

**This contract is made on 16<sup>th</sup> day of May 2016**

- 1 THE SECRETARY OF STATE FOR EDUCATION of Sanctuary Buildings, 20 Great Smith Street, London SW1P 3BT ("**DFE**"); and
- 2 The British Dyslexia Association of Unit 8, Bracknell Beeches, Old Bracknell Lane, Bracknell RG12 7BW [registered in England and Wales under number 02972167] whose registered office is as above (the "**Contractor**")

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

**It is agreed that:**

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

**The Contract has been executed on the date stated at the beginning of this page.**

**SIGNED by the CONTRACTOR acting by**

**Authorised Signatory**

**In the presence of**

**Witness signature**

**Occupation**

**Address**

**Date**

**SIGNED by DFE acting by**

**Position**

**in the presence of**

**Witness signature**

**Occupation**

**Address**

**Date**

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## Schedule 1

### The Specification

#### **1.1 Contract Requirement 1 – helping to equip the school workforce to deliver quality teaching and SEN support for pupils with dyslexia and other specific learning difficulties**

##### Background

As part of reforming the wider SEND system, we are seeking to improve support for pupils with dyslexia and other specific learning difficulties through a clear focus on literacy (particularly phonics). We are also looking to provide additional support and training for professionals working with children and young people with dyslexia and other specific learning difficulties.

The benefits of early identification for developmental dyslexia are widely recognised – identifying need at the earliest point and then making effective provision improves long-term outcomes for the child or young person (as evidenced in a number of reports/research articles, including the recent article by Thompson et al in the 2015 Journal of Child Psychology and Psychiatry). As a result, we would like the contractor to place a particular focus on helping the workforce in primary schools.

Children with literacy difficulties should be receiving good quality, evidence-based teaching from their school. Those teaching them should be adapting their teaching to individual needs and putting time into engagement with individual pupils and parents. In an increasingly autonomous school system, it is vital that contractors work within a school-led system and engage teaching schools, system leaders, Academy Trusts and other school-led bodies in delivering support for children and young people with dyslexia and other specific learning difficulties in schools.

##### Knowledge

The contractor must be able to demonstrate their:

- understanding of the challenges that schools face in delivering support for children with SEND, and particularly those with dyslexia and other specific learning difficulties
- overall understanding of the aims of the SEND reforms
- knowledge of what works in schools to support those with dyslexia and other specific learning difficulties.
- It is essential that contractors are aware of what support is already available to schools and where the gaps in support may be, as well as the particular issues that schools have raised during the first 18 months of implementation of the reforms.

We would like the successful bidder to:

- Build on existing knowledge of the challenges and solutions in delivering support to professionals working in schools with children with dyslexia and other specific learning difficulties.
- Further develop evidence-based teaching methods to improve the outcomes of these children and young people with SEND, linking to Education Endowment Foundation and other 'what works' centres.
- Enhance teachers' knowledge, understanding and skills in identifying and supporting pupils with dyslexia and other specific learning difficulties.
- Provide training for staff in schools to ensure that they are able to identify and respond to the needs of children with dyslexia and other specific learning difficulties from an early age. The bidder should specify how many professionals they aim to reach in schools, and their proposed split across the primary and secondary workforce. We will look for bidders to provide training that is innovative, cost effective and will reach a wide audience. We are also looking for training that is sustainable and can easily be cascaded to others, to enhance the reach of the programme (a

'train the trainer' approach).

- Work effectively with partners who are already delivering support to schools on wider SEND issues or who will be delivering support through future contracts.
- Work closely with other Departmental delivery partners that focus on other specific types of SEND, in order to develop a menu of support for schools when expert training and development is needed.

The bidder should demonstrate:

- How they understand the evidence from the first 18 months of the reforms, and how they will use this to understand the potential gaps in support for children and young people with dyslexia.
- How they understand the evidence from the first 18 months of the reforms, and how they will use this to understand the potential gaps in support for children and young people with other specific learning difficulties.
- How they understand the evidence of what works for pupils with dyslexia in schools, and how this evidence will be used to inform the contract.
- How they understand the evidence of what works for pupils with other specific learning difficulties in schools, and how this evidence will be used to inform the contract.
- How they will provide effective training for teachers and support staff in identifying and supporting children with dyslexia and other specific learning difficulties.
- How they will maximise the impact of the training that they provide, for example by enabling those trained to pass on the learning within their schools.
- How they will develop existing training materials and make these available to teachers and support staff to support their CPD.
- How they will work with organisations that represent other common forms of SEND (for example autism or speech, language and communication difficulties) to draw on their expertise and ensure joined-up working across co-occurring difficulties.
- How they will work with departmental delivery partners delivering overall support on SEND to the school workforce to help schools access CPD in relation to dyslexia and other specific learning difficulties in a coherent way, which is joined up with support for other specific types of SEND.
- How they will evaluate the effectiveness and measure the impact of the training they provide.

## **1.2 Contract Requirement 2 – helping to equip the post-16 workforce to deliver effective and evidence-based SEN support for pupils with dyslexia and other specific learning difficulties**

### Background

Young people with literacy difficulties should be receiving good quality, evidence-based teaching from their post-16 provider. Those teaching them should be adapting their teaching to individual needs and putting time into engagement with individual pupils.

It is important to recognise that dyslexia and other specific learning difficulties can be identified at any age and the right support put in place to help the individual child or young person. In post-16 institutions the focus is on strategies to support dyslexic students, however staff should also know how to identify young people with dyslexia or other specific learning difficulties that haven't already been identified.

### Knowledge

The contractor must be able to demonstrate their:

- understanding of the challenges that post-16 providers face in delivering support for young people with SEND

- overall understanding of the aims of the SEND reforms
- knowledge of what works in post-16 providers in supporting those with dyslexia and other specific learning difficulties

It is essential that contractors are aware of what support is already available to post-16 providers and where the gaps in support may be, as well as the particular issues that post-16 providers have raised during the first 18 months of implementation of the reforms.

We would like the successful bidder to:

- Build on existing knowledge of the challenges and solutions in delivering support to professionals working with young people with dyslexia and other specific learning difficulties in the post-16 environment.
- Further develop evidence-based teaching methods to improve the outcomes of these young people with SEND, linking to broader FE programmes.
- Enhance post-16 providers' knowledge, understanding and skills in identifying and supporting students with dyslexia and other specific learning difficulties.
- Provide training for staff in post-16 providers (contractor should specify how many professionals they aim to reach in post-16 institutions) to ensure that they are able to identify and respond to the needs of young people with dyslexia and other specific learning difficulties; we will look for bidders to provide training that is innovative, cost effective and will reach a wide audience. We are also looking for training that is sustainable and can easily be cascaded to others, to enhance the reach of the programme (a 'train the trainer' approach).
- Work effectively with partners who are already delivering support to post-16 providers or who will be delivering support through future contracts.

The bidder should demonstrate:

- How they understand the evidence from the first 18 months of the reforms, and how they will use this to understand the potential gaps in support for young people with dyslexia.
- How they understand the evidence from the first 18 months of the reforms, and how they will use this to understand the potential gaps in support for young people with other specific learning difficulties.
- How they understand the evidence of what works for students with dyslexia in post-16 organisations, and how this evidence will be used to inform the contract.
- How they understand the evidence of what works for students with other specific learning difficulties in post-16 organisations, and how this evidence will be used to inform the contract.
- How they will provide effective training for post-16 providers, including tutors and support staff, in identifying and supporting young people with dyslexia and other specific learning difficulties.
- How they will maximise the impact of the training that they provide, for example by enabling those trained to pass on the learning within their own and other post-16 institutions.
- How they will develop existing training materials and make these available to post-16 lecturers and support staff to support their CPD.
- How they will work with organisations that represent other common forms of SEND (for example autism or speech, language and communication difficulties) to draw on their expertise and ensure joined-up working across co-occurring difficulties.
- How they will work with departmental delivery partners delivering overall support on SEND to the post-16 workforce to help post-16 providers access CPD in relation to dyslexia and other specific learning difficulties in a coherent way, which is joined up with support for other specific types of SEND.
- How they will evaluate the effectiveness and measure the impact of the training they provide.

### **1.3 Contract Requirement 3 – embedding support materials and sharing evidence based good practice with parents and carers and professionals to ensure effective and appropriate support for learners with dyslexia and other specific learning difficulties.**

#### Introduction

A focus on SEN and the drive to improve outcomes is at the heart of our programme to support the school and post-16 workforce. It is important that professionals working with children that are identified as having, or are showing signs of dyslexia and other specific learning difficulties are aware of the evidence-based materials and other support that is available to meet the needs of their pupils. We also want to ensure that parents and carers have access to materials to help support their children with their learning, alongside teachers, tutors and support staff.

Sharing evidence based good practice will give teachers and post-16 tutors the opportunity to design and implement appropriate support for the children in their own classrooms with dyslexia and other specific learning difficulties.

We would like the successful bidder to:

- help teachers and post-16 tutors access the practical support they need to identify triggers that constitute dyslexia and other specific learning difficulties.
- ensure that teachers, post-16 providers and support staff are aware of the dyslexia support materials and other support that is available and how to access these;
- ensure that resources are widely used by teachers, post-16 providers and support staff;
- ensure that parents, carers, children and young people are also aware of the materials and other support that is available to them and how to access it;
- disseminate innovative and evidence based good practice and bring awareness of dyslexia friendly teaching methods to teachers, post-16 providers and support staff working with children with dyslexia and other specific learning difficulties.
- Build the evidence base, with a focus on impact.

The bidder should demonstrate:

- How they will build on existing evidence-based good practice, and ensure it is accessible, including signposting groups and individuals to more specialist resources, in particular when parents, carers, teachers and post-16 tutors first become aware of an individual child or young person's dyslexia or other specific learning difficulty.
- How they will define what constitutes good practice to support children and young people with dyslexia and other specific learning difficulties.
- How they will engage with a range of stakeholders to ensure that advice and support are based on the latest and best evidence of effective practice in dyslexia and other specific learning difficulties.
- How they will map materials which can be promoted to a range of audiences, including teachers, post-16 tutors, support staff, parents, carers, children and young people.
- How they will quality assure these materials, including how they will ensure that the good practice that is shared is based on robust evidence.
- How they will evaluate the effectiveness and measure the impact of good practice materials.
- How they will ensure that teachers, post-16 tutors, support staff, parents and carers know where to find other forms of support for young people with dyslexia and other specific learning difficulties.
- How they will seek out and write up good practice case studies.
- How they will share the skills and expertise of dyslexia specialist teachers and tutors.
- How they will identify and celebrate dyslexia-friendly schools and post-16 institutions

and enable them to share best practice with others.

- How they will ensure they reach their target audience(s).
- How they will work with existing resource hubs (including the SEND gateway) and good practice, to avoid duplication.
- How they will ensure that support for children and young people with dyslexia and other specific learning difficulties is included in local authorities' Local Offers.

#### 1.4 Security of Data

Please submit a security plan that explains how you will ensure that departmental or personal data will be protected.

#### 1.5 Overall delivery and project management

Bidders should describe the staffing and management structure of the team required to deliver the contract. Bidders should think about any specific risks and issues they foresee. They should describe what contingencies and countermeasures they might put in place to mitigate these risks. They should also describe the structures and governance arrangements required to keep oversight of the scheme and proposed reporting mechanisms and measures.

