



Department  
for Education

**CONTRACT FOR 'Evaluation of the Behaviour Hubs Programme'  
PROJECT REFERENCE NO: DFE/RPPU/2019007**

This Contract is dated 27<sup>th</sup> May 2021

**Parties**

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

**Recitals**

The Contractor has agreed to undertake the Project on the terms and conditions set out in this Contract. The Department's reference number for this Contract is **DFE/RPPU/2019007**.

**Commencement and Continuation**

The Contractor shall commence the Project on the date the Contract was signed by the Department (as above) and, subject to Schedule Three, Clause 10.1 shall complete the Project on or before **30<sup>th</sup> June 2025**.

**Contents**

Interpretations

Schedule One

Schedule Two

Schedule Three

Schedule Four

**Signatories page 61**

# 1. Interpretation

## 1.1 In this Contract the following words shall mean:-

"the Project"	the project to be performed by the Contractor as described in Schedule One;
"the Project Manager"	██████████ DfE, 1st Floor, 2 St Paul's Place, 125 Norfolk St, Sheffield, S1 2FJ
"the Contractor's Project Manager"	██████████, Albert House Quay Place 92-93, Edward Street, Birmingham B1 2RA
"the Act and the Regulations"	means the Copyright Designs and Patents Act 1988 and the Copyright and Rights in Databases Regulations 1997;
"Affiliate"	in relation to a body corporate, any other entity which directly or indirectly Controls, is Controlled by, or is under direct or indirect common Control with, that body corporate from time to time;
"BPSS" "Baseline Personnel Security Standard"	a level of security clearance described as pre-employment checks in the National Vetting Policy. Further Information can be found at: <a href="https://www.gov.uk/government/publications/government-baseline-personnel-security-standard">https://www.gov.uk/government/publications/government-baseline-personnel-security-standard</a> ;
"CC" "Common Criteria"	the Common Criteria scheme provides assurance that a developer's claims about the security features of their product are valid and have been independently tested against recognised criteria;
"CCP" "Certified Professional"	is a NCSC scheme in consultation with government, industry and academia to address growing need for specialists in the cyber security profession and building a community of recognised professionals in both the UK public and private sectors. See website: <a href="https://www.ncsc.gov.uk/scheme/certified-professional">https://www.ncsc.gov.uk/scheme/certified-professional</a> ;
"CCSC" "Certified Cyber Security Consultancy"	is NCSC's approach to assessing the services provided by consultancies and confirming that they meet NCSC's standards. This approach builds on the strength of CLAS and certifies the competence of suppliers to deliver a wide and complex range of cyber security consultancy services to both the public and private sectors. See website: <a href="https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy">https://www.ncsc.gov.uk/scheme/certified-cyber-consultancy</a> ;
"Commercially Sensitive Information"	information of a commercially sensitive nature relating to the Contractor, its IPR or its business or which the Contractor has indicated to the Department that, if disclosed by the Department, would cause the Contractor significant commercial disadvantage or material financial loss;

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

	below points to one of these providers <a href="https://www.iasme.co.uk/apply-for-self-assessment/">https://www.iasme.co.uk/apply-for-self-assessment/</a> ;
"Data"	means all data, information, text, drawings, diagrams, images or sound embodied in any electronic or tangible medium, and which are supplied or in respect of which access is granted to the Contractor by the Department pursuant to this Contract, or which the Contractor is required to generate under this Contract;
"Data Loss Event"	any event that results, or may result, in unauthorised access to Personal Data held by the Contractor under this Contract, and/or actual or potential loss and/or destruction of Personal Data in breach of this Contract, including any Personal Data Breach;
"Data Protection Impact Assessment"	an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data;
"Data Protection Legislation"	(i) the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the DPA 2018 [subject to Royal Assent] to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy;
"Data Protection Officer"	take the meaning given in the GDPR;
"Data Subject"	take the meaning given in the GDPR;
"Data Subject Access Request"	a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation to access their Personal Data;
"Department Confidential Information"	all Personal Data and any information, however it is conveyed, that relates to the business, affairs, developments, trade secrets, know-how, personnel, and suppliers of the Department, including all IPRs, together with all information derived from any of the above, and any other information clearly designated as being confidential (whether or not it is marked "confidential") or which ought reasonably be considered to be confidential;
"Department's Data"	is any data or information owned or retained
"Department's Information"	in order to meet departmental business objectives and tasks, including:  (a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are:  (i) supplied to the Contractor by or on behalf of the Department; or  (ii) which the Contractor is required to generate, process, store or transmit pursuant

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

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

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



- "HMG Security Policy Framework" describes the expectations of the Cabinet Secretary and Government's Official Committee on Security on how HMG organisations and third parties handling HMG information and other assets will apply protective security to ensure HMG can function effectively, efficiently and securely.  
<https://www.gov.uk/government/publications/security-policy-framework>;
- "Staff Vetting Procedures" the Department's procedures and departmental policies for the vetting of personnel whose role will involve the handling of information of a sensitive or confidential nature or the handling of information which is subject to any relevant security measures, including, but not limited to, the provisions of the Official Secrets Act 1911 to 1989;
- "Sub-Contractor" the third party with whom the Contractor enters into a Sub-contract or its servants or agents and any third party with whom that third party enters into a Sub-contract or its servants or agents;
- "Sub-processor" any third Party appointed to process Personal Data on behalf of the Contractor related to this Contract;
- "Third Party Software" software which is proprietary to any third party [other than an Affiliate of the Contractor] which is or will be used by the Contractor for the purposes of providing the Services, and
- "Work" means any and all works including but not limited to literary, dramatic, musical or artistic works, sound recordings, films, broadcasts or cable programmes, typographical arrangements and designs (as the same are defined in the Act) which are created from time to time during the course of this Contract by the Contractor or by or together with others at the Contractor's request or on its behalf and where such works directly relate to or are created in respect of the performance of this Contract or any part of it;
- "Working Day" any day other than a Saturday, Sunday or public holiday in England and Wales.
- 1.2 References to "Contract" mean this contract (and include the Schedules). References to "Clauses" and "Schedules" mean clauses of and schedules to this Contract. The provisions of the Schedules shall be binding on the parties as if set out in full in this Contract.
- 1.3 Reference to the singular include the plural and vice versa and references to any gender include both genders. References to a person include any individual, firm, unincorporated association or body corporate.



**SCHEDULE ONE****1 BACKGROUND**

The £10m behaviour hubs programme<sup>1</sup> will begin in Spring 2021 and run for three years. It is a government-led, school-based programme which aims to improve pupil behaviour and behaviour practices in at least 500 schools by enabling schools and multi academy trusts (MATs) with exemplary behaviour to work in close partnership with those that need and want to improve, alongside a central offer of support and a taskforce of behaviour advisers.

The strategic aim of the behaviour hubs programme<sup>2</sup> is to improve behaviour cultures and practices in schools:

- In the short term we expect to measure progress against implementation and participation in the programme and consistently applied and understood behaviour policies in schools.
- In the medium term we expect to see improved school behaviour cultures and staff confidence and fewer incidents of disruption, truancy, bullying and suspensions.
- In the long term we expect the programme to have a wider impact on pupil attainment and outcomes, pupil and staff wellbeing, staff recruitment and retention, and contribute to improved Ofsted judgements, in particular for 'behaviour and attitudes'.

The behaviour hubs programme will enable exemplary mainstream, special and AP schools ('lead schools') and MATs to work closely with schools and MATs that need and want to turn around their behaviour management culture and practices ('partner schools'). Lead schools, partner schools and MATs will work together to form "hubs". The programme is centred around equipping senior leaders (school headteachers, deputy heads and executive teams at Multi-Academy Trusts) with the tools to improve their school's approach to behaviour management through facilitated peer-training.

The DfE is commissioning this process, outcomes and impact evaluation, built around a theory of change to assess the effectiveness of the programme, be a catalyst for continuous improvement during the programme and contribute evidence to support wider uptake of approaches to improve behaviour and support discipline in schools.

The programme is not experimental: it starts with a policy framework, funding model, targeting and selection criteria for schools, and a 'theory of change' local model with explicit assumptions about causal mechanisms to be tested and refined through the evaluation.

Activation of the support provided through the Behaviour Hubs Programme depends on how schools interpret and embed the programme locally, and the levers and mechanisms at their disposal. The evaluation therefore requires a more granular understanding of how outcomes are achieved and change mechanisms, with attention to school contexts, and the role of school leaders, teachers, pupils and families as agents of change.

<sup>1</sup> <https://www.gov.uk/guidance/behaviour-hubs>

<sup>2</sup> See figure 1: logic model

## 2 AIM

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

- assess the effectiveness of the programme in achieving its strategic aim to improve behaviour and behaviour practices in schools, achieving benefits for schools, workforce and pupils
- provide timely insights on what works (or not) and why, and
- deliver evidence on the contributory role of mechanisms, conditions and components underpinning any outcomes and impacts achieved.

## 3 OBJECTIVES (\*research questions and theory of change see invitation to tender)

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

- assess whether the programme is effective in meeting strategic aims, objectives and expected outcomes and impacts
- assess, test and refine the programme logic model to understand why the intervention has worked (or not), what the change mechanisms linking activities to outcomes are, and how they vary across school and pupil contexts.
- evidence the outcomes and emerging / potential for impact for schools, teachers, pupils, including use of bespoke data collection
- assess impact for pupils, teachers and schools, relative to matched-comparison groups using secondary analysis of administrative data
- capture formative learning and real-time insights to understand operational and contextual challenges / successes, and ways to exploit or overcome these
- provide feedback to the department to inform delivery of the programme and dissemination of learning across and outside the programme
- explore and evidence (actual and reported) costs, benefits and sustainability, to explain whether (and which parts of) the programme represents good value for money, and under what conditions.

## 4 METHODOLOGY

The evaluation has adopted a hybrid design to address the aims and key research questions, while attending to the inherent complexity of the programme, and ensuring that the evaluation includes a strong formative element to support continuous learning and development. The evaluation encompasses the following methods package.

