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| --- | --- |
|  | Department for Education  Sanctuary Buildings  Great Smith Street  London SW1P 3BT |
|  | Date: 22nd January 2018 |

**INVITATION TO TENDER (ITT) for Trialling and Sampling Framework for the Standards and Testing Agency**

1 To support the conduct of the delivery of assessments, DfE requires a Supplier framework to ensure that Trials and Sampling assessments are managed successfully. This will ensure all data required for test development and equating are collected appropriately and are fit for purpose, and that Sampling assessments are managed and delivered in an appropriate manner.

2 Your organisation, along with others, is invited by the Standards and Testing Agency (STA) (acting on behalf of the Secretary of State for Education), to offer a tender for provision of this Trialling and Sampling Framework, to the specification outlined in the attached documents. Enclosed are:

Document 1 Instructions on the tendering procedures

Document 2 Departmental standard requirements

Document 3 Specification of the requirement

Document 4 List of attachments

Document 5 Declaration and information to be provided by tenderer

3 Please read the instructions on the tendering procedures carefully. Failure to comply with them may invalidate your tender which must be emailed to the following email address by **12:00hrs** on **20 March 2018**: [TendersTD.STA@education.gov.uk](mailto:TendersTD.STA@education.gov.uk)

4 If having read the enclosed specification you decide not to submit a tender, I would be grateful if could send your reasons (though you are under no obligation to do so) to the above email address marked 'No Tender'.

5 If you have any questions about the tender or the tendering procedure, please contact [TendersTD.STA@education.gov.uk](mailto:TendersTD.STA@education.gov.uk). Questions will be answered on a weekly basis commencing 29th January 2018 . All questions and answers will be anonymised, issued to suppliers that have tendered and posted on the Department’s Contracts Finder website.

I look forward to receiving your response.

Yours sincerely,



Colin Watson

Test Development Division

Standards and Testing Agency

Department for Education

Sanctuary Buildings

Great Smith Street

London, SW1P 3BT

**DOCUMENT 1**

**INSTRUCTIONS ON TENDERING PROCEDURES**

1. These instructions are designed to ensure that all tenders are given equal and fair consideration. It is important therefore that you provide all the information asked for in the format and order specified.
2. Please contact the Department by email at [TendersTD.STA@education.gov.uk](mailto:TendersTD.STA@education.gov.uk) if you have any queries as to what is required or you have difficulty in providing the information requested. Pre-tender negotiations are notallowed.

3 Please note that all references to the 'Department' throughout these documents mean The Secretary of State for Education acting through her representatives in the Department for Education (DfE), and its agencies (in this case the Standards and Testing Agency – STA).

**Contract Period**

1. The proposed framework will run from 22nd June 2018 until 21st June 2022. The total framework value is not expected to exceed £40m.

**Incomplete Tender**

5 Tenders will be rejected if all of the information requested in the Invitation to Tender (ITT) and Specification of Requirement is not given at the time of tendering.

**Indicative procurement timetable**

6 The indicative timetable for the procurement is:

|  |  |
| --- | --- |
| 1. Tender documents issued | 22/01/2018 |
| 1. Last day for submission of clarifications | 23/02/2018 |
| 1. Last day for DfE to respond to clarifications | 28/02/2018 |
| 1. Deadline for tender responses to be received | 12:00hrs GMT on 20/03/2018 |
| 1. Evaluation | 21/03/2018 – 23/05/2018 |
| 1. Award notices | 24/05/2018 |
| 1. Framework Agreements issued | 14/06/2018 |
| 1. Framework Agreements signed | 22/06/2018 |

**Returning Tenders**

7 All tenders must be received by the Department, by 12:00hrs on 20 March 2018. The Department will only accept tenders in electronic format, sent by email to: [TendersTD.STA@education.gov.uk](mailto:TendersTD.STA@education.gov.uk). Supporting information should also be emailed with the ITT Response.

8 A pre-formatted DfE Trialling and Sampling Framework Response Template has been provided as Document 5 of the requirement and is included in this ITT document pack. All tenders must be presented using this template, without alteration to font types and sizes (Arial 11) and in English and using pounds sterling. Where applicable, word limits must be adhered to and material in excess of these limits will not be evaluated. Charts and diagrams should be attached as necessary and will be exempt from the word count. If still pictures are included in your submissions, these should be submitted as .jpeg files. Document 5 includes completion of the Department’s Statement of Assurance security document and the signed declaration.

9 Bidders should not include additional company or marketing brochures with their tender, as these will not be read and any information within them will not be evaluated.

**Receipt of Tenders**

10 Tenders will be received up to the time and date stated in paragraph 7 (above). Those received before the due date will be retained unopened until then. It is the responsibility of the tenderer to ensure that their tender is delivered not later than the appointed time.

**Acceptance of Tenders**

11 By issuing this ITT the Department is not bound in any way and does not have to accept the lowest or any tender, and reserves the right to accept a portion of any tender, unless the tenderer expressly stipulates otherwise in their tender.

**Inducements**

12 Offering an inducement of any kind in relation to obtaining this or any other contract with the Department will disqualify your tender from being considered and may constitute a criminal offence.

**Confidentiality of Tenders**

13 Please note the following requirements. You must not:

1. tell anyone else what your tender price is or will be before the time limit for delivery of tenders;
2. try to obtain any information about anyone else's tender or proposed tender before the time limit for delivery of tenders; or
3. make any arrangements with another organisation about whether or not they should tender, or about their or your tender price.

Failure to comply with these conditions will disqualify your tender.

**Tenders from consortia or similar delivery partnerships**

14 Tenders from consortia are welcome. One tender should be submitted per consortium and include details of the lead contractor, expected role and contribution of each of the partner organisations. It is also expected that the composition of a consortium should remain the same throughout the tendering process. If any tenderer introduces new partners or changes the make-up of the tendering organisation in any way after submitting their tender, they must let the Department know as soon as possible and submit a revised tender to reflect the tendering organisation’s new structure within the deadline for submission of bids.

15 For the purpose of this project, the consortium will be required to create a single organisation, which is a registered legal entity with appropriate management structures and governance arrangements agreed by all the parties. This single legal entity should be formed, at the latest, before contract award. DfE will only enter into a contract with a single legal entity and not the individual members of any proposed consortium. For sub-contract relationships, tenders must designate one principal tenderer to be the point of contact for any enquiries regarding the tender service delivery.

16 A Parent Company or Bank Guarantee may be required. In the event that your tender is identified as the most favourable / compliant tender, but the DfE assesses that a Parent Company or Bank Guarantee is required, then one will be requested. No contract will be awarded until a suitable Parent Company or Bank Guarantee, as appropriate, is in place.

**Queries**

17 Questions relating to any aspect of the tender process should be submitted by e-mail to: [TendersTD.STA@education.gov.uk](mailto:TendersTD.STA@education.gov.uk) . The Department may need to consult with other colleagues to provide considered responses to questions. Once we have done so, we will respond in anonymised form to those suppliers that have submitted a tender. We will aim to post responses to questions weekly commencing 29 January 2018.

18 To ensure all clarification responses are provided in time for bidders to apply to their tenders, the cut-off date for receipt of questions will be **23rd February 2018**, with a response provided by **28th February 2018.**

**Costs and Expenses**

19 You **will not** be entitled to claim from the Department any costs or expenses which you may incur in preparing your tender whether or not your tender is successful.

**Debriefing**

20 Following the award of contract, debriefing will be available to unsuccessful tenderers on request in accordance with the provisions of the The Public Contracts Regulations 2015.

Framework Agreement Evaluation Process

21 The evaluation process for the Framework Agreement will take place over the period as shown in paragraph 6 and be conducted in a manner that ensures tenders are treated equally and evaluated fairly to ascertain the most economically advantageous tenders from a maximum of four suppliers.

22 The evaluation process will be in two stages as follows:

* 1. Selection Stage - used to look at an organisation’s capability to perform the Services under the Framework Agreement.
  2. Award Stage - used to look at an organisation’s response to the Specification of Service Requirement.

Call-Off Contract Evaluation Process

23 The evaluation process for a Call-Off Contract will consist of an Award Stage only where all capable Framework Agreement Suppliers are invited to submit a tender in response to a specific Service Requirement. The Call-Off Award criteria will be described in the Invitation to Quote (ITQ) documents issued at the time.

24 For each further competition, Suppliers will be required to submit a tender (to include a technical response and price) against an Invitation to Quote (ITQ), to be specified at the time. The most economically advantageous tender will be determined by the combined scores of the technical and commercial evaluations. The Call-Off Award Criteria will be described in the ITQ.

Framework Agreement Evaluation Criteria

25 Your capability to perform under the Framework Agreement will be evaluated using the evaluation criteria set out in Document 4 Attachment 2.

Call-Off Contract Evaluation Criteria

26 Responses to ITQs will be evaluated using the evaluation criteria set out in Document 4 Attachment 2.

Supplier Debriefing

27 Following the award of the Framework Agreement and subsequent Call-Off Contracts, debriefing will be available to unsuccessful tenderers on request.

**Evaluation Criteria**

28 The tender process will be conducted in a manner that ensures tenders are evaluated fairly to ascertain suitability for the supplier to be accepted onto the framework. Bidders should note that the evaluation process will take place in two stages:

29.1 *Selection criteria:* Evaluation of organisational, financial standing, basic capacity and capability to successfully deliver the Trialling and Sampling Framework

29.2 *Award criteria:* Evaluation of proposals for the design, planning and delivery of the proposed Trialling and Sampling Framework against the specification of the Department’s requirement.

29 Your organisation’s capability to perform the contract will be evaluated using the criteria set out in Document 4 Attachment 2 – Evaluation Criteria. Bidders **must** achieve a PASS mark at the Selection criteria stage of the evaluation in order to proceed to the Award criteria stage.

30 The Department requires tenders to remain valid for a period of 90 days from the return date for tender submissions (20 March 2018).

**Basis of the Contract**

31 The specification in Document 3, and the terms and conditions in Document 4 Attachment 1, will form the basis of the contract between the successful tenderer and the Secretary of State for Education.

**Disclaimer**

32 Whilst every endeavour has been made to give tenderers an accurate description of the Department's requirement, tenderers should make their own assessment about the methods and resources needed to meet those requirements.

**DOCUMENT 2**

**DEPARTMENTAL STANDARD REQUIREMENTS**

**Freedom of Information**

1. The Department is committed to open government and to meeting their responsibilities under the Freedom of Information Act 2000. Accordingly, all information submitted to the Department may need to be disclosed in response to a request under the Act. If you consider that any of the information included in your tender is commercially sensitive, please identify it and explain (in broad terms) what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity. You should be aware that, even where you have indicated that information is commercially sensitive, we may still be required to disclose it under the Act if a request is received. Please also note that the receipt of any material marked ‘confidential’ or equivalent by the Department should not be taken to mean that we accept any duty of confidence by virtue of that marking. If a request is received, we may also be required to disclose details of unsuccessful tenders.

**Publication of Contract**

2 Under the Government’s Transparency requirements we are obliged to publish the contract between the Department and the successful tenderer(s) in full. The successful tenderer(s) should identify any information regarded as commercially sensitive and explain (in broad terms) what harm may result from disclosure and the time period applicable to that sensitivity. You should be aware that, even where you have indicated that information is commercially sensitive, we may still be required to disclose it if the public interest in disclosure outweighs withholding the information. See ‘[The Transparency of Suppliers and Government to the Public](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/592358/TransparencyPrinciplesFebruary2017.pdf)’ for more detail.

**Information Sharing Across Government**

3 All Central Government departments and their executive agencies and non-departmental public bodies are subject to tight financial and commercial controls and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall HM Government policy on public procurement – including ensuring value for money and related aspects of good procurement practice.

4 For these purposes, the Department may disclose within Government any of the Contractor's documentation / information (including any that the Contractor considers to be confidential and / or commercially sensitive such as specific bid information) submitted by the Contractor to the Department during this Procurement. The information will not be disclosed outside Government. Contractors taking part in this competition consent to these terms as part of the competition process.

**Cyber Essentials Scheme**

5 The Government has introduced its Cyber Essentials Scheme in consultation with industry to mitigate the risk from common internet based threats.

6 It is mandatory for new Central Government contracts, which feature characteristics involving the handling of personal data and ICT systems designed to store or process data at the OFFICIAL level of the [Government Security Classifications scheme](https://www.gov.uk/government/publications/government-security-classifications) to comply with Cyber Essentials requirements.

7 All potential tenderers for Central Government contracts, featuring the above characteristics, should make themselves aware of [Cyber Essentials](https://www.gov.uk/government/publications/cyber-essentials-scheme-overview) and the requirements for the appropriate level of certification “or equivalent”.

8 As this requirement features the above characteristics, you are required to demonstrate in your tender response that:

* Your organisation is able to meet the requirements of the Department’s Departmental Security Assurance Model (DSAM); and
* Your organisation has Cyber Essentials Plus certification; or
* Your organisation will be able to secure Cyber Essentials Plus certification prior to contract award; or
* Your organisation has equivalent evidence to support that you have appropriate technical and organisational measures to mitigate the risk from common internet based threats in respect to the following 5 technical areas:

1. Boundary firewalls and internet gateways – these are devices designed to prevent unauthorised access to or from private networks, but good setup of these devices either in hardware or software form is important for them to be fully effective;
2. Secure configuration – ensuring that systems are configured in the most secure way for the needs of the organisation;
3. Access control – ensuring only those who should have access to systems to have access and at the appropriate level;
4. Malware protection – ensuring that virus and malware protection is installed and is up to date; and
5. Patch management – ensuring the latest supported version of applications is used and all the necessary patches supplied by the vendor have been applied.

Any equivalent evidence must be verified by a technically competent and independent third party.

9 The successful suppliers will be required to provide evidence of Cyber Essentials Plus certification “or equivalent” (i.e. demonstrate they meet the 5 technical areas the Cyber Essentials Scheme covers) prior to contract award.

10 Details of certification bodies are available at: <https://www.cyberstreetwise.com/cyberessentials>

**Data Security Standards**

11 For contracts which require the holding or processing of either personal data and / or OFFICIAL data the successful contractor will need to assure the Department that they can comply with the Department’s security standards.

12 Departmental security standards are listed as contract clauses in an annex to this letter see Document 4 – attachment 1.

**Prompt Payment Policy**

13 Government’s aim is to pay 80% of all correctly submitted invoices within 5 days of receipt and we are 100% committed to paying correctly submitted invoices within 30 days of receipt from the day of physical or electronic arrival at the nominated address of the Department.

14 The payment period will be deemed to have started when a correctly submitted invoice reaches the nominated address. Contractors can assume receipt to be 2 days after mailing (by first class post). The thirty day “clock” therefore commences 2 days after mailing first class.

15 A correct invoice is one that:

* is delivered on time in accordance with the contract;
* is for the correct sum;
* is 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.

16 Any correctly submitted invoices that are not paid within 30 days will be subject to the provisions of the Late Payment of Commercial Debt (Interest) Act 1998.

**Sub-contracting to Small and Medium Enterprises (SMEs)**

17 DfE is committed to removing barriers to SME participation in its contracts and would like to also actively encourage its larger suppliers to make their sub-contacts accessible to smaller companies and implement SME-friendly policies in their supply-chains. This can be achieved by advertising subcontracting opportunities on Contracts Finder and implementing the principles of the SME and Growth Agenda in your own organisation.

18 To help us measure the volume of business we do with SMEs, we will be asking suppliers to provide us with information about the size of your own organisation and those in your supply chain. We may ask about volumes of business that will flow from this contract down your supply chains and ask you to quantify that for us. This data will help us contribute towards Government targets on the use of SMEs. We may also publish success stories and examples of good practice on our website.

**Armed Forces Covenant**

19 The Armed Forces Covenant is a public sector pledge from Government, businesses, charities and other organisations to demonstrate their support for the UK armed forces community. The Armed Forces Covenant was brought in under the Armed Forces Act 2011 to recognise that the whole nation has a moral obligation to redress the disadvantages the armed forces community face in comparison to other citizens and recognise sacrifices made.

20 The Covenant’s 2 guiding principles are that:

• the armed forces community should not face disadvantages when compared to other citizens in the provision of public and commercial services; and

• special consideration is appropriate in some cases, especially for those who have given most such as the injured and the bereaved.

