership Innovation Fund:

1. The evidence is clear that the quality of teachers is the most important school-level factor in determining pupil outcomes, and this is particularly the case for pupils from disadvantaged backgrounds, where the difference between a good or bad teacher can

amount to a whole year's worth of learning. Effective leadership, backed by a commitment to ongoing continuing professional development (CPD), is also crucial, but to be effective it has to be high quality and practice is not yet widespread, systematic or consistent. The Department for Education is committed to supporting pupil **social mobility**, and is therefore looking for bids that seek to improve teaching and leadership in **priority areas** and **priority schools** through professional development. In the first round of TLIF, we are looking for evidence-based projects across four Lots (National, North, Central and South) which will seek to achieve one or more of the following outcomes:

- improving the quality of teachers and effective teaching in classrooms
 - improving the quality of leaders at all levels
 - improving the career progression of teachers and leaders
 - improving the retention of high-quality teachers and leaders
 - a professional development and leadership development offer that meets the needs of schools.
2. We are not being prescriptive about how exactly projects should achieve these outcomes. We are looking for projects that can start delivering in the autumn term 2017, or by January 2018 at the latest.
 3. The Department for Education wants to achieve a highly educated society in which opportunity is equal for children and young people, no matter what their background or family circumstances may be. The awarding Authority for this procurement is seeking to contract with a number of providers or consortia that can design, develop, deliver and continuously improve highly effective **programmes** of Continuing Professional Development (CPD) and/or Leadership Development for teachers and leaders. These **programmes** will be targeted towards **priority areas** and **priority schools** in England.
 4. DfE also wants to improve the evidence base about what makes for successful CPD and Leadership Development in the most challenging schools and the most challenging areas, in order to share learning, so that the marketplace might become more effective and sustainable.
 5. Bidders should familiarise themselves with and be aware of the context of TLIF and the drivers which have led to the establishment of the fund, including:
 - The Secretary of State for Education's formal announcement of TLIF available at: <https://www.gov.uk/government/news/social-mobility-package-unveiled-by-education-secretary>
 - The Secretary of State for Education's announcement of the first bidding round available at: <https://www.gov.uk/government/speeches/justine-greening-teachers-the-experts-driving-social-mobility>
 - The **Teachers' Professional Development Standard** available at: <https://www.gov.uk/government/publications/standard-for-teachers-professional-development>

- The National Standards of Excellence for Headteachers available at:
<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>
 - The DfE's priority to improve **social mobility**, including – but not limited to – its work in its 12 **Opportunity Areas** (see Attachment 2)
6. Bidders should be clear that The Authority is looking to fund programmes that will deliver to **priority schools**.
- If providers are proposing to deliver their **programme** outside of **priority areas**, TLIF funding will only be available to cover the costs of participants from **priority schools** in those areas.
 - The Authority expects the significant majority of delivery in **priority areas** to be to **priority schools**. If the **programme** also intends to deliver a proportion of places in **priority areas** to teachers and/or leaders at non-priority schools, Bidders should give evidence to support the case for TLIF funds covering those costs.
 - Bidders should estimate the numbers of participants they expect to recruit/train a) **in priority areas** from **priority schools**, b) in **priority areas** from any other schools where they can demonstrate the need, and c) in other areas but only from **priority schools**.
7. Any programmes established using TLIF funding may choose to offer their projects to a wider range of schools outside of these criteria. However, in assessing bids, the Authority will only be taking into account the proposed impact on **priority areas** and **priority schools**.
8. In Round 1, the Authority is keen to achieve not just high quality proposals, but ones that can be delivered to **scale**. It believes that programmes with at least 250 teacher or middle leader participants or at least 100 assistant heads, deputy heads, head teacher, multi academy chain chief executives or multi academy chain executive heads over the life of the programme would be desirable in Round 1, however this is not a Mandatory Requirement. Where bidders propose either more **priority areas** and / or more **priority schools** they will be more highly scored in this section of the evaluation.
9. Furthermore, Bidders' proposals need to take account of DfE's commitment to:
- funding provision that has both immediate, actionable elements and longer-term benefits to participants and schools facing change
 - funding solutions that will help to overcome the twin barriers of teachers' time and workload that prevent/reduce the take-up of professional development
 - an explicit requirement and expectation that TLIF funded provision must contribute towards improved diversity of the profession, and that, as a minimum, bidders' **programmes** recruit participants that are representative of the diverse workforce in the localities in which they will operate (see Attachment 3)
 - an explicit requirement to deliver best value for money for DfE and schools, including minimising 'deadweight' funding where money is spent with negligible social impact or outcome
 - an explicit requirement to build and share the evidence on the connections between staff development, through high-quality CPD and leadership development, school improvement and **social mobility** for children and young people

- an explicit requirement to work in partnership with schools and other stakeholders in the system, working within existing and developing systems, structures and mechanisms, including – but not limited to – those in the 12 **Opportunity Areas**.
10. A need for better professional development of teachers and leaders is not a new issue. The evidence from high-performing jurisdictions around the world shows that the most important school-level factor in determining pupil outcomes is the quality of teachers². The importance of good teachers is particularly pronounced for pupils from disadvantaged backgrounds, where the difference between a good and bad teacher amounts to a whole year's worth of learning³.
 11. The second most important factor in determining high performance is effective leadership in schools.⁴ The proportion of secondary schools rated as Good or Outstanding by Ofsted for quality of teaching is 23% lower in the most deprived areas compared to the most affluent ones; and schools serving deprived communities are less likely to be judged by Ofsted to be Good or Outstanding for their leadership and management than those with least deprivation.
 12. There is clear evidence that most successful education systems in the world are characterised by strong systems of teacher professional development, high levels of lesson observation and ongoing performance management⁵. Furthermore, research⁶ has shown that for teachers' and leaders' professional development to be effective it has to be of a high quality and whilst there are some growing pockets of good practice, this is not yet widespread, systematic or consistent.
 13. Research from the United States also indicates that highly effective headteachers raise the achievement of a typical student in their schools by the equivalent of between 2 and 7 months of learning in a single school year.⁷
 14. Recent Ofsted data shows that 18% of secondary schools and 11% of primaries are not rated good or outstanding for leadership and management⁸. This position varies significantly according to region; and schools serving deprived communities are less likely to be judged outstanding for leadership and management. Addressing this is vital to ensure that all children have the opportunity to meet their full potential.
 15. The TLIF scheme will be a c. £75 million programme over the next 3 financial years⁹ (i.e. FY1718; FY1819; FY1920) to improve pupil outcomes in **priority areas**. This will be achieved by outcome-focused, evidence-based and innovative provision designed to

² Barber, M. and Mourshed M., 2007, *How the World's Best Performing School Systems Come Out on Top* (London: McKinsey and Co.)

³ Sutton Trust, 2011, *Improving the Impact of Teachers on Pupil Achievement in the UK – Interim Findings* (London: Sutton Trust)

⁴ Leithwood, K., Day, C., Sammons, P., Harris, A. and Hopkins, D., 2006, *Seven Strong Claims about Successful School Leadership* (Nottingham: NCTL)

⁵ Barber, M. and Mourshed M., 2007, *How the World's Best Performing School Systems Come Out on Top* (London: McKinsey and Co.)

⁶ Cordingley, P., Higgins, S., Greany, T., Buckler, N., Coles-Jordan, D., Crisp, B., Saunders, L. and Coe, R., 2015, *Developing Great Teaching: lessons from the international reviews into effective professional development* (London: Teacher Development Trust)

⁷ Measuring the impact of effective principals,

http://hanushek.stanford.edu/sites/default/files/publications/Branch%2BHanushek%2BRivkin%202013%20EdNext%2013%281%29_0.pdf

⁸ Ofsted official statistics (<https://www.gov.uk/government/statistics/maintained-schools-and-academies-inspections-and-outcomes-as-at-31-march-2016>)

⁹ For avoidance of doubt, throughout this document and other associated documents the Financial Year is April to March

improve the quality of teaching and leadership in challenging areas and schools and address 3 key aims:

- to stimulate more and better CPD and Leadership Development provision for teachers in **priority areas** and **priority schools**
- to stimulate demand for CPD and Leadership Development provision from teachers in **priority areas** and **priority schools**
- to support development of a sustainable market in CPD and Leadership Development that will be capable of being self-funding in the future.

Procedural Notes:

16. This set of requirements for TLIF Round 1 relates to educational training services that fall within Schedule 3 of the Public Contracts Regulations 2015 ("PCR 2015"). The procurement process is under the Light Touch Regime (LTR) under the Regulations. The requirements set out in this document and associated materials apply to Round 1 only.
17. This procurement for Round 1 is for contracts only, not grants. Future rounds could potentially be contracts or grants.
18. The Authority expects to run at least 2 and up to 4 bidding rounds, of which this opportunity is the first. The Authority anticipates running one further opportunity in the autumn of 2017. Then, depending on how much funding has been allocated through these rounds, potentially one opportunity in 2018; and one opportunity in 2019.
19. Future rounds may vary in focus and / or **priority areas** and / or **priority schools** and / or **scale**. Future rounds may also seek to test more innovative, less proven proposals and / or seek to support scaling up small projects showing initial promise.
20. The Authority reserves the right unreservedly to deviate from this outline of potential future rounds, which is provided as guidance only.
21. Providers will be allowed to bid in more than one round. Unsuccessful Bidders will receive feedback on their bid and will be able to re-apply in future rounds, subject to meeting the selection criteria pertinent to the opportunity.
22. The Authority currently plans to award up to 15 contracts under this Round 1, although an actual maximum number of awards is not prescribed.
23. These awards will be within geographic Lots, as set out in Attachment 4 – these being Lot 1: National; Lot 2: North; Lot 3: Central; and Lot 4: South. The Authority currently plans to achieve a coverage across the Lots. Bidders can bid for each, any or all Lots, which will be evaluated for award individually by Lot – although there is a common set of requirements and a single proposal is sought, regardless of the number of Lots being bid for.
24. In the event a provider is awarded Lot 1 (the National Lot) then they will not be awarded further Lots. No bidders will be awarded more than 2 Lots.
25. The Authority's current thinking is to award no more than £10 million (inclusive of any VAT) for any given contract within any Lot over its lifetime under this Round.

26. Bidders should not present proposals that are more than £10 million (inclusive of any VAT) for any given Lot over its lifetime under this Round. It is a ground for exclusion if this threshold is in breach. Any smaller proposals will be equally considered.
27. However where a Bidder has submitted a proposal compliant with the above limit of £10 million, the Authority is open to consideration of a bid for any Lot up to a total of £25 million (inclusive of VAT) for an exceptional solution and an exceptional commercial offer, which may be for any single Lot, including the National Lot. The evaluation of such an exceptional proposal will only be considered upon the Bidder being successfully evaluated as one of the winning proposals in their below £10 million proposal.
28. The Authority advises Bidders to consider the £10 million threshold and to pay attention to the content and quality of that bid (smaller value proposals shall be evaluated irrespective of the total amount – there is no intrinsic advantage of a large bid over a small one) as this is the threshold for the basis of the evaluation.
29. Bidders should make clear on any exceptional bid proposal – in the allotted space on the return - the justification and extent of the exceptional outcomes and exceptional value they will deliver through such a larger value of award. (Please follow the notes in Appendix V on this matter and please do not submit separate bids for the larger exceptional amount, as such separate above £10 million proposals will not be considered in isolation).