Bidders should detail:

- proposed staffing and management structure (if bidding as a consortium, including the responsibilities of different consortium members and how they will work together, including who leads the consortium)
- key staff and their roles (CVs can be attached as an annex)
- how they will co-ordinate the different strands of work within the contract to provide a coherent package of support, particularly regarding key cross cutting themes including: local offer, co-ordinated assessment and EHC plans, focusing on outcomes, personal budgets, joint commissioning, preparation for adulthood and participation of children, young people and parents?
- demonstrate that they have a detailed understanding of the processes and systems affecting disabled children and young people, and those with SEN, including a good working knowledge of the SEND reforms?
- specific risks or issues in delivering the proposal and describe the contingencies they would put in place to mitigate them
- how the independence and impartiality of any advice will be maintained, particularly to avoid any potential conflicts of interest.
- key performance indicators for the contract: what they would look like, examples of what they might include and how the contract's success will be measured
- how the Department for Education will be provided with management and performance information, including co-ordinated reporting to show the support provided to local authorities and their partners across all strands of the contract (whether or not provided as a consortium) and how links will be maintained with the Department for Education, including who would provide day-to-day contact; and
- how the overall contract will be managed to ensure coordination and achieve economies of scale (whether or not provided as a consortium), including realistic project management arrangements and a high level project/delivery plan.

Bidders will be expected to demonstrate how the skills and experience of key staff will ensure the successful delivery of the contract.

The bidder should provide details of the proposed staffing structure that will be employed to deliver the outcomes, including key roles identified to lead the activity as well as other roles to support delivery.

The bidder should indicate: whether staff are already in place, or would need to be recruited, what they will be responsible for, how much time they are expected to dedicate to the activity (on a Full Time Equivalent basis) and how, if at all, this will change during the contract.

## **1.6 Costs and value for money**

The Department expects to award a contract to run for one year commencing 25 April 2016 with the possibility of an extension for one year.

The proposed budget will be **£750,000** over the one year period. This funding is inclusive of all VAT that may be chargeable.

The contract may be extended for up to one year should it continue to align with Government priorities and should funding be available.

The scope of this contract may be extended up to a further value of 30% of the contract. Any changes, including the revised costs, would be agreed with the contractor.

Bidders will need to demonstrate that proposed costs are based on efficient models of delivery and provide good value for public money. You must ensure that all estimated costs are real, auditable and can be justified. Be sure you separately identify and include all expenditure that you expect to incur in relation to proposed activities, i.e. costs associated with:

- overheads i.e. premises/facilities/licences; and
- staffing i.e. management, delivery and administration.

There are restrictions on all paid for communications and marketing activities funded by the Department. You should set out any planned expenditure on these activities with supporting information on the nature of the planned activities.

We would expect quarterly reporting against spending. Please note that the contract is intended to be inclusive of VAT costs and that further amounts will not be available should a vatable supply claim be made at any later stage. No additional costs will be charged to the Department unless agreed with the contract manager prior to expenditure.

It is the responsibility of tenderers to check the VAT position with HMRC before submitting a bid.

Payments of costs to the supplier will be made quarterly by BACS transfer following receipt of a valid invoice.

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Bidders should detail:

- a complete breakdown of all costs for the year i.e. 25 April 2016 – 31 March 2017, including clear costs for all overheads, including recruitment, accommodation, etc and (if applicable) what VAT will be charged. Where bidders are intending to charge VAT this should be clearly set out in the costs breakdown, including what rate of VAT and an estimate of the total cost of VAT to be charged for the work in question.
- as a memorandum, any planned expenditure on communications and marketing activities and information on the nature of the planned activities
- accounting and finance provisions; and
- how the overall contract will be managed to ensure co-ordination and achieve economies of scale (whether or not provided as a consortium).

**Schedule 2**  
**Terms and Conditions**

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<b>1.</b>	<b>DEFINITIONS AND INTERPRETATION</b>
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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:

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

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

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

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

**“Consortium Agreement”** means, if the Contractor is a Consortium, an agreement:

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

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

**“Consortium Member”** means a member of a Consortium (if any).

**“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 promotor of tax schemes to tell HMRC of any specified notifiable arrangements or proposals and to provide prescribed information on those arrangements or proposals within set time limits as contained in Part 7 of the Finance Act 2004 and in secondary legislation made under vires contained in Part 7 of the Finance Act 2004 and as extended to national insurance contributions by the National Insurance (Application of Part 7 of the Finance Act 2004) regulations 2012, SI 2012/1868 made under section 132A of the Social Security Administration Act 1992.

**“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 **17<sup>th</sup> May 2016**.

**“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.

**“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.

**“ICT”** means information and communications technology.

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

**“Initial Term”** means the period from the Effective Date to **31<sup>st</sup> March 2017**.

**“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 DFE would otherwise derive from:

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

**“NICs”** 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
- (b) any tax return of the Contractor submitted to a Relevant Tax Authority on or after 1 October 2012 gives rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Commencement Date or to a civil penalty for fraud or evasion.

**“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.

**“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 **17<sup>th</sup> March 2016**.

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

**“Service Level”** means the levels of Service defined in schedule 4.

**“Service Period”** means the following:

- (a) the first Service Period of the Contract shall begin on the Services Commencement Date and shall expire at the end of the calendar month in which the Service Commencement Date falls; and
- (b) after the first Service Period of the Contract a Service Period shall be a calendar month during the Contract save that the final Service Period of the Contract shall commence on the first day of the calendar month in which the Contract expires or terminates and shall end on the expiry or termination of the Contract.

**“Service Users”** means those receiving the Services.

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

**“Staff”** 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.

**“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.

**“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.

1.2 The following notes of construction and interpretation apply to the Contract:

- 1.2.1 references to a statute or statutory provision shall, unless the context otherwise requires, include a reference to that statute or statutory provision as from time to time amended, modified, extended, re-enacted or consolidated and all statutory instruments or orders made pursuant to it whether replaced before or after the date of the Contract which are in force prior to the date of the Contract;
- 1.2.2 the expression “person” means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture;
- 1.2.3 the words “include”, “includes”, “including” and “included” will be construed without limitation unless inconsistent with the context;
- 1.2.4 the masculine includes the feminine and the neuter, and the singular includes the plural and vice versa as the context shall admit or require;
- 1.2.5 any reference in the Contract to a clause or schedule is a reference to a clause or schedule of the Contract and references in any schedule to paragraphs relate to the paragraphs in that schedule;
- 1.2.6 the clause headings are included for convenience only and shall not affect the interpretation of the Contract; and
- 1.2.7 the schedules and appendices form part of the Contract and shall have effect as if set out in full in the body of the Contract and any reference to the Contract includes the schedules.

## **2. TERM**

- 2.1 The Contract commences on the Effective Date and, subject to any provision of this Contract for earlier termination, or extension set out in this clause 2, will terminate at the end of the Initial Term.
- 2.2 DFE may extend the Initial Term for such further period as the DFE may choose 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 comply with the Implementation Plan;
  - 3.3.8 in so far as is reasonably practicable, comply with any policies and procedures adopted by the DFE from time to time within 14 days of the same being brought to the attention of the Contractor by the DFE;
  - 3.3.9 comply with applicable law, any applicable codes of practice or governmental regulation, and monitor compliance with relevant legislation;
  - 3.3.10 comply with all health and safety legislation, adopt and maintain safe operating systems of work and appropriate safety policies in order to protect the health and safety of Personnel, employees of the DFE, the Service Users and all other persons including members of the public; and
  - 3.3.11 comply with all safety, security, acceptable use and other policies of the DFE from time to time notified to it and procure that the Personnel also comply.
- 3.4 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.

#### **4. CONSORTIA**

- 4.1 If the Contractor is a Consortium it shall comply with the terms of this clause 4.
- 4.2 The Contractor may appoint additional or replacement Consortium Members to assist it in carrying out its obligations under the Contract subject to compliance with clause 4.3.
- 4.3 No new person or entity may become a Consortium Member until:
- 4.3.1 the DFE has given its prior written consent to the new Consortium Member;
  - 4.3.2 the new Consortium Member has signed a Deed of Adherence; and
  - 4.3.3 a copy of the Deed of Adherence has been given to the DFE.
- 4.4 The Contractor shall promptly inform the DFE if and how any Consortium Member breaches the terms of the Consortium Agreement.

## **5. TRANSFER AND SUB-CONTRACTING**

- 5.1 Save as set out in this clause 5 the Contractor may not sub-contract, assign, transfer, charge the benefit and/or delegate the burden of the whole or any part of the Contract (a “**Transfer**”) without the prior written consent of the DFE.
- 5.2 If the DFE consents to a Transfer the Contractor will evidence the Transfer in writing and provide a copy of the Transfer document on request.
- 5.3 The Contractor may award Sub-Contracts with a value per annum not exceeding £10,000 without the DFE’s consent.
- 5.4 Where the DFE has consented to a Sub-Contract, copies of each Sub-Contract shall, at the request of the DFE, be sent by the Contractor to the DFE as soon as reasonably practicable.
- 5.5 The Contractor shall not terminate or materially amend the terms of any Sub-Contract without the DFE’s prior written consent.
- 5.6 The DFE may require the Contractor to terminate a Sub-Contract if the acts or omissions of the Sub-Contractor have given rise to the DFE’s right of termination pursuant to clause 23 unless the Sub-Contractor can remedy the breach to the DFE’s satisfaction within 21 days of receipt by the Contractor of written notice from the DFE requiring the Sub-Contract to be terminated.
- 5.7 The Contractor shall remain responsible for all acts and omissions of its Sub-Contractors as if they were its own.
- 5.8 If the DfE believes there are:
- 5.8.1 compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the Contractor shall replace or not appoint the Sub-Contractor; or
  - 5.8.2 non-compulsory grounds for excluding a Sub-Contractor pursuant to regulation 57 of the Regulations, the DfE may require the Contractor to replace or not appoint the Sub-Contractor and the Contractor shall comply with such requirement.

## **6. PERSONNEL**

- 6.1 The DFE may refuse admission to DFE Premises and/or direct the Contractor to end the involvement in the Services of any Personnel whom the DFE believes is a security risk.
- 6.2 If the DFE require the removal of any Personnel pursuant to clause 8.1, any Employment Liabilities and any other costs connected with that removal shall be at the Contractor’s cost.

- 6.3 The Contractor shall use its 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 to 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 DFE may require the Contractor to remove any Key Personnel who the DFE considers in any respect unsatisfactory.
- 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 30 days of the request, all information that the DFE may reasonably request in relation to the Staff including the following:
- 7.1.1 the total number of Staff whose employment/engagement shall terminate at the end of the Term;
- 7.1.2 the age, gender, salary or other remuneration, future pay settlements and redundancy and pensions entitlement of the Staff referred to in clause 7.1.1;

- 7.1.3 the terms and conditions of employment/engagement of the Staff referred to in clause 7.1.1, their job titles and qualifications;
- 7.1.4 details of any current disciplinary or grievance proceedings ongoing or circumstances likely to give rise to such proceedings and details of any claims current or threatened; and
- 7.1.5 details of all collective agreements with a brief summary of the current state of negotiations with any such bodies and with details of any current industrial disputes and claims for recognition by any trade union

(together the “**TUPE Information**”).

