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| **Contract Reference** | ***RM6140 ENERGY TRADING SYSTEM*** | | |
| **Date** | *22/07/2019* | | |
| **Parties** | **Customer** | | *Crown Commercial Service* |
|  | **Supplier** | | *[REDACTED]* |
| **Sale and Purchase** | The Supplier shall supply the Deliverables described below on the terms set out in this Order Form and the attached contract conditions ("**Conditions**") and the **Annexes** detailed below***.*** Unless the context otherwise requires, capitalised expressions used in this Order Form have the same meanings as in Conditions. In the event of any conflict between this Order Form and the Conditions, this Order Form shall prevail. Please do not attach any Supplier terms and conditions to this Order Form as they will not be accepted by the Customer and may delay conclusion of the Contract. | | |
| **Deliverables** | **Goods** | None | |
|  | **Services** | Areto be performed as detailed within the Specification Annex 1. | |
| **Specification** | The specification of the Deliverables is as set out below in Annex 1. | | |
| **Term** | The Term shall commence on 21/10/2019 and the Expiry Date shall be 20/10/2021 (***unless extended by up to two years in total or subject to early termination***), unless it is otherwise extended or terminated in accordance with the terms and conditions of this Contract.  The Customer may extend the Contract for a period of up to two additional periods each lasting a year by giving not less than 30 Working Days notice in writing to the Supplier prior to the Expiry Date. The terms and conditions of this Contract shall apply throughout any such extended period. | | |
| **Charges** | The charges for the Deliverables shall be as set out in Annex 3 Pricing Matrix. | | |
| **Payment** | All invoices must be sent, quoting a valid purchase order number (PO Number), to:    ***FAO Supplier Invoices*** ***Crown Commercial Services******9th Floor, The Capital Building******Old Hall Street******Liverpool******L3 9PP*** or **supplierinvoices@crowncommercial.gov.uk**  Within 30 Working Days of receipt of your countersigned copy of this letter, we will send you a unique PO Number. You must be in receipt of a valid PO Number before submitting an invoice.    To avoid delay in payment it is important that the invoice is compliant and that it includes a valid PO Number, PO Number item number (if applicable) and the details (name and telephone number) of your Customer contact (i.e. Contract Manager). Non-compliant invoices will be sent back to you, which may lead to a delay in payment.    If you have a query regarding an outstanding payment please contact our Accounts Payable section either by email to [**supplierinvoices@crowncommercial.gov.uk**](mailto:supplierinvoices@crowncommercial.gov.uk) or by telephone  0151 672 2227between 09:00-17:00 Monday to Friday. | | |
| **Liaison** | *[REDACTED* | | |
| **Address for notices** | |  |  | | --- | --- | | **Crown Commercial Service** | **Supplier** | | *[REDACTED* | *[REDACTED]* | | | |
| **Key Personnel** | |  |  | | --- | --- | | [REDACTED] |  | | | |
|  | For the purposes of the Contract all procedures and policies shall be as detailed within Annex 1 Specification.    The Customer may require the Supplier to ensure that any person employed in the delivery of the Deliverables has undertaken a Disclosure and Barring Service check. The Supplier shall ensure that no person who discloses that he/she has a conviction that is relevant to the nature of the Contract, relevant to the work of the Customer, or is of a type otherwise advised by the Customer (each such conviction a "**Relevant Conviction**"), or is found by the Supplier to have a Relevant Conviction (whether as a result of a police check, a Disclosure and Barring Service check or otherwise) is employed or engaged in the provision of any part of the Deliverables. | | |
| **Signatures** | Signed for and on behalf of the Supplier  Name: [REDACTED]  Signature:[REDACTED] Date: [REDACTED] | | |
|  | Signed for and on behalf of the **Customer**  Name:    Signature: Date: | | |

**Annex 1 – Specification**

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1. **SCOPE OF REQUIREMENT**
   1. The new ETS (Energy Trading System) **must** provide (i.e. Mandatory, the (MVP) Minimum Viable Product):

1.1.1 The ETS must be delivered as a cloud based Software as a Service (SaaS) as per <https://www.gov.uk/guidance/government-cloud-first-policy> and accessible via modern W3C compliant web-based browsers such as Edge, Chrome, and Safari.

1.1.2 The ETS Supplier must supply login accounts to access the procured service to all members of the CCS (Crown Commercial Service) Trading and Risk teams, relevant support personnel and as notified by the Authority.

1.1.3 The new ETS must meet all current IT security requirements for IT systems, specifically Cyber Essentials.

1.1.4 The ETS must comply with Technical Specifications as set out in Appendix A.

1.1.5 The ETS must receive free and regular software updates as part of the core product.

1.1.6 The ETS must be able to support loading of historic demand data and trades from April 2008 onwards for gas and power. Sample trades and demands are provided in Attachment 10 Supplementary Information.

1.1.7 The ETS will be able to record UK Gas and Power trades transacted by CCS:

* + - 1. Gas Products:
         1. UK Gas Seasons
         2. UK Gas Quarters
         3. UK Gas Months
         4. UK Gas Weeks
         5. UK Gas Weekends
         6. UK Gas Days
         7. UK Gas Balance of Month
         8. UK Gas Balance of Week
         9. UK Gas Shape Trade
      2. Electricity Products:
         1. UK Power Base Seasons (Gregorian and EFA)
         2. UK Power Base Quarters (Gregorian and EFA)
         3. UK Power Base Months (Gregorian and EFA)
         4. UK Power Base Weeks
         5. UK Power Base Weekends
         6. UK Power Base Days
         7. UK Power Peak Seasons (Gregorian and EFA)
         8. UK Power Peak Quarters (Gregorian and EFA)
         9. UK Power Peak Months (Gregorian and EFA)
         10. UK Power Peak Weeks
         11. UK Power Peak Weekends
         12. UK Power Peak Days
         13. UK EFA Products
         14. UK Half Hourly shape;

1.1.8 The ETS must allow CCS to customise Baskets (Trade Books) for gas and power to allow trades to be allocated to different strategies. The first basket begins in April 2008 and continues indefinitely.

1.1.9 The ETS must be capable of loading power and gas power curves. Gas curves should be loadable at daily granularity and power curves at a minimum of half hourly granularity. Curves must support data from April 2008 and continues ad infinitum.

1.1.10 The ETS must allow CCS to modify purchasing requirements for Baskets (for power at half hourly granularity and gas on daily granularity) i.e. Basket demand profiles may change.

1.1.11 The ETS must allow user access controls to restrict functionality for users based either on job role or at a user level. Three core user types are expected. See Attachment 10 Supplementary Information for user access control example privileges.

1.1.12 The ETS must include comprehensive audit functionality (i.e. the ability to see who entered, edited or amended trades, and other relevant data).

1.1.13 The ETS must automatically update positions for the affected baskets when:

* + - 1. A new trade is entered;
      2. An existing trade is modified;
      3. A new power or gas curve is loaded or to reflect 1.2.1.

1.1.14 The ETS must support autoloads via SFTP (Secure File Transfer Protocol) or suitable alternative to allow weather corrected demands and updated curves to be loaded efficiently.

1.1.15 The ETS Supplier must make available a test and development (T&D) environment at the Authority’s request should it be required.

1.1.16 The ETS system must allow the ability to import customised data into Microsoft Excel and/ or Power BI (at CCS offices) to allow analysis and custom position report creation.

* 1. The ETS **must** within 3 months of the contract start date:

1.2.1 Support price updates from brokers which CCS has contracted with. CCS may elect to use delayed or live price feeds for these brokers.

* + - 1. CCS use Joule[[1]](#footnote-1) to aggregate prices provided by the following brokers:
         1. ICAP <https://www.icap.com/>
         2. Griffin <https://griffinmarkets.com/>
         3. Prebon <https://www.tullettprebon.com/>
         4. Spectron <https://www.marexspectron.com/>
         5. GFI <http://www.gfigroup.co.uk/>
      2. Suppliers may load prices into the system via direct access to brokers or via Joule if permissible. The Supplier should determine the most appropriate route.
    1. Support delayed and end of day price updates from ICE[[2]](#footnote-2).
    2. Provide Risk Reporting via a reporting interface;

1.2.3.1 CCS recognise that risk reporting can encompass a variety of different methods and variations of VaR[[3]](#footnote-3) calculation. CCS has provided a risk reporting overview of how it works in Attachment 10 Supplementary Information.

* 1. The ETS should provide a rich, capable and fully customisable reporting suite allowing:

1.3.1 Creation of custom position reports for viewing positions of baskets at seasonal, base/peak (electricity), monthly and daily level.

1.3.2 Creation of pre-defined reports for import into CCS systems.

1.3.3 Analysis tools to assist with trading and risk management i.e. Stress Testing, Monte Carlo[[4]](#footnote-4) simulation.

1.3.4 Bespoke report creation for users to allow access to all data in Excel format.

1.3.5 Enable interbook trades.

1.3.6 Be capable of applicable regulatory reporting if required.

1.3.7 Support the entry of Power Purchase Agreements (PPA).

1.4 Additional offerings are not applicable.

1. **THE REQUIREMENT**
   1. **List of Functionality**

2.1.1 Please see MOSCOW document in Attachment 10 Supplementary Information for a detailed (but not exhaustive) list of functionality expected within the ETS.

