

This contract is made on 29<sup>th</sup> day of October . 2019

- 1 THE SECRETARY OF STATE FOR EDUCATION of Sanctuary Buildings, 20 Great Smith Street, London, SW1P 3BT ("DFE"); and
  - 2 University College London registered in England and Wales under number RC000631 whose registered office is Gower Street, London, WC1 E6BT, UK (the "Contractor")
- each a "Party" and together the "Parties".

**It is agreed that:**

1. this contract, together with the attached schedules and annexes, collectively form the "Contract"; and
2. if there is a conflict between the provisions of the clauses of the Contract and the provisions of the schedules, the following order of precedence shall apply:
  - (a) schedule 2 (Terms and Conditions);
  - (b) schedule 1 (Specification);
  - (c) schedules 3 to 9; and
  - (d) schedule 10 (Contractor's Solution).

The Contract has been executed on the date stated at the beginning of this page. It shall be effective from 1<sup>st</sup> September 2019 to 1<sup>st</sup> September 2025. Subject to mutual agreement by the Parties, it may be extended by one year.

The initial value (excluding any variations) of this contract is £12,453,955.00

**SIGNED by the CONTRACTOR acting by**

**Authorised Signatory**

**In the presence of**

JO WILBY

**Witness signature**

**Occupation** ADMINISTRATIVE SECRETARY

**Address** 125D NORTHCHURCH ROAD

**Date** 29/10/19

**SIGNED by DFE acting by** UAP . ROBERT ARNOTT

**Position** DIRECTOR .

**in the presence of** Rachael Southgate

**Witness signature** Kallie

**Occupation** Civil servant

**Address** Department for Education, 20 Great Smith Street,  
London, SW1P 3BT

**Date** 29/10/19

Table of Contents  
Contract Schedules

|             |   |
|-------------|---|
| Schedule 1  | Specification   |
| Schedule 2  | Terms and Conditions  |
| Schedule 3  | Financials  |
| Schedule 4  | KPIs, Service Levels, Service Credits and Performance Measures. |
| Schedule 5  | Implementation Plan   |
| Schedule 6  | Change Control Procedure  |
| Schedule 7  | Key Personnel and Key Sub-Contractors                           |
| Schedule 8  | Data, Systems Handling and Security                             |
| Schedule 9  | Commercially Sensitive Information                              |
| Schedule 10 | Contractor's Solution   |

• ■ -

! -

Schedule 1  
The Specification

1 Introduction/Background

- 1.2 Educational psychologists (EPs) play a key role in the education system, both in terms of assessing individual children and young people's needs for Education and Health Care Plans (EHCPs) and by supporting teachers and Special Educational Needs Co-ordinators in mainstream schools with specialist advice to improve outcomes for pupils with Special Educational Needs.
- 1.3 EPs support the social, emotional and mental wellbeing of children and young people, supporting families and teachers to help address the increase in mental health problems. They provide support that stops further special st provision from being required, and will link up with the new Mental Health Support Teams (MHST).
- 1.4 The Department for Education (DfE) helps provide a steady supply of EPs to the Local Authorities (LA) workforce in England through the commissioning and funding of providers to deliver the EP training course.

2 Purpose

- 2.1 The aim of this agreement is to ensure a steady flow of new student trainee entrants to the EP workforce. The DfE requires providers to deliver a Health and Care Professions Council (HCPC) accredited Level 8 (doctorate level) Educational Psychologists postgraduate qualification.
- 2.2 The programme will run on a 3-year cycle. A single cohort will require three academic years of training and tuition. In year one trainees will be university based with short practice placements. In years two and three, trainees will be on practice placement in an EP service within a Local Authority alongside a senior EP.
- 2.3 There shall be three 3-year cohorts running across the academic years from 2020 to 2025, with the first cohort scheduled to start the training in 2020, second cohort in 2021, and third cohort in 2022.
- 2.4 This agreement will be for six years: 1 September 2019 to 1 September 2025. There will be approximately one year allotted between the agreement and signing of the contract in September 2019, to the commencement of the contract and the start date of the first trainee cohort, in September 2020. This period is to facilitate the Contractor to become HCPC accredited, and to become compliant with any other technical or legal standards, and to start the recruitment process for the 2020 cohort.

|                       | Sep-19 | Sep-20 | Sep-21 | Sep-22 | Sep-23 | Sep-24 |
|-----------------------|--------|--------|--------|--------|--------|--------|
| Contract Preparations |        |        |        |        |        |        |
| Cohort 1              |        |        |        |        |        |        |
| Cohort 2              |        |        |        |        |        |        |
| Cohort 3              |        |        |        |        |        |        |

### **3 Deliverables**

#### **3.1 Summary of deliverables**

##### **The Contractor shall:**

- 3.1.1 Manage an Initial Training for Educational Psychologists programme to deliver high quality initial training for an agreed number of EPs.
- 3.1.2 Design a Level 8 Educational Psychologist post graduate qualification accredited to the Health Care Professions Council (HCPC) and to deliver the course to the agreed number of trainees utilising suitably qualified and experienced personal.
- 3.1.3 Identify and put in place all necessary arrangements for each trainee to undertake a placement that meets HCPC standards, within a Local Authority.
- 3.1.4 Monitor performance and manage the collection of data / information requested by DfE.
- 3.1.5 Design and implement a fair and equitable application process that treats suitably qualified candidates solely on the basis of merit and includes an online application portal.
- 3.1.6 Further information for each of these deliverables follows.

#### **3.2 ITEP course management**

- 3.2.1 Recruit, train and certify 80 trainees to doctoral level.
- 3.2.2 The five partner higher education institutions (HEIs) in the SEEL Consortium shall all have Health and Care Professions Council (HCPC) approval, and be fully compliant with all key requirements in relation to the delivery of high quality training, assessment, supervision and support to trainees.
- 3.2.3 All Consortium Members shall comply with national requirements of the Quality Assurance Agency (QAA) for higher education.
- 3.2.4 Funded places will be distributed equitably across the five HEIs in the SEEL consortium (16 each) and this will contribute to a fair regional distribution in England.

#### **3.3 ITEP course content and delivery quality**

- 3.3.1 The five partner higher education institutions (HEIs) in the SEEL Consortium shall design and deliver a HCPC approved level 8 educational psychologist postgraduate qualification.
- 3.3.2 All Consortium Members shall ensure that the course curriculum remains up to date reflecting changes in policy direction, the needs of employers of EP services and service users.
- 3.3.3 All Consortium Members shall ensure that the training course achieves satisfaction rating that exceed 90% of trainees rating the training programme as good or above.

### 3.4 Practice Placements

- 3.4.1 The five partner higher education institutions (HEIs) in the SEEL Consortium shall work in partnership with employers to plan and deliver high quality practice placements for all of their trainees within local authorities that meet HCPC standards.
- 3.4.2 All Consortium Members shall ensure that local authorities in the greatest need have educational psychologist trainees on placement.
- 3.4.3 All Consortium Members shall put in place measures to ensure a high quality practice placement experience for trainees

### 3.5 Recruitment to TEP

- 3.5.1 The five partner higher education institutions (HEIs) in the SEEL Consortium shall manage the application and recruitment process.
- 3.5.2 All Consortium Members shall design and implement a fair and equitable application process that treats suitably qualified candidates based on merit.
- 3.5.3 All Consortium Members shall ensure that they fill all of their allocated places (16) while at the same ensuring that they recruit high quality candidates from a diverse range of experiences.
- 3.5.4 All Consortium Members shall ensure that all successful candidates meet the entrance criteria and understand fully all of the conditions of the funding with particular reference to the requirement that trainees must work as an educational psychologist for two years FTE in an English local authority immediately after graduation.
- 3.5.5 All Consortium Members shall ensure that all the processes are in place to ensure that Disclosure and Barring Service (DBS) checks are planned and organised prior to trainees starting their training.

### 3.6 Reporting and contract management

- 3.6.1 The five partner higher education institutions (HEIs) in the SEEL Consortium shall monitor performance and manage the collection of data/information requested by DfE.
- 3.6.2 The SEEL Consortium shall provide monthly reports to DfE updating on recruitment, deferrals and placements and any other concerns raised by trainees.
- 3.6.3 All Consortium Members shall ensure that they have security plans to ensure that DfE data and the personal data of individuals will be protected.
- 3.6.4 All Consortium Members shall ensure that they have arrangements in place to monitor and manage data systems including compliance with data security requirements.

### 3.7 Withdrawals, Deferrals, and Exemptions

- 3.7.1 There will be strict criteria for students that wish to defer their training or entirely withdraw from the course. The Contractor is required to enforce the criteria prescribed under this clause 3.7 and will be held accountable for their enforcement through contract management mechanisms linked to Key Performance Indicators at Table 2.
- 3.7.2 The Withdrawal and Deferral criteria are:

- sickness resulting in incapacity to work as verified in writing by a GP up to 1 month with written agreement from the course director and notified to DfE
- pregnancy as verified in writing by a GP with written agreement from the course director and notified to DfE
- any fulltime carer's responsibilities not known to the trainee at the time of application to the course relating to caring of protected or vulnerable people
- any reasonable factor prohibiting trainees from fulfilling the requirement contained within the above paragraph subject to DfE's absolute discretion

3.7.3 It is a core aim of this programme for EP trainees to work for a minimum of two years FTE in a Local Authority in England immediately following graduation.

3.7.4 The exclusion criteria that would exempt a graduate from complying with 3.7.3 are:

- sickness resulting in incapacity to work as verified in writing by a GP. Any periods of sickness will be excluded for the purposes of the 2 years required in paragraph 3.7.3.
- any periods of time spent on maternity or paternity leave will be excluded for the purposes of the 2 years required in paragraph 3.7.3
- any fulltime carer's responsibilities not known to the trainee at the time of application to the course relating to caring of protected or vulnerable people. Any such fulltime carer whose caring responsibilities continue for more than 2 calendar years after graduation will be considered exempt from the requirements of paragraph 3.7.3
- any reasonable factor prohibiting trainees from fulfilling the requirement contained within paragraph 3.7.3 subject to DfE's absolute discretion

3.7.5 The Contractor is required to enforce these criteria and will be held accountable for their enforcement through contract management mechanisms linked to Key Performance Indicators.

3.8 Reclamation of funds

3.8.1 In the event a Trainee withdraws or defers from the course and does not meet the criteria prescribed at 3.7, DfE may, at its discretion, reclaim from the Trainee:

(a) up to the full cost of the university fees and/or

(b) up to the full bursary costs

and the Contractor and its sub-Contractors shall incorporate provisions into the Student Agreement to give effect to this clause 3.8.1 and specifically provide for the third party rights in favour of DfE to enforce such provisions directly against the Trainee

3.8.2 In the event a Graduate:

(a) Fails to find employment as an Educational Psychologist with an English LA within 3 months of qualifying

and/or;

(b) Fails to remain employed as an Educational Psychologist by an English LA for at least 2 years full time: DfE may, at its discretion, reclaim from Graduate:

(i) up to the full cost of the university fees and/or

(ii) up to the full bursary cost.

and the Contractor shall incorporate provisions into the Student Agreement to give effect to this clause 3.8.2 and specifically provide for the third party rights in favour of DfE to enforce such provisions directly against the Graduate. The Contractor will use reasonable endeavours and internal mechanisms to promote to the newly qualified graduate, the importance of working within a LA after graduation for a period of 2 years.

- 8.3 The Consortium Members shall each formulate their own Student Agreement with each of their Trainees, clearly explaining each Trainee's obligations regarding their acceptance of funds and which facilitates the DfE to reclaim funds from the Trainee aligned with the above withdrawals, deferrals, exemptions, and post-graduation employment criteria.

Schedule 2  
Terms and Conditions

CONTENTS

| CLAUSE |  |
|--------|--|
|        | DEFINITIONS AND INTERPRETATION               |
| 2      | TERM   |
| 3      | THE SERVICES                                 |
| 4      | CONSORTIA                                    |
| 5      | TRANSFER AND SUB-CONTRACTING                 |
| 6      | PERSONNEL                                    |
| 7      | TUPE   |
| 8      | CHARGES                                      |
| 9      | TAX AND VAT                                  |
| 10     | PREVENTION OF CORRUPTION                     |
| 11     | DISCRIMINATION                               |
| 12     | INTELLECTUAL PROPERTY                        |
| 13     | DATA, SYSTEMS HANDLING AND SECURITY          |
| 14     | PUBLICITY AND PROMOTION                      |
| 16     | CONFIDENTIALITY                              |
| 16     | FREEDOM OF INFORMATION                       |
| 17     | OFFICIAL SECRETS ACT AND FINANCE ACT         |
| 18     | LIABILITY                                    |
| 19     | WARRANTIES AND REPRESENTATIONS               |
| 20     | FORCE MAJEURE                                |
| 21     | MONITORING AND REMEDIATION                   |
| 22     | STEP IN RIGHTS                               |
| 23     | TERMINATION                                  |
| 24     | RE-TENDERING AND HANDOVER                    |
| 26     | EXIT MANAGEMENT                              |
| 26     | AUDIT  |
| 27     | ENTIRE AGREEMENT                             |
| 28     | PARTNERSHIP                                  |
| 29     | <b>WAIVER</b>                                |
| 30     | CHANGE CONTROL                               |
| 31     | COUNTERPARTS                                 |
| 32     | CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999 |
| 33     | CONFLICTS OF INTEREST                        |
| 34     | FURTHER ASSURANCE                            |
| 35     | NOTICES                                      |
| 36     | DISPUTE RESOLUTION                           |
| 37     | GOVERNING LAW AND JURISDICTION               |

## 1. DEFINITIONS AND INTERPRETATION

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

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

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

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

"CCN" means a Change Control Note in the form set out in schedule 6.

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

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

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

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

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

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

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

"Consortium Agreement" means, if the Contractor is a Consortium, an agreement:

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

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

"Consortium Member" means a member of a Consortium (if any).

"Contractor Background IP" means any and all Intellectual Property Rights in materials made available by or on behalf of the Contractor or the Consortium Members in connection with the provision of the Services and the Contract excluding any Service Specific IP Materials.

"Contractor Equipment" means the Contractor's ICT equipment.

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

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

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

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

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

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

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

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

"DFE Trade Marks" means proprietary trade mark rights of DFE including those notified to the Contractor by DFE from time to time.

"Dispute" means any dispute between the Parties in connection with the Contract.

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

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

"Effective Date" means xxx.

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

"Employment Liabilities" means all actions, proceedings, costs (including reasonable legal costs), losses, damages, fines, penalties, compensation, awards, demands, orders, expenses and liabilities connected with or arising from all and any laws including, without limitation, directives, statutes, secondary legislation, orders, codes of practice, contractual obligations and other common law rights whether of the European Union, United Kingdom or any other relevant authority relating to or connected with:

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

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

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

"Force Majeure" means any event or occurrence which is outside the reasonable control of the Party concerned and which is not attributable to any act or failure to take reasonable preventative action by that Party, including fire; flood; violent storm; pestilence; explosion; malicious damage; armed conflict; acts of terrorism; nuclear, biological or chemical warfare; or any other disaster, natural or man-made, but excluding:

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

"General Anti-Abuse Rule" means:

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

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

"Graduate" means a Trainee that has completed the Initial Training for Educational Psychologists programme, pursuant to this Contract, run by the Contractor and/or any of its Sub-contractors.