21 The Department encourages all tenderers, and their suppliers, to sign the Covenant, declaring their support for the armed forces community by displaying the values and behaviours set out therein.

22 Guidance on the various ways you can demonstrate your support through the Covenant is at [The Armed Forces Covenant](https://www.gov.uk/government/policies/armed-forces-covenant).

23 If you wish to register your support you can provide a point of contact for your company on this issue to the Armed Forces Covenant Team at the address below, so that the MoD can alert you to any events or initiatives in which you may wish to participate. The Covenant Team can also provide any information you require in addition to that included on the website.

Email address: [covenant-mailbox@mod.uk](mailto:covenant-mailbox@mod.uk)

Address: Armed Forces Covenant Team

Zone D, 6th Floor,

Ministry of Defence,

Main Building,

Whitehall,

London, SW1A 2HB

24 Paragraphs 20-25 above are not a condition of working with the Department now or in the future, nor will this issue form any part of the tender evaluation, contract award procedure or any resulting contract. However, the Department very much hopes you will want to provide your support.

**Conflicts of interest**

25 The Department may exclude an organisation if there is a conflict of interest which cannot be effectively remedied. The concept of a conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the context of the procurement procedure.

26 Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the organisation to inform the Department, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the Department should not represent a conflict of interest for the organisation.

**Apprentices**

27 For any contract with an estimated value of over £10m and a contract length of over 12 months please see [Procurement Policy Note – Supporting Apprenticeships and Skills Through Public Procurement](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/456805/27_08_15_Skills__Apprenticeships_PPN_vfinal.pdf).

**Child Sex Abuse**

28 The Internet Watch Foundation (IWF) was established in 1996 by the UK internet industry to provide the UK internet Hotline for public and IT professionals to report potentially illegal online content and to be the 'notice and take-down' body for this content. IWF works in partnership with the online industry, law enforcement, Government, the education sector, charities, international partners and the public to minimise the availability of this content, specifically child sexual abuse content hosted anywhere in the world.

29 Access to the IWF URL list is available to ISPs, mobile operators, search providers and filtering companies only. All organisations that require access must sign a licence which sets out how the data can be used.

30 It is a contract condition that the successful supplier must block access to those Uniform Resource Locators (URLs) specified on the [IWF’s list](https://www.iwf.org.uk/become-a-member/services-for-members/url-list).

**Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE)**

31 The attention of tenderers is drawn to the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE). As the Department would be neither transferor nor transferee of the employees in the circumstances of any contract awarded as a result of this Invitation to Tender, consideration of the application of TUPE in this particular case is not a matter of direct concern to the Department. It is the responsibility of the tenderer to consider whether or not TUPE applies in the circumstances of this contract and tender accordingly.

**DOCUMENT 3**

**SPECIFICATION**

**1 Introduction**

* 1. The Department for Education ("DfE" or "the Department") is responsible for the central administration of all aspects of education and has the primary statutory duty of promoting the education of pupils in England and ensuring the effective implementation of education policy.
  2. The government’s responsibilities for National Curriculum Assessment are delivered by the Standards and Testing Agency, an executive agency. The STA’s main functions are to:
* develop high quality and rigorous DfE tests and assessments in line with Ministerial policy;
* undertake operational delivery of DfE tests and assessment (including printing, distribution, marking / coding and data capture of tests as appropriate);
* support schools, test centres and other stakeholders to deliver DfE tests and assessments;
* support and implement arrangements for moderation of teacher assessment judgements.
  1. To support the conduct of the delivery of assessments DfE requires a Supplier framework to ensure that Trials and Sampling assessments are managed successfully, so that all data required for test development and equating are collected appropriately and are fit for purpose, and that Sampling assessments are managed and delivered in an appropriate manner. Details on current National Curriculum Assessment arrangements can be found here:

*Key stage 1:* <https://www.gov.uk/government/publications/national-curriculum-assessments-2014-key-stage-1-arrangements>

*Key stage 2:* <https://www.gov.uk/government/publications/assessment-and-reporting-arrangements-2014-key-stage-2>

Scope of Services

* 1. The core requirements for the Trialling and Sampling Framework include:
* Provision and implementation of a school recruitment and retention strategy
* Provision of a school and LA communication plan
* Recruitment, training, management and payment of administrators
* Collation and distribution of test booklets to administrators
* Administration of Trial / Sampling assessments
* Collecting pupil background data
* Producing an administration report
* Disseminating an incentive payment to participating schools, if required
* Helplines
* Recruitment, training, management and payment of markers / coders
* Marking / coding
* Data capture from tests
  1. Optional services that may be called upon as part of the Trialling and Sampling framework include:
* Printing
* Drawing of samples

# Introduction to Trialling and Sampling

* 1. As part of the test development process, several different types of trials are used to assess the performance and validity of items. The information provided here allows for each type of trial to be tailored to the particular requirements of each specific assessment. However, the DfE reserves the right to add to or amend the current range of the trials as required.  The framework is intended to be flexible and suppliers must be able to provide the range of current trials listed below and must work with the DfE to deliver the most appropriate form of trialling to ensure high quality tests for the future.

Item validation trial (IVT)

* 1. An item validation trial (IVT) is a relatively small scale trial providing evidence to support item development, for example refining the wording of questions and developing coding frames. IVTs are conducted once an item has been through expert review, in order to provide greater evidence on item functioning. Normally, these trials are conducted using an achieved representative sample of 300-800 pupils per item. In addition to evidence from scripts, the qualitative evidence may be gathered through discussions with pupils or teacher questionnaires.

Technical pre-test

* 1. The technical pre-test (TPT) is a larger scale trial and provides statistical evidence relating to items. The outputs from the TPT are used to construct tests and equate standards between test forms. All items that are to be included in a live test must be included in at least one TPT. Each item within a technical pre-test must be administered to a nationally representative sample of 1000 pupils. Additional sub-samples, such as English as another language (EAL), may also be included to check for differential item functioning. A number of booklets, containing a number of items, may be trialled in a TPT and items may appear in more than one booklet. In addition, pupils taking part in the TPT may be required to take anchor items, either embedded within the booklets or using a separate anchor booklet. The design of the TPT will be determined by the Department, although the assignment of schools in the sample to particular booklets will be the responsibility of the supplier. Pupils within the same school may sit different versions of the booklets being trialled.

Sampling

* 1. In addition to the trialling that takes place for test development, the framework will also be used for national Sampling. The purpose of Sampling is to determine national performance for a particular cohort against the national curriculum. The instruments used in Sampling will have been constructed by the Department following smaller scale trials and a TPT. The administration requirements for Sampling are similar to those of the TPT in that the Department will provide the design of the Sampling assessment, which may or may not include the sample of schools, and there will be a number of instruments to be administered covering the full range of the curriculum. However, the Sampling instruments may include performance assessment and practical activities as well as tests and therefore would require expert administration, including some expertise in the subject area.

In an IVT or TPT whole classes are usually involved within a school, in Sampling only a few pupils within a school may be selected within the sample (although whole classes or whole schools may also be selected). The number of pupils selected per school will be determined to ensure school effects on the final data are minimised whilst value for money is achieved.

# Specification of Requirements (SoR)

* 1. This section provides the specification of requirements for the Trialling and Sampling framework.

The SoR is divided into 5 sections, which are summarised below

* Section 1: Key Outputs for each trial / sampling administration
* Section 2: Core General Requirements
* Section 3: Core Technical Requirements
* Section 4: Optional Requirements
* Section 5: Performance Criteria
  1. The requirements are set into Core and Optional Requirements. DfE wishes to enter into a framework agreement with a maximum of six exceptional suppliers who demonstrate expertise across the core services required within the Trialling and Sampling Framework. Tenderers are expected to demonstrate their current capability to deliver the optional services, however it is expected that these can be developed further during the life of the framework agreement. The purpose of the optional requirements is that DfE reserves the right to compete these with other established suppliers on DfE and / or Pan Government Frameworks to ensure value for money is ultimately achieved.
  2. Table 1 below provides an overview of the core and optional requirements for each type of trial.

***Table 1: Illustrating Trial Types and Samples and Services Required***

|  |  |  |  |
| --- | --- | --- | --- |
|  | **IVT** | **TPT** | **Sampling** |
| **Core** |  |  |  |
| Project Management | ✓ | ✓ | ✓ |
| Drawing the sample | X | X | X |
| Recruitment and management of schools | ✓ | ✓ | ✓ |
| Informing schools | X | X | ✓ |
| Recruitment, training and management of administrators | ✓ | ✓ | ✓ |
| Recruitment, training and management of markers / coders | ✓ | ✓ | ✓ |
| Collation and distribution of assessment instruments | ✓ | ✓ | ✓ |
| Administration of Trial / Sampling assessments | ✓ | ✓ | ✓ |
| Helpline | 🞎 | 🞎 | ✓ |
| Script Management during marking / coding | ✓ | ✓ | ✓ |
| Data Capture | ✓ | ✓ | ✓ |
| Handling pupil background data | ✓ | ✓ | ✓ |
| Trial / Sampling Administration Report | ✓ | ✓ | ✓ |
| Recruitment, management and payment of markers / coders | ✓ | ✓ | ✓ |
| Marking / coding (either paper based or onscreen) | ✓ | ✓ | ✓ |
| Systems management | 🞎 | 🞎 | ✓ |
| **Optional** |  |  |  |
| Printing | 🞎 | 🞎 | 🞎 |
| Disseminating an incentive payment to participating schools | 🞎 | 🞎 | X |
| Drawing the sample (for non-statutory trials) |  |  |  |

Key

|  |  |
| --- | --- |
| ✓ | Included in Trial / Sampling |
| 🞎 | May be part of the call-off |
| X | Not included in Trial / Sampling |

**Section 1: Overview of Key Outputs (Typical Trial)**

For each call-off there will be a specific set of outputs Suppliers must deliver to ensure successful trialling. An example of key outputs for a typical trial is provided below in Table 2. This is for illustrative purposes at this stage of the process, and relates to a key stage 2 IVT. For each call-off DfE will provide a definitive set of key outputs and milestone dates for delivery required for each Trial or Sample.

***Table 2: Key outputs of the framework***

| **No.** | **Milestones** | |
| --- | --- | --- |
| 1 | Project management | Start-up meeting: The Contractor to attend a face-to-face start-up meeting with DfE. Product descriptions will be discussed at the project start-up meeting and signed-off at the process walk through. |
|  |  | Process walk through meeting: The Contractor must provide DfE with a complete process walk through, from end to end, including a detailed explanation of the script and data management process. The process walk through is to take place on the Contractor’s main site from which the project will be conducted. DfE to sign-off the end to end process once agreed. Product descriptions will be reviewed and signed-off at the process walk through. |
|  |  | Project meetings: The Contractor to attend regular project meetings as agreed with DfE, providing regular management information, progress reports, risks and issue reports in advance of the meeting. Use project meetings to highlight the risks and issues that have changed RAG status and escalate risks and issues where necessary. Full risk and issues logs will be discussed at the start-up meeting and monitored through senior supplier meetings during the course of the project. |
|  |  | Lessons learnt meeting: The Contractor to attend a lessons learnt meeting towards the end of the project, contribute to a constructive evaluation of the project and identify areas for further improvement and innovation in future trials. |
| 2 | Recruitment of schools |  |
|  |  |  |
|  |  | Recruitment and retention strategy submitted to DfE in order that samples can be drawn. Samples will be provided by DfE according to dates specified in ITQs or agreed at start up meetings.  For voluntary trials, the Contractor must recruit sufficient and representative schools from the provided sample such that the minimum number of pupils required sit each version of each test.  For statutory trials, the Contractor must recruit all schools drawn in the samples.  Contact local authorities (LAs) and other relevant organisations (eg. RSCs) to inform them of schools being invited for inclusion in trial before schools are contacted.  Inform DfE if top-up sample is required (no later than date specified). If required, top-up samples will be provided by DfE within 5 full working days |
| 3 | Update trialling documentation | The Contractor must work in consultation with DfE in order to update the Administrators Guide, Pupil Data Forms, Administrator Questionnaire, Teacher Questionnaire. |
| 4 | Submission of report on number of schools / pupils recruited and visits required | The Contractor must provide a report showing the final number and allocation of schools to test combination, confirmation of number of pupils per school and to demonstrate the representativeness of the sample recruited. This must be provided before the trial administration period. |
| 5 | Recruitment of administrators | The Contractor must recruit administrators and provide an assurance statement detailing the allocation of tests and administrators. |
| 6 | Training of administrators | The Contractor must train administrators if they have not been trained specifically on DfE administration within the last two years. DfE to attend training events and to deliver parts of the training on test development, teacher and administrator feedback and security.  No more than three training events per year should be held to train all administrators for Trialling Framework Agreement contracts. |
| 7 | Collate and distribute test booklets to administrators | The Contractor must collate the booklets into school packs and securely distribute test booklets as per the requirements. |
| 8 | **IVT administration** | The Contractor must ensure Item Validation Trial (IVT) administration period is managed securely and all questionnaire and test scripts are available for marking / coding by the date specified by DfE. |
| 9 | Initial sample of scripts (pre-marking / coding) | Initial sample scripts for Key Stages 1 and 2 in English reading, English grammar, punctuation and spelling, mathematics and science scripts must be prepared for pre-marking / coding (at least 100 scripts for each test version). Science scripts to be batched by subject (biology, chemistry and physics). The scripts can be provided as paper booklets or electronically via an onscreen marking/coding solution – depending on the process proposed by the Supplier.  For Anchor pre-marking - STA will provided sample scripts, from their script archive, for Suppliers to prepare in line with their proposed solutions for anchor pre-marking/coding. |
| 10 | Electronic delivery of pupil background characteristics data | The Contractor to securely transfer final confirmed pupil background characteristics data to DfE for Key Stage 2: English reading, English grammar, punctuation and spelling, mathematics and science using data templates provided by DfE.  The Contractor must reconcile the pupil background characteristic data with the test scripts before sending this file to DfE. |
| 11 | Validate returned scripts and report nil responses | The Contractor must provide evidence that all trial materials have been returned and are accounted for within the agreed timescales. The Contractor must validate returned scripts and provide a written report to DfE on the scripts removed due to nil responses. |
| 12 | IVT marking / coding | The Contractor must manage the test scripts to ensure their security during marking / coding, and ensure all scripts are returned and logged at the end of the marking / coding window. All scripts from each test version to be made available for marking / coding. Contractor must provide a secure location for marker training and paper-based marking / coding. |
| 13 | Data capture | The Contractor must data capture the responses highlighted by markers / coders during marking / coding, in the format agreed with DfE. |
|  |  | The Contractor must fully data capture all responses from the teacher and administrator questionnaires and provide to DfE in an electronic file format to be agreed with DfE. The outcomes from the analysis of the questionnaires should be provided in a spreadsheet formatted as per DfE instructions.  The Contractor must carry out data capture of information from the IVT tests, including a 100% check of data entry from tests and data cleaning. The format of the data to be agreed with DfE in advance. |
| 14 | Handover test data files | The Contractor must hand over all the scanned script images, marker response data captured from the tests, teacher and administrator questionnaires as data files,in electronic format to be agreed with DfE. Handover will need to be carried out in compliance with DfE's Security Policy, the Data Protection Act and the requirements set out in the Cabinet Office Security Policy Framework (SPF). |
| 15 | Handover electronic archive | The Contractor must handover an electronic archive of test scripts, teacher and administrator questionnaires to DfE (scanned whole script and questionnaire images).Test scripts and questionnaires in the archive must be identifiable / searchable by school number. |
| 16 | Final IVT administration report | The Contractor must produce an IVT trial administration report with the level of detail and in the format set out in the Functional Requirements (section 1.c), content to be agreed with DfE. |
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| 17 | *Optional Service* – Printing | *Optional Service*, quotes will be sought from Providers on other Frameworks  The Contractor must securely print test booklets and other materials (Administrator Guide, questionnaires, letters, manifests, transcripts, other incidentals) as per the agreed sample and additional contingency of 10% on top of the minimum numbers listed in section 1.c Functional Requirements below. The quality must be as specified in the Framework Agreement.  DfE will handover test booklets files, in print ready PDF format, to the Contractor for printing:   * Key Stage 2: English grammar, punctuation and spelling, mathematics and science |
|  |  | * Key Stage 2: English reading   If printing is not carried out by the Contractor, printed booklets will be handed over to the Contractor on **xx May 20xx**.  DfE staff to conduct print proofing and print sign-off on-site at the printers. |

**Section 2: General core services**

This section covers general requirements that must be delivered for each Trial or Sample, irrespective of size and duration. Bidders must demonstrate their ability to manage projects and programmes using established methodologies, such as PRINCE 2.