Requirements of TLIF's awarded providers:

30. Within the Response by Bidders, attention is drawn to the Mandatory Requirements.
31. The Authority is seeking bids that have an overall focus on improving the quality of teaching and/or leadership in **priority areas** and **priority schools**, with the aim of improving the outcomes of children and young people.
32. Successful Bidders selected for award of contracts will have demonstrated in their proposals how they will:
- stimulate more/better provision of teachers' CPD and leadership development.
 - stimulate demand for provision of high-quality teachers' CPD and leadership development.
 - support the development of a sustainable market for CPD and leadership development.
33. To achieve success in this procurement Bidders should set out the best means, through professional development, to deliver one, more or all of the following outcomes:
- improving the quality of teachers and effective teaching in classrooms
 - improving the quality of leaders at all levels
 - improving the career progression of teachers and leaders
 - improving the retention of high-quality teachers and leaders
 - a professional development and leadership development offer that meets the needs of schools.

In addition, all bids must also address an outcome that the Authority requires an improved evidence base on what works in leadership development and teacher CPD, including value for money.

34. Round 1 of TLIF is about delivering evidence-based approaches at **scale** in the most challenging schools to meet the objectives of the fund – in other words, to meet its outcomes speedily with proven solutions, although these proven solutions may be delivered in innovative ways. By evidence-based, the Authority means Bidders' proposals should assemble the best ideas, methods, techniques and approaches which have demonstrable data for their success, and craft a proposed solution to the Requirements (as opposed to proposals which rely upon or seek to explore mainly theoretical, new, untested or researched approaches or solutions that lack an evidence base).
35. The Authority is focused on outcomes and results for the Fund and has been intentionally open and non-prescriptive as to the solutions or approaches that may be proposed by Bidders for this Round; furthermore, the Authority has intentionally not stated any preferred or intended allocation of funds or contracts between CPD and Leadership Development for this Round.
36. The Authority expects and requires targeting of the majority of delivery to **priority areas** and **priority schools** for this Round. For any given Lot, participants must be drawn from at least 4 **priority areas** OR from at least 30 **priority schools**. In either case, at least 70% of overall delivery of the individual programme must be in **priority areas**.
37. TLIF funds will be awarded to drive the outcomes and achieve the objectives of the fund. It is anticipated that the funds, spanning CPD and Leadership Development, will be used by the appointed contractors for the following:
- Start-up/local roll out/running costs - where organisations can guarantee the 70% reach as set out above – including content development / refinement
 - Subsidised or free places for teachers and leaders, where there is a clear, costed rationale for doing so
 - **Programme** delivery activities, including but not limited to, payment of staffing and facilitators, venues and other direct spend
 - Quality Assurance / Evaluation support
 - Administration, Governance and Programme/Project Management
 - A proportionate contribution to organisational overheads and running costs.

This list is indicative but not binding.

38. Full transparency of each provider's costs (both fixed and variable) and performance offer is required by the Authority as part of the bid, so that the Authority may understand the full costs of set-up and ongoing delivery.
39. The Authority anticipates that programmes funded in Round 1 will be broadly 'implementation ready' but may need some updating/contextualisation – termed 'Design'. The Authority encourages Bidders to consider how they may creatively propose the re-use and reconfiguration of assets in order to deliver to speed, **scale** and value for money.

40. Bidders may include in their proposals ways in which they can offset the costs of the **programme** through a range of mechanisms, including school contributions, in-kind contributions, sponsorship and other funding streams.
41. Where school contributions form part of a bid, Bidders must clearly state the basis and amount of any proposed contributions.
42. Any sponsorship arrangements proposed will be subject to agreement in advance by the Authority. Agreement will not be unreasonably withheld, although the Authority reserves without reservation the right to withhold, or, if circumstances change, withdraw approval.
43. The Authority is not currently minded to fund through Round 1 proposals that replicate any existing programmes contracted by government for teachers and leaders, including but not limited to:
- The National Professional Qualifications [NPQ] (both the current licensed offer and the newly reformed qualifications).¹⁰
 - The High Potential Middle and Senior Leadership programmes.
 - The Talented Leaders programme.
44. TLIF funding cannot be used for Capital projects; nor can it be used for Initial Teacher Training. Other exclusions may be identified during the term of the contract and these will be clarified and agreed with providers on a case-by-case basis.
45. Bids will not be accepted where there is no stated attempt (or there is no demonstrable evidence provided) to deliver the Services beyond a narrow commercial grouping – for example a bid focused exclusively into one single academy chain's own schools rather than across the sector would be unlikely to meet the objectives of the fund.
46. In terms of scope, both primary and secondary schools are in scope; as are special schools, alternative provision, early years (where part of maintained provision) and post-16 settings, such as schools with a sixth-form and sixth-form colleges. The general expectation of the Authority is that participants will be serving qualified teachers and leaders in the publically funded school sector in England. This currently includes maintained schools, academies, free schools, university technical colleges, sixth-form colleges and general further education colleges. Attachment 5 sets out data intended to support bidders' understanding of the potential scope of their target audience(s).
47. The procurement encourages proposals which include the participation of teachers involved in teaching pupils with special educational needs and disability in both mainstream settings and special schools, provided such bids fall within the parameters of scope listed herein for TLIF.
48. Eligibility is not restricted solely to teachers and leaders, although that is the focus for the use of funds for Round 1.
49. Notwithstanding the above, bidders are free to determine their own participant eligibility arrangements for their provision, taking account of expectations set out elsewhere about funding and **priority areas** and **priority schools**.

¹⁰ NPQs – see <https://www.gov.uk/government/collections/professional-development-for-school-leaders>

50. Under the fund, the principle responsibility and activity for recruiting participants will be with the awarded contractors. The Authority has not at this stage planned or resourced to deliver any activity supporting recruitment of participants itself.
51. Bidders' proposals should focus on low and no-cost marketing activity, in line with expectations of all government contracts¹¹ and in line with DfE Marketing and Branding Guidelines (Attachment 6). Bidders' proposals should also take account of schools' preferences for how they wish to receive marketing information. If bidders believe a strong case can be made to pay for marketing activity pertinent directly to TLIF activity, e.g. to recruit participants, that should be included in their cost proposals. The Authority may seek clarification on such proposals and may need to seek further advice and/or clearance from Cabinet Office for spend in this area, which may be declined¹².
52. The Authority is seeking to craft a contract agreement with the awarded bidders so that successful solutions could be widely adopted and scaled in the future, which may be by themselves or another party, possibly within one of the planned further rounds. Bidders are asked for their proposals for legacy at the end of the contract, to support the objective of sustainable, **scale** solutions.
53. The Authority anticipates that contracts will start in June 2017 with end dates to be agreed for each contract during clarification and/or bid optimisation activity. The Authority reserves the right at its absolute discretion to extend the contract for a further period and to increase the contract value, subject to funding. Extension decisions will be subject to both parties' agreement and to satisfactory contractor performance, Government support and funding.
54. The Authority reserves the right to terminate or reduce the scope of any contracted agreement should funding be withdrawn or changed, or if there is a significant change in Government policy relating to the delivery of the programme and outputs required as part of this contract, by giving at least 3 months' notice¹³. The Authority reserves the right to terminate any contract should the supplier fail to achieve their commitments under the contract, after reasonable time to remedy.
55. Providers in receipt of funding through TLIF will be required to track and maintain robust and comprehensive data about participants' engagement, and their completion, deferral or withdrawal status as/if applicable. As a minimum, this must include teachers' and schools' unique reference numbers. Providers must put in place arrangements whereby participants and schools agree this data can be shared with the Authority and its approved third parties.
56. Providers will be expected to work with the Authority in a spirit of partnership and collaboration. A draft set of behaviours is supplied as Attachment 7 and bidders should note its content and the implications of its approach in their proposals. It is also important for the Authority that providers will work with each other in a similarly constructive manner

¹¹ See

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/590497/20170130_Annex_3_Advertising_Marketing_and_Communications_with_minor_amendments_and_updated_links_.pdf

¹² There are government-wide restrictions on any spend related to Marketing and Communications following the Marketing and Advertising freeze introduced in May 2010 for all Government Departments and their agencies. The Marketing and Advertising freeze also applies to all 'paid for' communications activities that are funded by the Department regardless of who delivers them. Bidders should demonstrate how they will market their services without using Government funds to do so.

¹³ To be agreed at contract finalisation stage.

and the Authority will expect bidders to agree to explore ways in which this can be achieved.

57. The Authority proposes to appoint an external Evaluator of the TLIF scheme (including its funded projects) to help in the measurement and evaluation process. It should be noted that any third party evaluation contractor will be appointed through a separate procurement activity. Due to the need for objectivity, TLIF providers will NOT be eligible to bid for, or be part of a consortium that bids for, the evaluation activity.

A glossary of terms is provided to support bidders' understanding:

Category 5 and 6 Local Authority Districts	Referenced in Education Excellence Everywhere White Paper (published March 2016, available at https://www.gov.uk/government/publications/educational-excellence-everywhere). Methodology behind the categorisation is explained at: https://www.gov.uk/government/publications/defining-achieving-excellence-areas-methodology
Opportunity Areas	Twelve prioritised local authority districts from Category 5 and/or 6: Blackpool, Bradford, Derby, Doncaster, Fenland & East Cambridgeshire, Hastings, Ipswich, Norwich, Oldham, Scarborough, Stoke-on-Trent and West Somerset. See also Attachment 2.
National Standards of Excellence for Headteachers	DfE publication (January 2015) available at https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers <i>This document sets out non-statutory guidance to underpin best practice, whatever the particular job description of the head teacher.</i>
Priority areas	For TLIF the Priority Areas are the Opportunity Areas (see above) and the Category 5 and 6 local authority districts (see above) https://www.contractsfinder.service.gov.uk/Notice/2c427176-4c7f-43b7-ab75-0f328e3c5d2c
Priority schools	For TLIF the Priority Schools are those rated by Ofsted as Grade 3 or Grade 4 overall
Programme	For TLIF in Round 1 programme is to be interpreted as meaning a programme, project, learning intervention or initiative, delivered by the bidder to teachers and leaders to improve their practice.
Scale	For TLIF in Round 1 scale is to be interpreted as the following: At least 4 priority areas OR at least <u>30</u> priority schools targeted (at least 70% of which must be in priority areas)

Social mobility	Improving social mobility means breaking down barriers and levelling up opportunity across every life phase so that everyone can go as far as their talents and drive will take them.
Standard for Teachers' Professional Development	DfE publication (July 2016) available at https://www.gov.uk/government/publications/standard-for-teachers-professional-development <i>Bidders should reflect the principles of this framework in their proposals.</i>
Theory of Change	A theory of change explains the logic of an intervention, stepping through inputs, outputs, outcomes and impacts and explains the rationale – the how and why it will work. It also shows the evidence underpinning this. See also Attachment 8

Attachments

1. Draft Contract
2. Opportunity Areas
3. Equality and Diversity Policy
4. Lots
5. Data on schools (multiple worksheet Excel file)
6. Marketing and Branding Guidelines
7. Values & Behaviours – working in partnership
8. Theory of Change - exemplar

The “Requirements”

The Technical requirements which will be evaluated are categorised into:

- **Mandatory – Section 15** (3 responses in this category) – Bidders should note that the Authority may at its absolute discretion refuse to consider a bid further, depending on the answers given to these requirements and should any fall below the threshold of a pass / positive. See evaluation criteria.
- **Highly Desirable – Sections 16 to 18** – being a statement requiring **compliance** by the Bidder that they will contract to accept the requirement in full if they are awarded the contract.