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

"HMRC" means Her Majesty's Revenue and Customs.

"CT" means information and communications technology.

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

"Initial Term" means the period from the Effective Date to 1<sup>st</sup> September 2025.

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

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

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

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

"Key Sub-Contractor" means any Sub-Contractor identified as such in schedule 7 or otherwise identified as such by DFE

"Material Breach" means a breach (including an anticipatory breach) that is serious in the widest sense of having a serious effect on the benefit which the non-breaching party would otherwise derive from:

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

"NCs" means National Insurance Contributions.

"Occasion of Tax Non-Compliance" means:

- (a) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 which is found on or after 1 April 2013 to be incorrect as a result of:
  - (i) a Relevant Tax Authority successfully challenging the Contractor under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;
  - (ii) the failure of an avoidance scheme which the Contractor was involved in, and which was, or should have been, notified to the Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or

October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

"Performance Measures/Standards" means the standards which the Contractor will measured against in respect of the delivery of the Services aligned to defined Key Performance Indicators (KPIs)

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

"Prohibited Act" means:

- (a) to directly or indirectly offer, promise or give any person working for or engaged by the DFE a financial or other advantage to:
  - (i) induce that person to perform improperly a relevant function or activity; or
  - (ii) reward that person for improper performance of a relevant function or activity;
- (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with the Contract;
- (c) an offence:
  - (i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act);
  - (ii) under legislation or common law concerning fraudulent acts; or
  - (iii) the defrauding, attempting to defraud or conspiring to defraud the DFE;
- (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct has been carried out in the UK.

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

"Regulations" means the Public Contract Regulations 2015.

"Regulatory Body" means a government department and regulatory, statutory and other entities, committees, ombudsmen and bodies which, whether under statute, rules, regulations, codes of practice or otherwise, are entitled to regulate, investigate, or influence the matters dealt with in the Contract or any other affairs of the DFE.

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

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

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

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

"Request for Information" means a request for information under the FOIA or the EIR.

"Restricted Country» means:

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

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

"Services" means the services described in the Specification.

"Services Commencement Date" means xxx

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

"Service Level" means the levels of Service defined in schedule 4.

"Service Period" means the period of time over which each respective Key Performance Indicator is measured according to Table 1 and Table 2 of Schedule 4.

"Service Users" means those receiving the Services.

"Specification" means the description of the Services to be supplied under the Contract set out in schedule 1.

"Student Agreement" means the agreement that each Consortium Member has in place with Trainees.

"Sub-Contract" means a contract between 2 or more suppliers, at any stage of remoteness from DfE in a sub-contracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the Contract and "Sub-contractor" shall be construed accordingly.

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

"TFEU" means the Treaty on the Functioning of the European Union.

"Trainee" means an individual student undertaking the Initial Training for Educational Psychologists programme, pursuant to this Contract, run by the Consortium.

"Treaties" means the TFEU and the Treaty on European Union.

"TUPE" means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

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

12 The following notes of construction and interpretation apply to the Contract

references to a statute or statutory provision shall, unless the context otherwise requires, include a reference to that statute or statutory provision as from time to time amended, modified, extended, re-enacted or consolidated and all statutory instruments or orders made pursuant to it whether replaced before or after the date of the Contract which are in force prior to the date of the Contract;

122 the expression "person" means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture;

123 the words "include", "includes", "including" and "included" will be construed without limitation unless inconsistent with the context;

124 the masculine includes the feminine and the neuter, and the singular includes the plural and vice versa as the context shall admit or require;

- 125 any reference in the Contract to a clause or schedule is a reference to a clause or schedule of the Contract and references in any schedule to paragraphs relate to the paragraphs in that schedule;
- 126 the clause headings are included for convenience only and shall not affect the interpretation of the Contract; and
- 127 the schedules and appendices form part of the Contract and shall have effect as set out in full in the body of the Contract and any reference to the Contract includes the schedules.

## 2. TERM

- 2.1 The Contract commences on the Effective Date and, subject to any provision of the Contract for earlier termination, or extension set out in this clause 2, will terminate at the end of the Initial Term.
- 2.2 DFE may extend the Initial Term for three years to facilitate one additional three year trainee cohort beginning in September 2025 by giving not less than 3 months' written notice to the Contractor prior to the expiry of the Initial Term.

## 3. THE SERVICES

- 3.1 The Contractor shall provide the Services in the Area in accordance with the Specification and undertake and be responsible for all obligations of the Contractor in respect of the Services.
- 3.2 The DFE may appoint other Contractors for the Services in the Area.
- 3.3 The Contractor shall, in performing its obligations under the Contract:
- 3.3.1 conform to the requirements of the Specification and the Contractor's Solution or as otherwise agreed in writing between the Parties;
  - 3.3.2 carry out and complete the Services in a proper professional manner (taking account of the standards of a reasonably proficient practitioner) and in conformity with all reasonable directions and requirements of the DFE specified by the DFE from time to time;
  - 3.3.3 comply with Good Industry Practice;
  - 3.3.4 ensure that the Services are provided by competent and appropriately trained personnel;
  - 3.3.5 comply with the Quality Standards and where applicable, shall maintain accreditation with the relevant Quality Standards authorisation body;
  - 3.3.6 comply with the KPIs, Service Levels and Service Credit requirements set out in schedule 4;
  - 3.3.7 Not used
  - 3.3.8 in so far as is reasonably practicable, comply with any policies and procedures adopted by the DFE from time to time within 30 days of the same being brought to the attention of the Contractor by the DFE Provided that any adopted policies or procedures do not conflict with those policies or procedures of the Consortium Members that apply generally to their staff and students.
  - 3.3.9 comply with applicable law and any applicable codes of practice or governmental regulation which have the force of law, and monitor compliance

with relevant legislation

3.3.10 comply with all health and safety legislation, and shall endeavour to adopt and maintain safe operating systems of work and appropriate safety policies in order to protect the health and safety of Personnel/employees of the DFE, the Service Users and all other persons including members of the public;and

3.3.11 comply with all safety, security, acceptable use and other policies of the DFE from time to time notified to it and procure that the Personnel also comply.

3.4 The DFE may provide data and materials to the Contractor and access to systems for the purposes of providing the Services that the Contractor may use but only to the extent necessary to enable the Contractor to provide the Services.

3.5 All equipment and other property brought onto DFE Premises shall be at the Contractor's own risk and the DFE shall have no liability for any loss of or damage to any such equipment and property unless the Contractor is able to demonstrate that such loss or damage was caused by the negligence of the DFE.

3.6 Any land or DFE Premises made available from time to time to the Contractor by the DFE in connection with the Contract shall be made available to the Contractor on a non-exclusive licence basis free of charge and shall be used by the Contractor solely for the purpose of performing its obligations under the Contract. The Contractor shall have the use of such land or DFE Premises as a licensee and shall vacate the same on completion, termination or abandonment of the Contract or the task in respect of which such land or DFE Premises was made available.

3.7 The Contract does not create a tenancy of any nature whatsoever in favour of the Contractor or any of the Personnel and no such tenancy has or shall come into being and notwithstanding any rights granted pursuant to the Contract, the DFE retains the right at any time to use any DFE Premises in any manner.

3.8 To the extent that the provision of the Services is delayed or the Contractor's performance in the provision of the services is hindered by any act or omission of the DFE, the Contractor shall: i) not be held responsible for such delay or hindrance (including for failure to meet KPIs) provided that the Contractor can demonstrate it has made reasonable efforts to provide the services in spite of said act or omission by the DFE, and ii) be allowed an extension of time to provide the services equal to the delay or hindrance caused by the DFE.

#### **4. CONSORTIA**

4.1 If the Contractor is a Consortium it shall comply with the terms of this clause 4.

4.2 The Contractor may appoint additional or replacement Consortium Members to assist it in the performance of its obligations under the Contract, provided that the Contractor shall ensure that such Members are approved by the DFE in writing. The Contractor shall ensure that such Members are approved by the DFE in writing. The Contractor shall ensure that such Members are approved by the DFE in writing.

4.3.

4.3 No new person or entity may become a Consortium Member until:

4.3.1 the DFE has given its prior written consent to the new Consortium Member;

4.3.2 the new Consortium Member has signed a Deed of Adherence; and

4.3.3 a copy of the Deed of Adherence has been given to the DFE.

4.4 The Contractor shall promptly inform the DFE if and how any Consortium Member breaches the terms of the Consortium Agreement.

4.5 Save as provided for in this clause 4, the Contractor may not sub-contract, assign,

transfer, charge the benefit and/or delegate the burden of the whole or any part of the Contract (a MTransfer") without the prior written consent of the DFE save that the Contractor and Consortium Members may award Sub-Contracts with a value per annum not exceeding £10,000 without the OFE's consent. For the avoidance of doubt, the DfE shall be deemed to have consented to the Contractor entering into a Sub-contract(s) with the Consortium Members listed in Schedule 7.

## **6. PERSONNEL**

- 6.1 The DFE may refuse admission to DFE Premises and/or direct the Contractor to end the involvement in the Services of any Personnel whom the DFE believes is a security risk.
- 6.2 If the DFE require the removal of any Personnel pursuant to clause 6.1, any Employment Liabilities and any other costs connected with that removal shall be at the Contractor's cost.
- 6.3 The Contractor shall use its reasonable endeavours to ensure continuity of Personnel and to ensure that the turnover rate of Personnel is at least as good as the prevailing industry norm for similar services, locations and environments.
- 6.4 The Contractor shall ensure that no person who discloses a Relevant Conviction or who is found to have any Relevant Convictions (whether as a result of a police check or through the Disclosure and Barring Service Procedures or otherwise), is employed or engaged in providing the Services without the DFE's prior written consent.
- 6.5 For each of the Personnel who, in providing the Services, has, will have or is likely to have access to children, vulnerable persons or other members of the public to whom the DFE owes a special duty of care the Contractor shall (and shall procure that any relevant Sub-Contractor shall) ensure a police check is completed and such other checks as may be carried out through the Disclosure and Barring Service, and the Contractor shall not (and shall ensure that any Sub-Contractor shall not) engage or continue to employ in the provision of the Services any person who has a Relevant Conviction or what would reasonably be regarded as an inappropriate record.
- 6.6 The Contractor acknowledges that Key Personnel and Key Sub-Contractors are essential to the proper provision of the Services. The Parties have agreed to the appointment of Key Personnel and Key Sub-Contractors listed in schedule 7 as at the Effective Date.
- 6.7 Key Personnel shall not be released from supplying the Services without the DFE's consent except by reason of long-term sickness, maternity leave, paternity leave or termination of employment or other similar reason.
- 6.8 Any replacements of Key Personnel shall be subject to DFE consent and shall be of at least equal status, experience and skills to Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- 6.9 The DFE shall not unreasonably withhold consent under clauses 6.7 or 6.8. Such agreement shall be conditional on appropriate arrangements being made by the Contractor to minimise any adverse effect on Services which could be caused by a change in Key Personnel or Key Sub-Contractors.
- 6.10 Not used
- 6.11 The DFE shall not be liable for the cost of replacing any Key Personnel and the Contractor shall indemnify the DFE against all Employment Liabilities that may arise in this respect.
- 6.12 Except in respect of any transfer of staff under TUPE, for the Term and for 12 months after the Term neither Party shall (except with the prior written consent of the other)

solicit the services of any staff of the other Party who have been engaged in providing the Services or the management of the Contract or any significant part thereof either as principal, agent, employee, independent Contractor or in any other form of employment or engagement other than by means of an open national advertising campaign and not specifically targeted at staff of the other Party.

7. TUPE

7.1 No later than 6 Months prior to the end of the Term the Contractor shall fully and accurately disclose to the DFE, within 60 days of the request, all information that the DFE may reasonably request in relation to the Personnel including the following:

7.1.1 the total number of Personnel whose employment/engagement shall terminate at the end of the Term;

7.1.2 the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Personnel referred to in clause 7.1.1;

7.1.3 the terms and conditions of employment/engagement of the Personnel referred to in clause 7.1.1, their job titles and qualifications;

7.1.4 details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and

7.1.5 details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union

(together the "TUPE Information").

7.2 At intervals determined by the DFE (which shall not be more frequent than once every 60 days) the Contractor shall give the DFE updated TUPE Information.

7.3 Each time the Contractor supplies TUPE Information to the DFE it shall warrant its completeness and accuracy and the DFE may assign the benefit of this warranty to any Replacement Contractor.

7.4 The DFE may use TUPE Information for the purposes of any retendering process.

7.5 If TUPE applies to the transfer of the Services on termination of the Contract, the Contractor shall indemnify and keep indemnified the DFE, the Crown and any Replacement Contractor against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which they may suffer or incur as a result of or in connection with:

7.5.1 any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Contractor or any Sub-contractor in respect of any Returning Employee on or before the end of the Term;

7.5.2 any failure by the Contractor or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the DFE or a Replacement Contractor to comply with its duties under regulation 13 and 14 of TUPE;

7.5.3 any failure by the Contractor or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the DFE or a Replacement Contractor to comply with its duties under regulation 13 and 14 of TUPE;

- 7.5.4 any Court or Employment Tribunal claims (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning Employees arising from or connected with any failure by the Contractor or any Sub-Contractor to comply with any legal obligation to such trade union, body or person; and
- 7.5.5 any claim by any person who is transferred by the Contractor to the DFE and/or a Replacement Contractor whose name is not included in the list of Returning Employees.
- 7.6 If TUPE applies to the transfer of the Services on termination of the Contract, the DFE shall indemnify the Contractor against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which they may suffer or incur as a result of any act or omission by the DFE or any Replacement Contractor relating to any Returning Employee which occurs after the end of the Term.
- 7.7 If the Contractor becomes aware that TUPE information it provided has become inaccurate or misleading, it shall promptly notify the DFE and provide the DFE with up to date TUPE Information.
- 7.8 This clause 7 applies during the Term and 5 years thereafter.
- 7.9 The Contractor undertakes to the DFE that, during the 12 Months prior to the end of the Term the Contractor shall not (and shall procure that any Sub-Contractor shall not) without written approval of DFE (such approval not to be unreasonably withheld or delayed):
  - 7.9.1 amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Personnel (other than where such amendment or variation has previously been agreed between the Contractor and the Personnel in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);
  - 7.9.2 terminate or give notice to terminate the employment or engagement of any Personnel (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);
  - 7.9.3 transfer away, remove, reduce or vary the involvement of any other Personnel from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse effect on the delivery of the Services. (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or
  - 7.9.4 recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

## **8. CHARGES**

- 8.1 Except where otherwise expressly stated in the Contract the only payments to be paid by the DFE for the performance by the Contractor of its obligations under the Contract shall be the Charges which shall be inclusive of all costs and expenses incurred by the Contractor in the performance of its obligations.
- 8.2 In consideration for the provision of the Services the DFE shall pay the Charges in accordance with the schedule 3 subject to the receipt of correct invoices pursuant to clause 8.7 being issued by the Contractor.

