



Department  
for Education

**CONTRACT FOR 'EVALUATION OF THE ALTERNATIVE  
PROVISION INNOVATION FUND'  
PROJECT REFERENCE NO: DFERPPU/2017/091**

This Contract is dated **6 August 2018**.

**Parties**

- 1) The Secretary of State for Education whose Head Office is at Sanctuary Buildings, Great Smith Street, LONDON, SW1P 3BT ("the Department"); and
- 2) **Ecorys UK** whose registered office is Vincent House, Quay Place, 92-93 Edward Street, Birmingham, B1 2RA ("the Contractor").

**Recitals**

The Contractor has agreed to undertake the Project on the terms and conditions set out in this Contract. The Department's reference number for this Contract is **DFERPPU/2017/091**

**Commencement and Continuation**

The Contractor shall commence the Project on the date the Contract was signed by the Department (as above) and, subject to Schedule Three, Clause 10.1 shall complete the Project on or before **31 July 2021**.

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1. Interpretation

1.1 In this Contract the following words shall mean:-

"the Project"	the project to be performed by the Contractor as described in Schedule One;
"the Project Manager"	[REDACTED], Sanctuary Buildings, Great Smith Street, London, SW1P 3BT. Phone: 020 7227 5352. Email: [REDACTED]@education.gov.uk
"the Contractor's Project Manager"	[REDACTED] Ecorys UK, Vincent House, 92-93 Edward Street, Birmingham, B1 2RA. Phone: 012 1212 8877. Email: [REDACTED]
"the Act and the Regulations"	means the Copyright Designs and Patents Act 1988 and the Copyright and Rights in Databases Regulations 1997;
"Affiliate"	in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time;
"BPSS" "Baseline Personnel Security Standard"	a level of security clearance described as pre-employment checks in the National Vetting Policy. Further Information can be found at: <a href="https://www.gov.uk/government/publications/government-baseline-personnel-security-standard">https://www.gov.uk/government/publications/government-baseline-personnel-security-standard</a> ;
"CC" "Common Criteria"	the Common Criteria scheme provides assurance that a developer's claims about the security features of their product are valid and have been independently tested against recognised criteria;
"CCP" "Certified Professional"	is a NCSC scheme in consultation with government, industry and academia to address growing need for specialists in the cyber security profession and building a community of recognised professionals in both the UK public and private sectors. See website: <a href="https://www.ncsc.gov.uk/scheme/certified-professional">https://www.ncsc.gov.uk/scheme/certified-professional</a> .
"CCSC" "Certified Cyber Security Consultancy"	is NCSC's approach to assessing the services provided by consultancies and confirming that they meet NCSC's standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website: <a href="https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy">https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy</a> ;
"Commercially Sensitive Information"	information of a commercially sensitive nature relating to the Contractor, its IPR or its business or which the Contractor has indicated to the Department that, if

	disclosed by the Department, would cause the Contractor significant commercial disadvantage or material financial loss;
"Confidential Information"	means all information which has been designated as confidential by either party in writing or that ought to be considered as confidential (however it is conveyed or on whatever media it is stored) including but not limited to information which relates to the business, affairs, properties, assets, trading practices, services, developments, trade secrets, Intellectual Property Rights, know-how, personnel, customers and suppliers of either party and commercially sensitive information which may be regarded as the confidential information of the disclosing party;
"Contracting Department"	any contracting authority as defined in Regulation 5(2) of the Public Contracts (Works, Services and Supply) (Amendment) Regulations 2000 other than the Department;
"Contractor Personnel"	all employees, agents, consultants and contractors of the Contractor and/or of any Sub-contractor;
"Contractor Software"	software which is proprietary to the Contractor, including software which is or will be used by the Contractor for the purposes of providing the Services;
"Control"	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" shall be interpreted accordingly;
"Controller"	take the meaning given in the GDPR;
"Copyright"	means any and all copyright, design right (as defined by the Act) and all other rights of a like nature which may, during the course of this Contract, come into existence in or in relation to any Work (or any part thereof);
"Copyright Work"	means any Work in which any Copyright subsists;
"CPA"	is an 'information assurance scheme' which
"Commercial Product Assurance" [formerly called "CESG Product Assurance"]	evaluates commercial off the shelf (COTS) products and their developers against published security standards. These CPA certified products Can be used by government, the wider public sector and industry. See website: <a href="https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa">https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa</a> ;
"Crown Body"	any department, office or agency of the Crown;
"Cyber Essentials"	Cyber Essentials is the government backed,
"Cyber Essentials Plus"	industry supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels

within the scheme;

There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers

<https://www.iasme.co.uk/apply-for-self-assessment/>;

"Data"

means all data, information, text, drawings, diagrams, images or sound embodied in any electronic or tangible medium, and which are supplied or in respect of which access is granted to the Contractor by the Department pursuant to this Contract, or which the Contractor is required to generate under this Contract;

"Data Loss Event"

any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach;

"Data Protection Impact Assessment"

an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data;

"Data Protection Legislation"

(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy;

"Data Protection Officer"

take the meaning given in the GDPR;

"Data Subject"

take the meaning given in the GDPR;

"Data Subject Access Request"

a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;

"Department Confidential Information"

all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, know-how, personnel, and suppliers of the Department, including all IPRs, together with all information derived from any of the above, and any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered to be confidential;

"Department's Data"

is any data or information owned or retained

"Department's Information"

in order to meet departmental business objectives and tasks, including:

(a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are:

(i) supplied to the Contractor by or on behalf of the

	Department; or (ii) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or  (b) any Personal Data for which the Department is the Controller;
"DfE"	means the Department for Education;
"Department"	
"Department Security Standards"	means the Department's security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver;
"Digital Marketplace/GCloud"	the Digital Marketplace is the online framework for identifying and procuring cloud technology and people for digital projects. Cloud services (e.g. web hosting or IT Health checks) are on the G-Cloud framework;
"DPA 2018"	Data Protection Act 2018;
"Effective Date"	the date on which this Contract is signed by both parties;
"Environmental Information Regulations"	the Environmental Information Regulations 2004 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government Department in relation to such regulations;
"FIPS 140-2"	this is the Federal Information Processing Standard (FIPS) Publication 140-2, (FIPS PUB 140-2), entitled 'Security Requirements for Cryptographic Modules'. This document is the de facto security standard used for the accreditation of cryptographic modules;
"FOIA"	the Freedom of Information Act 2000 and any subordinate legislation made under this Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government Department in relation to such legislation;
"GDPR"	the General Data Protection Regulation (Regulation (EU) 2016/679);
"Good Industry Practice"	means the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"Industry Good Practice"	
"Good Industry Standard"	means the implementation of products and solutions, and the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector;
"Industry Good Standard"	
"GSC" "GSCP"	means the Government Security Classification Policy which establishes the rules for classifying HMG

	information. The policy is available at: <a href="https://www.gov.uk/government/publications/government-security-classifications">https://www.gov.uk/government/publications/government-security-classifications</a> ;
"HMG"	means Her Majesty's Government;
"ICT"	means Information and Communications Technology (ICT) used as an extended synonym for Information Technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution;
"ICT Environment"	the Department's System and the Contractor System;
"Information"	has the meaning given under section 84 of the Freedom of Information Act 2000;
"Intellectual Property Rights"	means patents, trade marks, service marks, design (rights whether registerable or otherwise), applications for any of the foregoing, know-how, rights protecting databases, trade or business names and other similar rights or obligations whether registerable or not in any country (including but not limited to the United Kingdom);
"ISO/IEC 27001" "ISO 27001"	is the International Standard describing the Code of Practice for Information Security Controls;
"ISO/IEC 27002" "ISO 27002"	is the International Standard describing the Code of Practice for Information Security Controls;
"IT Security Health Check (ITSHC)"	means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on the IT system;
"IT Health Check (ITHC)"	
"Penetration Testing"	
"LED"	Law Enforcement Directive (Directive (EU) 2016/680);
"Malicious Software"	any software program or code intended to destroy, interfere with, corrupt, or cause undesired effects on program files, data or other information, executable code or application software macros, whether or not its operation is immediate or delayed, and whether the malicious software is introduced wilfully, negligently or without knowledge of its existence;
"Need-to-Know"	the Need-to-Know principle is employed within HMG to limit the distribution of classified information to those people with a clear 'need to know' in order to carry out their duties;
"NCSC"	The National Cyber Security Centre (NCSC) formerly CESG is the UK government's National Technical Authority for Information Assurance. The NCSC website is <a href="http://www.ncsc.gov.uk">http://www.ncsc.gov.uk</a> ;
"OFFICIAL"	the term 'OFFICIAL' is used to describe the baseline level of 'security classification' described within the Government Security Classification Policy (GSCP) which details the level of protection
"OFFICIAL SENSITIVE"	

	<p>to be afforded to information by HMG, for all routine public sector business, operations and services.</p> <p>the 'OFFICIAL-SENSITIVE' caveat is used to identify a limited subset of OFFICIAL information that could have more damaging consequences (for individuals, an organisation or government generally) if it were lost, stolen or published in the media, as described in the Government Security Classification Policy;</p>
"Original Copyright Work"	means the first Copyright Work created in whatever form;
"Personal Data"	take the meaning given in the GDPR;
"Personal Data Breach"	take the meaning given in the GDPR;
"Processor"	take the meaning given in the GDPR;
"Protective Measures"	appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it;
"Regulatory Bodies"	those government departments and regulatory, statutory and other entities, committees and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in this Contract or any other affairs of the Department and <b>"Regulatory Body"</b> shall be construed accordingly;
"Request for Information"	a request for information or an apparent request under the Code of Practice on Access to Government Information, FOIA or the Environmental Information Regulations;
"Secure Sanitisation"	<p>Secure sanitisation is the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level. Some forms of sanitisation will allow you to re-use the media unuseable. Secure sanitisation was previously covered by "Information Assurance Standard No.5 – Secure Sanitisation" ("IS5") issued by the former CESSG. Guidance can be found at:</p> <p><a href="https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media">https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media</a>;</p> <p>The disposal of physical documents and hardcopy materials advice can be found at:</p> <p><a href="https://www.cpni.gov.uk/secure-destruction">https://www.cpni.gov.uk/secure-destruction</a>;</p>
"Security and Information Risk Advisor"	the Security and Information Risk Advisor (SIRA)
"CCP SIRA"	is a role defined under the NCSC Certified Professional (CCP) Scheme. See also:

