

## **Contract (Short Form – Services)**

### **Contract for the provision of **Harnessing the Power of ‘I and We’ Statements in CQC’s Regulatory Model****

**Contract Reference CQC EP&S 051**

**February 24**

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This Contract is made on this                      day of 2024

## PARTIES

(1) **CARE QUALITY COMMISSION** of Citygate, Gallowgate, Newcastle Upon Tyne, NE1 4PA (“**Authority**”)

and

(2) **Social Care Institute for Excellence** a UK company with registered company number 04289790 whose registered address is Isosceles Head Office, One High Street, Egham, England TW20 9HJ (“**Contractor**”)

(Together the “**Parties**”)

## Background

1. The Authority is the independent health and social care regulator in England that monitors, inspects and regulates health and social care services to ensure they meet fundamental standards of quality and safety. It ensures health and social care services provide people with safe, effective, compassionate, high-quality care and we encourage care services to improve. The Contractor is the only charity No 1092778 that has developed and use ‘I and We’ Statements and therefore can assist CQC of harnessing the power of these statements in its new regulatory model.
2. In accordance with its role of promoting improvement in care and health services, the Authority, working with TLAP to integrate and develop the I and We statements that they initially created into its new single assessment framework (SAF). The intention is for I and We statements to be used as reference points to reflect the views of real people in how the organisation assesses services. The use of these statements will allow CQC to make judgements about the quality of care using understandable standards and expectations that are focussed on people.
3. TLAP are the people who created the I and We statements a product that CQC need to borrow as part of how it carries out inspections. it is important that CQC works with them on harnessing the this. The I and We statements are the “product” they created, and it is this produce that we want to borrow as part of how CQC carries out inspections.

A.

## 1.1 In these terms and conditions:

|   |  |
|---|--|
| “Approval”                                | means the written consent of the Authority;  |
| “Authority”                               | means the Care Quality Commission;   |
| “Authority Data”                          | means: <ul style="list-style-type: none"> <li>(a) the data, text, drawings, diagrams, images or sounds (together with any data of these) which are embodied in any electronic, magnetic, optical or tangible form; (i) supplied to the Contractor by or on behalf of the Authority; or (ii) which the Contractor is to generate, process, store or transmit pursuant to the Contract; or</li> <li>(b) any Personal Data for which the Authority is the Data Controller;</li> </ul>               |
| “Award Letter”                            | means the letter from the Authority to the Contractor containing these terms and conditions;   |
| “Anti-Slavery and Human Trafficking Laws” | means all applicable anti-slavery and human trafficking laws, statutes, regulations, policies and codes of practice in force including but not limited to the Modern Slavery Act 2015;   |
| “Breach of Security”                      | means the occurrence of unauthorised access to or use of the Premises, the Premises, the system, or any ICT or data (including Authority Data) used by the Authority or the Contractor pursuant to the Contract;   |
| “Central Government Body”                 | means a body listed in one of the following sub-categories of the Central Government Classification Sector Classification Guide, as published and amended from time to time by the Office for Management Efficiency: <ul style="list-style-type: none"> <li>(a) Government Department;</li> <li>(b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive or non-executive);</li> <li>(c) Non-Ministerial Department; or</li> <li>(d) Executive Agency;</li> </ul> |
| “Change Control Notice (“CCN”)”           | means a change control notice in the form set out in Schedule 6;   |

|  |   |
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| “Contract”   | means the contract consisting of these terms and conditions, any attached Schedules, including Specification, the Tender Response and Award Letter between the Authority the  |
| “Contract Period”  | shall mean the Term of the Contract;  |
| “Confidential Information”   | means all information, whether written or oral (however recorded), provided by the disclosing Party and which (i) is known by the receiving Party to be confidential; (ii) is marked as or so or (iii) ought reasonably to be considered by the receiving Party to be confidential; |
| “Contractor”   | means the person named as Contractor who was awarded this contract;   |
| “Contractor’s Response”  | means the document submitted by the Contractor to the Authority in response to the suppliers for formal offers to supply the Services appended hereto in Schedule 3;  |
| “Contractor System”  | means the information and communications technology system used by the Contractor in including the Software, the Contractor Equipment and related cabling (but excluding the A  |
| “Controller, Processor, Data Subject, Personal Data, Personal Data Breach and Data Protection Officer” | shall each have the same meaning given in the GDPR;   |
| “Data Protection Legislation”  | means (i) the GDPR, the LED and any applicable national implementing Laws as amended the DPA 2018 [subject to Royal Assent] to the extent that it relates to the processing of Personal Data (iii) all applicable Law about the processing of Personal Data and privacy;            |
| “Data Loss Event”  | means any event that results, or may result, in unauthorised access to Personal Data held under this Contract and/or actual or potential loss and/or destruction of Personal Data in breach of any Personal Data Breach;  |

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| “Data Protection Impact Assessment” | means an assessment by the Controller of the impact of the envisaged processing on the Data;   |
| “Data Subject Request”              | means a request made by or on behalf of, a Data Subject in accordance with rights granted by the Data Protection Legislation to access his or her Personal Data;   |
| “DPA”                               | means the Data Protection Act 2018 and any subordinate legislation made under that Act from time to time together with any guidance and/or codes of practice issued by the Information Commissioner or any other relevant department in relation to such legislation;  |
| “Default”                           | means any breach of the obligations of the relevant Party (including abandonment of the Contract, repudiatory breach or breach of a fundamental term) or any other default, act, omission or statement of the relevant Party or the Staff in connection with the subject-matter of the Contract, in respect of which such Party is liable to the other;  |
| “Expiry Date”                       | means the date for expiry of the Contract as set out in the Award Letter;  |
| “FOIA”                              | means the Freedom of Information Act 2000;   |
| “GDPR”                              | means the General Data Protection Regulation ( <i>Regulation (EU) 2016/679</i> );  |
| “Good Industry Practice”            | means standards, practices, methods and procedures conforming to the Law and the duty of care, diligence, prudence and foresight which would reasonably and ordinarily be expected of a prudent and experienced person or body engaged in a similar type of undertaking under the same or similar circumstances;   |
| “Information”                       | has the meaning given under section 84 of the FOIA;  |
| “Joint Controllers”                 | means where two or more Controllers jointly determine the purposes and means of processing;  |
| “Key Personnel”                     | means any persons specified as such in the Specification or Contract otherwise notified in writing to the Contractor in writing;   |
| “Law”                               | means any law, statute, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1975, bye-law, enforceable right within the meaning of section 2 of the European Communities Act 1972, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court or requirements of any Regulatory Body with which the Contractor is bound to comply; |
| “LED”                               | means Law Enforcement Directive ( <i>Directive (EU) 2016/680</i> )   |

