



## CONTRACT FOR SERVICES - EDUCATION AND TRAINING

### FUNDING AGREEMENT

**[enter dates]**

## Terms and Conditions

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**Skills Funding  
Agency**



**European Union**  
European  
Social Fund

## Terms and Conditions

This Contract is made this **xx** Day of **xx 2015** between:

[CONTRACTOR REGISTERED NAME  
AND ADDRESS

AND

THE SECRETARY OF STATE  
FOR BUSINESS, INNOVATION  
AND SKILLS (BIS) ACTING  
THROUGH THE SKILLS  
FUNDING AGENCY  
CHEYLESMORE HOUSE  
QUINTON ROAD  
COVENTRY  
CV1 2WT

Hereinafter called  
THE CONTRACTOR

Hereinafter called  
THE SFA

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## GENERAL TERMS AND CONDITIONS

It is agreed as follows.

### 1 Definitions

- 1.1 “Contract” means the Contract between the above named parties consisting of these Terms and Conditions, the specification and any other documents (or parts thereof) specified in the Contract and any variations to the Contract agreed in writing and signed by both Parties.
- 1.2 “ESF Funding” means funding from European Social Fund
- 1.3 “Funding Rules” means any document which sets out the detailed requirements with which THE CONTRACTOR must comply in respect of each

Learning Programme delivered under this Contract and which forms part of this Contract.

- 1.4 “Growth Funding” means the funding allocated by the Secretary of State for Business Innovation and Skills to the Greater Manchester Combined Authority for employment and skills.
- 1.5 “Learner” means any third party including any student, apprentice, trainee or similar to whom THE CONTRACTOR is required to deliver any of the Services.
- 1.6 “Learner Files” means any information relating to a Learner generated by THE CONTRACTOR, the Learner or a third party for the purpose of the delivery of the Learning Programme.
- 1.7 “Learning Programme” means a programme of education, training or support delivered by THE CONTRACTOR under this Contract.
- 1.8 “Greater Manchester Local Enterprise Partnership (GMLEP)” means a formalised partnership between local authorities in Greater Manchester to determine local economic priorities and lead economic growth and job creation within its area.
- 1.9 “OFSTED” means the Office for Standards in Education.
- 1.10 “Parties” means THE SFA acting on behalf of the Crown and THE CONTRACTOR.
- 1.11 “Premises” means the location where the Services are to be performed, as detailed in the Contract.
- 1.12 “Register of Training Organisations” means the register maintained by THE SFA of organisations qualified to receive funding from THE SFA.
- 1.13 “Services” means the services to be provided as specified in the Contract.
- 1.14 “Specification” means the documents setting out THE SFA’s requirements for the Services to be provided under this Contract.

## **2 Commencement and Continuation**

- 2.1 The Contract shall commence on [enter date] and terminate on [enter date].

## **3 Contract Management**

- 3.1 THE SFA and THE CONTRACTOR will each nominate a contact for the purpose of dealing with queries and issues under this Contract and advise the other of the contact details.

## **4 Service Delivery**

- 4.1 The Services to be delivered under this Contract are set out in Schedule 1.
- 4.2 The Services are to be delivered in accordance with the terms of the Contract, including any tender document submitted by THE CONTRACTOR which all forms part of the terms and conditions of the Contract.
- 4.3 THE CONTRACTOR must provide evidence that it has worked in partnership with the GMLEP to ensure that the delivery of the Services takes account of the GMLEP's local economic and skills priorities.

## **5 Assignment and Sub-Contracting**

- 5.1 Where THE CONTRACTOR sub-contracts or intends to sub-contract any duties or obligations arising out of this Contract, THE CONTRACTOR must provide THE SFA with details of all sub-contractors bi annually by fully and accurately completing the Declaration of Subcontractors form in accordance with the deadline set out in the Funding Rules. If THE CONTRACTOR is not sub-contracting then a nil return must be received by the deadline date. THE CONTRACTOR must notify THE SFA of any within year changes to its sub-contractors. THE SFA reserves the right to require THE CONTRACTOR not to enter into, or to terminate, any sub-contract to deliver the Services under this Contract.
- 5.2 THE CONTRACTOR must comply with the requirements on sub-contracting delivery of the Services set out in THE SFA's Funding Rules as amended and updated. Sub-contracting any part of the Contract shall not relieve THE CONTRACTOR of any obligation or duty attributable to him under the Contract or these conditions. THE CONTRACTOR is responsible for all the actions of its sub-contractors connected to or arising out of the delivery of the Services which it sub-contracts.
- 5.3 Services under this Contract may only be sub-contracted to one level unless THE CONTRACTOR obtains the consent of THE SFA in writing.
- 5.4 Where THE CONTRACTOR has sub-contracted any duties or obligations arising out of this Contract, THE CONTRACTOR shall ensure that there is in place a legally binding sub-contract and send copies of the sub-contract to THE SFA if requested in writing to do so. Where THE CONTRACTOR enters into a sub-contract for the purpose of performing the Contract, THE CONTRACTOR shall ensure that the sub-contract includes any terms specified in the Funding Rules.
- 5.5 THE CONTRACTOR shall ensure that any sub-contract entered into for the purpose of delivering the Services under this Contract contains a term providing that THE SFA has the right to enforce the terms of the sub-contract.



<b>“Exempt Information”</b>	means any information or class of information (including but not limited to any document, report, contract or other material containing information) relating to this Contract or otherwise relating to THE CONTRACTOR, which potentially falls within an exemption to FOIA (as set out therein)
<b>“FOIA”</b>	means the Freedom of Information Act 2000 and all regulations made there from time to time or any superseding or amending enactment and regulations, and words and expressions defined in the FOIA shall have the same meaning in this Clause 6; and
<b>“FOIA notice”</b>	means a decision notice, enforcement notice and/or an information notice.

## 6.2 Freedom of Information

- 6.2.1 THE CONTRACTOR acknowledges and agrees that THE SFA is subject to legal duties under FOIA, which may require THE SFA to disclose or request information relating to this Contract or otherwise relating to THE CONTRACTOR.
- 6.2.2 THE CONTRACTOR acknowledges and agrees that THE SFA is required by law to consider each and every request made under FOIA for information.
- 6.2.3 THE CONTRACTOR acknowledges and agrees that all decisions made by THE SFA pursuant to a request under FOIA are solely a matter for and at the discretion of THE SFA.
- 6.2.4 Notwithstanding anything in this Contract to the contrary (including without limitation any obligations of confidentiality), THE SFA shall be entitled to disclose information in whatever form pursuant to a request made under FOIA, save that in relation to any information that is Exempt Information THE SFA shall use reasonable endeavours (but shall not be obliged) to consult THE CONTRACTOR and shall not:
- a) confirm or deny that information is held by THE SFA;
  - or
  - b) disclose information requested

to the extent that in THE SFA's opinion the information is eligible in the circumstances for an exemption and therefore THE SFA may lawfully refrain from doing either of the things described in parts (a) and (b) of this Clause.

6.2.5 In relation to information relating to THE CONTRACTOR or the Contract which THE CONTRACTOR requests should be exempt under the FOIA THE CONTRACTOR shall indemnify THE SFA for any and all costs (including legal fees) incurred by THE SFA in:

- a) assessing the application of any exemption under FOIA; and/or
- b) responding to any FOIA notice; and/or
- c) lodging any appeal against a decision of the Information Commissioner in relation to disclosure

where such costs are incurred pursuant to efforts by THE SFA to withhold Exempt Information.

6.2.6 THE SFA shall in no event be liable for any loss, damage, harm or detriment, howsoever caused, arising from or in connection with the disclosure under FOIA of any Exempt Information or other information whether relating to this Contract or otherwise relating to THE CONTRACTOR.

6.2.7 THE CONTRACTOR shall assist THE SFA as reasonably necessary to enable THE SFA to comply with its obligations under FOIA.

### 6.3 Confidentiality

THE CONTRACTOR hereby warrants that:

6.3.1 any person employed or engaged by it (in connection with this Contract in the course of such employment or engagement) shall treat all Confidential Information belonging to THE SFA as confidential, safeguard it accordingly and only use such Confidential Information for the purposes of this Contract; and

6.3.2 any person employed or engaged by it (in connection with this Contract in the course of such employment or engagement) shall not disclose any Confidential Information to any third party without prior written consent of THE SFA, except where disclosure is otherwise expressly permitted by the provisions of this Contract.

6.4 THE CONTRACTOR shall take all necessary precautions to ensure that all Confidential Information obtained from THE SFA is treated as confidential and not disclosed (without prior approval) or used other than for the purposes of this Contract by any of its employees, servants, agents or sub-contractors.



- 6.10 THE SFA reserves the right to publish details of this Contract and the payments made under it to comply with the Government's transparency requirements.
- 6.11 The provisions of this Clause 6 will apply for the duration of the Contract and after its termination.

## **7 Equality of Opportunity**

- 7.1 THE CONTRACTOR shall not unlawfully discriminate within the meaning and scope of the provisions of the Equality Act 2010 or any statutory modification or re-enactment thereof or any other statutory provision relating to discrimination in employment or the provision of services. THE CONTRACTOR shall take all reasonable steps to ensure the observance of these provisions by all servants, employees or agents of THE CONTRACTOR and all sub-contractors employed in the execution of the Contract. THE CONTRACTOR will comply with the detailed requirements in relation to equality of opportunity set out in Clauses 7.2 to 7.4.
- 7.2 THE CONTRACTOR will, in delivering the Services under this Contract, demonstrate that it has had regard to the duties placed on THE SFA and THE CONTRACTOR by the Equality Act 2010. THE CONTRACTOR will take all reasonable steps to ensure the observance of these provisions by all servants, employees or agents of THE CONTRACTOR and all sub-contractors employed to deliver the Services.
- 7.3 THE CONTRACTOR shall ensure that equality of opportunity is built into all aspects of Services; the business planning process; and the self assessment process. THE CONTRACTOR shall use analysis of data to inform future planning to improve the representation, participation and success of underrepresented and underachieving groups and challenge stereotyping. THE CONTRACTOR shall use appropriate, specific and measurable objectives. These will be proportionate, relevant and aligned to the Services THE CONTRACTOR is funded to deliver.
- 7.4 THE SFA may use a variety of equality information and data to support judgements about quality and eligibility for funding. These may include, but are not limited to: inspection judgements for equality and diversity, judgements from the Equality and Human Rights Commission, and the success and participation rates of different groups of Learners.