"SIRA"	<a href="https://www.ncsc.gov.uk/articles/about-certified-professional-scheme">https://www.ncsc.gov.uk/articles/about-certified-professional-scheme</a> ;
"SPF" "HMG Security Policy Framework"	This is the definitive HMG Security Policy which describes the expectations of the Cabinet Secretary and Government's Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely. <a href="https://www.gov.uk/government/publications/security-policy-framework">https://www.gov.uk/government/publications/security-policy-framework</a> ;
"Staff Vetting Procedures"	the Department's procedures and departmental policies for the vetting of personnel whose role will involve the handling of information of a sensitive or confidential nature or the handling of information which is subject to any relevant security measures, including, but not limited to, the provisions of the Official Secrets Act 1911 to 1989;
"Sub-Contractor"	the third party with whom the Contractor enters into a Sub-contract or its servants or agents and any third party with whom that third party enters into a Sub-contract or its servants or agents;
"Sub-processor"	any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;
"Third Party Software"	software which is proprietary to any third party [other than an Affiliate of the Contractor] which is or will be used by the Contractor for the purposes of providing the Services, and
"Work"	means any and all works including but not limited to literary, dramatic, musical or artistic works, sound recordings, films, broadcasts or cable programmes, typographical arrangements and designs (as the same are defined in the Act) which are created from time to time during the course of this Contract by the Contractor or by or together with others at the Contractor's request or on its behalf and where such works directly relate to or are created in respect of the performance of this Contract or any part of it;
"Working Day"	any day other than a Saturday, Sunday or public holiday in England and Wales.

- 1.2 References to "Contract" mean this contract (and include the Schedules). References to "Clauses" and "Schedules" mean clauses of and schedules to this Contract. The provisions of the Schedules shall be binding on the parties as if set out in full in this Contract.
- 1.3 Reference to the singular include the plural and vice versa and references to any gender include both genders. References to a person include any individual, firm, unincorporated association or body corporate.



## SCHEDULE ONE

### 1 BACKGROUND

In March 2018, the government published its vision for AP, which is to ensure that all AP settings provide high quality education and that the routes into and out of AP settings work in the best interests of children, to improve their outcomes and allow them to fulfil their potential. You can find further information on our vision for AP [here](#).

The department also launched the Alternative Provision Innovation Fund for projects that will deliver better outcomes for children in AP and extend evidence-based projects to new settings. The department has selected nine projects to fund across the following three themes:

- supporting children to make good academic progress in AP and **successful transitions from AP to education, training and employment at age 16 and beyond**;
- supporting children to **reintegrate into suitable mainstream or special school placements**, where this is in their best interests and compatible with the interests of other children at that school; and
- enabling better educational outcomes for children in AP by **increasing parental or carer engagement**.

### 2 AIM

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

- To support the nine funded projects in developing individual evaluation plans over summer 2018 - standardising, as far as possible, the measures, methodologies, management information and data collection tools across projects to enable comparison between projects and across themes
- To undertake a thematic and project-level process and outcome evaluation of the AP Innovation Fund via analysis of national data; collection and review of documentary evidence and management information; regular low burden surveys and qualitative research with project leads, senior staff in schools and AP settings, parents/carers and pupils.
- To share the findings of the evaluation on effective practice with the education sector via external webinars, learning events, 'what works' guides and attendance at conferences.

### 3 OBJECTIVES

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

- To liaise with the nine funded projects to develop individual project plans, key performance indicators (KPIs) and a Common Monitoring Framework
- To conduct scoping interviews with relevant stakeholders, such as DfE officials.

- To recruit and manage two stakeholder panels – one with AP professionals and a separate youth panel
- To collect management information (MI) on a termly basis over the lifetime of the nine projects
- To design and deliver regular low burden pulse surveys of project staff, as well as two waves of surveys with pupils and parents/carers
- To design and deliver topic guides for qualitative research (case studies, focus groups and interviews)
- To hold three internal learning events with the APIF projects
- To hold two external facing webinars with the education sector and interested parties
- To develop three 'what works' practice guides (one for each thematic area), including infographics
- To attend and present at appropriate conferences and run seminars to share findings
- To provide termly updates to the department of which four will form the basis of progress reports for the Evaluation Steering group
- To deliver high quality, rigorous interim and final reports and clean, redacted survey data-files and administrative data to the DfE

## **4 TASKS**

### **4.1 Work package one: project inception and development**

The contractor shall attend an initial set-up meeting with the department to review and agree the evaluation budget and work plan, and shall provide the department with an updated work plan, communications protocol and risk register.

The contractor shall conduct up to 12 high level interviews with relevant stakeholders, which could include DfE staff, Ofsted, EEF, national associations such as PRUsAP and NAHHT, and a small sample of MATs and VCS providers of AP who are not APIF beneficiaries. The contractor shall inform the department in advance of intentions to consult external stakeholders and gain departmental agreement to proceed.

The contractor shall review available reports from the department's recent investigative research and market analysis of AP, and shall, if necessary, consult with the contractors for those research projects. The contractor shall also review background material on APIF provided by the department – including successful applications for the fund.

### **4.2 Work package two: project level evaluation**

The contractor shall liaise with the nine funded projects to develop bespoke evaluation plans, agree key outcome measures and shall oversee a structured programme of qualitative and quantitative data collection and analysis throughout the evaluation period. All evaluation plans shall be agreed with the department's project manager.

#### *Support to projects with self evaluation*

The contractor shall assign a designated lead researcher from their evaluation team to each of the nine funded projects, who shall work closely with the projects throughout the evaluation. These lead researchers shall familiarise themselves with each project from their

application forms, make contact with the project leads and agree the scope of planned activities, primary outcome measures and plans for data collection. They shall also discuss the evaluation requirements for each project and determine capacity within each project for self evaluation. They shall provide ongoing advice and support to each project by telephone and email.

The contractor shall support each funded project in refining and finalising their evaluation plans, including Theory of Change models and agreed Key Performance Indicators, by reviewing each project's plans, checking for quality, offering advice and taking necessary remedial action (to raise and discuss and/or provide challenge to projects where the quality is below what is expected as well as offer support to make improvements). The final evaluation plans shall be agreed with the department's project manager.

#### *Qualitative case study research*

The contractor shall undertake three waves of qualitative case study research, covering all nine funded projects at each wave. The qualitative case studies shall combine interviews, focus groups and documentary analysis. All topic guides and research tools shall be presented in draft form to the department's project manager for review and agreed with the department before use.

The contractor shall undertake the first wave of case studies in summer 2019 (May-July), covering all nine funded projects, a purposive sample of AP providers and their partner organisations, and pupils, parents and carers. The sampling approach shall be agreed with the DfE project manager.

The contractor shall undertake the second wave of case studies in spring 2020 (Feb-April) and shall explore progress to date, implementation and emerging outcomes. They shall also cover the projects' plans for scaling up or replicating their models and how this can be achieved.

The contractor shall undertake a set of followup telephone interviews in spring 2021 (Jan-Feb) with the nine AP project leads and up to three key stakeholders within mainstream schools and other key partners to examine whether and how project activities and outcomes were sustained.

#### *Pulse surveys with project and partner representatives*

The contractor shall issue a regular online pulse survey (8 minutes in length) on a quarterly basis to up to 10 key points of contact within each project (n=90 across all funded projects), covering a mix of AP providers, schools and other key partners. The surveys will include a mixture of Likert-scale attitude questions and a small number of open questions.

Questionnaires must be presented in draft form to the department's project manager for review and agreed with the department before being issued.

#### *Reintegration cost benefit analysis*

The contractor shall conduct analysis on potential benefits of successful reintegration in projects in the reintegration theme. The purpose of this work will be to estimate the tangible benefit for LAs and AP settings associated with the reintegration of pupils to mainstream education from alternative provision (AP). In this context, the projects in scope are those targeting reintegration as an outcome for pupils and benefits will be defined as costs avoided.

As a result, the following specific questions will be investigated:

- What are the costs avoided by reintegrating a pupil into mainstream education from AP earlier than would otherwise be expected?
- What are the costs avoided by reintegrating a greater proportion of the AP cohort to

mainstream education than would otherwise be expected?

- What are the costs avoided by more sustainable reintegration to mainstream education? i.e. reducing repeat referrals to AP.
- How do commissioners reinvest these 'costs avoided' and what is the impact on the local AP system, including its wider ethos?

Alongside these 'costs avoided', the contractor will explore the feasibility of estimating the extent to which direct costs associated with AP, incurred by pupils/parents, are avoided.

To achieve these objectives, the contractor shall:

- develop a timeline detailing the steps involved in entering AP from initial referral or exclusion from mainstream schools through to being educated in an AP setting and shall use this as a framework onto which costs can be mapped at different stages of the young person's journey.
- collect and review AP cost data from the reintegration theme projects, either directly from lead project contacts or via a cost proforma using average pupil cost/resource estimates.

Analyses shall look beyond financial costs avoided alone to include discussion and hypothetical applications of the medium- and longer-term benefits associated with reintegration to mainstream education. For example, potential improved education and employment outcomes<sup>1</sup>. The contractor shall consider the potential to investigate any impacts on local authorities' spending as a result of projects' activities (e.g. changes in types of alternative provision commissioned) using qualitative data.