**Process evaluation to deliver strong formative elements to inform and support continuous improvement of policy and practice based on emerging evidence, and deliver inputs to the theory-based evaluation.** This is comprised of the following elements:

- **Desk research and semi-structured interviews with stakeholders:** to inform understanding of design and aims of the programme, inform the evaluation framework, purposive sampling and research tools.
- **Secondary analysis of monitoring information,** initial review in first term and secondary analysis of project MI data at the end of each programme year: to monitor and assess school typologies and progress against targets and engagement and support sampling methods throughout the evaluation. This will provide a detailed view of engagement with the programme, characteristics of the participating schools (e.g., whether lead or partner, in/outside MAT), type and level of participation and engagement in the programme and action plan monitoring.
- **Semi-structured interviews with lead schools in year 1:** to assess overall programme effectiveness, test the logic model and evidence outcomes across stakeholders, linking

with process evaluation elements to support real-time learning and establish longer-term change.

- **Lead school pulse surveys (once in Yr1, then 2 x per year):** a flexible approach to deliver real-time insights on operational learning.
- **Longitudinal surveys with partner schools and MATS:** to provide school level diagnostic and follow-up data to inform action planning and deliver longitudinal data to assess initial perceptions, implementation and activities, key outcomes and both intended and unintended consequences, testing of the theory of change and typology differences.
- **Longitudinal case studies,** 15 longitudinal case studies, each with 1 lead school and 2 partner schools across 3 cohorts (indicatively cohort 1, 4 and 7). Case studies will include 2 or 3 waves of fieldwork at approximately 3, 12 and 15 months after engagement with the programme. Fieldwork will comprise interviews, focus groups and utilise participatory tools: to capture operational learning, assess overall programme effectiveness and test the theory of change.

**Theory-based evaluation, with data collection above serving as the input, to include:**

- **Contribution Analysis to explore generative causative approaches:** to assess the overall effectiveness of the Behaviour Hubs programme in achieving the intended strategic policy aims and provide insights on how or whether the programme contributed towards the outcomes of interest, with reference to alternative plausible explanations. Designed for complex and dynamic interventions with multiple elements, CA addresses causality by examining the contribution that a given programme is making towards the intended outcomes, starting with a theory of change. Rather than setting out to isolate the effects of a single intervention, CA will be used to build a performance story; drawing upon the available evidence to consider how or whether the intervention, alongside other factors, contributed towards the observed outcomes.
- **Qualitative comparative analysis (QCA), configurative case-based approaches:** to assess the effectiveness of implementation, and to understand what works, for whom, and under what conditions, through a systematic comparison of outcomes achieved. QCA will be used to understand the relative contribution of different sets of factors (or conditions) towards the programme outcomes. It will draw on both qualitative and quantitative data to explore the relationships (rather than correlations) between factors or conditions that are present in cases observed within a programme.

Applied within the evaluation, it will support the identification of:

- a) conditions that are systematically present in schools that achieve the desired behavioural outcomes, distinguishing them from schools that do not
- b) the role of individual conditions within the 'casual recipe', including whether they are necessary or sufficient to achieving the outcomes of interest
- c) different combinations of causal conditions capable of generating the same outcome
- d) similar combinations of causal conditions capable of generating different outcomes.

**Counterfactual impact evaluation and analysis of VFM:**

- **Counterfactual Impact Evaluation (CIE):** to provide quantifiable estimates of impact, expressed as the (net) additional outcomes achieved by the programme over and above the outcomes that would have been possible in the absence of intervention through other means available to the partner schools.
- **Cost-benefit analysis:** to deliver a comprehensive and reliable VfM assessment, with sub-group disaggregation.

## 5 TASKS

The work programme is organised around 5 main strands of activity in addition to project management:

**Strand 1:** Project initiation and desk research

**Strand 2:** Process evaluation

**Strand 3:** Theory-based impact evaluation

**Strand 4:** Counterfactual impact evaluation and analysis of VFM

**Strand 5:** Analysis and reporting

**Strand 6:** Project management

**Table 1:** Summary of which strand of activity inputs to each objective

Objectives	Strand 1	Strand 2	Strand 3	Strand 4	Strand 5
• assess whether the programme is effective in meeting strategic aims, objectives and expected outcomes and impacts	X	X	X	X	X
• assess, test and refine the programme logic model to understand why the intervention has worked (or not), what the change mechanisms linking activities to outcomes are, and how they vary across school and pupil contexts.	X	X	X		X
• assess impact for pupils, teachers and schools, relative to matched-comparison groups using secondary analysis of administrative data				X	X
• capture formative learning and real-time insights to understand operational and contextual challenges / successes, and ways to exploit or overcome these	X	X	X		X
• provide feedback to the department to inform delivery of the programme and dissemination of learning across and outside the programme		X	X	X	X
• evidence the outcomes and emerging / potential for impact for schools, teachers, pupils, including use of bespoke data collection		X	X		X
• explore and evidence (actual and reported) costs, benefits and sustainability, to explain whether (and which parts of) the programme represents good value for money, and under what conditions.		X		X	X

**Table 2:** Summary of activity, deliverables and delivery dates.

Strand & workstream	Activity	No	Deliverable	Date completed (end of specified month)
<b>1 Project initiation and desk research</b>				
<b>1.1 Familiarisation</b>	Familiarisation and set-up of the evaluation	1.	Attend inception meeting and produce inception report and workplan	June 2021
	Development of communication products to ensure stakeholders have a clear understanding of what the evaluation will deliver and the asks / opportunities to contribute ( Email and slides with voice over for a) overarching evaluation, and b) gathering contact details and survey).	2.	Development of communication products (2 briefing sheets) Review / input to communications for MATs and schools referencing the evaluation	June 2021
	Stakeholder interviews with DfE policy delivery colleagues and behaviour advisers.	3.	Topic guide and delivery of up to 6 stakeholder interviews	June 2021
	Development of an overarching evaluation framework to underpin and guide all evaluation tools, analysis and reporting activities and ensure a systematic synthesis of all data captured to achieve the overall evaluation aims and objectives. The framework will include a comprehensive set of research questions, covering all aspects of the evaluation, and include an indicator bank as to the primary and secondary sources, and timing (what will be available when).	4.	Evaluation framework and indicator bank mapped to primary and secondary sources	June 2021
<b>1.2 Desk research</b>	Document review to include: programme level materials, recruitment and induction guidance, processes and programme tools, induction and training materials and templates. Review and input to MI collection tool.	5.	To inform evaluation framework and design of research tools	June 2021

	<p>Desk research and groundwork to identify and develop core measures for behaviour and associated outcomes and impacts in the logic model / the indicator bank, to include:</p> <ul style="list-style-type: none"> <li>• review of existing tools and metrics for measuring behaviour, and key measures in theory of change</li> <li>• identifying gaps and how these can be met</li> <li>• review of school recording / tracking systems – inc. call for examples from lead schools and behaviour advisers</li> <li>• test and refine core questions / metrics</li> <li>• recommend a set of core measures / questions to be used across the evaluation</li> </ul>	6.	<p>Paper on behaviour indicators and survey questions, with recommendations</p> <ul style="list-style-type: none"> <li>• Draft to be used to engage / consult with behaviour advisers (and potentially lead schools)</li> </ul>	June 2021
	<p>Secondary analysis of MI - initial review in first term and secondary analysis of project MI data at the end of each programme year (April 2022, April 2023 and April 2024): to monitor and assess school typologies and progress against targets and engagement and support sampling methods throughout the evaluation.</p>	7.	<p>Secondary analysis of MI data (see outputs section – informing reporting in steering group slide decks, interim and final report)</p>	Ongoing, activity delivered in each year of delivery
<b>2 Process evaluation</b>	<p>*For surveys - please see table 3 - survey sample sizes, response rates and effect sizes</p> <p>**For longitudinal case studies - please see table 4 - numbers per respondent group, by cohort and for all</p>			
<b>2.1 Lead MAT / school CATI - cohorts</b>	<p>Develop research tools and conduct CATI phone interviews with ALL lead schools recruited in Year 1 of the delivery of the programme (April 2021 to July 2022). Lead schools will be invited to identify 1-2 leaders to take part in a telephone interview approx. 25-40minutes (approx. 20 lead schools, equivalent to 30 interviews)</p>	8.	<p>Privacy notice – draft and final</p> <p>Topic guide – draft and final</p>	Sept 2021

	Delivery of CATI interviews to include: <ul style="list-style-type: none"> <li>• Communication to set-up interviews – process to include comms to first point of contact with intro and privacy notice, request contact details and school confirm individuals have agreed to these being shared</li> <li>• Send invites, reminders and arrange interviews on date and time to suit respondents, and</li> <li>• delivery of interviews</li> </ul>	9.	Deliver up to 30 interviews with leaders from lead schools (see outputs section)	Nov 2021
<b>2.2 Lead MAT / school pulse survey - cohorts</b>	Develop research tools, pilot and refine tools, delivery and analysis of 7 pulse surveys with all recruited lead schools / MATs (see table 3 below). Survey length approx. 5-8 mins.	10.	Pulse survey 1	No later than Mar 2022
		11.	Pulse survey 2	No later than Sep 2022
		12.	Pulse survey 3	No later than Mar 2023
		13.	Pulse survey 4	No later than Sep 2023
		14.	Pulse survey 5	No later than Mar 2024
		15.	Pulse survey 6	No later than Sep 2024
		16.	Pulse survey 7	No later than Nov 2024
<b>2.3 Partner MAT / school workforce baseline survey – all cohorts</b>	Develop research tool, pilot and refine tools, delivery, analysis of baseline survey with ALL cohorts (up to 9 cohorts commencing between April 2021 and January 2024), analysis, topline summary for each school of school-level diagnostic (where numbers above minimum to provide anonymity).	17.	Develop baseline partner survey tool to be agreed with DfE, including consent and privacy notice <ul style="list-style-type: none"> <li>• Part A – school level diagnostic</li> <li>• Part B – individual level understanding, anticipated outcomes and concerns, programme experience and baseline</li> </ul> Informed by desk research and iterative testing and development with input from lead schools, behaviour advisers and DfE Test and pilot survey	No later than August 2021
	Delivery of partner school workforce baseline survey to include: <ul style="list-style-type: none"> <li>• Revisions / update to survey for successive cohorts (if required)</li> </ul>	18.	Cohort 1 by no later than	Sept 2021
		19.	Cohort 2 by no later than	Oct 2021
		20.	Cohort 3 by no later than	Feb 2022
		21.	Cohort 4 by no later than	May 2022