- 7.2 At intervals determined by the DFE (which shall not be more frequent than once every 30 days) the Contractor shall give the DFE updated TUPE Information.
- 7.3 Each time the Contractor supplies TUPE Information to the DFE it shall warrant its completeness and accuracy and the DFE may assign the benefit of this warranty to any Replacement Contractor.
- 7.4 The DFE may use TUPE Information for the purposes of any retendering process.
- 7.5 If TUPE applies to the transfer of the Services on termination of the Contract, the Contractor shall indemnify and keep indemnified the DFE and any Replacement Contractor against all actions, suits, claims, demands, losses, charges, damages, costs and expenses and other liabilities which they may suffer or incur as a result of or in connection with:
  - 7.5.1 the provision of TUPE Information;
  - 7.5.2 any claim or demand by any Returning Employee (whether in contract, tort, under statute, pursuant to EU law or otherwise) in each case arising directly or indirectly from any act, fault or omission of the Contractor or any Sub-Contractor in respect of any Returning Employee on or before the end of the Term;
  - 7.5.3 any failure by the Contractor or any Sub-Contractor to comply with its obligations under regulations 13 or 14 of TUPE or any award of compensation under regulation 15 of TUPE save where such failure arises from the failure of the DFE or a Replacement Contractor to comply with its duties under regulation 13 of TUPE;
  - 7.5.4 any Court or Employment Tribunal claims (including any individual employee entitlement under or consequent on such a claim) by any trade union or other body or person representing any Returning Employees arising from or connected with any failure by the Contractor or any Sub-Contractor to comply with any legal obligation to such trade union, body or person; and
  - 7.5.5 any claim by any person who is transferred by the Contractor to the DFE and/or a Replacement Contractor whose name is not included in the list of Returning Employees.
- 7.6 If the Contractor becomes aware that TUPE Information it provided has become inaccurate or misleading, it shall promptly notify the DFE and provide the DFE with up to date TUPE Information.
- 7.7 This clause 7 applies during the Term and indefinitely thereafter.
- 7.8 The Contractor undertakes to the DFE that, during the 12 Months prior to the end of the Term the Contractor shall not (and shall procure that any Sub-Contractor shall not) without written approval of DFE (such approval not to be unreasonably withheld or delayed):

- 7.8.1 amend or vary (or purport to amend or vary) the terms and conditions of employment or engagement (including, for the avoidance of doubt, pay) of any Personnel (other than where such amendment or variation has previously been agreed between the Contractor and the Personnel in the normal course of business and where any such amendment or variation is not in any way related to the transfer of the Services);
- 7.8.2 terminate or give notice to terminate the employment or engagement of any Personnel (other than in circumstances in which the termination is for reasons of misconduct or lack of capability);
- 7.8.3 transfer away, remove, reduce or vary the involvement of any other Personnel from or in the provision of the Services (other than where such transfer or removal: (i) was planned as part of the individual's career development; (ii) takes place in the normal course of business; and (iii) will not have any adverse effect on the delivery of the Services, (provided that any such transfer, removal, reduction or variation is not in any way related to the transfer of the Services); or
- 7.8.4 recruit or bring in any new or additional individuals to provide the Services who were not already involved in providing the Services prior to the relevant period.

## **8. CHARGES**

- 8.1 Except where otherwise expressly stated in the Contract the only payments to be paid by the DFE for the performance by the Contractor of its obligations under the Contract shall be the Charges which shall be inclusive of all costs and expenses incurred by the Contractor in the performance of its obligations.
- 8.2 In consideration for the provision of the Services the DFE shall pay the Charges in accordance with the schedule 3 subject to the receipt of correct invoices pursuant to clause 8.7 being issued by the Contractor.
- 8.3 Except where otherwise expressly stated in schedule 3 the Contractor shall not be entitled to increase the Charges or any rates identified in schedule 3 throughout the Term.
- 8.4 The Charges are exclusive of Value Added Tax ("**VAT**") and all other taxes, duties and levies, but shall be inclusive of all charges, costs and expenses of whatever nature the Contractor incurs in providing the Services, and performing all other obligations of the Contractor, under the Contract (unless expressly stated otherwise in the Contract). The Contractor should notify the DFE of any direct VAT charges for the delivery of the Contract. The Contractor shall identify VAT and other applicable taxes, duties and levies separately on invoices, including identifying the elements of the Charges that are subject to VAT at the standard rate or at any other rates and that are zero rated or exempt from VAT.
- 8.5 Payment of the Charges by the DFE shall be without prejudice to any rights the DFE may have by reason of any Services, or any part thereof, failing to comply with any provision of the Contract and any breach by the Contractor of the Contract shall not be deemed to be accepted or waived by the DFE by reason of such payment.
- 8.6 The DFE may deduct from or offset against any monies due or becoming due to the Contractor under the Contract (including the Charges) any monies due from the Contractor under the Contract or otherwise under any other agreement or account whatsoever.
- 8.7 Invoices shall be submitted to [beverley.southward-bruce@education.gsi.gov.uk](mailto:beverley.southward-bruce@education.gsi.gov.uk) and/or sent, within 30 days of the end of the relevant invoicing date, to SSCL Accounts Payable Team, Room 6124, Tomlinson House, Norcross, Blackpool, FY5 3TA. An invoice is a "**Valid Invoice**" if it is legible and includes:

- 8.7.1 the date of the invoice;
  - 8.7.2 Contractor's full name and address;
  - 8.7.3 Contract reference number;
  - 8.7.4 the charging period;
  - 8.7.5 a detailed breakdown of the appropriate Charges including deliverables or milestones achieved (if applicable);
  - 8.7.6 days and times worked (if applicable);
  - 8.7.7 Service Credits (if applicable); and
  - 8.7.8 VAT if applicable.
- 8.8 The DFE shall not pay an invoice which is not a Valid Invoice.
- 8.9 The DFE intends to pay Valid Invoices within 10 days of receipt. Valid Invoices not paid within 30 days are subject to interest at the rate of 2% above the base rate from time to time of Barclays Bank. This clause 8.9 is a substantial remedy for late payment of any sum payable under the Contract in accordance with section 8(2) Late Payment of Commercial Debts (Interest) Act 1998.
- 8.10 The DFE shall not be responsible for any delay in payment caused by receipt of invoices which are not Valid Invoices and shall, within 10 Business Days of receipt, return to the Contractor for correction invoices that are not Valid Invoices together with an explanation of the need for correction.
- 8.11 At the end of the Term the Contractor shall promptly draw-up a final invoice which shall cover all Services provided up to the end of the Term which have not already been invoiced to the DFE. The final invoice shall be submitted not later than 30 days after the end of the Term.
- 8.12 The DFE shall not be obliged to pay the final invoice until the Contractor has carried out all of the Service.
- 8.13 The Contractor shall ensure that a term is included in 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 any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.
- 10.3 The Contractor shall:
  - 10.3.1 and procure that its Sub-Contractors shall, establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and prevent the occurrence of a Prohibited Act; and
  - 10.3.2 keep appropriate records of its compliance with its obligations under clause 10.3.2 and make such records available to the DFE on request.
- 10.4 The Contractor shall immediately notify the DFE in writing if it becomes aware of any breach of clauses 10.1 and/or 10.2, or has reason to believe that it has or any of the Personnel have:
  - 10.4.1 been subject to an investigation or prosecution which relates to an alleged Prohibited Act;
  - 10.4.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act; or
  - 10.4.3 received a request or demand for any undue financial or other advantage of any kind in connection with the performance of the Contract or otherwise suspects that any person directly or indirectly connected with the Contract has committed or attempted to commit a Prohibited Act.
- 10.5 If the Contractor notifies the DFE pursuant to clause 10.4, the Contractor shall respond promptly to the DFE's enquiries, co-operate with any investigation, and allow the DFE to audit any books, records and any other relevant documentation.
- 10.6 If the Contractor is in Default under clauses 10.1 and/or 10.2, the DFE may by notice:
  - 10.6.1 require the Contractor to remove from performance of the Contract any Staff whose acts or omissions have caused the Default; or
  - 10.6.2 immediately terminate the Contract.
- 10.7 Any notice served by the DFE under clause 10.6 shall specify the nature of the Prohibited Act, the identity of the party who the DFE believes has committed the Prohibited Act and the action that the DFE has taken (including, where relevant, the date on which the Contract shall terminate).

## **11. DISCRIMINATION**

- 11.1 The Contractor shall perform its obligations under the Contract in accordance with all



applicable equality law.

- 11.2 The Contractor shall comply with DFE's equality and diversity policy as given to the Contractor from time to time and any other requirements and instructions which the DFE reasonably imposes in connection with any equality obligations imposed on the DFE at any time under equality law.
- 11.3 The Contractor indemnifies the DFE in full from and against all Employment Liabilities that may arise as a result of any claims brought against the DFE by any of its employees, agents, consultants and contractors ("**DFE Personnel**") and/or any of the Personnel where such claim arises from any act or omission of the Personnel in respect of anti-discrimination legislation. The Contractor will also provide all reasonable cooperation, assistance and information as the DFE may request in connection with any investigation by the DFE into any complaint or other grievance received by it from any of the DFE Personnel or Personnel in respect of anti-discrimination legislation which may have arisen from, or been contributed to by, any act or omission of the Contractor or any Personnel.

## **12. INTELLECTUAL PROPERTY**

12.1 It is acknowledged and agreed between the parties that all existing or future Department's Intellectual Property Rights shall vest in the Crown absolutely.

12.2 Any Intellectual Property Rights of the Contractor which is in existence at the date of this Contract and which is comprised in or necessary for or arising from the performance of the Consultancy Services owned by the Contractor ("Background Intellectual Property") shall remain in the ownership of the Contractor but in consideration of the fees payable pursuant to this Contract, the Contractor hereby grants to the Department in respect of such Background Intellectual Property an irrevocable, non-exclusive, royalty-free, perpetual licence with rights to grant sub-licences.

12.3 The Contractor agrees that at the request and cost of the Department it will at all times do all such reasonable acts and execute all such documents as may be reasonably necessary or desirable to ensure that the Department receives the full benefit of all of its rights under this Contract in respect of the Department's Intellectual Property Rights or to assist in the resolution of any question concerning the Intellectual Property Rights.

12.4 The Contractor hereby waives any Moral Rights as defined at Chapter IV of the Copyright, Designs and Patents Act 1988.

12.5 The Contractor warrants:

12.5.1 that the Department's Intellectual Property Rights comprise the original work of and were created by or on behalf of the Contractor;

12.5.2 that the Department's Intellectual Property Rights have not and will not be copied wholly or in part from any other work or material;

12.5.3 that the use of or exercise by the Department of the Department's Intellectual Property Rights and the Background Intellectual Property will not infringe the rights of any third party;

12.5.4 that the Contractor has not granted or assigned any rights of any nature in the Department's Intellectual Property Rights to any third party.

12.6 The Contractor shall ensure that any copyright materials produced by or on behalf of the Contractor shall be marked with the following copyright notice "© Crown Copyright \*\*\*year of publication\*\*\*\*".

**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 Consortium Members shall not, use the DFE's name, brand or DFE Trade Marks or the Personal Data of the DFE to sell, promote, market or publicise the Contractor's other programmes, courses, services or other activities.
- 14.4 Subject to clauses 12 and 15 DFE may disclose, copy and otherwise distribute to the public, including but not limited to, by way of the Open Government Licence, any information arising out of the Services or comprised in any work relating to the Services.