* 1. **Scope of requirement**
     1. Bidders are required to provide details on the system they can offer to meet the scope of the requirement.
  2. **System Functionality**

2.3.1 The base system functionality is of a centralised Energy Trading System accessible to specialist trading, risk and support staff.

2.3.2 The system should provide, but is not limited to provision of the following aspects:

* + - 1. A centralised energy trading system allowing:
         1. Trade entry for UK Gas and Power.
         2. Multiple CCS baskets for gas or power.
         3. Differing levels of access for CCS users.
      2. Automated loading of data via secure FTP.
      3. Data export function to excel and PowerBI.
      4. Position Reports for baskets;
         1. Simple energy reports.
      5. There must be a capable reporting suite allowing:
         1. Creation of customised MI reports.
         2. Creation of customised Risk reports.
         3. Creation of customised position reports.
         4. Basic Analysis tools.
         5. Export of raw and process data into common formats.

2.3.3 The ETS should be the same as and provide the same functionality as was shown in the Demonstration in response to Attachment 2b Award Questionnaire question AQC1 and the component part listed as required within that Demonstration.

* 1. **System Integration**

2.4.1 The system must provide API-based integration capabilities; specifically either a RESTful web service, with data presented in a JSON (preferred) or XML format or a SOAP-based API with data in an XML format. The ability to export data in CSV format is also desirable.

* 1. **Training**

2.5.1 Training on the new ETS must be supplied for 2 Risk Staff, 5 Traders and 2 IT users within CCS and further training material must be made available for CCS users.

2.5.2 The Supplier will provide training and any support required as detailed in tender response:

[REDACTED]

* 1. **Data Ownership**

2.6.1 CCS data in your system will remain the property of CCS and will not be used elsewhere.

* 1. **Data Transfer**

2.7.1 The process for CCS to transfer its data to another Supplier is detailed as follows:

[REDACTED]

* 1. **Data Security and Destruction**

2.8.1 The Supplier will securely destroy CCS data after termination/expiry of the Contract subject to 2.7.1.

* 1. **Data Standards**

2.9.1 UK Government recommends an open approach to data, including the use of common data standards such as the Open Data Standards, and prefers exchange of data via an Application Programming Interface (API). All components SHOULD offer web APIs supporting RESTful JSON interfaces in accordance with CCS architectural decisions https://[github.com/Crown-Commercial-Service/CCS-Architecture-Decision-Records/tree/master/doc/adr](http://github.com/Crown-Commercial-Service/CCS-Architecture-Decision-Records/tree/master/doc/adr)

**2.10 Security Objectives and Outcomes**

2.10.1 The Supplier shall deliver the service in accordance with the HMG Security Policy Framework<https://www.gov.uk/government/publications/security-policy-framework>.

2.10.2 The Supplier shall implement security architecture that considers all of the technology, people and processes relating to the service. The security architecture shall be designed to achieve the following security goals:

1. make an initial compromise of the system difficult;
2. limit the impact of any compromise;
3. make disruption of the system difficult; and
4. make detection of a compromise easy.

2.10.3 All personnel working with government information should have sufficient security clearance commensurate to the service provided in alignment to best industry practice.

**2.11 Testing**

2.11.1 CCS may conduct MVP testing on any product after award of the Contract to ensure the ETS is fit for purpose.

2.11.2 Failure to meet MVP criteria may result in withdrawal of award with no recourse.

**3. KEY MILESTONES AND DELIVERABLES**

3.1 The following Contract milestones/deliverables shall apply:

|  |  |  |
| --- | --- | --- |
| Milestone/  Deliverable | Description | Anticipated timeframe  or Delivery Date |
| 1 | [REDACTED] | [REDACTED] |
| 2 | [REDACTED] | [REDACTED] |

**4. CONTINUES IMPROVEMENT/CHANGES TO ETS**

4.1 The Supplier will be expected to continually improve the way in which the required services are to be delivered throughout the Contract duration.

4.2 The Supplier should present new ways of working to the Authority during quarterly Contract review meetings.

4.3 Changes to the way in which the services are to be delivered must be brought to the Authority’s attention and agreed prior to any changes being implemented.

**5. STAFF AND CUSTOMER SERVICE**

5.1 The Supplier shall provide:

[REDACTED]

1. **SERVICE LEVELS AND PERFORMANCE**

6.1 CCS will measure the quality of the Supplier’s delivery by:

6.1.1 The below minimum service levels, in addition to any further KPIs and/or SLAs which are provided by the Supplier in order to ensure the proper administration of the Contract.

|  |  |  |  |
| --- | --- | --- | --- |
| KPI/SLA | Service Area | KPI/SLA description | Target |
| 1 | Delivery Time-scale | Deliver acceptable functioning system by deadline date | System functionality will be signed off by CCS Project Manager on the date agreed between the Authority and the Supplier during the Award Stage |
| 2 | System Uptime | System is available for CCS and Suppliers | 99.9% during working hours **8:00-18:00** |
| 3 | System functionality | System faults fixed within an acceptable timescale | Critical faults - fixed within 4hrs from reporting of problem  Major faults - 24 hrs  Minor faults - 5 working days unless otherwise agreed between the parties |
| 4 | Service Helpdesk | Access to helpdesk during working hours for CCS users, with nominated escalation point. CCS Working hours are 09:00-17:00 GMT. | Query response within 2 hours  Query resolution within 24hrs |
| 5 | Continuous Improvement | Proactive engagement from Supplier to improve the functioning of the system for CCS | Supplier to present improvements at performance review meetings to be held monthly unless agreed otherwise between the parties |

6.2 The service levels will be reviewed at regular Contract Performance Review meetings. The Supplier will be expected to bring reports on their performance against the agreed SLAs/KPIs.

6.3 Underperformance against the service levels may result in the need for a performance improvement plan, to be developed by the Supplier to ensure service levels are achieved in future.

6.4 Performance will be managed in line with the Contract, however consistent underperformance against the service levels and a failure of the Supplier to implement an appropriate improvement plan will form grounds for termination.

6.5 The enhanced technical support:

[REDACTED]

**7. PRICE**

7.1 The pricing solution must take into account the different products detailed within this Specification and the prices will be included in this Contract.

**8. PAYMENT AND INVOICING**

8.1 Payment will be split into set-up costs, training, annual running costs of the core system, and annual running costs of optional functionality.

8.2 Payment for set-up of the system and training will be made following satisfactory delivery of the functioning system, to a pre-agreed standard as agreed by the parties.

8.3 Payment for further development work will be based on satisfactorily completing the development to a standard agreed by the parties at the time of commissioning the development work.

8.4 The Supplier will invoice quarterly for one quarter of the annual fee for the core system and where applicable, any pro-rata fees due for use of the optional functionality in Price Card B, (i.e. if the optional functionality was switched on in the second month of the quarter, the Supplier can only invoice for 2 month, and quarterly until functionality use is terminated; the final quarter to be pro-rated accordingly); the invoice to be raised not more than thirty (30) days before the end of the quarterly service period.

8.5 Before payment can be considered, each invoice must include a breakdown of work completed and the associated costs.

8.6 Invoices should be submitted to:

[supplierinvoices@crowncommercial.gov.uk](mailto:supplierinvoices@crowncommercial.gov.uk)

FAO Supplier Invoices

Crown Commercial Services

9th Floor, The Capital Building

Old Hall Street

Liverpool

L3 9PP

**9. ACCOUNT/CONTRACT MANAGEMENT**

9.1 Suppliers are required to provide details of their approach to account management specifically relating to this Contract and its service provision. Suppliers are required to provide an account manager along with a nominated deputy who will act in their absence.

9.2 The account manager (or their deputy in times of absence) is required to meet with the CCS Contract manager on a regular basis at a time and location that has been agreed in advance of the meeting.

9.3 Suppliers are required to provide details, along with copies of any relevant internal policies, specific to the delivery of the services within this Contract:

9.3.1 Business continuity disaster plan (BCDR) – to cover all types of incidents to ensure continued provision of service.

[RM6140 AQB3 BUSINESS CONTINUITY PLAN REDACTED]

9.3.2 Complaints and escalations process.

[RM6140 AQB3 ESCALATION PLAN REDACTED]

9.3.3 ETS Project Plan & Roadmap

[RM6140 AQB3 ROADMAP REDACTED]

9.4 All meetings between the Supplier and CCS will take place at CCS offices, located in Liverpool and London, or via webex/conference call at the Authority’s discretion.