|                       |   |
|-----------------------|---|
| “Loss”                | means any losses, costs, price, expenses, interest, fees (including legal fees), payment claims, proceedings, actions, penalties, price, fines, damages, destruction, adverse judgments, sanctions and the term “ <b>Losses</b> ” shall be construed accordingly;   |
| “Party”               | means the Contractor or the Authority (as appropriate) and “Parties” shall mean both of them;   |
| “Premises”            | means the location where the Services are to be supplied, as set out in the Specification;  |
| “Price”               | means the price (excluding any applicable VAT) payable to the Contractor by the Authority, as set out in Schedule 3 for the full and proper performance by the Contractor of its obligations under this Contract;   |
| “Pricing Schedule”    | means Schedule 3 containing details of the Price;   |
| “Processing”          | has the meaning given to it in the Data Protection Legislation but, for the purposes of the Contract, both manual and automatic processing and "Process" and "Processed" shall be interpreted accordingly;  |
| “Processor Personnel” | means all directors, officers, employees, agents, consultants and contractors of the Processor engaged in the performance of its obligations under this Contract;   |
| “Prohibited Act”      | <p>means:</p> <p>(a) to directly or indirectly offer, promise or give any person working for or engaged by the Contractor any financial or other advantage or other advantage to:</p> <ul style="list-style-type: none"> <li>i) induce that person to perform improperly a relevant function or activity; or</li> <li>ii) reward that person for improper performance of a relevant function or activity;</li> </ul> <p>(b) to directly or indirectly request, agree to receive or accept any financial or other advantage or a reward for improper performance of a relevant function or activity in connection with the performance of its obligations under this Contract;</p> <p>(c) an offence:</p> <ul style="list-style-type: none"> <li>i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act);</li> <li>ii) under legislation or common law concerning fraudulent acts; or</li> <li>iii) the defrauding, attempting to defraud or conspiring to defraud the Authority;</li> </ul> <p>any activity, practice or conduct which would constitute one of the offences listed under (c) above, if the practice or conduct has been carried out in the UK;</p> |



|                             |   |
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| “Protective Measures”       | means appropriate technical and organisational measures which include: pseudonymising Data, ensuring confidentiality, integrity, availability and resilience of systems and services, of and access to Personal Data can be restored in a timely manner after an incident, and evaluating the effectiveness of the such measures adopted by it including those outlined Requirements and Plan); |
| “Purchase Order Number”     | means the Authority’s unique number relating to the supply of the Services by the Contractor in accordance with the terms of the Contract; DN: Check whether this is consistent with the S  |
| “Relevant Requirements”     | means all applicable Law relating to bribery, corruption and fraud, including the Bribery Act 2010 issued by the Secretary of State for Justice pursuant to section 9 of the Bribery Act 2010;  |
| “Replacement Contractor”    | means any third party supplier appointed by the Authority to supply any services which are any of the Services in substitution for any of the Services following the expiry, termination of the Contract;   |
| “Request for Information”   | has the meaning set out in the FOIA or the Environmental Information Regulations 2004 (the meaning set out for the term “request” shall apply);   |
| “Schedule”                  | means a schedule attached to, and forming part of, the Contract;  |
| “Security Plan”             | means the Contractor’s security plan prepared pursuant to paragraph 3 of Schedule 5 (Security Plan), an outline of which is set out in an Appendix to Schedule 5;   |
| “Security Policy Framework” | means the HMG Security Policy Framework ( <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/61111/Security-Policy-Framework-v1.1.doc.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/61111/Security-Policy-Framework-v1.1.doc.pdf</a> )   |
| “Services”                  | means the services to be supplied by the Contractor to the Authority under the Contract and   |
| “Specification”             | means the specification for the Services.   |
| “Staff”                     | means all directors, officers, employees, agents, consultants and contractors of the Contractor or any subcontractor of the Contractor engaged in the performance of the Contractor’s obligations under the Contract;   |
| “Staff Vetting Procedures”  | means vetting procedures that accord with good industry practice or, where requested, the Authority’s procedures for the vetting of personnel as provided to the Contractor from time to time;  |
| “Sub-Contractor”            | means a third party directly or indirectly contracted to the Contractor (irrespective of whether an agent or company within the same group of companies as the Contractor) whose services are   |

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|                            | Contractor (either directly or indirectly) in connection with the provision of the Services, and shall be construed accordingly;   |
| “Sub-processor”            | means any third Party appointed to process Personal Data on behalf of the Processor relating to the Services;  |
| “Supplier Code of Conduct” | of means the HM Government Contractor Code of Conduct dated September 2017;  |
| “Term”                     | means the period from the start date of the Contract set out in the Award Letter to the Expired Date. The Term may be extended in accordance with clause 4.2 or terminated in accordance with the terms of the Contract; |
| “Third Party Software”     | means software which is proprietary to any third party which is or will be used by the Contractor in connection with the Services including the software and which is specified as such in Schedule 7;                   |
| “TUPE”                     | means the Transfer of Undertakings (Protection of Employment) Regulations 2006;  |
| “VAT”                      | means value added tax in accordance with the provisions of the Value Added Tax Act 1994;   |
| “Variation”                | means a variation to the Specification, the Price or any of the terms and conditions of the Contract;  |
| “Working Day”              | means a day (other than a Saturday or Sunday) on which banks are open for business in the United Kingdom;  |

## 1.2 In these terms and conditions, unless the context otherwise requires:

- 1.2.1 references to numbered clauses are references to the relevant clause in these terms and conditions;
- 1.2.2 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;
- 1.2.3 the headings to the clauses of these terms and conditions are for information only and do not affect the interpretation of the Contract;
- 1.2.4 any reference to an enactment includes reference to that enactment as amended or replaced from time to time and to any subordinate legislation or byelaw made under that enactment; and
- 1.2.5 the word ‘including’ shall be understood as meaning ‘including without limitation’.