**G1 Project Management**

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| **No** | **Requirement** |
| **G1.1** | The Supplier must manage all aspects of delivery of the Services using established methodologies such as PRINCE2 and Management of Risk (MoR) project and risk management methodologies. |
| **G1.2** | The Supplier must submit a Project Initiation Document (PID)/start up document which clearly sets out the project for the delivery of services at the outset of each call-off. The PID/start up document cover all aspects of the delivery of the Project, including operational delivery, governance and interfaces with other organisations |
| **G1.3** | The Supplier must document, provide and maintain all processes and procedures utilised in the delivery of the services, including interfaces with other relevant parties ensuring that all relevant standards are applied or adhered to including project management methodologies. |
| **G1.4** | Prior to the commencement of a work package, the Supplier must discuss and demonstrate the readiness and appropriateness of plans, processes, systems (both internal and external), data interfaces with external or third party suppliers, resourcing and any other factors required to enable the reliable completion of the work package. |
| **G1.5** | The Supplier must hold, and permit DfE open access to detail relating to all activities undertaken in delivering the services. |
| **G1.6** | The Supplier must comply with any reasonable requests for information from DfE. |
| **G1.7** | The Supplier must attend any meetings as reasonably requested by DfE at locations determined by DfE. |

**G2 Management Information**

Management information is critical for DfE to assist performance management of the framework and individual call-off contracts and also to respond expediently to Parliamentary Questions / Freedom of Information requests. Tenderers must commit to being open and transparent and demonstrate a willingness to share information throughout the life of the framework.

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| **No** | **Requirement** |
| **G2.1** | The Supplier is required to submit to DfE Management Information (MI) and performance reports based on all services delivered for the call-off.  The frequency, format and content will be specified within each call-off.  DfE reserves the right to add to the Management Information requirements during the life of the framework. Any further requirements will be specified in individual Call-Offs. |

**G3 Security**

Due to the sensitive of the nature of this work, DfE enforce strict security procedures to ensure the work environment and working practices throughout the supply chain are secure.

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| **No** | **Requirement** |
| **G3.1** | The Supplier must ensure that a security manager is appointed who shall have ultimate responsibility for all aspects of information governance and security management relating to the Supplier Services.  The supplier will provide and maintain a detailed, fully resourced and costed exit and transition plan to ensure a smooth transition at the expiry or termination of the contract. The supplier will provide a detailed statement in the exit and transition plan of all its requirements for the support it requires from DfE to ensure a smooth transition at the expiry or termination of the contract.  The supplier must provide, and maintain, a list of all assets, for example materials software, data, people, contracts and other agreements planned to be used in the delivery of the contract. The supplier must identify assets that it anticipates will be transferred to DfE on expiry or termination of the contract. The supplier must also document the arrangements for and handing over such materials to DfE.  The supplier must comply with the processes outlined in the STA External Suppliers Security Guide.:  (See Document 4, Attachment 4)  The supplier must also complete the security assurance document. |
| **G3.2** | The Supplier must require that any Sub-Contractor(s) are operating acceptable security policies, in line with the requirement at G3.1 above. The Supplier must confirm that a Sub-Contractor's security policies are acceptable, in line with the agreed requirements as at G3.1 above prior to letting the relevant sub-contract. The Sub-Contractor must agree to provide documented evidence of meeting these requirements to the DfE, including the completion of the Statement of Assurance Questionnaire. |
| **G3.3** | The Supplier must ensure that all physical and logical movement of materials are secure and meet latest HMG Information Assurance requirements. Suppliers must present in advance to the DfE proposals for all methods of movement of materials both physical and logical. These proposals must be pre-agreed by the DfE prior to any materials movements. |
| **G3.4** | No materials or data related to the Services shall be transferred or processed outside of the European Economic Area (EEA) at any time, unless DfE has given its explicit consent to such transfer or processing. |
| **G3.5** | The Supplier will co-operate with DfE at all times to allow access to Supplier and any sub-contractor premises and systems to allow assurance to take place that all plans policies and procedures are being complied with by the Supplier, or to verify any suspected security issues. |
| **G3.6** | The Supplier must ensure that any payment procedures using debit or credit cards must meet the **Payment Card Industry Data Security Standard** (PCI DSS) As defined by the [Payment Card Industry Security Standards Council](http://en.wikipedia.org/wiki/Payment_Card_Industry_Security_Standards_Council). |
| **G3.7** | The Supplier must ensure all staff working on the test materials sign a confidentiality agreement and a security declaration confirming they will comply with the Supplier's security policy and standards. DfE may request evidence of this at any time. Failure to provide evidence will be a breach of the contract. |

**G4 Equalities**

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| **No** | **Requirement** |
| **G4.1** | The Supplier will at all times comply with and require that its sub-Contractors comply with the latest Equalities legislation. |
| **G4.2** | The Supplier will provide reports and other Management Information to DfE, at intervals to be agreed, to demonstrate that the Supplier and its sub-Contractors are fulfilling their obligations under the latest Equalities legislation. |
| **G4.3** | The Supplier shall agree and implement any changes to the equality plan in line with DfE Change Control Procedure. |
| **G4.4** | The Supplier shall nominate a representative for all equalities issues. |
| **G4.5** | The Supplier shall produce an equality plan for each call-off outlining their commitment and compliance to the latest Equalities legislation and report at regular intervals (checkpoint reports) and include a final statement within the final administration report. |
| **G4.6** | The Supplier will include within the equality plan the strategy for recruiting and selecting administrators and markers / coders. The Supplier will provide evidence of a fair, open and transparent process, including but not limited to protective characteristics. |
| **G4.7** | The Supplier will include in any administration guidance and training information advice on dealing with pupils that require access arrangements. |

**G5 Financial requirements**

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| **No** | **Requirement** |
| **G5.1** | The Supplier's financial accounting system must be able to capture all financial and system coding in order to fulfil management and statutory accounting. All expenses and invoices submitted will be subject to VAT. For clarity refer to the HMRC rules and regulations. |
| **G5.2** | A contractual agreement must be defined and agreed with the administrators and / or markers / coders involved in submitting the work. |
| **G5.3** | The Supplier will ensure where BACS is used that BACS information is controlled and kept secure in order to reduce the risk of fraud. All payments must be countersigned and have the necessary approval documents / receipts that must be attached and made available prior to payment. All work needs to verified that is has been completed and delivered. |
| **G5.4** | The Supplier must pay all sub-Contractors within 30 days of receipt of invoice. |
| **G5.5** | The Supplier must make the following information available on their invoice:   * full address * contact number * VAT number (VAT number may or may not be applicable depending on the size of the organisation). |
| **G5.6** | The Supplier will instigate a fraud detection and response plan so that all controls are setup on the system. |

**G6 Resources**

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| **No** | **Requirement** |
| **G6.1** | The Supplier must have suitably qualified and experienced staff (or immediate plans to access these resources as appropriate). Skills and qualifications of identified Key Personnel should cover all major aspects of the Service including commercial management, project management, technical skills and general management. |
| **G6.2** | The Supplier must agree with DfE which posts are considered as key posts, where knowledge or skills are critical to success. |
| **G6.3** | The Supplier must maintain up-to-date CVs of all key personnel and make them available on request. |
| **G6.4** | The Supplier must provide advance notification to DfE of any changes in key personnel. Replacement personnel should have equivalent skills and qualifications and DfE reserve the right to refuse proposed replacements. |
| **G6.5** | Suppliers should demonstrate that where there are plans to use third party sub-contracted resources or services, that these are reliable, available and meet other criteria outlined in this SoSR, especially Security. The Supplier must provide and maintain details of who these resources are, how they will be used and how they will be managed. |

**G7 Exit and transition**

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| **No** | **Requirement** |
| **G7.1** | The Supplier will provide and maintain a detailed, fully resourced and costed exit and transition plan to ensure the smooth transition of Services to a successor service provider. |
| **G7.2** | The Supplier will provide a detailed statement in the exit and transition plan of all its requirements for the support it requires from DfE to ensure smooth transition of service to a successor service provider at the expiry or termination of the Framework. |
| **G7.3** | The Supplier must provide, and maintain, a list of all assets, for example materials software, data, people, contracts and other agreements planned to be used in the delivery of services.  The Supplier must identify assets that it anticipates will be transferred to DfE on expiry or termination of the Framework or on completion of any individual call-off order. The Supplier must also document the arrangements for and handing over such materials to DfE. |

**G8 Business Continuity**

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| **No** | **Requirement** |
| **G8.1** | The Contractor shall, as a minimum, have in place robust and ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures 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 be, or could lead to, a disruption, loss, emergency or crisis. When a certificate is not available it shall be necessary to verify the ongoing effectiveness of the ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures, to the extent that the Contractor must have tested/exercised these plans within the last 12 months and produced a written report of the test/exercise, outcome and feedback, including required actions. |

**Section 3: Core Technical Services**

**SA1 Recruitment and management of schools**

The Supplier must manage schools with sensitivity in order to ensure schools fulfil their statutory duty to participate in Trialling and Sampling. This includes considering recruitment strategies and the tone of all communications with schools, reassuring schools that the workload placed on them will be kept to a minimum, and ensuring that the Trialling and Sampling takes place at a mutually convenient time.

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| **No** | **Requirement** |
| **SA1.1** | Recruitment and retention strategy submitted to DfE in order that samples can be drawn.  For statutory trials, this must include any mitigations and contingencies that will be enacted if schools prove difficult to fulfil their statutory requirements. The Contractor must recruit all schools drawn in the samples.  For voluntary trials, the Contractor must specify a sample size and recruitment strategy such that a representative sample of schools is achieved with the minimum number of pupils required sit each version of each test. |
|  | For school recruitment there are three approaches:   * DfE provide the stratifiers and the number of pupils required to take each booklet, the Supplier provide information on how they will recruit to those requirements and DfE draw the sample; * DfE provide the stratifiers and the number of pupils required to take each booklet and the Supplier draws the sample (Optional requirement);   The approach to be used will be confirmed in the call-off. |
| **SA1.2** | For voluntary trials, any required adjustments to the sample must be taken into account when specifying the sample: for example, if a larger sample is to be selected to account for the expected response rate and / or an additional sample is to be selected to function as a 'top-up' sample.  The Supplier must inform DfE if a top-up sample is required (no later than date specified). If required, top-up samples will be provided by DfE within 5 full working days. |
| **SA1.3** | The Supplier may be required to define the sample(s) according to criteria set in consultation with DfE. The criteria will depend on the purpose of the Trialling / Sampling but may include considerations such as sample size, age of pupils, time of year, type of school, sampling methodology (e.g. school level versus pupil level) and data source. |
| **SA1.4** | The Supplier may be required to produce a sample specification document outlining the sampling methodology to be used, for sign-off by DfE. If the Supplier has been asked to determine the sample size, the sample specification document must include all information necessary for drawing the sample and must include a statistical justification for the recommended sample size (Optional requirement) |
| **SA1.5** | The Supplier may be required to ensure that each sample is stratified by suitable variables, to be determined in consultation with DfE. The most common requirement is for a Trial / Sampling test to be stratified by achievement at the relevant key stage, region and school type, but this may differ for different purposes. Other possible relevant variables include the proportion of pupils eligible for free school meals or the proportion of pupils with English as an additional language. This list is not exhaustive. |
| **SA1.6** | Where there are separate subjects in a trial, the DfE will provide separate samples for each subject.  Each school drawn in a sample, will only participate in one trial, for one subject, unless otherwise specified by DfE for a particular call-off. |
| **SA1.7** | The Supplier may be required to draw the required samples of schools according to the specification approved (or provided) by DfE (Optional requirement). |
| **SA1.8** | The Supplier may be required to draw the sample from a suitable data source (e.g. the National Pupil Database – NPD) and must obtain the data and approval for its use from the relevant authority (e.g. the Department for Education NPD requests team) (Optional requirement). |
| **SA1.9** | The Supplier may be required to provide a summary of the sample drawn to DfE for sign-off, providing a breakdown by the stratification variables and any other appropriate variables (to be defined for a particular call-off) (Optional requirement). |
| **SA1.10** | The Supplier must assign schools and pupils to assessment instruments according to a design model provided by DfE. In many instances pupils will be required to take more than one test instrument for a subject. |
| **11** | The Supplier must ensure successful management of schools to achieve the required number of pupils. If target numbers of pupils have not been recruited by previously agreed dates, additional schools will need to be approached in order to achieve sufficient numbers (a 'top-up' sample). All recruitment will be the responsibility of the Supplier under the terms of the call-off. |
| **SA1.13** | **Communication with schools**  For Statutory and voluntary Trialling projects the Supplier must provide a Communication strategy outlining the approach they would take to communicating with schools and or local authorities. This will be agreed with DfE as part of the project set up phase for each call-off. The strategy should include:   * which channels the Supplier will use for its communications (for example emails, letters, websites) and the rationale for using them * an outline timeline for developing and issuing communications   For Sampling projects communications will be led by DfE or the Supplier. This will be agreed during the call-off phase.  Communications will adhere to DfE’s overarching strategy and house style. During the project set up phase, the Supplier will have the opportunity to review DfE’s communications strategy for the project.  The Supplier will be required to:   * contribute to the drafting of materials for schools and or LAs * sign off content for factual accuracy   If the Supplier leads, they must provide a Communication strategy outlining the approach they would take to communicating with schools and or local authorities. This will be agreed with DfE as part of the project set up phase for each call-off. The strategy should include:   * which channels the Supplier will use for its communications (for example emails, letters, websites) and the rationale for using them * an outline timeline for developing and issuing communications |
| **SA1.14** | The Supplier must ensure all schools included in a Trial or a Sample sign a confidentiality agreement. This must be signed by all adults who are present during the administration for example teachers, teaching assistants, or any other adults who may act as readers, amanuenses, translators or in any other capacity. |
| **SA1.15** | **Trial Administration**  The Supplier must collect all required pupil background data from schools. This may be done either on the day of administration using hard copy pupil data forms or prior to the administration using a secure site or portal. The exact data required will be dependent on the type of Trial but may include full name, date of birth, the status of pupils with respect to SEN or English as an Additional Language (EAL), and Teacher Assessment (TA) information.  All Trialling should occur in a school on the same day, especially where only one or two papers are required to be administered. Schools may request Trialling over two days in special circumstances.  Some Trials may require pupils to complete a number of papers. Where this occurs, Trialling in one day may not achieve the best results. However, this will be identified in individual call-off orders within the framework agreement.  The Supplier must provide all necessary materials to schools. Materials must not be photocopied within schools during the Trialling window. If any pupil requires access arrangements, schools will need to notify the Supplier prior to the test administration. If any issues arise while the administrator is in the school, he / she should contact the Supplier for advice. The supplier must ensure there are individuals available to take calls from administrators throughout the administration window.  The proposal must contain details of fixed and variable costs for Trialling and a plan to show the potential number of schools for each subject and potential number of visits. Costs must be transparent and presented in a way which will allow DfE to pre-estimate costs of call-off orders.  **Sampling Administration**  The Supplier will be provided with details of the children to be tested. The supplier will need to provide a mechanism for schools to communicate where children will require access arrangements. The details of these access arrangements will need to be communicated to the test administrators prior to the administration of the tests so the necessary pre-planning and organisation of resources can take place.  All sampling test administration should occur in a school on the specified day. Some sampling may require testing in a school on more than one day to achieve the most representative results. However, this will be identified in individual call-off orders within the framework agreement.  The Supplier must provide all necessary materials to schools. Materials must only be photocopied within schools to accommodate the administration of agreed access arrangements during the specified sampling window.  If any issues arise while the administrator is in the school, he / she should contact the Supplier for advice. The agency must ensure there are individuals available to take calls from administrators throughout the administration window.  The proposal must contain details of fixed and variable costs for Sampling and a plan to show the potential number of test administrators required to administer the sampling tests to the required number of schools in the specified timeframe. Costs must be transparent and presented in a way which will allow DfE to pre-estimate costs of call-off orders. |
| **SA1.16** | The requirements for access arrangements for pupils differ for Trialling and Sampling. Specific requirements will be outlined in each call off. |
| **SA1.17** | DfE reserves the right to observe a small number of schools during administration of the tests for quality assurance purposes and to obtain feedback on test materials from schools, pupils and / or administrators directly. During the school recruitment process,the Supplier must seek permission from schoolsfor DfE representatives to observe any administration visits. |

**SA2 Recruitment, training and management of administrators**

A key part of the test administration process is the provision of qualified and professional individuals who are able to administer each test effectively. It is critically important that all individuals understand and are aware that they represent the DfE and are responsible for the secure management of every pupil's test. This section provides the requirements necessary to recruit and train a pool of suitable administrators.