9.5 Attendance at Contract Review meetings shall be at the Supplier’s own expense.

**10. LOCATION**

10.1 Although the Services will be delivered as a Cloud-based solution available at various sites, for the purposes of the Contract the location of the Services will be carried out at The Capital Building, Old Hall St, Liverpool L3 9P

Appendix A -Technical Specification

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| **Reference** | **Theme** | **Requirement** |
| |  | | --- | | Energy Trading System |  |  |  |  | | --- | --- | --- | | Info | **data** includes:  Gas Trade Products:   * UK Gas Seasons * UK Gas Quarters * UK Gas Months * UK Gas Weeks * UK Gas Weekends * UK Gas Days * UK Gas Balance of Month * UK Gas Balance of Week * UK Gas Shape Trade;   Electricity Trade Products   * UK Power Base Seasons (Gregorian and EFA) * UK Power Base Quarters (Gregorian and EFA) * UK Power Base Months (Gregorian and EFA) * UK Power Base Weeks * UK Power Base Weekends * UK Power Base Days * UK Power Peak Seasons (Gregorian and EFA) * UK Power Peak Quarters (Gregorian and EFA) * UK Power Peak Months (Gregorian and EFA) * UK Power Peak Weeks * UK Power Peak Weekends * UK Power Peak Days * UK EFA Products * UK Half Hourly shape;   UK Power Curve   * Half Hourly price curves   UK Gas Curve   * Daily Gas curves   Demands   * Half hourly power demand data * Monthly Baseload Demand data * Monthly Peak demand data * Daily gas data   User Information   * User name, job title   Basket Information   * Commodity * Name * Delivery Period |  | | | |
| 01 | Tech Spec | The data MUST be made available by an API using standard web protocols such as JSON REST |

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| **Reference** | **Theme** | **Requirement** |
| User Registration and Access Control | | |
| Infor | Tech Spec | All users of the ETS will be authenticated by secure login. |
| 02 | Tech Spec | The ETS could support SAML2 and/or OpenID Connect identity assertions.. |

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| **Reference** | **Theme** | **Requirement** |
| Agreement Records and Party Records | | |
| 01 | Tech Spec | Supplier SHOULD refer to and update Authority summary details of agreements and parties in SalesForce via APIs using standard web protocols such as JSON REST. Interface details will be agreed later.  Data export / import processes SHOULD be considered as a fallback if API mechanisms can’t be built on those processes. |

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| **Reference** | **Theme** | **Requirement** |
| Document store | | |
| 01 | Tech Spec | The Authority stores documents in Google Drive. Amazon S3 also will also be used for application document storage. Supplier SHOULD read and write data to the document stores via relevant web APIs. |
| **Reference** | **Theme** | **Requirement** |
| Strategic Alignment | | |
| 02 | Tech Spec | All components SHOULD offer web APIs supporting RESTful JSON interfaces.  Messaging MAY be by email but all auditable interactions SHOULD be by secured web interfaces to be agreed. |
| **Reference** | **Theme** | **Requirement** |
| Technical quality requirements | | |
| 01 | Tech Spec | ETS should comply with the CCS overarching Copy Sourcing Services Design. |
| 02 | Tech Spec | ETS and Supplier MUST demonstrably conform to UK Government standards:   |  |  | | --- | --- | | Technology Code of Practice | https://www.gov.uk/government/publications/technology-code-of-practice/technology-code-of-practice | | Cloud Security Principles | https://www.ncsc.gov.uk/guidance/implementing-cloud-security-principles | | Security Design Principles for Digital Services | https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main | | security standards defined within the Authority’s Digital and Technology Strategy are incorporated into the service delivery. | https://intranet.crowncommercial.gov.uk/task/digital-and-technology-strategy-2018-21/ | | HMG Minimum Cyber Security Standard. | https://www.gov.uk/government/publications/the-minimum-cyber-security-standard | | Coherence with the National Cyber Security Centre (NCSC) Cloud Security Principles. | https://www.ncsc.gov.uk/collection/cloud-security?curPage=/collection/cloud-security/implementing-the-cloud-security-principles | | Software Delivery Life cycle is undertaken securely through the application of the NCSC Secure Development and Deployment Guidance. | https://www.ncsc.gov.uk/collection/developers-collection?curPage=/collection/developers-collection/principles | | Undertake an IT Security Penetration Test prior to a service being commissioned and annually thereafter.  The IT Security Penetration scope shall be agreed by the Authority and shall address the five security controls underpinning the Cyber Essentials Scheme. | . https://www.ncsc.gov.uk/guidance/penetration-testing | |

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| **Reference** | **Theme** | **Requirement** |
| Availability requirements | | |
| 01 | Tech Spec | **Total availability**: the solution MUST be available during working hours 0800 to 1800 with 99.9% availability. |
| 02 | Tech Spec | **Maintenance and core hours**: planned maintenance MUST occur outside core hours of 8am to 6pm Monday to Friday UK time. |
|  |  | **Recovery Time Objective**: Services MUST be restored after unintentional outage within 4 hours of any one incident and also no more than 30 minutes beyond any underlying cloud operator outage, whichever is smaller. There must be an aggregate annual total of no more than .1% outage (8 hours 45.6 minutes). Exceeding these outages will incur service credits. |
|  |  | **Recovery Point Objective**: Each web page SHOULD automatically save significant page content where javascript is available to avoid data loss. Once web transactions have been made, there MUST NOT be more than 5 minutes of work lost. |
|  |  | **Response time**: 95% of requests to *core pages/actions* respond within 1 second. 95% of agreed *non core pages/actions* respond within 1 minute.  For clarity - The Supplier and Authority to agree on core and non-core pages, but broad expectation is that all workflow data entry activities are core, whereas document generating, analysis and reporting actions are non-core. Responses which exceed the required responsiveness should be logged. A performance report should be provided to the Authority. Where performance goals are not met the provider must design and enact a remediation plan and service credits may apply. Even when performance goals are met if non performing pages are impacting user performance, for example pages taking excessive time even where 95% are within time, a performance plan should be put in place to mitigate the impact. |
|  |  | **Disaster recovery**: Supplier shall have a system recovery mode in case of total loss of cloud region within two days, which will be activated if the Authority agrees the cloud service provider will not restore service within an acceptable time frame. |
|  |  | **Repeated failure of underlying cloud service provider**: if cloud service provider breaches 99.9% availability within a year the Authority may require the Supplier to plan to migrate to another cloud service provider. |

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| **Reference** | **Theme** | **Requirement** |
| Confidentiality, integrity and data protection | | |
| 01 | Tech Spec | The Supplier shall provide the Authority with a statement of the physical location where data will be stored, processed and managed.  The Supplier shall only be permitted to off-shore elements outside the UK where that aspect of the service is delivered from one of the following locations:   * A country within the EEA; * A country where the European Commission has made a positive finding with regard to the adequacy of their regulatory Data Protection controls; or * A supplier who has Privacy Shield certification. |
| 02 | Tech Spec | Data MUST be processed and stored in accordance with the Data Protection Act 2018 and thus General Data Protection Regulations (GDPR) regulations. |
|  | Tech Spec | At the Authority’s request, data processing and storage MUST be moved to UK public cloud residency within six months of activation of request at solution providers cost. |
|  |  | All personal data SHOULD be synchronised via APIs to allow coordination with the authority’s identity records. Personally identifiable fields must be marked and available for reporting and management according to GDPR regulations |
|  |  | All data MUST be handled in line with Cloud Security Principles as above.  Specifically measures must be taken to protect against   1. Leaking of commercially sensitive bid data prior to publishing 2. Malicious or accidental modification of any commercial data, whether published or not |
|  |  | The Supplier shall provide to the Authority details of the information assurance risks identified through the security assurance process four (4) weeks prior to the first live User of the Contract and on an annual basis thereafter. |
|  |  | The Supplier shall provide a Security Assurance Statement to the Authority prior to delivery of the Services and annually updated thereafter. |
|  |  | The Supplier shall provide evidence to the Authority on an on-going basis of the effective operation of the security controls and agree with the Authority the scope of an Operational Security Report template within twelve (12) weeks of Contract Award. The Report shall be provided to the Authority on a quarterly basis. |
|  |  | The Supplier shall produce a Security Incident Management Plan within six (6) weeks of Contract award.  The Security Incident Management Plan shall provide a categorisation scheme against which all security incidents shall be classified. The Plan shall detail how the Supplier will manage security incidents and shall detail the methods of communication to the Authority and Contracting Authorities (including any out-of-band methods) and the how the Supplier will address any detected information disclosure. |
|  |  | The Supplier shall provide a Cyber Essentials certificate for the Solution that is  issued by an NCSC approved certification body or a Supplier’s corporate Cyber Essential certificate issued by an NCSC approved certification body  if it can be demonstrated that the Solution is within its scope. |
|  |  | The Supplier shall ensure that any Subcontractors who will  have access or process to Contracting Authority data or shall be assured under a suitably scoped certificate which is issued under the Cyber Essentials Scheme.  The Supplier shall confirm this provision is in place before the Supplier or the relevant Sub-contractor shall be permitted to store, process or access OFFICIAL data provided by the Contracting Authority.  Any exceptions to the flow-down of the certification requirements to third party suppliers and Subcontractors shall be agreed with the Authority. |
|  |  | The Supplier shall provide the Authority with evidence of renewal of Cyber Essential certification by the date recommended by the certification authority over the duration of the contract. |