**15. CONFIDENTIALITY**

- 15.1 Except to the extent set out in this clause 15 or if disclosure or publication is expressly permitted elsewhere in the Contract each Party shall treat all Confidential Information belonging to the other Party as confidential and shall not disclose any Confidential Information belonging to the other Party to any other person without the other Party's consent, except to such persons and to such extent as may be necessary for the performance of the Party's obligations under the Contract.
- 15.2 The Contractor hereby gives its consent for the DFE to publish the whole Contract including from time to time agreed changes to the Contract.
- 15.3 The Contractor may only disclose the DFE's Confidential Information to Personnel who are directly involved in the provision of the Services and who need to know the information, and shall ensure that Personnel are aware of and shall comply with these obligations as to confidentiality.
- 15.4 The Contractor shall not, and shall procure that Personnel do not, use any of the DFE's Confidential Information received otherwise than for the purposes of the Contract.
- 15.5 Clause 15.1 shall not apply to the extent that:
- 15.5.1 such disclosure is a requirement of law placed upon the Party making the disclosure, including any requirements for disclosure under the FOIA or the EIR;
  - 15.5.2 such information was in the possession of the Party making the disclosure without obligation of confidentiality prior to its disclosure by the information owner;
  - 15.5.3 such information was obtained from a third party without obligation of confidentiality;
  - 15.5.4 such information was already in the public domain at the time of disclosure otherwise than by a breach of the Contract; or
  - 15.5.5 it is independently developed without access to the other Party's Confidential Information.
- 15.6 Nothing in clause 15 shall prevent the DFE disclosing any Confidential Information

obtained from the Contractor:

- 15.6.1 for the purpose of the examination and certification of the DFE's accounts;
  - 15.6.2 for the purpose of any examination pursuant to section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the DFE has used its resources;
  - 15.6.3 to any other crown body and the Contractor hereby acknowledges that all government departments receiving such Confidential Information may further disclose the Confidential Information to other government departments on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any government department; or
  - 15.6.4 to any consultant, contractor or other person engaged by the DFE provided that in disclosing information under clauses 15.8.3 and 15.8.4 the DFE discloses only the information which is necessary for the purpose concerned and requests that the information is treated in confidence and that a confidentiality undertaking is given where appropriate.
- 15.7 Nothing in clauses 15.1 to 15.6 shall prevent either Party from using any techniques, ideas or know-how gained during the performance of its obligations under the Contract in the course of its normal business, to the extent that this does not result in a disclosure of the other Party's Confidential Information or an infringement of the other Party's Intellectual Property Rights.
- 15.8 The DFE shall endeavour to ensure that any government department, employee, third party or sub-contractor to whom the DFE's Confidential Information is disclosed pursuant to clause 15.6 is made aware of the DFE's obligations of confidentiality.
- 15.9 If the Contractor does not comply with clauses 15.1 to 15.5 the DFE may terminate the Contract immediately on notice to the Contractor.

## **16. FREEDOM OF INFORMATION**

- 16.1 The Contractor acknowledges that the DFE is subject to the requirements of the FOIA and the EIR.
- 16.2 The Contractor shall transfer to the DFE all Requests for Information that it receives as soon as practicable and in any event within 2 Business Days of receipt:
- 16.2.1 give the DFE a copy of all Information in its possession or control in the form that the DFE requires within 5 Business Days (or such other period as the DFE may specify) of the DFE's request;
  - 16.2.2 provide all necessary assistance as reasonably requested by the DFE to enable the DFE to comply with its obligations under the FOIA and EIR; and
  - 16.2.3 not respond to directly to a Request for Information unless authorised to do so in writing by the DFE.
- 16.3 The DFE shall determine in its absolute discretion and notwithstanding any other provision in the Contract or any other agreement whether the Commercially Sensitive Information and any other information is exempt from disclosure in accordance with the provisions of the FOIA and/or the EIR.

## **17. OFFICIAL SECRETS ACTS AND FINANCE ACT**

- 17.1 The Contractor shall comply with the provisions of:
- 17.1.1 the Official Secrets Acts 1911 to 1989; and
  - 17.1.2 section 182 of the Finance Act 1989.

## **18. LIABILITY**

18.1 Neither Party excludes or limits its liability (if any) to the other for any matter which it would be unlawful for it to exclude or to attempt to exclude its liability.

18.2 Subject to clause 18.1 the Contractor shall indemnify the DFE and keep the DFE indemnified to a maximum of £1,000,000 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, 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 Subject to clauses 18.1 and 18.5, neither Party shall have any liability to the other under or in connection with the Contract, whether in contract, tort (including negligence) or otherwise:

18.3.1 for any losses of an indirect or consequential nature;

18.3.2 for any claims for loss of profits, revenue, business or opportunity (whether direct, indirect or consequential); or

18.3.3 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.

18.4 Subject to clause 18.1 the maximum liability of either Party to the other under the Contract, whether in contract, tort (including negligence) or otherwise:

18.4.1 in respect of damage to property is limited to £1,000,000 in respect of any one incident or series of connected incidents; and

18.4.2 in respect of any claim not covered by clause 18.4.1, is limited in each calendar year in aggregate to 125% of the sum of the Charges payable in that year.

18.5 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:

18.5.1 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;

18.5.2 any wasted expenditure or charges;

18.5.3 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;

18.5.4 any compensation or interest paid to a third party by the DFE; and

18.5.5 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.

18.6 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.

18.7 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.

- 18.8 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.
- 18.9 The Contractor shall supply to the DFE on demand copies of the insurance policies maintained under clause 18.8.
- 18.10 The provisions of any insurance or the amount of cover shall not relieve the Contractor of any liabilities under the Contract.
- 18.11 It shall be the responsibility of the Contractor to determine the amount of insurance cover that will be adequate to enable the Contractor to satisfy any liability it has under, or in connection with, the Contract.

## **19. WARRANTIES AND REPRESENTATIONS**

- 19.1 The Contractor warrants and represents that:
  - 19.1.1 it has full capacity and authority and all necessary consents (including where its procedures so require, the consent of its parent company) to enter into and perform its obligations under the Contract and that the Contract is executed by a duly authorised representative of the Contractor;
  - 19.1.2 in entering the Contract it has not committed any fraud;
  - 19.1.3 as at the Effective Date, all information contained in the Contractor's Solution remains true, accurate and not misleading, save as may have been specifically disclosed in writing to the DFE prior to execution of the Contract;
  - 19.1.4 no claim is being asserted and no litigation, arbitration or administrative proceeding is presently in progress or, to the best of its knowledge and belief, pending or threatened against it or any of its assets which will or might, and it is not subject to any contractual obligation, compliance with which is likely to, have a material adverse effect on its ability to perform its obligations under the Contract;
  - 19.1.5 it owns, has obtained or is able to obtain valid licences for all Intellectual Property Rights that are necessary for the performance of its obligations under the Contract;
  - 19.1.6 the Service Specific IP Materials will be its original work and will not have been copied wholly or substantially from another party's work or materials provided that this clause 19.1.6 shall not apply to any IP Materials used by the Contractor under permission or licence from any other person or entity (including, without limitation, any Sub-Contractor); and
  - 19.1.7 the use by the DFE of any Intellectual Property Rights assigned or licensed to it by the Contractor under the Contract will not infringe or conflict with the rights of any third party;
  - 19.1.8 in the 3 years (or actual period of existence if the Contractor has been in existence for less time) prior to the Effective Date:
    - (i) it has conducted all financial accounting and reporting activities in compliance in all material respects with the generally accepted accounting principles that apply to it in any country where it files

accounts;

- (ii) it has been in full compliance with all applicable securities and tax laws and regulations in the jurisdiction in which it is established; and
- (iii) it has not done or omitted to do anything which could have a material adverse effect on its assets, financial condition or position as an ongoing business concern or its ability to fulfil its obligations under the Contract;

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

19.1.10 it has notified the DFE in writing of any Occasions of Tax Non-Compliance 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 premises of the Contractor, any Consortium Member or any other premises at which the Services (or any part of them) are being or are to be performed to ascertain that the Contractor is conforming in all respects with its obligations arising under the Contract and otherwise to monitor and quality assure the provision of the Services.

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

21.3 If the DFE reasonably considers that any provision of the Contract is at risk of not being complied with it may, notwithstanding and without prejudice to any other right or remedy that it may have under the Contract or otherwise:

21.3.1 require the Contractor to produce a plan of remedial action in order to remedy or remove such risk, which shall be subject to the approval of the DFE (not to be unreasonably withheld) and which, once approved, the Contractor shall implement; and

21.3.2 monitor, supervise, direct and/or guide the Contractor's provision of the Services until the DFE reasonably considers that any such risk has been

remedied or removed. The Contractor shall cooperate at all times with the DFE in this regard.

- 21.4 If the Contractor fails to comply with any provision of the Contract or fails to supply any of the Services in accordance with the provisions of the Contract and such failure is capable of remedy, then the DFE may instruct the Contractor to remedy the failure and the Contractor shall at its own cost and expense remedy such failure (and any damage resulting from such failure) within 21 days or such other period of time as the DFE may direct.
- 21.5 The DFE may review from time to time the progress of the Contractor against the Implementation Plan. The Contractor shall cooperate with the DFE in this regard and provide any information and evidence reasonably required by the DFE.
- 21.6 The DFE may instruct the Contractor to take appropriate remedial action where the DFE reasonably considers that the Implementation Plan is not being complied with or is at risk of not being complied with and the Contractor shall take such remedial action.

## **22. STEP IN RIGHTS**

- 22.1 Without prejudice to DFE's rights of termination under clause 23 the DFE may exercise one or more of the rights set out in this clause 22 ("**Step In Rights**") if:
  - 22.1.1 there is a Default by the Contractor which materially prevents or materially delays performance of the Services or any part of the Services;
  - 22.1.2 an event of Force Majeure occurs which materially prevents or materially delays the performance of the Services or any part of the Services;
  - 22.1.3 a Regulatory Body has advised the DFE that exercise by the DFE of its rights under this clause 22 is necessary;
  - 22.1.4 a serious risk exists to the health and safety of persons, property or the environment;
  - 22.1.5 it is necessary to discharge a statutory duty; or
  - 22.1.6 the Contractor becomes insolvent.
- 22.2 If the DFE has a Step In Right it may serve notice on the Supplier (a "**Step-In Notice**") that it will take action under this clause 22 either itself or with the assistance of a third party.
- 22.3 The Step-In Notice shall set out:
  - 22.3.1 the action the DFE wishes to take and in particular the Services that it wishes to control (the "**Required Action**");
  - 22.3.2 the event triggering the Step In Rights and whether the DFE believes that the Required Action is due to the Contractor's Default;
  - 22.3.3 the date on which it wishes to commence the Required Action;
  - 22.3.4 the time period which it believes will be necessary for the Required Action;
  - 22.3.5 whether the DFE will require access to the Contractor's premises; and
  - 22.3.6 to the extent practicable, the effect the DFE anticipates the Required Action will have on the Contractor's obligations to provide the Services during the period that the Required Action is being taken.
- 22.4 Following service of a Step-In Notice, the DFE shall:

- 22.4.1 take the Required Action set out in the Step-In Notice and any consequential additional action as it reasonably believes is necessary to achieve the Required Action;
  - 22.4.2 keep records of the Required Action taken and provide information about the Required Action to the Contractor;
  - 22.4.3 co-operate wherever reasonable with the Contractor in order to enable the Contractor to continue to provide those Services of which the DFE is not assuming control; and
  - 22.4.5 act reasonably in mitigating the cost that the Contractor will incur as a result of the exercise of the Step In Rights.
- 22.5 For as long as and to the extent that the Required Action continues:
- 22.5.1 the Contractor shall not be obliged to provide the Services to the extent that they are the subject of the Required Action; and
  - 22.5.2 the DFE shall pay the Contractor the Charges after subtracting any applicable Service Credits and the DFE's costs of taking the Required Action.
- 22.6 If the Contractor demonstrates to the DFE's reasonable satisfaction that the Required Action has resulted in the degradation of any Services not subject to the Required Action beyond that which would have been the case had the DFE not taken the Required Action, the DFE may adjust the Charges.
- 22.7 Before ceasing to exercise its Step In Rights the DFE shall deliver a written notice to the Contractor (a **"Step-Out Notice"**), specifying:
- 22.7.1 the Required Action it has taken; and
  - 22.7.2 the date on which the DFE plans to end the Required Action subject to the DFE being satisfied with the Contractor's ability to resume the provision of the Services and the Contractor's plan developed in accordance with clause 22.8.
- 22.8 The Contractor shall, following receipt of a Step-Out Notice and not less than 20 Business Days prior to the date specified in clause 22.7.2, develop for the DFE's approval a draft plan relating to the resumption by the Contractor of the Services, including any action the Contractor proposes to take to ensure that the affected Services satisfy the requirements of the Contract.
- 22.9 If the DFE does not approve the draft plan, it shall inform the Contractor of its reasons for not approving it and the Contractor shall then revise the draft plan taking those reasons into account and shall re-submit the revised plan to the DFE for approval. The DFE shall not withhold or delay its approval of the draft plan unreasonably.
- 22.10 The Contractor shall bear its own costs in connection with any Step-In under this clause 22, provided that the DFE shall reimburse the Contractor's reasonable additional expenses incurred directly as a result of any Step-In action taken by the DFE under clauses 22.1.2 to 22.1.5 (insofar as the primary cause of the DFE serving the Step In Notice is identified as not being the result of a Contractor's Default).

## **23. TERMINATION**

- 23.1 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a company and in respect of the Contractor:
  - 23.1.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or of any other composition scheme or arrangement with, or assignment for the benefit of, its creditors;



- 23.1.2 a shareholders' meeting is convened for the purpose of considering a resolution that it be wound up or a resolution for its winding-up is passed (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation);
  - 23.1.3 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator or a creditors' meeting is convened pursuant to section 98 of the Insolvency Act 1986;
  - 23.1.4 a receiver, administrative receiver or similar officer is appointed over the whole or any part of its business or assets;
  - 23.1.5 an application order is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given;
  - 23.1.6 it is or becomes insolvent within the meaning of section 123 of the Insolvency Act 1986;
  - 23.1.7 being a "small company" within the meaning of section 247(3) of the Companies Act 1985, a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
  - 23.1.8 any event similar to those listed in clauses 23.1.1 to 23.1.7 occurs under the law of any other jurisdiction.
- 23.2 The DFE may terminate the Contract with immediate effect by notice and without paying compensation to the Contractor where the Contractor is an individual and:
- 23.2.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, the Contractor's creditors;
  - 23.2.2 a petition is presented and not dismissed within 14 days or order made for the Contractor's bankruptcy;
  - 23.2.3 a receiver, or similar officer is appointed over the whole or any part of the Contractor's assets or a person becomes entitled to appoint a receiver, or similar officer over the whole or any part of his assets;
  - 23.2.4 the Contractor is unable to pay his debts or has no reasonable prospect of doing so, in either case within the meaning of section 268 of the Insolvency Act 1986;
  - 23.2.5 a creditor or encumbrancer attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of the Contractor's assets and such attachment or process is not discharged within 14 days;
  - 23.2.6 he dies or is adjudged incapable of managing his affairs within the meaning of Part VII of the Mental Capacity Act 2005;
  - 23.2.7 he suspends or ceases, or threatens to suspend or cease, to carry on all or a substantial part of his business; or
  - 23.2.8 any event similar to those listed in clauses 23.2.1 to 23.2.7 occurs under the law of any other jurisdiction.
- 23.3 The Contractor shall notify the DFE immediately in writing of any proposal or negotiations which will or may result in a merger, take-over, change of control, change of name or status including if the Contractor undergoes a change of control within the

meaning of section 1124 of the Corporation Taxes Act 2010 ("**Change of Control**"). The DFE may terminate the Contract with immediate effect by notice and without compensation to the Contractor within 6 months of:

23.3.1 being notified that a Change of Control has occurred; or

23.3.2 where no notification has been made, the date that the DFE becomes aware of the Change of Control

but shall not be permitted to terminate where approval was granted prior to the Change of Control.

23.4 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a partnership and:

23.4.1 a proposal is made for a voluntary arrangement within Article 4 of the Insolvent Partnerships Order 1994 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;

23.4.2 it is for any reason dissolved;

23.4.3 a petition is presented for its winding up or for the making of any administration order, or an application is made for the appointment of a provisional liquidator;

23.4.4 a receiver, or similar officer is appointed over the whole or any part of its assets;

23.4.5 the partnership is deemed unable to pay its debts within the meaning of sections 222 or 223 of the Insolvency Act 1986 as applied and modified by the Insolvent Partnerships Order 1994; or

23.4.6 any of the following occurs in relation to any of its partners:

23.4.6.1 an application for an interim order is made pursuant to sections 252-253 of the Insolvency Act 1986 or a proposal is made for any composition scheme or arrangement with, or assignment for the benefit of, his creditors;

23.4.6.2 a petition is presented for his bankruptcy;

23.4.6.3 a receiver, or similar officer is appointed over the whole or any part of his assets; or

23.4.6.4. any event similar to those listed in clauses 23.4.1 to 23.4.6 occurs under the law of any other jurisdiction.

23.5 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor where the Contractor is a limited liability partnership and:

23.5.1 a proposal is made for a voluntary arrangement within Part I of the Insolvency Act 1986 or a proposal is made for any other composition, scheme or arrangement with, or assignment for the benefit of, its creditors;

23.5.2 it is for any reason dissolved;

23.5.3 an application is made either for the appointment of an administrator or for an administration order, an administrator is appointed, or notice of intention to appoint an administrator is given within Part II of the Insolvency Act 1986;

23.5.4 any step is taken with a view to it being determined that it be wound up (other than as part of, and exclusively for the purpose of, a bona fide reconstruction or amalgamation) within Part IV of the Insolvency Act 1986;

- 23.5.5 a petition is presented for its winding up (which is not dismissed within 14 days of its service) or an application is made for the appointment of a provisional liquidator within Part IV of the Insolvency Act 1986;
- 23.5.6 a receiver, or similar officer is appointed over the whole or any part of its assets;  
or
- 23.5.7 it is or becomes unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- 23.5.8 a moratorium comes into force pursuant to Schedule A1 of the Insolvency Act 1986; or
- 23.5.9 any event similar to those listed in clauses 23.5.1 to 23.5.8 occurs under the law of any other jurisdiction.
- 23.6 References to the Insolvency Act 1986 in clause 23.5.1 shall be construed as being references to that Act as applied under the Limited Liability Partnerships Act 2000 subordinate legislation.
- 23.7 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if the Contractor commits a Default and:
  - 23.7.1 the Contractor has not remedied the Default to the satisfaction of the DFE within 21 Business Days or such other period as may be specified by the DFE, after issue of a notice specifying the Default and requesting it to be remedied
  - 23.7.2 the Default is not, in the opinion of the DFE, capable of remedy; or
  - 23.7.3 the Default is a Material Breach.
- 23.8 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
  - 23.8.1 the Contractor's warranty in clause 19.1.10 is materially untrue;
  - 23.8.2 the Contractor commits a material breach of its obligation to notify the DfE of any Occasion of Non-Tax Compliance; or
  - 23.8.3 the Contractor fails to provide details of proposed mitigating factors which, in the DfE's reasonable opinion are acceptable.
- 23.9 The DFE may terminate the Contract with immediate effect and without paying compensation to the Contractor if:
  - 23.9.1 the Contract has been subject to a substantial modification which requires a new procurement procedure pursuant to regulation 72(9) of the Regulations;
  - 23.9.2 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
  - 23.9.3 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.
- 23.10 If the DFE terminates the Contract under clauses 23.7, 23.8 or 23.9:
  - 23.10.1 and makes other arrangements for the supply of the Services, the DFE may recover from the Contractor the cost reasonably incurred of making those other

arrangements; and

23.10.2 the DFE shall make no further payments to the Contractor (for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the DFE), until the DFE has established the final cost of making the other arrangements envisaged under this clause 23.

23.11 Either Party may terminate the Contract (or any part of it) at any time by giving at least 3 months' prior written notice to the other Party.

23.12 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.

23.13 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.

23.14 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.

23.15 If, through any Default of the Contractor, data transmitted or processed in connection with the Contract is either lost or sufficiently degraded as to be unusable, the Contractor shall be liable for the cost of reconstitution of that data and shall reimburse the DFE in respect of any charge levied for its transmission and any other costs charged in connection with such Default.

23.16 If the DFE fails to pay the Contractor undisputed sums of money when due the Contractor shall give notice to the DFE of its failure to pay. If the DFE fails to pay such undisputed sums within 90 Business Days of the date of such notice, the Contractor may terminate the Contract in writing with immediate effect, save that such right of termination shall not apply where the failure to pay is due to the DFE exercising its rights under clause 8.6 or to Force Majeure.

23.17 Save as otherwise expressly provided in the Contract:

23.17.1 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

23.17.2 termination of the Contract shall not affect the continuing rights, remedies or obligations of the DFE or the Contractor under clauses 8 (Payment), 9 (Tax and VAT), 10 (Prevention of Fraud), 12 (Intellectual Property Rights), 13 (Data), 15 (Confidentiality), 16 (Freedom of Information), 17 (Official Secrets Acts 1911 to 1989, Section 182 of the Finance Act 1989), 180 (Warranties and Representations), 19 (Liability), 23 (Termination) 24 (Retendering and Handover), 25 (Exit Management), 26 (Audit), and 37 (Governing Law and Jurisdiction).

## **24. RETENDERING AND HANDOVER**

24.1 Within 30 days of being requested by the DFE, the Contractor shall provide, and thereafter keep updated, in a fully indexed and catalogued format, all the information

reasonably necessary to enable the DFE to issue tender documents for the future provision of replacement services.

- 24.2 The DFE shall take reasonable precautions to ensure that the information referred to in clause 24.1 is given only to potential contractors who have qualified to tender for the future provision of the replacement services.
- 24.3 The DFE shall require that all potential Contractors treat the information in confidence; that they do not communicate it except to such persons within their organisation and to such extent as may be necessary for the purpose of preparing a response to an invitation to tender issued by the DFE; and that they shall not use it for any other purpose.
- 24.4 The Contractor shall allow access to the Premises in the presence of DFE's authorised representative, to any person representing any potential contractor whom the DFE has selected to tender for the future provision of the Services.
- 24.5 If access is required to the Contractor's Premises for the purposes of clause 26.4, the DFE shall give the Contractor 7 days' notice of a proposed visit together with the names of all persons who will be visiting.
- 24.6 The Contractor shall co-operate fully with the DFE during any handover at the end of the Contract including allowing full access to, and providing copies of, all documents, reports, summaries and any other information necessary in order to achieve an effective transition without disruption to routine operational requirements.
- 24.7 Within 10 Business Days of being requested by the DFE, the Contractor shall transfer to the DFE, or any person designated by the DFE, free of charge, all computerised filing, recording, documentation, planning and drawing held on software and utilised in the provision of the Services. The transfer shall be made in a fully indexed and catalogued disk format, to operate on a proprietary software package identical to that used by the DFE.