Launch procurement	Friday 24 March 2017
Bidders' WebEx	Thursday 30 March 2017 from 14:30 – 15:30 This event will be recorded and the recording made available in

	<p>Redimo2.</p> <p>Event number: 848 890 090</p> <p>Event address for attendees: here</p> <p>Call-in toll-free number: +0800-9171956</p> <p>Attendee pass code: 350 428 98</p>
Deadline for bidders' questions	09:00 on Wednesday 26 April 2017
Deadline for responses	09:00 on Wednesday 2 May 2017
Indicative contract award (subject to agreement with DfE Ministers)	Mid-June 2017

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 the geographical area within England in respect of which the Contractor is appointed to provide the Services.

“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.

“Authority” means the Secretary of State for Education

“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:

- (a) which is provided by the Contractor to DFE in confidence for the period set out in schedule 9; and/or
- (b) that constitutes a trade secret.

“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).

“Contract” means the legally binding agreement made between the Parties.

“Contractor” means the person, partnership or company with whom the Authority enters into the Contract for the supply of Services.

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

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

“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 DFE 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.

“DfE” means the Department for Education or the Authority.

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

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

“DFE Trade Marks” means proprietary trade mark rights of DFE including those notified to the Contractor by DFE 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.

“Effective Date” means [2nd October 2017].

“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.

“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.

“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 **31st March 2020**.

“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.

“KPIs” means the key performance indicators in relation to the Services set out in schedule 4 which the Contractor shall comply with.

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

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

“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 DFE 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.

“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.

“Offshoring” authority data must not be processed outside the United Kingdom without the prior written consent of DfE and must at all times comply with the Data Protection Act 1998.

“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 DfE 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 DfE;
- (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.

“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 DfE.

“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.

“Replacement Contractor” means any third party supplier appointed by the DFE 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.

“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 [2nd October 2017].

“Service Credits” means the service credits specified in schedule 4 which shall be payable to the DFE 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” means the description of the Services to be supplied under the Contract set out in schedule 1.

“Sub-Contract” a contract between the Contractor and a Sub-Contractor.

“Sub-Contractor” means a third party directly or indirectly contracted by the Contractor (irrespective of whether such person is an Associated Company) whose services are used by the Contractor (either directly or indirectly) in connection with the provision of the Services.

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

“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.
- 2.2 DFE may in its absolute discretion extend the term of the Contract from the expiry of the Initial Term up to a maximum of 24 months (“the Extended Period”) to provide for continued service by giving not less than 6 months’ written notice to the Contractor prior to the expiry of the Initial Term. This decision to extend will be subject to satisfactory contractor performance, government/Ministerial support and funding. In the event that DFE exercises this option, work on the continued services will commence on a date to be agreed (but likely to be immediately on expiry of the Initial Term and will continue until the expiry of the Extended Period.”

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 DFE 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;
 - 3.3.1.1 The Contractor shall have an ongoing obligation throughout the contract period to cooperate with the DfE’s external evaluator and will provide such information as required to the external evaluator in order that the effects of the delivery of the Services can be assessed, including but not limited to service user satisfaction, learning, behavioural and attainment outcomes; improvements in the standards of schools; and the commissioning of impact studies.
 - 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 DFE specified by the DFE from time to time;
 - 3.3.3 comply with Good Industry Practice; (Please see definition within the glossary).

- 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 KPIs, 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 DFE from time to time within 14 days of the same being brought to the attention of the Contractor by the DFE;
- 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 DFE, 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 DFE from time to time notified to it and procure that the Personnel also comply.
- 3.3.12 Timely supply of the services shall be of the essence of the contract, including in relation to commencing the supply of the Services within the time agreed or on a specified date.
- 3.4 The DFE 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 DFE Premises shall be at the Contractor's own risk and the DFE 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 DFE.
- 3.6 Any land or DFE Premises made available from time to time to the Contractor by the DFE 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 DFE 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 DFE 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 DFE retains the right at any time to use any DFE Premises in any manner.
- 3.8 Manner of Carrying Out the Services
 - 3.8.1 The Contractor shall at all times comply with the Quality Standards and where applicable shall maintain accreditation with the relevant Quality Standards authorised body. To the extent that the standard of Services has not been specified in the Contract , the Contractor shall agree the relevant standard of the services with the Authority prior to the supply of the Services with the Authority prior to the of the Services and in any event the Contractor shall perform its obligations under the Contract in accordance with the Law and Good Industry Practice.

- 3.8.2 The parties agree that any such Service Credit has been calculated as, and is, a genuine pre-estimate of the loss likely to be suffered by the Authority. The Contractor has taken the Service Credit into account in setting the level of the Contract Price).

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 DFE 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 DFE.
- 4.4 The Contractor shall promptly inform the DFE 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 DFE.
- 5.2 If the DFE 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 DFE's consent.
- 5.4 Where the DFE has consented to a Sub-Contract, copies of each Sub-Contract shall, at the request of the DFE, be sent by the Contractor to the DFE as soon as reasonably practicable.
- 5.5 The Contractor shall not terminate or materially amend the terms of any Sub-Contract without the DFE's prior written consent.
- 5.6 The DFE may require the Contractor to terminate a Sub-Contract if the acts or omissions of the Sub-Contractor have given rise to the DFE's right of termination pursuant to clause 23 unless the Sub-Contractor can remedy the breach to the DFE's satisfaction within 21 days of receipt by the Contractor of written notice from the DFE 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.

6. PERSONNEL

- 6.1 The DFE may refuse admission to DFE Premises and/or direct the Contractor to end the involvement in the Services of any Personnel whom the DFE believes is a security risk.
- 6.2 If the DFE require the removal of any Personnel pursuant to clause 8.1, 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 best 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 DFE'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 DFE 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 Personnel and Sub-Contractors are essential to the proper provision of the Services. The Parties have agreed to the appointment of Personnel and Sub-Contractors listed in schedule 7 as at the Effective Date.
- 6.7 Personnel shall not be released from supplying the Services without the DFE'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 to Personnel shall be subject to DFE consent and shall be of at least equal status, experience and skills to Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- 6.9 The DFE 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 Personnel or Sub-Contractors.
- 6.10 DFE may require the Contractor to remove any Personnel who the DFE considers in any respect unsatisfactory.
- 6.11 The DFE shall not be liable for the cost of replacing any Personnel and the Contractor shall indemnify the DFE 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.
- 6.13 The Contractor shall further use all best endeavours to ensure that it's staff who are not EC nationals are legally entitled to be resident in the United Kingdom and have a work permit, where applicable. The Contractor shall promptly take all reasonable steps to ensure compliance with this clause.
- 6.14 All providers including all sub-contractors shall have obtained the requisite vetting and clearance of all their staff so that the Authority may be assured that the DFE's guidelines for child safeguarding are achieved.

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 DFE, within 30 days of the request, all information that the DFE 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 DFE (which shall not be more frequent than once every 30 days) the Contractor shall give the DFE updated TUPE Information.
- 7.3 Each time the Contractor supplies TUPE Information to the DFE it shall warrant its completeness and accuracy and the DFE may assign the benefit of this warranty to any Replacement Contractor.
- 7.4 The DFE 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 DFE 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 DFE 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 DFE 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 DFE and provide the DFE 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 DFE 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 DFE (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 DFE 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 DFE 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 DFE 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 DFE shall be without prejudice to any rights the DFE 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 DFE by reason of such payment.
- 8.6 The DFE 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 [APinvoices-DFE-U@sscl.gse.gov.uk] and/or sent, within 30 days of the end of the relevant invoicing date, to SSCL Accounts Payable Team, Room 6124, Tomlinson House, Norcross, Blackpool, FY5 3TA. 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 DFE shall not pay an invoice which is not a Valid Invoice.
- 8.9 The DFE 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 DFE 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 DFE. The final invoice shall be submitted not later than 30 days after the end of the Term.
- 8.12 The DFE 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 its Sub-Contracts which requires the Contractor to pay any undisputed sums to Sub-Contractors within 30 days from the date the Contractor receives the Sub-Contractor's invoice.
- 8.14 If the DFE 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 DFE may withhold the disputed amount pending resolution of the dispute.
- 8.15 The Parties shall use all best 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 National Insurance Contributions (“**NIC**”) 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 NIC in respect of that consideration.
- 9.4 The DFE 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 DFE 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 DFE 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 DFE 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 DFE in connection with any such assessment or claim.
- 9.10 The Contractor authorises the DFE 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 DFE 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 DFE in writing of such fact within 5 Business Days of its occurrence; and
- 9.11.2 promptly give the DFE:
- (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 DFE 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 DFE 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 DFE on request.
- 10.4 The Contractor shall immediately notify the DFE 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 DFE pursuant to clause 10.4, the Contractor shall respond promptly to the DFE's enquiries, co-operate with any investigation, and allow the DFE 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 DFE 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 DFE under clause 10.6 shall specify the nature of the Prohibited Act, the identity of the party who the DFE believes has committed the Prohibited Act and the action that the DFE 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 DFE's equality and diversity policy as given to the Contractor from time to time and any other requirements and instructions which the DFE reasonably imposes in connection with any equality obligations imposed on the DFE at any time under equality law.
- 11.3 The Contractor indemnifies the DFE in full from and against all Employment Liabilities that may arise as a result of any claims brought against the DFE by any of its employees, agents, consultants and contractors ("**DFE 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 DFE may request in

connection with any investigation by the DFE into any complaint or other grievance received by it from any of the DFE 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 DFE (the “**DFE IP Materials**”) shall remain the property of the DFE; and

12.1.2 prepared by or for the Contractor on behalf of the DFE in connection with the Contract (the “**Service Specific IP Materials**”) shall vest in the DFE

(together the “**IP Materials**”).