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| **Reference** | **Theme** | **Requirement** |
| Updates | | |
| 01 | Tech Spec | **Patches**: The service MUST be updated to provide security and bug fixes in the shortest reasonable time not impacting availability requirements. Such patches MUST be thoroughly tested prior to release. Rollback options MUST be available. The Authority MUST be informed of system changes at the time of release. Any non trivial risk on a patch SHOULD be notified to the Authority two days prior to release and contingency plans should be in place. |
|  |  | The Supplier shall ensure that all COTS hardware and software used to deliver the service shall be under mainstream vendor support during the duration of the Contract. |
| 02 | Tech Spec | **Functional impact**: Small functional service updates may be made at any time so long as the usability of the updates is obvious, is a small change and has been user tested with users from the Authority or similar organisations. Such changes should be self evident and not require formal training. Larger changes that may not be obvious MUST be notified to the Authority at least seven days before release and should have been user tested with the authority. A/B testing modes are preferred in this case so that functional changes can be released to small agreed subsets of Authority staff for user testing. |
| 03 |  | **Technical interfaces**: APIs **should** distinguish between minor and major versions, in line with semantic versioning standards such as https://semver.org. Minor version changes should be backwards compatible. Major version changes **should** be offered in parallel and older versions should not be retired until providing the Authority with at least three months notice. |

**Annex 3 – Pricing Matrix**

[REDACTED]

|  |  |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |
| As detailed in para 6.5 in the above Specification “The enhanced technical support” this cost table provides day rate costs (excluding VAT) for additional services. | |
| Additional Service | Costs Day Rate |
| Business Consultant/Trading Consultant | [REDACTED] |
| Product Manager/Consultant | [REDACTED] |
| Technical Lead | [REDACTED] |
| Cloud/ Interface Developer | [REDACTED] |

**SHORT FORM TERMS**

# DEFINITIONS USED IN THE CONTRACT

1. In this Contract, unless the context otherwise requires, the following words shall have the following meanings:

**"Agreement"**  means the Contract between (i) the Customer acting as part of the Crown and

(ii) the Supplier constituted by the Supplier’s countersignature of the Award Letter and includes the Award Letter and Annexes;

**"Authority"** means the Crown Commercial Service

**"API"** means a set of functions and procedures allowing the creation of applications

that access the features or data of an operating system, application, or other

service.

**"Basket"** Commonly referred to as Trading Book or Trading Strategy or Product. A Basket will hold aggregated demand data for customers who have selected a given strategy. CCS will enter into transactions to meet the aggregated demand.

**"CCS"** Crown Commercial Service (The Authority)

|  |  |
| --- | --- |
| **"Central Government Body"** | means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics:   1. Government Department; 2. Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); 3. Non-Ministerial Department; or 4. Executive Agency; |
| **"Charges"** | means the charges for the Deliverables as specified in the Order Form; |
| **"Confidential Information"** | means all information, whether written or oral (however recorded), provided by the disclosing Party to the receiving Party and which (i) is known by the receiving Party to be confidential; (ii) is marked as or stated to be confidential; or (iii) ought reasonably to be considered by the receiving Party to be confidential; |
| **"Contract"** | means the agreement between (i) the Customer and (ii) the Supplier which is created by the Supplier’s counter signing the Order Form and includes the Order Form and Annexes; |
| **"Controller"** | has the meaning given to it in the GDPR; |
| **"Customer"**  **"Customer Cause"**  **"DFP"**  **"DPA"**  **"Date of Delivery"** | means the person identified in the letterhead of the Order Form;  any breach of the obligations of the Customer or any other default, act, omission, negligence or statement of the Customer, of its employees, servants, agents in connection with or in relation to the subject-matter of the Contract and in respect of which the Customer is liable to the Supplier;  means Desirable Future Product, a system which offers additional functionality as desired;  means the Data Protection Act 1998;  means that date by which the Deliverables must be delivered to the Customer, as specified in the Order Form; |
| **"Data Protection Legislation"** | the GDPR, the LED and any applicable national implementing Laws as amended from time to time (ii) the Data Protection Act 2018 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 Impact**  **Assessment"** | an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data; |
| **"Data Protection Officer"** | has the meaning given to it in the GDPR; |
| **"Data Subject"** | has the meaning given to it in the GDPR; |
| **"Data Loss Event"** | any event that results, or may result, in unauthorised access to Personal Data held by the Supplier 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 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; |
| **"Deliver"**  **"Deliverables"**  **"ETS"** | means hand over the Deliverables to the Customer at the address and on the date specified in the Order Form, which shall include unloading and any other specific arrangements agreed. Delivered and Delivery shall be construed accordingly;  has the same meaning as given to services as detailed within the Annex 2 Specification  means an Energy Trading System meeting the Authority’s mandatory requirements. |
| **"Existing IPR"** | any and all intellectual property rights that are owned by or licensed to either Party and which have been developed independently of the Contract (whether prior to the date of the Contract or otherwise); |
| **"Expiry Date"** | means the date for expiry of the Contract as set out in the Order Form; |
| **"FOIA"** | means the Freedom of Information Act 2000 together with any guidance and/or codes of practice issued by the Information Commissioner or relevant Government department in relation to such legislation; |
| **"Force Majeure Event"**  **"FTP"** | any event, occurrence, circumstance, matter or cause affecting the performance by either Party of its obligations under the Contract arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control which prevent or materially delay it from performing its obligations under the Contract but excluding: i) any industrial dispute relating to the Supplier, the Supplier Staff (including any subsets of them) or any other failure in the Supplier or the Subcontractor's supply chain; ii) any event, occurrence, circumstance, matter or cause which is attributable to the wilful act, neglect or failure to take reasonable precautions against it by the Party concerned; and iii) any failure of delay caused by a lack of funds;  means File Transfer Protocol; The File Transfer Protocol is a standard network protocol used for the transfer of computer files between a client and server on a computer network. FTP is built on a client-server model architecture using separate control and data connections between the client and the server. |
| **"GDPR"** | the General Data Protection Regulation (Regulation (EU) 2016/679); |
| **"Goods"** | means the goods to be supplied by the Supplier to the Customer under the Contract; |
| **"Good Industry Practice"** | standards, practices, methods and procedures conforming to the law and the exercise of the degree of skill and care, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced person or body engaged within the relevant industry or business sector; |
| **"Government Data"** | 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, including any of the Customer's confidential information, and which: i) are supplied to the Supplier by or on behalf of the Customer; or ii) the Supplier is required to generate, process, store or transmit pursuant to the Contract; or b) any Personal Data for which the Customer is the Data Controller; |
| **"Information"** | has the meaning given under section 84 of the FOIA; |
| **"Information Commissioner"** | the UK’s independent authority which deals with ensuring information relating to rights in the public interest and data privacy for individuals is met, whilst promoting openness by public bodies; |
| **"Insolvency Event"** | in respect of a person: a) if that person is insolvent; ii) if an order is made or a resolution is passed for the winding up of the person (other than voluntarily for the purpose of solvent amalgamation or reconstruction); iii) if an administrator or administrative receiver is appointed in respect of the whole or any part of the persons assets or business; iv) if the person makes any composition with its creditors or takes or suffers any similar or analogous action to any of the actions detailed in this definition as a result of debt in any jurisdiction; |
| **"Key Personnel"** | means any persons specified as such in the Order Form or otherwise notified as such by the Customer to the Supplier in writing; |
| **"LED"** | Law Enforcement Directive (Directive (EU) 2016/680); |
| **"New IPR"**  **"MVP"** | all and intellectual property rights in any materials created or developed by or on behalf of the Supplier pursuant to the Contract but shall not include the Supplier's Existing IPR;  means Minimum Viable Product, a system which provides the basic minimum requirements |
| **“Order Form"**  **"OR"** | means the letter from the Customer to the Supplier printed above these terms and conditions;  means Optional Requirements, that CCS may choose to activate/ purchase during the lifetime of the Contract. Where the Supplier has indicated this is available at no extra cost, CCS may elect to activate immediately. |
| **"Party"**  **"PPA"** | the Supplier or the Customer (as appropriate) and "Parties" shall mean both of them;  A power purchase agreement, or electricity power agreement, is a Contract between two parties, one which generates electricity (the seller) and one which is looking to purchase electricity (the buyer). |
| **"Personal Data"** | has the meaning given to it in the GDPR; |
| **"Personal Data Breach"** | has the meaning given to it in the GDPR; |
| **"Processor"** | has the meaning given to it in the GDPR; |
| **"Purchase Order Number"** | means the Customer’s unique number relating to the order for Deliverables to be supplied by the Supplier to the Customer in accordance with the terms of the Contract; |
| **"Regulations"** | the Public Contracts Regulations 2015 and/or the Public Contracts (Scotland) Regulations 2015 (as the context requires) as amended from time to time; |
| **"Request for Information"**  **"SaaS"** | has the meaning set out in the FOIA or the Environmental Information Regulations 2004 as relevant (where the meaning set out for the term "request" shall apply);  Software as a service, is a software distribution model in which a third party provider hosts applications and makes them available to customers on line; |
| **"Services"** | means the services to be supplied by the Supplier to the Customer under the Contract; |
| **"Specification"** | means the specification for the Deliverables to be supplied by the Supplier to the Customer (including as to quantity, description and quality) as specified in the Order Form; |
| **"Staff"** | means all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any sub-contractor of the Supplier engaged in the performance of the Supplier’s obligations under the Contract; |
| **"Staff Vetting Procedures"** | means vetting procedures that accord with good industry practice or, where applicable, the Customer’s procedures for the vetting of personnel as provided to the Supplier from time to time; |
| **"Subprocessor"** | any third Party appointed to process Personal Data on behalf of the Supplier related to the Contract |
| **"Supplier Staff"** | all directors, officers, employees, agents, consultants and contractors of the Supplier and/or of any Subcontractor engaged in the performance of the Supplier’s obligations under a Contract; |
| **"Supplier"** | means the person named as Supplier in the Order Form; |
| **"Term"** | means the period from the start date of the Contract set out in the Order Form to the Expiry Date as such period may be extended or terminated in accordance with the terms and conditions of the Contract; |
| **"US-EU Privacy Shield Register"** | a list of companies maintained by the United States of America Department for Commence that have self-certified their commitment to adhere to the European legislation relating to the processing of personal data to non-EU countries which is available online at: <https://www.privacyshield.gov/list>; |
| **"VAT"** | means value added tax in accordance with the provisions of the Value Added Tax Act 1994; |
| **"Workers"** | any one of the Supplier Staff which the Customer, in its reasonable opinion, considers is an individual to which Procurement Policy Note 08/15 (Tax Arrangements of Public Appointees) (https://www.gov.uk/government/publications/procurement-policynote-0815-tax-arrangements-of-appointees) applies in respect of the Deliverables; |
| **"Working Day"** | means a day (other than a Saturday or Sunday) on which banks are open for business in the City of London. |