## **25. EXIT MANAGEMENT**

- 25.1 If the DFE requires a continuation of all or any of the Services at the end of the Term, either by performing them itself or by engaging a third party to perform them, the Contractor shall co-operate fully with the DFE and any such third party and shall take all reasonable steps to ensure the timely and effective transfer of the Services without disruption to routine operational requirements.
- 25.2 The Contractor will, within 3 months of the Effective Date, deliver to the DFE, a plan which sets out the Contractor's proposals for achieving an orderly transition of Services from the Contractor to the DFE and/or its Replacement Contractor at the end of the Term (an **"Exit Plan"**).
- 25.3 Within 30 days of the submission of the Exit Plan, both Parties will use reasonable endeavours to agree the Exit Plan. If the Parties are unable to agree the Exit Plan the dispute shall be referred to the dispute resolution procedure in clause 36.
- 25.4 The Contractor will review and (if appropriate) update the Exit Plan in the first month of each year of the Term to reflect changes to the Services. Following such update the Contractor will submit the revised Exit Plan to the DFE for review. Within 30 days following submission of the revised Exit Plan, the Parties shall meet and use 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 an efficient and detailed knowledge transfer from the Contractor to the DFE at the end of the Term and shall provide the DFE free of charge with full access to Personnel, copies of all documents, reports, summaries and any other information requested by the DFE. The Contractor shall comply with the DFE's request for information no later than 15 Business Days from the date that that request was made.

## **26. AUDIT**

- 26.1 The Contractor shall keep and maintain until 6 years after the end of the Term, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it and all Charges.
- 26.2 The Contractor agrees to make available to the DFE, free of charge, whenever requested, copies of audit reports obtained by the Contractor in relation to the Services
- 26.3 The Contractor shall permit duly authorised representatives of the DFE and/or the National Audit Office to examine the Contractor's records and documents relating to the Contract and to provide such copies and oral or written explanations as may reasonably be required.
- 26.4 The Contractor (and its agents) shall permit the Comptroller and Auditor General (and his appointed representatives) access free of charge during normal business hours on reasonable notice to all such documents (including computerised documents and data) and other information as the Comptroller and Auditor General may reasonably require for the purposes of his financial audit of the DFE and for carrying out examinations into the economy, efficiency and effectiveness with which the DFE has used its resources. The Contractor shall provide such explanations as are reasonably required for these purposes.

## **27. ENTIRE AGREEMENT**

- 27.1 The Contract contains all the terms which the Parties have agreed in relation to the subject matter of the Contract and supersedes any prior written or oral agreements, representations or understandings between the Parties.
- 27.2 Nothing in this clause 27 shall exclude any liability which one Party would otherwise have to the other Party in respect of any statements made fraudulently.

## **28. PARTNERSHIP**

- 28.1 Nothing in the Contract is intended to or shall operate to create a legal partnership between the Parties or to authorise either Party to act as an agent for the other, and neither Party shall have authority to act in the name or on behalf of or otherwise to bind the other in any way (including making any representation or warranty, the assumption of any obligation or liability and the exercise of any right or power).

## **29. WAIVER**

- 29.1 No failure or delay by any Party to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same, or of some other right, power or remedy.

### **30. CHANGE CONTROL**

- 30.1 Either Party may at any time request in writing a Variation in accordance with the change control procedure set out in schedule 6 (the “**Change Control Procedure**”). No Variation shall be effective unless made in accordance with the Change Control Procedure.

### **31. COUNTERPARTS**

- 31.1 The Contract may be executed in any number of counterparts, each of which so executed and delivered shall constitute an original, but together shall constitute one and the same instrument.

### **32. CONTRACTS (RIGHTS OF THIRD PARTIES) ACT 1999**

- 32.1 The Parties do not intend that any term of the Contract will be enforceable by virtue of the Contracts (Rights of Third Parties) Act 1999 by any person not a Party to it.

### **33. CONFLICTS OF INTEREST**

- 33.1 The Contractor shall:

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

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

- 33.2 If the Contractor becomes aware of any Conflict of Interest (or potential Conflict of Interest) or other situation which has arisen or may arise and which may cause a breach of this clause 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 take all reasonable steps to remove or avoid the Conflict of Interest or to prevent it occurring in each case, or to manage the conflict to the satisfaction of the DFE (acting reasonably); and

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

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

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

breach by the Contractor of the provisions of this clause 33.

#### **34. FURTHER ASSURANCE**

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

#### **35. NOTICES**

- 35.1 Any notice, demand or communication in connection with the Contract shall be in writing and may be delivered by hand, pre-paid first class post or (where being sent to an address in a different country to where posted) airmail, facsimile or e-mail, addressed to the recipient at its registered office or its address (or such other address, facsimile number or e-mail address as may be notified in writing from time to time).
- 35.2 The notice, demand or communication shall be deemed to have been duly served:
- 35.2.1 if delivered by hand, when left at the proper address for service;
- 35.2.2 if given or made by prepaid first class post 48 hours after being posted or in the case of airmail 14 days after being posted;
- 35.2.3 if given or made by facsimile or e-mail, at the time of transmission, provided that a confirming copy is sent by first class pre-paid post or (where being sent to an address in a different country to where posted) airmail to the other Party within 24 hours after transmission and that, in the case of transmission by e-mail where the time of transmission is not between 9.00 am and 5.00 pm, service shall be deemed to occur at 9.00 am on the next following Business Day (such times being local time at the address of the recipient).
- 35.3 If proceedings to which the Civil Procedure Rules apply have been issued, the provisions of Civil Procedure Rule 6 must be complied with in respect of the service of documents in connection with those proceedings.

#### **36. DISPUTE RESOLUTION**

- 36.1 Any Dispute shall be dealt with in accordance with this clause 36.
- 36.2 In the first instance, a representative of each Party will each use their 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 DFE may review the detailed costs set out in the Implementation Plan to ensure that the Contract is value for money.
3. Indexation shall not apply to the Charges.
4. The Contractor shall be entitled to invoice the Charges following acceptance by the DFE of satisfactory completion of the Services or, where performance of the Services will continue, either monthly in arrears or on satisfactory completion of milestones as set out in the delivery milestones, outputs or outcomes (as set out in the tables below).

**Table 1**

5. Funds allocated to a particular expenditure heading in Table 1 are available for that expenditure heading only. Funds allocated to a particular accounting year are available for that accounting year only.

**Table 2**

	net cost	VAT @ 20%	total including VAT
Overview			
Delivery Costs (staff)			
Delivery costs (non-staff)			
Admin support staff costs			
Other Admin costs (Management fee @ 15%)			
Travel, subs & accommodation			
Office costs			
Other costs			
	£ 624,330.10	£ 124,886.02	£ 749,196.12

Delivery costs (staff) - Daily rates are as follows:

- [REDACTED] - senior management rate
  - Expert development of training materials; review/quality assurance of materials and development of online portal; project director.
- [REDACTED] - manager rate
  - Trainers, project managers, IT workers
- [REDACTED] - administrative rate
  - Administrative staff

All above rates are inclusive of VAT.

**NB:** Please note, Manchester Metropolitan University applies its own staff rates, which are lower than the above.

For a detailed breakdown of each of the above headings, see table below.

<b>Delivery costs (staff)</b>	<b>£</b>	
Trainers for TtT events	£	
Development of training materials	£	
Project managers	£	
Website development officer	£	
Online resource design/manager	£	
BDA Quality Mark/Literacy Leap manager	£	
Video resource development	£	
MMU staffing	£	
Project Director	£	
<b>Delivery costs (non-staff)</b>	<b>£</b>	
Training event costs (recruitment, dissemination, venue hire, refreshments, etc)	£	
Additional materials for training events	£	-
<b>Admin support staff costs</b>	<b>£</b>	
Admin staff	£	
Website maintenance	£	
<b>Other admin costs (Management fee @ 15%)</b>	<b>£</b>	
<b>Travel, subs, accommodation</b>	<b>£</b>	
<b>Office costs</b>	<b>£</b>	
<b>Other</b>	<b>£</b>	
Contributions from other SplD experts	£	
Evaluation	£	
Webinars	£	
Dissemination	£	
Filming/video contract	£	
Web design contract	£	
Recruitment	£	
Additional training event materials	£	

By agreement with the DfE, the invoicing process from contractor to DfE will be monthly.

## **Schedule 4**

### **KPIs, Service Levels and Service Credits**

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

### **SERVICE LEVELS**

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

### **SERVICE CREDITS**

- 5 Accrual of Service Credits shall entitle the DFE to a reduction in the Charges. The Contractor shall set-off the value of any Service Credits against the appropriate invoice in accordance with schedule 3. The mechanism for recovery of any Service Credits will be developed and agreed with the Contractor within the first 3 months of the Contract.
- 6 The Contractor confirms that it has modelled the Service Credits and has taken them into account in calculating the Charges. Both Parties agree that the Service Credits are a reasonable method of adjusting the Charges to reflect poor performance

**Table 2 KPIs**

KPI	Measure ment Period	Measure	Monitoring method	Service Credit applied
Train the Trainer' materials agreed for primary / secondary teachers & support staff.	30/09/16	Materials approved by steering committee/focus group. Trainers receive instruction in delivery of materials.	Written feedback from steering group. Feedback/evaluations from trainers.	
'Train the Trainer' materials agreed for post 16 lecturers & support staff.	30/09/16	Materials approved by steering committee/focus group. Trainers receive instruction in delivery of materials.	Written feedback from steering group. Feedback/evaluations from trainers.	
<p>'Train the Trainer' events scheduled to take place commencing September 2016</p> <p><u>Numbers:</u></p> <ul style="list-style-type: none"> <li>18 - 30 primary//secondary events</li> <li>9 - 15 post 16 provider events</li> </ul> <p>[with commitment to stated cascade plans to reach, over the following months, a potential of 18,000-27,000 primary staff; 30,000-60,000 secondary staff; 45,000-75,000 post 16 teaching and support staff].</p> <p>Participants agree to fulfil the requirements of the project, through e.g. completing questionnaires and survey tools; cascading training in their schools/institutions.</p>	30/09/16	<p>Events advertised; registration commences.</p> <p>Agreements signed by participants.</p>	Partners responsible for delivering training manage bookings and signed agreements. Progress reported in fortnightly operations meetings.	
<p>Audit of online resources completed.</p> <p>Work commences on development of BDA Dyslexia Friendly Quality Mark (DFQM)/Literacy Leap webpages.</p>	30/09/16	<p>Criteria for online resources agreed with evaluation team.</p> <p>BDA DFQM / Literacy Leap webpages reviewed by focus group.</p>	<p>Agreed matrix for reviewing resources.</p> <p>Written feedback from focus group.</p>	
Contract advertised for 'Learn from the Expert' video package.	30/09/16	Film company selected to develop video training package.	Exec Board approve selection process and award of contract.	