12.2 The Contractor shall not, and shall ensure that Personnel shall not, use or disclose IP Materials without the DFE’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 DFE or undertakes to procure the assignment to the DFE of all Intellectual Property Rights which may subsist in the Service Specific IP Materials. This assignment 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 DFE 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 DFE and necessary to execute and perfect this assignment and to otherwise evidence the DFE’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 DFE a non-exclusive licence or, if itself a licensee of those rights, shall grant to the DFE 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 DFE to sub-licence, transfer, novate or assign to a Replacement Contractor. The Contractor shall notify the DFE 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 DFE from and against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which the DFE 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 DFE; or

12.6.2 the use of data supplied by the DFE which is not required to be verified by the Contractor under any provision of the Contract.

12.7 The DFE shall notify the Contractor in writing of any claim or demand brought against the DFE 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 DFE, provided always that the Contractor:
- 12.8.1 shall consult the DFE on all substantive issues which arise during the conduct of such litigation and negotiations;
- 12.8.2 shall take due and proper account of the interests and concerns of the DFE; and
- 12.8.3 shall not settle or compromise any claim without the DFE's prior written consent (not to be unreasonably withheld or delayed).
- 12.9 Notwithstanding clause 12.8. the DFE may take any action it deems appropriate with respect to any such claim and shall have exclusive control of such claim. If the DFE takes action the Contractor shall at the request of the DFE afford to the Contractor all reasonable assistance to the DFE for the purpose of contesting such claim.
- 12.10 The DFE 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 DFE 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 DFE 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 DFE and, at its own expense and subject to the consent of the DFE (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 DFE.
- 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 DFE may terminate the Contract with immediate effect by notice in writing.
- 12.13 The Contractor grants to the DFE 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 DFE 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 DFE 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 DFE 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 DFE 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 DFE 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 DFE 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 DFE to any of the DFE IP Materials.

12.17 The Contractor shall comply with the DFE's branding guidelines and shall not use any other branding, including its own, other than as set out in the DFE's branding guidelines or as otherwise agreed with the DFE.

12.18 When using DFE Trade Marks the Contractor shall observe all reasonable directions given by the DFE 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 DFE Trade Mark, or unfairly competes with any DFE Trade Mark; or

12.18.2 apply anywhere in the world to register any trade marks identical to or so nearly resembling any DFE 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.

13.2 Additionally we require Contractors hold as a minimum cyber essentials certification.

13.3 The Authority expects Contractors to undertake their own due diligence. Compliance details from Crown Commercial Services (CCS) are located in the link contained in Schedule 8.

14. PUBLICITY AND PROMOTION

14.1 Subject to clause 15.2, without prejudice to the DFE's obligation 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 best 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 DFE's name, brand or DFE Trade Marks or the Personal Data of the DFE to sell, promote, market or publicise the Contractor's other programmes, courses, services or other activities.

14.4 Subject to clauses 12 and 15 DFE 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 DFE to publish the whole Contract including from time to time agreed changes to the Contract.
- 15.3 The Contractor may only disclose the DFE'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 DFE'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 DFE disclosing any Confidential Information obtained from the Contractor:
- 15.6.1 for the purpose of the examination and certification of the DFE'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 DFE 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 DFE provided that in disclosing information under clauses 15.6.3 and 15.6.4 the DFE 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 DFE shall endeavour to ensure that any government department, employee, third party or sub-contractor to whom the DFE's Confidential Information is disclosed pursuant to clause 15.6 is made aware of the DFE's obligations of confidentiality.
- 15.9 If the Contractor does not comply with clauses 15.1 to 15.5 the DFE may terminate the Contract immediately on notice to the Contractor.

16. FREEDOM OF INFORMATION

- 16.1 The Contractor acknowledges that the DFE is subject to the requirements of the FOIA and the EIR.
- 16.2 The Contractor shall transfer to the DFE 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 DFE a copy of all Information in its possession or control in the form that the DFE requires within 5 Business Days (or such other period as the DFE may specify) of the DFE's request;
 - 16.2.2 provide all necessary assistance as reasonably requested by the DFE to enable the DFE 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 DFE.
- 16.3 The DFE 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 for its own fraud; or
 - 18.1.5 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 DFE and keep the DFE 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 Subject to clauses 18.1 and 18.3, the maximum liability of either Party to the other under the Contract, whether in contract, tort (including negligence) or otherwise:
 - 18.5.1 in respect of damage to property is limited to £5million in respect of any one incident or series of connected incidents; and
 - 18.5.2 in respect of any claim not covered by clause 18.5.1, is limited in each calendar year in aggregate to 150% of the sum of the Charges payable in that year.
- 18.6 The DFE may recover from the Contractor the following losses incurred by the DFE 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 DFE, including costs relating to time spent by or on behalf of the DFE 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 DFE; and
 - 18.6.5 any fine or penalty incurred by the DFE and any costs incurred by the DFE 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 DFE's premises shall be there at the risk of the Contractor and the DFE 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 DFE 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 DFE 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 DFE 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 DFE 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 DFE 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 DFE in writing of any Occasions of Tax Non-Compliance and 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 best 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 best 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 DFE 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 DFE 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 DFE 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 DFE (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 DFE reasonably considers that any such risk has been remedied or removed. The Contractor shall cooperate at all times with the DFE 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 DFE 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 DFE may direct.
- 21.5 The DFE may review from time to time the progress of the Contractor against the Implementation Plan. The Contractor shall cooperate with the DFE in this regard and provide any information and evidence reasonably required by the DFE.
- 21.6 The DFE may instruct the Contractor to take appropriate remedial action where the DFE 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 DFE's rights of termination under clause 23 the DFE 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 DFE that exercise by the DFE 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 DFE 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 DFE 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 DFE 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 DFE will require access to the Contractor's premises; and
 - 22.3.6 to the extent practicable, the effect the DFE 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 DFE 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 DFE 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 DFE shall pay the Contractor the Charges after subtracting any applicable Service Credits and the DFE's costs of taking the Required Action.
- 22.6 If the Contractor demonstrates to the DFE'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 DFE not taken the Required Action, the DFE may adjust the Charges.
- 22.7 Before ceasing to exercise its Step In Rights the DFE 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 DFE plans to end the Required Action subject to the DFE 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 DFE'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 DFE 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 DFE for approval. The DFE 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 DFE shall reimburse the Contractor's reasonable additional expenses incurred directly as a result of any Step-In action taken by the DFE under clauses 22.1.2 to 22.1.5 (insofar as the primary cause of the DFE serving the Step In Notice is identified as not being the result of a Contractor's Default).

23. TERMINATION

- 23.1 The DFE may terminate the Contract with immediate effect and without 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 DFE may terminate the Contract with immediate effect by notice and without 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 DFE 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 DFE 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 DFE 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 DFE may terminate the Contract with immediate effect and without 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 DFE may terminate the Contract with immediate effect and without 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 DFE may terminate with immediate effect if the Contractor commits a Default and:
- 23.7.1 the Contractor has not remedied the Default to the satisfaction of the DFE within 21 Business Days or such other period as may be specified by the DFE, 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 DFE, capable of remedy; or
 - 23.7.3 the Default is a Material Breach.
- 23.8 If the DFE terminates the Contract under clause 23.7:
- 23.8.1 and makes other arrangements for the supply of the Services the DFE may recover from the Contractor the cost reasonably incurred of making those other arrangements; and

- 23.8.2 the DFE 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 DFE), until the DFE has established the final cost of making the other arrangements envisaged under this clause 23.
- 23.9 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.
- 23.10 If the DFE terminates the Contract under clause 23.9 the DFE 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 DFE.
- 23.11 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 DFE may terminate this Contract (or any part of it) by serving 3 months' written notice on the Contractor.
- 23.12 If the DFE terminates the Contract under clause 23.11 the DFE 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 best endeavours to mitigate the amount of such costs and has provided written evidence of the reasonableness and unavoidability of such costs.
- 23.13 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 DFE in respect of any charge levied for its transmission and any other costs charged in connection with such Default.
- 23.14 If the DFE fails to pay the Contractor undisputed sums of money when due the Contractor shall give notice to the DFE of its failure to pay. If the DFE 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 DFE exercising its rights under clause 8.6 or to Force Majeure.
- 23.15 Save as otherwise expressly provided in the Contract:
- 23.15.1 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
- 23.15.2 termination of the Contract shall not affect the continuing rights, remedies or obligations of the DFE 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).

24. RETENDERING AND HANDOVER

- 24.1 Within 30 days of being requested by the DFE, the Contractor shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information reasonably necessary to enable the DFE to issue tender documents for the future provision of replacement services.
- 24.2 The DFE 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 DFE 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 DFE; 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 DFE's authorised representative, to any person representing any potential contractor whom the DFE 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 DFE 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 DFE 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 DFE, the Contractor shall transfer to the DFE, or any person designated by the DFE, 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 DFE.

25. EXIT MANAGEMENT

- 25.1 If the DFE 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 DFE 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 DFE, a plan which sets out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the DFE 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 DFE for review. Within 30 days following submission of the revised Exit Plan, the Parties shall meet and use best 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 coststhe Parties shall agree a variation of the Charges.
- 25.6 If the DFE requests, the Contractor shall deliver to the DFE 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 DFE shall notify the Contractor of the licences it wishes to be transferred, and the Contractor shall provide for the

approval of the DFE a plan for licence transfer.

- 25.8 The Contractor shall co-operate fully with the DFE in order to enable an efficient and detailed knowledge transfer from the Contractor to the DFE at the end of the Term and shall provide the DFE free of charge with full access to Personnel, copies of all documents, reports, summaries and any other information requested by the DFE. The Contractor shall comply with the DFE'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 DFE, 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 DFE 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 DFE and for carrying out examinations into the economy, efficiency and effectiveness with which the DFE 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 Parties do not intend that any term of the Contract will be enforceable by virtue of the Contracts (Rights of Third Parties) Act 1999 by any person not a Party to it.

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 DFE, 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 DFE 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 DFE.

- 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 DFE (acting reasonably); and

33.4.2 give the DFE a comprehensive and detailed written statement of the action it had taken.

- 33.5 If the DFE is not satisfied with the Contractor's actions, the Contractor shall, on request by the DFE 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 DFE 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 DFE, 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 best 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 best 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.

38. LICENSE TO OCCUPY PROPERTY

38.1 Any land Premises made available from time to time to the Contractor by the Authority in connection with this 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 premises as licensee and shall vacate the same on completion, termination or abandonment of the Contract.

38.2 The Contractor shall limit access to the land or Premises to such staff as is necessary to enable it to perform its obligations under this contract and the Contractor shall co-operate (and ensure that it's staff cooperate) with such other persons working concurrently on such land or Premises as the Authority may reasonably request.