## **2**

### **Priority of documents**

- 2.1 In the event of, and only to the extent of, any conflict between the clauses of the Contract, any document referred to in those clauses and the Schedules, the conflict shall be resolved in accordance with the following order of precedence:
- a) these terms and conditions
  - b) the Schedules
  - c) any other document referred to in these terms and conditions

## **3**

### **Supply of Services**

- 3.1 In consideration of the Authority's agreement to pay the Price, the Contractor shall supply the Services to the Authority for the Term subject to and in accordance with the terms and conditions of the Contract.
- 3.2 In supplying the Services, the Contractor shall:
- 3.2.1 co-operate with the Authority in all matters relating to the Services and comply with all the Authority's instructions;
  - 3.2.2 perform the Services with all reasonable care, skill and diligence in accordance with good industry practice in the Contractor's industry, profession or trade;
  - 3.2.3 use Staff who are suitably skilled, experienced and possess the required qualifications to perform tasks assigned to them, and in sufficient number to ensure that the Contractor's obligations are fulfilled in accordance with the Contract;
  - 3.2.4 ensure that the Services shall conform with all descriptions and specifications set out in the Specification;
  - 3.2.5 comply with all applicable laws; and
  - 3.2.6 provide all equipment, tools and vehicles and other items as are required to provide the Services.
- 3.3 The Authority may by written notice to the Contractor at any time request a Variation to the scope of the Services. If the Contractor agrees to any Variation to the scope of the Services, the Price shall be subject to fair and reasonable adjustment to be agreed in writing between the Authority and the Contractor.
- 3.4 Any Variation will not take effect unless recorded in a Change Control Notice in the form set out in Schedule 6 and approved in writing by the Authority.

## **4**

### **Term**

- 4.1 The Contract shall take effect on 1<sup>st</sup> January 2024 and shall expire on 31st March 2025 the Expiry Date, unless it is otherwise extended in accordance with clause 4.2 or terminated in accordance with the terms and conditions of the Agreement.
- 4.2 The Authority may extend the Contract for a period of up to 1 month by giving not less than 10 Working Days' notice in writing to the Contractor prior to the Expiry Date. The terms and conditions of the Contract shall apply throughout any such extended period.

## **5**

### **Price, Payment and Recovery of Sums Due**

- 5.1 The Price for the Services shall be as set out in the appended hereto in Schedule 2 and shall be the full and exclusive remuneration of the Contractor in respect of the supply of the Services. Unless otherwise agreed in writing by the Authority, the Price shall include every cost and expense of the Contractor directly or indirectly incurred in connection with the performance of the Services.
- 5.2 The Contractor shall invoice the Authority as specified in Schedule 2. Each invoice shall include such supporting information required by the Authority to verify the accuracy of the invoice, including the relevant Purchase Order Number and a breakdown of the Services supplied in the invoice period.
- 5.3 In consideration of the supply of the Services by the Contractor, the Authority shall pay the Contractor the invoiced amounts no later than 30 days after receipt of a valid invoice which includes a valid Purchase Order Number. The Authority may, without prejudice to any other rights and remedies under the Contract, withhold or reduce payments in the event of unsatisfactory performance.
- 5.4 All amounts stated are exclusive of VAT which shall be charged at the prevailing rate. The Authority shall, following the receipt of a valid VAT invoice, pay to the Contractor a sum equal to the VAT chargeable in respect of the Services.
- 5.5 If there is a dispute between the Parties as to the amount invoiced, the Authority shall pay the undisputed amount. The Contractor shall not suspend the supply of the Services unless the Contractor is entitled to terminate the Contract for a failure to pay undisputed sums in accordance with clause 16.4. Any disputed amounts shall be resolved through the dispute resolution procedure detailed in clause 19.
- 5.6 If a payment of an undisputed amount is not made by the Authority by the due date, then the Authority shall pay the Contractor interest at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998.
- 5.7 If any sum of money is recoverable from or payable by the Contractor under the Contract (including any sum which the Contractor is liable to pay to the Authority

in respect of any breach of the Contract), that sum may be deducted unilaterally by the Authority from any sum then due, or which may come due, to the Contractor under the Contract or under any other agreement or contract with the Authority. The Contractor shall not be entitled to assert any credit, set-off or counterclaim against the Authority in order to justify withholding payment of any such amount in whole or in part.

5.8 Where the Contractor enters into a sub-contract, the Contractor shall include in that sub-contract:

5.8.1 Provisions having the same effect as clauses 5.2 to 5.6 of the Contract and

5.8.2 Provisions requiring the counterparty to that subcontract to include in any sub-contract which it awards provisions having the same effect as clauses 5.2 to 5.6 of this Contract.

5.8.3 In this clause 5.8 'sub-contract' means a contract between two or more Contractors, at any stage of remoteness from the Authority in a sub-contracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of this Contract.

## **6**

### **Premises and equipment**

6.1 If necessary, the Authority shall provide the Contractor with reasonable access at reasonable times to its premises for the purpose of supplying the Services. All equipment, tools and vehicles brought onto the Authority's premises by the Contractor or the Staff shall be at the Contractor's risk.