# UNDERSTANDING THE CONTRACT

In the Contract, unless the context otherwise requires:

* 1. references to numbered clauses are references to the relevant clause in these terms and conditions;
  2. any obligation on any Party not to do or omit to do anything shall include an obligation not to allow that thing to be done or omitted to be done;
  3. the headings in this Contract are for information only and do not affect the interpretation of the Contract;
  4. references to "writing" include printing, display on a screen and electronic transmission and other modes of representing or reproducing words in a visible form;
  5. the singular includes the plural and vice versa;
  6. a reference to any law includes a reference to that law as amended, extended, consolidated or re-enacted from time to time and to any legislation or byelaw made under that law; and
  7. the word ‘including’, "for example" and similar words shall be understood as if they were immediately followed by the words "without limitation".

# HOW THE CONTRACT WORKS

## The Order Form is an offer by the Customer to purchase the Deliverables subject to and in accordance with the terms and conditions of the Contract.

## The Supplier is deemed to accept the offer in the Order Form when the Customer receives a copy of the Order Form signed by the Supplier.

## The Supplier warrants and represents that its tender and all statements made and documents submitted as part of the procurement of Deliverables are and remain true and accurate.

# WHAT NEEDS TO BE DELIVERED

## **All Deliverables**

### The Supplier must provide Deliverables: (i) in accordance with the Specification; (ii) to a professional standard; (iii) using reasonable skill and care; (iv) using Good Industry Practice; (v) using its own policies, processes and internal quality control measures as long as they don’t conflict with the Contract; (vi) on the dates agreed; and (vii) that comply with all law.

### The Supplier must provide Deliverables with a warranty of at least 90 days (or longer where the Supplier offers a longer warranty period to its customers) from Delivery against all obvious defects.

## **Goods clauses (NOT USED)**

## **Services clauses**

### Late delivery of the Services will be a default of the Contract.

### The Supplier must cooperate with the Customer and third party suppliers on all aspects connected with the delivery of the Services and ensure that Supplier Staff comply with any reasonable instructions including any security requirements.

### The Customer must provide the Supplier with reasonable access to its premises at reasonable times for the purpose of supplying the Services

### The Supplier must at its own risk and expense provide all equipment required to deliver the Services. Any equipment provided by the Customer to the Supplier for supplying the Services remains the property of the Customer and is to be returned to the Customer on expiry or termination of the Contract.

### The Supplier must allocate sufficient resources and appropriate expertise to the Contract.

### The Supplier must take all reasonable care to ensure performance does not disrupt the Customer's operations, employees or other contractors.

### On completion of the Services, the Supplier is responsible for leaving the Customer's premises in a clean, safe and tidy condition and making good any damage that it has caused to the Customer's premises or property, other than fair wear and tear.

### The Supplier must ensure all Services, and anything used to deliver the Services, are of good quality (and free from defects).

### The Customer is entitled to withhold payment for partially or undelivered Services, but doing so does not stop it from using its other rights under the Contract.

# PRICING AND PAYMENTS

## In exchange for the Deliverables, the Supplier shall be entitled to invoice the Customer for the charges in the Order Form. The Supplier shall raise invoices promptly and in any event within 90 days from when the charges are due.

## All Charges:

### exclude VAT, which is payable on provision of a valid VAT invoice;

### include all costs connected with the supply of Deliverables.

## The Customer must pay the Supplier the charges within 30 days of receipt by the Customer of a valid, undisputed invoice, in cleared funds to the Supplier's account stated in the Order Form.

## A Supplier invoice is only valid if it:

### includes all appropriate references including the Purchase Order Number and other details reasonably requested by the Customer;

### includes a detailed breakdown of Deliverables which have been delivered (if any).

## If there is a dispute between the Parties as to the amount invoiced, the Customer shall pay the undisputed amount. The Supplier shall not suspend the provision of the Deliverables unless the Supplier is entitled to terminate the Contract for a failure to pay undisputed sums in accordance with clause 11.6. Any disputed amounts shall be resolved through the dispute resolution procedure detailed in clause 33.

## The Customer may retain or setoff payment of any amount owed to it by the Supplier if notice and reasons are provided.

## The Supplier must ensure that all subcontractors are paid, in full, within 30 days of receipt of a valid, undisputed invoice. If this doesn't happen, the Customer can publish the details of the late payment or non payment.

# THE CUSTOMER'S OBLIGATIONS TO THE SUPPLIER

## If Supplier fails to comply with the Contract as a result of a Customer Cause:

### the Customer cannot terminate the Contract under clauses 11.3 and 11.4.

### the Supplier is entitled to reasonable and proven additional expenses and to relief from liability under this Contract;

### the Supplier cannot suspend the ongoing supply of Deliverables.

## Clause 6.1 only applies if the Supplier:

### gives notice to the Customer within 10 Working Days of becoming aware;

### demonstrates that the failure only happened because of the Customer Cause;

### mitigated the impact of the Customer Cause.

# RECORD KEEPING AND REPORTING

## The Supplier must ensure that suitably qualified representatives attend progress meetings with the Customer and provide progress reports when specified in the Order Form.

## The Supplier must keep and maintain full and accurate records and accounts on everything to do with the Contract for seven years after the date of expiry or termination of the Contract.

## The Supplier must allow any auditor appointed by the Customer access to their premises to verify all Contract accounts and records of everything to do with the Contract and provide copies for the audit.

## The Supplier must provide information to the auditor and reasonable cooperation at their request.

## If the Supplier is not providing any of the Deliverables, or is unable to provide them, it must immediately:

### tell the Customer and give reasons;

### propose corrective action;

### provide a deadline for completing the corrective action.

## If the Customer, acting reasonably, is concerned as to the financial stability of the Supplier such that it may impact on the continued performance of the Contract then the Customer may:

### require that the Supplier provide to the Customer (for its approval) a plan setting out how the Supplier will ensure continued performance of the Contract and the Supplier will make changes to such plan as reasonably required by the Customer and once it is agreed then the Supplier shall act in accordance with such plan and report to the Customer on demand

### if the Supplier fails to provide a plan or fails to agree any changes which are requested by the Customer or fails to implement or provide updates on progress with the plan, terminate the Contract immediately for material breach (or on such date as the Customer notifies).

# SUPPLIER STAFF

## The Supplier Staff involved in the performance of the Contract must:

### be appropriately trained and qualified;

### be vetted in accordance with the Good Industry Practice;

### comply with all conduct requirements when on the Customer's premises.

## Where a Customer decides one of the Supplier's Staff isn’t suitable to work on the Contract, the Supplier must replace them with a suitably qualified alternative.

## If requested, the Supplier must replace any person whose acts or omissions have caused the Supplier to be in breach of this Contract’s terms and conditions including its Annexes.

## The Supplier must provide a list of Supplier Staff needing to access the Customer's premises and say why access is required.

## The Supplier indemnifies the Customer against all claims brought by any person employed by the Supplier caused by an act or omission of the Supplier or any Supplier Staff.

## The Supplier shall use those persons nominated in the Order Form (if any) to provide the Deliverables and shall not remove or replace any of them unless:

### requested to do so by the Customer (not to be unreasonably withheld or delayed);

### the person concerned resigns, retires or dies or is on maternity or long term sick leave; or

### the person's employment or contractual arrangement with the Supplier or any subcontractor is terminated for material breach of Contract by the employee.

# RIGHTS AND PROTECTION

## The Supplier warrants and represents that:

### it has full capacity and authority to enter into and to perform the Contract;

### the Contract is executed by its authorised representative;

### it is a legally valid and existing organisation incorporated in the place it was formed;

### there are no known legal or regulatory actions or investigations before any court, administrative body or arbitration tribunal pending or threatened against it or its affiliates that might affect its ability to perform the Contract;

### it maintains all necessary rights, authorisations, licences and consents to perform its obligations under the Contract;

### it doesn't have any contractual obligations which are likely to have a material adverse effect on its ability to perform the Contract; and

### it is not impacted by an Insolvency Event.

## The warranties and representations in clause 9.1 are repeated each time the Supplier provides Deliverables under the Contract.