KPI	Measure ment Period	Measure	Monitoring method	Service Credit applied
Final version of evaluation framework agreed.	30/09/16	Questionnaires/Online surveys agreed for: 'Train the Trainer' attendees; designated trainers; website users.	Questionnaires agreed by Exec. Board.	
'Train the Trainer' sessions commence.  Evaluation commences through: <ol style="list-style-type: none"> <li>1. analysis of training event documentation;</li> <li>2. attendance of evaluation team at Train the Trainer events;</li> <li>3. administration and analysis of online survey questionnaire using the Bristol Online Survey tool.</li> </ol>	30/09/16	Minimum number sessions delivered = 8.  Questionnaires/Online surveys completed by participants immediately after each event.	Training events timetabled on project calendar. Event reports provided by partner responsible for delivery.  Questionnaires/Online surveys gathered by evaluation team. Ongoing reporting to project manager on numbers of questionnaires received and progress of analysis.	
School leadership training materials agreed.	30/09/16	Materials approved by steering committee/focus groups.	Written feedback from steering group.	
Initial draft of Ofsted training materials completed.	30/09/16	Materials sent to Ofsted steering committee for feedback.	Written feedback from steering group.	
Design of video package agreed.	30/11/16	Content and design approved by project executive board	Approval minuted at Exec Board meeting.	
Mapping of online resources/design of web-pages commences.	31/12/16	Initial design of web-pages agreed by project executive board.	Approval minuted at Exec Board meeting.	
Webinar content developed and agreed.	31/12/16	Minimum number webinars delivered = 3.	Webinars timetabled on project calendar. Written report on event (nos of attendees, etc) provided by partner responsible for delivery.	
Online training materials developed.	31/12/16	Materials made available through principal subcontractors' websites.		

KPI	Measure ment Period	Measure	Monitoring method	Service Credit applied
'Train the Trainer' sessions continue.	31/12/16	<p>Minimum number sessions delivered during this quarter = 20.</p> <p>Questionnaires/Online surveys completed by participants immediately after each event.</p>	<p>Training events timetabled on project calendar. Event reports provided by partner responsible for delivery.</p> <p>Report on analysis of data on the impact of the initial 'Train the Trainer' events delivered by evaluation team, focussing on designated trainees' involvement in and reasons for attending the event; highlights of the event (positive and negative); ways in which they plan to use or disseminate what they have learnt during the event; overall impressions of the training event and materials.</p>	
Filming of video package commences.	31/12/16	Minimum number of training videos captured = 10.	Sample videos approved by Exec Board.	
Mapping of online resources/design of web-pages continues. Liaison with evaluation team re design of the online survey questionnaire to evaluate resources and web-pages.	31/12/16	Initial completion of online survey by a range of users; to include students, parents/carers, teaching professionals, other professionals.	Report on results of analysis of online survey.	
All 'Train the Trainer' sessions completed.	31/03/17	<p>Maximum total number of 'Train the Trainer' sessions delivered: primary/secondary = 30; post 16 = 15; with commitment to stated cascade plans to reach, over the following months, a potential of 27,000 primary staff; 60,000 secondary staff; 75,000 post 16 teaching and support staff.</p> <p>Evidence gathered through questionnaires/online surveys for designated trainers after initial training events.</p> <p>Those institutions reporting the highest</p>	Report on the overall impact of the cascaded training in schools and post 16 institutions, focussing on impact of initial training on designated trainer's learning & professional development and professional behaviour; impact of cascaded training on colleague's capacity for dyslexia friendly practice; impact of cascaded training upon the school or post 16 institution's culture, policies and processes; factors enabling and/or moderating the level of impact of the cascaded	

KPI	Measure ment Period	Measure	Monitoring method	Service Credit applied
		levels of impact of the training will be selected as subjects for case studies.	training ('enablers' and 'blockers').  8 written case studies of examples of high impact of the training in schools and post-16 institutions ( 2x primary schools; 2 x secondary schools; 2x Further Education institutions; 2 x apprenticeship providers). Researchers for the MMU Evaluation Team will visit these institutions to carry out individual in-depth interviews with the training leaders and focus groups drawn from samples of staff members.	
Downloadable training materials and 6 webinars available online.	31/03/17	All materials available on BDA website/portal and through links on principal subcontractors' websites.		
Leadership training pilot completed.	31/03/17	Minimum number of school leaders taking part in pilot = 100.	Evaluation questionnaires received from participants.	
Final version of Ofsted inspector training materials agreed.	31/03/17	Materials delivered to Ofsted.		
Online resources portal and menu of support completed; including 'Learn from the Expert' video package.	31/03/17	Feedback from stakeholders.	Written summary of stakeholder response to the web pages evaluating resources and support.	
Final Evaluation Report of the Dyslexia Support Project. To include: bringing together and analysing the data drawn from each activity strand; interviews with project staff.	31/03/17			

**Table 3 Service Levels**



Service Level	Measure	Compliance
Reporting and Meetings	<b>Monthly reporting:</b> submit a monthly programme report by the third Business Day of the month, including any exception events within this report.	90% - DFE monitoring
	Contractor meetings – monthly	
	Development and operations meetings – as required	
Administration/Communication	In delivering the Services offer a responsive and supportive service to participants and their facilitators.	
	Respond to 100% of queries and correspondence within 3 Business Days of receipt.	
Finance	Ensure that invoices are submitted to DFE within 10 Business Days of the end of the relevant charging period/completion of the activity	
Commercial Management	Ensure that Change Control Notes are signed by both Parties <b>prior</b> to any additional work being undertaken (DFE or Contractor to ensure paperwork is issued in a timely fashion when change required).	
Complaints	Ensure that all administrative Personnel are aware of and abide by relevant complaints procedures.	
	Main management contact to report all complaints orally and in writing to DFE within 3 Business Days.	
Records and questionnaires	Ensure that all records are maintained and kept up to date throughout the Term. Records must be updated within 5 Business Days of a request being made or an event taking place (subject to system availability).	
	Support the DFE to ensure appropriate questionnaires are completed throughout the Term.	
Delivery	Supply appropriate equipment to support the delivery of the Services at any face to face events.	75%- Questionnaire records
	Suitability of venue: events take place in venues and facilities which are relevant to the day.	75%-Event questionnaires
	Training shall take place in rooms which are suitable for the size of groups and set up in the style appropriate to the event	
Workshop Events	ICT should be adequate and meet the minimum specification of the course.	
	Refreshments must be provided and where overnight accommodation is required the facilities must comply with the venue specification.	
Evaluation	Contribute to the evaluation of the effects of its delivery by reviewing Service User satisfaction, learning outcomes, improvements in schools/school systems, and the commissioning of impact studies.	

## Schedule 5

### Implementation Plan

1. The Contractor shall provide the Services in accordance with the Implementation Plan set out below.
2. The Implementation Plan shall be sufficiently detailed as is necessary to manage the Services and any proposed changes are subject to the Change Control Procedure.
3. The Contractor shall be responsible for implementing and managing the Services and for taking all such steps as may be necessary so as to ensure that from the Service

Commencement Date the Contractor is able to provide the Services:

3.1 in accordance with the provisions of the Contract; and

3.2 in a manner that maintains the continuity of Services to the DFE.

4. The Contractor shall monitor its performance against the Implementation Plan and report to the DFE monthly (or more frequently if so required by the DFE) on its performance.

Quarter	Activity	Deliverable	Deadline
<b>Quarter 1 May – June 2016</b>	Meetings to agree 'Train the Trainer' materials (primary, secondary, post 16) and organisation/marketing plan of training events. Steering committee/focus group members nominated.	Draft materials to be agreed by steering committee/focus group. Programme for training events. List of members to approach for steering groups.	30/06/2016
	Meeting with evaluation team to agree evaluation framework.	Final evaluation framework; questionnaires for training event attendees, designated trainers, website users; criteria for online resources.	31/08/2016
	Audit of online resources commences.	Overview of available online resources for dyslexia and other SpLD.	30/09/2016
	Development begins for BDA Quality Mark and Literacy Leap webpages.	Draft webpages for review by focus group.	30/09/2016
	Commence organising & recruiting to 'Train the Trainer' events.	Primary x 18 Secondary x 12 Post-16 x 15 All participants sign agreement to cascade training and complete required evaluation questionnaires as required.	30/09/2016
	Nominated members of steering groups contacted.	Steering group membership finalised.	10/06/2016
	Meeting re content of video package. Specialist teachers	Programme for video package agreed.	03/06/2016

	approached to take part in video.		
	Contract advertised for 'Learn from the Expert' video package.	Advertisements placed.	30/06/2016
	Dates of steering group meetings finalised.	Steering group members notified of meeting dates.	30/06/2016
<b>Quarter 2 July – September 2016</b>	Steering groups meet to feed back on 'Train the Trainer' materials and event design.	Written feedback on training materials and training days.	31/07/2016
	Meeting to agree final version of 'Train the Trainer' materials and event design.	Final version of 'Train the Trainer' materials and event design.	31/07/2016
	Contract awarded for video package.	Film company contracted.	31/07/2016
	Initial meeting with film company.	Filming programme and content agreed.	31/08/2016
	Development of Leadership training materials/event organisation. Steering group nominated & contacted.	Initial draft for approval by steering group.	31/08/2016
	Development of Ofsted training materials. Steering group nominated & contacted.	Initial draft for approval by steering group.	31/08/2016
	Meeting of training delivery team ('Train the Trainer' trainers training!)	Trainers supplied with event materials and programmes. Evaluations of training.	30/08/2016
	'Train the Trainer' sessions commence, September.	Minimum number sessions delivered in Quarter 2 = 8	30/09/2016
	Evaluation of training commences.	Evaluations from initial training events received by MMU team.	30/09/2016
	Filming of video package commences.	Minimum 20 video clips - 'Learn from the Expert' - completed and online by project end.	28/02/2017

	Leadership (& Ofsted?) steering groups meet to feed back on training materials.	Agreed content of training materials and training days.	30/09/2016
<b>Quarter 3 October – December 2016</b>	Train the Trainer' sessions continue.	Minimum number sessions delivered in Quarter 3 = 20	31/12/2016
	Webinar content agreed.	Primary/secondary teachers webinars x 4 Post 16 webinars x 2 Delivered and made available through principal sub-contractors' websites.	31/03/2017
	Mapping of online resources/design of web-pages commences.	Initial design of web-pages agreed.	31/12/2016
	Online training materials developed.	Online training materials made available through partners' websites.	31/12/2016
	Evaluation of 'Train the Trainer' events.	Report on analysis of data on the impact of the initial 'Train the Trainer' events.	31/12/2016
<b>Quarter 4 January – March 2017</b>	Online resources portal and menu of support completed, including 'Learn from the Expert' video package. Evaluations gathered from web site users.	Evaluations feed back into website design.	31/03/2017
	Train the Trainer' sessions completed.	DA: primary x 6; secondary x 4; post 16 x 5. Patoss: primary x 6; secondary x 4; post 16 x 5. HADC: primary x 6; secondary x 4; post 16 x 5.	31/03/2017
	Evaluation of cascaded training.	Report on the 3-monthly review of the overall impact of the cascaded training in schools and post 16 institutions.	31/03/2017
	Final version of Ofsted training materials agreed.	Materials sent to Ofsted	31/03/2017
	Evaluation completed.	8 written case studies. Written summary of stakeholder reactions to web pages evaluating	31/03/2017

		resources and support. Final evaluation report.	
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## **Schedule 6**

### **Change Control Procedure**

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

### **Change Control Note**

:

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

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

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

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

<b>To be entered by the Commercial department:</b>			
<b>Commercial Contact</b>		<b>Reference Number</b>	
<b>Date received</b>		<b>EC Reference</b>	



## Schedule 7

### Key Personnel and Key Sub Contractors

#### Key Personnel

The individuals listed in the table below are Key Personnel:

Name	Role	Period of Involvement
Dr Catherine Saunders	CEO, British Dyslexia Association	Full contract period
Mr Stephen Hall	CEO, Dyslexia Action	Full contract period
Ms Bernadette McLean	CEO, Helen Arkell Dyslexia Centre	Full contract period
Mrs Lynn Greenwold	CEO, Patoss	Full contract period
Mrs Eleanor Howes	General Manager, Dyspraxia Foundation	Full contract period
Mr Dominic Griffiths	Senior Lecturer and Co-Principal Investigator, Manchester Metropolitan University	Full contract period

#### Key Sub-Contractors

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

We will contract with sub-contractors to provide filming and web-design services. The value of these contracts is estimated to be [REDACTED] and [REDACTED] respectively.