- 38.3 The Contractor shall (and shall ensure that its staff shall) observe and comply with such rules and regulations as may be in force at any time for the use of such Premises as determined by the Authority, and the Contractor shall pay for the cost of making good any damage caused by the Contractor or its staff other than fair wear and tear. For the avoidance of doubt, damage includes damage to the fabric of the building, plant, fixed equipment or fittings therein.
- 38.4 the parties agree that there is no intention on the part of the Authority to create a tenancy of any nature whatsoever in favour of the Contractor or its staff and that no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to this contract, the Authority retains the right at any time to use any premises owned or occupied by it in any manner it sees fit.
- 38.9 Should the Contractor require modifications to the Authority's Premises such modifications shall be subject to prior approval and shall be carried out by the Authority at the Contractor's expense. The Authority shall undertake approved modification work without undue delay. Ownership of such modifications shall rest with the Authority.

39 OFFSHORING

- 39.1 In accordance with the DFE Offshoring Policy and while not in any way limiting any other provision of this Contract, the Contractor and any of its Sub-contractors, shall not offshore Authority Data (as described in the DFE Offshoring Policy) outside the United Kingdom without the prior written consent of the Authority, and where the Authority gives consent, the Contractor shall comply with any reasonable instructions notified to it by the Authority in relation to the Authority Data in question.

Schedule 3

Financials

1. The DFE shall pay the Contractor the Charges in accordance with the Contract, subject to successful delivery of the Services against the KPIs 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 DFE, the Contractor shall not be entitled to claim any expenses in addition to the Charges.
2. The DFE 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 DFE 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



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.

Table 2



Schedule 4

KPIs, Service Levels and Service Credits

- 1 The objectives of the Service Levels are to:
 - 1.1 ensure that the Services are of a consistently high quality and meet the requirements of the DFE;
 - 1.2 provide a mechanism whereby the DFE can attain meaningful recognition of inconvenience and/or loss resulting from the Contractor's failure to deliver the Services; and
 - 1.3 incentivise the Contractor to meet the Service Levels and to remedy any failure to meet the Service Levels expeditiously.

SERVICE LEVELS

- 2 This schedule 4 sets out the KPIs and Service Levels against which the Contractor shall measure its performance.
- 3 The Contractor shall monitor its performance against of each of the Service Levels in and send the DFE a report detailing the Service Levels which were achieved in accordance with the provisions of this schedule 4.
- 4 If, during a Service Period, the Contractor:
 - 4.1 achieves a Service Level no Service Credits will accrue to the Contractor in respect of that Service Level;
 - 4.2 is below a Service Level the appropriate number of Service Points will accrue to the Contractor in respect of that Service Level; or
 - 4.3 fails to meet 4 or more Service Levels in any consecutive 3 months, the DFE may terminate the Contract and/or seek damages in addition to any Service Credits which have already been accrued by the Contractor and are payable by the Contractor to the DFE.

SERVICE CREDITS

- 5 Accrual of Service Credits shall entitle the DFE to a reduction in the Charges. The Contractor shall set-off the value of any Service Credits against the appropriate invoice in accordance with schedule 3. The mechanism for recovery of any Service Credits will be developed and agreed with the Contractor within the first 3 months of the Contract.
- 6 The Contractor confirms that it has modelled the Service Credits and has taken them into account in calculating the Charges. Both Parties agree that the Service Credits are a reasonable method of adjusting the Charges to reflect poor performance
- 7 The Contractor has agreed to put 8% of the contract value, [REDACTED] at risk or [REDACTED] each financial year of contract. The key performance indicators where financial consequences will be applied are listed in Table 3
- 8 The Service Credit Mechanism will be cumulative for the academic year. Table 1 provides a breakdown of the financial consequences that will be applied in the event of KPI failure(s) and Table 2 sets out the Service Credits that will apply to this contract.

Table 1 - Financial Consequences

	Year 1	Year 2	Year 3
1 x KPI missed	5/8 x (cost at risk per year)	5/8 x (cost at risk per year)	5/8 x (cost at risk per year)
2 x KPIs missed	6/8 x (cost at risk per year)	6/8 x (cost at risk per year)	6/8 x (cost at risk per year)
3 x KPIs missed	7/8 x (cost at risk per year)	7/8 x (cost at risk per year)	7/8 x (cost at risk per year)
4 x KPIs missed	8/8 x (cost at risk per year)	8/8 x (cost at risk per year)	8/8 x (cost at risk per year)

Table 2 - Service Credits that will apply to this contract

Anvil cost at risk per academic year	For one KPI missed 5/8	For Two KPIs missed 6/8	For three KPIs missed 7/8	For Four KPIs missed 8/8

Table 3 - Key Performance Indicators

	KPI	Measure	Monitoring Method	Financial Consequence	Service Credit Mechanism (SCM)	Target and Measure for application of SCM
1	Recruitment	A minimum of [REDACTED] participants are recruited during the programme. [REDACTED] participants in year 1 [REDACTED] participants in year 2	Monthly monitoring during the recruitment cycle. Success against target will be measured for each cohort at the start of the first year of the programme.	Yes	SCM 1a Recruitment in year 1 of the programme SCM 1b Recruitment in year 2 of the programme SCM 1c Recruitment in year 3 of	100% of cohort of [REDACTED] participants in March 2018 100% of cohort of [REDACTED] participants in March 2019

		participants in year 3			the programme	100% of cohort of participants in March 2020
2	Recruitment	A minimum of schools recruited during the programme in the first year, in the second year in the third year of the programme	Monthly monitoring during the recruitment cycle. Success against target will be measured for each cohort at the start of the first year of the programme.	No		First year measured in March 2018, but not in relation to service credits. Second year measured in March 2019, but not in relation to service credits. Third year measured in March 2020, but not in relation to service credits.
3	Geographical spread of participants	A minimum of 70% of participants to come from priority schools.	Success against target will be measured for each cohort at the start of the	Yes	SCM 3a geographical participant target year 1 SCM 3b geographical	Targets as specified in March 2018

			each year of the programme		<p>participant target year 2</p> <p>SCM 3c geographical participant target year 3</p>	<p>Targets as specified in March 2019</p> <p>Targets as specified in March 2020</p>
4	Retention	Recruit the best candidates and engage them throughout so that 95% of schools complete the programme	<p>Retention rates will be measured for each cohort from the start of the programme each year through to the end of the academic year, for each year of the programme</p> <p>The retention KPI will measure withdrawals for reasons within the Contractor's control (e.g. those leaving due to issues with programme quality or appropriateness of the programme to their needs).</p>	Yes	<p>SCM 4a - 95% of cohort 1 participants complete the programme</p> <p>SCM 4b - 95% of cohort 2 participants complete the programme</p> <p>SCM 4b - 95% of cohort 3 participants complete the programme</p>	<p>Targets as specified in March 2019</p> <p>Targets as specified in March 2020</p> <p>Targets as specified in March 2020</p>

5	Satisfaction	80% of participants rate the programme as good or above overall.	Satisfaction will be measured through a survey completed by all participants at the end of the academic year, for each year of the programme.	Yes	SCM 5a - Satisfaction - 80% of participants rate the programme as good or above	July 2018
					SCM 5b - Satisfaction - 80% of participants rate the programme as good or above	July 2019
					SCM 5c - Satisfaction - 80% of participants rate the programme as good or above	July 2020

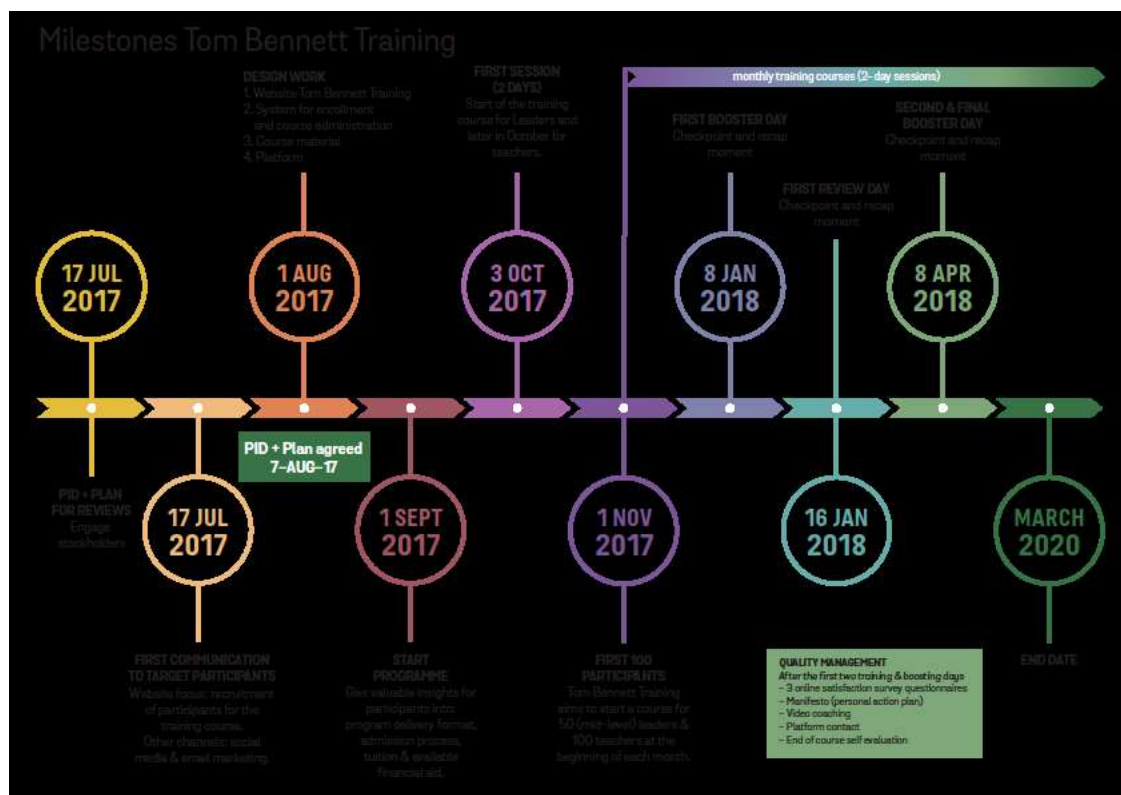
Table 4 Service Levels

Service Level	Measure	Compliance
Reporting Meetings and	Monthly reporting: submit a monthly programme report by the third Business Day of the month, including any exception events within this report.	100% - DFE monitoring
	Contractor meetings – monthly	
	Development and operations meetings – as required	
Administration/Communication	In delivering the Services offer a responsive and supportive service to participants and their facilitators.	
	Respond to 100% of queries and correspondence within 3 Business Days of receipt.	
Finance	Ensure that invoices are submitted to DFE within 10 Business Days of the end of the relevant charging period/completion of the activity	
Commercial Management	Ensure that Change Control Notes are signed by both Parties prior to any additional work being undertaken (DFE or Contractor to ensure paperwork is issued in a timely fashion when change required).	
Complaints	Ensure that all administrative Personnel are aware of and abide by relevant complaints procedures.	
	Main management contact to report all complaints orally and in writing to DFE within 3 Business Days.	
Records and questionnaires	Ensure that all records are maintained and kept up to date throughout the Term. Records must be updated within 5 Business Days of a request being made or an event taking place (subject to system availability).	
	Support the DFE to ensure appropriate questionnaires are completed throughout the Term.	
Delivery	Supply appropriate equipment to support the delivery of the Services at any face to face events.	100%-Questionnaire records
	Suitability of venue: events take place in venues and facilities which are relevant to the day.	100%-Event questionnaires
	Training shall take place in rooms which are suitable for the size of groups and set up in the style appropriate to the event	
Workshop Events	ICT should be adequate and meet the minimum specification of the course.	
	Refreshments must be provided and where overnight accommodation is required the facilities must comply with the venue specification.	
Evaluation	Contribute to the evaluation of the effects of its delivery by reviewing Service User satisfaction, learning outcomes, improvements in schools/school systems, and the commissioning of impact studies.	