## **8 Learner Health, Safety & Welfare**

- 8.1 THE CONTRACTOR shall ensure so far as reasonably practicable that learning takes place in safe, healthy and supportive environments, which meet the needs of learners. THE CONTRACTOR shall provide information to THE SFA, as and when specifically requested, to give assurance that adequate arrangements exist for Learner Health, Safety and Welfare.

- 8.2 Where part of the learning takes place in an environment outside the direct control of THE CONTRACTOR, THE CONTRACTOR shall take all reasonable steps to ensure that adequate arrangements are in place to ensure the health and safety of Learners.
- 8.3 THE CONTRACTOR shall adopt recruitment processes that comply with the law and will ensure that children and vulnerable adult learners are protected. THE CONTRACTOR will take all necessary actions to comply with current legal safeguarding requirements. THE CONTRACTOR must make the necessary checks to ensure that employment that involves regular contact with young people under the age of 18 or other vulnerable learners is not offered to or held by anyone who has been convicted of certain specified offences, or whose name is included on lists of people considered unsuitable for such work held by the Department for Education and the Department of Health. Information should also be sought from the Disclosure and Barring Service. THE CONTRACTOR must undertake an adequate risk assessment to establish what action is required where their employees have regular contact with Learners under 18 or other vulnerable Learners.
- 8.4 THE CONTRACTOR will carry out criminal records bureau checks on all overseas applicants for employment and seek additional information about an applicant's conduct. THE CONTRACTOR must review its records and be able to demonstrate it has robust record-keeping procedures in relation to the checks it has undertaken and the staff it employs.
- 8.5 In working with other organisations/bodies, THE CONTRACTOR shall make arrangements to co-ordinate and co-operate effectively for reasons of learner health, safety and welfare. In particular, respective responsibilities shall be clearly identified and documented as appropriate, to ensure understanding.
- 8.6 THE CONTRACTOR shall, in circumstances where it sub-contracts the management and/or delivery of the Services under this Contract, ensure that all the Clauses in respect of Learner Health, Safety and Welfare are included in its contract with sub-contractors.
- 8.7 THE CONTRACTOR shall inform THE SFA of the death of any Learner which is a result of work undertaken whilst in employment and who is undertaking a related Learning Programme.

This shall be done by:

- 8.7.1 informing THE SFA's representative by telephone or email immediately upon THE CONTRACTOR becoming aware of the event.
- 8.8 THE CONTRACTOR shall report all RIDDOR reportable incidents in line with the Regulations, and shall investigate or assess the circumstances of all Learner incidents within the scope of RIDDOR and follow HSE guidance 'Investigating accidents and incidents: A workbook for employers, unions,

safety representatives and safety professionals' (HSG245) ISBN 0717628272. THE CONTRACTOR shall only use persons competent to investigate/assess Learner incidents with a view to identifying the causes of any incident and lessons to be learned.

- 8.9 THE CONTRACTOR shall also monitor, and act on, any other harm to Learners to the extent that THE CONTRACTOR could reasonably be expected to do so and/or where the harm could affect the quality of the learning experience. Harm includes (but is not limited to) incidents that cause absence from learning, any loss to the Learner of any physical or mental faculty or any disfigurement and incidents of bullying and harassment.
- 8.10 THE CONTRACTOR shall co-operate with THE SFA and Department for Work and Pensions for the purposes of the Industrial Injuries Disablement Benefit (IIDB) in respect to those Learners to which it applies.
- 8.11 THE CONTRACTOR shall ensure that it complies with its duty to have due regard to the need to prevent Learners from being drawn into terrorism in accordance with s26 of the Counter-Terrorism and Security Act 2015 and the guidance published by the Secretary of State.

## **9 Liability**

- 9.1 THE CONTRACTOR shall indemnify and keep indemnified THE SFA, their servants, employees, and agents against all loss, damage or liability (whether civil or criminal), claims, demands, costs and expenses incurred by or made against THE SFA, their servants, employees, or agents in respect of any loss or damage or personal injury (including death) which arises out of or in the course of or caused by the negligent act or omission or wilful default of THE CONTRACTOR, their servants or agents in the delivery of the Service except to the extent (if any) that it was also caused or contributed to by the negligent act or omission or wilful default of THE SFA or their servants or agents.
- 9.2 THE CONTRACTOR warrants to THE SFA that to the best of its knowledge and belief all works carried out under the Contract will not infringe, in whole or in part, any copyright or any other intellectual property right of any person and agrees to indemnify THE SFA against any and all claims, demands, proceedings, expenses and losses, including any of a consequential nature, arising directly or indirectly out of any act of the foregoing in relation to any works, where such an act is, or is alleged to be, an infringement of a third party's copyright or other intellectual property right. This warranty and indemnity shall survive the termination of the Contract and shall exist for the life of the copyright or other intellectual property right.
- 9.3 The liability of THE CONTRACTOR under this clause shall not exceed twice the value of the Contract or £1,000,000 whichever is the greater save that this limit shall not apply to claims in respect of death or personal injury.

9.4 THE SFA reserves the right to require THE CONTRACTOR to secure the provision of an appropriate guarantee in respect of THE CONTRACTOR'S liabilities under this Contract.

## **10 Insurance**

10.1 THE CONTRACTOR shall maintain at its own cost a policy or policies of insurance to cover the liability of THE CONTRACTOR in respect of any act or default for which it may become liable to indemnify THE SFA under this Contract. THE SFA reserves the right to require THE CONTRACTOR to insure against any act or default which arises as a result of fraud or other criminal activity by THE CONTRACTOR, its employees, agents or sub-contractors. THE CONTRACTOR should provide copies of any insurance certificates to THE SFA including professional indemnity, employers' liability and public liability insurance following a written request from THE SFA.

## **11 Limitation of Liability**

11.1 THE SFA shall not be liable to THE CONTRACTOR for any indirect or consequential loss, damage, injury or costs whatsoever.

## **12 Access and Monitoring**

12.1 THE SFA shall give THE CONTRACTOR reasonable advance notice in writing of proposed visits to THE CONTRACTOR or its sub-contractors, to observe the delivery of the Services, by any person who has taken or will take no direct part in the conduct or content of the Services.

12.2 For monitoring and evaluation purposes, THE SFA or their representatives, the Secretary of State or their representatives, the National Audit Office, Representatives of the European Commission and the European Court of Auditors, the Audit Commission and the Inspectorates shall have the right to visit all or any site(s) and view operations relating to the provision and to inspect relevant documents and interview Learners and THE CONTRACTOR'S staff during these visits in order to:

- a) examine, audit or take copies of any original or copy documentation, accounts, books and records of THE CONTRACTOR and its sub-contractors that relate to the Contract;
- b) visit, view or assess the design, management and delivery relating to the Contract at any Premises where those operations are carried out (including those of sub-contractors) and conduct relevant interviews, including interviews with Learners, during these visits at any reasonable time;
- c) carry out examinations into the economy, efficiency and effectiveness with which THE CONTRACTOR has used THE SFA's resources in the performance of the Contract.

- 12.3 THE CONTRACTOR shall, if required by any of the representatives stated at Clause 12.2 provide appropriate oral or written explanations.
- 12.4 THE SFA reserves the right, at any reasonable time, and as it may deem necessary to require THE CONTRACTOR at its own cost to:
- 12.4.1 provide evidence of financial resources and the level of turnover sufficient to enable it to continue to perform the Contract;
  - 12.4.2 provide such assurance as THE SFA may require that the delivery of the Services complies with the requirements of the Contract;
  - 12.4.3 obtain a report by an independent accountant of THE SFA's choice on;
    - 12.4.3.1 the financial systems and controls operated by THE CONTRACTOR or its subcontractors;
    - 12.4.3.2 the accuracy and regularity of funding claims in respect of payments claimed or received under the Contract;
    - 12.4.3.3 the evidence held by THE CONTRACTOR or its subcontractors to support delivery of the Services in accordance with the terms of the Contract
- THE CONTRACTOR must agree the instructions for the work with THE SFA. The report and the work required in order to produce the report shall be carried out to the satisfaction of THE SFA, and THE SFA must be able to place reliance on it. THE CONTRACTOR shall provide a copy of the interim and final report to THE SFA as soon as they are available. THE SFA reserves the right to require THE CONTRACTOR to publish the report.
- 12.4.4 provide a copy of THE CONTRACTOR'S latest audited Accounts and submit further copies of the audited Accounts as they become available;
  - 12.4.5 submit any claim for payment or management information provided to support a claim for payment to be audited by an independent auditor chosen by THE SFA;
  - 12.4.6 provide any additional evidence to support payments made under this Contract, as THE SFA shall reasonably require.
- 12.5 THE CONTRACTOR shall in performing the Services comply fully with all relevant rules and regulations of THE SFA in force from time to time especially when on THE SFA's premises.



the cost of the service and any other VAT or taxes to be charged, where they apply.