- 8.3 Except where otherwise expressly stated in schedule 3 the Contractor shall not be entitled to increase the Charges or any rates identified in schedule 3 throughout the Term.
- 8.4 The Charges are exclusive of Value Added Tax ("VAT") and all other taxes, duties and levies, but shall be inclusive of all charges, costs and expenses of whatever nature the Contractor incurs in providing the Services, and performing all other obligations of the Contractor, under the Contract (unless expressly stated otherwise in the Contract). The Contractor should notify the DFE of any direct VAT charges for the delivery of the Contract. The Contractor shall identify VAT and other applicable taxes, duties and levies separately on invoices, including identifying the elements of the Charges that are subject to VAT at the standard rate or at any other rates and that are zero rated or exempt from VAT.
- 8.5 Payment of the Charges by the DFE shall be without prejudice to any rights the DFE may have by reason of any Services, or any part thereof, failing to comply with any provision of the Contract and any breach by the Contractor of the Contract shall not be deemed to be accepted or waived by the DFE by reason of such payment
- 8.6 The DFE may deduct from or offset against any monies due or becoming due to the Contractor under the Contract (including the Charges) from any monies due from the Contractor under the Contract
- 8.7 Invoices shall be submitted to APinvoices-DFE-U@sscl.gse.gov.uk and/or sent, within 30 days of the end of the relevant invoicing date, to Department for Education PO Box 407 SSCL Phoenix House, Celtic Springs Bus. Park Newport NP10 8FZ. An Invoice is a "Valid Invoice" if it is legible and includes:
- 8.7.1 the date of the invoice;
  - 8.7.2 Contractor's full name and address;
  - 8.7.3 Contract reference number;
  - 8.7.4 the charging period;
  - 8.7.5 a detailed breakdown of the appropriate Charges including deliverables or milestones achieved (if applicable);
  - 8.7.6 days and times worked (if applicable);
  - 8.7.7 Service Credits (if applicable); and
  - 8.7.8 VAT if applicable.
- 8.8 The DFE shall not pay an invoice which is not a Valid Invoice.
- ~~The DFE intends to pay Valid Invoices within 10 days of receipt. Valid Invoices not paid within 30 days are subject to interest at the rate of 2% above the base rate from time to time of Barclays Bank. This clause 8.9 is a substantial remedy for late payment of any sum payable under the Contract in accordance with section 8(2) Late Payment of Commercial Debts (Interest) Act 1998.~~
- 8.10 The OFE shall not be responsible for any delay in payment caused by receipt of invoices which are not Valid Invoices and shall, within 10 Business Days of receipt, return to the Contractor for correction invoices that are not Valid Invoices together with an explanation of the need for correction.
- 8.11 At the end of the Term the Contractor shall promptly draw-up a final invoice which shall cover all Services provided up to the end of the Term which have not already been invoiced to the OFE. The final invoice shall be submitted not later than 30 days after

the end of the Term.

- 8.12 The DFE shall not be obliged to pay the final invoice until the Contractor has carried out all of the Service.
- 8.13 The Contractor shall ensure that a term is included in all Sub-Contracts which requires payment to be made of all sums due to Sub-Contractors within 30 days from the receipt of a valid invoice.
- 8.14 If the DFE disputes any amount specified in a Valid Invoice it shall pay such amount of the invoice as is not in dispute and within 10 Business Days notify the Contractor of the reasons for disputing the invoice. The DFE may withhold the disputed amount pending resolution of the dispute.
- 8.15 The Parties shall use all reasonable endeavours to resolve any dispute over invoices within 10 Business Days of the dispute being raised, after which period either Party may refer the matter for resolution in accordance with clause 36.

## **9. TAX and VAT**

- 9.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under the Contract it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax in respect of that consideration.
- 9.2 If the Services are liable for VAT the Contractor shall comply with HMRC rules and regulations. The Contractor will be liable for paying to HMRC any identified VAT including those which may fall due.
- 9.3 If the Contractor is liable to NICs in respect of consideration received under the Contract it shall comply with the Social Security Contributions and Benefits Act 1992 and all other statutes and regulations relating to NICs in respect of that consideration.
- 9.4 The DFE may ask the Contractor to provide information which demonstrates how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it
- 9.5 A request under clause 9.4 may specify the information which the Contractor must provide and the period within which that information must be provided.
- 9.6 The DFE may terminate this Contract if:
- 9.6.1 in the case of a request mentioned in clause 9.4 the Contractor:
- (i) fails to provide information in response to the request within a reasonable time; or
  - (ii) provides information which does not demonstrate either how the Contractor complies with clauses 9.1 to 9.3 or why those clauses do not apply to it;
- 9.6.2 it receives information which demonstrates that, if clauses 9.1 to 9.3 apply, the Contractor is not complying with those clauses.
- 9.7 The DFE may supply any information which it receives under clause 9.4 to HMRC.
- 9.8 The Contractor bears sole responsibility for the payment of tax and national insurance contributions due from it in relation to any payments or arrangements made under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract.
- 9.9 The Contractor will account to the appropriate authorities for any applicable income tax,

national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under the Contract or in relation to any payments made by the Contractor to its officers or employees in connection with the Contract. The Contractor shall indemnify DFE against any liability, assessment or claim made by the HMRC or any other relevant authority arising out of the performance by the Contractor of its obligations under the Contract (other than in respect of employer's secondary national insurance contributions) and any costs, expenses, penalty fine or interest incurred or payable by DFE in connection with any such assessment or claim.

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

9.11 If, during the Term an Occasion of Tax Non-Compliance occurs, the Contractor shall:

9.11.1 notify the DFE in writing of such fact within 5 Business Days of its occurrence; and

9.11.2 promptly give the DFE:

(i) details of the steps it is taking to address the Occasion of Tax Non-compliance and to prevent the same from recurring, together with any mitigating factors it considers relevant; and

(ii) such other information in relation to the Occasion of Tax Non-compliance as the DFE may reasonably require.

## 10. PREVENTION OF CORRUPTION

10.1 The Contractor represents and warrants that neither it, nor to the best of its knowledge any Personnel, have at any time prior to the Effective Date:

10.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; or

10.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.

10.2 The Contractor shall not:

10.2.1 commit a Prohibited Act; or

10.2.2 do or suffer anything to be done which would cause the DFE or any of its employees, consultants, Contractors, Sub-Contractors or agents to contravene the Relevant Requirements.

10.3 The Contractor shall:

10.3.1 and use reasonable endeavours to procure that its Sub-Contractors shall establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act; and

10.3.2 keep appropriate records of its compliance with its obligations under clause 10.3.2 and make such records available to the DFE on request.

10.4 The Contractor shall immediately notify the DFE in writing if it becomes aware of any

- breach of clauses 10.1 and/or 10.2, or has reason to believe that it has or any of the Personnel have:
- 10.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
  - 10.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; or
  - 10.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.
- 10.5 If the Contractor notifies the DFE pursuant to clause 10.4, the Contractor shall respond promptly to the DFE's enquiries, co-operate with any investigation, and allow the DFE to audit any books, records and any other relevant documentation.
- 10.6 If the Contractor is in Default under clauses 10.1 and/or 10.2, the DFE may by notice:
- 10.6.1 require the Contractor to remove from performance of the Contract any Staff whose acts or omissions have caused the Default; or
  - 10.6.2 immediately terminate the Contract.
- 10.7 Any notice served by the DFE under clause 10.6 shall specify the nature of the Prohibited Act, the identity of the party who the DFE believes has committed the Prohibited Act and the action that the DFE has taken (including, where relevant, the date on which the Contract shall terminate).
11. DISCRIMINATION
- 11.1 The Contractor shall perform its obligations under the Contract in accordance with all applicable equality law.
- 11.2 The Contractor shall use reasonable endeavours to comply with DFE's equality and diversity policy as given to the Contractor from time to time and any other requirements and instructions which the DFE reasonably imposes in connection with any equality obligations imposed on the DFE at any time under equality law, provided that compliance does not conflict with any of the Contractor's own policies or procedures.
- 11.3 The Contractor indemnifies the DFE in full from and against all Employment Liabilities that may arise as a result of any claims brought against the DFE by any of its employees, agents, consultants and Contractors ("DFE Personnel") and/or any of the Personnel where such claim arises from any act or omission of the Personnel in respect of anti-discrimination legislation. The Contractor will also provide all reasonable cooperation, assistance and information as the DFE may request in connection with any investigation by the DFE into any complaint or other grievance received by it from any of the DFE Personnel or Personnel in respect of anti-discrimination legislation which may have arisen from, or been contributed to by, any act or omission of the Contractor or any Personnel.
12. INTELLECTUAL PROPERTY
- 12.1 All Intellectual Property :
- 12.1.1 used in connection with the provision of the Services which has been generated prior to or outside the scope of the Services ("Background P") shall remain the property of the Party (or Consortium Member) contributing the

same. Each Party acknowledges and confirms that nothing contained in this Contract shall give it any right, title or interest in or to the Background IP of the other Party (or Consortium Member) save as expressly granted by this Contract;

12.1.2 in materials prepared by or for the Contractor in connection with the Contract (the "Service Specific IP") shall be and remain vested in the Contractor or appropriate Consortium Member.

12.2 Neither Party, including its Personnel, shall use or disclose the Background IP without the owners approval save to the extent strictly necessary for the performance of its obligations under the Contract.

12.3 Each Party grants the other a non-exclusive, non-transferable, non-sub-licensable, royalty-free licence for the duration of the provision of the Services to use its Background IP (provided it is free to licence the Background IP in question) solely to enable the other Party to carry out its respective obligations under this Contract.

12.4 Where the DFE wishes to use the Service Specific IP, the following procedure shall apply:

12.4.1 The DFE shall approach the owner of the Service Specific IP explaining the purpose/s for which it wishes to use such Service Specific IP;

12.4.2 The DFE and the owner of the Service Specific IP shall discuss and agree in writing a defined set of circumstances under which the DFE shall be permitted to use the Service Specific IP;

12.4.3 subject to clause 12.4.4 below, the owner of the Service Specific IP shall not unreasonably refuse to grant the DFE a licence to use the Service Specific IP where the same is to be used by DFE for non-commercial purposes.

12.4.4 The owner of the Service Specific IP shall be under no obligation to grant the DFE a royalty-free licence to the Service Specific IP where the same is to be sub-licensed by the DFE to a supplier of services (including a Replacement Contractor) identical or similar to the Services to be supplied by the Contractor under the Contract.

12.5 Where the DFE wishes to use any Intellectual Property owned by a third party which is used in connection with the Services ("Third Party IP"), the following procedure shall apply:

12.5.1 The DFE shall approach the Contractor explaining the purpose/s for which it wishes to use such Intellectual Property;

12.5.2 Subject to clause 12.5.3 below, the Contractor shall approach the owner of the Third Party IP and endeavour to agree in writing a defined set of circumstances under which the DFE shall be permitted to use the Third Party IP.

12.5.3 The Contractor shall be under no obligation to attempt to procure in the DFE's favour a royalty-free licence to the Third Party IP where the same is to be sub-licensed by the DFE to a supplier of services (including a Replacement Contractor) identical or similar to the Services to be supplied by the Contractor under the Contract.

12.6 The Contractor shall not knowingly infringe any Intellectual Property Rights of any third party in performing its obligations under this Contract and the Contractor shall indemnify and keep indemnified the DFE and any Replacement Contractor from and against all actions, suits, claims, demands, direct losses, charges, damages, costs and reasonable expenses and other liabilities which the DFE may suffer or incur as a result

of or in connection with any breach of this clause 12.6, except to the extent that any such claim arises from:

12.6.1 items or materials supplied by the DFE; or

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

127 The DFE shall notify the Contractor in writing of any claim or demand brought against the DFE for infringement or alleged infringement of any Intellectual Property Right in materials supplied and/or licensed by the Contractor.

128 The Contractor shall at its own expense conduct all negotiations and any litigation arising in connection with any claim for infringement of Intellectual Property Rights in materials supplied and/or licensed by the Contractor to the DFE, provided always that the Contractor shall:

12.8.1 consult the DFE on all substantive issues which arise during the conduct of such litigation and negotiations;

12.8.2 take due and proper account of the interests and concerns of the DFE.

12.10 The DFE shall at the request of the Contractor afford to the Contractor all reasonable assistance for the purpose of contesting any claim or demand made or action brought against the DFE or the Contractor by a third party for infringement or alleged infringement of any third party Intellectual Property Rights in connection with the performance of the Contractor's obligations under the Contract subject to the Contractor indemnifying the DFE on demand and in full for all reasonable costs and expenses (including, but not limited to, legal costs and disbursements) incurred in doing so.

12.11 If a claim, demand or action for infringement or alleged infringement of any Intellectual Property Right is made in connection with the Contract or in the reasonable opinion of the Contractor is likely to be made, the Contractor shall notify the DFE and, at its own expense and subject to the consent of the DFE (not to be unreasonably withheld or delayed), use reasonable endeavours to:

12.11.1 modify any or all of the allegedly infringing materials and, where relevant, the Services without reducing the performance or functionality of the same, or substitute alternative materials or services of equivalent performance and functionality, so as to avoid the infringement or the alleged infringement, provided that the provisions of this clause 12 shall apply mutatis mutandis to such modified materials or services or to the substitute materials or services; or

12.11.2 procure a licence to use and supply the allegedly infringing materials, other relevant Intellectual Property Rights and Services, which are the subject of the alleged infringement, on terms which permit use of the same in accordance with the requirements of this Contract.

12.12 If the Contractor is unable to comply with clauses 12.11.1 and 12.11.2 within 20 Business Days of receipt of the Contractor's notification the DFE may terminate the Contract with immediate effect by notice in writing.

12.14 The DFE shall comply with the reasonable instructions of the Contractor or Consortium Member (as applicable) in respect of the way in which it uses the Contractor's or relevant Consortium Member's Background IP.

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

12.18 When using DFE Trade Marks the Contractor shall observe all reasonable directions given by the DFE from time to time as to colour and size and the manner and disposition thereof on any materials it provides to persons in connection with the Services. The Contractor may not:

12.18.1 adopt or use any trade mark, symbol or device which incorporates or is confusingly similar to, or is a simulation or colourable imitation of, any DFE Trade Mark, or unfairly competes with any DFE Trade Mark; or

12.18.2 apply anywhere in the world to register any trade marks identical to or so nearly resembling any DFE Trade Mark as to be likely to deceive or cause confusion.

### 13 DATA, SYSTEMS HANDLING AND SECURITY

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

### 14 PUBLICITY AND PROMOTION

14.1 Subject to clause 15.2, without prejudice to the DFE's obligations under the FOIA, the EIR, the Regulations, or any policy requirements as to transparency, neither Party shall make any press announcement or publicise the Contract or any part thereof in any way, except with the written consent of the other Party.