The contractor will provide a selection of worked examples with these costs applied based on the typical journeys of two young people in each of the models of AP being implemented by the relevant projects.

#### *Observations and analysis*

The contractor shall review the funded projects, identify potentially appropriate projects or settings for structured observation and/or use of videography, and submit a proposed approach to the department's project manager for approval. This shall include a breakdown of costs as well as details on the proposed approach to observations, including the number of observations to be undertaken.

If agreed by the department, the contractor shall seek consent from the selected projects or settings to conduct these observations, including the potential use of videography. The contractor shall also review a sample of learning plans and assessment data from the funded AP providers.

#### *Feasibility study for data-linking with the NPD*

The contractor shall explore the potential of linking project MI to the National Pupil Database to enable monitoring of key outcomes over longer periods. The contractor shall consider the variation across projects in terms of cohort characteristics, subjects covered and scale, and submit a short feasibility report to the department making a recommendation about the potential for developing a matched comparison group or groups of non-participants with which to compare outcomes. The recommendation will be considered by the department and any further action agreed between the contractor and the department's project manager, subject to contract variation where necessary.

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<sup>1</sup> Gill et al discusses these longer-term outcomes here: <https://www.ippr.org/files/2017-10/making-the-difference-report-october-2017.pdf>

### **4.3 Work package three: thematic level evaluation**

The contractor shall develop a Common Monitoring Framework and toolkit for all of the projects based on scoping interviews and consultation with projects and the department. The contractor shall test and finalise this Framework with the projects at the first project event in spring 2019. The final version shall be agreed with the department's project manager before implementation.

The contractor shall also work with individual funded projects to agree and measure appropriate bespoke outcome measures, specific to individual projects or clusters of projects. The contractor shall provide advice to projects to ensure good quality data collection.

The contractor shall review and agree outcomes measures based on administrative data from projects, potentially including:

- Attendance rates
- Academic progress and attainment, including English and maths
- Destinations, including Education, Training or Employment (ETE) outcomes at the end of Key Stage 4 or 5, or sustained reintegration to special or mainstream schools for at least two terms, and
- system indicators, including employer engagement.

The contractor shall also work with the individual projects to select appropriate, validated, research tools for measuring other outcomes, potentially including:

- service satisfaction
- attitudes and behaviours
- family and peer relationships
- social and emotional wellbeing, and
- physical and mental health.

The contractor shall assist the projects in collecting the relevant information, overseeing recruitment and consent arrangements, providing log-in details and distributing survey links. The contractor shall set up a secure online platform to host the data collection tools and guidance.

The contractor shall collect agreed data from projects on a regular basis aligned with the projects' quarterly reporting requirement for grant funding and shall conduct quality checks and take remedial action if necessary (to raise and discuss and/or provide challenge to projects where the quality is below what is expected as well as offer support to make improvements). The contractor shall agree the collection format and route with the department's project manager.

### **4.4 Work package four: analysis and reporting**

The contractor shall agree an analytical plan with the department's project manager prior to commencing analysis.

Qualitative data will be coded and stored within a pre-prepared framework, using codes agreed in advance with the department. The contractor shall thematically analyse the coded data and conduct comparative analysis of approaches from the case study research – looking across AP projects and stakeholder groups as well as between them within projects.

With quantitative data, the contractor shall conduct descriptive analysis of the surveys and administrative data, and develop appropriate statistical models on an iterative basis. Findings will be presented transparently with appropriate tests for statistical significance.

The contractor shall synthesise and triangulate administrative data, survey results and case study evidence and use the synthesised findings to evaluate each project against its Theory

of Change – specifically, the degree to which inputs and activities have led to intended outputs, outcomes and impacts, as well as evaluating how and why they have or have not occurred.

#### *Interim and final reporting*

The contractor shall provide concise termly reports including progress information on both project and thematic evaluations and an updated risk register including both mitigations and contingency plans.

For the main reports, the contractor shall submit draft structures in advance for agreement by the department's project manager including indicative section lengths and data sources.

The contractor shall provide an interim report in autumn 2020 containing initial findings from the evaluation after the funded projects have ceased. This shall contain triangulated evaluation findings, emerging conclusions and recommendations, as well as a full technical appendix. The contractor shall provide a final report in June 2021 including evidence collected in the followup stage and providing final conclusions and SMART recommendations.

The reports shall be provided in the DfE research publication template and in accordance with DfE style and accessibility guidance. The contractor shall be responsible for making any style or accessibility amendments identified before publication. There shall be two rounds of written comments on the interim and final report.

#### **4.5 Work package five: learning and dissemination**

The contractor shall provide a comprehensive programme of learning activities, internal- and external- facing, to support the AP Innovation Fund.

##### *Internal events*

The contractor shall organise and run three internal-facing learning events with project leads and key strategic partners (up to 60 participants per event). The first event shall be held in spring 2019 to finalise the evaluation outcomes framework and compare and contrast project aims and activities. The second and third events shall be held in summer 2019 and summer 2020 to present and discuss emerging findings from the evaluation and to highlight case studies.

##### *External stakeholder engagement and dissemination*

The contractor shall conduct a stakeholder mapping exercise to identify key target audiences for the AP Innovation Fund and target communications activities – which shall be agreed with the department's project manager.

The contractor shall organise and host two webinar sessions to present evaluation findings to external audiences. These shall be remotely accessible and should be recorded. The webinars shall include presentations from the evaluation team and project representatives, plus live question and answer sessions.

The contractor shall produce three two-page 'What works' evidence briefings – one on each theme – for use by AP providers, teachers and the wider sector. These shall be professionally designed and make use of infographics where appropriate. The design and topics of these briefings shall be agreed with the department's project manager.

The contractor shall attend up to three relevant conferences, such as the Westminster Education Forum, and present on the findings of the evaluation, as well as run up to two small seminars for relevant parties. Decisions on which conferences to attend and the topics of seminars shall be agreed with the department's project manager.

##### *Peer challenge panels*

The contractor shall convene two independent sector panels, to provide expert feedback on evaluation findings and engage directly with projects. The panels shall meet in parallel at two time points (September 2019 and June 2020). The contractor shall identify and recruit 8-10 leaders from the AP sector and wider voluntary, community, health or social sectors who are not recipients of APIF funding to join the Professional panel and 8-10 young people with lived experience of AP for the Youth panel. The contractor shall develop briefing materials for each session in advance and shall clear these with the department's project manager before being issued.

The contractor shall consult the department, projects and participants in advance of the panels being finalised to identify and avoid conflicts of interest or commercial sensitivities.

The contractor may compensate members of the Youth panel for their participation with details agreed with the department's project manager.

## SCHEDULE OF WORK

The following table contains the planned schedule of work for the evaluation. The contractor shall review the nine project bids and provide a detailed schedule of work for the project manager, including dates for draft research tools, consent forms and other products, to be updated on a rolling basis. Precise deadlines shall be agreed between the contractor and the department's project manager.

Task	Output	Date Required
Project scoping	Inception report and updated schedule of work	14 August 2018
	Analytical plan, including full set of agreed project evaluation plans, including KPIs and logic models	31 August 2018
	Agreed Common Measures Framework	31 August 2018
	Feasibility report for a longitudinal study using NPD data	By 28 Sept 2018
Research design and fieldwork	Draft topic guide for preliminary telephone interviews with project leads	31 July 2018
	Topic guide approved by department	4 August 2018
	Preliminary telephone interviews completed	By 24 August 2018
	Draft questionnaire for pulse survey #1	By 5 October 2018
	Pulse survey #1 completed	30 November 2018
	Questionnaires designed for baseline surveys with pupils and parents/carers	January 2018
	Baseline pupil and parent/carers surveys completed	February 2019

Task	Output	Date Required
	Questionnaire designed for pulse survey #2	February 2019
	Pulse survey #2 completed	March 2019
	Topic guides and materials for first case studies	May 2019
	First case studies completed	June 2019
	Questionnaire designed for pulse survey #3	June 2019
	Pulse survey #3 completed	July 2019
	Questionnaire designed for pulse survey #4	October 2019
	Pulse survey #4 completed	November 2019
	Questionnaires designed for follow-up surveys with pupils and parents/carers	December 2019
	Follow-up pupil and parent/carers surveys completed	January 2020
	Topic guides and materials for second case studies	January 2020
	Second case studies completed	February 2020
	Questionnaire designed for pulse survey #5	February 2020
	Pulse survey #5 completed	March 2020
	Questionnaire designed for pulse survey #6	June 2020
	Pulse survey #6 completed	July 2020
	Topic guide for follow-up telephone interviews	December 2020
	Follow-up telephone interviews completed	Mid-February 2021
Learning and dissemination	Internal learning event #1	April 2019
	Internal learning event #2	October 2019
	Internal learning event #3	July 2020
	External webinar #1	November 2019
	External webinar #2	September 2020
	Three 'What Works' evidence papers, including infographics (draft deadlines to be agreed with DfE project manager)	November 2019 September 2020 March 2021



Task	Output	Date Required
Reporting and analysis	Termly progress reports of which four will be progress reports for the Evaluation Steering Group	Termly progress reports: Ongoing Timing of ESG-related reports: November 2018 September 2019 June 2020 April 2021
	Final report – initial and updated version	Draft of first edition of final report – by 14 September 2020  First edition of final report approved by department – by 5 October 2020  Draft version of updated final report – by 4 June 2021  Final version approved by department – by 30 June 2021
	Clean, redacted survey data-files and administrative data	30 June 2021

## 5. STAFFING

The contractor's senior management team shall comprise [REDACTED] (Project manager, Ecorys), [REDACTED] (Project director, Ecorys), [REDACTED] (Learning manager, Ecorys), [REDACTED] (Organisational lead, University of Sussex), [REDACTED] (Lead analyst, Ecorys). The contractor's delivery team will include [REDACTED] (survey manager), [REDACTED] (data systems manager), [REDACTED] and [REDACTED] (research managers), [REDACTED] (junior researcher), [REDACTED] (survey officer), [REDACTED] (graphic designer), [REDACTED] (project assistant).