	<ul style="list-style-type: none"> <li>Initial communication with first point of contact providing intro to the evaluation and information about the survey, info for staff and privacy notice</li> <li>School contact to collect agreement from staff to share contact details and then submit these via secure portal (set up by the evaluator)</li> <li>Invitations to participate in the survey sent directly to staff members, plus up to 2 reminders (teachers must have the option to unsubscribe / be taken off the contact list)</li> <li>Delivery of the survey</li> <li>Part A – school level topline summary to be shared with each school (where response rate and numbers allow) - Please see outputs section and reporting of this data</li> </ul>	22.	Cohort 5 by no later than	Oct 2022
		23.	Cohort 6 by no later than	Feb 2023
		24.	Cohort 7 by no later than	May 2023
		25.	Cohort 8 by no later than	Oct 2023
		26.	Cohort 9 by no later than	Feb 2024
<b>2.4 Partner MAT / school workforce follow-up survey – all cohorts</b>	Develop research tool, pilot and refine tools, delivery and analysis of follow-up (after 10- 12-month) survey with ALL cohorts (up to 9 cohorts completing the programme between March 2022 and December2024), analysis and topline summary for each school (where numbers above minimum to provide anonymity)	27.	Develop follow-up partner survey tool to be agreed with DfE, including consent and privacy notice <ul style="list-style-type: none"> <li>Part A – school level audit / diagnostic</li> <li>Part B – individual level understanding, anticipated outcomes and concerns, programme experience and tracker qns from baseline</li> </ul> Test and pilot survey	Jan 2022
	Delivery of partner school workforce follow-up survey to include: <ul style="list-style-type: none"> <li>Revisions / update to survey for successive cohorts (if required)</li> <li>Communication with first point of contact providing information about the follow-up survey, info for staff and privacy notice</li> </ul>	28.	Cohort 1 by no later than	Mar 2022
		29.	Cohort 2 by no later than	July 2022
		30.	Cohort 3 indicatively	Dec 2022
		31.	Cohort 4 by no later than	Mar 2023

	<ul style="list-style-type: none"> <li>School contact to confirm staff list the same and if changes to collect agreement from staff to share contact details and then submit updated contact list via secure portal (set up by the evaluator)</li> <li>Invitations to participate in the survey sent directly to staff members, plus up to 2 reminders (teachers must have the option to unsubscribe / be taken off the contact list)</li> <li>Delivery of the survey</li> <li>Part A – school level topline summary to be shared with each school (where response rate and numbers allow) Please see outputs section and reporting of this data</li> </ul> <p>Every effort will be made to deliver the summary / output during the last term the schools are part of the programme (and being supported) so this can inform planning for sustainability.</p>	32.	Cohort 5 by no later than	July 2023
		33.	Cohort 6 indicatively	Dec 2023
		34.	Cohort 7 by no later than	Mar 2024
		35.	Cohort 8 by no later than	July 2024
		36.	Cohort 9 by no later than	Dec 2024
<b>2.5 Partner MAT / school secondary pupil baseline survey – all cohorts</b>	<p>Develop research tool for secondary pupils, pilot and refine tools, comms for schools to support delivery, QA and analysis of baseline survey with 9 cohorts and access to summary for each school (where numbers above minimum to provide anonymity)</p> <ul style="list-style-type: none"> <li>Inc. Review and comment on subsequent versions for other groups – parents and younger pupils (developed by DfE)</li> </ul>	37.	Design baseline survey tool for pupils to be administered by all secondary partner schools – to be agreed with DfE, including consent and privacy notice	No later than August 2021
	<p>Support the administration of the baseline pupil survey in partner schools for 9 cohorts</p> <ul style="list-style-type: none"> <li>Develop comms and guidance for schools to administer the survey effectively</li> <li>School confirms info and privacy notice has been read by pupils and parents have confirmed consent for pupil to participate</li> </ul>	38.	Cohort 1 by no later than	Sept 2021
		39.	Cohort 2 by no later than	Oct 2021
		40.	Cohort 3 by no later than	Feb 2022
		41.	Cohort 4 by no later than	May 2022
		42.	Cohort 5 by no later than	Oct 2022
		43.	Cohort 6 by no later than	Feb 2023
		44.	Cohort 7 by no later than	May 2023
		45.	Cohort 8 by no later than	Oct 2023

	<ul style="list-style-type: none"> <li>• Provide a unique copy / link to each school (if / when school confirms that necessary reassurances are in place)</li> <li>• Enable each partner secondary school to administer and deliver the baseline survey to pupils (up to 3 cohorts per year and 9 cohorts total)</li> <li>• Provide school level topline summary from pupils survey to be shared with each school (where response rate and numbers allow). Please see outputs section and reporting of this data for the wider evaluation</li> </ul>	46.	Cohort 9 by no later than	Feb 2024
<b>2.6 Partner MAT / school secondary pupil follow-up survey – all cohorts</b>	Develop research tool, pilot and refine tools, comms for schools to support delivery, QA and analysis of follow-up survey with 9 cohorts and access to summary for each school (where numbers above minimum to provide anonymity)	47.	Design follow-up survey tool for pupils to be administered by all secondary partner schools – to be agreed with DfE, including consent and privacy notice	Jan 2022
	<p>Support the administration of the follow-up pupil survey in partner schools for 9 cohorts</p> <ul style="list-style-type: none"> <li>• Develop comms and guidance for schools to administer the survey effectively</li> <li>• Provide a unique copy / link to each school (if / when school confirms that necessary reassurances are in place)</li> <li>• Enable each partner secondary school to administer and deliver follow-up survey to pupils (up to 3 cohorts per year and 9 cohorts total)</li> <li>• Provide school level topline summary from pupils to be shared with each school (where response rate and numbers allow). Please see outputs section and reporting of this data for the wider evaluation</li> </ul> <p>Every effort will be made to deliver the summary / output during the last term the schools are part of the programme (and being supported) so this can inform planning for sustainability.</p>	48.	Cohort 1 by no later than	Mar 2022
		49.	Cohort 2 by no later than	July 2022
		50.	Cohort 3 indicatively	Dec 2022
		51.	Cohort 4 by no later than	Mar 2023
		52.	Cohort 5 by no later than	July 2023
		53.	Cohort 6 indicatively	Dec 2023
		54.	Cohort 7 by no later than	Mar 2024
		55.	Cohort 8 by no later than	July 2024
		56.	Cohort 9 by no later than	Dec 2024

<b>Longitudinal Case studies – 3 cohorts</b>	Develop and refine set of research tools for interviews and focus groups with leaders, teachers, teaching assistants, parents and pupils at each wave	57.	Design set of research tools (refined for subsequent waves), including consent and privacy notice	Sept 2021
**For longitudinal case studies - please see table -numbers per respondent group, by cohort and for all	<p>Deliver 15 longitudinal case studies, 15 lead schools / MATs and 30 partner schools / MATs:</p> <ul style="list-style-type: none"> <li>Conduct case study visits at 3 waves with 2 cohorts</li> <li>Conduct case study visits at 2 waves with 1 cohort</li> </ul> <p>Desk research to inform visit e.g. review of action plans, audit tool and school level monitoring, local admin data</p> <p>These evaluative case studies will include interviews with staff, indicatively senior leaders, teachers, teaching assistants, SENCOs and staff with welfare/pastoral roles, including:</p> <ul style="list-style-type: none"> <li>Light-touch telephone interviews, once support has been in place for 3 months</li> <li>In-depth in-person interviews / focus groups, at the end of the first year of support. The mid-point will also include interviews and / or focus groups with pupils and parents / carers, and schools will be asked to help make the arrangements for this. Where possible, focus groups will be used to maximise reach / opportunity to capture pupil and parent voice.</li> <li>Light-touch telephone interviews, around 15 months after support began (or at least 3 months since the in-depth interviews).</li> </ul>	58.	Cohort 1 - wave 1 by no later than	Oct 2021
		59.	Cohort 1 - wave 2 by no later than	May 2022
		60.	Cohort 1 - wave 3 by no later than	Sept 2022
		61.	Cohort 4 - wave 1 by no later than	July 2022
		62.	Cohort 4 - wave 2 by no later than	May 2023
		63.	Cohort 4 - wave 3 by no later than	Sept 2023
		64.	Cohort 7 - wave 1 by no later than	July 2023
		65.	Cohort 7 - wave 2 by no later than	May 2024
<b>3 Theory based impact evaluation</b>				
	Draft and agreement of CA and QCA frameworks	66.	CA and QCA frameworks, draft and final	Mar 2022
	Delivery of CA and QCA	67.	Delivery of CA and QCA - input to steering group slide, decks, interim and final reports	Ongoing – Mar 2022, 23, 24 Jan 25

<b>4 Counterfactual impact evaluation</b>				
	<p>Preliminary analysis of outcomes and development of a theoretical framework.</p> <p>Delivery of a feasibility paper on counterfactual impact evaluation and VFM:</p> <ul style="list-style-type: none"> <li>• review measures, sources and approach,</li> <li>• review options for matched comparison group</li> <li>• recommendations and rationale.</li> </ul> <p>To be agreed with DfE – final version to inform technical annex of final report.</p>	68.	Feasibility paper and recommendations on CIE and VFM approach, sources, measures and comparison groups	Mar 2022
	Application for data for feasibility or delivery	69.	Submit data requests	Mar 2022
	<b>Conduct impact evaluation</b> , including Descriptive statistics, impact modelling, robustness and sensitivity checks	70.	Delivery of counterfactual impact evaluation and input to the draft / final report, including technical annex	Jan 2025
	<b>Delivery of VFM analysis</b> - based on government guidance including the National Audit Office's '4E's' and HM Treasury's Green Book, a cost-benefit analysis (CBA) will be employed to deliver a comprehensive and reliable Vfm assessment, with sub-group disaggregation.	71.	Delivery of VFM analysis and input to the draft / final report, including technical annex	Jan 2025
<b>5 Analysis and reporting</b>	***Please see - notes on sub-group analysis and reporting			
	<p>Analysis and synthesis of qualitative data – inputs to:</p> <ul style="list-style-type: none"> <li>• emerging findings updates,</li> <li>• steering group slide-deck,</li> <li>• operational learning webinar / slide-deck,</li> <li>• interim report,</li> <li>• final report and presentation</li> </ul>	72.	Analysis and synthesis of qualitative data collection from cohorts 1-3 in 2021/22	Up to 50 % Sep 21 Mar 2022
		73.	Analysis and synthesis of qualitative data collection from cohorts 1-6 in 2022/23	Up to 50 % Sep 22, Remainder by Mar 2023
		74.	Analysis and synthesis of qualitative data collection from cohorts 1-9 in 2023/ 24	Up to 50 % Sep 23 Remainder by Mar 2024