14.2 The Contractor shall use reasonable endeavours to ensure its Personnel comply with clause 14.1

14.3 Without prejudice to the generality of clauses 12.18 and 14.1, the Contractor shall not itself, and shall procure that the Consortium Members shall not, use the DFE's name, brand or DFE Trade Marks or the Personal Data of the DFE to sell, promote, market or publicise the Contractor's other programmes, courses, services or other activities.

14.4 Subject to clauses 12 and 15 DFE may disclose, copy and otherwise distribute to the public, including but not limited to, by way of the Open Government Licence, any information arising out of the Services or comprised in any work relating to the Services.

14.5 Any information made available to the public by way of the Open Government Licence under Clause 14.4 shall not include the Contractor Background IP, unless the Contractor provides to the DFE express permission of such in writing.

### 15 CONFIDENTIALITY

15.1 Except to the extent set out in this clause 15 or if disclosure or publication is expressly permitted elsewhere in the Contract each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Contract.

15.2 The Contractor hereby gives its consent for the DFE to publish the whole Contract including from time to time agreed changes to the Contract.

15.3 The Parties may each only disclose the other Party's Confidential Information to Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that Personnel are aware of and shall comply

with these obligations as to confidentiality.

- 15.4 The Contractor Parties shall not, and shall procure that Personnel do not, use any of the other Party's Confidential Information received otherwise than for the purposes of the Contract.
- 15.5 Clause 15.1 shall not apply to the extent that
- 15.5.1 such disclosure is a requirement of law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;
  - 15.5.2 such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
  - 15.5.3 such information was obtained from a third party without obligation of confidentiality;
  - 15.5.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract; or
  - 15.5.5 it is independently developed without access to the other Party's Confidential Information.
- 15.6 Nothing in clause 15 shall prevent the DFE disclosing any Confidential Information obtained from the Contractor:
- 15.6.1 for the purpose of the examination and certification of the DFE's accounts;
  - 15.6.2 for the purpose of any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the DFE has used its resources;
  - 15.6.3 to any other crown body and the Contractor hereby acknowledges that all government departments receiving such Confidential Information may further disclose the Confidential Information to other government departments on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department; or
  - 15.6.4 to any consultant. Contractor or other person engaged by the DFE.
- 15.7 In disclosing information under clause 15.6 the DFE shall disclose only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.
- 15.8 Nothing in clauses 15.1 to 15.6 shall prevent either Party from using any techniques, ideas or knowhow gained during the performance of its obligations under the Contract in the course of its normal business, to the extent that this does not result in a disclosure of the other Party's Confidential Information or an infringement of the other Party's Intellectual Property Rights.
- 15.9 The DFE shall endeavour to ensure that any government department, employee, third party or subContractor to whom the DFE's Confidential Information is disclosed pursuant to clause 15.6 is made aware of the DFE's obligations of confidentiality.
- 15.10 If the Contractor does not comply with clauses 15.1 to 15.5 the DFE may terminate the Contract immediately on notice to the Contractor.

## 16 FREEDOM OF INFORMATION

16.1 Each of the Parties:

16.1.1 acknowledges that the other Party (and in the case of the Contractor, the Consortium Members) is subject to the requirements of the FOIA and the EIR; and

16.1.2 will provide the other Party (and in the case of the Contractor, the Consortium Members) with all reasonably necessary assistance requested by that Party to enable that Party to comply with its obligations under FOIA and EIR.

16.2 Each Party shall share with the other Party all Requests for Information that it receives concerning this Contract and the subject matter thereof as soon as practicable.

16.3 The Parties will:

16.3.1 work together to identify any information in its possession or control that is the subject of the Request for Information referred to in clause 16.2;

16.3.2 share that information, where appropriate, with the Party that received the Request for Information as soon as reasonably practicable; and

16.3.2 consider the appropriate application of any exemptions under FOIA or EIR.

16.4 Neither party shall respond directly to a Request for Information received by the other Party unless authorised to do so in writing by that party.

16.5 The recipient of the Request for Information referred to in clause 16.2 shall determine in its absolute discretion and notwithstanding any other provision in this Agreement or any other agreement whether any information is exempt from disclosure in accordance with the provisions of the FOIA and/or the EIR.

## 17. OFFICIAL SECRETS ACTS AND FINANCE ACT

17.1 The Contractor shall comply with the provisions of:

17.1.1 the Official Secrets Acts 1911 to 1989; and

17.1.2 section 182 of the Finance Act 1989.

## 18 LIABILITY

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

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

18.1.2 for personal injury or death resulting from its negligence;

18.1.3 under section 2(3) Consumer Protection Act 1987;

18.1.4 Not Used.

18.1.5 for its own fraud; or

18.1.6 for any other matter which it would be unlawful for it to exclude or to attempt to exclude its liability.

18.2 Subject to clauses 18.1 and 18.3, the Contractor shall indemnify the DFE and keep the DFE indemnified fully against all claims, proceedings, demands, charges, actions,

damages, costs, breach of statutory duty, expenses and any other liabilities which may arise out of the supply, or the late or purported supply, of the Services or the performance or non-performance by the Contractor or any Personnel on the Premises, including in respect of death or personal injury, loss of or damage to property, financial loss arising from any advice given or omitted to be given by the Contractor, or any other loss which is caused directly by any act or omission of the Contractor.

- 18.3 Not used
- 18.4 Subject to clauses 18.1, 18.3 and 18.6, neither Party shall have any liability to the other under or in connection with the Contract, whether in contract, tort (including negligence) or otherwise:
- 18.4.1 for any losses of an indirect or consequential nature;
  - 18.4.2 for any claims for loss of profits, revenue, business or opportunity (whether direct, indirect or consequential); or
  - 18.4.3 to the extent that it is prevented from meeting any obligation under the Contract as a result of any breach or other default by the other Party.
- 18.5 Subject to clauses 18.1 and 18.3, the maximum liability of either Party to the other under the Contract, whether in contract, tort (including negligence) or otherwise:
- 18.5.1 in respect of damage to property is limited to £5,000,000 in respect of any one incident or series of connected incidents; and
  - 18.5.2 in respect of any claim not covered by clause 18.5.1 or 18.5.3 or 18.5.4 is limited in each calendar year in aggregate to 150% of the sum of the Charges payable in that year
  - 18.5.3 in respect of any liability arising in connection with a breach of clause 15 or Schedule 8, is limited to £1,000,000.
  - 18.5.4 in respect of any liability under the indemnities contained in clauses 12 (Intellectual Property) and 9 (Tax) is limited to £1,000,000.
- 18.6 The DFE may recover from the Contractor the following losses incurred by the DFE to the extent they arise as a result of a Default by the Contractor:
- 18.6.1 any additional operational and/or administrative costs and expenses incurred by the DFE, including costs relating to time spent by or on behalf of the DFE in dealing with the consequences of the default;
  - 18.6.2 any wasted expenditure or charges;
  - 18.6.3 the additional costs of procuring a Replacement Contractor for the remainder of the Contract and or replacement deliverables which shall include any incremental costs associated with the Replacement Contractor and/or replacement deliverables above those which would have been payable under the Contract;
  - 18.6.4 any compensation or interest paid to a third party by the DFE; and
  - 18.6.5 any fine or penalty incurred by the DFE and any costs incurred by the DFE in defending any proceedings which result in such a fine or penalty.
- 18.7 Except as otherwise expressly provided by the Contract, all remedies available to either Party for breach of the Contract are cumulative and may be exercised concurrently or

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

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

## **19. WARRANTIES AND REPRESENTATIONS**

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

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

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

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

19.1.10 For the purposes of clause 19.1.9 only, the term Regulatory Bodies excludes the DFE.

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

## 20. FORCE MAJEURE

20.1 If either Party is prevented or delayed in the performance of any of its obligations under the Contract by Force Majeure, that Party shall immediately serve notice in writing on the other Party specifying the nature and extent of the circumstances giving rise to Force Majeure, and shall subject to service of such notice and to clause 20.3 have no liability in respect of the performance of such of its obligations as are prevented by the Force Majeure events during the continuation of such events, and for such time after they cease as is necessary for that Party, using all reasonable endeavours, to recommence its affected operations in order for it to perform its obligations.

20.2 If either Party is prevented from performance of its obligations for a continuous period in excess of 3 months, the other Party may terminate the Contract forthwith on service of written notice upon the Party so prevented, in which case neither Party shall have any liability to the other except that rights and liabilities which accrued prior to such termination shall continue to subsist.

20.3 The Party claiming to be prevented or delayed in the performance of any of its obligations under the Contract by reason of Force Majeure shall use reasonable endeavours to end Force Majeure or to find solutions by which the Contract may be performed despite the Force Majeure.

## 21. MONITORING AND REMEDIATION

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

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

- 21.3 If the DFE reasonably considers that any provision of the Contract is at risk of not being complied with it may, notwithstanding and without prejudice to any other right or remedy that it may have under the Contract or otherwise:
- 21.3.1 require the Contractor to produce a plan of remedial action in order to remedy or remove such risk, which shall be subject to the approval of the DFE (not to be unreasonably withheld) and which, once approved, the Contractor shall implement; and
  - 21.3.2 monitor, supervise, direct and/or guide the Contractor's provision of the Services until the DFE reasonably considers that any such risk has been remedied or removed. The Contractor shall cooperate at all times with the DFE in this regard.
- 21.4 If the Contractor fails to comply with any provision of the Contract or fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the DFE may instruct the Contractor to remedy the failure and the Contractor shall at its own cost and expense take reasonable and appropriate action to remedy such failure (and any damage resulting from such failure) within 21 days or such other period of time as the DFE may direct.
- 21.5 The DFE may review from time to time the progress of the Contractor against the Implementation Plan. The Contractor shall cooperate with the DFE in this regard and provide any information and evidence reasonably required by the DFE.
- 21.6 The DFE may instruct the Contractor to take reasonable and appropriate remedial action where the DFE reasonably considers that the Implementation Plan is not being complied with or is at risk of not being complied with and the Contractor shall take such remedial action.
22. Not Used.
23. TERMINATION
- 23.1 In the event of any breach of this Contract by either party, the other party may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice which shall be reasonable in all the circumstances (but in any event shall be not less than 30 Business Days). If the breach has not been remedied by the expiry of the specified period, the party not in breach may terminate this Contract with immediate effect by notice in writing .
- 23.2 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a company and in respect of the Contractor:
- 23.2.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;
  - 23.2.2 a shareholders' meeting is convened for the purpose of considering a resolution that the company be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);
  - 23.2.3 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986;

- 23.2.4 a receiver, administrative receiver or similar officer's appointed over the whole or any part of its business or assets;
  - 23.2.5 an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;
  - 23.2.6 it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;
  - 23.2.7 being a small company within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
  - 23.2.8 any event similar to those listed in clauses 23.1.1 to 23.1.7 occurs under the law of any other jurisdiction.
- 23.2 Not used
- 23.3 The Contractor shall notify the DFE immediately in writing of any proposal or negotiations which will or may result in a merger, take-over, change of control, change of name or status including if the Contractor undergoes a change of control within the meaning of section 1124 of the Corporation Taxes Act 2010 ("Change of Control"). The DFE may terminate the Contract with immediate effect by notice and without compensation to the Contractor within 6 months of:
- 23.3.1 being notified that a Change of Control has occurred; or
  - 23.4.2 where no notification has been made, the date that the DFE becomes aware of the Change of Control
- but shall not be permitted to terminate where approval was granted prior to the Change of Control.
- 23.4 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if the Contractor commits a Default and:
- 23.4.1 the Contractor has not remedied the Default to the satisfaction of the DFE within 21 Business Days or such other period as may be specified by the DFE, after issue of a notice specifying the Default and requesting it to be remedied
  - 23.4.2 the Default is not, in the opinion of the DFE, capable of remedy; or
  - 23.4.3 the Default is a Material Breach.
- 23.5 The OFE may terminate the Contract with immediate effect and without paying compensation to the Contractor:
- 23.5.1 the Contractor's warranty in clause 19.1.10 is materially untrue;
  - 23.5.2 the Contractor commits a material breach of its obligation to notify the DfE of any Occasion of Non-Tax Compliance;
  - 23.5.3 the Contractor fails to provide details of proposed mitigating factors which, in the DfE's reasonable opinion are acceptable; or
  - 23.5.4 the Contractor has not, in performing the Services, complied with its legal obligations in respect of environmental, social or labour law.

- 23.6 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
- 23.6.1 the Contract has been subject to a substantial modification which requires a new procurement procedure pursuant to regulation 72(9) of the Regulations;
  - 23.6.2 the Contractor was, at the time the Contract was awarded, in one of the situations specified in regulation 57(1) of the Regulations, including as a result of the application of regulation 57(2), and should therefore have been excluded from the procurement procedure which resulted in the award of the Contract; or
  - 23.6.3 the Contract should not have been awarded to the Contractor in view of a serious infringement of the obligations under the Treaties and the Regulations which has been declared by the Court of Justice of the European Union in a procedure under Article 258 of the TFEU.
- 23.7 Either Party may terminate the Contract (or any part of it) at any time by giving at least 3 months' prior written notice to the other Party, such notice to expire no sooner than the end of the then current academic year of the Contractor.
- 23.8 If the DFE terminates the Contract under clause 23.11 the DFE shall make no further payments to the Contractor except for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the DFE.
- 23.9 If any funding from governmental or other sources for the provision of the Services, or for a programme or a project to which the provision of the Services relates is withdrawn, reallocated or no longer available in such a way that the Contract cannot reasonably continue the DFE may terminate the Contract (or any part of it) by serving 3 months' written notice on the Contractor.
- 23.10 If the DFE terminates the Contract under clause 23.13 the DFE shall pay to the Contractor for Services supplied prior to the termination and in accordance with the Contract, and any disengagement costs and other costs reasonably incurred by the Contractor as a direct consequence of such termination (excluding any loss of profit and any possible redundancy costs), provided that the Contractor shall use all reasonable endeavours to mitigate the amount of such costs and has provided written evidence of the reasonableness and unavoidability of such costs.
- 23.11 If, through any Default of the Contractor, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Contractor shall be liable for the cost of reconstitution of that data and shall reimburse the DFE in respect of any charge levied for its transmission and any other costs charged in connection with such Default.
- Contractor shall give notice to the DFE of its failure to pay. If the DFE fails to pay such undisputed sums within 30 Business Days of the date of such notice, the Contractor may terminate the Contract in writing with immediate effect, save that such right of termination shall not apply where the failure to pay is due to the DFE exercising its rights under clause 8.6 or to Force Majeure.
- 23.13 Save as otherwise expressly provided in the Contract
- 23.13.1 termination or expiry of the Contract shall be without prejudice to any rights, remedies or obligations accrued under the Contract prior to termination or expiration and nothing in the Contract shall prejudice the right of either Party to recover any amount outstanding at such termination or expiry; and

23.13.2 termination of the Contract shall not affect the continuing rights, remedies or obligations of the DFE or the Contractor under clauses 8 (Payment), 9 (Tax and VAT), 10 (Prevention of Fraud), 12 (Intellectual Property Rights), 13 (Data), 15 (Confidentiality), 16 (Freedom of Information), 17 (Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989), 18 (Warranties and Representations), 19 (Liability), 23 (Termination) 24 (Retendering and Handover), 25 (Exit Management), 26 (Audit), and 37 (Governing Law and Jurisdiction).