The contractor's Expert Advisory Group from the [REDACTED] includes the following people: [REDACTED] and [REDACTED]

The department's project manager shall be [REDACTED].

## 6. STEERING COMMITTEE

The Project Manager shall set up a Steering Committee for the Project, consisting of representatives from the Department, the Contractor, and any other key organisations whom the project will impact on, to be agreed between the parties. The function of the Steering Committee shall be to review the scope and direction of the Project against its aims and objectives, and monitor progress and efficiency. The Committee shall meet at times and dates agreed by the parties, or in the absence of agreement, specified by the Department. The Contractor's representatives on the Steering Committee shall report their views on the progress of the Project to the Steering Committee in writing if requested by the Department. The Contractor's representatives on the Steering Committee shall attend all meetings of the Steering Committee unless otherwise agreed by the Department.

## 8. RISK MANAGEMENT

Risk	Likelihood and impact (H=High, M=Medium, L=Low)	Proposed mitigation and contingencies by the Contractor
Low levels of engagement in the evaluation by the AP projects and partners	<p>Likelihood: M Impact: H</p> <p>Would risk low sample sizes, and lower statistical confidence in results.</p> <p>Could result in lack of buyin to evaluation findings</p>	<p>Evaluation model places strong emphasis on stakeholder participation, at all stages.</p> <p>Learning events to engage projects and test the findings, at key decision-making points.</p> <p>Sufficient lead-in time and resource allocated to surveys, to allow for boost if necessary.</p>
Scoping work reveals a lack of consensus among projects regarding KPIs	<p>Likelihood: M Impact: M</p> <p>Would risk disengagement, if projects don't identify with evaluation framework</p> <p>KPIs could become unwieldy if set too broad</p>	<p>Thorough mapping and consultation stage, to ensure KPIs reflect a detailed understanding of the projects and their aims and activities</p> <p>Two tiers of outcome measures, at thematic and project levels, to provide flexibility, while allowing for aggregation across the projects.</p>
Delays incurred to the procurement timetable for the Innovation Fund projects	<p>Likelihood: L Impact: M/H</p> <p>Would require re-phasing, if delays were significant</p> <p>Would reduce time period for measuring outcomes</p>	<p>Ongoing consultation between evaluation team and DfE, to monitor progress and to adjust evaluation timetable as necessary.</p> <p>Evaluation includes longitudinal elements, enabling tracking if additional time is needed to evidence the full range of outcomes</p>

Views of children, young people and families overlooked within the evaluation	<p>Likelihood: L Impact: H</p> <p>Would miss service user perspectives, and therefore only give a partial view of project effectiveness</p>	<p>Case study and survey research to gather qualitative and quantitative data from a robust sample of pupils, parents and carers</p> <p>Recruitment of a panel of young people with experience of AP to test evaluation findings</p>
Evaluation provides weak or inconclusive evidence at a thematic level	<p>Likelihood: L Impact: H</p> <p>Would reduce the policy impact of the evaluation and would represent poor value for money</p>	<p>Clear analytical framework agreed with DfE &amp; projects from outset, using thematic approach.</p> <p>Well-balanced evaluation design, combining quantitative and qualitative data, to enable triangulation of the evidence.</p>
Limited sharing of effective practices between projects, and with the education sector	<p>Likelihood: L Impact: M/H</p> <p>Would miss opportunities for projects to learn peer-to-peer and to adjust</p> <p>Would result in low profile of projects within the sector</p>	<p>Combination of events, webinars and secure online communication to develop a community of practice around the Innovation Fund</p> <p>Clear strategy for engaging the education sector, including targeted stakeholder engagement, and tailored comms outputs</p>
Team members become unavailable during the evaluation period	<p>Likelihood: M Impact: M</p> <p>Could result in lack of continuity in the relationships between the evaluators and DfE / projects, and loss of expertise from the team.</p>	<p>Time inputs of team members safeguarded at the point of contract signature, and formalised with the Ecorys HR / work planning system.</p> <p>Capacity &amp; depth of expertise to offer replacement at the same grade, if team members become unavailable due to unforeseen circumstances.</p>

## 9 DATA COLLECTION

The Department seeks to minimise the burdens on Schools, Children's Services and Local Authorities (LAs) taking part in surveys.

When assessing the relative merits of data collection methods the following issues should be considered;

- only data essential to the project shall be collected;
- data should be collected electronically where appropriate/preferred;
- questionnaires should be pre-populated wherever possible and appropriate;
- schools must be given at least four working weeks to respond to the exercise from the date they receive the request; and

- LAs should receive at least two weeks, unless they need to approach schools in which case they too should receive 4 weeks to respond;

The Contractor shall clear any data collection tools with the Department before engaging in field work.

The Contractor shall check with the Department whether any of the information that they are requesting can be provided centrally from information already held.

#### **10. CONSENT ARRANGEMENTS**

The Department and the contractor shall agree in advance of any survey activity taking place the consent arrangements that shall apply for each of the participant groups. All participants should be informed of the purpose of the research, that the Contractor is acting on behalf of the Department and that they have the option to refuse to participate (opt out). Contact details should be provided including a contact person at the Department. Children who are 16 or over will usually be able to give their own consent but even where this is so, the Contractor, in consultation with the Department, should consider whether it is also appropriate for parents, guardians or other appropriate gatekeepers (e.g. schools, Local Authorities) to be informed when a child has been invited to participate in research.

#### **11. PROJECT COMMUNICATION PROTOCOL**

The Contractor shall work with the Project Manager and Steering Group to agree the content of a Project Communication Protocol at the start of the Project, and to review and update at agreed key points in the Project and at the close of the Project. The Communication Plan shall set out the key audiences for the Project, all outputs intended for publication from the Project, the likely impact of each output, and dissemination plans to facilitate effective use by the key audiences.

End of Schedule One

**SCHEDULE TWO****1 Eligible expenditure**

1.1 The Department shall reimburse the Contractor for expenditure incurred for the purpose of the Project, provided that:-

- (a) the expenditure falls within the heading and limits in the Table below; and
- (b) the expenditure is incurred, and claims are made, in accordance with this Contract.

**Table**

<b>Project Milestones</b>	<b>Payment Amount (excl. VAT)</b>	<b>Payment Date</b>
Evaluation plans, project KPIs and common monitoring framework agreed in an analytical plan.  Including: <ul style="list-style-type: none"> <li>- documentary and data review completed</li> <li>- preliminary telephone interviews completed</li> </ul>	£ [REDACTED]	October 2018
Monitoring database live  Baseline pupil and parent/carers survey designed and completed  First pulse survey of project staff designed and completed	£ [REDACTED]	March 2019
Second pulse survey of project staff designed and completed  First internal learning event held  Wave 1 of case studies designed and completed  Third pulse survey of project staff designed and completed  Second internal learning event held	£ [REDACTED]	November 2019

First external webinar event held		
First 'what works' practice guide signed off		
Fourth pulse survey of project staff designed and completed	£ [REDACTED]	March 2020
Follow-up pupil and parent/carer surveys designed and completed		
Wave 2 of case studies designed and completed		
Fifth pulse survey of project staff designed and completed		
Sixth pulse survey of project staff designed and completed	£ [REDACTED]	August 2020
Third internal learning event held		
Interim report signed off		
Second externally facing webinar held	£ [REDACTED]	September 2020
Second 'what works' practice guide signed off		
Follow-up telephone interviews completed	£ [REDACTED]	March 2021
Third 'what works' practice guide signed off		
Final report signed off	£ [REDACTED]	June 2021
<b>Total</b>	<b>£283,140.00</b>	
<b>VAT @ 20%</b>	<b>£56,628.00</b>	
<b>Grand total</b>	<b>£339,768.00</b>	

Expenditure for the financial year 2018-2019 shall not exceed £

[REDACTED]  
exclusive of VAT.

Expenditure for the financial year 2019-2020 shall not exceed £

[REDACTED]

exclusive of VAT.

Expenditure for the financial year 2020-2021 shall not exceed £

██████████

exclusive of VAT.

Expenditure for the financial year 2021-2022 shall not exceed £

██████████

exclusive of VAT.

Total Project expenditure shall not exceed **£283,140.00** exclusive of VAT.

- 2 The allocation of funds in the Table may not be altered except with the prior written consent of the Department.
- 3 The Contractor shall maintain full and accurate accounts for the Project against the expenditure headings in the Table. Such accounts shall be retained for at least 6 years after the end of the financial year in which the last payment was made under this Contract. Input and output VAT shall be included as separate items in such accounts.
- 4 The Contractor shall permit duly authorised staff or agents of the Department or the National Audit Office to examine the accounts at any reasonable time and shall furnish oral or written explanations of the accounts if required. The Department reserves the right to have such staff or agents carry out examinations into the economy, efficiency and effectiveness with which the Contractor has used the Department's resources in the performance of this Contract.
- 5 Invoices shall be submitted on the invoice dates specified in the Table, be detailed against the task headings set out in the Table and must quote the Department's Order Number. **The Purchase order reference number shall be provided by the department when both parties have signed the paperwork.** The Contractor or his or her nominated representative or accountant shall certify on the invoice that the amounts claimed were expended wholly and necessarily by the Contractor on the Projects in accordance with the Contract and that the invoice does not include any costs being claimed from any other body or individual or from the Department within the terms of another contract.
- 6 Invoices shall be sent by email to the **Department's Project Manager** and copied to ██████████. Invoices submitted by email must be in PDF format, with one PDF file per invoice including any supporting documentation in the same file. Multiple invoices may be submitted in a single email but each invoice must be in a separate PDF file. The Department undertakes to pay correctly submitted invoices within 10 days of receipt. The Department is obliged to pay invoices within 30 days of receipt from the day of physical or electronic arrival at the nominated address of the Department. Any correctly submitted invoices that are not paid within 30 days may be subject to the provisions of the Late Payment of Commercial Debt (Interest) Act 1998. A correct invoice is one that: is delivered in timing in accordance with the contract; is for the correct sum; in respect of goods/services supplied or delivered to the required quality (or are expected to be at the required quality); includes the date, supplier name, contact details and bank details; quotes the relevant purchase order/contract reference and has been delivered to the nominated address. If any problems arise, contact the Department's Project Manager. The Department aims to reply to complaints within 10 working days. The Department shall not be responsible for any delay in payment caused by incomplete or illegible invoices.