		75.	Analysis and synthesis of qualitative data collection from cohorts 1-9 in 2024/25	Dec 2024
	Analysis and synthesis of quantitative data inputs to: <ul style="list-style-type: none"> <li>• emerging findings updates,</li> <li>• steering group slide-deck,</li> <li>• operational learning webinar / slide-deck,</li> <li>• interim report,</li> <li>• final report and presentation</li> </ul>	76.	Analysis and synthesis of quantitative data collection from cohorts 1-3 in 2021/22	Up to 50 % Sep 21 Remainder by Mar 2022
		77.	Analysis and synthesis of quantitative data collection from cohorts 1-6 in 2022/23	Up to 50 % Sep 22 Remainder by Mar 2023
		78.	Analysis and synthesis of quantitative data collection from cohorts 1-9 in 2023/ 24	Up to 50 % Sep 23 Remainder by Mar 2024
		79.	Analysis and synthesis of quantitative data collection from cohorts 1-9 in 2024/25	Dec 2024
	<b>Supporting continuous improvement / sharing emerging findings:</b> Attend and input to operational delivery meetings with DfE analysts and policy, and the delivery centre (average 1x per quarter, higher in first year) Informally, distilling emerging finding/points from our regular internal meetings including briefings and debriefings. Use of teams channel for real time updates.	80.	Input to operational delivery meetings  Share emerging findings updates at operational meetings and project management KITs  Share informal outputs distilling findings from fieldwork / analysis	Ongoing – March of each year 22, 23 and 24
	<b>High quality slide-deck, presentation and Q&amp;A 2x per year, (7 total), each covering</b> 1. delivery / progress, methodological review and forthcoming activity, with supporting papers 2. emerging findings and key messages <u>to date</u> at each steering group meeting	81.	Steering group 1	Sept 21
		82.	Steering group 2	Mar 22
		83.	Steering group 3	Sept 22
		84.	Steering group 4	Mar 23
		85.	Steering group 5	Sept 23
		86.	Steering group 6	Mar 24

	The slide-deck will take the place of annual reports but must serve the same function and be of equivalent quality. The plan and draft will need to be agreed with the project manager before the presentation. Following Q&A at the meeting, a revised and final version will be circulated to the group as a resource.	87.	Steering group 7	Sept 24
		88.	Operational learning webinar for lead schools and slide-deck, draft and final (feedback from schools to input to steering group reporting and Interim Report)	no later than Jun 2022
		89.	Operational learning webinar for lead schools and slide-deck draft and final (feedback from schools to input to steering group slide-deck and Final Report)	no later than Jun 2023
	Draft and agree report structure and content. Report to draw on all primary and secondary data collected to that point. To report emerging learning against the aims and objectives of the study: capturing emerging evidence on effectiveness of programme, outcomes and potential for impact. Follow DfE Style Guide and to be of publishable quality.	90.	Draft and final Interim Report of publishable quality.	no later than Jun 2023
	Draft and agree report structure and content (see notes on reporting). DRAFT final report covering all components of the study and revised programme logic model.	91.	Draft outline and chapter Draft Final Report	December 2024 January 2025
	Presentation of findings	92.	Slide-deck and presentation of findings at the end of the project - to be attended by steering group, governance group for hubs, wider DfE.	Feb 2025



	<p>Final report:</p> <ul style="list-style-type: none"> <li>• executive summary (max 2 pages)</li> <li>• core content with chapter summaries, max 40 pg</li> <li>• technical annex (to methods used for process and theory-based evaluation, CIE, cost-benefit analysis, and peer review of effectiveness of tools)</li> <li>• a separate research brief (max 4 pages)</li> </ul>	93.	Final Report	Feb 2025
<b>6 Project Management</b>				
	<p><b>Project management, communication and collaboration, to include:</b></p> <ul style="list-style-type: none"> <li>• Input to comms, events &amp; fieldwork calendar to coordinate activity across programme and evaluation</li> <li>• DfE to have access to areas of the Teams channels, to provide real time updates, including quick access to: Gantt charts, meeting minutes, milestones, progress updates, topic guides, interview trackers</li> <li>• Maintenance and review of risk log with DfE PM</li> <li>• Attendance at operational delivery meetings</li> <li>• Evidence for deliverables to support invoicing</li> <li>• Input to methods review after 1 year and as required e.g. challenges / concerns about effectiveness or feasibility of methods</li> </ul> <p>Input to / collaboration on the planning and coordination of communications, asks and activity with schools by DfE / delivery centre / evaluator.</p> <p>Including:</p> <ul style="list-style-type: none"> <li>• Review / input to communications for MATs and schools referencing the evaluation</li> <li>• Input to comms calendar</li> </ul>	94.	<p><b>KIT calls</b> between DfE and Ecorys project manager: 1 x per week during peak activity e.g. inception, and fortnightly at other times</p> <p><b>Workplan</b> – updated with progress and flag if delivery date due to / has lapsed</p> <ul style="list-style-type: none"> <li>• Overarching</li> <li>• By cohort</li> </ul> <p><b>Monthly summary</b> – template to include:</p> <ul style="list-style-type: none"> <li>• Progress summary</li> <li>• Cohort summary – current activity, forthcoming activity, any challenges, asks of DfE</li> <li>• Emerging Learning</li> <li>• Risk register</li> <li>• Finance / invoicing</li> <li>• Qns / asks of DfE</li> </ul> <p><b>As required:</b></p> <ul style="list-style-type: none"> <li>• Liaison and input on comms/ events/ fieldwork calendar</li> </ul>	Ongoing – each invoicing pt

**Additional information on quantity and quality:****Table 3:** Survey sample sizes, responses rates and effect sizes

<b>Survey</b>	<b>Sample estimates</b>	<b>Target response rate</b>	<b>Minimum response required to deliver school-level summary reporting and sub-group analysis</b>
<b>Lead school pulse survey</b>	MAX= 4x number of schools	Up to 4 members of staff in each school	n/a
<b>Partner school / MAT baseline survey</b>	8,738	35% of all teachers will respond at baseline stage (taken from proposal- page 25)	5
<b>Partner school / MAT follow-up survey</b>	6,242	25% at the end of project follow-up (taken from proposal – page 25)	5
<b>Partner school / MAT secondary pupil baseline survey</b>	Working on assumption that the schools meet the minimum number of responses (n=10). 10 x number of partner school/MAT		10
<b>Partner school / MAT secondary pupil follow-up survey</b>	See above		10

**Table 4:** Longitudinal case studies

<b>Stakeholder Group</b>	<b>Respondent type</b>	<b>Minimum number per case study</b>	<b>Number (all case studies)</b>
<b>Lead school</b>	<b>Snr lead</b>	<b>1</b>	<b>15</b>
	<b>Snr staff</b>	<b>2</b>	<b>30</b>
<b>Partner school</b>	<b>Snr leaders</b>	<b>4</b>	<b>60</b>
	<b>Teachers, SENCOs and staff with welfare / pastoral role</b>	<b>6</b>	<b>150</b>
Where possible focus groups to be used to maximise reach / opportunity to capture pupil and parent voice.	<b>Primary pupils</b>	<b>4</b>	<b>60</b>
	<b>Secondary pupils</b>	<b>12 + 12 = 24 per case study (over 2 schools)</b>	<b>180 + 180 = 360</b>
	<b>Parents and carers</b>	<b>4</b>	<b>60</b>
<b>TOTAL</b>		<b>45</b>	<b>735</b>

**\*\*\*Notes on sub-group analysis**

Drawing on both primary and secondary data, analysis will look to provide insights on common and crosscutting themes, while also considering the significance of the following and tailoring insights accordingly:

- a. School type, phase and characteristics
- b. Pupil characteristics (incl. SEND, FSM/Ever6)
- c. Type and extent of needs identified (from audits)
- d. Type of support package: core support, extended support, multi-school support
- e. Type of support activity: training events, one-to-one support, open days, hub networking, online resources and online forums.
- f. Intensity and duration of support.

**\*\*\*\*Notes on reporting**

- All outputs will be reviewed by the commissioner, and the structure of the reports must be agreed with DfE prior to drafting.
- All reports are expected to be drafted in DfE templates and be compliant with the DfE style guide<sup>3</sup>.
- Reports are expected to be accessible, brief and engaging, and quality assured prior to being shared with DfE.
- Reports will be considered for publication on GOV.UK. DfE holds the final decision on the appropriate dissemination of findings.

---

<sup>3</sup> <https://www.gov.uk/government/publications/research-reports-guide-and-template>

## 6. STAFFING

**Table 5: Ecorys staff and subcontractors:**

ROLE	NAME
Project Manager – day-to-day project management	
Project Director - overall project direction for the evaluation, quality assurance for all outputs and provide expert insights at the design, fieldwork and reporting stages	
Subcontractor / academic expert - support the design of evaluation and research instruments and synthesis of findings	
Subcontractor / academic expert - econometric/statistical analysis and advice on the counterfactual impact evaluation	
Technical specialist – advise on the design, implementation and analytical approach at each stage of the CA and QCA, and oversight / QA of outputs.	
Technical specialist	
Senior evaluation managers	
Evaluation researchers	
Researchers	
Survey lead	
Survey officer	

**Table 6: DfE staff:**

ROLE	NAME
DfE project manager	
DfE data analyst	
DfE BAEA data team leader	
DfE BAEA research team lead	
DfE SBAEA analytical unit lead	
DfE Behaviour Hubs delivery team leader	
DfE Head of Behaviour Policy Unit	
DfE Behaviour Strategy team leader	
DfE BAEA policy DD	
(Extl) Chief Adviser on Behaviour	
(Extl) Behaviour Advisers	
(Extl) Education Development Trust (delivery centre)	

## 7 STEERING COMMITTEE

The DfE Project Manager shall set up a Steering Committee for the Project, consisting of representatives from the Department, the Contractor, and any other key organisations whom the project will impact on, to be agreed between the parties. The function of the Steering Committee shall be to review the scope and direction of the Project against its aims and objectives, monitor progress and efficiency, and assess, manage and review expected impact and use of the findings from the Project. The Committee shall meet twice each year.

The Contractor's representatives on the Steering Committee shall report on the progress of the Project, effectiveness of methods and emerging insights to the Steering Committee in the form of a PowerPoint presentation. The Contractor's representatives on the Steering Committee shall attend all meetings of the Steering Committee unless otherwise agreed by the Department.