#### 23.14 Termination by DfE if monthly Performance Standards not met

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

23.14.2 If the parties agree on a strategy under clause 23.14.1 and, in the first complete measurement period following implementation of the joint strategy under clause 23.14.1 the Contractor fails to achieve any of the monthly Performance Standards, DfE may terminate this agreement on 30 days' notice to Contract.

23.14.3 Subject to clause 23.14.2, if the Contractor fails to meet any of the monthly Performance Standards in any three consecutive months, DfE may terminate this agreement on 10 Business Days' notice to the Contractor.

#### 24. RETENDERING AND HANDOVER

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

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

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

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

24.5 If access is required to the Contractor's Premises for the purposes of clause 26.4, the DFE shall give the Contractor 14 days' notice of a proposed visit together with the names of all persons who will be visiting.

24.6 The Contractor shall co-operate fully with the DFE during any handover at the end of the Contract including allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.

24.7 Within 30 Business Days of being requested by the DFE, the Contractor shall transfer to the DFE, or any person designated by the DFE, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and

catalogued disk format. to operate on a proprietary software package identical to that used by the DFE.

24.8 Any information or data covered by this clause 24 does not include personal data, except to the extent permitted by law (in particular data protection law), and shall be only that information and data that is directly relevant to the services provided by the Contractor under this contract.

## 25. EXIT MANAGEMENT

25.1 If the DFE requires a continuation of all or any of the Services at the end of the Term, either by performing them itself or by engaging a third party to perform them, the Contractor shall co-operate fully with the DFE and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.

25.2 The Contractor will, within 3 months of the Effective Date, deliver to the DFE, a plan which sets out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the DFE and/or its Replacement Contractor at the end of the Term (an "Exit Plan").

25.3 Within 30 days of the submission of the Exit Plan, both Parties will use reasonable endeavours to agree the Exit Plan. If the Parties are unable to agree the Exit Plan the dispute shall be referred to the dispute resolution procedure in clause 36.

25.4 The Contractor will review and (if appropriate) update the Exit Plan in the first month of each year of the Term to reflect changes to the Services. Following such update the Contractor will submit the revised Exit Plan to the DFE for review. Within 30 days following submission of the revised Exit Plan, the Parties shall meet and use reasonable endeavours to agree the revised Exit Plan and the changes that have occurred in the Services since the Exit Plan was last agreed. If the Parties are unable to agree the revised Exit Plan within 30 days, such dispute shall be referred to the dispute resolution procedure in clause 36.

25.5 If the Contractor:

25.5.1 does not have to use resources in addition to those normally used to deliver the Services prior to termination or expiry, there shall be no change to the Charges; or

25.5.2 reasonably incurs additional costs

the Parties shall agree a variation of the Charges.

25.6 If the DFE requests, the Contractor shall deliver to the DFE details of all licences for software used in the provision of the Services including the software licence agreements.

25.7 Within one month of receiving the software licence information described above, the DFE shall notify the Contractor of the licences it wishes to be transferred, and the Contractor shall provide for the approval of the DFE a plan for licence transfer.

25.8 The Contractor shall co-operate fully with the DFE in order to enable a knowledge transfer from the Contractor to the DFE at the end of the Term and shall provide the DFE free of charge with full access to Personnel, copies of all documents, reports, summaries and any other information requested by the DFE. The Contractor shall comply with the DFE's request for information no later than 15 Business Days from the date that that request was made.

## 26. AUDIT

- 26.1 The Contractor shall keep and maintain until 6 years after the end of the Term, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it and all Charges.
- 26.2 The Contractor agrees to make available to the DFE, free of charge, whenever requested, copies of audit reports obtained by the Contractor in relation to the Services
- 26.3 The Contractor shall permit duly authorised representatives of the DFE and/or the National Audit Office to examine the Contractor's records and documents relating to the Contract and to provide such copies and oral or written explanations as may reasonably be required.
- 26.4 The Contractor (and its agents) shall permit the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data) and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the DFE and for carrying out examinations into the economy, efficiency and effectiveness with which the DFE has used its resources. The Contractor shall provide such explanations as are reasonably required for these purposes.
27. ENTIRE AGREEMENT
- 27.1 The Contract contains all the terms which the Parties have agreed in relation to the subject matter of the Contract and supersedes any prior written or oral agreements, representations or understandings between the Parties.
- 27.2 Nothing in this clause 27 shall exclude any liability which one Party would otherwise have to the other Party in respect of any statements made fraudulently.
28. PARTNERSHIP
- 28.1 Nothing in the Contract is intended to or shall operate to create a legal partnership between the Parties or to authorise either Party to act as an agent for the other, and neither Party shall have authority to act in the name or on behalf of or otherwise to bind the other in any way (including making any representation or warranty, the assumption of any obligation or liability and the exercise of any right or power).
29. WAIVER
- 29.1 No failure or delay by any Party to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same, or of some other right, power or remedy.
30. CHANGE CONTROL
- 30.1 Either Party may at any time request in writing a Variation in accordance with the change control procedure set out in schedule 6 (the "Change Control Procedure"). No Variation shall be effective unless made in accordance with the Change Control Procedure.
31. COUNTERPARTS
- 31.1 The Contract may be executed in any number of counterparts, each of which so executed and delivered shall constitute an original, but together shall constitute one and the same instrument.
32. CONTRACTS (RIGHTS OF THRD PARTIES) ACT 1999
- 32.1 The provisions of clauses 7.5 and 12.6 confer benefits on a Replacement Contractor

and are intended to be enforceable by a Replacement Contractor and this Agreement confers rights on Consortium Members and is intended to be enforceable by Consortium Members, in both cases by virtue of the Contracts (Rights of Third Parties) Act 1999

32.2 Subject to clause 32.1, a person who is not a Party has no right under CRTPA to enforce provisions of the Contract but this does not affect any right or remedy of any person which exists or is available otherwise than pursuant to the CRTPA and does not apply to the Crown.

32.3 A Replacement Contractor may not enforce or take steps to enforce the provisions of clauses 7.5 or 12.6 without DFE's prior written consent.

32.4 The Parties may amend the Contract without the consent of any Replacement Contractor.

### 33. CONFLICTS OF INTEREST

33.1 The Contractor shall:

33.1.1 not permit its obligations to its other clients and third parties (including other governmental bodies and organisations providing services to other governmental bodies) to interfere or conflict in any material way with its duty (which the Contractor hereby acknowledges) to comply with its obligations under the Contract to the required standards; and

33.1.2 take appropriate steps to ensure that neither the Contractor nor any of the Personnel is placed in a position where, in the reasonable opinion of the DFE, there is or may be an actual conflict, or a potential conflict between the pecuniary or personal interests of the Contractor or any of the Personnel and the duties owed to the DFE under the provisions of the Contract in either case, referred to in this clause 33 as a "Conflict of Interest".

33.2 If the Contractor becomes aware of any Conflict of Interest (or potential Conflict of Interest) or other situation which has arisen or may arise and which may cause a breach of this clause 33 the Contractor shall forthwith provide full particulars to the DFE.

33.3 In performing its obligations under the Contract the Contractor shall conduct its business, operations and activities in a politically neutral fashion.

33.4 Without prejudice to the foregoing provisions of this clause 33, if any Conflict of Interest (or potential Conflict of Interest) arises or is likely to arise, the Contractor shall:

33.4.1 1 take all reasonable steps to remove or avoid the Conflict of Interest or to prevent it occurring in each case, or to manage the conflict to the satisfaction of the DFE (acting reasonably); and

33.4.2 2 give the DFE a comprehensive and detailed written statement of the action it had taken.

33.5 If the DFE is not satisfied with the Contractor's actions, the Contractor shall, on request by the DFE promptly end any relationship it may have with any third party, where that relationship has given rise to the Conflict of Interest (or potential Conflict of Interest).

33.6 Without prejudice to any other right or remedy it may have, the DFE may terminate the Contract with immediate effect by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the DFE, there is any continuing breach by the Contractor of the provisions of this clause 33.

### 34. FURTHER ASSURANCE

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

## 35. NOTICES

35.1 Any notice, demand or communication in connection with the Contract shall be in writing and may be delivered by hand, pre-paid first class post or (where being sent to an address in a different country to where posted) airmail, facsimile or e-mail, addressed to the recipient at its registered office or its address (or such other address, facsimile number or e-mailaddress as may be notified in writing from time to time).

35.2 The notice, demand or communication shall be deemed to have been duly served:

35.2.1 if delivered by hand, when left at the proper address for service;

35.2.2 if given or made by prepaid first class post 48 hours after being posted or in the case of airmail 14 days after being posted;

35.2.3 if given or made by facsimile or e-mail, at the time of transmission, provided that a confirming copy is sent by first class pre-paid post or (where being sent to an address in a different country to where posted) airmail to the other Party within 24 hours after transmission and that, in the case of transmission by e-mail where the time of transmission is not between 9.00 am and 5.00 pm, service shall be deemed to occur at 9.00 am on the next following Business Day (such times being local time at the address of the recipient).

35.3 If proceedings to which the Civil Procedure Rules apply have been issued, the provisions of Civil Procedure Rule 6 must be complied with in respect of the service of documents in connection with those proceedings.

## 36. DISPUTE RESOLUTION

36.1 Any Dispute shall be dealt with in accordance with this clause 36.

36.2 In the first instance, a representative of each Party will each use their reasonable endeavours to resolve the Dispute. If the Dispute cannot be resolved by such representatives within 15 days of the Dispute arising, it will be referred to a senior representative of each Party, who shall each use their reasonable endeavours to resolve the Dispute.

36.3 If a Dispute cannot be resolved by negotiation as referred to in clause 36.2 within 30 days of the Dispute arising, either Party may refer the Dispute for determination in accordance with the mediation procedure administered by the Centre for Effective Dispute Resolution, the costs of the mediator being split equally between the Parties, who shall otherwise bear their own costs.

## 37. GOVERNING LAW AND JURISDICTION

37.1 The Contract and any non-contractual obligations arising out of or connection with it will be governed by and construed in accordance with English Law.

37.2 The courts of England shall have exclusive jurisdiction to settle any dispute which arises out of or in connection with the Contract.

37.3 If any provision of the Contract is held by any court or other competent authority to be void or unenforceable in whole or part, the other provisions of the Contract and the remainder of the affected provisions shall continue to be valid.



### Schedule 3

#### Financials

- 1 The DFE shall pay the Contractor the Charges in accordance with the Contract, subject to successful delivery of the Services against the KPIs or Service Levels set out in schedule 4. The Charges are inclusive of all expenses incurred by the Contractor in relation to its provision of the Services and unless agreed otherwise between the Contractor and the DFE, the Contractor shall not be entitled to claim any expenses in addition to the Charges.
- 2 The Contractor will distribute a tax free Bursary as part of the programme. The Contractor will pay the bursary directly to first year Trainees. For Tavistock and Portman NHS Foundation Trust, University of East London, UCL - Institute of Education, Faculty of Brain Sciences, University College London the Bursary will be [REDACTED] per Trainee. For the University of Southampton the Bursary will [REDACTED] per Trainee. The Bursary payments are not subject to VAT.
- 3 All charges will be fixed and firm for the Initial Term and until the expiry of any extended period of the Contract. The maximum value of the Contract for the Initial Term will be (course fees and bursaries) [REDACTED]
- 4 This contract is VAT exempt. Unless otherwise stated, all amounts expressed as payable in this Contract are inclusive of VAT, at the rate applicable at the time.
- 5 Indexation shall not apply to the Charges.
- 6 The Contractor shall be entitled to invoice the Charges following acceptance by the DFE of satisfactory completion of the Services or, where performance of the Services will continue, either monthly in arrears or on satisfactory completion of milestones. The amounts to be paid are set out in table 1 and the schedule of payments are set out in paragraphs 1.1 and 1.2 of the Invoicing and payment schedule section.
- 7 DFE will pay the Bursary to the Contractor for distribution in three instalments, as follows:
  - September- the first payment of three months Bursary
  - December- the second payment of four months Bursary
  - April- third payment of five months Bursary
- 9 DfE will pay the course fees to the Contractor, in arrears, as follows:
  - December - three months Course fees
  - March - four months Course fees
  - September - five months Course fees

**Table 2 – Detailed cost matrix submitted by the SEEL Consortium as part of their bid**





## Schedule 4

### KPIs, Service Levels and Service Credits

- 1 The objectives of the Key Performance Indicators and Service Levels are to:
  - 1.1 ensure that the Services are of a consistently high quality and meet the requirements of the DFE;
  - 1.2 provide a mechanism whereby the DFE can attain meaningful recognition of inconvenience and/or loss resulting from the Contractor's failure to deliver the Services;
  - 1.3 incentivise the Contractor to meet the Key Performance Indicators and to remedy any failure to meet the Key Performance Indicators expeditiously.
  
- 2 Performance Standards
  - 2.1 Missed KPIs are cumulative over the course of one contract year only.
  - 2.2 The Contractor must meet the Performance Measure for each identified KPI as set out in Table 1 below.
  - 2.3 If during a Service Period the Contractor achieves a KPI, no Service Credit will accrue to the DFE in respect of that KPI.
  - 2.4 The Contractor confirms that it has taken Performance Measures and Service Credits into account in calculating the Charges.
  - 2.5 The Contractor shall monitor its performance against each of the KPIs and send the DFE a monthly report detailing the KPIs which were and were not achieved.
  
- 3 KPIs in Table 1
  - 3.1 A failure to meet at least the required performance level will be considered a "Service Failure" in respect of the KPIs set out in Table 1 below, where the level of underachievement is 2% or more.
  - 3.2 For example, in the case of the KPI '*At least 95% of trainees will qualify upon completion of the course*', the performance level considered as a Service Failure is 93% (95% -2%).
  - 3.3 If the Contractor's performance level constitutes a Service Failure in one or more of the KPIs listed in Table 1 during the relevant Service Period listed for each KPI, the Contractor shall reduce the amount of Net Charges (less the amount of bursaries and course fees) payable to the Contractor for the single month in which the relevant KPI(s) was not met in accordance with this paragraph:

The reductions which shall apply to the Net Charges for any single month are:

    - 1% of Net Charges for one KPI failed by 2% or more;
    - 2% of Net Charges for two KPIs failed by 2% or more; and
    - to a maximum of 3% of Net Charges for three or more KPIs failed by 2% or more.

- 4 KPIs in Table 2
- 4.1 The KPIs in Table 2 are not subject to the reductions to Net Charges outlined above in clause 3 of this schedule.
- 4.2 The KPIs in Table 2 are subject to the Withdrawals, Deferrals, and Exemptions criteria at clause 3.7 of Schedule 1.
- 4.3 The Contractor shall endeavour to meet the KPIs in Table 2.
- 4.4 Not Used.
- 5 Regular monitoring and discussions surrounding the KPIs in Table 1 and Table 2 will ensure the DfE is in a more reasonable position to exercise its discretion.