Schedule 5

Implementation Plan

1. The Contractor shall provide the Services in accordance with the Implementation Plan set out below.
2. The Implementation Plan shall be sufficiently detailed as is necessary to manage the Services and any proposed changes are subject to the Change Control Procedure.
3. The Contractor shall be responsible for implementing and managing the Services and for taking all such steps as may be necessary so as to ensure that from the Service Commencement Date the Contractor is able to provide the Services:
 - 3.1 in accordance with the provisions of the Contract; and
 - 3.2 in a manner that maintains the continuity of Services to the DFE.
4. The Contractor shall monitor its performance against the Implementation Plan and report to the DFE monthly (or more frequently if so required by the DFE) on its performance.



This project is well supported both pedagogically and organisationally. The lead tutor and course designer is the Director of researchED (trading name for Anvil Education), which has for four years been operating in seven countries on three continents. researchED is a conference based teacher training business that started with one conference in 2013 in the UK, then 4 in 2014, 13 in 2015, 15 in 2016 and 16 in 2017. This growth has been managed in a simple business model with the director managing a rotating team of volunteers and sub contractors. All conferences have been brought in on budget and on time. Additionally the lead has been writing and designing training courses for ten years, and most recently wrote the ITT

revision guidelines for the DfE as part of the Carter Review.

This training program will run twelve timetabled leadership training cohorts in the first year, and twelve timetabled classroom teacher training cohorts. These will be supported by a team of six tutors who will participate on a rotational basis. Each training course will be delivered by a team of three trainers over two days. Each leadership cohort will consist of up to 50 school leaders, and classroom teaching programs up to 100. Therefore it is envisaged that in the first year the program will reach up to 600 school leaders and 1200 classroom teachers. Assuming this is repeated throughout the bid term, this would lead to 1800 school leaders and 3600 classroom practitioners.

Subsequent booster training days will be delivered by three trainers.

As the program progresses, the model assumes that schools will additionally book the course as an in-school training offer for their whole staff cohort, which will extend both the reach and the affordability of the program.

When early indications forecast demand will outstrip supply, more tutors will be recruited to the program to meet projected need. Some of these tutors will be alumni of the program; others will be externally sub-contracted.

Materials have already been planned, and in the event of a successful bid, will be written and produced within a three week time scale, as a collaborative act between the lead tutor and the secondary tutors. Printing and other material production will be done as required.

The online platform will be constructed and maintained by B&T Education who will be sub-contracted to perform IT, administrative and communication roles. THP accounting will responsible for accounting oversight, and Stone King Ltd will be sub contracted for legal matters.

Implementation		
Milestone	Any timeline	Date
Assumed award of contract	2nd October 2017	2/10/2017
engage stakeholders	for planning milestone 6	
PID + Plan for reviews	30 Oct 17	30/10/2017
PID + Plan agreed	15 Nov 17	15/11/2017
Bidder should state the date t	1. WebsiteTom Bennett Training 2. system for enrolment and course administrations, 3 coursematerial 4. platform	15/10/2017
Bidder should state the date t	Start of Information Meeting for schools. Give valuable insights for participants into: • Program delivery format • Admission process Interaction with Tom Bennett and staff who can answer questions about admissions and the course.	11/10/2017
First participant session deliv	Start of the trainingcourse for Leaders eand later in November for teachers	15/11/2017

First 100 participants recruited	Tom Bennett Training aims to start every month with a training course for 32 (mid) leaders and 60 teachers per month.	15/1/2018
Start new training courses leaders and teachers with two day sessions per leaders	two day sessions per 32 leaders and 60 teachers	1/12/2017
First booster day	Checkpoint and recap moment	15/2/2018
Bidder should state the date they propose to first meet with the Authority to present progress/first review board	We agreed on a monthly review of the progress.	30/9/2017
Quality management	Auditing the course will be on several moments during the training course for leaders and for teachers. We distinguish: <ul style="list-style-type: none"> • 3 online satisfaction Survey Questionnaires • Manifesto (personal action plan) • Video Coaching • Platform contact End of course self-evaluation 	- after the first two training & the boosting days after the first two training days
First booster day's training started in december	• Checkpoint and recap moment	- 15/3/2018
Second booster and final day training course started in december	Final day and input for follow-up in school organisation	15/6/2018
Duration of proposal - end date		1/8/2021

Schedule 6

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 DFE 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 DFE 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 DFE. 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 DFE 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 DFE.
7. The DFE shall evaluate the Contractor's proposed Variation in good faith, taking into account all relevant issues.
8. The DFE shall confirm in writing within 21 days of receiving the Change Control Note if it accepts or rejects the Variation.
9. The DFE may at its absolute discretion reject any request for a Variation proposed by the Contractor.

Change Control Note

:

Contract Number		DFE Contract / Programme Manager
Contractor		Original Contract Value (£)
Contract Start Date		Contract Expiry Date

Variation Requested	
Originator of Variation (tick as appropriate)	DFE <input type="checkbox"/> Contractor <input type="checkbox"/>
Date	
Reason for Variation	
Summary of Variation (e.g. specification, finances, contract period)	
Date of Variation commencement	
Date of Variation expiry (if applicable)	
Total Value of Variation £ (if applicable)	

Payment Profile (if applicable) e.g. milestone payments			
Revised daily rate (if applicable)			
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.		
Variation Agreed <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> For the Contractor: Signature..... Full Name..... Title..... Date..... </td> <td style="width: 50%; vertical-align: top;"> For the DFE: Signature..... Full Name..... Title..... Date..... </td> </tr> </table>		For the Contractor: Signature..... Full Name..... Title..... Date.....	For the DFE: Signature..... Full Name..... Title..... Date.....
For the Contractor: Signature..... Full Name..... Title..... Date.....	For the DFE: Signature..... Full Name..... Title..... Date.....		

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.

To be entered by the Commercial department:			
Commercial Contact		Reference Number	
Date received		EC Reference	

Schedule 7

Personnel and Sub Contractors

Personnel

The individuals listed in the table below are Personnel:

Name	Role	Period of Involvement
██████████	Program Director	Throughout contract
██████████	Office management	Throughout contract
██████████	Operational Manager	Throughout contract
██████████	Lead Developer Blended Learning Platform	Throughout contract
██████████	Design, Branding, Web Development,	Throughout contract
██████████	Project management	Throughout contract

Sub-Contracto:

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

Key Sub-Contractor Name	Registered Office and Company Number	Related Product/Service Description	Sub-contract as a % of total charges	Role in delivery of the Services
B&T Education	Snekerweg 3, 8701PZ Bolsward, Netherlands. Company # 60021136	IT and operational assistance and delivery.	17,4%	IT and operational assistance and delivery. Member of the Tom Bennett Training Consortium
██████████	To be updated	Assistant curriculum developer.	1,6%	Doug will be involved with the original curriculum design, the
Key Sub-Contractor Name	Registered Office and Company Number	Related Product/Service Description	Sub-contract as a % of total charges	Role in delivery of the Services
██████████	To be updated	Assistant curriculum developer.	>1%	Doug will be involved with the original curriculum design and the refresh of the materials/curriculum.

Schedule 8

Data, Systems Handling and Security

Definitions

"BPSS"	<p>means the Government's Baseline Personnel Security Standard for Government employees available at:</p> <p>www.gov.uk/government/uploads/system/uploads/attachment_data/file/200551/HMG_Baseline_Personnel_Security_Standard_V3_2_Apr-2013.pdf</p>
"CESG"	<p>is the United Kingdom government's national technical authority for information assurance, details of which can be found at:</p> <p>http://www.cesg.gov.uk/Pages/homepage.aspx</p>
"Control"	<p>means that a person possesses, directly or indirectly, the power to direct or cause the direction of the management and policies of the other person (whether through the ownership of voting shares, by contract or otherwise) and "Controls" and "Controlled" are interpreted accordingly;</p>
"DFE Assets"	<p>include but are not limited to DFE premises, IT systems and information with a classification up to confidential;</p>
"DFE Data"	<p>a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and:</p> <p>(i) which are supplied to the Contractor by or on behalf of the DFE; or</p> <p>(ii) which the Contractor is required to generate, process, store or transmit pursuant to the Contract; or</p> <p>(b) which are any Personal Data for which the DFE is the Data Controller;</p>
"DPA"	<p>the Data Protection Act 1998 and successive legislation;</p>

**“Data Processor”, “Personal Data”,
“Sensitive Personal Data”, “Data
Subject”, “Process”, “Processing” and
“Data Controller**

shall have the meanings given in the DPA;

“EEA”

the European Economic Area;

“IT Security Health Check”

means an assessment to identify vulnerabilities in IT systems and networks which may compromise the confidentiality, integrity or availability of information held on that IT system;

“Malicious Software”

any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;

“Security Plan”

the Contractor’s security plan.