- 7** The Contractor shall have regard to the need for economy in all expenditure. Where any expenditure in an invoice, in the Department's reasonable opinion, is excessive having due regard to the purpose for which it was incurred, the Department shall only be liable to reimburse so much (if any) of the expenditure disallowed as, in the Department's reasonable opinion after consultation with the Contractor, would reasonably have been required for that purpose.
- 8** If this Contract is terminated by the Department due to the Contractor's insolvency or default at any time before completion of the Projects, the Department shall only be liable under paragraph 1 to reimburse eligible payments made by, or due to, the Contractor before the date of termination.
- 9** On completion of the Project or on termination of this Contract, the Contractor shall promptly draw-up a final invoice, which shall cover all outstanding expenditure incurred for the Project. The final invoice shall be submitted not later than 30 days after the date of completion of the Projects.
- 10** The Department shall not be obliged to pay the final invoice until the Contractor has carried out all the elements of the Projects specified as in Schedule 1.
- 11** It shall be the responsibility of the Contractor to ensure that the final invoice covers all outstanding expenditure for which reimbursement may be claimed. Provided that all previous invoices have been duly paid, on due payment of the final invoice by the Department all amounts due to be reimbursed under this Contract shall be deemed to have been paid and the Department shall have no further liability to make reimbursement of any kind.

End of Schedule Two



## **SCHEDULE THREE**

### **1. Contractor's Obligations**

- 1.1. The Contractor shall promptly and efficiently complete the Project in accordance with the provisions set out in Schedule One.
- 1.2. The Contractor shall comply with the accounting and information provisions of Schedule Two.
- 1.3. The Contractor shall comply with all statutory provisions including all prior and subsequent enactments, amendments and substitutions relating to that provision and to any regulations made under it.
- 1.4. The Contractor shall inform the Department immediately if it is experiencing any difficulties in meeting its contractual obligations.

### **2. Department's Obligations**

- 2.1. The Department will comply with the payment provisions of Schedule Two provided that the Department has received full and accurate information and documentation as required by Schedule Two to be submitted by the Contractor for work completed to the satisfaction of the Department.

### **3. Changes to the Department's Requirements**

- 3.1. The Department shall notify the Contractor of any material change to the Department's requirement under this Contract.
- 3.2. The Contractor shall use its best endeavours to accommodate any changes to the needs and requirements of the Department provided that it shall be entitled to payment for any additional costs it incurs as a result of any such changes. The amount of such additional costs to be agreed between the parties in writing.

### **4. Management**

- 4.1. The Contractor shall promptly comply with all reasonable requests or directions of the Project Manager in respect of the Services.
- 4.2. The Contractor shall address any enquiries about procedural or contractual matters in writing to the Project Manager. Any correspondence relating to this Contract shall quote the reference number set out in the Recitals to this Contract.

### **5. Contractor's Employees and Sub-Contractors**

- 5.1 Where the Contractor enters into a contract with a supplier or

contractor for the purpose of performing its obligations under the Contract (the "Sub-contractor") it shall ensure prompt payment in accordance with this clause 5.1. Unless otherwise agreed by the Department in writing, the Contractor shall ensure that any contract requiring payment to a Sub-contractor shall provide for undisputed sums due to the Sub-contractor to be made within a specified period from the receipt of a valid invoice not exceeding:

5.1.1 10 days, where the Sub-contractor is an SME; or

5.1.2 30 days either, where the sub-contractor is not an SME, or both the Contractor and the Sub-contractor are SMEs,

The Contractor shall comply with such terms and shall provide, at the Department's request, sufficient evidence to demonstrate compliance.

- 5.2 The Department shall be entitled to withhold payment due under clause 5.1 for so long as the Contractor, in the Department's reasonable opinion, has failed to comply with its obligations to pay any Sub-contractors promptly in accordance with clause 5.1. For the avoidance of doubt the Department shall not be liable to pay any interest or penalty in withholding such payment.
- 5.3. The Contractor shall immediately notify the Department if they have any concerns regarding the propriety of any of its sub-contractors in respect of work/services rendered in connection with this Contract.
- 5.4. The Contractor, its employees and sub-contractors (or their employees), whilst on Departmental premises, shall comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time.
- 5.5. The Contractor shall ensure the security of all the Property whilst in its possession, during the supply of the Project, in accordance with the Department's reasonable security requirements as required from time to time.
- 5.6. If the Department notifies the Contractor that it considers that an employee or sub-contractor is not appropriately qualified or trained to perform the Project or otherwise is not performing the Project in accordance with this Contract, then the Contractor shall, as soon as is reasonably practicable, take all such steps as the Department considers necessary to remedy the situation or, if so required by the Department, shall remove the said employee or sub-contractor from performing the Project and shall provide a suitable replacement (at no cost to the Department).
- 5.7. The Contractor shall take all reasonable steps to avoid changes of employees or sub-contractors assigned to and accepted to perform the Project under the Contract except whenever changes are unavoidable

or of a temporary nature. The Contractor shall give at least four week's written notice to the Project Manager of proposals to change key employees or sub-contractors

**6. Ownership of Intellectual Property Rights, Copyright & Licence to the Department**

- 6.1. Ownership of Intellectual Property Rights including Copyright, in any guidance, specifications, instructions, toolkits, plans, data, drawings, databases, patents, patterns, models, designs or other materials prepared by or for the Contractor on behalf of the Department for use, or intended use, in relation to the performance by the Contractor of its obligations under the Contract shall belong to the Contractor
- 6.2. The Contractor hereby grants to the Department a non-exclusive license without payment of royalty or other sum by the Department in the Copyright to:
  - 6.2.1 to do and authorise others to do any and all acts restricted by the Act as amended from time to time or replaced in whole or part by any statute or other legal means in respect of any Copyright Work in the United Kingdom and in all other territories in the world for the full period of time during which the Copyright subsists; and
  - 6.2.2 to exercise all rights of a similar nature as those described in Clause 6.2.1 above which may be conferred in respect of any Copyright Work by the laws from time to time in all other parts of the world
- 6.3 The Contractor now undertakes to the Department as follows:
  - 6.3.1 not to assign in whole or in part the legal or beneficial title in any Copyright to any person, firm or company without the prior written consent of the Department the granting of which consent shall be at its absolute discretion.
  - 6.3.2 to procure that the Contractor is entitled both legally and beneficially to all Copyright.
  - 6.3.3 to record or procure the recording on each and every Copyright Work the name of the author or authors and the date on which it was created and retain safely in its possession throughout the duration of the Copyright all Original Copyright Works.
  - 6.3.4 in respect of the Original Copyright Works to:
    - 6.3.5 supply copies on request to the Department the reasonable costs in respect of which the Department will pay; and
    - 6.3.6 allow inspection by an authorised representative of the Department on receiving reasonable written notice;
  - 6.3.7 to take all necessary steps and use its best endeavours to prevent the infringement of the Copyright by any person, firm or company which shall include an obligation on the part of the

Contractor to commence and prosecute legal proceedings for any threatened or actual infringement where there is a reasonable chance of success and account to the Department after the deduction of all legal expenses incurred in any such proceedings for one half of all damages paid whether by order, settlement or otherwise.

6.3.8 to waive or procure the waiver of any and all moral rights (as created by chapter IV of the Act) of authors of all Copyright Works be waived; and

6.3.9 not to demand and to procure that where any further licences are granted by the Contractor otherwise than to the Department the Licensees thereof do not demand any payment in whatever form and from any person, firm or company directly or indirectly for the undertaking of any of the acts restricted by the Copyright (as defined in section 16 of the Act) in relation to any Copyright Work except in so far as any demand or payment received represents only the reasonable costs which might normally be incurred in respect of such an act.

6.4 The Contractor now warrants to the Department that all Works:

6.4.1 will not infringe in whole or in part any copyright or like right or any other intellectual property right of any other person (wheresoever) and agrees to indemnify and hold harmless the Department against any and all claims, demands, proceedings, damages, expenses and losses including any of a consequential nature arising directly or indirectly out of any act of the Department in relation to any Work, where such act is or is alleged to be an infringement of a third party's copyright or like right or other intellectual property rights (wheresoever).

6.5 The warranty and indemnity contained in Clause 6.4.1 above shall survive the termination of this Contract and shall exist for the life of the Copyright.

## **7. Data Protection Act**

7.1. The Parties acknowledge that for the purposes of the Data Protection Legislation, the Department is the Controller and the Contractor is the Processor. The only processing that the Contractor is authorised to do is listed in Schedule 4 by the Department and may not be determined by the Contractor.

7.2. The Contractor shall notify the Department immediately if it considers that any of the Department's instructions infringe the Data Protection Legislation.