Table 1 KPIs

| KPI   | Service Period  | Measure   | Monitoring method   |
|---|---|---|---|
| 100% of all ITEP scheme places successfully filled by the Contractor for each early intake.     | At the commencement of the ITEP scheme each academic year for 2020, 2021, and 2022. | All 80 places are filled in each of the first, second and third cohorts | Report from the Contractor listing the names of trainees and confirming the total number of successful candidates admitted to the programme. To be submitted not less than 20 working days prior to the start of each academic year |
| At least 92% of trainees will qualify upon completion of their respective course                | Each cohort for the duration of the contract  | At least 228 students successfully obtain the qualification             | Report from the Contractor listing the total number and names of trainees successfully completing the course. To be submitted to the DfE within 20 working days of the end of each course for each cohort.                          |
| No more than 5% of students per cohort raise upheld grievance according to university standards | Each academic year for the duration of the contract                                 | No more than 4 students per cohort (5% of 80)                           | Monthly Report in accordance with template provided by DfE  |
| 100% of bursaries paid in full and on time  | The first academic year for each of the three cohorts.                              | 100% of 80 students for each of the first, second, and third cohort     | Submission of invoice in accordance with the agreed invoice submission and payment dates.   |

|   |  |  |  |
|---|--|--|--|
| 100% submission of monthly reports, which will update on recruitment, deferrals, placements and any causes of concern raised by trainees. | Per month for the duration of the contract | Reports will provide details of numbers of trainees who have: referred, withdrawn, on placement and trainees who are causing any concern | Monthly Report in accordance with template provided by DfE |
| 90% of respondents to the annual survey of final year trainees will rate the training as satisfactory or above                            | At the end of the trainees third cohort    | 72 trainees respond rating the survey satisfactory or above  | Contractor to issue a mutually agreed annual survey        |
| The Contractor will attend at least one contract management meeting a year at the DfE office specified by the contract manager.           | On-going for the duration of the contract  | At least one meeting attended each year of the contract.   | Face to face meeting                                       |

**Table 2**

| KPI  | Service Period  | Measure  | Monitoring method   |
|--|---|--|---|
| 95% of Graduates will find employment as an Educational Psychologist with an English Local Authority within 3 months of qualifying unless any of the exemptions contained within the contract apply. | For the first (2020), second (2021) and third (2022) cohorts only, unless the Contract is extended, and then it shall include the fourth (2023) cohort                | 228 Graduates will find employment with an English Local Authority within 3 months of qualifying       | Graduation data from employer. To be submitted within 20 working days of the 3 months ending. |
| 95% of Graduates remain employed as Educational Psychologists by an English Local Authority for at least 2 years full time   | For the first (2020) and second (2021) cohorts only, unless the Contract is extended, and then it shall include the third (2022) cohort, and the fourth (2023) cohort | 1228 Graduates will still be in employment with an English Local Authority 2 years after qualification | Graduation data from employer. To be submitted within 20 working days of the 3 months ending. |

Schedule 5  
Implementation Plan

This Schedule 5 not used.

## Schedule 6

### Change Control Procedure

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

### Change Control Note

|                     |                                     |                             |
|---------------------|-------------------------------------|-----------------------------|
| Contract Number     | DFE Contract / Programme<br>Manager |                             |
| Contractor          |                                     | Original Contract Value (£) |
| Contract Start Date |                                     | Contract Expiry Date        |

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

|   |   |  |   |
|---|---|--|---|
| Impact on original contract<br><br>(If applicable)  |   |  |   |
| Supporting information<br><br>(please attach all supporting documentation for this Change Control)  |   |  |   |
| Terms and Conditions  | Save as herein amended all other terms and conditions of the Original Contract shall remain in full force and effect. |  |   |
| Variation Agreed<br><br><table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">           For the Contractor:<br/><br/>           Signature.....<br/><br/>           Full Name.....<br/><br/>           Title.....<br/><br/>           Date.....         </td> <td style="width: 50%; border: none;">           For the DFE:<br/><br/>           Signature.....<br/><br/>           Full Name.....<br/><br/>           Title.....<br/><br/>           Date.....         </td> </tr> </table> |   | For the Contractor:<br><br>Signature.....<br><br>Full Name.....<br><br>Title.....<br><br>Date..... | For the DFE:<br><br>Signature.....<br><br>Full Name.....<br><br>Title.....<br><br>Date..... |
| For the Contractor:<br><br>Signature.....<br><br>Full Name.....<br><br>Title.....<br><br>Date.....  | For the DFE:<br><br>Signature.....<br><br>Full Name.....<br><br>Title.....<br><br>Date.....                           |  |   |

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

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

Schedule 7

Key Personnel and Consortium Members

Key Personnel

The individuals listed in the table below are Key Personnel:

| Name            | Role                        | Period of involvement         |
|-----------------|-----------------------------|-------------------------------|
| Sandra Dunsmuir | Lead of the SEEL Consortium | Until the end of the contract |
|                 |                             |                               |
|                 |                             |                               |
|                 |                             |                               |
|                 |                             |                               |
|                 |                             |                               |
|                 |                             |                               |

| Consortium Member Name and Address         | Registered Office and Company Number  | Related Product/Service Description   | Consortium Member Price expressed as a percentage of total projected Charges over Term | Role In delivery of the Services   |
|--|---|---|--|--|
| Tavistock and Portman NHS Foundation Trust | 120 Beuze Ln London NW3 5BA 100119 - (NHS trust License Number.)                                      | Provision of three year initial doctoral training for Educational Psychologists | 19.5%  | Delivery of integrated doctoral training programmes that are approved by the Health and Care Professions Council and accredited by the British Psychological Society |
| University of Southampton                  | The University of Southampton University Road Southampton 8017 1BJ RC 000668                          | Provision of three year initial doctoral training for Educational Psychologists | 20%  | Delivery of integrated doctoral training programmes that are approved by the Health and Care Professions Council and accredited by the British Psychological Society |
| University of East London                  | University of East London 4-6 University Way London E16 2RD<br>Registered charity/company number: N/A | Provision of three year initial doctoral training for Educational Psychologists | 19.5%  | Delivery of integrated doctoral training programmes that are approved by the Health and Care Professions Council and accredited by the British Psychological Society |
| UCL - Institute of Education               | Institute of Education, Gower Street, London, WC1E 6BT<br>Company incorporated by Royal               | Provision of three year initial doctoral training for Educational Psychologists | 19.5%  | Delivery of integrated doctoral training programmes that are approved by the Health and Care Professions Council and accredited by                                   |

|  |  |   |       |  |
|--|--|---|-------|--|
|  | Charter and Exempt Charity   |   |       | the British Psychological Society  |
| Faculty of Brain Sciences, University College London | University College London-Gower Street - London-WC1E 6BT<br><br>Company incorporated by Royal Charter and Exempt Charity | Provision of three year initial doctoral training for Educational Psychologists | 21.5% | Delivery of integrated doctoral training programmes that are approved by the Health and Care Professions Council and accredited by the British Psychological Society |

## Schedule 8

### Data, Systems Handling and Security

#### Definitions

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

|                              |  |
|------------------------------|--|
|                              | regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the Processor is bound to comply;   |
| <b>"LED"</b>                 | Law Enforcement Directive (Directive (EU) 2016/680)  |
| <b>"Processor Personnel"</b> | employees, agents, consultants and Contractors of the Processor and/or of any Sub-Processor engaged in the performance of its obligations under this Contract.   |
| <b>"Protective Measures"</b> | appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it including those set out in the Contract. |
| <b>"Sub-processor"</b>       | any third Party appointed to process Personal Data on behalf of the Processor related to this Contract   |

## SCHEDULE 8-ANNEX 1

### DFE SECURITY STANDARDS

|  |  |
|--|--|
| <p>epss"<br/>"Baseline Personnel Security Standard-</p>  | <p>level of security clearance described as pre-employment checks in the National Vetting Policy. Further information can be found at:<br/><a href="https://www.gov.uk/government/publications/government-baseline-personnel-security-standard">https://www.gov.uk/government/publications/government-baseline-personnel-security-standard</a></p>   |
| <p>"CCSC"<br/>"Certified Cyber Security Consultancy"</p>                                       | <p>is NCSC's approach to assessing the services provided by consultancies and confirming that they meet NCSC's standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website:<br/><a href="https://www.ncsc.gov.uk/scheme/certified-consultancy">https://www.ncsc.gov.uk/scheme/certified-consultancy</a></p> |
| <p>"CCP"<br/>"Certified Professional"</p>  | <p>is a NCSC scheme in consultation with government, industry and academia to address the growing need for specialists in the cyber security profession and are building a community of recognised professionals in both the UK public and private sectors. See website:<br/><a href="https://www.ncsc.gov.uk/scheme/certified-professional">https://www.ncsc.gov.uk/scheme/certified-professional</a></p>   |
| <p>"CC"<br/>"Common Criteria"</p>  | <p>the Common Criteria scheme provides assurance that a developer's claims about the security features of their product are valid and have been independently tested against recognised criteria.</p>  |
| <p>"CPA"<br/>"Commercial Product Assurance"<br/>[formerly called "CESG Product Assurance"]</p> | <p>is an 'information assurance scheme' which evaluates commercial off the shelf (COTS) products and their developers against published security and development standards. These CPA certified products can be used by government, the wider public sector and industry. See website: <a href="https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa">https://www.ncsc.gov.uk/scheme/commercial-product-assurance-cpa</a></p>   |
| <p>"Cyber Essentials Plus"</p>   | <p>is a government supported scheme to help organisations protect themselves against common cyber-attacks. Cyber Essentials and Cyber Essentials Plus are levels within the scheme.</p> <p>There are a number of certification bodies that can be approached for further advice on the scheme; the link below points to one of these providers:<br/><a href="https://www.jasme.co.uk/for-self-assessment/">https://www.jasme.co.uk/for-self-assessment/</a></p>                  |

|  |   |
|--|---|
| <p>"Department's Data"<br/>"Department's Information"</p>    | <p>is any data or information owned or retained in order to meet departmental business objectives and tasks, including:</p> <p>(a) any data, text, drawings, diagrams, images or sounds (together with any repository or database made up of any of these components) which are embodied in any electronic, magnetic, optical or tangible media, and which are:</p> <p>(i) supplied to the Contractor by or on behalf of the Department; or</p> <p>(i) which the Contractor is required to generate, process, store or transmit pursuant to this Contract; or</p> <p>(b) any Personal Data for which the Department is the Data Controller;</p> |
| <p>"DfE"<br/>"Department"</p>                                | <p>means the Department for Education</p>   |
| <p>"Departmental Security Standards"</p>                     | <p>means the Department's security policy or any standards, procedures, process or specification for security that the Contractor is required to deliver.</p>   |
| <p>"Digital Marketplace / GCloud"</p>                        | <p>the Digital Marketplace is the online framework for identifying and procuring cloud technology and people for digital projects. Cloud services (e.g. web hosting or IT health checks) are on the G-Cloud framework.</p>  |
| <p>"FIPS 140-2"</p>  | <p>this is the Federal Information Processing Standard (FIPS) Publication 140-2, (FIPS PUB 140-2), entitled 'Security Requirements for Cryptographic Modules'. This document is the de facto security standard used for the accreditation of cryptographic modules.</p>   |
| <p>"Good Industry Practice"<br/>"Industry Good Practice"</p> | <p>means the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector.</p>  |
| <p>"Good Industry Standard"<br/>"Industry Good Standard"</p> | <p>means the implementation of products and solutions, and the exercise of that degree of skill, care, prudence, efficiency, foresight and timeliness as would be expected from a leading company within the relevant industry or business sector.</p>  |
| <p>"GSC"<br/>"GSCP"</p>                                      | <p>means the Government Security Classification Policy which establishes the rules for classifying HMG information. The policy is available at: <a href="https://www.gov.uk/government/publications/government-security-classifications">https://www.gov.uk/government/publications/government-security-classifications</a></p>   |

|   |  |
|---|--|
| HMG   | means Her Majesty's Government   |
| ICT   | means Information and Communications Technology (ICT) is used as an extended synonym for information technology (IT), used to describe the bringing together of enabling technologies used to deliver the end-to-end solution  |
| "ISO/IEC 27001" "ISO 27001"   | is the International Standard for Information Security Management Systems Requirements   |
| "ISO/IEC 27002" "ISO 21002"   | is the International Standard describing the Code of Practice for Information Security Controls.   |
| "ISO 22301"   | is the International Standard describing for Business Continuity   |
| "IT Security Health Check (ITSHC)"<br>"IT Health Check (ITHC)"<br>"Penetration Testing" | means an assessment to identify risks and vulnerabilities in systems, applications and networks which may compromise the confidentiality, integrity or availability of information held on that IT system.   |
| "Need-to-Know"  | the Need-to-Know principle is employed within HMG to limit the distribution of classified information to those people with a clear 'need to know' in order to carry out their duties.  |
| "NCSC"  | The National Cyber Security Centre (NCSC) formerly CESG is the UK government's National Technical Authority for Information Assurance. The NCSC website is <a href="https://www.ncsc.gov.uk">https://www.ncsc.gov.uk</a>   |
| "OFFICIAL"<br>"OFFICIAL-SENSITIVE"  | the term 'OFFICIAL' is used to describe the baseline level of 'security classification' described within the Government Security Classification Policy (GSCP) which details the level of protection to be afforded to information by HMG, for all routine public sector business operations and services.<br><br>the 'OFFICIAL-SENSITIVE' caveat is used to identify a limited subset of OFFICIAL information that could have significant implications for the security of the organisation or government generally) if it were lost, stolen or published in the media, as described in the Government Security Classification Policy. |
| secure Sanitisation"  | Secure sanitisation is the process of treating data held on storage media to reduce the likelihood of retrieval and reconstruction to an acceptable level. Some forms of sanitisation will allow you to re-use the media, while others are destructive in nature and render the media unusable. Secure sanitisation was previously covered by "Information Assurance Standard No. 5 - Secure   |

|   |  |
|---|--|
|   | <p>Sanitisation" (8155") issued by the former CESG. Guidance can now be found at: <a href="https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media">https://www.ncsc.gov.uk/guidance/secure-sanitisation-storage-media</a></p> <p>The disposal of physical documents and hardcopy materials advice can be found at: <a href="https://www.cQni.gov.Uk/secure-destruction">https://www.cQni.gov.Uk/secure-destruction</a></p>   |
| <p>"Security and Information Risk Advisor"<br/>"CCP SIRA"<br/>"SIRA"</p>                    | <p>the Security and Information Risk Advisor (SIRA) is a role defined under the NCSC Certified Professional (CCP) Scheme. See also: <a href="https://www.ncsc.gov.uk/articles/about-certified-professional-scheme">https://www.ncsc.gov.uk/articles/about-certified-professional-scheme</a></p>  |
| <p>"SPF"<br/>"HMG Security Policy Framework"</p>  | <p>This is the definitive HMG Security Policy which describes the expectations of the Cabinet Secretary and Government's Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely.</p> <p><a href="https://www.gov.uk/government/publications/security-policy-framework">https://www.gov.uk/government/publications/security-policy-framework</a></p> |
| <p>"Tailored Assurance"<br/>[formerly called "CTAS", or,<br/>"CESG Tailored Assurance"]</p> | <p>is an 'information assurance scheme' which provides assurance for a wide range of HMG, MOD, Critical National Infrastructure (CNI) and public sector customers procuring IT systems, products and services, ranging from simple software components to national infrastructure networks. <a href="https://www.ncsc.gov.uk/documents/ctas-guidance-methodology">https://www.ncsc.gov.uk/documents/ctas-guidance-methodology</a></p>  |

- 1.1. The Contractor shall use reasonable efforts to i) comply or ii) have reasonably equivalent standards to, Departmental Security Standards for Contractors which are set out in the following clauses.
- 1.2. Where the Contractor will provide ICT products or services or otherwise handle information at OFFICIAL on behalf of the Department, the requirements under Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification - [Action Note 09/14](#) 25 May 2016, or any subsequent updated document, are mandated; that "Contractors supplying products or services to HMG shall have achieved, and retain certification at the appropriate level, under the HMG Cyber Essentials Scheme". The certification scope must be relevant to the services supplied to, or on behalf of, the Department.
- 1.3 The Contractor shall be able to demonstrate conformance to, and show evidence of such conformance to the ISO/IEC 27001 (Information Security Management Systems Requirements) standard, including the application of controls from ISO/IEC 27002 (Code of Practice for Information Security Controls).