1. The DFE is the Data Controller and the Contractor is the Data Processor.
2. Both Parties may handle Personal Data and shall comply with their legal obligations under the DPA.
3. The Contractor shall notify the DFE as soon as it becomes aware of any actual or potential data incident or breach of its obligations under the DPA in relation to any Personal Data processed as a consequence of undertaking the Contract.
4. If the Contractor is processing Personal Data as a Data Processor for the DFE as a consequence of undertaking the Contract the Contractor shall:
 - 4.1 Process the Personal Data only to the extent and in such manner as is necessary for the provision of the Services or as is required by law or any Regulatory Body;
 - 4.2 Process the Personal Data only in accordance with instructions from the DFE (which may be specific instructions or instructions of a general nature as set out in the Contract or as otherwise notified by the DFE to the Contractor during the Term);
 - 4.3 implement appropriate technical and organisational measures to protect the Personal Data against unauthorised or unlawful processing and against accidental loss, destruction, damage, alteration or disclosure. These measures shall be appropriate to the harm which might result from any unauthorised or unlawful Processing, accidental loss, destruction or damage to the Personal Data and having regard to the nature of the Personal Data which is to be protected;
 - 4.4 take reasonable steps to ensure the reliability of any Personnel who have access to the Personal Data;
 - 4.5 obtain the DFE’s prior written consent before transferring Personal Data to any Sub-Contractors or Associated Companies for the provision of the Services;
 - 4.6 ensure that all Personnel required to access the Personal Data are informed of the confidential nature of the Personal Data and comply with the obligations set out in this

- paragraph 4;
- 4.7 ensure that no Personnel publish or disclose any Personal Data to any third party unless directed in writing to do so by the DFE;
 - 4.8 notify the DFE within 2 Business Days if it receives:
 - 4.8.1 a request from a Data Subject to have access to that person's Personal Data; or
 - 4.8.2 a complaint or request relating to the DFE's obligations under the DPA;
 - 4.9 provide the DFE with full cooperation and assistance in relation to any complaint or request made, including by:
 - 4.9.1 providing the DFE with full details of the complaint or request;
 - 4.9.2 complying with a data access request within the relevant timescales set out in the DPA and in accordance with the DFE's instructions;
 - 4.9.3 providing the DFE with any Personal Data it holds in relation to a Data Subject (within the timescales required by the DFE); and
 - 4.9.4 providing the DFE with any information requested by the DFE;
 - 4.10 permit the DFE or any duly authorised representative of the DFE (subject to reasonable and appropriate confidentiality undertakings), to inspect and audit the Contractor's data processing activities (and/or those of its agents, subsidiaries and Sub-Contractors) and comply with all reasonable requests or directions by the DFE to enable the DFE to verify and/or procure that the Contractor is in full compliance with its data protection obligations under the Contract;
 - 4.11 provide a written description of the technical and organisational methods employed by the Contractor for processing Personal Data (within the timescales required by the DFE); and
 - 4.12 subject to paragraph 5, not Process or otherwise transfer any Personal Data outside the EEA.
5. If, after the Effective Date, the Contractor (or any Sub-Contractor) wishes to Process and/or transfer any Personal Data outside the EEA the Contractor shall:
- 5.1 submit a request for a Variation to the DFE which shall be dealt with in accordance with the Change Control Procedure;
 - 5.2 set out in its request for a Variation:
 - 5.2.1 the Personal Data which will be Processed and/or transferred outside the EEA;
 - 5.2.2 the country or countries in which the Personal Data will be Processed and/or to which the Personal Data will be transferred outside the EEA;
 - 5.2.3 any Sub-Contractors or other third parties who will be Processing and/or transferring Personal Data outside the EEA; and
 - 5.2.4 how the Contractor will adequately protect (in accordance with the DPA and in particular so as to ensure the DFE's compliance with the DPA) Personal Data to be Processed and/or transferred outside the EEA.
6. If evaluating the request for a Variation pursuant to paragraph 5:
- 6.1 the Parties shall consider current policies and guidance of the DFE, Government and the

Information Commissioner's Office and any approvals processes in connection with, the Processing and/or transfers of Personal Data outside the EEA and/or overseas generally; and

- 6.2 the Contractor shall comply with any instructions which the DFE may notify in writing.
7. Insofar as the Contractor processes Personal Data for its own administrative purposes, whilst undertaking the Contract the Contractor shall comply at all times with the DPA and shall not perform its obligations under the Contract in such a way as to cause the DFE to breach any of its obligations under the DPA.
8. The Contractor shall:
- 8.1 employ appropriate organisational, operational and technological processes and procedures to keep DFE Data safe from unauthorised use or access, loss, destruction, theft or disclosure as appropriate to the Services;
 - 8.2 not delete or remove any proprietary notices contained within or relating to DFE Data;
 - 8.3 preserve the integrity of DFE Data and prevent the corruption or loss of DFE Data;
 - 8.4 ensure that any files containing DFE Data are stored on the Contractor's secure servers and/or secured Contractor Equipment;
 - 8.5 ensure that DFE Data relating to the Contract is segregated from other data on its IT systems so that DFE Data can be securely deleted if required;
 - 8.6 not keep DFE Data on any Contractor Equipment unless it is protected by being fully encrypted and password protected and its use is necessary for the provision of the Services;
 - 8.7 ensure that any hard copy is destroyed by cross-cut shredding and secure re-cycling of the resulting paper waste;
 - 8.8 perform secure back-ups of all DFE Data and ensure that up-to-date back-ups are stored off-site. The Contractor shall ensure that such back-ups are available to the DFE at all times upon request;
 - 8.9 not store or host DFE Data outside the United Kingdom or perform any ICT management or support without the DFE's prior written consent;
 - 8.10 ensure that any DFE Data sent to any third party is:
 - 8.10.1 sent by CD or DVD;
 - 8.10.2 fully encrypted and password protected, with the password for files sent separately from the data;
 - 8.10.3 carried by a secure courier or registered postal service (special delivery) and not by e-mail or on USB pens.
9. If DFE Data is held and/or processed by the Contractor, the Contractor shall supply DFE Data to the DFE as requested and in the format specified by the DFE.
10. If DFE Data is corrupted, lost or sufficiently degraded as a result of the Contractor's Default so as to be unusable, the DFE may:
- 10.1 require the Contractor at the Contractor's expense to restore or procure the restoration of DFEs Data as soon as practicable; and/or

- 10.2 itself restore or procure the restoration of DFE Data and may invoice the Contractor for any reasonable expenses incurred in doing so.
11. If at any time the Contractor suspects or has reason to believe that DFE Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, the Contractor shall notify the DFE immediately and inform the DFE of the remedial action the Contractor proposes to take.
12. The Contractor shall comply, and shall procure that Personnel comply, with DFE's Security Standards as set out in the annexe to this schedule 8 and the Security Plan.
13. The Contractor shall ensure that the Security Plan fully complies with the DFE Security Standards.
14. The DFE shall notify the Contractor of any changes to the DFE Security Standards.
15. If the Contractor believes that a change to the DFE Security Standards will have a material and unavoidable effect on its costs it may submit a request for a Variation in accordance with the Change Control Procedure. Any request must include evidence of the cause of any increased costs and the steps it has taken to mitigate those costs.
16. Until a Variation is agreed pursuant to paragraph 15 the Contractor shall continue to perform the Services in accordance with its existing obligations.
17. The Contractor shall use the latest versions of anti-virus definitions available to check for and delete Malicious Software from the Contractor's ICT.
18. Notwithstanding paragraph 17, if Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption DFE Data, assist each other to mitigate any losses and to restore the Services to their maximum operating efficiency.
19. Any cost arising out of the actions of the Parties taken in compliance with paragraph 18 shall be borne:
- 19.1 by the Contractor if the Malicious Software originates from the Contractor's software, any software owned by a third party or DFE Data whilst under the control of the Contractor; and
- 19.2 by the DFE if the Malicious Software originates from the DFE's software or DFE Data whilst under the control of the DFE.

ANNEXE to Schedule 8

DFE SECURITY STANDARDS

1. The Contractor shall comply with Cyber Essential Certification, but DFE will grant a waiver to ISO/IEC/27001 and ISO/IEC27002 or equivalent standards of this certification.
2. The Contractor shall apply the Government's Protective Marking Scheme ("**GPMS**") in respect of any DFE Data it handles in the course of providing the Services. If the Contractor has an existing protective marking scheme it may continue to use this but must map the GPMS against it to ensure the correct controls are applied to DFE Data.
3. Any electronic transfer methods across public space or cyberspace must be protected via encryption which has been certified to FIPS140-2 or certified under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme and the method shall be approved by the DFE prior to being used to transfer any DFE Data. If the transfer, handling removable media or handling of portable ICT Equipment involves bulk personal data the encryption shall be certified under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme.
4. Any portable removable media (including but not limited to pen drives, memory sticks, CDs, DVDs, PDPs and USB devices) used to handle, store or process DFE Data, Personal Data and/or Sensitive Personal Data in connection with the Service, shall be under the configuration management of the Sub-Contractor providing that part of the Service, shall be necessary to deliver the Service, and shall be full-disk encrypted using a product certified to FIPS140-2 or under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme. Should the transfer or handling of portable ICT involve bulk Personal Data the encryption shall be certified under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme.
5. All portable ICT (including but not limited to laptops, PDAs, smartphones) which handle, store or process in any way DFE Data to deliver and support the service, shall be under the configuration management of the Sub-Contractor providing that part of the Service, shall be necessary to deliver the Service, and shall be full-disk encrypted using a product which has been certified to FIPS140-2 or under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme. If the transfer or handling of portable ICT involves bulk Personal Data the encryption shall be certified under a CESSG (e.g. CAPS or CPA) or CESSG-endorsed scheme.
6. All paper documents containing DFE Data shall be:
 - a. securely protected whilst in the Contractor's care and securely destroyed when no longer required using a cross-cutting shredder and/or a professional secure waste paper organisation; and
 - b. transmitted, both within and outside the Contractor's premises, in such a way as to ensure that no unauthorised person has access.
7. At the end of the Term or if ICT fails or becomes obsolete, all ICT holding DFE Data shall be securely cleansed or destroyed using a CESSG approved product or method. If this is not possible for legal, regulatory or technical reasons the Contractor shall protect the ICT until such time as it can be securely cleansed or destroyed.
8. Access by Personnel to DFE Data shall be confined to Personnel who need to know because their access is essential for the delivery of the Service. All Personnel with direct or indirect access to DFE Data must be subject to pre-employment checks equivalent to or higher than the BPSS.
9. Personnel who handle DFE Data must have annual awareness training in protecting information.
10. The Contractor shall have robust business continuity arrangements and processes including disaster recovery plans and procedures compliant with ISO22301 to ensure that the delivery of the Contract is not adversely affected if there is an incident.