- 13.9 Under the provision of Item 5A to Group 6 of Schedule 9 of the VAT Act 1994, the supply of education or vocational training funded by THE SFA and the supply by the person providing that education or vocational training, of any goods or services essential to that provision, is considered to be an exempt supply for VAT purposes.

## **14 Review of Contractual Performance and Reconciliation of Contracts**

- 14.1 Where THE CONTRACTOR receives profile payments from THE SFA, payments will be reconciled to cash earned by actual delivery of the Services or the period to the timetable set out in Schedule 2.
- 14.2 Where THE CONTRACTOR'S actual delivery will result or has already resulted in an overpayment to THE CONTRACTOR by THE SFA, THE SFA will withhold from, or deduct the amount owed from, payments due to THE CONTRACTOR under the Contract for current or subsequent months or years accordingly.
- 14.3 Where THE CONTRACTOR'S actual delivery has resulted in an underpayment to THE CONTRACTOR by THE SFA, THE SFA will adjust the amount due to THE CONTRACTOR accordingly. This adjustment shall not exceed the overall maximum value set out in Schedule 2 of this Contract.
- 14.4 Should there be an under or over payment to THE CONTRACTOR, THE SFA may at their absolute discretion require a Contract variation.
- 14.5 A Contract review will take place at the end of the period of this Contract in respect of the Services specified in Schedule 1 of this Contract. THE SFA will notify THE CONTRACTOR of the actual amount of money, which has been earned against the Services delivered, and compare this to the total profile payments made and to the overall maximum value specified in Schedule 2. At this stage final cash reconciliation will take place. Any overpayment made to THE CONTRACTOR by THE SFA will be repayable within 30 days of receiving an invoice. THE SFA reserves the right to reduce future payments to recover any overpayments. THE SFA will pay any outstanding monies owed, up to the overall maximum value specified in Schedule 2 of this Contract, within 30 days of final reconciliation being completed.
- 14.6 The evidence required to support the delivery of the Services is set out in the Schedule 1 and THE CONTRACTOR must retain such evidence for inspection on demand.

## **15 Prohibited Activities**

- 15.1 THE CONTRACTOR shall not offer or give, or agree to give, to any member, employee or representative of THE SFA any gift or consideration of any kind



16.3 THE CONTRACTOR shall:

- 16.3.1 process Personal Data only in accordance with the instructions from THE SFA (which may be specific instructions or instructions of a general nature as set out in the Contract or otherwise notified by THE SFA to THE CONTRACTOR during the term of the Contract);
- 16.3.2 process the Personal Data only to the extent and in such manner as is necessary for the provision of the Services or as is required by Law or any Regulatory Body;
- 16.3.3 implement appropriate technical and organisational measures to protect the Personal Data against unauthorised or unlawful processing and against accidental loss, destruction, damage, alteration or disclosure. These measures shall be appropriate to the harm which might result from any unauthorised or unlawful Processing, accidental loss, destruction or damage to the Personal Data and having regard to the nature of the Personal Data which is to be protected;
- 16.3.4 take reasonable steps to ensure the reliability of any Contractor Personnel who have access to the Personal Data;
- 16.3.5 obtain prior written consent from THE SFA in order to transfer the Personal Data to any sub-contractor or other third parties for the provision of the Services;
- 16.3.6 ensure that all Contractor Personnel do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by THE SFA;
- 16.3.7 notify THE SFA within 5 working days if it receives:
  - 16.3.7.1 a request from a Data Subject to have access to that person's Personal Data; or
  - 16.3.7.2 a complaint or request relating to THE SFA obligations under the Data Protection Legislation;
- 16.3.8 provide THE SFA with full co-operation and assistance in relation to any complaint or request made, including by:
  - 16.3.8.1 providing THE SFA with full details of the complaint or request;
  - 16.3.8.2 complying with a data access request within the relevant timescales set out in the Data Protection Legislation and in accordance with THE SFA's instructions;

- 16.3.8.3 providing THE SFA with any Personal Data it holds in relation to a Data Subject (within the timescales required by THE SFA); and
- 16.3.8.4 providing THE SFA with any information requested by them or their representatives.
- 16.3.9 permit THE SFA or THE SFA's representative (subject to reasonable and appropriate confidentiality undertakings), to inspect and audit THE CONTRACTOR'S Data Processing activities (and/or those of its agents, subsidiaries, and sub-contractors) and comply with all reasonable requests or directions by THE SFA to enable THE SFA to verify and or procure that THE CONTRACTOR is in full compliance with its obligations under this Contract;
- 16.3.10 provide a written description of the technical and organisational methods employed by THE CONTRACTOR for processing Personal Data (within the timescales required by THE SFA); and
- 16.3.11 provide THE SFA with information about how the Learner Files are stored including details of the location where the Learner Files are kept and the arrangements for their security. THE CONTRACTOR is required to notify THE SFA of any changes to this information
- 16.3.12 not Process Personal Data outside the European Economic Area without the prior written consent of THE SFA and, where THE SFA consents to a transfer, to comply with:
  - 16.3.12.1 the obligations of a Data Controller under the Eighth Data Protection Principle set out in Schedule 1 of the Data Protection Act 1998 by providing an adequate level of protection to any Personal Data is transferred; and
  - 16.3.12.2 any reasonable instructions notified to it by THE SFA.
- 16.4 Where THE CONTRACTOR is providing the Services to Learners claiming out of work benefits, the Secretary of State for Work and Pensions (or their successor) is the Data Controller in relation to Personal Data which THE CONTRACTOR is required to provide to the Secretary of State for Work and Pensions. This Clause 16 will be enforceable by the Secretary of State for Work and Pensions in relation to any Personal Data processed by THE CONTRACTOR on their behalf.
- 16.5 Where THE CONTRACTOR is providing the Service to Learners who are subject to active management by the Offender Manager in respect of an order or licence, the Secretary of State for Justice (or their successor) is the Data Controller in relation to Personal Data which THE CONTRACTOR is required to provide to the Secretary of State for Justice.

## 17 Submission of Learner Data

- 17.1 THE CONTRACTOR must supply THE SFA data on each individual learner, in accordance with the data collections framework set out in the 'ILR specification validation rules and appendices 2015 to 2016' as amended and updated, which is published on THE SFA's website (<https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2015-to-2016>) in accordance with the 'Provider Support Manual' as amended and updated.
- 17.2 THE CONTRACTOR must supply THE SFA with data in accordance with the following:
- 17.2.1 in line with agreed audit arrangements;
  - 17.2.2 in adherence with the Data Protection Act;
  - 17.2.3 to support payments to be made;
  - 17.2.4 to enable reconciliation to take place; and
  - 17.2.5 to support the contract management and allocation processes.
- 17.3 Data collected must be transmitted to THE SFA through THE SFA's web portal <https://www.gov.uk/government/publications/sfa-the-hub> . Access to THE SFA's web portal is restricted and THE CONTRACTOR agrees to comply with the conditions of use regarding the supply of data to THE SFA set out in this Clause 17 and in 'Individualised Learner Record Specification 2015/16 and relevant Provider Support Manual as amended and updated available on THE SFA's web site (<https://www.gov.uk/government/publications/ilr-specification-validation-rules-and-appendices-2015-to-2016>)
- 17.4 Where THE SFA is concerned about the quality of the data, including the completeness or accuracy of the data, provided by THE CONTRACTOR, THE SFA may require THE CONTRACTOR to supply data more frequently for such a period as THE SFA shall require.
- 17.5 THE SFA reserves the right to require THE CONTRACTOR, at its own cost, to carry out such work as THE SFA deems necessary to improve the quality of data.
- 17.6 THE SFA reserves the right to suspend payments to THE CONTRACTOR under the Contract where data quality gives rise to concern about the accuracy of the data provided by THE CONTRACTOR.

- 17.7 Failure to transmit complete and accurate data to THE SFA in accordance with this Clause 17 will constitute a Serious Breach of Contract in accordance with Clause 21 of the Terms and Conditions of the Contract.
- 17.8 Where THE CONTRACTOR is providing the Services to Learners claiming out of work benefits, it must provide data to the Secretary of State with responsibility for unemployment or their nominated representative in accordance with the requirements notified to THE CONTRACTOR. Failure to transmit complete and accurate data under this Clause 17 will constitute a Serious Breach of Contract in accordance with Clause 21 of the General Terms and Conditions of the Contract and may result in payments for this part of the Services to be delayed or withheld.
- 17.9 THE CONTRACTOR must update the course information funded by THE SFA at [www.coursedirectoryproviderportal.org.uk](http://www.coursedirectoryproviderportal.org.uk) in accordance with the course directory data requirements which can be found at <https://coursedirectoryproviderportal.org.uk/Help>.
- 17.10 THE CONTRACTOR shall register with UKRLP and maintain contact details on an on-going basis. (<http://www.ukrlp.co.uk/>).
- 17.11 THE CONTRACTOR must submit data about any member of its workforce delivering GCSE English and Maths in the format and to the timescales as required by THE SFA.

## **18 Quality Assurance and Raising Standards**

- 18.1 THE CONTRACTOR undertakes to THE SFA that it has the resources and skills necessary to carry out THE CONTRACTOR'S obligations pursuant to this Contract.
- 18.2 THE CONTRACTOR shall comply with the Performance Management Rules published by the SFA as amended from time to time and any other requirements, which may from time to time be issued by THE SFA, OFSTED, the awarding bodies and other regulatory bodies and of which THE CONTRACTOR is made aware.
- 18.3 THE CONTRACTOR shall ensure that all activities carried out pursuant to this Contract shall be documented in accordance with the requirements of THE SFA and shall provide such documentation to them as THE SFA shall request from time to time.
- 18.4 THE CONTRACTOR shall continuously seek to improve the Services and raise standards to benefit the Learner. THE CONTRACTOR shall have the primary responsibility for improving standards and will need to demonstrate to THE SFA satisfaction that it has an effective quality assurance system based on the implementation of its own quality improvement process. THE SFA reserves the right to require THE CONTRACTOR to provide THE SFA or OFSTED evidence to support the quality improvement processes.