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| **No** | **Requirement** |
| **SA2.1** | The Supplier must set up, recruit and maintain a pool / register of professionally qualified personnel who can be deployed to administer tests.  This pool / register must be made available to DfE on request. |
| **SA2.2** | The Supplier must recruit and manage a pool of test administrators, for all Trials or Sampling that the Supplier has bid for in call-offs resulting from this framework, to ensure secure administration at each school within the agreed test administration period. If more than one class is involved in the Trial / Sampling at any one school, or for example there are a significant number of pupils requiring access arrangements for administration, more than one administrator may be a required at a school. |
| **SA2.3** | The Supplier must ensure all administrators have a professional attitude, have a valid DBS (Enhanced) certificate and possess suitable organisational, communication and time management skills to fulfil the role. Test administrators will normally be trained teachers and approval must be sought from the Department to use non-teachers. All administrators would need to regularly declare any interests he or she may have in this area of work (for example having children or grandchildren of the appropriate age). |
| **SA2.4** | The Supplier must ensure the pool / register of test administrators is spread nationally across England to minimise the Supplier's carbon footprint. |
| **SA2.5** | The Supplier must provide induction training for all test administrators prior to being deployed at a site. Training should be provided face-to-face with administrators, and provision should be made for DfE staff to attend and provide aspects of the training. The proposed location to be agreed with DfE. It is the Supplier’s responsibility to determine the level of support required for administrators following their training. Some aspects of the training may be reinforced in an online version. The training would need to ensure administrators work to requirements in the areas of   * setting expectations of behaviour as a representative of DfE * confidentiality * receiving materials and confirming receipt of materials * storage at home * working with schools (agreeing a time and ensuring the school has appropriate expectations of the administration, working with the school during the administration) * secure transportation to and from testing location * security procedures while in schools * administration in schools, including dealing administering agreed access arrangements * context of national Sampling and the implications for administrators giving and collecting feedback and the type of feedback that is useful for test development * context of the Trials and differences in types of Trialling (informal Trialling, small scale item Trials and technical pre-tests) and the implications for administrators * administering modified test versions and access arrangements pupils in the context of the Trial and Sample administrations * Supplier's security policy and standards, including: * methods of secure delivery of materials between the Supplier and administrators * escalation procedures in the event of security incidents * what to do in the event of an emergency during the test administration   DfE may request evidence at any time that administrators have been trained appropriately, through reviewing and inputting to the training materials and other methods. |
| **SA2.7** | The Supplier must ensure all test administrators receive refresher training, as a minimum, on a biennial basis. Training should be provided face-to-face with administrators, and provision should be made for DfE staff to attend and provide aspects of the training. It is the Supplier’s responsibility to determine the level of support required for administrators following their training.  Administrators may need additional training if there is a Trial or Sampling with special requirements (e.g. administration of modified versions, or administering to young pupils).  Any training requirements required by the pool of existing or new administrators should be outlined in each call-off bid. |

**H1 Helplines**

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| **No** | Requirement |
| **H1.1** | The Supplier may be required to provide a helpline facility to deal with calls regarding all aspects of the Trialling or Sampling process to support schools, markers / coders and administrators. This helpline may be required to record all calls using DfE’s CRM system (or be able to interface to it), for which training will be provided.  As a minimum the helpline must:-   * be able to accept multiple inbound calls on the same telephone number * make outbound calls * be able to accept warm transfers of calls from the STA Helpline   The route for support calls must always follow the same process:  Call originator ⇨ Supplier first line support, or Call originator ⇨ STA Helpline ⇨ Supplier first line support |
| **H1.2** | The Supplier will be responsible for recruiting and training staff for the helpline. They must also maintain the agreed staffing levels throughout the call-off period. |
| **H1.3** | The Supplier must have an escalation strategy in place for dealing with calls that cannot be answered by the helpline staff. In addition the Supplier must provide support materials, for example FAQs which are made available to users where appropriate. |
| **H1.4** | The helpline will provide MI to DfE detailing the nature of the calls, the number of calls received and performance levels, as detailed in specific call offs. |

**PL3 Collation and distribution of assessment instruments**

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| **No** | **Requirement** |
| **PL3.1** | The Supplier may be required to collate materials for administrators according to the requirement in SA1.  If materials are printed and collated outside of this framework, the Supplier will need to confirm contents of each school pack before it is sent to administrators. The Supplier will be held accountable for all materials going out to schools.  The materials must be collated into packages to go out to schools and the number of tests in each package will be dependent on the number of pupils to be tested in each school. The school packages must contain all the information and material that is required in any one school (the correct combination of papers) for the administration of the materials in schools.  Each package must be double wrapped in tamper evident packaging to suit the pack size and logistic method; each layer must be addressed to the sender.  The Supplier shall carry out assurance test and supply reports to DfE to demonstrate that the chosen packaging is fit for purpose prior to collation. The nature and scope of these tests will be defined in each call-off. |
| **PL3.2** | **Carton packaging** – if carton packaging is used, the Supplier should provide a Mullen test report showing Burst and Edge crush testing results to demonstrate that the packaging is fit for purpose.  The supplier shall ensure that each carton is taped on every corner to ensure clear identification of the product at all times. The DfE will provide tape for this purpose.  The Supplier shall carry out assurance test and supply reports to DfE to demonstrate that the chosen packaging is fit for purpose prior to collation. The nature and scope of these tests will be defined in each call-off. |
| **PL3.3** | Five sample enclosing packs should be provided to DfE of any collated pack supplied to administrators by the Supplier for DfE records. |
| **PL3.4** | The Supplier is responsible for the management of all logistical movements of materials.  The Supplier shall provide daily reports a minimum of twice a day at 9am and 5pm when packages are in the logistics network. DfE may require more frequent reporting and will be detailed in the call-off. |

**SA3 Secure administration of assessment instruments in schools**

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| **No** | **Requirement** |
| **SA3.1** | The Supplier must ensure all administrators have suitable identification prior to any visit to enable the school to check their identity. |
| **SA3.2** | The Supplier must produce guidance material / packs for administrators prior to visiting a site. This must include full written instructions and expectations of their role, administration guidance, relevant information on the type of administration being used, security procedures, information on sending and receiving materials to and from the Supplier, relevant information to help the administrator answer any questions from the school (and contact details for a named individual if the guidance does not answer a question posed by the school). Sign-off of these materials should be obtained from DfE for each call-off. |
| **SA3.3** | Administrators must ensure that each pupil receives the correct booklets. The Supplier must provide instructions to administrators on linking the IDs on test booklets to individual pupils. For Sampling, an administrator must accurately complete an attendance register for each class in each school that they visit. |
| **SA3.4** | The Supplier must ensure the secure return of all test materials, used and unused, from each school visit in accordance with requirement G3. This includes any pupil background data forms, questionnaires and supporting documentation. Administrators must ensure that all materials are accounted for at all times. This will include counting all materials on arrival at the school and ensuring that material is accounted for before the administrator(s) leave(s) the schools. While in schools, all materials must remain in the same room as the administrator(s). The administrator must provide a list of the contents (manifest) of each package within the package and send via email to the Supplier as the package is picked up for return to the Supplier. The manifest should not include information about the contents of the test or pupils participating in the Trial or Sampling.  The Supplier must check the contents of all packages against the manifest once it is delivered. Any discrepancies must be reported to DfE immediately, providing details of the process in place to investigate and recover lost and missing materials. |

**DM1 Data handling**

Maintaining the security of test materials and pupil data is of primary importance in any work associated with this framework. The Supplier must have processes in place to ensure all test materials and pupil data is tracked and accounted for at all stages. DfE requires that systems are tested robustly with DfE participation and that all ICT systems meet the mandatory requirements of the Cabinet Office Security Policy Framework, the Data Protection Act and industry best practice to maintain the information assurance of Business Impact Level appropriate to the data being managed by the individual call-off.

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| **No** | **Requirement** |
| **DM1.1** | **Tracking test materials during delivery**  In order to maintain security of the test materials, any comment forms and pupil background data, appropriate systems must be in place, which meet the requirements set out in G2, G3 and SA3. Where issues are identified in the delivery of materials, the following steps must be taken:   * notify DfE immediately through an issue report * report and follow up on any discrepancies between what was sent to each administrator and / or the stated contents of any package * produce an MI report for DfE on a twice daily basis outlining the delivery status of all materials in transit. |
| **DM1.2** | **Procedures to account for test materials throughout administration and marking / coding**  The Supplier must allocate the number and type of papers to each school taking part in the Trial or Sampling in order to minimise school effects on the data. This allocation must be approved by DfE.  The Supplier must ensure that each test version is administered to an appropriate number of pupils overall.  The Supplier will need to develop a individual bar code or unique number that allows all the test scripts for each paper to be tracked throughout the process and helps administrators know which combinations of papers must be administered in each school to each pupil.  Pupils must be allocated to test papers as per the design model provided by DfE in order to achieve the required number of pupils taking each combination of papers.  The Supplier must advise DfE on the final print runs and unique numbers to be printed on all the test booklets.  The Supplier should keep a clear and comprehensive record of all papers based on the unique number, showing how they have been allocated to schools and administrators, using databases as necessary. This must be used to check all returns from administrators.  The preferred method of pupil background data collection is through secure online methods directly from schools. Pupil background data will be confirmed during the administration. Where schools have not provided data before the administration, the data must be collected by administrators electronically or on paper.  Where issues are identified in accounting for materials during administration and marking / coding, the Supplier must notify DfE immediately through an issue report. |
| **DM1.3** | The Supplier must ensure that appropriate documentation is provided at each stage of the process when test materials or pupil background data are delivered to administrators, the DfE or any individual or organisation external to the Supplier. The documentation must include a complete list or manifest of what is contained in each parcel. A copy of the manifest must be forwarded to the receiving agency once the parcel has been picked up for delivery. |
| **DM1.4** | Any specific requirements for printing test booklets relating to the administration and tracking procedures must be agreed with DfE at the start of the project so this can be taken into account when designing them. |
| **DM1.5** | The Supplier must provide 100% of all pupil background data to DfE following the administration period and prior to the start of the marking / coding window. The preferred method of collection of pupil background data from schools is via secure electronic means. The data required must include a unique pupil ID which can be used to link performances of the same pupil across different assessment instruments. Other variables, and the format of the data, will be specified for a given call off but are likely to include gender, TA level, SEN status, EAL status / fluency, year group and date of birth. |

**DM2 Data capture and management**

DfE requires that systems are tested robustly with DfE participation and that all ICT systems meet the mandatory requirements of the Cabinet Office Security Policy Framework, the Data Protection Act and industry best practice to maintain the information assurance of Business Impact Level appropriate to the data being managed by the individual call-off.

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| **No** | **Requirement** |
| **DM2.1** | Where not captured at point of decision (i.e. OSM), the Supplier must carry out accurate data capture of information from tests and questionnaires. DfE will provide access to a secure portal for the transfer of data from the Supplier to DfE. |
| **DM2.2** | The Supplier must provide details of the data capture quality assurance processes in the proposal for approval by DfE. The data capture process is one that should be detailed in a product description. The proposed processes must include a process for dealing with exceptions efficiently and must ensure the accuracy of the data captured. |
| **DM2.3** | The Supplier must provide the data in the file format specified in the call-off. DfE will provide the required file structure template and acceptability criteria for the fields to be captured. |
| **DM2.4** | The Supplier must provide secure transfer of pupil and item data in compliance with DfE's Test Development Suppliers Security Policy, the Data Protection Act and the requirements set out in the SPF. |
| **DM2.5** | The Supplier must provide DfE with data feeds on agreed dates as per the call-off.  The number and specification of the data feeds will be included in each call-off order. |
| **DM2.6** | The Supplier should provide DfE with additional data feeds on agreed dates, to include data captured up until that point in order to enable DfE to track progress and to carry out checks on the data as set out in each call-off. |
| **DM2.7** | The Supplier should provide DfE with daily updates throughout the data capture process on the number of test scripts (or other metric, as appropriate) captured to date. |
| **DM2.8** | Captured data should be retained by the Supplier for six months following handover to DfE, and then should be deleted. |
| **DM2.9** | The Supplier must provide a Data Capture mechanism / system for Paper Based marking / coding or an OSM System. This will be used to capture all coding data for each Test Script. For Sampling marking / coding the solution(s) must also enable the capture of a valid Attendance Code for a Pupil where no Test Script has been presented for marking / coding, either by the Marker or by the Supplier. The format and specification of the solution(s) must be agreed in advance with DfE. |
| **DM2.10** | The Mark Capture Mechanism for paper based marking / coding must capture item level coding data for each Test Script. Data for all marking/coding completed and submitted must be supplied to DfE in accordance with the agreed data specification for the Trial / Sampling. Specification to be agreed at start-up. The supplier must also define the quality assurance procedure that will be followed to ensure the integrity of the data provided. |

**DM13 Administration reports**

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| **No** | **Requirement** |
| **DM13.1** | The Supplier must produce (an) administration report(s) for each call-off.  The specific requirements will be outlined in call-offs resulting from this framework but the administration report may include, but not be limited to, the following aspects as an example:   * an analysis of questionnaires * information on the number of schools approached, accepted, withdrawn, not responded and other related useful information * reasons why schools declined to take part * feedback on school recruitment, administration, issues arising and other related useful information * identification of the number of completed test scripts received by instrument and any reasons for discrepancies between the number returned from schools and the number passed on for marking / coding * the number of completed test scripts for each paper and combination of papers * a table of achieved sample representativeness and a comparison with the appropriate population, showing the stratification of the samples as agreed in the call-off but usually by school attainment in the relevant key stage, school type and region. * information on the monitoring and compliance with the Equality Act 2010 * how the pupil background data was collected and handled (e.g. verification procedures) * lessons learned from the project and recommendation for future administrations. |

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| Architecture and Standards | | |
| **ANS1.1** | *Maximising benefit to the Authority and its partner organisations* – the Supplier shall provide a flexible and scalable solution that is capable of meeting changing demands and incorporating any additional requirements. | |
| **ANS1.2** | *Interoperability -* the architecture shall adopt open and industry de-facto technical standards wherever possible for its major interfaces. This for example includes but is not limited to interfaced via RESTful API’s. | |
| **ANS1.3** | *Commercially Off The Shelf (COTS) and Open Source Solutions –* The supplier shall, where appropriate, utilise pre-existing code to meet requirements, rather than developing bespoke code. Both commercial off the shelf (COTS) and Open Source components may be incorporated within the system, provided the supplier is able to demonstrate the functional and cost benefits associated with their component selection. | |
| **ANS1.4** | The solution **must** support web accessibility and be (at a minimum) compliant to Level AA of the W3C Web Content Accessibility Standards. | <http://www.w3.org/TR/WCAG20/> |
| **ANS1.5** | The Supplier’s solution **must** follow W3C web design standards to ensure compatibility with common client browsers. | <http://www.w3.org/standards/webdesign/> |
| **ANS1.6** | The Supplier’s solution **must** provide discrete environments to support live production activities, User Acceptance Testing and Development activities. The Supplier must supply clearly defined plans and processes showing how system changes will be transitioned between environments. | |
| **ANS1.7** | The Supplier shall ensure that certain parts of the website’s static data (such as terms and conditions) can be updated at request by the Authority without charge. This does not include the practice tests. | |
| **ANS1.8** | Any digital communications channels will need to be developed in accordance with the GDS Digital Service Standard (<https://www.gov.uk/service-manual/service-standard>)  Any branding must be in line with Authority brand guidelines. Online branding will need to be developed in accordance with the GDS service manual and GOV.UK templates (<https://www.gov.uk/service-manual/design>) | |
| **ANS1.9** | The Supplier shall, as a minimum, have in place robust ISO/IEC 20000 and/or ITIL conformant Service Management arrangements and processes, including (but not limited to) Incident, Problem and Change Management. Incidents shall be defined with priorities, response / resolution times and escalation routes, to be agreed with the Authority. Overall performance of Service Management processes shall be reported monthly to the Authority and against agreed Key Performance Indicators (KPIs). Reporting and any escalation shall take place between the Supplier’s nominated Service Manager and their counterpart in the Authority. | |
| **ANS1.10** | The Supplier will ensure that their system is designed in a manner that does not preclude possible future integration with a strategic Identity and Access Management (IDaM) solution provided by Authority, using industry standard protocols (SAML2/OAUTH/OpenID Connect). | |

**M1 Marking / Coding of test scripts**

Marking / coding is an important part of the process for Trialling and Sampling and the use of experienced markers / coders who hold senior positions in the current live test marking / coding hierarchies is important in order to fully develop the coding frames.