## 8. RISK MANAGEMENT

**Table 7:** risk management

<b>Risk</b>	<b>Mitigating actions / conditions embedded in approach</b>	<b>Remaining Likelihood &amp; impact (H/M/L)</b>	<b>Ongoing risk management (for ALL) review at regular PM KITs, plus the following:</b>
Requirement changes	<ul style="list-style-type: none"> <li>Plan in DfE DD project review</li> <li>Steering group</li> <li>Mixed method evaluation – iterative reporting of emerging findings</li> <li>Includes virtual data collection (and flex to extend this)</li> </ul>	Likelihood: L Impact: M	<ul style="list-style-type: none"> <li>Internal DfE DD project review annually</li> <li>Twice yearly steering group</li> <li>Input from Behaviour Advisers</li> <li>Operational delivery meeting with DfE policy and analysts, delivery centre and evaluator</li> <li>Methods review after Yr1</li> </ul>
Impact / disruption from Covid-19 and/or disruption to programme delivery.	<ul style="list-style-type: none"> <li>Approval sought from DfE burdens board</li> <li>Burden and feasibility considered in design and assessment of the methods package</li> </ul>	Likelihood: L Impact: M	<ul style="list-style-type: none"> <li>Review ahead of each new request from schools, and / or new cohort</li> <li>Seek advice from DfE Burdens Board</li> </ul>
Low levels of engagement in the programme	<ul style="list-style-type: none"> <li>Mixed-method evaluation with flexibility to tailor to cohort</li> <li>Coverage of all cohorts with iterative reporting of emerging learning</li> </ul>	Likelihood: L Impact: L	<ul style="list-style-type: none"> <li>Agree escalation procedure at inception</li> <li>Attendance at operational delivery meetings</li> <li>Review by Steering group</li> <li>Method review after Yr1</li> </ul>
Low response rate to surveys / engagement in research	<ul style="list-style-type: none"> <li>Accessible, clear and engaging communication included in the lead and partner school handbooks</li> <li>Methods, sampling and recruitment designed to minimise burden</li> <li>Reporting outputs for lead and partner schools to encourage participation</li> </ul>	Likelihood: M Impact: H	<ul style="list-style-type: none"> <li>Quality of all communications referencing the evaluation and research tools</li> <li>Lead schools and advisers to reiterate message about value of evaluation</li> <li>Review burden and response rate for each cohort</li> </ul>

			<ul style="list-style-type: none"> <li>• Method review after Yr1</li> <li>• Agree escalation procedure at inception</li> </ul>
Relevance of research tools	<ul style="list-style-type: none"> <li>• Review of existing and potential measures and questions, with consultation with behaviour advisers a first stage of the evaluation</li> <li>• Potential to review and revise between cohorts if required</li> </ul>	Likelihood: L Impact: M	<ul style="list-style-type: none"> <li>• Upfront review of existing approaches</li> <li>• Testing and piloting of survey tools</li> <li>• Input from Behaviour Advisers and Lead Schools</li> <li>• Review between cohorts</li> </ul>
Delays accessing national administrative data for the CIE evaluation	<ul style="list-style-type: none"> <li>• Feasibility paper Yr1</li> <li>• Request access at feasibility stage</li> </ul>	Likelihood: L Impact: M	<ul style="list-style-type: none"> <li>• DfE to provide dates for DSAP Board and lead in time</li> <li>• Secure time from DSAP to review application prior to submitting</li> </ul>
Availability / capacity of evaluation team members	<ul style="list-style-type: none"> <li>• Size of team</li> <li>• Wider organisational capacity</li> </ul>	Likelihood: L Impact: L	<ul style="list-style-type: none"> <li>• Agree escalation procedure at inception</li> </ul>
Delivery due to complexity of multiple methods and waves of data collection, with multiple cohorts.	<ul style="list-style-type: none"> <li>• Transparency of tracking using Microsoft teams</li> <li>• Workplan for programme and by cohort with flags for forthcoming activity and date lapsed</li> <li>• Lead contact for cohort and mode of data collection</li> <li>• Frequency of project management meetings</li> <li>• Template for project management reporting</li> </ul>	Likelihood: M Impact: M	<ul style="list-style-type: none"> <li>• Ongoing tracking and review using teams, template and KITs</li> <li>• Method review after Yr1</li> </ul>
Quality of outputs	<ul style="list-style-type: none"> <li>• Steps agreed in contract</li> </ul>	Likelihood: L Impact: M	<ul style="list-style-type: none"> <li>• Agree content prior to developing output</li> <li>• Review of draft chapters / sections with PM</li> <li>• QA process of contractor</li> <li>• QA process at DfE</li> </ul>

## 9 DATA COLLECTION

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

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

- only data essential to the project shall be collected;

- data should be collected electronically where appropriate/preferred;
- questionnaires should be pre-populated wherever possible and appropriate;
- schools must be given at least four working weeks to respond to the exercise from the date they receive the request; and
- LAs should receive at least two weeks, unless they need to approach schools in which case they too should receive 4 weeks to respond;

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

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

## **10. CONSENT ARRANGEMENTS**

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

## **11. PROJECT COMMUNICATION PLAN**

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

End of Schedule One



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

- 1.1 The Department shall reimburse the Contractor for expenditure incurred for the purpose of the Project, provided that:-
- (a) the expenditure falls within the heading and limits in the Table below; and
  - (b) the expenditure is incurred, and claims are made, in accordance with this Contract.

**Table 8:** milestones and invoicing dates

Project Milestone	Payment Amount	Payment Date
Deliverable: 1,2,3,4,5,6,%7,8,17,18, 37, 38, 57, %72, %76, 81, %94, plus T&S		Sept 2021
Deliverable: 9, 19, 27, 39, 47, 58, %94, plus T&S		Jan 2022
Deliverable: 10, 20, 28, 40, 48, 66, %67, 68,69, %72, %76, %80, 82, %94, plus T&S		Mar 2022
Deliverable: 11, 21, 29, 41, 49, 59, 60, 61, %73, %77, 83, 88, %94, plus T&S		Sept 2022
Deliverable: %7,12, 22, 23, 30, 31, 42,43, 50, 51, %67, %73, %77, %80, 84, %94, plus T&S		Mar 2023
Deliverable: 13, 24, 32,44, 52, 62, 63, 64, %74, %78, 85, 89, 90, %94, plus T&S		Sept 2023
Deliverable: %7,14, 25, 26, 33, 34, 45,46,53, 54, %67, %74, %78, %80, 86, 91, %94, plus T&S		Mar 2024
Deliverable: 15, 35,55, 65, 87, %94, plus T&S		Sept 2024
Deliverable: %7, 16, 36, 56, 75, 79, %94, plus T&S		Dec 2024
Deliverable: %67, 70,71, 92,93, %94, plus T&S		Mar 2025

Expenditure for the financial year 2021-2022 shall not exceed £ exclusive of VAT.

Expenditure for the financial year 2022-2023 shall not exceed £ exclusive of VAT.

Expenditure for the financial year 2023-2024 shall not exceed £ exclusive of VAT.

Expenditure for the financial year 2024-2025 shall not exceed £ exclusive of VAT

**Total Project expenditure shall not exceed £369,268 exclusive of VAT.**

- 2 The allocation of funds in the Table may not be altered except with the prior written consent of the Department.
- 3 The Contractor shall maintain full and accurate accounts for the Project against the expenditure headings in the Table. Such accounts shall be retained for at least 6

years after the end of the financial year in which the last payment was made under this Contract. Input and output VAT shall be included as separate items in such accounts.

- 4 The Contractor shall permit duly authorised staff or agents of the Department or the National Audit Office to examine the accounts at any reasonable time and shall furnish oral or written explanations of the accounts if required. The Department reserves the right to have such staff or agents carry out examinations into the economy, efficiency and effectiveness with which the Contractor has used the Department's resources in the performance of this Contract.
- 5 Invoices shall be submitted on the invoice dates specified in the Table, be detailed against the task headings set out in the Table and must quote the Department's Order Number. **The Purchase order reference number shall be provided by the department when both parties have signed the paperwork.** The Contractor or his or her nominated representative or accountant shall certify on the invoice that the amounts claimed were expended wholly and necessarily by the Contractor on the Projects in accordance with the Contract and that the invoice does not include any costs being claimed from any other body or individual or from the Department within the terms of another contract.
- 6 Invoices shall be sent to [AccountsPayable.OCR@education.gov.uk](mailto:AccountsPayable.OCR@education.gov.uk). Invoices submitted by email must be in PDF format, with one PDF file per invoice including any supporting documentation in the same file. Multiple invoices may be submitted in a single email but each invoice must be in a separate PDF file. The Department undertakes to pay correctly submitted invoices within 10 days of receipt. The Department is obliged to pay invoices within 30 days of receipt from the day of physical or electronic arrival at the nominated address of the Department. Any correctly submitted invoices that are not paid within 30 days may be subject to the provisions of the Late Payment of Commercial Debt (Interest) Act 1998. A correct invoice is one that: is delivered in timing in accordance with the contract; is for the correct sum; in respect of goods/services supplied or delivered to the required quality (or are expected to be at the required quality); includes the date, supplier name, contact details and bank details; quotes the relevant purchase order/contract reference and has been delivered to the nominated address. If any problems arise, contact the Department's Project Manager. The Department aims to reply to complaints within 10 working days. The Department shall not be responsible for any delay in payment caused by incomplete or illegible invoices.
- 7 The Contractor shall have regard to the need for economy in all expenditure. Where any expenditure in an invoice, in the Department's reasonable opinion, is excessive having due regard to the purpose for which it was incurred, the Department shall only be liable to reimburse so much (if any) of the expenditure disallowed as, in the Department's reasonable opinion after consultation with the Contractor, would reasonably have been required for that purpose.
- 8 If this Contract is terminated by the Department due to the Contractor's insolvency or default at any time before completion of the Projects, the Department shall only be liable under paragraph 1 to reimburse eligible payments made by, or due to, the Contractor before the date of termination.
- 9 On completion of the Project or on termination of this Contract, the Contractor shall promptly draw-up a final invoice, which shall cover all outstanding expenditure incurred for the Project. The final invoice shall be submitted not later than 30 days after the date of completion of the Projects.

- 10** The Department shall not be obliged to pay the final invoice until the Contractor has carried out all the elements of the Projects specified as in Schedule 1.
- 11** It shall be the responsibility of the Contractor to ensure that the final invoice covers all outstanding expenditure for which reimbursement may be claimed. Provided that all previous invoices have been duly paid, on due payment of the final invoice by the Department all amounts due to be reimbursed under this Contract shall be deemed to have been paid and the Department shall have no further liability to make reimbursement of any kind.