## The Supplier indemnifies the Customer against each of the following:

### wilful misconduct of the Supplier, any of its subcontractor and/or Supplier Staff that impacts the Contract;

### non payment by the Supplier of any tax or National Insurance.

## If the Supplier becomes aware of a representation or warranty that becomes untrue or misleading, it must immediately notify the Customer.

## All third party warranties and indemnities covering the Deliverables must be assigned for the Customer's benefit by the Supplier.

# INTELLECTUAL PROPERTY RIGHTS (IPR'S)

## Each Party keeps ownership of its own Existing IPRs. The Supplier gives the Customer a non-exclusive, perpetual, royalty free, irrevocable, transferable worldwide licence to use, change and sub-license the Supplier's Existing IPR to enable it and its sub-licensees to both:

### receive and use the Deliverables;

### use the New IPR.

## Any New IPR created under the Contract is owned by the Customer. The Customer gives the Supplier a licence to use any Existing IPRs for the purpose of fulfilling its obligations under the Contract and a perpetual, royalty-free, non-exclusive licence to use any New IPRs.

## Where a Party acquires ownership of intellectual property rights incorrectly under this Contract it must do everything reasonably necessary to complete a transfer assigning them in writing to the other Party on request and at its own cost.

## Neither Party has the right to use the other Party's intellectual property rights, including any use of the other Party's names, logos or trademarks, except as provided in clause 10 or otherwise agreed in writing.

## If any claim is made against the Customer for actual or alleged infringement of a third party’s intellectual property arising out of, or in connection with, the supply or use of the Deliverables (an "**IPR Claim**"), then the Supplier indemnifies the Customer against all losses, damages, costs or expenses (including professional fees and fines) incurred as a result of the IPR Claim.

## If an IPR Claim is made or anticipated the Supplier must at its own expense and the Customer's sole option, either:

### obtain for the Customer the rights in clauses 10.1 and 10.2 without infringing any third party intellectual property rights;

### replace or modify the relevant item with substitutes that don’t infringe intellectual property rights without adversely affecting the functionality or performance of the Deliverables.

# ENDING THE CONTRACT

## The Contract takes effect on the date of or (if different) the date specified in the Order Form and ends on the earlier of the date of expiry or termination of the Contract or earlier if required by Law.

## The Customer can extend the Contract where set out in the Order Form in accordance with the terms in the Order Form.

## **Ending the Contract without a reason**

### The Customer has the right to terminate the Contract at any time without reason or liability by giving the Supplier not less than 120 days' written notice and if it's terminated clause 11.5(b) to 11.5(g) applies.

## **When the Customer can end the Contract**

### If any of the following events happen, the Customer has the right to immediately terminate its Contract by issuing a termination notice in writing to the Supplier:

#### there's a Supplier Insolvency Event;

#### if the Supplier repeatedly breaches the Contract in a way to reasonably justify the opinion that its conduct is inconsistent with it having the intention or ability to give effect to the terms and conditions of the Contract;

#### if the Supplier is in material breach of any obligation which is capable of remedy, and that breach is not remedied within 30 days of the Supplier receiving notice specifying the breach and requiring it to be remedied;

#### there's a change of control (within the meaning of section 450 of the Corporation Tax Act 2010) of the Supplier which isn't preapproved by the Customer in writing;

#### if the Customer discovers that the Supplier was in one of the situations in 57 (1) or 57(2) of the Regulations at the time the Contract was awarded;

#### the Court of Justice of the European Union uses Article 258 of the Treaty on the Functioning of the European Union (TFEU) to declare that the Contract should not have been awarded to the Supplier because of a serious breach of the TFEU or the Regulations;

#### the Supplier or its affiliates embarrass or bring the Customer into disrepute or diminish the public trust in them.

### If any of the events in 73(1) (a) to (c) of the Regulations (substantial modification, exclusion of the Supplier, procurement infringement) happen, the Customer has the right to immediately terminate the Contract and clause 11.5(b) to 11.5(g) applies.

## **What happens if the Contract ends**

1. Where the Customer terminates the Contract under clause 11.4(a) all of the following apply:

### the Supplier is responsible for the Customer's reasonable costs of procuring replacement Deliverables for the rest of the term of the Contract;

### the Customer's payment obligations under the terminated Contract stop immediately;

### accumulated rights of the Parties are not affected;

### the Supplier must promptly delete or return the Government Data except where required to retain copies by law;

### the Supplier must promptly return any of the Customer's property provided under the Contract;

### the Supplier must, at no cost to the Customer, give all reasonable assistance to the Customer and any incoming supplier and co-operate fully in the handover and re-procurement;

### the following clauses survive the termination of the Contract: (3.2.10, 6, 7.2, 9, 11, 14, 15, 16, 17, 18, 34, 35) and any clauses which are expressly or by implication intended to continue.

## **When the Supplier can end the Contract**

### The Supplier can issue a reminder notice if the Customer does not pay an undisputed invoice on time. The Supplier can terminate the Contract if the Customer fails to pay an undisputed invoiced sum due and worth over 10% of the total Contract value or £1,000, whichever is the lower, within 30 days of the date of the reminder notice.

### If a Supplier terminates the Contract under clause 11.6(a):

#### the Customer must promptly pay all outstanding charges incurred to the Supplier;

#### the Customer must pay the Supplier reasonable committed and unavoidable losses as long as the Supplier provides a fully itemised and costed schedule with evidence - the maximum value of this payment is limited to the total sum payable to the Supplier if the Contract had not been terminated;

#### clauses 11.5(d) to 11.5(g) apply.

## **Partially ending and suspending the Contract**

### Where the Customer has the right to terminate the Contract it can terminate or suspend (for any period), all or part of it. If the Customer suspends the Contract it can provide the Deliverables itself or buy them from a third party.

### The Customer can only partially terminate or suspend the Contract if the remaining parts of it can still be used to effectively deliver the intended purpose.

### The Parties must agree (in accordance with clause 24) any necessary variation required by clause 11.7, but the Supplier may not either:

#### reject the variation;

#### increase the Charges, except where the right to partial termination is under clause 11.3.

### The Customer can still use other rights available, or subsequently available to it if it acts on its rights under clause 11.8.

# HOW MUCH YOU CAN BE HELD RESPONSIBLE FOR

## Agreed cover is as follows:

## ● Employer’s (Compulsory) Liability Insurance = £5,000,000

## ● Public Liability Insurance = £1,000,000

## ● Professional Indemnity Insurance = £1,000,000

## ● Product Liability Insurance = £1,000,000

## Not used.

## In spite of clause 12.1, neither Party limits or excludes any of the following:

### its liability for death or personal injury caused by its negligence, or that of its employees, agents or subcontractors;

### its liability for bribery or fraud or fraudulent misrepresentation by it or its employees;

### any liability that cannot be excluded or limited by law.

## In spite of clause 12.1, the Supplier does not limit or exclude its liability for any indemnity given under clauses 7.5, 8.3, 9.5, 12.2 or 14.9.

## Each Party must use all reasonable endeavours to mitigate any loss or damage which it suffers under or in connection with the Contract, including any indemnities.

## If more than one Supplier is party to the Contract, each Supplier Party is fully responsible for both their own liabilities and the liabilities of the other Suppliers.

# OBEYING THE LAW

## The Supplier must, in connection with provision of the Deliverables, use reasonable endeavours to:

### comply and procure that its subcontractors comply with the Supplier Code of Conduct appearing at ([https://www.gov.uk/government/uploads/system/uploads/attachment\_data/fi le/646497/2017-09- 13\_Official\_Sensitive\_Supplier\_Code\_of\_Conduct\_September\_2017.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/fi%20le/646497/2017-09-%2013_Official_Sensitive_Supplier_Code_of_Conduct_September_2017.pdf)) and such other corporate social responsibility requirements as the Buyer may notify to the Supplier from time to time;

### support the Buyer in fulfilling its Public Sector Equality duty under S149 of the Equality Act 2010;

### not use nor allow its subcontractors to use modern slavery, child labour or inhumane treatment;

### meet the applicable Government Buying Standards applicable to Deliverables which can be found online at: https://www.gov.uk/government/collections/sustainable-procurement-thegovernment-buying-standards-gbs

## The Supplier indemnifies the Customer against any costs resulting from any default by the Supplier relating to any applicable law to do with the Contract.

# DATA PROTECTION

## The Customer is the Controller and the Supplier is the Processor for the purposes of the Data Protection Legislation.

## The Supplier must process Personal Data and ensure that Supplier Staff process Personal Data only in accordance with this Contract.

## The Supplier must not remove any ownership or security notices in or relating to the Government Data.

## The Supplier must make accessible back-ups of all Government Data, stored in an agreed offsite location and send the Customer copies every six months.

## The Supplier must ensure that any Supplier system holding any Government Data, including backup data, is a secure system that complies with the security requirements specified (in writing) by the Customer.

## If at any time the Supplier suspects or has reason to believe that the Government Data provided under the Contract is corrupted, lost or sufficiently degraded, then the Supplier must notify the Customer and immediately suggest remedial action.