7.3. The Contractor shall provide all reasonable assistance to the Department in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance

may, at the discretion of the Department, include:

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

7.4. The Contractor shall, in relation to any Personal Data processed in connection with its obligations under this Contract:

- (a) process that Personal Data only in accordance with Schedule 4, unless the Contractor is required to do otherwise by Law. If it is so required the Contractor shall promptly notify the Department before processing the Personal Data unless prohibited by Law;
- (b) ensure that it has in place Protective Measures, which have been reviewed and approved by the Department as appropriate to protect against a Data Loss Event having taken account of the:
  - (i) nature of the data to be protected;
  - (ii) harm that might result from a Data Loss Event;
  - (iii) state of technological development; and
  - (iv) cost of implementing any measures;
- (c) ensure that :
  - (i) the Contractor Personnel do not process Personal Data except in accordance with this Contract (and in particular Schedule 4);
  - (ii) it takes all reasonable steps to ensure the reliability and integrity of any Contractor Personnel who have access to the Personal Data and ensure that they:
    - (A) are aware of and comply with the Contractor's duties under this clause;
    - (B) are subject to appropriate confidentiality undertakings with the Contractor or any Sub-processor;
    - (C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Department or as otherwise permitted by this Contract; and
    - (D) have undergone adequate training in the use, care, protection and handling of Personal Data; and
- (d) not transfer Personal Data outside of the EU unless the prior written consent of the Department has been obtained and the following conditions are fulfilled:
  - (i) the Department or the Contractor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or LED Article 37) as

- determined by the Department;
  - (ii) the Data Subject has enforceable rights and effective legal remedies;
  - (iii) the Contractor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Department in meeting its obligations); and
  - (iv) the Contractor complies with any reasonable instructions notified to it in advance by the Department with respect to the processing of the Personal Data;
- (e) at the written direction of the Department, delete or return Personal Data (and any copies of it) to the Department on termination of the Contract unless the Contractor is required by Law to retain the Personal Data.

7.5. Subject to clause 7.6, the Contractor shall notify the Department immediately if it:

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

7.6. The Contractor's obligation to notify under clause 7.5 shall include the provision of further information to the Department in phases, as details become available.

7.7. Taking into account the nature of the processing, the Contractor shall provide the Department with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 7.5 (and insofar as possible within the timescales reasonably required by the Department) including by promptly providing:

- (a) the Department with full details and copies of the complaint, communication or request;
- (b) such assistance as is reasonably requested by the Department to enable the Department to comply with a Data Subject Access Request within the relevant timescales set out in the Data Protection Legislation;
- (c) the Department, at its request, with any Personal Data it holds in

- relation to a Data Subject;
  - (d) assistance as requested by the Department following any Data Loss Event;
  - (e) assistance as requested by the Department with respect to any request from the Information Commissioner's Office, or any consultation by the Department with the Information Commissioner's Office.
- 7.8. The Contractor shall maintain complete and accurate records and information to demonstrate its compliance with this clause. This requirement does not apply where the Contractor employs fewer than 250 staff, unless:
  - (a) the Department determines that the processing is not occasional;
  - (b) the Department determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR; and
  - (c) the Department determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 7.9. The Contractor shall allow for audits of its Data Processing activity by the Department or the Department's designated auditor.
- 7.10. The Contractor shall designate a data protection officer if required by the Data Protection Legislation.
- 7.11. Before allowing any Sub-processor to process any Personal Data related to this Contract, the Contractor must:
  - (a) notify the Department in writing of the intended Sub-processor and processing;
  - (b) obtain the written consent of the Department;
  - (c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this clause such that they apply to the Sub-processor; and
  - (d) provide the Department with such information regarding the Sub-processor as the Department may reasonably require.
- 7.12. The Contractor shall remain fully liable for all acts or omissions of any Sub-processor.
- 7.13. The Contractor may, at any time on not less than 30 Working Days' notice, revise this clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this Contract).
- 7.14. The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Department may on not less



than 30 Working Days' notice to the Contractor amend this Contract to ensure that it complies with any guidance issued by the Information Commissioner's Office.

## **8. Departmental Security Standards**

- 8.1. The Contractor shall comply with Departmental Security Standards for Contractors which include but are not constrained to the following clauses.
- 8.2. Where the Contractor will provide ICT products or services or otherwise handle information at OFFICIAL on behalf of the Department, the requirements under Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification - Action Note 09/14 25 May 2016, or any subsequent updated document, are mandated; that “contractors supplying products or services to HMG shall have achieved, and retain certification at the appropriate level, under the HMG Cyber Essentials Scheme”. The certification scope must be relevant to the services supplied to, or on behalf of, the Department.
- 8.3. The Contractor shall be able to demonstrate conformance to, and show evidence of such conformance to the ISO/IEC 27001 (Information Security Management Systems Requirements) standard, including the application of controls from ISO/IEC 27002 (Code of Practice for Information Security Controls).
- 8.4. The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 8.5. Departmental Data being handled in the course of providing an ICT solution or service must be segregated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required. In the event that it is not possible to segregate any Departmental Data then the Contractor and any sub-contractor shall be required to ensure that it is stored in such a way that it is possible to securely delete the data in line with Clause 1.14.
- 8.6. The Contractor shall have in place and maintain physical security, in line with those outlined in ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access) to premises and sensitive areas
- 8.7. The Contractor shall have in place and maintain an access control



policy and process for the logical access (e.g. identification and authentication) to ICT systems to ensure only authorised personnel have access to Departmental Data.

- 8.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to: physical security controls; good industry standard policies and process; anti-virus and firewalls; security updates and up-to-date patching regimes for anti-virus solutions; operating systems, network devices, and application software, user access controls and the creation and retention of audit logs of system use.
- 8.9 Any data in transit using either physical or electronic transfer methods across public space or cyberspace, including mail and couriers systems, or third party provider networks must be protected via encryption which has been certified to FIPS 140-2 standard or a similar method approved by the Department prior to being used for the transfer of any Departmental Data.
- 8.10 Storage of Departmental Data on any portable devices or media shall be limited to the absolute minimum required to deliver the stated business requirement and shall be subject to Clause 1.11 and 1.12 below.
- 8.11 Any portable removable media (including but not constrained to pen drives, flash drives, memory sticks, CDs, DVDs, or other devices) which handle, store or process Departmental Data to deliver and support the service, shall be under the control and configuration management of the contractor or (sub-)contractors providing the service, shall be both necessary to deliver the service and shall be encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 8.12 All portable ICT devices, including but not limited to laptops, tablets, smartphones or other devices, such as smart watches, which handle, store or process Departmental Data to deliver and support the service, shall be under the control and configuration management of the contractor or sub-contractors providing the service, and shall be necessary to deliver the service. These devices shall be full-disk encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 8.13 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.

- 8.14 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.
- 8.15 At the end of the contract or in the event of equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored on the Contractor's ICT infrastructure must be securely sanitised or destroyed and accounted for in accordance with the current HMG policy using a NCSC approved product or method. Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as a Storage Area Network (SAN) or shared backup tapes, then the Contractor or sub-contractor shall protect the Department's information and data until the time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.
- 8.16 Access by Contractor or sub-contractor staff to Departmental Data shall be confined to those individuals who have a "need-to-know" in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted.
- 8.17 All Contractor or sub-contractor employees who handle Departmental Data must have annual awareness training in protecting information.
- 8.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 8.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data being handled in the course of providing this service, or any non-compliance with these Departmental

Security Standards for Contractors, or other Security Standards pertaining to the solution, shall be investigated immediately and escalated to the Department by a method agreed by both parties.

- 8.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using a NCSC approved ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.
- 8.21 The Contractor or sub-contractors providing the service will provide the Department with full details of any storage of Departmental Data outside of the UK or any future intention to host Departmental Data outside the UK or to perform any form of ICT management, support or development function from outside the UK. The Contractor or sub-contractor will not go ahead with any such proposal without the prior written agreement from the Department.
- 8.22 The Department reserves the right to audit the Contractor or sub-contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-contractors, compliance with the clauses contained in this Section.
- 8.23 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-contractors or partners who could potentially access Departmental Data in the course of providing this service.
- 8.24. The Contractor and sub-contractors shall undergo appropriate security assurance activities as determined by the Department. Contractor and sub-contractors shall support the provision of appropriate evidence of assurance and the production of the necessary security documentation such as completing the DfE Security Assurance Model (DSAM) process or the Business Service Assurance Model (BSAM). This will include obtaining any necessary professional security resources required to support the Contractor's and sub-contractor's security assurance activities such as: a NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Professional (CCP) Security and Information Risk Advisor (SIRA).

## **9. Warranty and Indemnity**

- 9.1. The Contractor warrants to the Department that the obligations of the Contractor under this Contract will be performed by appropriately qualified and trained personnel with reasonable skill, care and

diligence and to such high standards of quality as it is reasonable for the Department to expect in all the circumstances. The Department will be relying upon the Contractor's skill, expertise and experience in the performance of the Project and also upon the accuracy of all representations or statements made and the advice given by the Contractor in connection with the performance of the Project and the accuracy of any documents conceived, originated, made or developed by the Contractor as part of this Contract. The Contractor warrants that any goods supplied by the Contractor forming part of the Services will be of satisfactory quality and fit for their purpose and will be free from defects in design, material and workmanship.

- 9.2. Without prejudice to any other remedy, if any part of the Project is not performed in accordance with this Contract then the Department shall be entitled, where appropriate to:
  - 9.2.1. require the Contractor promptly to re-perform or replace the relevant part of the Project without additional charge to the Department; or
  - 9.2.2. assess the cost of remedying the failure ("the assessed cost") and to deduct from any sums due to the Contractor the Assessed Cost for the period that such failure continues.
- 9.3. The Contractor shall be liable for and shall indemnify the Department in full against any expense, liability, loss, claim or proceedings arising under statute or at common law in respect of personal injury to or death of any person whomsoever or loss of or damage to property whether belonging to the Department or otherwise arising out of or in the course of or caused by the performance of the Project.
- 9.4. Without prejudice to any other exclusion or limitation of liability in this Contract, the liability of the Contractor for any claim or claims under this Contract shall be limited to such sums as it would be just and equitable for the Contractor to pay having regard to the extent of his responsibility for the loss or damage giving rise to such claim or claims etc.
- 9.5. All property of the Contractor whilst on the Department's premises shall be there at the risk of the Contractor and the Department shall accept no liability for any loss or damage howsoever occurring to it.
- 9.6. The Contractor shall ensure that it has adequate insurance cover with an insurer of good repute to cover claims under this Contract or any other claims or demands which may be brought or made against it by any person suffering any injury damage or loss in connection with this Contract. The Contractor shall upon request produce to the Department, it's policy or policies of insurance, together with the receipt for the payment of the last premium in respect of each policy or produce documentary evidence that the policy or policies are

properly maintained.