End of Schedule Two

## **SCHEDULE THREE**

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

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

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

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

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

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

### **4. Management**

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

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

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

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

- 5.1.1 10 days, where the Sub-contractor is an SME; or
- 5.1.2 30 days either, where the sub-contractor is not an SME, or both the Contractor and the Sub-contractor are SMEs,

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

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

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

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

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

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

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

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

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

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

## **7. Data Protection Act**

- 7.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor unless otherwise specified in Schedule 4. The only processing that the Processor is authorised to do is listed in Schedule 4 by the Controller and may not be determined by the Processor.
- 7.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.
- 7.3 The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of



the Controller, include:

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

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

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

- accordance with GDPR Article 46 or LED Article 37) as determined by the Controller;
- (ii) the Data Subject has enforceable rights and effective legal remedies;
- (iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and
- (iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;
- (e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the Contract unless the Processor is required by Law to retain the Personal Data.

7.5 Subject to clause 7.6, the Processor shall notify the Controller immediately if it:

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

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

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

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

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

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

7.15 *Where the Parties include two or more Joint Controllers as identified in Schedule 4 in accordance with GDPR Article 26, those Parties shall enter into a Joint Controller Agreement based on the terms outlined in Schedule 4 in replacement of Clauses 7.1-7.14 for the Personal Data under Joint Control.*

## **8. Departmental Security Standards**

- 8.1 The Contractor shall be aware of and comply the relevant [HMG security policy framework](#), [NCSC guidelines](#) and where applicable DfE Departmental Security Standards for Contractors which include but are not constrained to the following clauses.
- 8.2 Where the Contractor will provide products or services or otherwise handle information at OFFICIAL for the Department, the requirements of [Cabinet Office Procurement Policy Note – Use of Cyber Essentials Scheme certification](#) - [Action Note 09/14](#) dated 25 May 2016, or any subsequent updated document, are mandated; that “contractors supplying products or services to HMG shall have achieved, and will be expected to retain certification at the appropriate level for the duration of the contract. The certification scope shall be relevant to the services supplied to, or on behalf of, the Department.
- 8.3 Where clause 8.2 above has not been met, the Contractor shall have achieved, and be able to maintain, independent certification to ISO/IEC 27001 (Information Security Management Systems Requirements).
- 8.4 The Contractor shall follow the UK Government Security Classification Policy (GSCP) in respect of any Departmental Data being handled in the course of providing this service, and will handle this data in accordance with its security classification. (In the event where the Contractor has an existing Protective Marking Scheme then the Contractor may continue to use this but must map the HMG security classifications against it to ensure the correct controls are applied to the Departmental Data).

- 8.5 Departmental Data being handled in the course of providing an ICT solution or service must be separated from all other data on the Contractor's or sub-contractor's own IT equipment to protect the Departmental Data and enable the data to be identified and securely deleted when required in line with clause 8.14.
- 8.6 The Contractor shall have in place and maintain physical security to premises and sensitive areas in line with ISO/IEC 27002 including, but not limited to, entry control mechanisms (e.g. door access), CCTV, alarm systems, etc.
- 8.7 The Contractor shall have in place and maintain an appropriate user access control policy for all ICT systems to ensure only authorised personnel have access to Departmental Data. This policy should include appropriate segregation of duties and if applicable role based access controls (RBAC). User credentials that give access to Departmental Data or systems shall be considered to be sensitive data and must be protected accordingly.
- 8.8 The Contractor shall have in place and shall maintain procedural, personnel, physical and technical safeguards to protect Departmental Data, including but not limited to:
- physical security controls;
  - good industry standard policies and processes;
  - malware protection;
  - boundary access controls including firewalls;
  - maintenance and use of fully supported software packages in accordance with vendor recommendations;
  - software updates and patching regimes including malware signatures, for operating systems, network devices, applications and services;
  - user access controls, and;
  - the creation and retention of audit logs of system, application and security events.
- 8.9 The contractor shall ensure that any departmental data (including email) transmitted over any public network (including the Internet, mobile networks or un-protected enterprise network) or to a mobile device shall be encrypted when transmitted.
- 8.10 The contractor shall ensure that any departmental data which resides on a mobile, removable or physically uncontrolled device is stored encrypted using a product or system component which has been formally assured through a recognised certification process agreed with the department except where the department has given its prior written consent to an alternative arrangement.

- 8.11 The contractor shall ensure that any device which is used to process departmental data meets all of the security requirements set out in the NCSC End User Devices Platform Security Guidance, a copy of which can be found at: <https://www.ncsc.gov.uk/guidance/end-user-device-security> and <https://www.ncsc.gov.uk/collection/end-user-device-security/eud-overview/eud-security-principles>.
- 8.12 Whilst in the Contractor's care all removable media and hardcopy paper documents containing Departmental Data must be handled securely and secured under lock and key when not in use and shall be securely destroyed when no longer required, using either a cross-cut shredder or a professional secure disposal organisation.  
The term 'lock and key' is defined as: "securing information in a lockable desk drawer, cupboard or filing cabinet which is under the user's sole control and to which they hold the keys".
- 8.13 When necessary to hand carry removable media and/or hardcopy paper documents containing Departmental Data, the media or documents being carried shall be kept under cover and transported in such a way as to ensure that no unauthorised person has either visual or physical access to the material being carried. This clause shall apply equally regardless of whether the material is being carried inside or outside of company premises.  
The term 'under cover' means that the information is carried within an opaque folder or envelope within official premises and buildings and within a closed briefcase or other similar bag or container when outside official premises or buildings.
- 8.14 In the event of termination of contract due to expiry, liquidation or non-performance, all information assets provided, created or resulting from the service shall not be considered as the supplier's assets and must be returned to the department and written assurance obtained from an appropriate officer of the supplying organisation that these assets regardless of location and format have been fully sanitised throughout the organisation in line with clause 8.15.
- 8.15 In the event of termination, equipment failure or obsolescence, all Departmental information and data, in either hardcopy or electronic format, that is physically held or logically stored by the Contractor must be accounted for and either physically returned or securely sanitised or destroyed in accordance with the current HMG policy using an NCSC approved product or method.  
Where sanitisation or destruction is not possible for legal, regulatory or technical reasons, such as data stored in a cloud system, Storage Area Network (SAN) or on shared backup tapes, then the Contractor or sub-contractor shall protect the Department's information and data until such time, which may be long after the end of the contract, when it can be securely cleansed or destroyed.  
Evidence of secure destruction will be required in all cases.



- 8.16 Access by Contractor or sub-contractor staff to Departmental Data, including user credentials, shall be confined to those individuals who have a “need-to-know” in order to carry out their role; and have undergone mandatory pre-employment screening, to a minimum of HMG Baseline Personnel Security Standard (BPSS); or hold an appropriate National Security Vetting clearance as required by the Department. All Contractor or sub-contractor staff must complete this process before access to Departmental Data is permitted. Any Contractor or sub-contractor staff who will be in contact with children or vulnerable adults must, in addition to any security clearance, have successfully undergone an Enhanced DBS (Disclosure and Barring Service) check prior to any contact.
- 8.17 All Contractor or sub-contractor employees who handle Departmental Data shall have annual awareness training in protecting information.
- 8.18 The Contractor shall, as a minimum, have in place robust Business Continuity arrangements and processes including IT disaster recovery plans and procedures that conform to ISO 22301 or equivalent to ensure that the delivery of the contract is not adversely affected in the event of an incident. An incident shall be defined as any situation that might, or could lead to, a disruption, loss, emergency or crisis to the services delivered. If a ISO 22301 certificate is not available the supplier will provide evidence of the effectiveness of their ISO 22301 conformant Business Continuity arrangements and processes including IT disaster recovery plans and procedures. This should include evidence that the Contractor has tested or exercised these plans within the last 12 months and produced a written report of the outcome, including required actions.
- 8.19 Any suspected or actual breach of the confidentiality, integrity or availability of Departmental Data, including user credentials, used or handled in the course of providing this service shall be recorded as an incident. This includes any non-compliance with these Departmental Security Standards for Contractors, or other Security Standards pertaining to the solution.

Incidents shall be reported to the department immediately, wherever practical, even if unconfirmed or when full details are not known, but always within 24 hours of discovery. If incident reporting has been delayed by more than 24 hours, the contractor should provide an explanation about the delay.

Incidents shall be reported through the department’s nominated system or service owner.

Incidents shall be investigated by the contractor with outcomes being notified to the Department.



- 8.20 The Contractor shall ensure that any IT systems and hosting environments that are used to handle, store or process Departmental Data shall be subject to independent IT Health Checks (ITHC) using an NCSC CHECK Scheme ITHC provider before go-live and periodically (at least annually) thereafter. The findings of the ITHC relevant to the service being provided are to be shared with the Department and all necessary remedial work carried out. In the event of significant security issues being identified, a follow up remediation test may be required.
- 8.21 The Contractor or sub-contractors providing the service will provide the Department with full details of any actual or future intent to develop, manage, support, process or store Departmental Data outside of the UK mainland. The Contractor or sub-contractor shall not go ahead with any such proposal without the prior written agreement from the Department.
- 8.22 The Department reserves the right to audit the Contractor or sub-contractors providing the service within a mutually agreed timeframe but always within seven days of notice of a request to audit being given. The audit shall cover the overall scope of the service being supplied and the Contractor's, and any sub-contractors', compliance with the clauses contained in this Section.
- 8.23 The Contractor and sub-contractors shall undergo appropriate security assurance activities and shall provide appropriate evidence including the production of the necessary security documentation as determined by the department. This will include obtaining any necessary professional security resources required to support the Contractor's and sub-contractor's security assurance activities such as: a Security and Information Risk Advisor (SIRA) certified to NCSC Certified Cyber Security Consultancy (CCSC) or NCSC Certified Cyber Professional (CCP) schemes.