All materials are coded in Trials and in the science Sampling so that DfE has a greater depth of information on how pupils have responded. Coding frames are used to describe the coding methodology with coders, as opposed to mark schemes, which are used in most live marking scenarios.

Markers / coders will input into the development of the mark schemes / coding frames that will eventually be used in the live tests. However, coding of Trials requires coders to be aware of the types of misconceptions pupils have, to be aware of what could be creditworthy based on their knowledge and understanding of previous marking / coding cycles and of the subject, even if it is not yet in the coding frame, and to be able to identify responses that would be useful for inclusion in the coding frame or marker training materials. Where appropriate, markers / coders and test developers must take into account any historical marking / coding principles so marking / coding is consistent between years.

The use of experienced markers / coders ensures they have the necessary understanding of the quality of materials that will be required for the live marking / coding process.

DfE is aware that there are likely to be a number of competing demands on the small pool of markers / coders who hold the senior positions within the marking / coding population at certain times of the year and will endeavour to time any Trialling and Sampling marking / coding activities around any existing live marking / coding requirements.

Suppliers must provide an on-screen marking / coding system (OSM). The on-screen marking / coding system requirements are emboldened in the tables below. Each OSM system requirement states whether it is **essential (coloured red)** or **desirable (coloured blue)**. All suppliers will either need to demonstrate that they can meet the essential requirements, or have a viable work around that will allow the requirement to be met.

Specific requirements for marking / coding of individual Trials / Sampling test will be specified in call-offs.