- 18.5 THE CONTRACTOR shall use all reasonable endeavours to:
- 18.5.1 minimise drop out rates and deliver high completion and achievement rates and appropriate progression;
  - 18.5.2 at least meet the minimum quality standards that apply to the appropriate Services purchased. These minimum quality standards and other types of underperformance will be set out by THE SFA;
  - 18.5.3 ensure competent and appropriately qualified staff deliver and assess learning. THE CONTRACTOR shall be responsible for the professional development and training of its staff;
  - 18.5.4 offer equality of access to learning opportunities and close equality gaps in learning and outcomes;
  - 18.5.5 provide a safe, healthy and supportive environment, which meets the needs of Learners;
  - 18.5.6 provide good management and leadership of the learning process;
  - 18.5.7 deliver value for money and financial probity; and
  - 18.5.8 ensure all sub-contractors delivering Services under the Contract on behalf THE CONTRACTOR comply with the requirements set out in 18.5.1 to 18.5.7 above.
- 18.6 Failure to meet the requirements set out in clauses 18.5.1 to 18.5.8 may result in THE SFA assessing THE CONTRACTOR to be in Serious Breach of the Contract under Clause 21 of the Contract.
- 18.7 THE SFA may assess the quality and delivery of the Services and THE CONTRACTOR'S compliance with the requirements in clause 18.5.1 to 18.5.8 during the term of the Contract. THE CONTRACTOR will be informed of the outcome of that process. Where THE SFA assesses THE CONTRACTOR to be in Serious Breach of Contract following such assessment THE SFA will issue a notice in accordance with clause 21.9 of the Contract which may:
- 18.7.1 require THE CONTRACTOR to meet improvement indicators to improve the quality of its Services. THE SFA will meet with THE CONTRACTOR to discuss and reach agreement on implementation of these actions and improvement indicators and to agree arrangements for monitoring and reviewing progress. In such cases reviews will take place at the frequency specified by THE SFA and in agreement with THE CONTRACTOR;
  - 18.7.2 agree detailed improvement plans and measures that set out clearly the expected timescale for improvement;



- 18.14.1 Where one of the main objectives of the Services to be provided under this Contract is to deliver information and advice, THE CONTRACTOR will have to have or attain the matrix Standard accreditation within six months of the Contract being awarded; and
- 18.14.2 If the information and advice is embedded as part of the delivery of the Services THE CONTRACTOR should work towards achieving the matrix Standard accreditation within 12 months of the start of the Contract.
- 18.14.3 Where the Services are delivered by a sub-contractor on behalf of THE CONTRACTOR, the requirements set out in clauses 18.15.1 and 18.15.2 must be applied to the sub-contractor. This does not apply where THE CONTRACTOR retains responsibility for the delivery of information and advice to the Learners.
- 18.14.4 Once achieved, matrix Standard accreditation is valid for three years. As part of their accreditation THE CONTRACTOR is required to successfully demonstrate their continuous improvement activities to their matrix Assessor through the use of the online Self Reflection Tool on an annual basis.
- 18.15 THE CONTRACTOR must take all reasonable steps to meet the relevant requirements for data gathering for the FE Choices Performance Indicators as outlined currently at <https://www.gov.uk/government/collections/fe-choices-information-for-providers> and in any subsequent updates to these web pages.

## **19 Fraud and Irregularity**

- 19.1 THE CONTRACTOR shall notify THE SFA immediately where it becomes aware of any instance of suspected fraud or financial irregularity in the delivery of the Contract including, but not limited to, cases of:
- 19.1.1 collusion with members of the staff of THE SFA or employees of the Department for Business Innovation and Skills;
- 19.1.2 computer fraud;
- 19.1.3 the submission to THE SFA of inaccurate, incomplete, misleading or falsified information for the purpose of a claim for funding;
- 19.1.4 fraud involving awarding bodies;
- 19.1.5 fraud involving sub-contractors;

provided that nothing in this Clause 19 shall require THE CONTRACTOR to do anything, which may cause it to infringe any law.



- 20.1.4 Where some or all of the Services are paid for using ESF Funding THE CONTRACTOR shall provide such information and in the form as THE SFA specifies to enable THE SFA to comply with the requirements of ESF.
- 20.1.5 THE CONTRACTOR shall inform Learners or others that the Services delivered have been financed in whole or part by ESF.
- 20.1.6 General eligibility for ESF participants is set out in the ESF Operational Programme for England and supporting Guidance, from the European Social Fund Division of the Department for Works and Pensions which can be found on <http://www.dwp.gov.uk/esf>. Learners must meet the eligibility criteria defined in the Operational Programme as well as the specific eligibility criteria set out in the Contract.
- 20.2 THE CONTRACTOR will comply with written requests by THE SFA to display the ESF logos and emblems on any materials relating to funding by the ESF. THE SFA will make available to THE CONTRACTOR all relevant ESF logos and emblems.
- 20.3 THE CONTRACTOR must ensure that all Learners are aware of the support of the ESF in respect of the Services being delivered under this Contract.
- 20.4 THE CONTRACTOR shall complete the Non ILR participant data spreadsheet and/or Actual Costs claim form (available on <http://skillsfundingagency.bis.gov.uk/providers/programmes/esf/>) to substantiate data submitted on the delivery statement. THE CONTRACTOR shall submit this to THE SFA and Secretary of State through the Provider Gateway.
- 20.5 At any time during the delivery the Services paid for by ESF Funding under this Contract where THE CONTRACTOR is unable to provide the required evidence set out in Clause 5.1 of Schedule 1 THE CONTRACTOR must write to THE SFA providing the reason(s) why they are unable to comply with the evidence requirements and giving full details of alternative evidence to be considered. THE SFA will review the request and notify THE CONTRACTOR in writing of any revisions to the evidence requirements which shall form part of the terms and conditions of the Contract. In all such reviews, the decision of THE SFA shall be final.

## 21 Breach

- 21.1 For the purpose of this Clause, the following definitions shall have the meanings set out below:
- 21.2 "Minor Breach" shall mean a delay or non-performance by either Party of its obligations under the Contract which does not materially, adversely or substantially affect the performance or delivery of the Service or the provision of a safe, healthy and supportive learning environment;
- 21.3 "Serious Breach" shall mean any breach defined as a Serious Breach in the Contract or any breach or breaches which adversely, materially or substantially affect the performance or delivery of the Services or compliance with the terms and conditions of the Contract or the provision of a safe, healthy and supportive learning environment. Failure to comply with legislation, or actions or omissions by THE CONTRACTOR that endanger the Health or Safety of Learners would constitute a Serious Breach.
- 21.4 For the avoidance of doubt:
- a) neither Party shall be liable for any Minor Breach or Serious Breach under this Clause, which occurs as a direct result of any act or omission by the other Party, its staff or agents;
  - b) in the event of a breach the Party not in breach may enforce the Clauses in the Contract relating to breach even if it has not done so in the event of earlier breaches.

### *Minor Breach*

- 21.5 Without prejudice to any other remedy, in the event of a Minor Breach, the Parties will adopt the following procedure:
- 21.6 The Party not in breach shall be entitled to serve written notice on the Party in breach, giving full details of the breach and requiring the other Party to remedy the breach within a specified period.
- 21.7 If the Party in breach fails to remedy the Minor Breach within the time specified in notice served under Clause 21.6 or such other period as may be agreed between the Parties it shall constitute a Serious Breach by the Party in breach.

### *Serious Breach*

- 21.8 Without prejudice to any other remedy, in the event of a Serious Breach, which is capable of remedy, the Parties shall adopt the following procedure:

- 21.9 The Party not in breach shall be entitled to serve written notice on the other Party giving full details of the breach and requiring the Party in breach to remedy the breach within a specified time period.
- 21.10 Where THE SFA has served a notice under clause 21.9 THE SFA has the right to require THE CONTRACTOR to suspend the recruitment of Learners until THE SFA has confirmed that the breach has been remedied.
- 21.11 In the event that a Serious Breach of the Contract by THE CONTRACTOR cannot be remedied within the period specified in the notice served under Clause 21.9 or such other period as may be agreed between the Parties THE SFA may cease funding THE CONTRACTOR in respect of that part of the Service to which the Serious Breach relates.
- 21.12 In the event that any Serious Breach cannot be remedied at all or within the period specified in the notice served in accordance with Clause 21.9 or such other period as may be agreed between the Parties, the Party not in breach may at its sole discretion terminate the Contract or that part of the Service to which the breach relates with immediate effect on notice in writing to the other Party.

## **22 Termination**

- 22.1 THE CONTRACTOR shall notify THE SFA in writing immediately upon the occurrence of any of the following events:
- 22.1.1 where THE CONTRACTOR is an individual and if a petition is presented for THE CONTRACTOR'S bankruptcy or a criminal bankruptcy order is made against THE CONTRACTOR, or it makes any composition or arrangements with or for the benefit of creditors, or makes any conveyance or assignment for the benefit of creditors, or if an administrator is appointed to manage their affairs; or
- 22.1.2 where THE CONTRACTOR is not an individual but is a firm; or a number of persons acting together in any capacity; if any event in clauses 22.1.1 or 22.1.3 of this condition occurs in respect of any partner in the firm or any of those persons or a petition is presented for THE CONTRACTOR to be wound up as an unregistered company; or
- 22.1.3 where THE CONTRACTOR is a company, if the company passes a resolution for winding-up or the court makes an administration order or a winding-up order, or the company makes a composition or management with its creditors, or an administrator, receiver or manager is appointed by the company, a creditor or by the court, or possession is taken of any of its property under the terms of a floating charge.