8.24 Where the Contractor is delivering an ICT solution to the Department they shall design and deliver solutions and services that are compliant with the HMG Security Policy Framework in conjunction with current NCSC Information Assurance Guidance and Departmental Policy. The Contractor will provide the Department with evidence of compliance for the solutions and services to be delivered. The Department's expectation is that the Contractor shall provide written evidence of:

- Compliance with HMG Minimum Cyber Security Standard.
- Any existing security assurance for the services to be delivered, such as: ISO/IEC 27001 / 27002 or an equivalent industry level certification.
- Any existing HMG security accreditations or assurance that are still valid including: details of the awarding body; the scope of the accreditation; any caveats or restrictions to the accreditation; the date awarded, plus a copy of the residual risk statement.
- Documented progress in achieving any security assurance or accreditation activities including whether documentation has been produced and submitted. The Contractor shall provide details of who the awarding body or organisation will be and date expected.

8.25 The Contractor shall contractually enforce all these Departmental Security Standards for Contractors onto any third-party suppliers, sub-contractors or partners who could potentially access Departmental Data in the course of providing this service.

## **9. Warranty and Indemnity**

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

9.2 Without prejudice to any other remedy, if any part of the Project is not performed in accordance with this Contract then the Department shall be entitled, where appropriate to:

9.2.1 require the Contractor promptly to re-perform or replace the

relevant part of the Project without additional charge to the Department; or

- 9.2.2 assess the cost of remedying the failure ("the assessed cost") and to deduct from any sums due to the Contractor the Assessed Cost for the period that such failure continues.
- 9.3 The Contractor shall be liable for and shall indemnify the Department in full against any expense, liability, loss, claim or proceedings arising under statute or at common law in respect of personal injury to or death of any person whomsoever or loss of or damage to property whether belonging to the Department or otherwise arising out of or in the course of or caused by the performance of the Project.
- 9.4 Without prejudice to any other exclusion or limitation of liability in this Contract, the liability of the Contractor for any claim or claims under this Contract shall be limited to the fees paid or payable by the Department to the Contractor under this Contract.
- 9.5 All property of the Contractor whilst on the Department's premises shall be there at the risk of the Contractor and the Department shall accept no liability for any loss or damage howsoever occurring to it.
- 9.6 The Contractor shall ensure that it has adequate insurance cover with an insurer of good repute to cover claims under this Contract or any other claims or demands which may be brought or made against it by any person suffering any injury damage or loss in connection with this Contract. The Contractor shall upon request produce to the Department, its policy or policies of insurance, together with the receipt for the payment of the last premium in respect of each policy or produce documentary evidence that the policy or policies are properly maintained.

## **10. Termination**

- 10.1 This Contract may be terminated by either party giving to the other party at least 30 days notice in writing.
- 10.2 In the event of any breach of this Contract by either party, the other party may serve a notice on the party in breach requiring the breach to be remedied within a period specified in the notice which shall be reasonable in all the circumstances. If the breach has not been remedied by the expiry of the specified period, the party not in breach may terminate this Contract with immediate effect by notice in writing.
- 10.3 In the event of a material breach of this Contract by either party, the other party may terminate this Contract with immediate effect by notice in writing.

- 10.4 This Contract may be terminated by the Department with immediate effect by notice in writing if at any time:-
- 10.4.1 the Contractor passes a resolution that it be wound-up or that an application be made for an administration order or the Contractor applies to enter into a voluntary arrangement with its creditors; or
  - 10.4.2 a receiver, liquidator, administrator, supervisor or administrative receiver be appointed in respect of the Contractor's property, assets or any part thereof; or
  - 10.4.3 the court orders that the Contractor be wound-up or a receiver of all or any part of the Contractor's assets be appointed; or
  - 10.4.4 the Contractor is unable to pay its debts in accordance with Section 123 of the Insolvency Act 1986.
  - 10.4.5 there is a change in the legal or beneficial ownership of 50% or more of the Contractor's share capital issued at the date of this Contract or there is a change in the control of the Contractor, unless the Contractor has previously notified the Department in writing. For the purpose of this Sub-Clause 10.4.5 "control" means the power of a person to secure that the affairs of the Contractor are conducted in accordance with the wishes of that person by means of the holding of shares or the possession of voting power.
  - 10.4.6 the Contractor is convicted (or being a company, any officers or representatives of the Contractor are convicted) of a criminal offence related to the business or professional conduct
  - 10.4.7 the Contractor commits (or being a company, any officers or representatives of the Contractor commit) an act of grave misconduct in the course of the business;
  - 10.4.8 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to the payment of Social Security contributions;
  - 10.4.9 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to fulfil his/their obligations relating to payment of taxes;
  - 10.4.10 the Contractor fails (or being a company, any officers or representatives of the Contractor fail) to disclose any serious misrepresentation in supplying information required by the Department in or pursuant to this Contract.
- 10.5 Nothing in this Clause 10 shall affect the coming into, or continuance in

force of any provision of this Contract which is expressly or by implication intended to come into force or continue in force upon termination of this Contract.

## **11. Status of Contractor**

- 11.1 In carrying out its obligations under this Contract the Contractor agrees that it will be acting as principal and not as the agent of the Department.
- 11.2 The Contractor shall not say or do anything that may lead any other person to believe that the Contractor is acting as the agent of the Department.

## **12. Freedom of information**

- 12.1 The Contractor acknowledges that the Department is subject to the requirements of the FOIA and the Environmental Information Regulations and shall assist and cooperate with the Department to enable the Department to comply with its information disclosure obligations.
- 12.2 The Contractor shall and shall procure that its Sub-contractors shall:
  - 12.2.1 transfer to the Department all Requests for Information that it receives as soon as practicable and in any event within two Working Days of receiving a Request for Information;
  - 12.2.2 provide the Department with a copy of all Information in its possession, or power in the form that the Department requires within five Working Days (or such other period as the Department may specify) of the Department's request; and
  - 12.2.3 provide all necessary assistance as reasonably requested by the Department to enable the Department to respond to the Request for Information within the time for compliance set out in section 10 of the FOIA or regulation 5 of the Environmental Information Regulations.
- 12.3 The Department shall be responsible for determining in its absolute discretion and notwithstanding any other provision in this Contract or any other agreement whether any Information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.
- 12.4 In no event shall the Contractor respond directly to a Request for Information unless expressly authorised to do so by the Department.
- 12.5 The Contractor acknowledges that (notwithstanding the provisions of Clause 13) the Department may, acting in accordance with the Ministry of Justice's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the Freedom of Information Act 2000

("the Code"), be obliged under the FOIA, or the Environmental Information Regulations to disclose information concerning the Contractor or the Project:

12.5.1 in certain circumstances without consulting the Contractor; or

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

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

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

### 13. CONFIDENTIALITY

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

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

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

13.2 Clause 13 shall not apply to the extent that:

13.2.1 such disclosure is a requirement of Law placed upon the party making the disclosure, including any requirements for disclosure under the FOIA, Code of Practice on Access to Government Information or the Environmental Information Regulations pursuant to clause 12 (Freedom of Information);

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

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

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

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

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

comply with these obligations as to confidentiality.

- 13.4 The Contractor shall not, and shall procure that the Contractor Personnel do not, use any of the Department's Confidential Information received otherwise than for the purposes of this Contract.
- 13.5 At the written request of the Department, the Contractor shall procure that those members of the Contractor Personnel identified in the Department's notice signs a confidentiality undertaking prior to commencing any work in accordance with this Contract.
- 13.6 Nothing in this Contract shall prevent the Department from disclosing the Contractor's Confidential Information:
- 13.6.1 to any Crown Body or any other Contracting Department. All Crown Bodies or Contracting Authorities receiving such Confidential Information shall be entitled to further disclose the Confidential Information to other Crown Bodies or other Contracting Authorities on the basis that the information is confidential and is not to be disclosed to a third party which is not part of any Crown Body or any Contracting Department;
- 13.6.2 to any consultant, contractor or other person engaged by the Department or any person conducting an Office of Government Commerce gateway review;
- 13.6.3 for the purpose of the examination and certification of the Department's accounts; or
- 13.6.4 for any examination pursuant to Section 6(1) of the National Audit Act 1983 of the economy, efficiency and effectiveness with which the Department has used its resources.
- 13.7 The Department shall use all reasonable endeavours to ensure that any government department, Contracting Department, employee, third party or Sub-contractor to whom the Contractor's Confidential Information is disclosed pursuant to clause 13 is made aware of the Department's obligations of confidentiality.
- 13.8 Nothing in this clause 13 shall prevent either party from using any techniques, ideas or know-how gained during the performance of the Contract in the course of its normal business to the extent that this use does not result in a disclosure of the other party's Confidential Information or an infringement of IPR.
- 13.9 The parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of this Contract is not Confidential Information. The Department shall be responsible for determining in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.



13.10 Subject to Clause 13.9, the Contractor hereby gives his consent for the Department to publish the Contract in its entirety, including from time to time agreed changes to the Contract, to the general public.

13.11 The Department may consult with the Contractor to inform its decision regarding any redactions but the Department shall have the final decision in its absolute discretion.

13.12 The Contractor shall assist and cooperate with the Department to enable the Department to publish this Contract.

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

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

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

15.1 The Contractor shall, at no cost to the Department, promptly provide such assistance and comply with such timetable as the Department may reasonably require for the purpose of ensuring an orderly transfer of responsibility upon the expiry or other termination of this Contract. The Department shall be entitled to require the provision of such assistance both prior to and, for a reasonable period of time after the expiry or other termination of this Contract.

15.2 Such assistance may include (without limitation) the delivery of documents and data in the possession or control of the Contractor which relate to this Contract, including the documents and data, if any, referred to in the Schedule.

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

#### **16. Tax indemnity**

16.1 Where the Contractor is liable to be taxed in the UK in respect of consideration received under this contract, it shall at all times comply with the Income Tax (Earnings and Pensions) Act 2003 (ITEPA) and all other statutes and regulations relating to income tax in respect of that consideration.

16.2 Where the Contractor is liable to National Insurance Contributions (NICs) in respect of consideration received under this contract, it shall at all times comply with the Social Security Contributions and Benefits Act 1992 (SSCBA) and all other statutes and regulations relating to

NICs in respect of that consideration.