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| **No** | **Requirement** |
|  | **Recruiting and contracting markers / coders** |
| **M1.1** | The Supplier must recruit and contract sufficient markers / coders in order to complete all marking / coding within the agreed milestone dates.  For Trial / Sample marking / coding, the Supplier will be required to contract the senior marking / coding team, which will typically consist of a group of Lead Markers / Coders (LMs) and Deputy Lead Markers / Coders (DLMs) (as required). The senior marking / coding team is required to provide expertise in the development of the coding frames before and during Trial marking / coding, the recruitment process for the LM and DLM posts must assess applicants skills and experience in this area of work.  Markers / Coders of all ranks must have completed marking / coding (to the required quality standards) in the current or most recent live test marking / coding cycle for the relevant subject. Where there is not a current live test marking/coding programme for the test items being Trialled at a minimum: all Markers / Coders must have Qualified Teacher Status (QTS) and at least one year’s qualified teaching experience in the relevant subject / key stage following such qualifications, as a minimum. DfE will facilitate the distribution of invitations to markers / coders on the current national curriculum Register of Markers / Coders to the Supplier to support this requirement. |
| **M1.2** | The Supplier must ensure that there are effective and timely communications with Markers / Coders throughout the Trial / Sampling marking / coding so that Markers / Coders are aware of the status of their engagement by the Supplier, training and marking / coding requirements, and payments status and these are all an integrated part of the Marker communications strategy and plan. The communications plan must allow sufficient time for the necessary quality review and agreement processes. |
| **M1.3** | The Supplier must ensure the contractual fees and expenses structure is developed taking into account the equivalent live national curriculum tests marking / coding fees for the relevant test in the Trial / Sampling. DfE will provide this information at the outset of a contract. Some adjustment of contractual fees may be considered in lieu of the expertise provided by markers / coders in inputting to the development of the coding frame.  Fees and expenses structures are to be agreed with DfE. Once approved the Supplier shall not amend the terms on which markers / coders are engaged without DfE’s prior written consent. |
|  | **Marker register** |
| **M1.4** | The Supplier must maintain a Marker Register including the following information:   * Details of the test(s) to which Markers / Coders were allocated for the current Trial / Sampling; * Details of any issues relating to Markers’ / Coders' performance for the current Trial / Sampling.   A copy of the final Marker Register will be provided to DfE at the end of the marking / coding period for the relevant Trial / Sampling.  The Supplier must provide a valid record in the Marker Register for all data fields required by DfE. The Supplier must ensure that data from the Marker Register is accessible, up-to-date, 100% accurate and made available in the format specified by DfE, and within the time specified by DfE. |
| **M1.5** | The Supplier must require that all Markers / Coders declare any personal interest in any School or Pupil during their contracting process. The Supplier must record all cases of declared personal interest as well as any instances where no personal interest has been declared. The Supplier must ensure that Markers / Coders either declare an interest or declare ‘no interest’. The Supplier must ensure that Markers / Coders are obliged to notify the Supplier of any changes in their declared personal interests following their contracting for the Test Cycle e.g. if the School they are employed at changes. |
| **M1.6** | The Supplier must ensure that all contracts with Markers / Coders state that DfE shall be the data controller (as defined in the Data Protection legislation) of any Personal Data that relates to the Markers / Coders and that is processed in connection with national testing. The Supplier must also ensure that the contracts include notices stating the purposes for which Personal Data will be processed by DfE and its Suppliers (one of which will be to audit the quality of the marking / coding). |
|  | **Marking / coding and training plan** |
| **M1.7** | The Supplier must ensure that the method of delivery used as the marking / coding model is appropriate to the subject and the scale of the Trial / Sampling and takes into account the process followed for the equivalent live national curriculum assessments. The marking / coding model will be defined in the call-off for each Trial / Sampling administration. In this framework agreement, the modes of marking / coding that could be used are:   * paper based marking / coding at home or at a centralised location. * onscreen marking / coding at home or at a centralised location.   The Training Model for any administrative or System training must reflect what is required from Markers / Coders in respect of these activities. Where training is to be delivered online, the Supplier must ensure all Markers / Coders have managed access (via the issue of secure log-in details) to the system. |
|  | **Marker payment** |
| **M1.8** | The Supplier must utilise an appropriate mechanism for paying markers / coders the correct amount for work undertaken and completed, based on accurate data. This is likely to include analysis of information regarding the quantity of test script marks submitted or the time spent marking / coding, supervisory duties undertaken and attendance at meetings.  The Supplier must administer payments to markers / coders and reimburse associated expenses. The Supplier must provide a mechanism to ensure that markers / coders are paid without delays and in any case no later than 30 days after the completion of services. |
|  | **Preparation of materials for training and marker training** |
| **M1.9** | Training and standardisation materials, where required, will be developed by the Lead or Deputy Lead markers / coders. For Trialling this will be in consultation with Test development researchers at DfE.  The Supplier may be required to manage LMs and DLMs, providing them with support and guidance, in order to develop (for example):   * Training (T) Materials; * Practice (P) Materials and associated commentaries (as required); * Standardisation (S) Materials and associated commentaries; and * On-going Marking / Coding Quality Assurance (QA) Materials.   For Sampling, the development process managed by the Supplier must include opportunity for expert input to be provided by DfE and their appointed representatives and include a robust User Acceptance Testing (UAT) process, to ensure the materials are fit for purpose.  The Supplier must ensure that all T, P, S and QA materials are of the nature, in the format, quantity and to the quality standards agreed with DfE. The Training Material format must match the proposed method of training delivery. Coding frame commentaries must be developed to provide details of the coding frame justification for that code for every Item in the T, P, S and QA materials, to ensure that consistent feedback is given by Lead or Deputy Lead Markers / Coders. P, S and QA materials must be completed by Markers / Coders in the same marking / coding unit (Item / Item Group / Component / Test Script) and mode of marking / coding (Paper Based or OSM) as Sampling marking / coding will be completed for the Test. |
| **M1.10** | The Supplier must ensure an early sample of Trial / Sampling scripts is made available in either the OSM system or in paper-based format as specified in each call-off for Lead or Deputy Lead Markers / Coders to undertake pre-marking / coding, to support the development of training, standardisation and on-going marking / coding quality assurance materials.  **The OSM system must allow for marks from the pre-marking / coding activity to be cleansed or retained (as specified by DfE), after pre-marking / coding.** Where marks are cleansed the responses will be returned to the pool of marking / coding for inclusion in the main Trial / Sampling marking / coding.  **The OSM system must allow standardisation script selection to take place from this pool of early scripts, and that the marks for the standardisation scripts to be saved.** |
| **M1.11** | Lead or Deputy Lead markers / coders will be required to train groups of markers / coders on the training day. The Supplier must produce guidance (agreed with DfE) for the Lead or Deputy Lead Markers / Coders to enable them to deliver training to, support and manage the Marker Pool. Where marking / coding is to take place onscreen, Lead or Deputy Lead Markers / coders must receive training on the use of the OSM System to perform their supervisory duties. |
| **M1.12** | The Supplier must ensure markers / coders are invited to and attend the training event for the subject / Trial / Sampling test versions that they are marking / coding. The Supplier must send out invitations to Markers / Coders, DfE and its nominated representatives to attend all meetings / Training Events sufficiently in advance to allow for travel and other arrangements to be made.  DfE representatives will attend each marker training day in order to provide advice to lead markers / coders and their groups.  The Supplier must ensure that at the beginning of each Training Event all attendees are reminded of security and confidentiality obligations, as per the contracts with Markers / Coders. The Supplier must provide DfE with an audit summary / report of this if requested.  In addition, the Supplier may be required to hold non test specific marker training days to emphasize the differentiated skills required for trial marking / coding compared with live test marking / coding. Training on the Suppliers’ onscreen marking / coding system could be part of the training on the non-test specific training day, if required. Training content would need to be agreed with the DfE. The Supplier will need to organise a suitable venue for the non-test specific marker training day. |
| **M1.13** | As outlined in M1.9 all materials for markers / coders will be produced as a result of discussions with the senior marking / coding team and the Test development researchers at DfE. Materials will either be handed over to the Supplier prior to the marker training meeting for copying / printing and labelling / numbering for the marker training meeting **or** will be provided by DfE at the training meeting. Required timelines and details will be specified in the call-off.  The exact materials required for marker / coder training will depend of the nature of the call-off. This would typically be a copy of the coding frame, training scripts and / or exemplar responses and a questionnaire per marker / coder.  Print quality must not inhibit markers’ / coders' ability to mark test scripts consistently and accurately.  Following any Sampling or Trial administration, materials assigned to markers / coders will either need to be returned or securely destroyed.  Where training and marking / coding materials are required to be returned; they will need to be numbered so that all materials can be tracked and signed off when returned. Proof of the return of all materials must be supplied to DfE on request.  Where materials can be securely destroyed by markers / coders, they will need to complete a declaration to confirm that the materials have been destroyed in an appropriate way.  All materials belonging to the Lead or Deputy Lead markers / coders must be logged and handed over to DfE for archiving purposes. These materials are kept for future reference by the test developers and /or markers/coders. |
|  | **Train markers / coders** |
| **M1.14** | **Event management**  The Supplier must source and book venues for all necessary training and marking / coding events.  The Supplier shall ensure that venues for training and marking / coding events:   * are secure and have secure storage facilities * have no concurrent bookings which conflict with the use of the venue (e.g. media organisations or other awarding bodies); * have sufficient administrative staff available * are accessible for the majority of delegates but public transport and motorway networks. * comply with disability legislation particularly but not exclusively with respect to accessibility; * are served by public transport * have sufficient car parking * are appropriate for the size, length and purpose of the meeting * have appropriate and timely catering and refreshments available and * have affordable nearby overnight accommodation facilities, as required.   The Supplier must provide a list of venues to DfE in advance for approval and facilitate venue visits to support such approval, where requested, and in sufficient time for an alternative venue to be sourced if required. |
| **M1.15** | The Supplier must provide the following services at each meeting / Training Event   * Reception, registration and management of Markers / Coders (a record of Marker attendance will be required by the Supplier for the payment of Markers / Coders); * Photo identification check of all attendees; * Management of the security of the meeting / Training Event; * Management of the provision of catering and refreshments; * Issue of materials (as required); and * Tamper evident packaging for the transport of secure materials by Markers / Coders. |
| **M1.16** | The Supplier must allow nominated representatives of DfE and applicable regulatory and / or stakeholder organisations as invited by DfE to be present at training and marking / coding events (as required). The Supplier must ensure that an agenda, details of the venue and relevant materials are provided to DfE and the nominated representatives on dates to be agreed with DfE. |
| **M1.17** | The Supplier must develop and provide training for Markers / Coders on the use of its OSM or any mark capture System utilised in the process of marking / coding. The format of System training must be proposed by the Supplier for each Trial / Sampling test and is subject to prior approval by DfE but may be: hands on, face-to-face presentation, online, guidance or any combination of these methodologies. Such System training should also take into account the probable mixed experience of Markers / Coders with OSM and thus provide appropriate support to those Markers / Coders transitioning from paper -based to OSM, or from one OSM System to another.  **The Supplier must ensure the OSM System and any mark capture System have a 'practice' area which allows Markers / Coders to familiarise themselves with the functionality of the System away from the area containing live Trial / Sampling papers.** |
|  | **Manage test script marking / coding** |
| **M1.18** | The Supplier must ensure that the allocation of test scripts is approximately equivalent (in terms of potential earnings and workload) across all markers / coders, taking into account the time required to mark each subject / Test type and any supervisor responsibilities a marker may also have. The approach to allocations may differ dependent upon whether a home marking / coding or onsite mode of marking / coding is utilised and whether marking / coding is paper based or onscreen. During the marking / coding window, markers / coders who have completed their initial allocation to the required quality standards may be allocated additional test scripts / responses if they confirm they have capacity to mark more.  The Supplier must ensure that when allocating to markers / coders, test scripts from a particular school are not allocated to a marker / coder with a declared personal interest in the school. **The OSM system must be able to allocate scripts according to the requirements above.**  The Supplier must ensure that the location of all test scripts (including re-allocated test scripts) so that an accurate audit trail is maintained at all times. |
| **M1.19** | **The Supplier must ensure that, where an OSM System is used, it can place a limit on the number of responses to an Item / Item Group / Component / Test Script that a Marker can retrieve for marking / coding. This limit should initially not exceed the standard Marking / Coding Target. The Supplier must ensure the OSM System allows for the adjustment of Marking / Coding Targets, on an on-going basis, to allow Markers / Coders who have passed Standardisation and On-going Marking / Coding Quality Assurance checks, and who have confirmed their capacity to complete additional marking / coding, to retrieve additional marking / coding beyond their initial Marking / Coding Target, where additional marking / coding is available.** The Supplier should provide to DfE a documented process for how Items / Item Groups / Components / Test Scripts’ requiring marking / coding will be released to Markers / Coders, in line with the availability of Marking / Coding Capacity and agreed Business Rules for Allocations and Re-allocations.  **For each Test marked via the OSM System the Supplier must ensure the OSM System gives Markers / Coders visibility of their marking / coding progress against the Marking / Coding Target for each Item / Item Group / Component / Test Script which is distributed to them or which they are Allocated.**  **Test Scripts should be anonymised of Pupil Data wherever possible**. |
| **M1.20** | **The Supplier must ensure that for all OSM marked Tests all Items / Item Groups / Components / Test Scripts marked by Stopped Markers / Coders have their marks cleansed and that the Items / Item Groups / Components / Test Scripts are returned to the Marking / Coding Pool for another marker to mark.** |
|  | **Marking / coding quality assurance** |
| **M1.21** | **The Supplier must ensure that there is a mechanism to verify that each marker is consistently and accurately applying the coding frame to test scripts to the agreed standard prior to the marking / coding period.** This mechanism is to be known as ‘Standardisation’. All markers / coders must undertake Standardisation, for each Item / Item Group / Component / Test Script that they will mark, in order to ascertain that they can consistently and accurately apply the coding frame to responses to an agreed standard (tolerances to be proposed by the Supplier for approval by DFE). **Those Markers / Coders that fail to accurately apply the mark scheme / coding frame to the responses in the Standardisation materials to an agreed standard after the permitted number of attempts will not be permitted to mark that Item / Item Group / Component / Test Script and must be stopped from accessing further marking/coding in the OSM system for that Item / Item Group / Component / Test Script.**  **The Supplier must also ensure that there is a mechanism to verify that each marker is consistently and accurately applying the mark scheme / coding frame to test scripts to the agreed standard throughout the marking / coding period.** This process is to be known as 'Ongoing Marking / Coding Quality Assurance'. The Supplier must propose a process to enable the management of the quality of marking / coding, for approval by DfE before implementation by the Supplier. In addition, the measure(s) of quality and required standard(s) / tolerance(s) for each quality check should be proposed and justified by the Supplier and submitted to DfE for approval prior to implementation by my Supplier.  DfE expects that the approach to On-going Marking / Coding Quality Assurance checks will differ between the Supplier’s Paper Based solution and OSM solution. The Supplier will need to justify its approach with respect to both solutions and show that it provides marking / coding of equivalent quality standards across both solutions. **Standardisation and On-going Marking / Coding Quality Assurance checks should be completed using the same mode of marking / coding as the Trialling / Sampling marking / coding**, e.g. for an OSM marked Test the Standardisation and On-going Marking / Coding Quality Assurance Materials must be marked onscreen.  The process for monitoring marking / coding performance / accuracy must be detailed to markers / coders prior to marking / coding. |
| **M1.22** | **The Supplier must ensure the OSM system allows for the selection of scanned Test Scripts from the Trial / Sampling administration to be used as Practice, Standardisation or Ongoing Marking / Coding Quality Assurance responses in the system by input of definitive marks for each response.**  **The OSM system must also allow for images of previously scanned Test Scripts / Items to be introduced into the software for use as P, S or QA items.** E.g. if a standardisation script is provided for the ‘anchor test’ for one Trial, and DfE wish to re-use that paper as an S script for a future Trial the script does not need to be rescanned as the image file can be used. |
| **M1.23** | **The mechanism must allow for identification and totalling of coding errors for P, S and QA materials**. OSM quality assurance mechanisms must allow for:   * the totalling of the number of unique errors made in coding; and * the totalling of the absolute mark difference variance between each mark and the definitive mark for that item (marking only).   **The Supplier must ensure that the OSM System (where used) enables the following targets and tolerances to be configured for all Markers / Coders and that these targets and tolerances may differ across sub-groups of Markers / Coders, by Marker / Coder Rank and / or by Test. Furthermore the OSM System must also allow for the following targets and tolerances to be adjusted during the Marking / Coding Period:**   1. **The number of Item / Item Group / Component / Test Scripts a Marker must code as part of Standardisation and On-going Marking / coding Quality Assurance;** 2. **The tolerances applied to each of the individual Standardisation and On-going Marking / Coding Quality Assurance Items / Item Groups / Components / Test Scripts as well as for each S or QA set;** 3. **The number of attempts at Standardisation permitted and the frequency of On-going Marking / Coding Quality Assurance checks; and** 4. **The Agreed codes for a Standardisation or QA Item**.   **Where there are common Items / Item Groups between different test papers the Supplier must ensure the OSM system allows for a marker to be allocated to an Item / Item Group across all test papers, but only to be required to Standardise once for that Item / Item Group and then be approved to mark the Item / Item Group across all test papers.** |
| **M1.24** | **The Supplier must ensure that Markers / Coders pass Standardisation to an agreed quality (i.e. within the agreed tolerance approved by DfE) are then authorised to start marking / coding by the system. Markers / Coders who fail the permitted opportunities to pass Standardisation become Stopped Markers / Coders.** The outcomes of Standardisation for each Marker must be recorded in the Marker Register.  **The Supplier must ensure that Markers / Coders who fail On-going Marking / Coding Quality Assurance checks are denied further access to the Mark Capture Mechanism or OSM System, once they become Stopped Markers / Coders and that the Test Scripts of such Stopped Markers / Coders are retrieved (Paper Based) or their marking / coding is cleansed from the System in respect of OMS.**  The Supplier must establish and actively manage the process to ensure that all Markers / Coders complete On-going Marking / Coding Quality Assurance checks at the appropriate frequency in the Marking / Coding Period, and within the quality standards agreed with DfE, before being allowed to submit further marks for Test Scripts. |
| **M1.25** | **The Supplier must maintain a database of all item level data and overall outcomes from Standardisation and Ongoing Marking / Coding Quality Assurance checks for each marker, which is provided to the DfE at the end of the marking / coding period**. The Item-level data for each Marker should be provided to DfE along with a data file containing the Agreed Mark for each Item in the Standardisation and On-going Marking / Coding Quality Assurance Materials, and any supporting documentation to support clear understanding of the structure and nature of the data.  **The Supplier must provide a process that allows Lead or Deputy Lead Markers / Coders access to information related to the completion of Standardisation and On-going Marking / Coding Quality Assurance Materials in respect of Markers / Coders within their allocated team.** This is in order to allow the Lead or Deputy Lead Markers / Coders to provide mentoring and support to Markers / Coders in the application of the mark scheme / coding frame. |
| **M1.26** | The Supplier must ensure that all markers / coders are monitored throughout the marking / coding period to ensure that quality assurance and marking / coding deadlines are met and all necessary activities are completed to agreed milestones. |
| **M1.27** | The Supplier must ensure that all markers / coders, regardless of whether they pass or fail, are provided with feedback on their application of the coding frame during the standardisation period and any ongoing marking / coding quality assurance processes. The Supplier should ensure that feedback given to markers / coders is consistent. |
| **M1.28** | The Supplier must keep DfE informed of the outcomes of standardisation and ongoing marking / coding quality assurance checks for all markers / coders and communicate any changes in the marker pool and to marking / coding capacity to DfE. The Supplier must monitor the outcomes of standardisation and ongoing marking / coding quality assurance checks, discuss any emerging issues with DfE and agree planned interventions if marking / coding capacity is significantly reduced. |
| **M1.29** | The Supplier must provide a transparent and fair mechanism for the assessment of a marker's marking / coding quality at the end of a marking / coding period, to inform future marker recruitment.  The mechanism for assessing marker quality should be outlined in the marking / coding plan, described in M1.7 and made clear to markers / coders prior to the start of marking / coding. |
|  | **Managing marking / coding progress** |
| **M1.30** | For larger scale Trialling / Sampling marking / coding periods, the Supplier must establish milestones in the marking / coding period and provide forecasts of marking / coding completion plotted against time over the marking / coding period.  These milestones must be of sufficient frequency to ensure the completion of marking / coding within the marking / coding period and provide early indication of any potential slippage. |
| **M1.31** | The Supplier must ensure that markers / coders are provided with deadlines, in their contract and guidance documentation, that relate to the progress milestones within the forecast for marking / coding completion, within the marking / coding period.The Supplier must ensure an effective and accurate mechanism for measuring individual marker's progress against milestones. The mechanism should also permit Lead or Deputy Lead markers / coders access to marking / coding progress data for markers / coders under their supervision.  The Supplier should chase markers / coders whose progress falls behind agreed deadlines and, where necessary, must retrieve and re-allocate unmarked test scripts to ensure that all marking / coding is completed according to agreed deadlines. |
|  | **Script Receipt, Scanning, Matching and Script Storage** |
| **M1.32** | Prior to Scanning (OSM) or marking / coding (Paper Based), the Supplier must provide a process which enables the Supplier to:   1. confirm that all expected Components of a Pupil's Test Script are present and in good order (when compared to the Attendance Record for the Pupil); 2. record, at Component level, where a Test Script is missing, partly missing or defaced; 3. add Pupils to the list of registered Pupils for a School where a Test Script has been received at the Scanning facility for an unregistered Pupil, or make corrections where the Test Script and Attendance Record do not exactly match; and 4. resolve either of the situations described in points 2 or 3 above with Schools / Administrators before making corrections.   The process must record an audit trail of all changes to the Attendance Record. |
| **M1.33** | The Supplier must define a process, and provide a mechanism to scan Test Scripts and associated Test materials (for example Attendance Capture Mechanisms, additional sheets used by pupils and Access Arrangement notification forms) to support the OSM Solution. All Scanning must be carried out in accordance with the Cabinet Office SPF. |
| **M1.34** | The Supplier must provide to DfE for agreement a test paper design and manufacturing specification (including print requirements) for use in the test paper design and print processes, which will ensure that all test papers and associated barcodes produced in line with the specification, can be scanned. Any scanning specification must be realistic in terms of the degree of precision that can be achieved in large-scale printing processes.  The Supplier must be able to define any quality assurance checks required in advance of scanning to provide confidence in the scanning solution, the specification of the materials required for those checks and the timeline for the checks, taking into account the availability of test materials before printing. The Supplier should also provide a detailed statement outlining the purpose and outcome of those checks. |
| **M1.35** | During Set-Up and mobilisation stage for each Trial / Sampling administration, the Supplier must also agree with DfE any specification for Attendance Capture Mechanisms, and any other supporting documents, which they will produce and scan. |
| **M1.36** | The Supplier must provide Scanning and Matching progress profiles for the completion of the accurate Scanning and Matching of all Test Scripts and associated materials to Pupil Data, plotted against time elapsed. The Scanning and Matching progress profiles must be agreed with DfE before Scanning and Matching commence for each Trial / Sampling administration. The Supplier must then meet or exceed the profiles agreed with DfE.  The Supplier must ensure the Scanning and Matching profiles take into account the anticipated and required rates of marking / coding in order to ensure that during the Marking / Coding Period Items / Item Groups / Components / Test Scripts are continually readily available for marking / coding to all Markers / Coders at all times; until Markers / Coders reach their individual Marking / Coding Targets or all Test Script marking / coding is complete. |
| **M1.37** | The Supplier must provide a mechanism to ensure the accurate Matching of scanned Test Script images to the list of pupils and capture of Pupils’ Attendance Record. The Matching process must be carried out in accordance with the Cabinet Office SPF, Data Protection Legislation and the business rules for Matching Test Script images to Pupil Data, which must be proposed by the Supplier and agreed with DfE. |
| **M1.38** | The Supplier must provide a mechanism to ensure that accurate Pupil Data is gathered, captured and matched to its corresponding Test Script image(s), where a record does not exist in the list of pupils supplied by DfE. |
| **M1.39** | The Supplier must ensure secure storage of all Test Scripts and associated Test Materials both during and after Scanning in line with the latest version of the Cabinet Office SPF. The Supplier must ensure all Test Scripts and associated Test Materials are readily available both in hard and soft copy; and stored in a manner that will enable prompt retrieval for processing of queries that may arise during the Test Cycle. The duration of secure storage for hard and soft copies of Test Scripts must be agreed with DfE. Depending upon the volume of Test Scripts processed and the duration of storage, prior to return to DfE or secure destruction, the Supplier may transfer the Test Scripts to a secure storage facility where the Test Scripts may still be accessed within no more than five Business Days. The Supplier must ensure that any Sub-contractor engaged in providing this aspect of the Service is BS/ISO 27001 accredited or working towards accreditation for Scanning and storage operations. |
| **M1.40** | The Supplier shall return indexed pdfs of all Script Booklets to the DfE on termination or expiry of the Framework Agreement or on request at the end of any Call Off order, in the manner determined by DfE. The archive will be indexed by a reference agreed by the Supplier with DfE e.g. item code.  The OSM system should also allow for a report to be produced which provides images of all responses (and associated messages) for all Items / Test Scripts requested by question number, code assigned, mark assigned, marker / coder, or other variable specified by DfE and agreed by the Supplier. |
|  | **Onscreen marking / coding mechanism** |
| **M1.41** | **The Supplier must ensure the OSM solution(s) enable Markers/ Coders to undertake the marking/coding of OSM Test Scripts electronically onscreen from their homes, or at a central marking / coding location via a secure internet connection.**  The Supplier must ensure the specification a Markers’ / Coders’ home personal computer must meet, is provided at the time of the acceptance of the Marker / Coder Contract, and is then not updated during the Test Cycle such that previously accepted technology is no longer compatible with the Mark Capture or OSM Solution (as applicable).  The specification for Markers / coders’ laptops or home computers is able to be met by the majority of people with a laptop or home computer and be able to work via the connectivity typically found to 95% of the homes in the UK. |
| **M1.42** | **The Supplier must ensure the OSM System captures Item level data for each Test Script, including Unscannable Test Scripts. The OSM System must also aggregate all Item marks for a Test Script to calculate a total Test Script mark. The OSM System should also be able to capture a valid Attendance Code for a Pupil where no Test Script has been presented for marking / coding.** |
| **M1.43** | **The Supplier must ensure that the OSM System includes a process for the handling of Unscannable Test Scripts (for example enlarged print, modified large print or Braille Test Scripts) or Test Scripts where the Pupil’s response is un-readable once scanned. The process must allow these Unscannable Test Scripts to be made available to Markers / Coders for marking / coding and to permit electronic Mark Capture for these Test Scripts.** |
| **M1.44** | **The Supplier shall ensure that the OSM System provides a mechanism for Double or Multiple Marking / Coding and Re –marking / coding at Item, Item group Component and / or Test Script level.**  **The double / multiple marking / coding mechanism should allow for double / multiple marking / coding to be focused according to parameters such as particular codes, or at a specified frequency (e.g. percentage).**  **The Supplier shall ensure that the Software provides a mechanism for storing and providing access to DfE to all sets of marks generated from double / multiple marking / coding and Remarking / coding.**  **The double / multiple marking / coding mechanism must include an adjudication function.**  **Where double or multiple marking / coding has been used, the Supplier shall ensure that the Software is able to generate a final mark based on results generation rules supplied by the Authority** |
| **M1.45** | **The Supplier shall ensure that the OSM System allows for automatic marking / coding of multiple choice and / or some selected response items, according to business rules agreed with DfE.** |
| **M1.46** | **The Supplier must ensure that the OSM System and Mark Capture Mechanism (where applicable):**   1. **have the facility to set up multiple Tests for each Test Cycle, with no limit on the concurrency of marking / coding for multiple Tests;** 2. **allow each Test to include at least three Component papers;** 3. **be able to allocate responses or Papers randomly and anonymously to markers / coders;** 4. have tested capability to efficiently process the volumes of School, Pupil, Marker and Mark data required for the provision of the Service; 5. **are capable of allowing two or more separate Mark Points / codes to be captured against each Item;** 6. **allow for Test Scripts to be marked at Test Script, Component, Item or Item Group level** (OSM only) and allow for the allocation of Items, Item groups, Components or Test Scripts to different groups of Markers / coders, for example, for clerical or expert marking / coding or to individual named Markers / Coders; 7. **manages the number of test scripts a marker can access at any one time, and the total allocation they can access for an item, both of which can be adjusted during the marking / coding process;** 8. **allows a marker / coder to save their marking / coding for review before submission (up to a defined number of scripts) and allows markers / coders to go back and change their marks for a defined (configurable) period after submitting marks;** 9. **are able to capture whether an Item has not been attempted as opposed to scoring zero;** 10. **are capable of allowing codes (which maybe numeric or letter based) to be awarded as well as marks;** 11. **are capable of mapping the codes assigned by markers / coders to another value in the database e.g. code A = 1;** 12. **are capable of allowing the alteration or addition of codes to the list of acceptable codes provided for an item, following set up of the system but prior to the commencement of live marking / coding (following pre –marking / coding);** 13. **record the date and time that each item of mark data is submitted by a Marker;** 14. **remove all Marks entered by a Stopped Marker so that their marks are not visible to the Re-allocated Marker(s);** 15. **provide a full audit trail on the marking / coding of each Item and produces accurate data on the marking / coding completed by individual Markers / Coders, for the purpose of administering payments to Markers / Coders;** 16. **allow individual Markers / Coders or a defined sub-group of Markers / Coders to mark any number and combination of Tests, Components, Items or Item Groups, once trained and passed Standardisation;** 17. **allow for the conduct of the agreed Standardisation and Ongoing Quality Assurance processes;** 18. **allow appointed markers / coders to set Definitive Marks for Standardisation and Items selected for the Ongoing Quality Assurance processes, Item groups and Papers;** 19. **In Trial / Sampling booklets, an item may appear in more than one booklet. The OSM solution should allow a marker to Standardise once for each item, with approval to mark being applied across that item in all booklets;** 20. **be able to accommodate changes to Definitive Marks for Standardisation and Ongoing Quality Assurance Items made once marking / coding is underway;** 21. **allow for Markers / Coders to be set up in line with the proposed Marker / Codes Hierarchy, the Supplier must ensure the solution does not limit the extent of the Marker / Coder Hierarchy, DfE anticipates the solution may need to accommodate up to five tiers of Marker / Coder Rank;** 22. **allow for DfE and other nominated markers/coders to be set up in the Marker Hierarchy, and have the same overview of messaging, marking / coding and reports as a Lead Marker / Coder, but without superseding their supervisory role;** 23. **are able to support the division of Markers / Coders into teams managed by a Lead or Deputy Lead Marker / Coder (or any other supervisory model the Supplier proposes as approved by DfE);** 24. **allow for the movement of Markers / Coders within the Marker / Coder Hierarchy across teams and Marker / Coder Ranks;** 25. **allow for the removal of Stopped or Withdrawn Markers/coders in accordance with the agreed procedures;** 26. **allow each Lead or Deputy Lead Marker / Coder to view the marking / coding, Mark Capture and Management Information relating to both their direct and indirect subordinate Markers / Coders, but not their peers or Supervisor;** 27. **allow each Lead or Deputy Lead Marker / Coder to permit any direct sub-ordinate Marker to review the Supervisors Marking / Coding (OSM only);** 28. **allow the image displayed for the marking / coding of each Item to be set as a defined image zone(s) on a Test Paper page(s) by the Supplier, and for the image zone(s) to be amended during the Marking / Coding Period (OSM only);** 29. **allow Markers / Coders the option to view the rest of the page / Test Script (excluding any pages containing Pupil Data) outside of the defined image zone(s) when marking / coding, in order to view any creditworthy response that may fall outside the image zone set up by the Supplier (OSM only);** 30. **allow Markers / Coders to view all of their previously marked Items / Item groups / Components / Test Scripts for reference;** 31. **allow Markers / Coders to adjust marks / codes for submitted responses, within agreed timelines / parameters agreed with DfE;** 32. **have the technical tools (for example, a ruler, protractor, and the facility to create overlays) to enable the accurate marking / coding of mathematical / scientific Test Items, such that Test content is not limited by the technical solution (OSM only).** 33. **have a mechanism to allow markers / coders to identify responses that may be useful to ongoing test development. Those responses should be able to be categorised in a way that is useful for test development processes; for example, response unclear how to mark, for marker training, for mark scheme development etc.** |
| **M1.47** | **The Supplier must ensure that the Mark Capture and OSM solution(s) have facilities for the Supplier and DfE nominated representatives to send messages securely within the system to all Markers / Coders, to an individual Marker, to Markers / Coders of a specific Test / Component / Item Group / Item, to Markers / Coders in a specific team or of a specific Marker / Coder Rank. The Mark Capture and OSM solution(s) must enable configurable categorisation of message / query types within the system (e.g. responses suitable for training, for coding frame exemplars etc.). The message format must allow for free comment as well as categorisation of message / query type. Generate reports showing , for example, responses, question number and marker comment and code awarded and be available throughout the marking / coding period. The OSM system should have some capacity to specify reports depending on what information is required.**  **The Supplier must ensure that the Mark Capture and OSM solution(s) have the facilities to make any messages mandatory for Markers / Coders to read at the time of log on.**  **The Supplier must ensure the messaging system allows for Lead or Deputy Lead Markers / Coders to send messages to their respective team, and DfE nominated representatives, and for Markers / Coders or DfE representatives to respond to messages. Where a marker has a linked query, the system must allow for those queries to be linked in the messaging system – e.g. allow for a chain of messages rather than a need to raise a new query for each response.**  **The Supplier must ensure the messaging system allows for Markers / Coders and Lead or Deputy Lead Markers / Coders allows for markers / coders to send messages with reference to a particular response they are marking / coding in the OSM solution and for the script to be easily accessed, possibly through a link.** |