6.2 If the Contractor supplies all or any of the Services at or from the Authority's premises, on completion of the Services or termination or expiry of the Contract (whichever is the earlier) the Contractor shall vacate the Authority's premises, remove the Contractor's plant, equipment and unused materials and all rubbish arising out of the provision of the Services and leave the Authority's premises in a clean, safe and tidy condition. The Contractor shall be solely responsible for making good any damage to the Authority's premises or any objects contained on the Authority's premises which is caused by the Contractor or any Staff, other than fair wear and tear.

6.3 If the Contractor supplies all or any of the Services at or from its premises or the premises of a third party, the Authority may, during normal business hours and on reasonable notice, inspect and examine the manner in which the relevant Services are supplied at or from the relevant premises.

6.4 The Authority shall be responsible for maintaining the security of its premises in accordance with its standard security requirements. While on the Authority's

premises the Contractor shall, and shall procure that all Staff shall, comply with all the Authority's security requirements.

- 6.5 Where all or any of the Services are supplied from the Contractor's premises, the Contractor shall, at its own cost, comply with all security requirements specified by the Authority in writing.
- 6.6 Without prejudice to clause 3.2.6, any equipment provided by the Authority for the purposes of the Contract shall remain the property of the Authority and shall be used by the Contractor and the Staff only for the purpose of carrying out the Contract. Such equipment shall be returned promptly to the Authority on expiry or termination of the Contract.
- 6.7 The Contractor shall reimburse the Authority for any loss or damage to the equipment (other than deterioration resulting from normal and proper use) caused by the Contractor or any Staff. Equipment supplied by the Authority shall be deemed to be in a good condition when received by the Contractor or relevant Staff unless the Authority is notified otherwise in writing within 5 Working Days.
- 6.8 Any Premises/land made available from time to time to the Contractor by the Authority in connection with the contract, shall be made available to the contractor on a non-exclusive licence basis free of charge and shall be used by the contractor solely for the purpose of performing its obligations under the contract. The Contractor shall have the use of such Premises/land as licensee and shall vacate the same on completion, termination or abandonment of the Contract.
- 6.9 The Parties agree that there is no intention on the part of the Authority to create a tenancy of any nature whatsoever in favour of the Contractor or its Staff and that no such tenancy has or shall come into being and, notwithstanding any rights granted pursuant to the Contract, the Authority retains the right at any time to use any premises owned or occupied by it in any manner it sees fit.
- 6.10 Should the Contractor require modifications to the Premises, such modifications shall be subject to prior Approval and shall be carried out by the Authority at the Contractor's expense. The Authority shall undertake approved modification work without undue delay. Ownership of such modifications shall rest with the Authority.
- 6.11 All the Contractor's equipment shall remain at the sole risk and responsibility of the Contractor, except that the Authority shall be liable for loss of or damage to any of the Contractor's property located on Authority's Premises which is due to the negligent act or omission of the Authority.

## **7**

### **Staff and Key Personnel**

- 7.1 If the Authority reasonably believes that any of the Staff are unsuitable to undertake work in respect of the Contract, it may, by giving written notice to the Contractor:

- 7.1.1 refuse admission to the relevant person(s) to the Authority's premises;
  - 7.1.2 direct the Contractor to end the involvement in the provision of the Services of the relevant person(s); and/or
  - 7.1.3 require that the Contractor replace any person removed under this clause with another suitably qualified person and procure that any security pass issued by the Authority to the person removed is surrendered,
- and the Contractor shall comply with any such notice.
- 7.2 The Contractor shall:
- 7.2.1 ensure that all Staff are vetted in accordance with the Staff Vetting Procedures; and if requested, comply with the Authority's Staff Vetting Procedures as supplied from time to time;
  - 7.2.2 if requested, provide the Authority with a list of the names and addresses (and any other relevant information) of all persons who may require admission to the Authority's premises in connection with the Contract;
  - 7.2.3 procure that all Staff comply with any rules, regulations and requirements reasonably specified by the Authority; and
  - 7.2.4 shall at all times comply with the Supplier Code of Conduct (<https://www.gov.uk/government/publications/Contractor-code-of-conduct>).
  - 7.2.5 ensure that it does not engage in any act or omission that would contravene Anti-Slavery and Human Trafficking Laws.
- 7.3 Any Key Personnel shall not be released from supplying the Services without the agreement of the Authority, except by reason of long-term sickness, maternity leave, paternity leave, termination of employment or other extenuating circumstances.
- 7.4 Any replacements to the Key Personnel shall be subject to the prior written agreement of the Authority (not to be unreasonably withheld). Such replacements shall be of at least equal status or of equivalent experience and skills to the Key Personnel being replaced and be suitable for the responsibilities of that person in relation to the Services.
- 7.5 At the Authority's written request, the Contractor shall provide a list of names and addresses of all persons who may require admission in connection with the Contract to the Premises, specifying the capacities in which they are concerned with the Contract and giving such other particulars as the Authority may reasonably request.

- 7.6 The Contractor's Staff, engaged within the boundaries of the Premises shall comply with such rules, regulations and requirements (including those relating to security arrangements) as may be in force from time to time for the conduct of personnel when at or outside the Premises.
- 7.7 The Authority may require the Contractor to ensure that any person employed in the provision of the Services has undertaken a Criminal Records Bureau check as per the Staff Vetting Procedures.

## **8**

### **Assignment and sub-contracting**

- 8.1 The Contractor shall not without the written consent of the Authority assign, sub-contract, novate or in any way dispose of the benefit and/ or the burden of the Contract or any part of the Contract. The Authority may, in the granting of such consent, provide for additional terms and conditions relating to such assignment, sub-contract, novation or disposal. The Contractor shall be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.
- 8.2 If the Contractor enters into a Sub-Contract for the purpose of performing its obligations under the Contract, it shall ensure that a provision is included in such sub-contract which requires payment to be made of all sums due by the Contractor to the Sub-Contractor within a specified period not exceeding 30 days from the receipt of a valid invoice.
- 8.3 If the Authority has consented to the placing of Sub-Contracts, the Contractor shall:
- (a) impose obligations on its Sub-Contractor on the same terms as those imposed on it pursuant to this Contract and shall procure that the Sub-Contractor complies with such terms; and
  - (b) provide a copy at no charge to the Authority, of any Sub-Contract, on receipt of a request for such by the Authority.
- 8.4 The Authority may assign, novate, or otherwise dispose of its rights and obligations under the Contract without the consent of the Contractor provided that such assignment, novation or disposal shall not increase the burden of the Contractor's obligations under the Contract.