- 16.3 The Department may, at any time during the term of this contract, ask the Contractor to provide information which demonstrates how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it.
- 16.4 A request under Clause 16.3 above may specify the information which the Contractor must provide and the period within which that information must be provided.
- 16.5 The Department may terminate this contract if-
  - (a) in the case of a request mentioned in Clause 16.3 above if the Contractor:
    - (i) fails to provide information in response to the request within a reasonable time, or
    - (ii) provides information which is inadequate to demonstrate either how the Contractor complies with Clauses 16.1 and 16.2 above or why those Clauses do not apply to it;
  - (b) in the case of a request mentioned in Clause 16.4 above, the Contractor fails to provide the specified information within the specified period, or
  - (c) it receives information which demonstrates that, at any time when Clauses 16.1 and 16.2 apply, the Contractor is not complying with those Clauses.
- 16.6 The Department may supply any information which it receives under Clause 16.3 to the Commissioners of Her Majesty's Revenue and Customs for the purpose of the collection and management of revenue for which they are responsible.
- 16.7 The Contractor warrants and represents to the Department that it is an independent contractor and, as such, bears sole responsibility for the payment of tax and national insurance contributions which may be found due from it in relation to any payments or arrangements made under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.
- 16.8 The Contractor will account to the appropriate authorities for any income tax, national insurance, VAT and all other taxes, liabilities, charges and duties relating to any payments made to the Contractor under this Contract or in relation to any payments made by the Contractor to its officers or employees in connection with this Contract.
- 16.9 The Contractor shall indemnify Department against any liability, assessment or claim made by the HM Revenue and Customs or any other relevant authority arising out of the performance by the parties of their obligations under this Contract (other than in respect of employer's secondary national insurance contributions) and any costs,

expenses, penalty fine or interest incurred or payable by Department in connection with any such assessment or claim.

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

## **17. Amendment and variation**

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

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

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

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

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

## **20. Waiver**

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

## **21. Notices**

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

## **22. Dispute resolution**

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

## **23. Law and Jurisdiction**

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

## **24. Discrimination**

- 24.1 The Contractor shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation or otherwise) in employment.
- 24.2 The Contractor shall take all reasonable steps to secure the observance of Clause 24.1 by all servants, employees or agents of the Contractor and all suppliers and sub-contractors employed in the execution of the Contract.

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

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

Please see <https://www.gov.uk/crb-criminal-records-bureau-check> for further guidance.

## **26. Project outputs**

- 26.1 Unless otherwise agreed between the Contractor and the Project Manager, all outputs from the Project shall be published by the Department on the Department's research website.
- 26.2 The Contractor shall ensure that all outputs for publication by the Department adhere to the Department's Style Guide and MS Word Template, available to download from:  
<https://www.gov.uk/government/publications/research-reports-guide-and-template>.
- 26.3 Unless otherwise agreed between the Contractor and Project Manager, the Contractor shall supply the Project Manager with a draft for comment at least eight weeks before the intended publication date, for interim reports, and eight weeks before the contracted end date, for final reports.
- 26.4 The Contractor shall consider revisions to the drafts with the Project Manager in the light of the Department's comments. The Contractor shall provide final, signed off interim reports and other outputs planned within the lifetime of the Project to the Department by no later than four weeks before the intended publication date, and final, signed off reports and other outputs at the end of the Project to the Department by no later than the contracted end date for the Project.
- 26.5 Until the date of publication, findings from all Project outputs shall be treated as confidential, as set out in the Clause 13 above. The Contractor shall not release findings to the press or disseminate them in any way or at any time prior to publication without approval of the Department.
- 26.6 Where the Contractor wishes to issue a Press Notice or other publicity material containing findings from the Project, notification of plans, including timing and drafts of planned releases shall be submitted by the Contractor to the Project Manager at least three weeks before the intended date of release and before any agreement is made with press or other external audiences, to allow the Department time to comment. All Press Notices released by the Department or the Contractor shall state the full title of the research report, and include a hyperlink to the Department's research web pages, and any other web pages as relevant, to access the publication/s. This clause applies at all times prior to publication of the final report.
- 26.7 Where the Contractor wishes to present findings from the Project in the public domain, for example at conferences, seminars, or in journal articles, the Contractor shall notify the Project Manager before any

agreement is made with external audiences, to allow the Department time to consider the request. The Contractor shall only present findings that will already be in the public domain at the time of presentation, unless otherwise agreed with the Department. This clause applies at all times prior to publication of the final report.

End of Schedule Three

## SCHEDULE FOUR

### Schedule 4 Processing, Personal Data and Data Subjects

This Schedule shall be completed by the Controller, who may take account of the view of the Processors, however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.

1. The contact details of the Controller's Data Protection Officer are:  
 [REDACTED] Department for Education, 2 Rivergate, Bristol, BS1 6EW,  
 and email address: [REDACTED]
2. The contact details of the Processor's Data Protection Officer are:  
 [REDACTED] (Contracts and Compliance Manager at Ecorys) Ecorys, Albert  
 House Quay Place, 92-93 Edward St, Birmingham B1 2RA, [REDACTED]
3. The Processor shall comply with any further written instructions with respect to processing by the Controller.

Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation, the Customer is the Controller and the Contractor is the Processor in accordance with Clause 7.1.
Subject matter of the processing	On behalf of the Department for Education, the Contractor shall gather and process data for the purpose of conducting the Evaluation of the Behaviour Hubs Programme. This shall involve a research study adopting a mixed methods design to develop a rich evidence based on investigating and assessing the processes and impact of the Behaviour Hubs programme across lead and partner schools. Data will be gathered and processed by the Contractor on the Department's behalf for this purpose.
Duration of the processing	Data processing is required at various points throughout the life of the contract. Data processing will start at the beginning of the evaluation contract (May 2021) and will continue, as part of the research until the end of the contract in June 2025. The data will be destroyed within 60 days of the end of the contract.
Nature and purposes of the processing	The nature of the processing includes, the collection, recording, organisation, structuring and storage of the following primary and secondary data. Only following agreement by individuals to participate in the Evaluation of the Behaviour Hubs Programme and only after having been provided with the information and privacy notice relating to collection and processing of personal data will the school collect and share staff contact details with the evaluator.



	<p>When contacted by the evaluator, staff will be able to unsubscribe at any point. The contact list will be checked and updated prior to each round of fieldwork. Data collection will only occur if participants actively agree to participate and confirm they understand participation is voluntary and they can withdraw from the interview / survey before or during the collection. Any personal data collected will be minimally processed prior as part of the Customer's public task prior to being depersonalised on behalf of the department. The personal data will then be securely destroyed by the contractor..</p> <p><b>Primary data collection:</b></p> <ul style="list-style-type: none"> <li>• data from key stakeholder interviews during the inception phase (e.g. behaviour advisors, members of the delivery centre and DfE);</li> <li>• survey data from school-based professionals in schools involved in the behaviour hubs programme as either a lead or partner school. This will include CATI interviews and a pulse survey with members of staff from lead schools as well as a longitudinal survey with staff members from partner schools;</li> <li>• longitudinal case-study data collected through interviews at one lead school and two of their supported partner schools. Interviews will include data collected from leadership, teaching staff, pupils and parents.</li> </ul> <p><b>Secondary data to be processed:</b></p> <ul style="list-style-type: none"> <li>• secondary analysis of project-level monitoring information. This will include a detailed overview of the schools' participation in the programme, school characteristics and data to monitor action planning. This MI data is school-level only a combination of information about the schools engagement in the programme and (published) administrative data about the school.</li> </ul> <p>The purpose of processing this data is to produce evidence related to the behaviour hubs programme as part of the evaluation. Specifically, this includes investigating: whether the programme is meeting its strategic aims and objectives; evidence of the impact of the programme for pupils, teachers and schools; real-time insights to understand contextual and operational challenges/successes; and providing feedback to the department to inform delivery.</p> <p>Ecorys' data processing systems use cloud technology to which access is time-limited and password-protected, in compliance with Government level encryption standards. All data collected will be safely and securely stored on UK servers, managed and transferred. Extracted data that is</p>
--	--

	<p>distributed as part of the evaluation will be fully anonymised, with no personal data included. Paper copies and written notes are kept in anonymous formats, in lockable storage cabinets and any hard copy data is not permitted away from secure premises. Data files containing restricted data will be transferred using encrypted using PGP (public/private keys). All databases and other files containing sensitive and confidential information will require further security permissions and sign-ins beyond the normal network logins. Only authorised named researchers from the research team and sub-contractors can process these files directly.</p>
Type of Personal Data being processed	<p><b>Personal data for key strategic stakeholder interviews within Behaviour Hubs programme</b></p> <ul style="list-style-type: none"> <li>Names, Telephone numbers and Email addresses for stakeholders will be collected only for the purposes of contacting potential participants.</li> <li>From interviews conducted as part of the scoping/inception phase: professional role and information about personal experiences / views ..</li> </ul> <p><b>Personal data for pupils</b></p> <ul style="list-style-type: none"> <li>From pupil survey: school year, gender, school, key stage</li> <li>From interviews or focus groups conducted as part of case studies: gender, school year, key stage and information about personal experiences / views .</li> </ul> <p><b>Personal data for school professionals</b></p> <ul style="list-style-type: none"> <li>Names, Telephone numbers and Email addresses will be collected for the purpose of distributing the surveys. Schools will be responsible for ensuring staff have seen the information and privacy notice and agreed to their details being shared with the evaluator. Individuals will be offered the opportunity to unsubscribe from information about the evaluation. Schools will be responsible for ensuring the contact list is kept up to date (each time with the agreement of staff members on the list)</li> <li>From evaluation surveys: professional role</li> <li>From interviews or focus groups conducted as part of case studies: professional role and information about personal experiences / views.</li> </ul> <p><b>Personal data for parents/carers</b></p> <ul style="list-style-type: none"> <li>From interviews conducted as part of case studies: gender, age/key stage of children and other information about the views / experiences of them and or their child / children.</li> </ul>

	<b>Administrative data at a school level only</b> <ul style="list-style-type: none"> <li>From administrative data completed as part of monitoring information about the engagement of the school in the programme: school-level data for all staff and pupil characteristics which will cover: pupils with a statement of special educational needs (SEN) or education, health and care (EHC) plan, pupils whose first language is not English, and pupils eligible for free school meals at any time during the past 6 years. This is published data – not receiving any school level data that is not already published (and is not any more granular).</li> </ul>
Categories of Data Subject	Behaviour Hubs programme staff and other strategic stakeholders (e.g. DfE staff members, behaviour advisors, delivery centre staff members) Schools head teachers and/or SLT (both lead and partner schools) School staff (both lead and partner school) School pupils (partner school) School parents (partner school)
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	Data will be held until August 2025. After this time, the data will be destroyed using BLANCCO software to perform multi-pass permanent deletions and all paper copies will be destroyed using a secure process.

End of Schedule Four

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

**Signature**

Authorised to sign for and on  
behalf of the Contractor

**Signature**