- 22.2 On the occurrence of any of the events described in this Clause 22 THE SFA shall be entitled to terminate this Contract by notice to THE CONTRACTOR with immediate effect.
- 22.3 Where THE CONTRACTOR is an individual, if he shall die or be adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Health Act 1983 clause THE SFA shall be entitled to terminate this Contract by notice to THE CONTRACTOR or its representatives with immediate effect.
- 22.4 Either Party may terminate this Contract with immediate effect in the event that in the reasonable opinion of the Party wishing to terminate this Contract, the conduct of the other in performing its obligations under this Contract amounts to a fundamental breach of the Contract, which is incapable of remedy.
- 22.5 THE SFA reserves the right to terminate this Contract with immediate effect by giving notice in writing if THE CONTRACTOR ceases to be on the Register of Training Organisations maintained by THE SFA.
- 22.6 In addition to the rights of termination under any other clauses of this Contract, either party shall be entitled to terminate this Contract in respect of all or part of the Service provided under the Contract by giving to the other not less than three months notice to that effect without the need to give a reason for termination.
- 22.7 Termination under Clauses 22 shall not prejudice or affect any right of action or remedy, which shall have accrued or shall thereupon accrue to the Parties under this Contract.
- 22.8 Where THE CONTRACTOR goes into administration or liquidation, THE SFA must be assumed to be a creditor of THE CONTRACTOR. THE CONTRACTOR must take steps to ensure that THE SFA is provided with details of the administrator or liquidator and receives notification of any creditors meetings. THE SFA will confirm whether in fact it is a creditor within 8 weeks of being notified that THE CONTRACTOR is in administration or liquidation.
- 22.9 THE CONTRACTOR shall upon termination of the Contract immediately deliver up to THE SFA all correspondence, documents, specification papers and other property belonging to THE SFA, which may be in its possession or under its control.
- 22.10 Notice of termination of the Contract under Clauses 18.10, 21 or this Clause 22 shall result in THE CONTRACTOR being removed from the Register of Training Organisations.

22.11 THE CONTRACTOR must not recruit new Learners after notice of termination of the Contract has been given under Clauses 18.10, 21 or this Clause 22. THE SFA will not be liable to make payments in respect of any Learners recruited in breach of this Clause.

### **23 Transfer of Responsibility on Expiry or Termination**

23.1 The Parties agree that if upon termination of this Contract or any part of the Service being provided under the Contract, circumstances arise in which the Transfer of Undertakings (Protection of Employment) Regulations 2006 are applicable, the Parties shall in good faith co-operate with each other in the disclosure of information and the provision of other assistance and comply with the provisions of Clause 1 in Schedule 3 of the Contract so as to facilitate such outcome in relation to the relevant employees as may be acceptable to the Parties.

23.2 The Parties agree that on termination or expiry of this Contract for any reason, the continuity of the Services is of paramount importance. THE CONTRACTOR shall do its utmost to minimise disruption caused to Learners and to assist the implementation of any contingency plan proposed by THE SFA either prior to or after the termination or expiry of this Contract, to deal with the effects of such termination or expiry in so far as it is practicable to do so.

23.3 On termination or expiry of this Contract for any reason the Learner Files will become the property of THE SFA. THE CONTRACTOR shall allow THE SFA his servants or agent to have access to its premises to remove Learner Files or otherwise comply with a request by THE SFA to transfer Learner Files to any third party nominated by THE SFA.

23.4 THE CONTRACTOR shall, at no cost to THE SFA, promptly provide such assistance and comply with such timetable as THE SFA may reasonably require for the purpose of ensuring an orderly transfer of responsibility for provision of the Services (or its equivalent) upon the expiry or other termination of this Contract. THE CONTRACTOR shall use all reasonable endeavors to ensure that its employees and its sub-contractors are under a similar obligation. THE SFA shall be entitled to require the provision of such assistance both prior to and after the expiry or other termination of this Contract.

23.5 Such assistance may include, (without limitation) delivery of documents and data in the possession or control of THE CONTRACTOR or its sub-contractors, which relate to performance, monitoring, management and reporting of the Services, including the documents and data, if any, referred to in the Schedules.

23.6 THE CONTRACTOR undertakes that it shall not knowingly do or omit to do anything which may adversely affect the ability of THE SFA to ensure an orderly transfer of responsibility for provision of the Services.

## **24 Force Majeure**

24.1 Neither party shall be liable for any delay or failure to meet its obligations under this Contract due to any cause outside its reasonable control, including (without limitation), inclement weather, Acts of God, war, riot, malicious acts of damage, civil commotion, strike, lockout, industrial dispute, refusal of licence, power failure or fire. If performance of the service is substantially prevented for a continuous period of 6 months by virtue of any of the aforesaid events, then either party may terminate this Contract by written notice to the other.

## **25 Public Reputations of the Parties/Press Releases**

25.1 Both Parties recognise their respective public reputations and legal responsibilities. Each Party shall use all reasonable endeavours not to harm or compromise these.

25.2 The text of any press release or other communication to be published by or in the media concerning the subject matter of this Contract shall require the approval of each Party which shall not be unreasonably withheld or delayed.

## **26 Branding and logos**

26.1 THE CONTRACTOR shall comply with the requirements of the endorsement identity, available on the Skills Funding Agency identity guidelines website at <https://brand.skillsfundingagency.bis.gov.uk/>; on all and any promotional materials or activities in relation to the Services. This shall include but not be limited to prospectuses, direct mail advertising, TV and radio advertising, merchandising or any other literature or products.

26.1.1 THE CONTRACTOR shall be given access to any logos and statements, which it is required to use. THE CONTRACTOR will be required to use logos and statements in accordance with the terms of use and should not alter or amend such logos or statements. Logos and statements are only to be used in relation to the Services under this Contract. Any breach of this clause 26 or the requirements or terms of use of which THE CONTRACTOR is made aware shall constitute a serious breach under the Clause 21 of the General Terms and Conditions of this Contract.

26.1.2 THE CONTRACTOR may also be required to use logos from other co-branding or co-funding participants and must comply with any terms which apply to the use of such logos.

26.2 THE CONTRACTOR must ensure that the terms of this Clause 26 are contained in any sub-contract of the Services.

## **27 Retention of Documents**

- 27.1 Where the Services have been funded using monies from the European Structural and Investment Funds, or where any payments made under this Contract for the Services have been used as match-funding for a European Structural and Investment Fund Co-Financing project THE CONTRACTOR will be required to retain all documents necessary to verify the Services provided by itself or by its sub-contractors. Documents to support claims must be retained for a minimum of three years after the European Commission has made its final payment. For the 2014-20 ESF Programme this is expected to be until at least 31 December 2030.
- 27.2 Confirmation of the document destroy date will be notified in writing by THE SFA. Without prejudice to any of the other rights under the Contract to recover funds, THE SFA will be entitled to recover from THE CONTRACTOR any sums which it is required to repay to the European Social Fund as a result of THE CONTRACTOR'S failure to comply with this Clause.
- 27.3 The provisions of this Clause shall apply during the continuance of this Contract and after its termination howsoever arising.

## **28 Status of Contract**

- 28.1 Nothing in this Contract shall have the effect of making THE CONTRACTOR, the servant or agent of THE SFA. THE CONTRACTOR (if an individual) represents that he is regarded by both the Inland Revenue and the Department for Work and Pensions as self employed and accordingly shall indemnify THE SFA against tax, national insurance contributions or similar imposed for which THE SFA may be liable in respect of THE CONTRACTOR by reason of this Contract.

## **29 Waiver**

- 29.1 No failure or delay on the part of either Party hereto to exercise any right or remedy under this Contract shall be construed or operate as a waiver thereof nor shall any single or partial exercise of any right or remedy as the case may be. The rights and remedies provided in this Contract are cumulative and are not exclusive of any rights or remedies provided by law.

## **30 Third Party Rights**

- 30.1 Save as specifically provided in the Contract none of the terms of this Contract are intended to be enforceable by any Learner or other third party.

## **31 Notice**

- 31.1 Any notice or other document to be given under this Contract shall be in writing and shall be deemed to have been duly given if left at or sent by first class post by Royal Mail Special Delivery or other fast postal service or by facsimile or other electronic media to a Party at the address or relevant telecommunications number for such Party or such other address as the Party may from time to time designate by written notice to the other
- 31.2 All such notices and documents shall be in the English language. Any notice or other document shall be deemed to have been received by the addressee two working days following the date of despatch of the notice or other document by post or, where the notice or other document is sent by hand or on the day of delivery or where notice is given by facsimile or other electronic media, on the working day following the delivery or transmission provided that a printed report is obtained confirming successful transmission or if the addressee acknowledges receipt. To prove the giving of a notice or other document it shall be sufficient to show that it was despatched.

## **32 Governing / Jurisdiction**

- 32.1 This Contract shall be governed by and construed in accordance with English Law.

## **33 Dispute Resolution**

- 33.1 Any dispute, difference or question arising between the Parties either during the currency of the Contract or afterwards shall be referred to the nominated contacts for THE SFA and THE CONTRACTOR for discussion and review in order to try to resolve the same.
- 33.2 In the event of the nominated contacts being unable to resolve the relevant issue, either party may request in writing that the matter is referred to THE SFA's nominated representative and THE CONTRACTOR'S representative nominated for this purpose (jointly "the Dispute Resolution Panel") for formal review and consideration. Any request for referral to the Dispute Resolution Panel must include details of the dispute and any proposals to resolve it.
- 33.3 The Dispute Resolution Panel will meet within 28 days of receiving a request for referral made in accordance with clause 33.2 above.