## **9**

### **Intellectual Property Rights**

- 9.1 All intellectual property rights in any materials provided by the Authority to the Contractor for the purposes of this Contract shall remain the property of the Authority but the Authority hereby grants the Contractor a royalty-free, non-



exclusive and non-transferable licence to use such materials as required until termination or expiry of the Contract for the sole purpose of enabling the Contractor to perform its obligations under the Contract.

- 9.1A In this clause 9 “Contractor’s Existing Intellectual Property” means the Contractor’s work known as Making it Real (consisting of “I statements” and “We statements”) and any improvements, modifications or additions to it arising during or from the Contractor’s performance of this Contract.

All intellectual property rights in the Contractor’s Existing Intellectual Property shall be owned by the Contractor.

- 9.2 All intellectual property rights in any materials created or developed by the Contractor specifically for the Authority’s purpose and sole use pursuant to the Contract or arising as a result of the provision of the Services (excluding the Contractor’s Existing Intellectual Property) shall vest in the Authority. If, and to the extent, that any intellectual property rights in such materials vest in the Contractor by operation of law, the Contractor hereby assigns to the Authority by way of a present assignment of future rights that shall take place immediately on the coming into existence of any such intellectual property rights all its intellectual property rights in such materials (with full title guarantee and free from all third party rights).

- 9.3 The Contractor hereby grants the Authority:

9.3.1 a perpetual, royalty-free, irrevocable, non-exclusive licence (with a right to sub-license) to use all intellectual property rights in the materials created or developed pursuant to the Contract and any intellectual property rights arising as a result of the provision of the Services; and

9.3.2 a perpetual, royalty-free, irrevocable and non-exclusive licence (with a right to sub-license) to use:

a) any intellectual property rights vested in or licensed to the Contractor on the date of the Contract; and

b) any intellectual property rights created during the Term but which are neither created or developed pursuant to the Contract nor arise as a result of the provision of the Services,

including any modifications to or derivative versions of any such intellectual property rights, which the Authority reasonably requires in order to exercise its rights and take the benefit of the Contract including the Services provided.

- 9.4 The Contractor shall indemnify, and keep indemnified, the Authority in full against all costs, expenses, damages and losses (whether direct or indirect), including any interest, penalties, and reasonable legal and other professional fees awarded

against or incurred or paid by the Authority as a result of or in connection with any claim made against the Authority 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 Services, to the extent that the claim is attributable to the acts or omission of the Contractor its Staff, agents or sub-contractors.

- 9.5 The Authority shall promptly notify the Contractor of any infringement claim made against it relating to any Services and, subject to any statutory obligation requiring the Authority to respond, shall permit the Contractor to have the right, at its sole discretion to assume, defend, settle or otherwise dispose of such claim. The Authority shall give the Contractor such assistance as it may reasonably require to dispose of the claim and shall not make any statement which might be prejudicial to the settlement or defence of the claim.

## **10**

### **Governance and Records**

- 10.1 The Contractor shall:
- 10.1.1 attend progress meetings with the Authority at the frequency and times specified by the Authority and shall ensure that its representatives are suitably qualified to attend such meetings; and
  - 10.1.2 submit progress reports to the Authority at the times and in the format specified by the Authority.
- 10.2 The Contractor shall keep and maintain until 6 years after the end of the Contract, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Services supplied under it and all payments made by the Authority. The Contractor shall on request afford the Authority or the Authority's representatives such access to those records as may be reasonably requested by the Authority in connection with the Contract.

## **11**

### **Confidentiality, Transparency and Publicity**

- 11.1 Subject to clause 11.2, each Party shall:
- 11.1.1 treat all Confidential Information it receives as confidential, safeguard it accordingly and not disclose it to any other person without the prior written permission of the disclosing Party; and
  - 11.1.2 not use or exploit the disclosing Party's Confidential Information in any way except for the purposes anticipated under the Contract.
- 11.2 Notwithstanding clause 11.1, a Party may disclose Confidential Information which it receives from the other Party:

- 11.2.1 where disclosure is required by applicable law or by a court of competent jurisdiction;
- 11.2.2 to its auditors or for the purposes of regulatory requirements;
- 11.2.3 on a confidential basis, to its professional advisers;
- 11.2.4 to the Serious Fraud Office where the Party has reasonable grounds to believe that the other Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010;
- 11.2.5 where the receiving Party is the Contractor, to the Staff on a need to know basis to enable performance of the Contractor's obligations under the Contract provided that the Contractor shall procure that any Staff to whom it discloses Confidential Information pursuant to this clause 11.2.5 shall observe the Contractor's confidentiality obligations under the Contract; and
- 11.2.6 where the receiving Party is the Authority:
  - a) on a confidential basis to the employees, agents, consultants and contractors of the Authority;
  - b) on a confidential basis to any other Central Government Body, any successor body to a Central Government Body or any company to which the Authority transfers or proposes to transfer all or any part of its business;
  - c) to the extent that the Authority (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions; or
  - d) in accordance with clause 12.

and for the purposes of the foregoing, references to disclosure on a confidential basis shall mean disclosure subject to a confidentiality agreement or arrangement containing terms no less stringent than those placed on the Authority under this clause 11.