## **10. Termination**

- 10.1. This Contract may be terminated by either party giving to the other party at least 30 days notice in writing.
- 10.2. In the event of any breach of this Contract by either party, the other party may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice which shall be reasonable in all the circumstances. If the breach has not been remedied by the expiry of the specified period, the party not in breach may terminate this Contract with immediate effect by notice in writing.
- 10.3. In the event of a material breach of this Contract by either party, the other party may terminate this Contract with immediate effect by notice in writing.
- 10.4. This Contract may be terminated by the Department with immediate effect by notice in writing if at any time:-
  - 10.4.1 the Contractor passes a resolution that it be wound-up or that an application be made for an administration order or the Contractor applies to enter into a voluntary arrangement with its creditors; or
  - 10.4.2 a receiver, liquidator, administrator, supervisor or administrative receiver be appointed in respect of the Contractor's property, assets or any part thereof; or
  - 10.4.3 the court orders that the Contractor be wound-up or a receiver of all or any part of the Contractor's assets be appointed; or
  - 10.4.4 the Contractor is unable to pay its debts in accordance with Section 123 of the Insolvency Act 1986.
  - 10.4.5 there is a change in the legal or beneficial ownership of 50% or more of the Contractor's share capital issued at the date of this Contract or there is a change in the control of the Contractor, unless the Contractor has previously notified the Department in writing. For the purpose of this Sub-Clause 10.4.5 "control" means the power of a person to secure that the affairs of the Contractor are conducted in accordance with the wishes of that person by means of the holding of shares or the possession of voting power.
  - 10.4.6 the Contractor is convicted (or being a company, any officers or representatives of the Contractor are convicted) of a criminal offence related to the business or professional conduct

10.4.7 the Contractor commits (or being a company, any officers or representatives of the Contractor commit) an act of grave misconduct in the course of the business;

10.4.8 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to the payment of Social Security contributions;

10.4.9 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to payment of taxes;

10.4.10 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to disclose any serious misrepresentation in supplying information required by the Department in or pursuant to this Contract.

10.5 Nothing in this Clause 10 shall affect the coming into, or continuance in force of any provision of this Contract which is expressly or by implication intended to come into force or continue in force upon termination of this Contract.

## **11. Status of Contractor**

11.1 In carrying out its obligations under this Contract the Contractor agrees that it will be acting as principal and not as the agent of the Department.

11.2 The Contractor shall not say or do anything that may lead any other person to believe that the Contractor is acting as the agent of the Department.

## **12. Freedom of information**

12.1 The Contractor acknowledges that the Department is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the Department to enable the Department to comply with its information disclosure obligations.

12.2 The Contractor shall and shall procure that its Sub-contractors shall:

12.2.1 transfer to the Department all Requests for Information that it receives as soon as practicable and in any event within two Working Days of receiving a Request for Information;

12.2.2 provide the Department with a copy of all Information in its possession, or power in the form that the Department requires within five Working Days (or such other period as the Department may specify) of the Department's request; and

12.2.3 provide all necessary assistance as reasonably requested by the Department to enable the Department to respond to the Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the Environmental Information Regulations.

12.3 The Department shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether any Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.

12.4 In no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by the Department.

12.5 The Contractor acknowledges that (notwithstanding the provisions of Clause 13) the Department may, acting in accordance with the Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000 ("**the Code**"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Contractor or the Project:

12.5.1 in certain circumstances without consulting the Contractor; or

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

12.5.3 provided always that where 12.5.1 applies the Department shall, in accordance with any recommendations of the Code, take reasonable steps, where appropriate, to give the Contractor advanced notice, or failing that, to draw the disclosure to the Contractor's attention after any such disclosure.

12.6 The Contractor shall ensure that all Information is retained for disclosure and shall permit the Department to inspect such records as requested from time to time.

### **13. CONFIDENTIALITY**

13.1 Except to the extent set out in this clause or where disclosure is expressly permitted elsewhere in this Contract, each party shall:

13.1.1 treat the other party's Confidential Information as confidential and safeguard it accordingly; and

13.3.2 not disclose the other party's Confidential Information to any other person without the owner's prior written consent.

13.2 Clause 13 shall not apply to the extent that:

13.2.1 such disclosure is a requirement of Law placed upon the party making the disclosure, including any requirements for disclosure

under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations pursuant to clause 12 (Freedom of Information);

13.2.2 such information was in the possession of the party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;

13.2.3 such information was obtained from a third party without obligation of confidentiality;

13.2.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of this Contract; or

13.2.5 it is independently developed without access to the other party's Confidential Information.

13.3 The Contractor may only disclose the Department's Confidential Information to the Contractor Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that such Contractor Personnel are aware of and shall comply with these obligations as to confidentiality.

13.4 The Contractor shall not, and shall procure that the Contractor Personnel do not, use any of the Department's Confidential Information received otherwise than for the purposes of this Contract.

13.5 At the written request of the Department, the Contractor shall procure that those members of the Contractor Personnel identified in the Department's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.

13.6 Nothing in this Contract shall prevent the Department from disclosing the Contractor's Confidential Information:

13.6.1 to any Crown Body or any other Contracting Department. All Crown Bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown Body or any Contracting Department;

13.6.2 to any consultant, contractor or other person engaged by the Department or any person conducting an Office of Government Commerce gateway review;

13.6.3 for the purpose of the examination and certification of the Department's accounts; or

13.6.4 for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Department has used its resources.

13.7 The Department shall use all reasonable endeavours to ensure that any government department, Contracting Department, employee, third



party or Sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause 13 is made aware of the Department's obligations of confidentiality.

- 13.8 Nothing in this clause 13 shall prevent either party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other party's Confidential Information or an infringement of IPR.
- 13.9 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. The Department shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.
- 13.10 Subject to Clause 13.9, the Contractor hereby gives his consent for the Department to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.
- 13.11 The Department may consult with the Contractor to inform its decision regarding any redactions but the Department shall have the final decision in its absolute discretion.
- 13.12 The Contractor shall assist and cooperate with the Department to enable the Department to publish this Contract.

#### **14. Access and Information**

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

#### **15. Transfer of Responsibility on Expiry or Termination**

- 15.1 The Contractor shall, at no cost to the Department, promptly provide such assistance and comply with such timetable as the Department may reasonably require for the purpose of ensuring an orderly transfer of responsibility upon the expiry or other termination of this Contract. The Department shall be entitled to require the provision of such assistance both prior to and, for a reasonable period of time after the expiry or other termination of this Contract.
- 15.2 Such assistance may include (without limitation) the delivery of documents and data in the possession or control of the Contractor which relate to this Contract, including the documents and data, if any, referred to in the Schedule.

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

**16. Tax indemnity**

- 16.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.
- 16.2 Where the Contractor is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to NICs in respect of that consideration.
- 16.3 The Department may, at any time during the term of this contract, ask the Contractor to provide information which demonstrates how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it.
- 16.4 A request under Clause 16.3 above may specify the information which the Contractor must provide and the period within which that information must be provided.
- 16.5 The Department may terminate this contract if-
- (a) in the case of a request mentioned in Clause 16.3 above if the Contractor:
    - (i) fails to provide information in response to the request within a reasonable time, or
    - (ii) provides information which is inadequate to demonstrate either how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it;
  - (b) in the case of a request mentioned in Clause 16.4 above, the Contractor fails to provide the specified information within the specified period, or
  - (c) it receives information which demonstrates that, at any time when Clauses 16.1 and 16.2 apply, the Contractor is not complying with those Clauses.
- 16.6 The Department may supply any information which it receives under Clause 16.3 to the Commissioners of Her Majesty's Revenue and Customs for the purpose of the collection and management of revenue for which they are responsible.
- 16.7 The Contractor warrants and represents to the Department that it is an

independent contractor and, as such, bears sole responsibility for the payment of tax and national insurance contributions which may be found due from it in relation to any payments or arrangements made under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.

16.8 The Contractor will account to the appropriate authorities for any income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.

16.9 The Contractor shall indemnify Department against any liability, assessment or claim made by the HM Revenue and Customs or any other relevant authority arising out of the performance by the parties of their obligations under this Contract (other than in respect of employer's secondary national insurance contributions) and any costs, expenses, penalty fine or interest incurred or payable by Department in connection with any such assessment or claim.

16.10 The Contractor authorises the Department to provide the HM Revenue and Customs and all other departments or agencies of the Government with any information which they may request as to fees and/or expenses paid or due to be paid under this Contract whether or not Department is obliged as a matter of law to comply with such request.

## **17. Amendment and variation**

17.1 No amendment or variation to this Contract shall be effective unless it is in writing and signed by or on behalf of each of the parties hereto. The Contractor shall comply with any formal procedures for amending or varying contracts that the Department may have in place from time to time.

## **18. Assignment and Sub-contracting**

18.1 The benefit and burden of this Contract may not be assigned or sub-contracted in whole or in part by the Contractor without the prior written consent of the Department. Such consent may be given subject to any conditions which the Department considers necessary. The Department may withdraw its consent to any sub-contractor where it no longer has reasonable grounds to approve of the sub-contractor or the sub-contracting arrangement and where these grounds have been presented in writing to the Contractor.

## **19. The Contract (Rights of Third Parties) Act 1999**

19.1 This Contract is not intended to create any benefit, claim or rights of any kind whatsoever enforceable by any person not a party to the Contract.