**Section 4: Optional Services**

The following services may form part of future call-offs under this Framework, although DfE reserves the right to procure these services through existing Frameworks and agreements with other suppliers.

**PL2 Printing**

|  |  |
| --- | --- |
| **No** | **Requirement** |
| **PL2.1** | **Print quality and requirements**  The Supplier must print materials to the quality required, as defined below. Any variations to these specifications may be required in individual call-offs and will be identified at that point.   * In most cases, materials for Trialling / Sampling will be printed in black and white. Covers for booklets may need to be printed on coloured paper to aid the management of Trial administration. The colour of covers must take into account the method of data capture. Alternatively, the Supplier can choose to print in digital to support the supply of variable data and colours to covers. * Booklets are A4 in size and should be collated. * Braille and modified versions of materials   The Supplier will deliver 100% of all printed material specified in the call-off  The Supplier will provide supporting documentation as to the quality assurance accreditation they have achieved or are working towards.  In the absence of any formal accreditation, the Supplier shall provide in written submission internal procedures that can be presented to demonstrate adherence to the principles in all, or most of the ISO 9001: 2000 Quality Management System.  The Supplier will implement and maintain a quality assurance process for each product stream, and this shall be agreed with the DfE as part of any call off order.   * To assure DfE of quality of the final production of any item DfE will require the supplier to present 10 copies for the first 100, 10 from the mid-range and 10 from the last 500. These copies will be time stamped and presented to DfE prior to final dispatch. |
| **PL2.2** | **Variable data requirements**  To support Marking / Coding solutions in any one call-off DfE may require Test materials to be personalised to some degree from data and artwork supplied. This could range from but is not exclusive to;   1. The application of a variable barcode to front cover only 2. The application of a variable barcode, school and pupil data to front cover only 3. The application of a variable barcode, school and pupil data to front cover and variable barcode to all other pages 4. Full variable artwork and data for each booklet in any one suite of materials   DfE will Require that the supplier provide for assurance the variable data use and merge process   1. Data dump and data count checks to be agreed with DfE for each call off 2. PDF proof – range to be agreed for each call off 3. Sample packs for sign off – number to be agreed for each call off 4. Seeded copies – produced at regular intervals in each production run – archaism to be agreed for each call off 5. Barcode quality is assessed by DfE as follows A, B & C = Pass D&F = Fail. – the supplier will provide reports for DfE assurance on the quality of barcode through the production run. |
| **PL2.3** | **DfE and Downstream supplier specification**  DfE may at some point require the Supplier to prepare material in line with specific requirements for any one specific programme and or of downstream suppliers. In such a case, the Supplier would be required to provide assurance in response to any specification provided by DfE. This will be specified in a call-off as required. |

**Section 5: Performance Monitoring Requirements (Example for KS2 IVT)**

Managing key performance requirements, highlighted below, is essential to delivering this project on time and in full. Key performance requirements will be monitored throughout the life of the project and form part of the contractual relationship. Please review and confirm acceptance within your submission.

The following key performance indicators are indicative and relate to a KS2 IVT. Actual key performance indicators will be specified in each call-off.

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **Service**  **Requirement** | | **Performance**  **Measure** |
| 1 | Project management | Full attendance at project start-up meeting, process walk through, project management meetings and lessons learnt meeting (face to face and teleconference as necessary).  Progress reports, including risk and issues reporting to be submitted. Daily management information (MI) provided on all deliveries of secure materials to and from administrators.  Issue reports to be written for any deviations from the agreed contract. Security incident reports to be written for all breaches and potential breaches of security and confidentiality.  Product descriptions agreed between both DfE and Contractor. Products and outputs delivered to the required standards agreed in the product descriptions. | 100% – meeting documents to be provided at least 24 hours prior to organised project meetings. MI submitted daily during agreed windows. |
| 2 | Recruitment of schools | Sufficient number of appropriate and representative schools recruited on time. | 100% |
| 3 | Update Trialling documentation | Contractor to update the Administrator Guide, Pupil Data Forms, Administrator Questionnaire and Teacher Questionnaire to agreed quality level with DfE. | 100% |
| 4 | Submission of report on number of schools / pupils recruited and visits required | Report submitted to DfE, showing allocation of schools to test combinations, and representativeness of sample recruited. | 100% |
| 5 | Recruitment of administrators | Sufficient administrators to be recruited to administer the IVT. | 100% |
| 6 | Training of administrators | Training of administrators who have not been trained on DfE Trialling administration within the last 2 years. DfE to review and input into training. | 100% |
| 7 | Collate and distribute test booklets to administrators | All test materials correctly collated and distributed test administrators.  Return of all test papers, scripts and other test materials to and from administrators, with notification and acknowledgement of delivery of all materials. | 100% – all materials accounted for at all stages of the administration process. |
| 8 | IVT administration | Item Validation Trial is administered securely and completed on time. Number of pupils specified in Functional Requirements (section 1.c.) to sit each Trial booklet combination in each subject. | 100% |
| 9 | Initial sample of scripts (pre-marking / coding) | Initial sample of scripts are provided to DfE by agreed date. | 100% |
| 10 | Electronic delivery of pupil background characteristics data | Securely transfer final pupil background characteristics that have been reconciled with test data and provided to DfE. | 100% |
| 11 | Validate returned scripts and report nil responses | Contractor to confirm that all scripts used in the IVT have been returned. Provide a written report on validated returned scripts and scripts removed due to nil response. | 100% |
| 12 | IVT marking / coding | All marking / coding activities to take place to agreed timelines. The security and confidentiality of the tests materials to be maintained throughout the marking / coding process. | 100% |
| 13 | Data capture | Accurate data capture of all responses highlighted by markers / coders during the IVT marking / coding, and from the teacher and administrator questionnaires.  All data from the IVT tests accurately captured, including a 100% check of data entry from the tests and data cleaning.  Contractor to provide data to DfE in an electronic file format to be agreed with DfE, the outcomes from the analysis of the questionnaires should be provided in a spreadsheet formatted as per DfE instructions. | 100% |
| 14 | Handover test data files | All pupil background characteristic, test script and questionnaire data to be handed over to DfE on required date. | 100% accurate |
| 15 | Handover electronic archive | Electronic archive of questionnaires (teacher and administrator) and test scripts handed over to DfE on required date. | 100% accurate |
| 16 | Final IVT administration report | The IVT report to include an administration report and analysis of administrator and teacher questionnaires. Report content to be reviewed and agreed by DfE prior to handover. | Completed and submitted to DfE by required date to agreed quality standard. |
| 17 | Incentives to schools | All incentives to schools to be paid in a timely manner, before the end of the summer term. | As agreed with DfE |
|  |  |  |  |
| 18 | *Optional Service* – Printing | DfE to sign off print proof version of each test instrument before printing commences. Test proofs must match the hardcopy of the test provided to the Contractor.  Tests are fit for purpose in terms of accessibility for pupils and data collection. Quality checks to be performed on printed materials to ensure print quality. | 100% of tests meet print quality standards, on time and are signed off by DfE. |

GLOSSARY OF TERMS



**DOCUMENT 4**

**LIST OF ATTACHMENTS**

1. **TERMS AND CONDITIONS**

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1. **EVALUATION CRITERIA**

****

1. **DEPARTMENTAL SECURITY REQUIREMENTS**

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1. **STA External Security Guide**

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**DOCUMENT 5**

**DECLARATIONS AND INFORMATION TO BE PROVIDED BY THE TENDERER**

## FORM A: Organisation and Contact Details (not scored: for information)

|  |  |  |  |
| --- | --- | --- | --- |
| Full name of organisation tendering (or of organisation acting as lead contact where a consortium bid is being submitted) |  | | |
| **Organisation Details** | | | |
| Registered office address | Company or charity registration number |  | |
|  | VAT registration number |  | |
|  | Name of immediate parent company |  | |
|  | Name of ultimate parent company |  | |
| Type of organisation | | i) a public limited company |  | |
| ii) a limited company |  |
| iii) a limited liability partnership |  |
| iv) other partnership |  |
| v) sole trader |  |
| vi) other (please specify) |  |

|  |  |
| --- | --- |
| **Contact details** | |
| Contact details for enquiries | |
| Name |  |
| Address |  |
| Post Code |  |
| Country |  |
| Phone |  |
| Mobile |  |
| Email |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Consortia and Sub-Contracting | 1. Your organisation is bidding to provide the services required itself |  | |
|  |
| 1. Your organisation is bidding in the role of Prime Contractor and intends to use third parties to provide some services |  |
| 1. The Potential Provider is a consortium |  |
| If your answer is (b) or (c) please indicate in a separate annex (by inserting the relevant company / organisation name) the composition of the supply chain, indicating which member of the supply chain (which may include the Potential Provider solely or together with other providers) will be responsible for the elements of the requirement. | | | |

|  |  |  |
| --- | --- | --- |
| **QUESTIONS 1.1 and 1.2 FOR COMPLETION BY NON-UK BUSINESSES ONLY** | | |
|  | Registration with professional body  Is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in ***Annexes IX A-C of Directive 2004/18/EC***) under the conditions laid down by that member state? |  |
| 1.2 | Is it a legal requirement in the State where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement? If yes, please provide details of what is required and confirm that you have complied with this. |  |

**SELECTION CRITERIA**

**FORM B – Grounds for mandatory and discretionary exclusion** (scored: pass or fail)

You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

| 2 | Grounds for mandatory exclusion | |
| --- | --- | --- |
| Question no. | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.  Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | |
|  | Participation in a criminal organisation | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Corruption | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Fraud | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details. Include date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, and the identity of who has been convicted.  If the relevant documentation is available electronically, please provide the web address, issuing authority, and precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above, have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning) | Yes ☐  No ☐ |
| 2.3(a) | **Regulation 57(3)**  Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes ☐  No ☐ |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and / or fines. |  |

Please Note: The Department reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

| 3 | Grounds for discretionary exclusion | |
| --- | --- | --- |
| Question no. | Question | Response |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions. Please indicate if, within the past 3 years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in it. | |
| 3.1(a) | Breach of environmental obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(j)  3.1(j) - (i)  3.1(j) - (ii)  3.1(j) –(iii)  3.1(j)-(iv) | Please answer the following statements.  The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.  The organisation has withheld such information.  The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.  The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | (If Yes please provide details at 3.2)  Yes ☐  No ☐  Yes ☐  No ☐  Yes ☐  No ☐  Yes ☐  No ☐ |
| 3.2 | If you have answered Yes to any of the above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning) |  |

**Taking Account of Bidders’ Past Performance**

The Department may assess the past performance of a Supplier (through a Certificate of Performance provided by a Customer or other means of evidence). The Department may also assess whether specified minimum standards for reliability for such contracts are met.

In addition, the Department may re-assess reliability based on past performance at key stages in the procurement process (i.e. supplier selection, tender evaluation, contract award stage etc.). Suppliers may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

**Non-payment of taxes / social security contributions**

The Department reserves the right to use its discretion to exclude a supplier where it can demonstrate the supplier’s non-payment of taxes / social security contributions where no binding legal decision has been taken.

Please note that this section relating to tax compliance only applies where the Department has indicated that the contract is over £5million in value.