11. Any non-compliance with DFE Security Standards, or any suspected or actual breach of the confidentiality or integrity of DFE Data being handled in the course of providing the Services, shall be immediately escalated to the DFE.
12. The Contractor shall ensure that any systems and hosting environments that are used to hold DFE Data being handled, stored or processed in the course of providing the Services are subject to IT Security Health Checks at least annually. The Contractor shall inform the DFE if there are any results of IT Security Health Checks which are relevant to the Service and shall promptly complete any necessary remedial work which is identified.
13. The Contractor shall keep an audit trail of where the DFE's Data is held, including all ICT. The DFE may audit the Contractor with 24 hours' notice in respect of the Contractor's compliance with this schedule 8.
14. Further details and guidelines in respect of due diligence for Contractors can be found at the following Crown Commercial Services (CCSO link:
<https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>

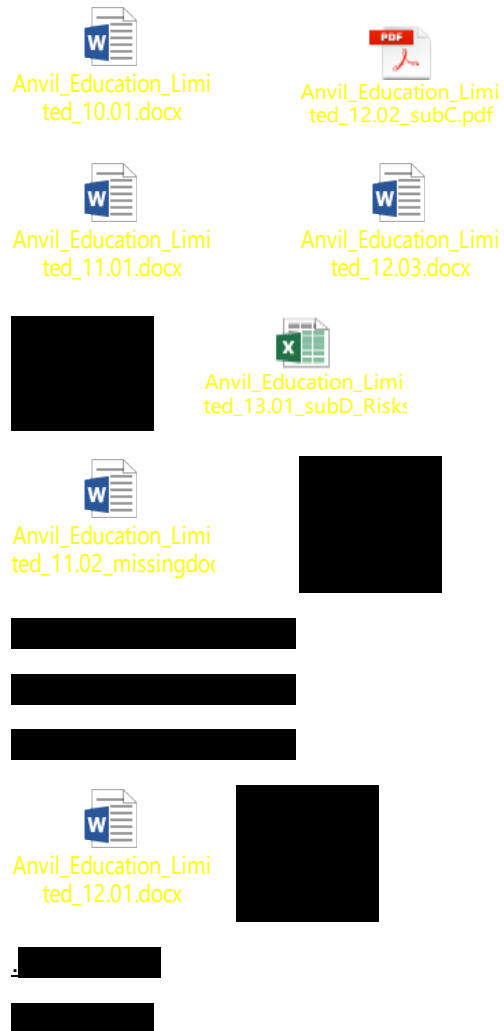
Schedule 9

Commercially Sensitive Information

Regarding your question about commercially sensitive information we would like to see the following items redacted from the contract:

- all specific amounts
- all the information regarding the Intellectual Property Log

Schedule 10
The Contractor's Solution



Financial Distress

Financial Distress

DEFINITIONS

In this Schedule, the following definitions shall apply:

"Credit Rating Level"	a credit rating level as specified in Annex 2;
"Credit Rating Threshold"	the minimum Credit Rating Level for the Contractor);
"Rating Agencies"	the rating agencies listed in Annex 1 ; and
"Financial Distress Event"	the occurrence of one or more of the events listed in Paragraph 3.1 of this Schedule (Financial Distress);
"Financial Distress Service Continuity Plan"	a plan setting out how the Contractor will ensure the continued performance and delivery of the Services in accordance with the Contract in the event that a Financial Distress Event occurs;

CREDIT RATING AND DUTY TO NOTIFY

1 .1 .1 The Contractor warrants and represents to the DFE for the benefit of the DFE that as at the Effective Date the long term credit ratings issued for the Contractor by each of the Rating Agencies are as set out in Annex 3.

1 .1 .2 The Contractor shall promptly notify (or shall procure that its auditors promptly notify) the DFE in writing if there is any downgrade in the credit rating issued by any Rating Agency for the Contractor (and in any event within 5 Business Days of the occurrence of the downgrade).

1 .1 .3 If there is any downgrade credit rating issued by any Rating Agency for the Contractor, the Contractor shall ensure that the Contractor's auditors thereafter provide the DFE within 10 Business Days of the end of each Year and within 10 Business Days of written request by the DFE (such requests not to exceed 4 in any Year) with written calculations of the quick ratio for the Contractor as at the end of each Year or such other date as may be requested by the DFE. For these purposes the "quick ratio" on any date means:

where:

- A is the value at the relevant date of all cash in hand and at the bank of the Contractor;
- B is the value of all marketable securities held by the Contractor determined using closing prices on the Working Day preceding the relevant date;

- c is the value at the relevant date of all account receivables of the Contractor; and
- d is the value at the relevant date of the current liabilities of the Contractor.

1.1.4 The Contractor shall:

regularly monitor the credit ratings of the Contractor with the Rating Agencies; and

promptly notify (or shall procure that its auditors promptly notify) the DFE in writing following the occurrence of a Financial Distress Event or any fact, circumstance or matter which could cause a Financial Distress Event (and in any event, ensure that such notification is made within 10 Business Days of the date on which the Contractor first becomes aware of the Financial Distress Event or the fact, circumstance or matter which could cause a Financial Distress Event.

1.1.5 For the purposes of determining whether a Financial Distress Event has occurred pursuant to the provisions of Paragraph 3.1 (a), the credit rating of the Contractor, shall be deemed to have dropped below the applicable Credit Rating Threshold if any of the Rating Agencies have rated the Contractor at or below the applicable Credit Rating Level.

CONSEQUENCES OF A FINANCIAL DISTRESS EVENT

1.1.6 In the event of:

the credit rating of the Contractor dropping below the applicable Credit Rating Threshold;

the Contractor issuing a profits warning to a stock exchange or making any other public announcement, in each case about a material deterioration in its financial position or prospects;

there being a public investigation into improper financial accounting and reporting, suspected fraud or any other impropriety of the Contractor;

the Contractor committing a material breach of covenant to its lenders;

a Sub-contractor notifying the DFE that the Contractor has not satisfied any material sums properly due under a specified invoice and not subject to a genuine dispute; or any of the following:

commencement of any litigation against the Contractor with respect to financial indebtedness greater than £150k or obligations under a service contract with a total contract value greater than £150k; non-payment by the Contractor of any financial indebtedness;

any financial indebtedness of the Contractor becoming due as a result of an event of default;

or the cancellation or suspension of any financial indebtedness in respect of the Contractor, in each case which the DFE reasonably believes (or would be likely reasonably to believe) could directly impact on the continued performance and delivery of the Services in accordance with this Contract;

then, immediately upon notification of the Financial Distress Event (or if the DFE becomes aware of the Financial Distress Event without notification and brings the event to the attention of the Contractor), the Contractor shall have the obligations and the DFE shall have the rights and remedies as set out in Paragraphs 3.3 to 3.6.

1.1.7 In the event of a late or non-payment of a Sub-contractor pursuant to Paragraph 3.1 (e), the DFE shall not exercise any of its rights or remedies under Paragraph 3.3 without first giving the Contractor 10 Business Days to:

rectify such late or non-payment; or

demonstrate to the DFE's reasonable satisfaction that there is a valid reason for late or nonpayment.

1.1.8 The Contractor shall:

at the request of the DFE, meet the DFE as soon as reasonably practicable (and in any event within 3 Business Days of the initial notification (or awareness) of the Financial Distress Event or such other period as the DFE may permit and notify to the Contractor in writing) to review the effect of the Financial Distress Event on the continued performance and delivery of the Services in accordance with this Contract; and

where the DFE reasonably believes (taking into account the discussions and any representations made under Paragraph 3.30) that the Financial Distress Event could impact on the continued performance and delivery of the Services in accordance with this Contract:

submit to the DFE for its approval, a draft Financial Distress Service Continuity Plan as soon as reasonably practicable (and in any event, within 10 Business Days of the initial notification (or awareness) of the Financial Distress Event or such other period as the DFE may permit and notify to the Contractor in writing); and provide such financial information relating to the Contractor as the DFE may reasonably require.

1.1.9 The DFE shall not withhold its approval of a draft Financial Distress Service Continuity Plan unreasonably. If the DFE does not approve the draft Financial Distress Service Continuity Plan, it shall inform the Contractor of its reasons and the Contractor shall take those reasons into account in the preparation of a further draft Financial Distress Service Continuity Plan, which shall be resubmitted to the DFE within 5 Business Days of the rejection of the first draft. This process shall be repeated until the Financial Distress Service Continuity Plan is approved by DFE or referred to the Dispute Resolution Procedure under Paragraph 3.5.

1.1.10 If the DFE considers that the draft Financial Distress Service Continuity Plan is insufficiently detailed to be properly evaluated, will take too long to complete or will not ensure the continued performance of the Contractor's obligations in accordance with the Contract, then it may either agree a further time period for the development and agreement of the Financial Distress Service Continuity Plan or escalate any issues with the draft Financial Distress Service Continuity Plan

using the Dispute Resolution Procedure.

1.1.1 Following approval of the Financial Distress Service Continuity Plan by the DFE, the Contractor shall:

on a regular basis (which shall not be less than monthly), review the Financial Distress Service Continuity Plan and assess whether it remains adequate and up to date to ensure the continued performance and delivery of the Services in accordance with this Contract;

where the Financial Distress Service Continuity Plan is not adequate or up to date in accordance with Paragraph 3.6(a), submit an updated Financial Distress Service Continuity Plan to the DFE for its approval, and the provisions of Paragraphs 3.4 and 3.5 shall apply to the review and approval process for the updated Financial Distress Service Continuity Plan; and

comply with the Financial Distress Service Continuity Plan (including any updated Financial Distress Service Continuity Plan).

1.1.12 Where the Contractor reasonably believes that the relevant Financial Distress Event under Paragraph 3.1 (or the circumstance or matter which has caused or otherwise led to it) no longer exists, it shall notify the DFE and the Parties may agree that the Contractor shall be relieved of its obligations under Paragraph 3.6.

TERMINATION RIGHTS

The DFE shall be entitled to terminate this Contract DFE if

the Contractor fails to notify the DFE of a Financial Distress Event in accordance with Paragraph 2.4(b).

the Parties fail to agree a Financial Distress Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) in accordance with Paragraphs 3.3 to 3.5; and/or

the Contractor fails to comply with the terms of the Financial Distress Service Continuity Plan (or any updated Financial Distress Service Continuity Plan) in accordance with Paragraph 3.6(c).

PRIMACY OF CREDIT RATINGS

1.1.13 Without prejudice to the Contractor's obligations and the DFE's rights and remedies under Paragraph 2, if, following the occurrence of a Financial Distress Event pursuant to any of Paragraphs 3.1(b) to 3.1 (f), the Rating Agencies review and report subsequently that the credit ratings do not drop below the relevant Credit Rating Threshold, then:

the Contractor shall be relieved automatically of its obligations under Paragraphs 3.3; and

the DFE shall not be entitled to require the Contractor to provide financial information in accordance with Paragraph 3.3(b).

ANNEX 1: RATING AGENCIES

FAME

Dun and Bradstreet (To be monitored via [Sid4Gov](#). The supplier is required to register with Sid4Gov within 6 weeks of contract commencement)

ANNEX 2: CREDIT RATING LEVELS

Credit Rating Level 1

FAME -Credit Score: 27/100

Dun and Bradstreet - To be agreed once supplier has registered.

3: CREDIT RATINGS AND CREDIT RATING THRESHOLDS

Entity	Credit rating (long term)	Credit Rating Threshold
Contractor	28/100	28/100

1 **Anvil.pdf**

(Sid4Gov report to be stored alongside the contract once supplier has registered as per the requirement in Annex 1, Schedule 11)