## **34 Feedback and Complaints**

- 34.1 The primary responsibility for receiving feedback and investigating complaints promptly and thoroughly in respect of the Services shall rest with THE CONTRACTOR. THE CONTRACTOR shall have procedures in place, which are acceptable to THE SFA, to gather and act upon feedback and complaints from Learners and/or their representatives and employers and the wider community.
- 34.2 THE CONTRACTOR must ensure that Learners are made aware of its procedure for dealing with complaints and that the procedure is clear and accessible to Learners who wish to complain.
- 34.3 THE CONTRACTOR shall be responsible for resolving complaints in accordance with its own procedures and any guidance issued by THE SFA.
- 34.4 Where a complaint has not been resolved to the satisfaction of the complainant THE CONTRACTOR will advise the complainant of his or her right to complain to THE SFA and co-operate with any investigation carried out by THE SFA and act on any recommendations made by THE SFA following the investigation.

## **35 State Aid**

- 35.1 THE CONTRACTOR should satisfy itself, if the European rules on State Aid apply to the Services delivered under this Contract.
- 35.2 Where the rules on State Aid apply, THE SFA will supply to THE CONTRACTOR details of the records that THE CONTRACTOR will need to collect and retain.
- 35.3 THE SFA reserves the right to require THE CONTRACTOR to obtain a contribution towards the cost of the Services delivered under this Contract from the employer of any participant. Where a contribution is required, THE SFA will confirm to THE CONTRACTOR in writing the exact percentage of the contribution.
- 35.4 Where SFA requires THE CONTRACTOR to obtain a contribution towards the cost of the Services under clause 35.3 above, THE CONTRACTOR must provide evidence that the contribution has been received.
- 35.5 In the event that any funding paid under this Contract is deemed to constitute unlawful state aid THE SFA reserves the right to require immediate repayment of any such funding.

## 36 Intellectual Property Rights

### 36.1 Definitions

#### **“Background Intellectual Property”**

Any Intellectual Property, other than Foreground Intellectual Property, which is used in performing the Services or comprises part of the Work;

#### **“Confidential Information”**

Includes all designs, drawings, data, specifications and all other technical business and similar information relating to the Services including all readable or computer or other machine readable data or material and any material relating to or comprising software which may be part of the provision of the Services;

#### **“Foreground Intellectual Property”**

Is any Intellectual Property that arises or is obtained or developed by, or on behalf of, THE CONTRACTOR in respect of the Work in the course of or in connection with the provision of the Services excluding Learner Files;

#### **“Intellectual Property”**

Is any patent, registered design, copyright, database right, design right, topography right, trade mark, trade name, application to register any of the aforementioned rights, trade secret, inventions, right in unpatented know-how, right of confidence and any other intellectual or industrial property right of any nature whatsoever in any part of the world including, without limitation:

- (a) any renewals, revisions and extensions created or provided by the laws of any country;
- (b) all rights of action and remedies (including but not limited to an injunction, damages and/or an account of profits) in relation to past infringements; and
- (c) the right to apply for registration of any such rights in any country of the world;

#### **“Work”**

Means all materials created by THE CONTRACTOR as a result of the provision of the Services including Confidential Information.

36.2 In consideration of THE SFA making the payments to THE CONTRACTOR in connection with the Services THE CONTRACTOR hereby grants (and, where relevant, shall procure from any necessary third parties the grant) to THE SFA a non-exclusive, irrevocable, worldwide, royalty-free licence (with the right to license others) of any of THE CONTRACTOR'S Foreground Intellectual Property that THE SFA may reasonably require to be able fully to exploit,

develop and commercialise the results of the Services, including, without limitation, the Work.

36.3 The provisions of this Clause shall apply during the continuance of this Contract and after its termination howsoever arising

### **37 Disposal of Assets and Change of Use**

37.1 In respect of Assets whose value exceeds £2,500 including VAT the following provisions shall apply.

37.2 For the purposes of this section:

- a) 'Asset' shall mean any property, real or personal, tangible or intangible;
- b) an Asset shall be considered to have been financed by THE SFA if it has been acquired wholly or partly with funds provided by THE SFA;
- c) the use of any Asset shall be considered to have changed if THE CONTRACTOR uses it for any purpose other than for the provision or connected with the provision of Services under the Contract;
- d) 'the appropriate proportion thereof' shall be the proportion represented by the amount of funding provided by THE SFA to acquire, develop or improve an asset in relation to the entire price paid for its acquisition, or its market value when its development or improvement have been completed.

37.3 THE CONTRACTOR shall ensure that any Asset financed by THE SFA is adequately insured.

37.4 THE CONTRACTOR shall inform THE SFA if it proposes to dispose of, or change the use of, any Asset that has been financed by THE SFA.

37.5 THE CONTRACTOR shall not dispose of any Asset financed by monies provided by THE SFA unless it has first obtained the written consent of THE SFA to such a disposal.

37.6 Where THE CONTRACTOR disposes of the Asset it shall pay to THE SFA whichever is the greater either the amount of funding provided by THE SFA in respect of the Asset or the net proceeds of any disposal of an Asset, or the appropriate proportion thereof, to THE SFA unless otherwise agreed with THE SFA.

37.7 If THE CONTRACTOR changes the use of any such Asset it will be treated as a disposal and THE CONTRACTOR shall make a payment to THE SFA in accordance with clause 37.6 above.

37.8 In the event of THE CONTRACTOR being taken over, merging or going into liquidation, all Assets financed by THE SFA, or the equivalent portion of their market value, will become the property of THE SFA.

37.9 The provisions of this clause shall apply during the continuance of this Contract and after its termination howsoever arising. THE SFA shall reserve the right to decide when its interest in Assets financed by THE SFA under the terms of the Contract shall cease.

### **38 Headings**

38.1 The headings to conditions shall not affect their interpretation.

### **39 Entire Contract / Amendments**

39.1 The Contract shall comprise the following:

Terms and Conditions

Schedule 1

Schedule 2

39.2 This Contract constitutes the entire Contract between the parties and shall not be varied except by an instrument in writing signed by the Parties.

## Schedule 1

### Greater Manchester Skills for Employment Pilot Programme Detailed Service Requirements

#### 1 The Services

- 1.1 The Greater Manchester Skills for Employment Pilot Programme (the Programme) is intended to provide Unemployed adults aged 19+ (or 18+ if in receipt of out of work benefits) who face multiple barriers to entering the labour market with the right level of skills, employability and wrap around support that they need to improve their chances of gaining sustainable employment including Apprenticeships. The Services will support the delivery of the Programme.

#### 2 Definitions

“Deliverables” means outcomes from the Services delivered.

“Delivery Profile” means the delivery profile for each of the Deliverables submitted by THE CONTRACTOR and agreed with the SFA against which THE CONTRACTOR’S performance will be measured.

"Employed" means a person performing work for pay, profit or family gain under a contract of service. People are self-employed if they work in his/her own business for the purpose of earning a profit, even if they are not making a profit or are just setting up

“Qualification” means a formal outcome assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards. Regulated qualifications/aims are those listed in the Learning Aims Reference Service as being regulated. Non-regulated aims are those listed in the Learning Aims Reference Service as being non-regulated.

“Unemployed” means a person usually without work, available for work and actively seeking work. Persons considered registered unemployed would be included. Full time students are considered as inactive but not eligible for this provision as they are not available for work. Long term unemployment is greater than 6 months for < 25 years old and greater than 12 months for 25 years old or more.

### 3 Specific Requirements

- 3.1 THE CONTRACTOR must deliver Services to provide Unemployed adults aged 19+ (or 18+ if in receipt of out of work benefits) who face multiple barriers to entering the labour market with the necessary employability skills, and wrap-around support that they need to make measurable progress towards improving their chances of gaining sustainable employment including apprenticeships.
- 3.2 The Services must be delivered in accordance with the requirements set out in the Contract and its Schedules and THE CONTRACTOR'S tender and Delivery Profile which will form part of the terms and conditions of the Contract.
- 3.3 THE CONTRACTOR must assess the needs of each Learner and develop an individualised Learning Programme which meets the needs of the Learner. The assessment must take account of but not repeat any other recent assessments which have been undertaken. The assessment should measure the Learner's level of attainment in English and maths as well as vocational and employability skills needs, ensuring that barriers are identified that have prevented the Learner from gaining and sustaining employment including a whole family assessment where relevant. THE CONTRACTOR should retain a copy of the assessment and any other recent assessments of which it has taken account.
- 3.4 THE CONTRACTOR must ensure that the Learning Programme does not duplicate the support that individuals will have already received while on other programmes and interventions are effectively sequenced to ensure they add value.
- 3.5 THE CONTRACTOR must deliver Learning Programmes in an innovative and flexible manner on a part-time or full-time basis to meet individual needs and circumstances and any benefit conditions.
- 3.6 THE CONTRACTOR must provide, as a minimum, each Learner with the following:
- 3.6.1 A suitably qualified and experienced Learning Mentor to support the Learner, to recognise and tackle the barriers they face, build levels of confidence and support the Learner in engaging with their individualised learning and support plan and work co-operatively with any other key worker to ensure that the Learner is given the right support at the right time. The Learning Mentor will be required to have face to face contact a minimum of once a month.
- 3.6.2 Personalised Skills Training which should include some or all of the following depending on the Learner's assessed needs:

- 3.6.2.1 Accredited and non-accredited learning including English and maths (for those assessed as below Level 2) which may lead to the achievement of individual units (up to Level 3) as well as full qualifications (up to Level 2 for those aged 24+ on entering the programme, or Level 3 for those age 19-23 on entering the programme).
  - 3.6.2.2 Skills support including ESOL, digital literacy, vocational and employability skills programmes.
  - 3.6.2.3 Motivational and confidence-building activities delivered on an individual or group basis.
  - 3.6.2.4 Work experience, including through voluntary work, which is likely to build up over time, increasing to experience of at least 8 weeks duration and at least 16 hours per week. Work experience of a longer duration and/or greater number of hours is permitted, where this complies with benefit rules. Work experience may be with one or more employer, however, the provider must be able to demonstrate that any work experience opportunity is of sufficient duration to be meaningful for the individual being supported.
  - 3.6.2.5 Referral to wrap-around support services to tackle non-skills barriers to work, e.g. health, dependency, housing, childcare and debt, as set out in the individualised training and support plan.
  - 3.6.2.6 Support to find and apply for work, including apprenticeships, including support to access the services offered by the National Careers Service and/or Jobcentre Plus where appropriate to the needs and individual circumstances.
- 3.7 THE CONTRACTOR must make the Services continuously available, meet changing patterns of demand and be responsive to emerging needs.
- 3.8 THE CONTRACTOR must deliver the Services in such a way as to promote gender equality and enable access to all protected groups as defined by the Equality Act 2010.
- 3.9 THE CONTRACTOR must deliver the Services at venues that are easily accessible to Learners across Greater Manchester.