## If the Government Data is corrupted, lost or sufficiently degraded so as to be unusable the Customer may either or both:

### tell the Supplier to restore or get restored Government Data as soon as practical but no later than five Working Days from the date that the Customer receives notice, or the Supplier finds out about the issue, whichever is earlier;

### restore the Government Data itself or using a third party.

## The Supplier must pay each Party's reasonable costs of complying with clause 14.7 unless the Customer is at fault.

## Only the Customer can decide what processing of Personal Data a Supplier can do under the Contract and must specify it for the Contract using the template in the Annex to the Order Form (*Authorised Processing*).

## The Supplier must only process Personal Data if authorised to do so in the Annex to the Order Form (*Authorised Processing*) by the Customer. Any further written instructions relating to the processing of Personal Data are incorporated into the Annex to the Order Form.

## The Supplier must give all reasonable assistance to the Customer in the preparation of any Data Protection Impact Assessment before starting any processing, including:

### a systematic description of the expected processing and its purpose;

### the necessity and proportionality of the processing operations;

### the risks to the rights and freedoms of Data Subjects;

### the intended measures to address the risks, including safeguards, security measures and mechanisms to protect Personal Data.

## The Supplier must notify the Customer immediately if it thinks the Customer's instructions breach the Data Protection Legislation.

## The Supplier must put in place appropriate Protective Measures to protect against a Data Loss Event which must be approved by the Customer.

## If lawful to notify the Customer, the Supplier must notify it if the Supplier is required to process Personal Data by Law promptly and before processing it.

## The Supplier must take all reasonable steps to ensure the reliability and integrity of any Supplier Staff who have access to the Personal Data and ensure that they:

### are aware of and comply with the Supplier's duties under this clause 11;

### are subject to appropriate confidentiality undertakings with the Supplier or any Subprocessor;

### are informed of the confidential nature of the Personal Data and do not provide any of the Personal Data to any third Party unless directed in writing to do so by the Customer or as otherwise allowed by the Contract;

### have undergone adequate training in the use, care, protection and handling of Personal Data.

## The Supplier must not transfer Personal Data outside of the EU unless all of the following are true:

### it has obtained prior written consent of the Customer;

### the Customer has decided that there are appropriate safeguards (in accordance with Article 46 of the GDPR);

### the Data Subject has enforceable rights and effective legal remedies when transferred;

### the Supplier meets its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred;

### where the Supplier is not bound by Data Protection Legislation it must use its best endeavours to help the Customer meet its own obligations under Data Protection Legislation; and

### the Supplier complies with the Customer's reasonable prior instructions about the processing of the Personal Data.

## The Supplier must notify the Customer immediately if it:

### receives a Data Subject Access Request (or purported Data Subject Access Request);

### receives a request to rectify, block or erase any Personal Data;

### receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;

### receives any communication from the Information Commissioner or any other regulatory authority in connection with Personal Data processed under this Contract;

### receives a request from any third Party for disclosure of Personal Data where compliance with the request is required or claims to be required by Law;

### becomes aware of a Data Loss Event.

## Any requirement to notify under clause 14.17 includes the provision of further information to the Customer in stages as details become available.

## The Supplier must promptly provide the Customer with full assistance in relation to any Party's obligations under Data Protection Legislation and any complaint, communication or request made under clause 14.17. This includes giving the Customer:

### full details and copies of the complaint, communication or request;

### reasonably requested assistance so that it can comply with a Data Subject Access Request within the relevant timescales in the Data Protection Legislation;

### any Personal Data it holds in relation to a Data Subject on request;

### assistance that it requests following any Data Loss Event;

### assistance that it requests relating to a consultation with, or request from, the Information Commissioner's Office.

## The Supplier must maintain full, accurate records and information to show it complies with this clause 11. This requirement does not apply where the Supplier employs fewer than 250 staff, unless either the Customer determines that the processing:

### is not occasional;

### 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;

### is likely to result in a risk to the rights and freedoms of Data Subjects.

## The Supplier must appoint a Data Protection Officer responsible for observing its obligations in this Schedule and give the Customer their contact details.

## Before allowing any Subprocessor to process any Personal Data, the Supplier must:

### notify the Customer in writing of the intended Subprocessor and processing;

### obtain the written consent of the Customer;

### enter into a written Contract with the Subprocessor so that this clause 14 applies to the Subprocessor;

### provide the Customer with any information about the Subprocessor that the Customer reasonably requires.

## The Supplier remains fully liable for all acts or omissions of any Subprocessor.

## At any time the Customer can, with 30 Working Days notice to the Supplier, change this clause 14 to:

### replace it with any applicable standard clauses (between the controller and processor) or similar terms forming part of an applicable certification scheme under GDPR Article 42;

### ensure it complies with guidance issued by the Information Commissioner's Office.

## The Parties agree to take account of any non-mandatory guidance issued by the Information Commissioner's Office.

## The Supplier:

### must provide the Customer with all Government Data in an agreed open format within 10 Working Days of a written request;

### must have documented processes to guarantee prompt availability of Government Data if the Supplier stops trading;

### must securely destroy all Storage Media that has held Government Data at the end of life of that media using Good Industry Practice;

### securely erase all Government Data and any copies it holds when asked to do so by the Customer unless required by Law to retain it;

### indemnifies the Customer against any and all Losses incurred if the Supplier breaches clause 14 and any Data Protection Legislation.

# WHAT YOU MUST KEEP CONFIDENTIAL

## Each Party must:

### keep all Confidential Information it receives confidential and secure;

### not disclose, use or exploit the disclosing Party's Confidential Information without the disclosing Party's prior written consent, except for the purposes anticipated under the Contract;

### immediately notify the disclosing Party if it suspects unauthorised access, copying, use or disclosure of the Confidential Information.

## In spite of clause 15.1, a Party may disclose Confidential Information which it receives from the disclosing Party in any of the following instances:

### where disclosure is required by applicable Law or by a court with the relevant jurisdiction if the recipient Party notifies the disclosing Party of the full circumstances, the affected Confidential Information and extent of the disclosure;

### if the recipient Party already had the information without obligation of confidentiality before it was disclosed by the disclosing Party;

### if the information was given to it by a third party without obligation of confidentiality;

### if the information was in the public domain at the time of the disclosure;

### if the information was independently developed without access to the disclosing Party's Confidential Information;

### to its auditors or for the purposes of regulatory requirements;

### on a confidential basis, to its professional advisers on a need-to-know basis;

### to the Serious Fraud Office where the recipient Party has reasonable grounds to believe that the disclosing Party is involved in activity that may be a criminal offence under the Bribery Act 2010.

## The Supplier may disclose Confidential Information on a confidential basis to Supplier Staff on a need-to-know basis to allow the Supplier to meet its obligations under the Contract. The Supplier Staff must enter into a direct confidentiality agreement with the Customer at its request.

## The Customer may disclose Confidential Information in any of the following cases:

### on a confidential basis to the employees, agents, consultants and contractors of the Customer;

### on a confidential basis to any other Central Government Body, any successor body to a Central Government Body or any company that the Customer transfers or proposes to transfer all or any part of its business to;

### if the Customer (acting reasonably) considers disclosure necessary or appropriate to carry out its public functions;

### where requested by Parliament;

### under clauses 5.7 and 16.

## For the purposes of clauses 15.2 to 15.4 references to disclosure on a confidential basis means disclosure under a confidentiality agreement or arrangement including terms as strict as those required in clause 15.

## Information which is exempt from disclosure by clause 16 is not Confidential Information.

## The Supplier must not make any press announcement or publicise the Contract or any part of it in any way, without the prior written consent of the Customer and must take all reasonable steps to ensure that Supplier Staff do not either.

# WHEN YOU CAN SHARE INFORMATION

## The Supplier must tell the Customer within 48 hours if it receives a Request For Information.

## Within the required timescales the Supplier must give the Customer full cooperation and information needed so the Customer can:

### comply with any Freedom of Information Act (FOIA) request;

### comply with any Environmental Information Regulations (EIR) request.

## The Customer may talk to the Supplier to help it decide whether to publish information under clause 16. However, the extent, content and format of the disclosure is the Customer’s decision, which does not need to be reasonable.

# INVALID PARTS OF THE CONTRACT

1. If any part of the Contract is prohibited by Law or judged by a court to be unlawful, void or unenforceable, it must be read as if it was removed from that Contract as much as required and rendered ineffective as far as possible without affecting the rest of the Contract, whether it’s valid or enforceable.

# NO OTHER TERMS APPLY

1. The provisions incorporated into the Contract are the entire agreement between the Parties. The Contract replaces all previous statements and agreements whether written or oral. No other provisions apply.

# OTHER PEOPLE'S RIGHTS IN A CONTRACT

1. No third parties may use the Contracts (Rights of Third Parties) Act (CRTPA) to enforce any term of the Contract unless stated (referring to CRTPA) in the Contract. This does not affect third party rights and remedies that exist independently from CRTPA.