“Occasion of Tax Non-Compliance” means:

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

|  |  |  |
| --- | --- | --- |
| From 1 April 2013 onwards, have any of your company’s tax returns submitted on or after 1 October 2012: (Please indicate your answer by marking ‘X’ in the relevant box.) | | |
| 3.1 | Given rise to a criminal conviction for tax related offences which is unspent, or to a civil penalty for fraud or evasion; | ▢ Yes  ▢ No |
| 3.2 | Been found to be incorrect as a result of:   * + - HMRC successfully challenging it under the General Anti-Abuse Rule (GAAR) or the “Halifax” abuse principle; or     - a tax authority in a jurisdiction in which the legal entity is established successfully challenging it  under any tax rules or legislation that have an effect equivalent or similar to the GAAR or the “Halifax” abuse principle; or     - the failure of an avoidance scheme which the Supplier was involved in and which was, or should have been, notified under the Disclosure of Tax Avoidance Scheme (DOTAS) or any equivalent or similar regime in a jurisdiction in which the Supplier is established. | ▢ Yes  ▢ No |
| If answering “Yes” to either 3.1 or 3.2 above, the Supplier may provide details of any mitigating factors that it considers relevant and that it wishes the Department to take into consideration.  This could include, for example:   * + corrective action undertaken by the Supplier to date;   + planned corrective action to be taken;   + changes in personnel or ownership since the Occasion of Non-Compliance (OONC); or   + changes in financial, accounting, audit or management procedures since the OONC.   In order that the Department can consider any factors raised by the Supplier, the following information should be provided:   1. A brief description of the occasion, the tax to which it applied, and the type of “non-compliance”, e.g. whether HMRC or the foreign tax authority has challenged pursuant to the GAAR, the “Halifax” abuse principle etc. 2. Where the OONC relates to a DOTAS, the number of the relevant scheme. 3. The date of the original “non-compliance” and the date of any judgement against the Supplier, or date when the return was amended. 4. The level of any penalty or criminal conviction applied. | | |

## FORM C - Economic and Financial Standing Regulation 24 (scored: pass or fail)

1 The Authority will undertake a range of checks to determine financial risk, including a credit reference agency check and analysis of various financial ratios and trends. The financial assessment will be extended to include members of a group of economic operators, or any key subcontractors.

1.1 The Authority may ask a Potential Provider to provide a copy of your audited accounts for the most recent two to three years and / or one or more of the following in respect of the Potential Provider or the proposed Guarantor (as the case may be):

(a) a statement of turnover, profit and loss account / income statement, balance sheet / statement of financial position and statement of cash flow for the most recent year of trading;

(b) a statement of cash flow forecast for the current year and a bank letter outlining the current cash and credit position; and / or

(c) an alternative means of demonstrating financial status.

1.2 The Authority will use the information described in paragraph 1, in addition to a detailed credit reference agency report (where available) to assess whether a Potential Provider or its proposed Guarantor’s financial risk is acceptable.

1.3 If the Authority then determines (in accordance with paragraph 1.1) that the financial risk is determined as being acceptable, then the Tender will proceed to Form D of the Selection Stage evaluation process.

1.4 If the Authority determines (in accordance with paragraph 1.1) that the financial risk is determined as being unacceptable, then the Authority may (in its sole discretion) request that a Potential Provider nominate a Guarantor. If a Guarantor is nominated the Authority will undertake the steps at paragraphs 1 to 1.3 in respect of the proposed Guarantor.

1.5 Only if, after evaluating all the information requested and provided, the level of financial risk is still deemed unacceptable, or where the requested information at paragraph 1 has not been provided, then the Tender will be excluded from further involvement in the procurement.

1.6 If a Potential Provider is bidding as Lead Contact for a Group of Economic Operators, the assessment of economic and financial standing will be carried out in respect of each member of the Group of Economic Operators. If one or more members of the Group of Economic Operators is determined as having an unacceptable risk level following this assessment, then the relevant member(s) will be required to obtain a Guarantee. The Authority will undertake the steps at paragraphs 1 to 1.4 in respect of the proposed Guarantor. If a Guarantor cannot be provided and the level of financial risk remains unacceptable, the Tender will be excluded from further involvement in this Procurement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | **FINANCIAL INFORMATION** | | |
|  | | Please provide **one** of the following set out below **(please indicate which one by ticking the relevant box)**. | | |
|  | | *A copy of your audited accounts for the most recent two years.* | |  |
|  | | *A statement of your turnover, profit & loss account and cash flow for the most recent year of trading.* | |  |
|  | | *A statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position.* | |  |
|  | | *Alternative means of demonstrating financial status if trading for less than a year.* | |  |

## FORM D - Technical and Professional Ability Regulation 25 (scored: sum of question scores)

This section has a pass threshold of 7 marks from a maximum of 12 marks.

1. Technical Capability - Scored

|  |  |  |
| --- | --- | --- |
| **Question** | | **Scoring** |
| **A** | Please describe your organisational capability and experience of working successfully with educational organisations | 0= No answer  1= Unacceptable  2= Major Onmiisions  3= Minor Ommissions  4= Good answer |
| **Response** | |
| **(Maximum 250 words)** | **[Insert Actual Word Count]** |
|  | |
| **Question** | | **Scoring** |
| **B** | Please describe your organisational capability and experience of undertaking tests/trials within an education environment | 0= No answer  1= Unacceptable  2= Major Onmiisions  3= Minor Ommissions  4= Good answer |
| **Response** | |
| **(Maximum 250 words)** | **[Insert Actual Word Count]** |
|  | |
| **Question** | | **Scoring** |
| **C** | Please provide details in the tables below of up to three contracts of comparable value and complexity that you have undertaken successfully in the last three years for the provision of services similar to those required | 0= No answer  1= Unacceptable  2= Major Onmiisions  3= Minor Ommissions  4= Good answer |
| **Please note that DfE may contact any of the organisations listed and/or may choose to verify the accuracy of your information independently.** | |
| |  |  | | --- | --- | | **Contract 1** | | | Customer name & contact details: |  | | Date contract awarded and duration: |  | | Contract reference name and number: |  | | Brief description of services delivered (less than 100 words): |  | | Approximate lifetime value of contract: |  | | |
| |  |  | | --- | --- | | **Contract 2** | | | Customer name & contact details: |  | | Date contract awarded and duration: |  | | Contract reference name and number: |  | | Brief description of services delivered (less than 100 words): |  | | Approximate lifetime value of contract: |  | | |
| |  |  | | --- | --- | | **Contract 3** | | | Customer name & contact details: |  | | Date contract awarded and duration: |  | | Contract reference name and number: |  | | Brief description of services delivered (less than 100 words): |  | | Approximate lifetime value of contract: |  | | |

Form E – DfE Contract Terms and Conditions

1. Contract Terms and Conditions – Pass or Fail

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Please confirm whether or not you accept the Department’s standard terms and conditions as shown in the Model Contract as the basis of the contract. | Select one option below and mark with an [X]   |  |  | | --- | --- | | Yes |  | | No |  | | If No, details should be provided below | | |
| |  |  | | --- | --- | | **Contract Ref.**  **(Schedule & clause)** | **Basis for non-acceptance and proposed change** | |  |  | |  |  | |  |  | |  |  | | |

**This is a PASS or FAIL Section**

This section will not be scored but will be assessed in terms of whether your proposed changes constitute a non-compliant tender. Only minor changes will be considered. If the Department considers that your proposed changes contain significant amendments to the contract terms and conditions that present unreasonable risk or affect the financial model, delivery timescales or liability levels, the tender will be treated as non-compliant and not proceed to technical evaluation.

**FORM F – Defining Different Types of Organisations** (not scored: for information)

The Department is keen to collect information about SMEs. We are particularly interested in discovering how many SMEs apply for our contracts through the tendering process. Completion of the table below is for departmental information purposes only and will have no effect on the evaluation process outcomes. Government is committed to changing how it does business to make sure that small companies, charities and voluntary sector organisations are included and encouraged to compete for our contracts.

A voluntary sector organisation may also be a SME if it has the same attributes.

Please complete the table below.

| **Describe your Organisation** | | |
| --- | --- | --- |
| **What type of supply arrangement best describes you in relation to this bid?** | | **Delete as appropriate** |
| 1. | We are a SME by definition. | Yes/No |
| 2. | We are a Charity or Voluntary Sector Organisation (VSO). | Yes /No |
| 3. | We are a mutual organisation. | Yes/No |
| 4. | We anticipate using a supply chain to deliver against this service. | Yes/No |
| 5. | We estimate that that our service delivery will be i.e. 40% delivered by VSO’s / SMEs. | …….% |
| 6. | If none of the above applies please describe the type of organisation you are: | |
| 7. | Please provide us with your Dun and Bradstreet Number, or if a consortium, the lead bidder’s number.  <http://www.dnb.co.uk/dandb-duns-number> |  |

The Department uses Dun and Bradstreet Numbers to manage its data around suppliers; we strongly encourage all suppliers to apply for a free Dunn’s numbers. The link to apply is: <http://www.dnb.co.uk/myduns> - add ‘GOVERNMENT SUPPLIER’ as a reason for requesting your D&B DUNS number.

**Do not delay returning your tender if you do not already have a Dun and Bradstreet number. Returning your tender within the deadline is more important**.

Award Stage

|  |
| --- |
| **Evaluation sections and questions**  The method of scoring the evaluation sections will be a 4 point scale. Evaluators will use this to assign a score to each evaluation question response. |

|  |  |  |
| --- | --- | --- |
| **Mark** | **Score** | **Descriptor** |
| Good | 4 marks | The answer includes all supporting documents specifically requested by the question and demonstrates that the Bidder possesses the relevant ability, flexibility, understanding, skills, resource and quality measures required to meet the Authority’s requirements in full. |
| Minor Omissions | 3 marks | The answer includes all or some of the supporting documents specifically requested by the question and demonstrates that the Bidder possesses the relevant ability, flexibility, understanding, skills, resource and quality measures required to meet most of the Authority’s requirements but with some minor omissions. |
| Major Omissions | 2 marks | The answer includes all or some of the supporting documents specifically requested by the question and demonstrates that the Bidder possesses the relevant ability, flexibility, understanding, skills, resource and quality measures required to meet some of the Authority’s requirements but with some major omissions. |
| Unacceptable | 1 marks | The answer does not demonstrate that the Bidder possesses the relevant ability, flexibility, understanding, skills, resource and quality measures required to meet the Authority’s requirements. No supporting documents are provided where these are specifically requested by the question. |
| No Answer Provided | 0 marks | No answer provided. |

**Award Stage**

**Form G - Technical Proposal**

1. Mobilisation / Project Management

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 10%  Provide a detailed mobilisation plan setting out how you will implement your service from contract signature for operational delivery including:   * Overall approach including assumptions and dependencies * A project plan with principal milestones, activities and resources * Main risks and proposed mitigations * A description of your approach to effective, transparent and cooperative project management working practices within DfE. * Progress reporting * Cooperation with DfE in the event of a failure to mobilise   Please use a Technical Pre-Test as the basis for your response | |
| (maximum 3000 words) | Word Count - [ ] |
| **Supplier Response**: | |

1. Resource Management

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 5%  Describe your resource strategy for delivering these services including:   * An organisation chart showing named managers, delivery responsibilities and staff numbers per role from the prime and subcontractors and showing primary interfaces with DfE * Abridged CVs for named managers showing relevant expertise and qualifications * Management of sub-contractors, their roles, responsibilities and staff numbers | |
| (maximum 1500 words) | Word Count [ ] |
| **Supplier Response**: | |

1. Ways of Working

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 5%  Describe your approach to working with DfE to deliver a responsive and customer-focused service including:   * Participation in project governance * Approach to consistent and coordinated communications * Customer service strategy and feedback * Quality of products * Location and collocation of staff * Primary points of contact * Risks and proposed mitigations and contingencies * Escalation and resolution of issues * Approach during periods where no call-offs have been offered or you have not been successful | |
| (maximum 3000 words) | Word Count - [ ] |
| **Supplier Response**: | |

1. Relationship Management

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 15%  Describe your proposed approach to building and maintaining effective relationships to ensure successful delivery of all trials and samples, including:   * School recruitment strategy * Communicating methods with schools * Building effective relationships with schools * Developing effective relationships with administrators * Developing effective relationships with marker/coders * Developing effective and continuously improving the relationship with DfE | |
| (maximum 2000 words) | Word Count – [ ] |
| **Supplier Response**: | |

1. Management Information and Reporting

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 5%  Describe your approach to providing comprehensive management information to enable DfE assurance of service delivery including:   * Method / process by which MI will be generated and shared with DfE * A list of main MI reports detailing proposed frequency and their use for the specified delivery periods (by Key Milestone) | |
| (maximum 2000 words) | Word Count - [ ] |
| **Supplier Response**: | |

1. Information Security

|  |  |  |  |
| --- | --- | --- | --- |
| |  | | --- | | **Security Weighting 10%**  Please describe how data and assessment materials will be kept secure and meet data protection legislation requirements.  Could you also complete the Statement of Assurance document embedded below. | |  | | |
| (maximum 2000 words plus spreadsheet) | Word Count - [ ] |
| **Supplier Response**: | |

1. Recruitment,training and management of Administrators

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 15%  Please describe your approach to recruiting administrators to undertake trialling activities, including:   * Recruiting processes to establish network of Administrators * Development and training plans * Succession planning and business continuity plans focusing specifically on administrators * Numbers and regions covered with existing relationships * Processes for flexing up and down dependent on trials undertaken | |
| (maximum 2000 words) | Word Count - [ ] |
| **Supplier Response**: | |

1. Tracking and Delivery of Packages

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 10%  Please explain how you track packages through your network from the point of collection through to delivery, including your method for recording package movement, proof of collection and proof of delivery.  Please describe how quickly this information can be shared within your network and to third parties and how exceptions (e.g. package losses) or issues with services providers are managed. | |
| (maximum 1000) | Word Count - [] |
| **Supplier Response**: | |

1. Marking / coding services

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 20%  Describe how your organisation will provide allMarking / Coding services and systems at the commencement of the Framework. If your organisation is unable to provide any of the ‘desirable’ onscreen marking system requirements from the outset please outline options for alternative solutions or systems development to facilitate providing these services in the future. | |
| (maximum 3000) | Word Count - [ ] |
| **Supplier Response**: | |

1. Transition and Exit

|  |  |
| --- | --- |
| **Evaluation Question:** Weighting 5%  Provide an outline, costed exit plan setting out how you will cooperate with DfE and any new supplier at the end of the contract in order to effect a smooth and timely transition including:   * Overall approach including assumptions and dependencies * An Exit Plan with milestones, activities and resources including Supplier requirements of DfE and the incoming supplier * Resources required and costs (from Pricing Model) * Assets, data, materials and software to be made available to the incoming supplier * Main risks, proposed mitigations and contingencies | |
| (maximum 2500 words) | Word Count - [ ] |
| **Supplier Response**: | |

Optional Requirements (Not Scored – For Information only)

11

|  |  |
| --- | --- |
| **Evaluation Question:**  Describe how your organisation may provide ***Printing*** services as part of the framework at the commencement of the Framework. If your organisation is unable to provide these services, please explain potential options for providing these services in the future. | |
| (maximum 2500 words) | Word Count - [ ] |
| **Supplier Response**: | |

**Form H - Pricing**

Template for completion attached:



|  |
| --- |
| Declaration by Tenderer |
| *I have examined DfE's requirements under the Contract STA 0166 Trialling Agency Framework and proposed Call-Off terms and conditions and hereby offer to enter into a framework agreement with DfE/STA for the required services and at the rates and prices set out in my enclosed technical and pricing proposal.*  *I furthermore warrant that:*   * *I have the required corporate authority to sign this tender.* * *There has been no breach of DfE's confidentiality requirements.* * *There is no conflict of interest in our proposed delivery of this service.* * *There has been no collusion with other Tenderers or potential Tenderers.* * *There has been no canvassing of DfE/STA staff.* * We agree that the Department may disclose the Contractor's information / documentation (submitted to the Department during this Procurement) more widely within Government for the purpose of ensuring effective cross-Government procurement processes, including value for money and related purposes; and * *The Tender shall remain open for acceptance by DfE/STA for a period of 90 days after the due date for return of tenders.* |

|  |  |
| --- | --- |
| Signed | *[Please complete]* |
| Name |  |
| Date |  |
| Role |  |
| Authorised to sign tenders on behalf of [organisation name] |  |