	<ul style="list-style-type: none"> <li>• Tameside</li> <li>• Trafford</li> <li>• Wigan</li> </ul>
Priority Target Groups	<p>Priority must be given to individuals referred to the pilot from one of the following 'GM Reform' programmes:</p> <ul style="list-style-type: none"> <li>• GM Troubled Families Programme 2;</li> <li>• GM Working Well Programme;</li> <li>• Community Rehabilitation Companies / Probation Services;</li> <li>• Operation Challenger;</li> <li>• Family Nurse Partnership;</li> <li>• Universal Partnership Plus.</li> </ul> <p>and/or</p> <ul style="list-style-type: none"> <li>• Work Programme leavers (JSA and ESA/WRAG);</li> <li>• JSA claimants and out of work UC claimants including (but not limited to): <ul style="list-style-type: none"> <li>○ Ex-offenders (for whom day one mandation to the Work Programme is unsuitable);</li> <li>○ Care Leavers;</li> <li>○ Individuals with LDD/SEND related needs.</li> </ul> </li> </ul>
Skills Need	Have a skills need that is identified as one, but not the only, barrier to their gaining sustainable employment.

4.2 THE SFA will recover from THE CONTRACTOR any funding claimed for Learners who do not meet the eligibility criteria set out in clause 4.1.

## 5 Deliverables and Evidence











## **6 Performance Management**

6.1 The performance of THE CONTRACTOR in delivering the Services will be regularly reviewed to consider the extent to which the delivery of the Services is meeting GMLEP priorities and its agreed Delivery Profile.

6.2 The Contractor must provide to the SFA and to GMLEP a quarterly report showing a breakdown of deliverables achieved by:

- Local Authority Area (of which the learner is resident)
- Source of referral
- Sub-contractor

This data must be presented to GMLEP (or a sub-group of its choice) as part of a written performance update report on a quarterly basis aligned with the SFA's performance management review points.

6.3 THE CONTRACTOR must establish a steering group for the pilot which must meet on at least a quarterly basis. GMLEP and the SFA will each nominate a representative to join this group and reserve the right to select the Chair.

## **7 Evaluation**

7.1 THE CONTRACTOR must fully engage with the detailed GMLEP evaluation to assess the quality of provision and the extent to which the better integration of employment and skills activities has resulted in the achievement of positive outcomes for those who face multiple barriers to gaining and sustaining employment including but not restricted to:

supporting quality assurance reviews,  
providing access to data and other information about their delivery of the programme  
attending meetings etc. on request.

## **Schedule 2**

### **FUNDING AND PAYMENTS**

## 1 Funding

- 1.1 The Services will initially be paid for by Growth Funding. Once Growth Funding has been exhausted the SFA reserves the right to use ESF Funding to pay for the Services subject to availability, THE CONTRACTOR'S performance in meeting its Delivery Profile and a continuing requirement for the Services.
- 1.2 If THE CONTRACTOR is notified that ESF Funding will be made available it will be required to agree a supplementary Delivery Profile with THE SFA.
- 1.3 Where ESF Funding is made available to pay for the Services THE CONTRACTOR will ensure that Learners are not supported with both Growth Funding and ESF Funding or transferred from one funding stream to another.
- 1.4 The Service delivery timetable for the two funding streams is as follows:

	Growth Funding	ESF Funding
Contract starts	?? November 2015	
First date for Learner starts on Learning Programmes	?? November 2015	1 January 2017
Last date for Learner starts on Learning Programme	31 December 2016	30 June 2018
Last date for activity and Deliverables to be achieved	31 July 2017	31 December 2018
Final claim (ILRs, delivery statement) due	31 August 2017	6 February 2019

- 1.5 THE CONTRACTOR will be paid unit costs set out in the table below for the achievement of the Deliverables set out in clause 5.1 of Schedule 1.

Deliverable	Unit cost £	Notes
Individual has been engaged	500	Can be claimed only once for each learner
Individual remains on programme at 13 weeks	400	Can be claimed only once for each learner
Individual remains on programme at 26 weeks, and has started on an accredited qualification (unit or full	500	Can be claimed only





3.3 THE CONTRACTOR must submit the final claim for payment by 6 February 2019.

#### **4 Payments**

4.1 Payments will be made via BACS.

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## SCHEDULE 3

- 1 Transfer of Undertakings (Protection of Employment) Regulations 2006 and Pensions Aspects
- 2 Treatment of New Staff Employed To Deliver the Services

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1.1.11 “Public Sector Employee” means a Transferring Employee who immediately before the Employee Transfer Date was employed by an employer covered by a Public Sector Pension Scheme;

1.1.12 “Public Sector Pension Scheme” means:

- 1) The Teachers Pension Scheme (TPS)
- 2) The Local Government Pension Scheme (LGPS)
- 3) The Principal Civil Service Pension Scheme (PCSPS).

As applicable;

1.1.13 “Relevant Legislation” means any statute or regulations or the EC Treaty (or any directives or regulations made there under);

1.1.14 “Relevant Personnel Documentation” means the information set out in Appendix C;

1.1.15 “Relevant Transferring Members” means:

- 1) Those Transferring Employees who were members of the LGPS or TPS or who were eligible to join the LGPS or TPS;

1.1.16 “Required Information” means the information set out in the Appendix A-F;

1.1.17 “Successor Contractor” means the person nominated by THE SFA to undertake the services substantially the same as the Services after the termination of this Contract;

1.1.18 “Successor Contractor’s Scheme” means:

- 1) The LGPS or TPS or PCSPS; or
- 2) Any other retirement benefit scheme established by the Successor Contractor or to which the Successor Contractor is party,

As applicable;

1.1.19 “Transferring Employees” means those employees of the Previous Contractor or THE SFA who are employed in the performance of services substantially the same as the Services; and “Transferring Employees” shall be construed accordingly; and

1.1.20 "TUPE" means the Transfer of Undertakings (Protection of Employment) Regulations 2006, as amended from time to time.

## **1.2. Transfer of Undertakings (Protection of Employment) on Commencement**

1.2.1 THE CONTRACTOR shall on the Employee Transfer Date become the employer of the Transferring Employee and, whether or not by virtue of TUPE, or as a term of this Agreement, all the respective employer's rights, duties, powers, liabilities and obligations in respect of the contract of employment of the Transferring Employee shall transfer to THE CONTRACTOR. The Parties shall respectively comply with all the requirements and obligations, which TUPE imposes on a transferor and transferee in respect of such transfer whether or not as a matter of law TUPE applies;

1.2.1.1 For the avoidance of doubt, THE CONTRACTOR assumes full responsibility for any claims made by a Transferring Employee in respect of their terms and conditions of employment and will indemnify THE SFA and the Previous Contractor in respect of any claim brought by any Transferring Employee which arises from operation of this Clause 1.2; and

1.2.2 Where the Transferring Employee is a Public Sector Employee THE CONTRACTOR must comply with the Cabinet Office Statement of Practice/ ODPM Circular 03/2003.

## **1.3. Protection of Pensions – Public Sector Employees**

1.3.1 THE CONTRACTOR shall:

1.3.1.1 In respect of service from the Employee Transfer Date and at a date not later than one month prior to the Employee Transfer Date;

1.3.1.1 (a) Establish, or have become party to an employee's retirement benefit scheme that makes retirement provision which is approved or capable of approval by the Inland Revenue as an exempt approved scheme under Chapter 1 of Part XIV of the Income and Corporation Taxes Act 1988 and capable of receiving a transfer payment from the Public Sector Pension Scheme and certified by the Government Actuary's Department or other actuary to be agreed between the Parties, to be broadly comparable to the Public Sector Pension Scheme ("THE CONTRACTOR'S Scheme");  
or

- 1.3.1.1 (b) Have entered into an Admission Agreement in respect of, or otherwise be able to provide a Relevant Transferring Member with membership of, a Public Sector Pension Scheme, where permissible by the rules of that scheme or in accordance with Fair Deal, or
- 1.3.1.1 (c) Establish, or have become party to an employee's retirement benefit scheme that makes retirement provision which is accepted in writing by each individual transferring employee as being adequate for their personal retirement provision.