- 11.3 The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA, the content of the Contract is not Confidential Information and the Contractor hereby gives its consent for the Authority to publish this Contract in its entirety to the general public (but with any information that is exempt from disclosure in accordance with the FOIA redacted) including any changes to the Contract agreed from time to time. The Authority may consult with the Contractor to inform its decision regarding any redactions but shall have the final decision in its absolute discretion whether any of the content of the Contract is exempt from disclosure in accordance with the provisions of the FOIA.

- 11.4 The Contractor shall not, and shall take reasonable steps to ensure that the Staff shall not, make any press announcement or publicise the Contract or any part of the Contract in any way, except with the prior written consent of the Authority.

## **12**

### **Freedom of Information**

- 12.1 The Contractor acknowledges that the Authority is subject to the requirements of the FOIA and the Environmental Information Regulations 2004 and shall and procure that any sub-contractor shall:
- 12.1.1 provide all necessary assistance and cooperation as reasonably requested by the Authority to enable the Authority to comply with its obligations under the FOIA and the Environmental Information Regulations 2004;
  - 12.1.2 transfer to the Authority all Requests for Information relating to this Contract that it receives as soon as practicable and in any event within 2 Working Days of receipt;
  - 12.1.3 provide the Authority with a copy of all Information belonging to the Authority requested in the Request for Information which is in its possession or control in the form that the Authority requires within 5 Working Days (or such other period as the Authority may reasonably specify) of the Authority's request for such Information; and
  - 12.1.4 not respond directly to a Request for Information unless authorised in writing to do so by the Authority.
- 12.2 The Contractor acknowledges that the Authority may be required under the FOIA and the Environmental Information Regulations 2004 to disclose Information concerning the Contractor or the Services (including commercially sensitive information) without consulting or obtaining consent from the Contractor. In these circumstances the Authority shall, in accordance with any relevant guidance issued under the FOIA, take reasonable steps, where appropriate, to give the Contractor advance notice, or failing that, to draw the disclosure to the Contractor's attention after any such disclosure.
- 12.3 Notwithstanding any other provision in the Contract, the Authority shall be responsible for determining in its absolute discretion whether any Information relating to the Contractor or the Services is exempt from disclosure in accordance with the FOIA and/or the Environmental Information Regulations 2004.

## **13**

### **Protection of Data**

- 13.1 **Authority Data**

- 13.1.1 The Contractor shall not delete or remove any proprietary notices contained within or relating to the Authority Data.
- 13.1.2 The Contractor shall not store, copy, disclose, or use the Authority Data except as necessary for the performance by the Contractor of its obligations under this Contract or as otherwise expressly authorised in writing by the Authority.
- 13.1.3 To the extent that Authority Data is held and/or Processed by the Contractor, the Contractor shall supply Authority Data to the Authority as requested by the Authority in the format specified in the Specification.
- 13.1.4 The Contractor shall preserve the integrity of Authority Data and prevent the corruption or loss of Authority Data.
- 13.1.5 The Contractor shall perform secure back-ups of all Authority Data and shall ensure that up-to-date back-ups are stored securely off-site. The Contractor shall ensure that such back-ups are made available to the Authority immediately upon request.
- 13.1.6 The Contractor shall ensure that any system on which the Contractor holds any Authority Data, including back-up data, is a secure system that complies with the Security Policy Framework.
- 13.1.7 If Authority Data is corrupted, lost or sufficiently degraded as a result of the Contractor's Default so as to be unusable, the Authority may:
  - (a) require the Contractor (at the Contractor's expense) to restore or procure the restoration of Authority Data and the Contractor shall do so promptly; and/or
  - (b) itself restore or procure the restoration of Authority Data, and shall be repaid by the Contractor any reasonable expenses incurred in doing so.
- 13.1.8 If at any time the Contractor suspects or has reason to believe that Authority Data has or may become corrupted, lost or sufficiently degraded in any way for any reason, then the Contractor shall notify the Authority immediately and inform the Authority of the remedial action the Contractor proposes to take.

## **13.2 Personal Data**

- 13.2.1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Authority is the Controller and the Contractor is the Processor
- 13.2.2 The Parties agree that they will comply with the provisions on Processing, Personal Data and Data Subjects in Schedule 4 .
- 13.2.3 The Parties shall at all times comply with Data Protection Legislation.

## **13A Security**

- 13A.1 The Authority shall be responsible for maintaining the security of the Authority's Premises in accordance with its standard security requirements. The Contractor shall comply with all security requirements of the Authority while on the Authority's Premises, and shall ensure that all Staff comply with such requirements.
- 13A.2 The Contractor shall ensure that the Security Plan produced by the Contractor fully complies with Schedule 5 (Security Requirements and Plan).
- 13A.3 The Contractor shall comply, and shall procure compliance of its Staff, with Schedule 5 (Security Requirements and Plan).
- 13A.4 The Authority shall notify the Contractor of any changes or proposed changes to Schedule 5 (Security Requirements and Plan). Any changes shall be agreed in accordance with the procedure in clause 20.3.
- 13A.5 Until and/or unless a change to the Price is agreed by the Authority, the Contractor shall continue to perform the Services in accordance with its existing obligations.
- 13A.6 The Contractor shall be liable for, and shall indemnify the Authority against all Losses suffered or incurred by the Authority and/or any third party arising from and/or in connection with any Breach of Security or attempted Breach of Security (to the extent that such Losses were not caused by any act or omission by the Authority).

## **14**

### **Liability and Insurance**

- 14.1 The Contractor shall not be responsible for any injury, loss, damage, cost or expense suffered by the Authority if and to the extent that it is caused by the negligence or wilful misconduct of the Authority or by breach by the Authority of its obligations under the Contract.
- 14.2 Subject always to clauses 14.3, 14.4 and 14.5:
  - 14.2.1 the aggregate liability of the Contractor in respect of all defaults, claims, losses or damages howsoever caused, whether arising from breach of the Contract, the supply or failure to supply of the Services, misrepresentation (whether tortious or statutory), tort (including negligence), breach of statutory duty or otherwise shall in no event exceed £1,000,000 OR a sum equal to 125% of the estimated yearly Price paid or payable to the Contractor under this Contract whichever is higher
  - 14.2.2 except in the case of claims arising under clauses 9.3.2 and 18.4 in no event shall the Contractor be liable to the Authority for any:
    - a) loss of profits;

- b) loss of business;
- c) loss of revenue;
- d) loss of or damage to goodwill;
- e) loss of savings (whether anticipated or otherwise); and/or
- f) any indirect, special or consequential loss or damage.