**20. Waiver**

20.1 No delay by or omission by either Party in exercising any right, power, privilege or remedy under this Contract shall operate to impair such right, power, privilege or remedy or be construed as a waiver thereof. Any single or partial exercise of any such right, power, privilege or remedy shall not preclude any other or further exercise thereof or the exercise of any other right, power, privilege or remedy.

**21. Notices**

21.1 Any notices to be given under this Contract shall be delivered personally or sent by post or by facsimile transmission to the Project Manager (in the case of the Department) or to the address set out in this Contract (in the case of the Contractor). Any such notice shall be deemed to be served, if delivered personally, at the time of delivery, if sent by post, forty-eight hours after posting or, if sent by facsimile transmission, twelve hours after proper transmission.

**22. Dispute resolution**

- 22.1 The Parties shall use all reasonable endeavours to negotiate in good faith and settle amicably any dispute that arises during the continuance of this Contract.
- 22.2 Any dispute not capable of resolution by the parties in accordance with the terms of Clause 21 shall be settled as far as possible by mediation in accordance with the Centre for Dispute Resolution (CEDR) Model Mediation Procedure.
- 22.3 No party may commence any court proceedings/arbitration in relation to any dispute arising out of this Contract until they have attempted to settle it by mediation, but any such mediation may be terminated by either party at any time of such party wishing to commence court proceedings/arbitration.

**23. Law and Jurisdiction**

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

**24. Discrimination**

24.1 The Contractor shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation or otherwise) in employment.

- 24.2 The Contractor shall take all reasonable steps to secure the observance of Clause 24.1 by all servants, employees or agents of the Contractor and all suppliers and sub-contractors employed in the execution of the Contract.

**25. Safeguarding children who participate in research**

- 25.1 The Contractor will put in place safeguards to protect children from a risk of significant harm which could arise from them taking part in the Project. The Contractor will agree these safeguards with the Department before commencing work on the Project.
- 25.2 In addition, the Contractor will carry out checks with the Disclosure and Barring Service (DBS checks) on all staff employed on the Project in a Regulated Activity. Contractors must have a DBS check done every three years for each relevant member of staff for as long as this contract applies. The DBS check must be completed before any of the Contractor's employees work with children in Regulated Activity. Please see <https://www.gov.uk/crb-criminal-records-bureau-check> for further guidance.

**26. Project outputs**

- 26.1 Unless otherwise agreed between the Contractor and the Project Manager, all outputs from the Project shall be published by the Department on the Department's research website.
- 26.2 The Contractor shall ensure that all outputs for publication by the Department adhere to the Department's Style Guide and MS Word Template, available to download from:  
<https://www.gov.uk/government/publications/eoi-guide>
- 26.3 Unless otherwise agreed between the Contractor and Project Manager, the Contractor shall supply the Project Manager with a draft for comment at least eight weeks before the intended publication date, for interim reports, and eight weeks before the contracted end date, for final reports.
- 26.4 The Contractor shall consider revisions to the drafts with the Project Manager in the light of the Department's comments. The Contractor shall provide final, signed off interim reports and other outputs planned within the lifetime of the Project to the Department by no later than four weeks before the intended publication date, and final, signed off reports and other outputs at the end of the Project to the Department by no later than the contracted end date for the Project.
- 26.5 Until the date of publication, findings from all Project outputs shall be treated as confidential, as set out in the Clause 13 above. The Contractor shall not release findings to the press or disseminate them

in any way or at any time prior to publication without approval of the Department.

- 26.6 Where the Contractor wishes to issue a Press Notice or other publicity material containing findings from the Project, notification of plans, including timing and drafts of planned releases shall be submitted by the Contractor to the Project Manager at least three weeks before the intended date of release and before any agreement is made with press or other external audiences, to allow the Department time to comment. All Press Notices released by the Department or the Contractor shall state the full title of the research report, and include a hyperlink to the Department's research web pages, and any other web pages as relevant, to access the publication/s. This clause applies at all times prior to publication of the final report.
- 26.7 Where the Contractor wishes to present findings from the Project in the public domain, for example at conferences, seminars, or in journal articles, the Contractor shall notify the Project Manager before any agreement is made with external audiences, to allow the Department time to consider the request. The Contractor shall only present findings that will already be in the public domain at the time of presentation, unless otherwise agreed with the Department. This clause applies at all times prior to publication of the final report.

End of Schedule Three

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

The Contractor shall comply with any further written instructions with respect to processing by the Department.

Any such further instructions shall be incorporated into this Schedule.

Description	Details
Subject matter of the processing	On behalf of the Department for Education, the Contractor shall gather and process data for the purpose of conducting an Evaluation of the Alternative Provision Innovation Fund. This shall involve a mixed methods, project-level and thematic level evaluation of the Fund and its supported projects. Quantitative and qualitative data will be gathered and processed by the Contractor on the Department's behalf for this purpose.
Duration of the processing	Data processing is required at various points throughout the life of the contract. Data processing starts at the beginning of the evaluation contract (July 2018) and will continue until the end of the contract in July 2021. The data will be destroyed within 90 days of the end of the contract.
Nature and purposes of the processing	<p>The nature of the processing includes, the collection, audio and visual recording, organisation, structuring and storage of the following primary and secondary data (consent will be gained from all participants).</p> <p><b>Primary data collection:</b></p> <ul style="list-style-type: none"> <li>• data from key policy and sector stakeholder interviews (e.g. interviews with representatives from DfE, Ofsted, EEF, national associations and a group of MATs and VCS providers that are not direct beneficiaries of the programme);</li> <li>• survey data from APIF project leads, staff and partner representatives within each project supported by APIF;</li> <li>• survey data from pupils in settings supported by the APIF;</li> <li>• survey data from parents/carers of pupils in settings supported by the APIF;</li> <li>• Longitudinal, project-level case-study data collected through interviews and focus groups of project leads, staff, pupils and parents/carers within projects supported by APIF.</li> </ul> <p><b>Secondary data to be processed:</b></p> <ul style="list-style-type: none"> <li>• project delivery, monitoring and outcomes data from project grant applications and termly monitoring</li> </ul>

	<p>reports (TMRs) including pupil cohort data covering: entry route to AP; type of provider and provision (a mix of PRU and LA AP); age and key stage; levels of prior attainment, and socio-demographic characteristics.</p> <ul style="list-style-type: none"> <li>• administrative data in relation to <ul style="list-style-type: none"> <li>○ attendance rates</li> <li>○ academic progress and attainment, including English and Maths (sourced through NPD data);</li> <li>○ destinations, including Education, Training or Employment (ETE) outcomes at the end of Key Stage 4 or 5, or sustained reintegration to special or mainstream schools for at least two terms</li> <li>○ system indicators, including employer engagement.</li> </ul> </li> <li>• Costs data for individual project delivery</li> <li>• observations of AP teaching and learning (which may use visual recording methods)</li> </ul> <p>The purpose of processing this data is to evaluate Alternative Provision Innovation Fund (APIF). Specifically, this includes a process and outcomes evaluation of the AP Innovation Fund at a project- and thematic-level; supporting the development of individual project evaluation plans; and share and disseminate findings on effective practice.</p>
Type of Personal Data	<p>Personal data for key policy and sector stakeholder interviews</p> <ul style="list-style-type: none"> <li>• Names, Telephone numbers and Email addresses will be collected for the purposes of contacting potential participants</li> </ul> <p>Personal data for AP staff and partners</p> <ul style="list-style-type: none"> <li>• Names, Telephone numbers and Email addresses will be collected from lead applicants for the purposes of liaising with, and supporting, them throughout the evaluation</li> <li>• Names, Telephone numbers and Email addresses will be collected from lead applicants for the purposes of constructing the pulse survey sampling framework</li> <li>• From interviews or focus groups conducted as part of project-level evaluations: name, age, gender, role and school phase</li> </ul> <p>Personal data for pupils</p> <ul style="list-style-type: none"> <li>• From administrative data: data identifying pupils' name, Unique Pupil Number (UPN), age, gender, key stage as well as: pupils' with a statement of special</li> </ul>



	<p>educational needs (SEN) or education, health and care (EHC) plan, pupils whose first language is not English, and pupils eligible for free school meals at any time during the past 6 years.</p> <ul style="list-style-type: none"> <li>• From pupils' survey: data identifying pupils' age, gender and key stage</li> <li>• From interviews or focus groups conducted as part of project-level evaluations: name, age, gender, key stage and specific needs and characteristics e.g. special educational needs or disabilities, mental health issues and experience of care.</li> </ul> <p>Personal data for parents/carers</p> <ul style="list-style-type: none"> <li>• From parents/carers' survey: data identifying their name, their children's age, gender, key stage and specific needs and characteristics e.g. special educational needs or disabilities, mental health issues and experience of care.</li> <li>• From interviews or focus groups conducted as part of project-level data collection: name, age, gender, key stage and their children's specific needs and characteristics e.g. special educational needs or disabilities, mental health issues and experience of care.</li> </ul>
Categories of Data Subject	<ul style="list-style-type: none"> <li>• DfE APIF programme and project managers, policy and sector stakeholders.</li> <li>• APIF Project leads (application grant holders).</li> <li>• project leads, staff and partner representatives within each project supported by APIF.</li> <li>• pupils in settings supported by the APIF.</li> <li>• parents/carers of pupils in settings supported by the APIF.</li> </ul>
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	<p>Data will be held in accordance with processing requirements stipulated by the Department. Once the processing is complete, the data will be retained for 90 days, after which it will be destroyed using a secure process. The Contractor will provide the Department with anonymised survey datasets and management information.</p>

End of Schedule Four

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

Authorised to sign for and on  
behalf of the Contractor

**Signature**

**Signature**

**Name in CAPITALS**

[REDACTED]

**Name in CAPITALS**

[REDACTED]

**Position and Address**

**DIRECTOR**

Life Skills, Disadvantage and SEND

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**Date**

**Position and Address**

**FINANCE DIRECTOR**

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**Date**