# CIRCUMSTANCES BEYOND YOUR CONTROL

## Any Party affected by a Force Majeure Event is excused from performing its obligations under the Contract while the inability to perform continues, if it both:

### provides written notice to the other Party;

### uses all reasonable measures practical to reduce the impact of the Force Majeure Event.

## Either party can partially or fully terminate the Contract if the provision of the Deliverables is materially affected by a Force Majeure Event which lasts for 90 days continuously.

## Where a Party terminates under clause 20.2:

### each party must cover its own losses;

### clause 11.5(b) to 11.5(g) applies.

# RELATIONSHIPS CREATED BY THE CONTRACT

1. The Contract does not create a partnership, joint venture or employment relationship. The Supplier must represent themselves accordingly and ensure others do so.

# GIVING UP CONTRACT RIGHTS

1. A partial or full waiver or relaxation of the terms of the Contract is only valid if it is stated to be a waiver in writing to the other Party.

# TRANSFERRING RESPONSIBILITIES

## The Supplier cannot assign the Contract without the Customer's written consent.

## The Customer can assign, novate or transfer its Contract or any part of it to any Crown Body, public or private sector body which performs the functions of the Customer.

## When the Customer uses its rights under clause 23.2 the Supplier must enter into a novation agreement in the form that the Customer specifies.

## The Supplier can terminate the Contract novated under clause 23.2 to a private sector body that is experiencing an Insolvency Event.

## The Supplier remains responsible for all acts and omissions of the Supplier Staff as if they were its own.

## If the Customer asks the Supplier for details about Subcontractors, the Supplier must provide details of Subcontractors at all levels of the supply chain including:

### their name;

### the scope of their appointment;

### the duration of their appointment.

# CHANGING THE CONTRACT

## Either Party can request a variation to the Contract which is only effective if agreed in writing and signed by both Parties. The Customer is not required to accept a variation request made by the Supplier.

# HOW TO COMMUNICATE ABOUT THE CONTRACT

## All notices under the Contract must be in writing and are considered effective on the Working Day of delivery as long as they’re delivered before 5:00pm on a Working Day. Otherwise the notice is effective on the next Working Day. An email is effective when sent unless an error message is received.

## Notices to the Customer or Supplier must be sent to their address in the Order Form.

## This clause does not apply to the service of legal proceedings or any documents in any legal action, arbitration or dispute resolution.

# PREVENTING FRAUD, BRIBERY AND CORRUPTION

## The Supplier shall not:

### commit any criminal offence referred to in the Regulations 57(1) and 57(2);

### offer, give, or agree to give anything, to any person (whether working for or engaged by the Customer or any other public body) an inducement or reward for doing, refraining from doing, or for having done or refrained from doing, any act in relation to the obtaining or execution of the Contract or any other public function or for showing or refraining from showing favour or disfavour to any person in relation to the Contract or any other public function.

## The Supplier shall take all reasonable steps (including creating, maintaining and enforcing adequate policies, procedures and records), in accordance with good industry practice, to prevent any matters referred to in clause 26.1 and any fraud by the Staff and the Supplier (including its shareholders, members and directors) in connection with the Contract and shall notify the Customer immediately if it has reason to suspect that any such matters have occurred or is occurring or is likely to occur.

## If the Supplier or the Staff engages in conduct prohibited by clause 26.1 or commits fraud in relation to the Contract or any other Contract with the Crown (including the Customer) the Customer may:

### terminate the Contract and recover from the Supplier the amount of any loss suffered by the Customer resulting from the termination, including the cost reasonably incurred by the Customer of making other arrangements for the supply of the Deliverables and any additional expenditure incurred by the Customer throughout the remainder of the Contract; or

### recover in full from the Supplier any other loss sustained by the Customer in consequence of any breach of this clause.

# EQUALITY, DIVERSITY AND HUMAN RIGHTS

## The Supplier must follow all applicable equality law when they perform their obligations under the Contract, including:

### protections against discrimination on the grounds of race, sex, gender reassignment, religion or belief, disability, sexual orientation, pregnancy, maternity, age or otherwise;

### any other requirements and instructions which the Customer reasonably imposes related to equality Law.

## The Supplier must take all necessary steps, and inform the Customer of the steps taken, to prevent anything that is considered to be unlawful discrimination by any court or tribunal, or the Equality and Human Rights Commission (or any successor organisation) when working on the Contract.

# HEALTH AND SAFETY

## The Supplier must perform its obligations meeting the requirements of:

### all applicable law regarding health and safety;

### the Customer's current health and safety policy while at the Customer’s premises, as provided to the Supplier.

## The Supplier and the Customer must as soon as possible notify the other of any health and safety incidents or material hazards they’re aware of at the Customer premises that relate to the performance of the Contract.

# ENVIRONMENT

## When working on Site the Supplier must perform its obligations under the Customer's current Environmental Policy, which the Customer must provide.

## The Supplier must ensure that Supplier Staff are aware of the Customer's Environmental Policy.

# TAX

## The Supplier must not breach any tax or social security obligations and must enter into a binding agreement to pay any late contributions due, including where applicable, any interest or any fines. The Customer cannot terminate the Contract where the Supplier has not paid a minor tax or social security contribution.

## Where the Supplier or any Supplier Staff are liable to be taxed or to pay National Insurance contributions in the UK relating to payment received under the Off Contract, the Supplier must both:

### comply with the Income Tax (Earnings and Pensions) Act 2003 and all other statutes and regulations relating to income tax, the Social Security Contributions and Benefits Act 1992 (including IR35) and National Insurance contributions;

### indemnify the Customer against any Income Tax, National Insurance and social security contributions and any other liability, deduction, contribution, assessment or claim arising from or made during or after the Contract Period in connection with the provision of the Deliverables by the Supplier or any of the Supplier Staff.

## If any of the Supplier Staff are Workers who receive payment relating to the Deliverables, then the Supplier must ensure that its contract with the Worker contains the following requirements:

### the Customer may, at any time during the term of the Contract, request that the Worker provides information which demonstrates they comply with clause 30.2, or why those requirements do not apply, the Customer can specify the information the Worker must provide and the deadline for responding;

### the Worker's contract may be terminated at the Customer's request if the Worker fails to provide the information requested by the Customer within the time specified by the Customer;

### the Worker's contract may be terminated at the Customer's request if the Worker provides information which the Customer considers isn’t good enough to demonstrate how it complies with clause 30.2 or confirms that the Worker is not complying with those requirements;

### the Customer may supply any information they receive from the Worker to HMRC for revenue collection and management.

# CONFLICT OF INTEREST

## The Supplier must take action to ensure that neither the Supplier nor the Supplier Staff are placed in the position of an actual or potential conflict between the financial or personal duties of the Supplier or the Supplier Staff and the duties owed to the Buyer under the Contract, in the reasonable opinion of the Buyer.

## The Supplier must promptly notify and provide details to the Customer if a conflict of interest happens or is expected to happen.

## The Customer can terminate its Contract immediately by giving notice in writing to the Supplier or take any steps it thinks are necessary where there is or may be an actual or potential conflict of interest.

# REPORTING A BREACH OF THE CONTRACT

## As soon as it is aware of it the Supplier and Supplier Staff must report to the Customer any actual or suspected breach of law, clause 13.1, or clauses 26 to 31.

## The Supplier must not retaliate against any of the Supplier Staff who in good faith reports a breach listed in clause 32.1.

# RESOLVING DISPUTES

## If there is a dispute between the Parties, their senior representatives who have authority to settle the dispute will, within 28 days of a written request from the other Party, meet in good faith to resolve the dispute.

## If the dispute is not resolved at that meeting, the Parties can attempt to settle it by mediation using the Centre for Effective Dispute Resolution (CEDR) Model Mediation Procedure current at the time of the dispute. If the Parties cannot agree on a mediator, the mediator will be nominated by CEDR. If either Party does not wish to use, or continue to use mediation, or mediation does not resolve the dispute, the dispute must be resolved using clauses 33.3 to 33.5.

## Unless the Customer refers the dispute to arbitration using clause 33.4, the Parties irrevocably agree that the courts of England and Wales have the exclusive jurisdiction to:

### determine the dispute;

### grant interim remedies;

### grant any other provisional or protective relief.

## The Supplier agrees that the Customer has the exclusive right to refer any dispute to be finally resolved by arbitration under the London Court of International Arbitration Rules current at the time of the dispute. There will be only one arbitrator. The seat or legal place of the arbitration will be London and the proceedings will be in English.

## The Customer has the right to refer a dispute to arbitration even if the Supplier has started or has attempted to start court proceedings under clause 33.3, unless the Customer has agreed to the court proceedings or participated in them. Even if court proceedings have started, the Parties must do everything necessary to ensure that the court proceedings are stayed in favour of any arbitration proceedings if they are started under clause 33.4.

## The Supplier cannot suspend the performance of the Contract during any dispute.

# WHICH LAW APPLIES

1. This Contract and any issues arising out of, or connected to it, are governed by English law.

1. <https://www.trayport.com/uk/products2/joule> [↑](#footnote-ref-1)
2. <https://www.theice.com/index> [↑](#footnote-ref-2)
3. Value at Risk <https://en.wikipedia.org/wiki/Value_at_risk> [↑](#footnote-ref-3)
4. <https://en.wikipedia.org/wiki/Monte_Carlo_method> [↑](#footnote-ref-4)