14.3 Nothing in the Contract shall be construed to limit or exclude either Party's liability for:

14.3.1 death or personal injury caused by its negligence or that of its Staff;

14.3.2 fraud or fraudulent misrepresentation by it or that of its Staff; or

14.3.3 any other matter which, by law, may not be excluded or limited.

14.4 Not used

14.5 The Contractor's liability for all Losses suffered or incurred by the Authority arising from the Contractor's Default resulting in the destruction, corruption, degradation or damage to Authority Data or Personal Data or any copy of such Authority Data or Personal Data shall in no event exceed £1,000,000.

14.6 The Contractor shall hold:

- a) Employer's liability insurance of £5,000,000 providing an adequate level of cover in respect of all risks which may be incurred by the Contractor;
- b) Public liability with the minimum cover per claim of one million pounds £1,000,000;
- c) Product liability with the minimum cover per claim of one million pounds £1,000,000;
- d) Professional indemnity with the minimum cover per claim of one million pounds (£1,000,000);

or any sum as required by Law unless otherwise agreed with the Authority in writing. Such insurance shall be maintained for the duration of the Term and for a minimum of six (6) years following the expiration (or 12 (Twelve) years if the Contract is executed as a deed) or earlier termination of the Contract.

## 15

### Force Majeure

15.1 Neither Party shall have any liability under or be deemed to be in breach of the Contract for any delays or failures in performance of the Contract which result

from circumstances beyond the reasonable control of the Contractor. Each Party shall promptly notify the other Party in writing, using the most expeditious method of delivery, when such circumstances cause a delay or failure in performance, an estimate of the length of time delay or failure shall continue and when such circumstances cease to cause delay or failure in performance. If such circumstances continue for a continuous period of more than 30 days, either Party may terminate the Contract by written notice to the other Party.

- 15.2 Any failure by the Contractor in performing its obligations under the Contract which results from any failure or delay by an agent, sub-contractor or Contractor shall be regarded as due to Force Majeure only if that agent, sub-contractor or Contractor is itself impeded by Force Majeure from complying with an obligation to the Contractor.

## **16**

### **Termination**

- 16.1 The Authority may terminate the Contract at any time by notice in writing to the Contractor to take effect on any date falling at least 1 month (or, if the Contract is less than 3 months in duration, at least 10 Working Days) later than the date of service of the relevant notice.
- 16.2 Without prejudice to any other right or remedy it might have, the Authority may terminate the Contract by written notice to the Contractor with immediate effect if the Contractor:
- 16.2.1 (without prejudice to clause 16.2.5), is in material breach of any obligation under the Contract which is not capable of remedy;
  - 16.2.2 repeatedly breaches any of the terms and conditions of the Contract in such a manner as 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;
  - 16.2.3 is in material breach of any obligation which is capable of remedy, and that breach is not remedied within 30 days of the Contractor receiving notice specifying the breach and requiring it to be remedied;
  - 16.2.4 undergoes a change of control within the meaning of section 416 of the Income and Corporation Taxes Act 1988;
  - 16.2.5 breaches any of the provisions of clauses 7.2, 11, 12, 13, 17, 18.4 and 20.11; or
  - 16.2.6 becomes insolvent, or if an order is made or a resolution is passed for the winding up of the Contractor (other than voluntarily for the purpose of solvent amalgamation or reconstruction), or if an administrator or administrative receiver is appointed in respect of the whole or any part of the Contractor's assets or business, or if the Contractor makes any



composition with its creditors or takes or suffers any similar or analogous action (to any of the actions detailed in this clause 16.2.6) in consequence of debt in any jurisdiction.

- 16.3 The Contractor shall notify the Authority as soon as practicable of any change of control as referred to in clause 16.2.4 or any potential such change of control.
- 16.4 The Contractor may terminate the Contract by written notice to the Authority if the Authority has not paid any undisputed amounts within 90 days of them falling due.
- 16.5 If the Authority terminates the Contract under this clause, the Authority shall make no further payments to the Contractor except for Services supplied by the Contractor prior to termination and in accordance with the Contract but where the payment has yet to be made by the Authority.
- 16.6 Termination or expiry of the Contract shall be without prejudice to the rights of either Party accrued prior to termination or expiry and shall not affect the continuing rights of the Parties under this clause and clauses 2, 3.2, 6.1, 6.2, 6.6, 6.7, 7, 9, 10.2, 11, 12, 13, 13A, 14, 16.7, 17.4, 18.4, 19 and 20.8 or any other provision of the Contract that either expressly or by implication has effect after termination.
- 16.7 Upon termination or expiry of the Contract, the Contractor shall:
  - 16.7.1 give all reasonable assistance to the Authority and any incoming Contractor of the Services to the extent necessary to effect an orderly assumption by a Replacement Contractor in accordance with the procedure set out in Schedule 8 – Exit Management Strategy; and
  - 16.7.2 return all requested documents, information and data to the Authority as soon as reasonably practicable.

## **17**

## **Compliance**

- 17.1 The Contractor shall promptly notify the Authority of any health and safety hazards which may arise in connection with the performance of its obligations under the Contract. The Authority shall promptly notify the Contractor of any health and safety hazards which may exist or arise at the Authority's premises and which may affect the Contractor in the performance of its obligations under the Contract.
- 17.2 The Contractor shall:
  - 17.2.1 comply with all the Authority's health and safety measures while on the Authority's premises; and
  - 17.2.2 notify the Authority immediately of any incident occurring in the performance of its obligations under the Contract on the Authority's

premises where that incident causes any personal injury or damage to property which could give rise to personal injury.