### **Admission of the Relevant Transferring Members to THE CONTRACTOR'S Scheme**

- 1.3.1.2 Procure that the Relevant Transferring Members shall be automatically admitted to THE CONTRACTOR'S Scheme with effect from the Employee Transfer Date unless any of the Relevant Transferring Members elect within three (3) months of the Employee Transfer Date by notice in writing not to become members of THE CONTRACTOR'S Scheme from such date;
- 1.3.1.3 Invite those Relevant Transferring Members who elect to join the Contractor's Scheme to request that a payment is made from the Public Sector Pension Scheme to THE CONTRACTOR'S Scheme in respect of the retirement benefits accrued in the Public Sector Pension Scheme on behalf of those Relevant Transferring Members;
  - 1.3.1.3.1 Procure that THE CONTRACTOR'S Scheme will accept a cash payment equal to the Transfer Value made from the Public Sector Pension Scheme to THE CONTRACTOR'S Scheme;
  - 1.3.1.4 Procure that THE CONTRACTOR'S Scheme will provide [x] years of reckonable service in respect of each year of a Relevant Transferring Member's period of reckonable service under the Public Sector Pension Scheme to those that each Relevant Transferring Member respectively had under the Public Sector Pension Scheme as at the Transfer Date;

### **Admission of the Relevant Transferring Members into a Public Sector Pension Scheme**

- 1.3.1.5 Where the option set out in 1.3.1.1(b), applies ensure that each Transferring Employee may participate, or continue to participate in their respective Public Sector Pension Scheme; and



1.3.6 Where any Relevant Transferring Member transfers to a Sub-Contractor engaged in the provision of the Services, THE CONTRACTOR shall ensure that in any such transfer, the Sub-Contractor shall establish, or have become party to an employee's retirement benefits scheme on the terms set out in clause 1.3.1.1 ("the Sub-Contractor's scheme"). THE CONTRACTOR shall procure that the Relevant Transferring Member is invited to join the Sub-Contractor's scheme on the terms set out in clauses 1.3.1.2 –1.3.1.6 THE CONTRACTOR shall ensure that the Sub-Contractor's scheme shall include the conditions set out in clauses 1.3.3, 1.3.4, 1.3.5 and 1.3.6.

#### **1.4. Expiry of Contract**

1.4.1. THE SFA and THE CONTRACTOR shall act on the basis that TUPE applies on expiry or termination of the Contract where THE SFA is proposing re-contract for services which are substantially the same as the Services.

1.4.2. During the period of 18 months preceding the expiry of the Contract or within 21 days after THE SFA or THE CONTRACTOR has given notice to terminate the Contract, THE CONTRACTOR shall disclose to the SFA and shall permit the SFA to disclose to any tenderer for services which are substantially the same as the Services, the Initial Staff Information provided that prior to so doing any such tenderer shall have executed in writing a confidentiality undertaking in favour of THE CONTRACTOR.

1.4.3. During the period of three months preceding the expiry of this Contract or within 21 days after THE SFA or THE CONTRACTOR has given notice to terminate the Contract, THE CONTRACTOR shall, subject to the provisions of the Data Protection Act 1998, provide and thereafter keep updated at monthly intervals, to THE SFA and to the Successor Contractor information equivalent to the Relevant Personnel Documentation and the Prescribed Particulars in respect of each employee whom THE CONTRACTOR reasonably believes will be a Future Transferring Employee provided that prior to so doing the Successor Contractor nominated by THE SFA shall have executed in writing a confidentiality undertaking in favour of THE CONTRACTOR.

1.4.4. THE CONTRACTOR shall make reasonable endeavours to assist the Successor Contractor to communicate with, meet and inform and consult with the employees whom THE CONTRACTOR reasonably believes will be a Future Transferring Employee and their trade union or other employee representatives for the purposes of complying with TUPE.

1.4.5. THE CONTRACTOR shall immediately prior to the Future Transfer Date provide to THE SFA or the Successor Contractor a complete and accurate list of the Prescribed Particulars and Identification Details of all employees whom it reasonably believes will be Future Transferring Employees.

1.4.6. Within a period of 21 days following the expiry or termination of this Contract



two Months of THE SFA or Successor Contractor becoming aware of the transfer of such Future Transferring Employee.

- 1.4.9. For the purposes of Clause 1.4.9, in the event that THE SFA or the Successor Contractor incurs costs, liabilities or expenditure in respect of Future Transferring Employees which is greater than would have been the case if the Required Information supplied by THE CONTRACTOR had been accurate and complete, then such (net) greater costs, liabilities or expenditure shall be deemed to be costs suffered or incurred by THE SFA or Successor Contractor and included within the indemnity provided by THE CONTRACTOR.
- 1.4.10. THE SFA or Successor Contractor shall be entitled to recover from THE CONTRACTOR in full any legal, accountancy and other costs actually and reasonably incurred by THE SFA or Successor Contractor in connection with the costs and liabilities indemnified by THE CONTRACTOR.
- 1.4.11. This clause 1.4 shall continue in effect for six months following the expiry or termination of this Contract.

## APPENDIX A TO CLAUSE 1 SCHEDULE 1

“Initial Staff Information” Means:

1. Number of staff to be transferred;
2. Gender;
3. Date of Birth;
4. Whether disabled for the purposes of the Disability Discrimination Act 1995;
5. Job description;
6. Work Location;
7. Conditioned hours of work per week;
8. Date of commencement of continuous employment and (if different) the commencement date;
9. Relevant Personnel Documentation;
10. Annual salary and rates of pay band/grade including pending increases;
11. Shifts, unsociable hours or other premium rates of pay;
12. Allowance and bonus details over the last twelve (12) Months including date, type, amount and pending allowances/bonuses;
13. Leave entitlement;
14. Any factors affecting redundancy entitlement;
15. Whether currently on maternity leave or other long term leave of absence;
16. Details of all dismissals or terminations of employment within the preceding six (6) Months of anyone previously employed to or engaged in connection with the provision of the Services;
17. Details of all agreements or arrangements (whether or not legally binding) entered into in relation to the staff with any trade union or organisation or body representing employees or with any employee representatives;
18. Details of all trade disputes and industrial action occurring at any time during the preceding twelve (12) Months to which any member of staff was a party;
19. Details of any trade union or organisation or body representing employees.

## APPENDIX B TO CLAUSE 1 SCHEDULE 1

“Prescribed particulars” means:

### 1. Personal Details

Gender;

Date of Birth;

Whether known to be disabled for the purposes of the Disability Discrimination Act 1995, and details of any reasonable accommodation in respect thereof;

### 2. Employment Details

Job Title;

Staff Number;

Job Description;

Work Location;

Conditioned hours of work per week;

Date of commencement of continuous employment and (if different) commencement date;

Relevant Personnel Documentation;

Notice Periods (for employer and employee);

Annual salary and rates of pay band/grade including pending salary increases;

Shifts, unsociable hours or other premium rates of pay;

Overtime entitlement and details of last twelve (12) Months overtime;

Allowance and bonus details over the last twelve (12) Months including date, type, amount and pending allowances/bonuses;

Provisional details about standing loan/advances on salary or debts;

Existing and future training or sponsorship commitments;

Leave entitlement and accrued leave entitlement including any leave outstanding or expected to be outstanding at the Future Transfer Date;

Annual leave reckonable service date;

Additional employment benefits;  
Other payments;  
Copies of pay slip data for immediately preceding five (5) Months;  
Provisional details of Cumulative Pay (for tax and pension purposes) and cumulative tax paid;  
Tax Code;  
Voluntary deductions from pay;  
National insurance (NI) Number,  
NI Contributions rate;  
NI benefit start date;

### **3. Records of Employment Service**

Last two appraisal report markings and/or performance assessment details and dates thereof;  
Sickness and absence records for two (2) years immediately preceding (including maternity leave);  
Details of any current warnings for breach of discipline or poor performances including warning reason, warning date, warning status and start and end date or penalty period.  
Details of any other outstanding disputes or grievances including all proceedings before any Employment Tribunal.

### **4. Method of payment**

Instrument of payment;  
Bank/building society account details for payroll purposes.

### **5. Pensions**

For pension purposes, the notional reckonable service date;  
Pensionable pay history for preceding 3 years;  
Percentage of any pay currently contributed under additional voluntary contribution arrangements;  
Percentage of pay currently contributed under any added years arrangements.

## **APPENDIX C TO CLAUSE 1 SCHEDULE 1**

“Relevant personnel documentation” means:

### **1 General Practices and Policies**

Maternity, paternity and parental leave (including names of those on long-term leave or maternity leave);

Special leave and career breaks;

Sick leave and pay;

Disciplinary/grievance policy and procedures;

Equal Opportunities policy;

All documents relevant to terms and conditions of employment, including manuals, codes, handbooks, procedure guides, publications and agreements (including collective agreements);

Any other letters or documents or collective agreements affecting terms and conditions of employment;

### **2 Redundancy**

Full details of any practice, policy or procedure which THE CONTRACTOR has in relation to redundancy and copies of relevant documents.

## APPENDIX D TO CLAUSE 1 SCHEDULE 1

“Final pay details” means:

**In respect of each Future Transferring Employee, the following information:**

Final Month's copy pay slip data;  
Cumulative pay for tax and pension purposes;  
Cumulative tax paid;  
Tax code.

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## APPENDIX E TO CLAUSE 1 SCHEDULE 1

“Identification Details” means:

1. In respect of each Future Transferring Employee, the following information:
  - Name
  - Home Address
  - Work Telephone Number
  - Home Telephone Number (where available)
  - Next of Kin

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## APPENDIX F TO CLAUSE 1 SCHEDULE 1

ODPM Circular 3/2003: Best Value Performance Improvement

This circular can be found at:

<http://webarchive.nationalarchives.gov.uk/20120919132719/http://www.communities.gov.uk/index.asp?id=1163718>

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## APPENDIX G TO CLAUSE 1 OF SCHEDULE 1

### TRANSFER VALUES

Bulk transfer values will be inserted in the Contract prior to signing.

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