- 1.4 The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).
- 1.5 Departmental Data being handled in the course of providing an ICT solution or service must be segregated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required. In the event that it is not possible to segregate any Departmental Data then the Contractor and any sub-Contractor shall be required to ensure that it is stored in such a way that it is possible to securely delete the data in line with Clause 1.14.
- 1.6 The Contractor shall have in place and maintain physical security, in line with those outlined in ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access) to premises and sensitive areas
- 1.7 The Contractor shall have in place and maintain an access control policy and process for the logical access (e.g. identification and authentication) to ICT systems to ensure only authorised personnel have access to Departmental Data.
- 1.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to: physical security controls; good industry standard policies and process; anti-virus and firewalls; security updates and up-to-date patching regimes for anti-virus solutions; operating systems, network devices, and application software, user access controls and the creation and retention of audit logs of system use.
- 1.9 Any data in transit using either physical or electronic transfer methods across public space or cyberspace, including mail and couriers systems, or third party provider networks must be protected via encryption which has been certified to FIPS 140-2 standard or a similar method approved by the Department prior to being used for the transfer of any Departmental Data.
- 1.10 Storage of Departmental Data on any portable devices or media shall be limited to the absolute minimum required to deliver the stated business requirement and shall be subject to Clause 1.11 and 1.12 below.
- 1.11 Any portable removable media (including but not constrained to pen drives, flash drives, memory sticks, CDs, DVDs, or other devices) which handle, store or process Departmental Data to deliver and support the service, shall be under the control and configuration management of the Contractor or (sub-)Contractors providing the service, shall be both necessary to deliver the service and shall be encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 1.12 All portable ICT devices, including but not limited to laptops, tablets, smartphones or other devices, such as smart watches, which handle, store or process Departmental Data shall be under the control and configuration management of the Contractor or sub-Contractors providing the service, and shall be necessary to deliver the service. These devices shall be full-disk encrypted using a product which has been certified to FIPS140-2 standard or another encryption standard that is acceptable to the Department.
- 1.13 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.

- 1.14 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.
- 1.15 At the end of the contract or in the event of equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored on the Contractor's ICT infrastructure must be securely sanitised or destroyed and accounted for in accordance with the current HMG policy using a NCSC approved product or method. Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as a Storage Area Network (SAN) or shared backup tapes, then the Contractor or sub-contractor shall protect the Department's information and data until the time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.
- 1.16 Access by Contractor or sub-Contractor staff to Departmental Data shall be confined to those individuals who have a "need-to-know" in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted.
- 1.17 All Contractor or sub-Contractor employees who handle Departmental Data must have annual awareness training in protecting information.
- 1.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 1.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data being handled in the course of providing this service, or any non-compliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the solution, shall be investigated immediately and escalated to the Department by a method agreed by both parties.
- 1.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using a NCSC approved ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.
- 1.21 The Contractor or sub-Contractors providing the service will provide the Department with full details of any storage of Departmental Data outside of the UK or any future intention to host Departmental Data outside the UK or to perform any form of ICT management, support or development function from outside the UK. The Contractor or sub-Contractor will not go ahead with any such proposal without the prior written agreement from the Department.

- 122 The Department reserves the right to audit the Contractor or sub-Contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-Contractors, compliance with the clauses contained in this Section.
- 123 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-Contractors or partners who could potentially access Departmental Data in the course of providing this service.
- 124 The Contractor and sub-Contractors shall undergo appropriate security assurance activities as determined by the Department. Contractor and sub-Contractors shall support the provision of appropriate evidence of assurance and the production of the necessary security documentation such as completing the DfE Security Assurance Model (DSAM) process or the Business Service Assurance Model (BSAM). This will include obtaining any necessary professional security resources required to support the Contractor's and sub-Contractor's security assurance activities such as: a NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Professional (CCP) Security and Information Risk Advisor (SIRA)

SCHEDULE 8 ANNEX 2

Processing, Personal Data and Data Subjects

This Annex 2 not used

## Schedule 8 Annex 3 Independent Controller Agreement

1.1 For the purposes of this Annex 3:

"**Controller**" means a person which, alone or jointly with others, determines the purposes and means of the Processing of Personal Data;

"**Data Protection**" Laws means all laws and regulations relating to the Processing of Personal Data as the same may be in force from time to time;

"**Data Subject**" means the individual to which the Personal Data relates;

"**Personal Data**" means any information relating to an identified or identifiable living individual;

"**Personal Data Breach**" means the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, Personal Data; and

"**Processing**" means any operation or set of operations which is performed on Personal Data or on sets of Personal Data, whether or not by automated means, and Process, Processes and Processed shall be construed accordingly.

1.2 The Parties acknowledge and agree that they will share Personal Data in order to fulfil their obligations under this Agreement, in particular to facilitate the delivery of the Services.

1.3 The Parties acknowledge and agree that in relation to the Personal Data disclosed by one Party to the other in connection with this Agreement

1.3.1 the DFE is a Controller in respect of the Personal Data it Processes;

1.3.2 the Contractor is a Controller in respect of the Personal Data it Processes;

1.3.3 the Parties are not joint Controllers; and

1.3.4 neither Party Processes any Personal Data on behalf of the other Party as a Processor.

1.4 In respect of the Personal Data that is shared by the Parties under and in connection with this Agreement:

1.4.1 each Party shall comply with the Data Protection Laws to which it is subject;

1.4.2 the Parties shall use reasonable endeavours to work together to help ensure that each Party is able to Process the Personal Data lawfully, fairly and in a transparent manner and in compliance with the Data Protection Laws to which it is subject;

1.4.3 each Party shall take appropriate technical and organisational measures to help keep the Personal Data safe and secure;

1.4.4 each Party shall notify the other without undue delay after becoming aware of any Personal Data Breach; and

1.4.5 the Parties agree to enter into such other written agreements as may be required from time to time to enable each Party to comply with the Data Protection Law to which it is subject, provided that neither Party shall be obliged to agree to any term in any such agreement to the extent that compliance with the term would put it in breach of any law to which it is subject

1.5 The Contractor shall only provide to the DFE:

1.5.1 the Personal Data that is required to be provided by it to UCL pursuant to the terms of this Agreement; and

1.5.2 such other Personal Data as may be requested by UCL from time to time under and in connection with this Agreement, and shall ensure that no other Personal Data is provided by it (or anyone else acting on its behalf) to the DFE.

1.6 The Parties acknowledge and agree that no provision of this Agreement (including this Annex 3) shall require either Party to disclose data (including Personal Data) to the other Party where such disclosure would put the disclosing Party in breach of any law (including any Data Protection Law) to which it is subject.

1.7 Both Parties in compliance with the relevant articles of the GDPR shall:

- (a) Provide information to data subjects under Article 13 and 14.
- (b) Respond to data subject requests under Articles 15-22.
- (c) Maintain records of processing under Article 30.

1.8 The DFE's Data Protection Officer is Emma Wharram, Emma.WHARRAM@education.gov.uk. The Contractor's Data Protection Officer can be contacted at [data-protect.Jon@ucl.ac.uk](mailto:Jon@ucl.ac.uk). Each shall be the relevant Party's point of contact for the data subjects.

Schedule 9  
Commercially Sensitive Information

(This Schedule shall be finalised at contract fine tuning stage)

SSQ 8.5(i)  
Declaration of Confidentiality

The SEEL partners consider that the following information within the bid to be commercially sensitive. The implications of disclosure of this information to potential future competitors is that it could be used to gain advantage over us in a future tender. We therefore request that the following information be redacted from any future contract that is awarded before it is published:

1. Our written submission addressing the evaluation criteria (published in Schedule 10, including ITEP course management, ITEP course content and delivery, Practice Placements, Recruitment and retention to ITEP, Reporting and Contract Management.
2. The completed cost matrix (Schedule 3, Table 2).
3. The SEEL Implementation Plan (Appendix A within the Response Form, published in Schedule 10).
4. The SEEL Risk Log (Appendix B within the Response Form in Schedule 10)

The information will be commercially sensitive for the duration of the contract, i.e. until September 2025.

Schedule 10

The Contractor's Solution

The emedded document below is the response form submitted by the Contractor as part of their tender documents in response to the hitial Training for Educational PsychologistsITT.



Department for Education

Provision of Initial Training for Educational Psychologists

ITT Submission by the SEEL Consortium

May 2019

NAME OF KEY PERSON DEALING WITH THIS ITT SUBMISSION

|                       |   |
|-----------------------|---|
| Supplier Organisation | University College London, on behalf of SEEL Consortium                                     |
| Full name             | Sandra Dunsmuir   |
| Position              | Professor of Educational and Child Psychology   |
| Telephone             | 020 7679 5307   |
| E-mail                | s.dunsmuir@ucl.ac.uk  |
| Signature             |  JIA,L),-( |
| Date                  | 08.05.2019  |

## RESPONSE FORM

SC7: Requirements of the contract

REDACTED



SC8 Award Criteria

Technical Requirements -weighted 70% of overall bid score



[REDACTED]

[REDACTED]

REDACTED

[REDACTED]



REDACTED

REDACTED



<REDACTED>







<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>



<REDACTED>

<REDACTED>

<REDACTED>

Appendix A

SEEL Consortium  
Project Plan 2020-23

<redacted>

## Resources

<REDACTED>

Key Milestones

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

<REDACTED>

Provisional Completion/  
Review Date

<REDACTED>

<REDACTED>

<REDACTED>

Appendix B

## SEEL Consortium RISK LOG

<REDACTED>

## Appendix C

### South East, East and London (SEEL) Consortium Key Performance Indicators (KPIs): criteria and track record

| KPI  | Service Period  | Measure   | Monitoring method  | Track Record   |
|--|---|---|--|--|
| 100% of all ITEP scheme places successfully filled by the Provider for each yearly intake.   | At the commencement of the ITEP scheme each academic year for 2020, 2021, and 2022. | All 80 SEEL places are filled   | The lead SEEL administrator will report the names of trainees and confirm the total number of successful candidates admitted to each SEEL training programme a month prior to the start of the academic year. There will be communication if funded spaces are not filled, as there may be instances where SEEL reserve candidates can be shared | 100% of all ITEP scheme places successfully filled by the Provider for each yearly intake.         |
| At least 95% of trainees will qualify upon completion of the course  | For the duration of the contract.   | At least 76 students successfully obtain the qualification  | The lead SEEL administrator will liaise with all programme directors and report the total number and names of trainees successfully completing the course at the point of HCPC registration. This will be submitted to the DfE within 10 working days of the end of each course for each cohort.   | 97% of trainees qualify upon completion of the course  |
| No more than 5% of students raise upheld grievance according to university standards   | Each year for the duration of the contract  | Fewer than 3 students from each cohort  | Monthly Report in accordance with template provided by DfE   | No students raised upheld grievance according to university standards                              |
| 95% of graduates will find employment with an English Local Authority within 3 months of qualifying unless any of the exemptions contained within the contract apply | Each year for the duration of the contract  | At least 76 students will find employment with an English Local Authority within 3 months of qualifying | An email will be sent to all graduating Year 3 trainees across SEEL for employment data collection purposes and the report will be submitted to the DfE within 20 working days of the 3 months ending.   | 97% of graduates obtained employment with an English Local Authority within 3 months of qualifying |

|   |  |  |  |   |
|---|--|--|--|---|
| 95% of graduates remain employed by an English Local Authority for at least 2 years FTE after graduating the programme unless any of the exemptions contained within the contract apply | For the first two cohorts only                         | At least 76 students will still be in employment with an English Local Authority 2 years after graduation  | An email will be sent to all Local Authorities to confirm continuous employment of the trainees after 1 year and 2 years employment and the report submitted to the DfE within 20 working days of the 3 months ending. | No data available   |
| 100% of bursaries paid in full and on time  | The first academic year for each of the three cohorts. | 100% of students   | Submission of invoice in accordance with the agreed invoice submission and payment dates which will be September, December, March and June for each year of the programme.   | 100% of bursaries paid in full and on time  |
| 100% submission of monthly reports, which will update on recruitment, deferrals, placements and any causes of concern raised by trainees.   | Per month for the duration of the contract             | Reports will provide details of numbers of trainees who have deferred, withdrawn, on Monthly Report in accordance with template provided by DfE trainees who are causing any concern |  | 100% submission of monthly reports, which will update on recruitment, deferrals, placements and any causes of concern raised by trainees. |
| 90% of respondents, to the annual survey of final year trainees on qualification, will rate the training as good or above   | Each survey year; Oct 2023, Oct 2024, Oct 2025         | Above 72 SEEL responding to the annual survey rate their EP training as good or above  | The annual survey will be circulated to all Year 3 trainees in the Autumn term following   | To be implemented.  |
| The Provider will attend at least one contract management meeting a year at the DfE office specified by the contract manager.   | On-going for the duration of the contract              | At least one meeting attended each year of the contract.   | Face to face meeting   | To be implemented.  |

# Appendix D

Southend-on-Sea Borough Council  
 Department of People  
 Director of Learning: Brin Minton  
 GCMc: Cenbw, Victoria A-u, South-on-Sea. e-882 SER  
 GD170CZ215000  
 @-S0\IIIIONdgCIII.uk



Our ref: SEEL 19  
 Your ref:  
 Date: 1 May 2019  
 Telephone: 01702 215909  
 Email: epadmin@southend.gov.uk

Dear Sir/Madam,  
 RE: SEEL CONSORTIUM

I am writing on behalf of Principal Educational Psychologists to express continued support for the proposals made by the SEEL Consortium of training providers to deliver entry level training for educational psychologists. We are satisfied that the model of training outlined will continue to deliver high quality training and meet the future needs of our region for qualified educational psychologists.