Key Sub-Contractor Name and Address (if not the same as the registered office)	Registered Office and Company Number	Related Product/Service Description	Sub-contract Price expressed as a percentage of total projected Charges over Term	Role in delivery of the Services
Dyslexia Action	10 High Street, Egham, TW20 9EA 01179975	Train the Trainer events Online resources bank Video resource	15.4%	Development and delivery of TtT materials, events and webinars; development of online resources bank; development of video resource.
Helen Arkell Dyslexia Centre	Arkell Lane, Frensham, Farnham, GU10 3BL 3432423	Train the Trainer events Video resource	12.5%	Development and delivery of TtT materials and events; development of video resource.
PATOSS	South Worcesters hire College  Davies Road, Evesham, Worcs WR11 1LP 05280223	Train the Trainer events	12.0%	Development and delivery of TtT materials and events.
Dyspraxia Foundation	West Alley, Hitchin, Herts, SG5 1EG  Reg. charity no: 1058352	Train the Trainer events  Online resources bank	1.3%	Advice on dyspraxia component of TtT materials & online resources bank.
Manchester Metropolitan University	Lower Ormond Street, Manchester M15 6BH	Evaluation	2.7%	Evaluator
To be confirmed		'Learn from the Expert' video package.	Not greater than 2.7%	Video production and filming.
To be confirmed		Dyslexia support web pages	Not greater than 2.0%	Web design

## Schedule 8

### Data, Systems Handling and Security

#### Definitions

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

**“Malicious Software”**

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

**“Security Plan”**

the Contractor's security plan.

1. The DFE is the Data Controller and the Contractor is the Data Processor.
2. Both Parties may handle Personal Data and shall comply with their legal obligations under the DPA.
3. The Contractor shall notify the DFE as soon as it becomes aware of any actual or potential data incident or breach of its obligations under the DPA in relation to any Personal Data processed as a consequence of undertaking the Contract.
4. If the Contractor is processing Personal Data as a Data Processor for the DFE as a consequence of undertaking the Contract the Contractor shall:
  - 4.1 Process the Personal Data only to the extent and in such manner as is necessary for the provision of the Services or as is required by law or any Regulatory Body;
  - 4.2 Process the Personal Data only in accordance with instructions from the DFE (which may be specific instructions or instructions of a general nature as set out in the Contract or as otherwise notified by the DFE to the Contractor during the Term);
  - 4.3 implement appropriate technical and organisational measures to protect the Personal Data against unauthorised or unlawful processing and against accidental loss, destruction, damage, alteration or disclosure. These measures shall be appropriate to the harm which might result from any unauthorised or unlawful Processing, accidental loss, destruction or damage to the Personal Data and having regard to the nature of the Personal Data which is to be protected;
  - 4.4 take reasonable steps to ensure the reliability of any Personnel who have access to the Personal Data;
  - 4.5 obtain the DFE's prior written consent before transferring Personal Data to any Sub-Contractors or Associated Companies for the provision of the Services;
  - 4.6 ensure that all Personnel required to access the Personal Data are informed of the confidential nature of the Personal Data and comply with the obligations set out in this paragraph 4;
  - 4.7 ensure that no Personnel publish or disclose any Personal Data to any third party unless directed in writing to do so by the DFE;
  - 4.8 notify the DFE within 2 Business Days if it receives:
    - 4.8.1 a request from a Data Subject to have access to that person's Personal Data; or
    - 4.8.2 a complaint or request relating to the DFE's obligations under the DPA;
  - 4.9 provide the DFE with full cooperation and assistance in relation to any complaint or request made, including by:

- 4.9.1 providing the DFE with full details of the complaint or request;
    - 4.9.2 complying with a data access request within the relevant timescales set out in the DPA and in accordance with the DFE's instructions;
    - 4.9.3 providing the DFE with any Personal Data it holds in relation to a Data Subject (within the timescales required by the DFE); and
    - 4.9.4 providing the DFE with any information requested by the DFE;
  - 4.10 permit the DFE or any duly authorised representative of the DFE (subject to reasonable and appropriate confidentiality undertakings), to inspect and audit the Contractor's data processing activities (and/or those of its agents, subsidiaries and Sub-Contractors) and comply with all reasonable requests or directions by the DFE to enable the DFE to verify and/or procure that the Contractor is in full compliance with its data protection obligations under the Contract;
  - 4.11 provide a written description of the technical and organisational methods employed by the Contractor for processing Personal Data (within the timescales required by the DFE); and
  - 4.12 subject to paragraph 5, not Process or otherwise transfer any Personal Data outside the EEA.
5. If, after the Effective Date, the Contractor (or any Sub-Contractor) wishes to Process and/or transfer any Personal Data outside the EEA the Contractor shall:
- 5.1 submit a request for a Variation to the DFE which shall be dealt with in accordance with the Change Control Procedure;
  - 5.2 set out in its request for a Variation:
    - 5.2.1 the Personal Data which will be Processed and/or transferred outside the EEA;
    - 5.2.2 the country or countries in which the Personal Data will be Processed and/or to which the Personal Data will be transferred outside the EEA;
    - 5.2.3 any Sub-Contractors or other third parties who will be Processing and/or transferring Personal Data outside the EEA; and
    - 5.2.4 how the Contractor will adequately protect (in accordance with the DPA and in particular so as to ensure the DFE's compliance with the DPA) Personal Data to be Processed and/or transferred outside the EEA.
6. If evaluating the request for a Variation pursuant to paragraph 5:
- 6.1 the Parties shall consider current policies and guidance of the DFE, Government and the Information Commissioner's Office and any approvals processes in connection with, the Processing and/or transfers of Personal Data outside the EEA and/or overseas generally; and
  - 6.2 the Contractor shall comply with any instructions which the DFE may notify in writing.
7. Insofar as the Contractor processes Personal Data for its own administrative purposes, whilst undertaking the Contract the Contractor shall comply at all times with the DPA and shall not perform its obligations under the Contract in such a way as to cause the DFE to breach any of its obligations under the DPA.

8. The Contractor shall:
  - 8.1 employ appropriate organisational, operational and technological processes and procedures to keep DFE Data safe from unauthorised use or access, loss, destruction, theft or disclosure which comply with ISO/IEC 27001 as appropriate to the Services;
  - 8.2 not delete or remove any proprietary notices contained within or relating to DFE Data;
  - 8.3 preserve the integrity of DFE Data and prevent the corruption or loss of DFE Data;
  - 8.4 ensure that any files containing DFE Data are stored on the Contractor's secure servers and/or secured Contractor ICT Equipment;
  - 8.5 ensure that DFE Data relating to the Contract is segregated from other data on its IT systems so that DFE Data can be securely deleted if required;
  - 8.6 not keep DFE Data on any Contractor ICT Equipment unless it is protected by being fully encrypted and password protected and its use is necessary for the provision of the Services;
  - 8.7 ensure that any hard copy is destroyed by cross-cut shredding and secure recycling of the resulting paper waste;
  - 8.8 perform secure back-ups of all DFE Data and ensure that up-to-date back-ups are stored off-site. The Contractor shall ensure that such back-ups are available to the DFE at all times upon request;
  - 8.9 not store or host DFE Data outside the United Kingdom or perform any ICT management or support without the DFE's prior written consent;
  - 8.10 ensure that any DFE Data sent to any third party is:
    - 8.10.1 sent by CD or DVD;
    - 8.10.2 fully encrypted and password protected, with the password for files sent separately from the data;
    - 8.10.3 carried by a secure courier or registered postal service (special delivery) and not by e-mail or on USB pens.
9. If DFE Data is held and/or processed by the Contractor, the Contractor shall supply DFE Data to the DFE as requested and in the format specified by the DFE.
10. If DFE Data is corrupted, lost or sufficiently degraded as a result of the Contractor's Default so as to be unusable, the DFE may:
  - 10.1 require the Contractor at the Contractor's expense to restore or procure the restoration of DFEs Data as soon as practicable; and/or
  - 10.2 itself restore or procure the restoration of DFE Data and may invoice the Contractor for any reasonable expenses incurred in doing so.
11. If at any time the Contractor suspects or has reason to believe that DFE Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, the Contractor shall notify the DFE immediately and inform the DFE of the remedial action the Contractor proposes to take.
12. The Contractor shall comply, and shall procure that Personnel comply, with DFE's Security Standards as set out in the annexe to this schedule 8 and the Security Plan.

13. The Contractor shall ensure that the Security Plan fully complies with the DFE Security Standards.
14. The DFE shall notify the Contractor of any changes to the DFE Security Standards.
15. If the Contractor believes that a change to the DFE Security Standards will have a material and unavoidable effect on its costs it may submit a request for a Variation in accordance with the Change Control Procedure. Any request must include evidence of the cause of any increased costs and the steps it has taken to mitigate those costs.
16. Until a Variation is agreed pursuant to paragraph 15 the Contractor shall continue to perform the Services in accordance with its existing obligations.
17. The Contractor shall use the latest versions of anti-virus definitions available to check for and delete Malicious Software from the Contractor's ICT.
18. Notwithstanding paragraph 17, if Malicious Software is found, the Parties shall co-operate to reduce the effect of the Malicious Software and, particularly if Malicious Software causes loss of operational efficiency or loss or corruption DFE Data, assist each other to mitigate any losses and to restore the Services to their maximum operating efficiency.
19. Any cost arising out of the actions of the Parties taken in compliance with paragraph 18 shall be borne:
  - 19.1 by the Contractor if the Malicious Software originates from the Contractor's software, any software owned by a third party or DFE Data whilst under the control of the Contractor; and
  - 19.2 by the DFE if the Malicious Software originates from the DFE's software or DFE Data whilst under the control of the DFE.

## **ANNEXE to Schedule 8**

### **DFE SECURITY STANDARDS**

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



that the delivery of the Contract is not adversely affected if there is an incident.

11. Any non-compliance with DFE Security Standards, or any suspected or actual breach of the confidentiality or integrity of DFE Data being handled in the course of providing the Services, shall be immediately escalated to the DFE.
12. The Contractor shall ensure that any systems and hosting environments that are used to hold DFE Data being handled, stored or processed in the course of providing the Services are subject to IT Security Health Checks at least annually. The Contractor shall inform the DFE if there are any results of IT Security Health Checks which are relevant to the Service and shall promptly complete any necessary remedial work which is identified.
13. The Contractor shall keep an audit trail of where the DFE's Data is held, including all ICT. The DFE may audit the Contractor with 24 hours' notice in respect of the Contractor's compliance with this schedule 8.

**Schedule 9**

**Commercially Sensitive Information**

**Schedule 10**

**The Contractor's Solution**