Since the period since 2008 when the SEEL consortium was founded, the SEEL Consortium Executive Committee (SCEC) has provided a valuable forum for training providers and Principal Educational Psychologists, representing employers, to work in partnership, developing systems to support Y2 and Y3 placements. This has enabled the piloting of different models and approaches and provided a sound foundation for further developments.

The meetings of SCEC have provided a forum which to consider innovations in training within the developing context of EP service delivery. We have been very pleased with the quality of trainees and new recruits to our services, and the systems in place to support their progression through the three years of training. We would welcome the opportunity to continue to work within these strong existing relationships. We value the diversity of training that is offered by this consortium model. We find SEEL to be particularly responsive to emerging issues and present day practice challenges. The approach is collaborative and cooperative. There is a focus on identifying priority issues across and within services and using the research opportunities that trainees provide to explore and develop new initiatives. We are further interested in sharing the ideas from expert user groups such as parents and students to further shape ideas for research. We will continue to work closely with training providers to deliver the single interview selection process and refine the operation of the placement panel to identify and manage high quality practice placements.

We welcome the recent announcement regarding the increase in numbers of training places but remain concerned about overall numbers of educational psychologists available to work within LAEP services.

In summary, we strongly support the SEEL consortium tender and are committed to working in partnership with the training providers and further welcome partnerships between training providers to ensure that the contract requirements are delivered.

Yours faithfully

Anne Power  
 Principal Educational Psychologist  
 PEP Representative, Brentilton -S.a)



@southendbc | SouthendBC | southendbc | southendbc

Educational Psychology Service

London Borough of Islington

222 Upper Street

London N1 1XR

10.04.19

Dear Sir or Madam,

I am writing on behalf of the London Principal Educational Psychologists to express continued support for the proposals made by the SEEL Consortium of training providers to deliver entry level training for educational psychologists. We are satisfied that the model of training outlined will continue to deliver high quality training and meet the London area's future needs for qualified educational psychologists. We welcome the recent announcement to increase the number of EPs being trained, and across the London region we are keen to ensure we can provide a sufficient number of high quality placements for the increased number of trainees.

In the period since 2008 when the SEEL consortium was founded, the SEEL Consortium Executive Committee (SCEC) has provided a valuable forum for training providers and Principal Educational Psychologists, representing employers, to work in partnership, developing systems to support Y2 and Y3 placements. This has enabled the piloting of different models and approaches and provided a sound foundation for further developments. We value the opportunity to work collaboratively with the training providers to agree the areas of research to be undertaken by trainees, to ensure they address key Local Authority priorities and therefore will ultimately benefit and improve outcomes for the children, young people and families in our areas.

The meetings of SCEC provide a forum to consider ongoing innovations in training within the developing context of EP service delivery. This joint approach ensures the training of new EPs is responsive to changing needs and demands, and is able to offer value for money. We are particularly excited about the prospect of the development of a SEEL-wide user group made up of members who are experts by experience, which will further enhance the quality of the training courses.

We have been very pleased with the quality of trainees and new recruits to our Services, and the systems in place to support their progression through the three years of training. We will continue to work closely with the training providers to deliver the single interview selection and the placement panel process. We welcome the opportunity to continue to work within these strong existing relationships to maintain high quality practice placements..

In order to ensure that the contract requirements are delivered, we will continue to work closely with the training providers to ensure that the contract requirements are delivered.

Yours faithfully



Gill Sassienie

Principal Educational Psychologist (Islington)

PEP Representative, London

Dear Sirs,

I am writing on behalf of the South of England Region Principal Educational Psychologists to express continued support for the proposals made by the SEEL Consortium of training providers to deliver entry level training for educational psychologists. We are satisfied that the model of training outlined will continue to deliver high quality training and meet the future needs of our region for qualified educational psychologists. We view the proposed increase in the number of available training places within our region positively and are keen to provide the increased number of high quality placements for TEPs within our local authority services that this will require.

In the period since 2008 when the SEEL consortium was founded, the SEEL Consortium Executive Committee (SCEC) has provided a valuable forum for training providers and Principal Educational Psychologists, representing employers, to work in partnership, developing systems to support Y2 and Y3 placements. This has enabled the piloting of different models and approaches and provided a sound foundation for further developments. We recognise the expertise that the training providers bring and how we can work together with universities to conduct joint research which addresses the priorities of LAs, and therefore continues to positively promote LA EP services as undertaking high quality and relevant research which is of benefit to children, young people and their families.

The meetings of SCEC have provided a forum in which to consider innovations in training within the developing context of EP service delivery. We have been very pleased with the quality of trainees and new recruits to our services, and the systems in place to support their progression through the three years of training. We would welcome the opportunity to continue to work within these strong existing relationships. We value the diversity of training that is offered by this consortium model. We will continue to work closely with training providers to deliver the single interview selection process and refine the operation of the placement panel to identify and manage high quality practice placements. We continue to liaise closely regarding innovative practice and are pleased that a user group comprising members who are experts by experience will be part of the consortium offer moving forwards.

In summary, we strongly support the SEEL consortium tender and are committed to working in partnership with the training providers to ensure that the contract requirements are delivered.

Yours faithfully

A handwritten signature in black ink, appearing to be 'Cate Mullen'.

Dr Cate Mullen

Principal Educational Psychologist, West Sussex County Council

## Appendix E

### South East, East and London (SEEL)

#### Consortium Executive Committee (SCEC)

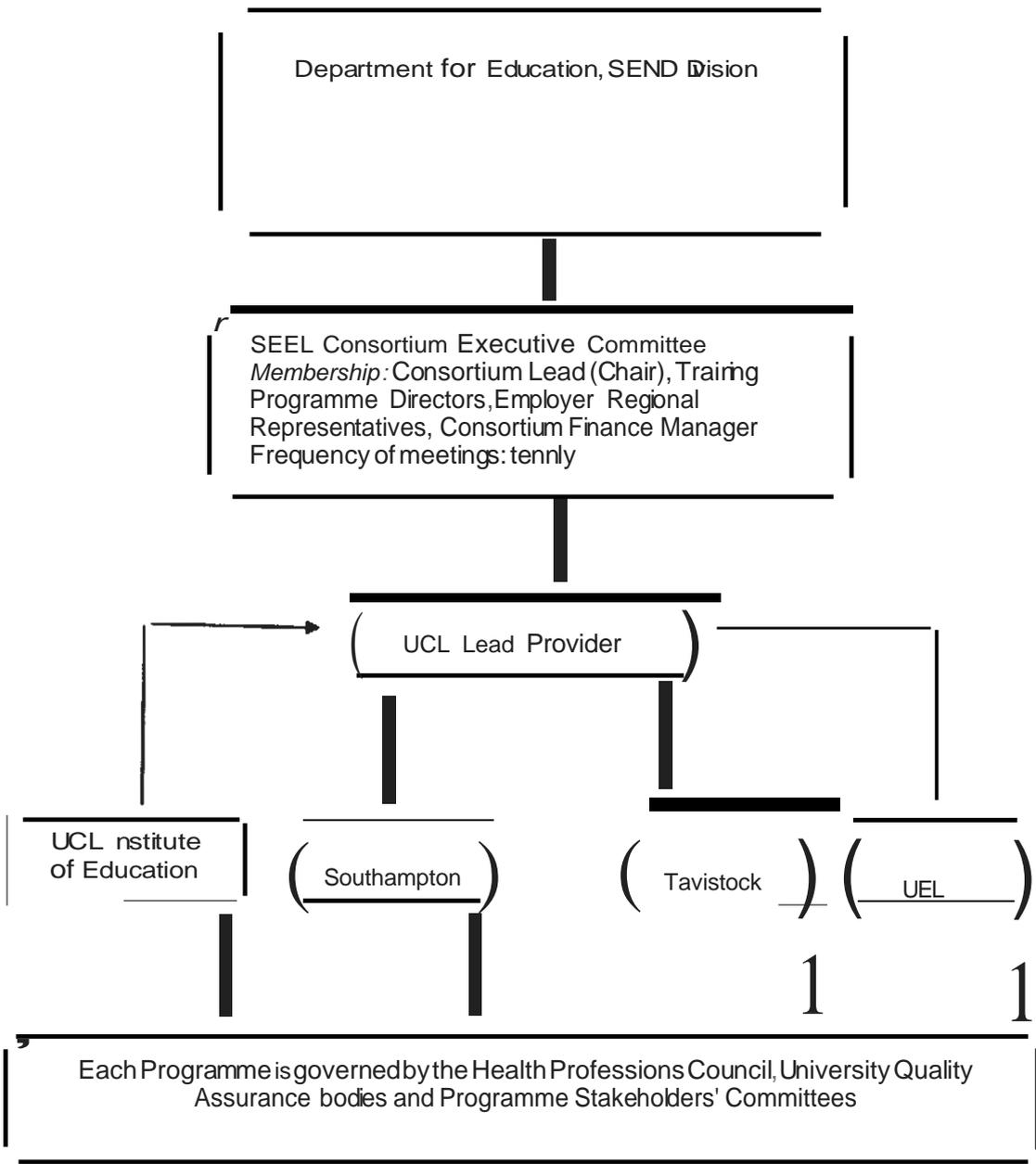
#### Terms of Reference

1. To ensure the smooth and efficient working of the consortium
2. To ensure that all financial and managerial matters are working effectively
3. To monitor budgetary and financial reports, risk log and exit strategy operation, agreeing appropriate action where necessary
4. To oversee the working of the consortium agreements
5. To ensure Department for Education reporting requirements are met
6. To review the detailed operation of the selection procedure
7. To monitor supply of placements for years 2 and 3 and liaise with placement providers accordingly to secure sufficient high quality placements
8. To monitor staffing and to ensure that suitable staffing arrangements are in place for the effective delivery of the project
9. To receive summary quality monitoring and enhancement reports from partners annually
10. To identify and review issues in respect to the day to day operation of the consortium

#### SEEL Consortium Executive Committee (SCEC) Members:

| Name                  | Role  |
|-----------------------|---|
| Prof. Sandra Dunsmuir | SCEC Chair & University College London Programme Director             |
| Dr Brian Davis        | The Tavistock and Portman NHS Foundation Trust Programme Director     |
| Vivian Hill           | UCL Institute of Education Programme Director                         |
| Nick Grimes           | Representing the OfE  |
| Dr Cate Mullen        | Principal Educational Psychologist, West                              |
| Anne Powell-Davies    | Principal Educational Psychologist, Southend - representing East PEPs |
| Dr Mary Robinson      | University of East London Programme Director                          |
| Gill Sassienie        | London PEP representative   |
| Dr Sarah Wright       | University of Southampton Programme Director                          |
| Alice Tucker          | SEEL Administrative Lead & UCL Programme Office Manager               |

# SEEL Consortium Organisational Map



## SEEL Selection Process

Key principle: PEPs will be involved in decision-making and ensuring trustworthiness at all stages of the process from shortlisting to finalisation of the Placement Panel allocation list, as described below.

### Shortlisting

It is not feasible for PEPs to commit the time needed for full involvement in shortlisting given the very large numbers of applications received by the SEEL programmes. Instead, they should be invited to a 2-3 hour meeting devoted to moderating the shortlisting process during which they will be provided with samples of applications from those recommended by the tutor team to be interviewed and not to be interviewed, together with a sample of those at the borderline.

Where a PEP cannot attend the shortlisting meeting the sample of applications for moderation, together with the tutor ratings against the shortlisting criteria will be e-mailed to them prior to the meeting for their comments.

All candidates invited to interview must have a satisfactory professional reference. Where this has not been provided with the application it must be obtained by the programme before the invitation to interview can be offered.

### Selection Days

The selection process followed by each of the SEEL programmes was approved subject to the following conditions:

- Each candidate is seen by a panel involving a PEP
- No other aspect of the selection process can outweigh the panel interview in which PEPs are involved. It must not be possible for a candidate ruled out by this panel interview to be offered a place. (Other aspects of the interview process are typically included to rule out candidates whose written language (written task) or team work (group activity) skills do not meet minimum requirements. PEPs will not usually be involved in scoring written tasks. They may be involved in observing and scoring group activities. At the Tavistock an individual interview is used to rule out candidates not suited to training in this particular NHS mental health trust context.)

At the end of the final selection day at least one of the PEPs must be involved in drawing up the final rank ordered list, confirming the applicants to receive the initial funded place offers and identifying a line below which an offer (whether funded or self funded) will not be made. Candidates below this line are not considered suitable for training on the basis of their interview performance at this time.

## PEP Representation

Each year the Eastern, London and South Eastern region PEPs will nominate 10 PEPs to participate in the SEEL selection processes (2 per programme) and 10 reserves (usually SEPs).

### Information to Candidates.

Programmes and services need to inform potential applicants that all UK applicants, including those prepared to self fund, must apply through the Educational Psychology Funded Training (EPFT) Scheme and be interviewed as part of the SEEL selection process in which the representative PEPs are fully involved.

Overseas, EU or any other applicants who are accepted onto SEEL programmes will not be placed on the SEEL Placement Panel Allocation List, although the same criteria and standards for shortlisting and interview will apply. A busaried placement in a LA service will not be possible for them. For such applicants there are 2 placement options in Years 2 and 3:

- 1) they complete an unpaid placement supervised by a course tutor with the agreement of their PEP
- 2) they complete placement in their home country (where learning opportunities and supervision arrangements satisfy HCPC and BPS requirements)

Appendix G

SEEL Selection Safeguarding Process

| When   | What  | Who  | Action/Decision |
|--|---|--|-----------------|
| At/before interview  | Candidate asked to self-declare all cautions, convictions and reprimands                      | Self-declaration form  |                 |
| After interview  | DBS completion (enhanced child & adult)   | University administration  |                 |
| Pre-registration (clear)   | Clear DBS<br>On file  | Programme administration   |                 |
| Pre-registration (concerns)  | Failure to disclose - normally withdrawal of place  | University administration and programme director   |                 |
|  | Disclosure of caution, conviction or reprimand  | University positive disclosure process (and associated sub-process for professional trainings).                            |                 |
|  | Applicant statement   |  |                 |
|  | Programme director jointly evaluate case with regional PEP rep                                |  |                 |
|  | Identify any necessary/ mitigating in-programme provisions                                    |  |                 |
|  | Programme director recommend registration (with/ without conditions) or terminate application |  |                 |
| University informs applicant with possible associated caveats if admitted (e.g. possible risk to subsequent employability) |   |  |                 |
| Post registration  | HCPC expectations - guide for students  | Student self-monitoring and declaration to programme director in event of any (further) cautions, convictions, reprimands. |                 |
| Placement  | PEP and Programme Director consult  | Student self-declaration to PEP  |                 |