17.3 The Contractor shall:

17.3.1 perform its obligations under the Contract in accordance with all applicable equality Law and the Authority's equality and diversity policy as provided to the Contractor from time to time; and

17.3.2 take all reasonable steps to secure the observance of clause 17.3.1 by all Staff.

17.4 The Contractor shall supply the Services in accordance with the Authority's environmental policy as provided to the Contractor from time to time.

17.5 The Contractor shall comply with, and shall ensure that its Staff shall comply with, the provisions of:

17.5.1 the Official Secrets Acts 1911 to 1989; and

17.5.2 section 182 of the Finance Act 1989.

## **18**

### **Prevention of Fraud, Corruption and Bribery**

18.1 The Contractor represents and warrants that neither it, nor to the best of its knowledge any Staff, have at any time prior to the Commencement Date:

18.1.1 Committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act and/or

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

18.2 The Contractor shall not during the Term:

18.2.1 commit a Prohibited Act; and/or

18.2.2 do or suffer anything to be done which would cause the Authority or any of its employees, consultants, contractors, sub-contractors or agents to contravene any of the Relevant Requirements or otherwise incur any liability in relation to the Relevant Requirements.

18.3 The Contractor shall, during the Term establish, maintain and enforce, and require that its Sub-Contractors establish, maintain and enforce, policies and procedures which are adequate to ensure compliance with the Relevant Requirements and

prevent the occurrence of a Prohibited Act; and shall notify the Authority immediately if it has reason to suspect that any breach of clauses 18.1 and/or 18.2 has occurred or is occurring or is likely to occur.

18.4 If the Contractor or the Staff engages in conduct prohibited by clause 18.1 or commits fraud in relation to the Contract or any other contract with the Crown (including the Authority) the Authority may:

18.4.1 terminate the Contract and recover from the Contractor the amount of any loss suffered by the Authority resulting from the termination, including the cost reasonably incurred by the Authority of making other arrangements for the supply of the Services and any additional expenditure incurred by the Authority throughout the remainder of the Contract; or

18.4.2 recover in full from the Contractor any other loss sustained by the Authority in consequence of any breach of this clause.

## **19**

### **Dispute Resolution**

19.1 The Parties shall attempt in good faith to negotiate a settlement to any dispute between them arising out of or in connection with the Contract within 20 Working Days of either Party notifying the other of the dispute and such efforts shall involve the escalation of the dispute to an appropriately senior representative of each Party.

19.2 If the dispute cannot be resolved by the Parties within one month of being escalated as referred to in clause 19.1, the dispute may by agreement between the Parties be referred to a neutral adviser or mediator (the "Mediator") chosen by agreement between the Parties. All negotiations connected with the dispute shall be conducted in confidence and without prejudice to the rights of the Parties in any further proceedings.

19.3 If the Parties fail to appoint a Mediator within one month 20 Working Days of the agreement to refer to a Mediator, either Party shall apply to the Centre for Effective Dispute Resolution to appoint a Mediator.

19.4 If the Parties fail to enter into a written agreement resolving the dispute within one month of the Mediator being appointed, or such longer period as may be agreed by the Parties, either Party may refer the dispute to Court.

19.5 The commencement of mediation shall not prevent the parties commencing or continuing court or arbitration proceedings in relation to the dispute.

- 20.1 Each of the Parties represents and warrants to the other that it has full capacity and authority, and all necessary consents, licences and permissions to enter into and perform its obligations under the Contract, and that the Contract is executed by its duly authorised representative.
- 20.2 A person who is not a party to the Agreement shall have no right to enforce any of its provisions which, expressly or by implication, confer a benefit on him, without the prior written agreement of the Parties. This clause does not affect any right or remedy of any person which exists or is available apart from the Contracts (Rights of Third Parties) Act 1999 and does not apply to the Crown.
- 20.3 Subject to Clause 3.4, the Contract cannot be varied except in writing signed by a duly authorised representative of both the Parties.
- 20.4 In the event that the Contractor is unable to accept the Variation to the Specification or where the Parties are unable to agree a change to the Contract Price, the Authority may:
- 20.4.1 allow the Contractor to fulfil its obligations under the Contract without the Variation to the Specification;
  - 20.4.2 terminate the Contract with immediate effect, except where the Contractor has already provided all or part of the Services or where the Contractor can show evidence of substantial work being carried out to fulfil the requirement of the Specification, and in such case the Parties shall attempt to agree upon a resolution to the matter. Where a resolution cannot be reached, the matter shall be dealt with under the Dispute Resolution procedure detailed at clause 19.
- 20.5 The Contract contains the whole agreement between the Parties and supersedes and replaces any prior written or oral agreements, representations or understandings between them. The Parties confirm that they have not entered into the Contract on the basis of any representation that is not expressly incorporated into the Contract. Nothing in this clause shall exclude liability for fraud or fraudulent misrepresentation.
- 20.6 Any waiver or relaxation either partly, or wholly of any of the terms and conditions of the Contract shall be valid only if it is communicated to the other Party in writing and expressly stated to be a waiver. A waiver of any right or remedy arising from a breach of contract shall not constitute a waiver of any right or remedy arising from any other breach of the Contract.
- 20.7 The Contract shall not constitute or imply any partnership, joint venture, agency, fiduciary relationship or other relationship between the Parties other than the contractual relationship expressly provided for in the Contract. Neither Party shall

have, nor represent that it has, any authority to make any commitments on the other Party's behalf.

- 20.8 Except as otherwise expressly provided by the Contract, all remedies available to either Party for breach of the Contract (whether under the Contract, statute or common law) are cumulative and may be exercised concurrently or separately, and the exercise of one remedy shall not be deemed an election of such remedy to the exclusion of other remedies.
- 20.9 If any provision of the Contract is prohibited by law or judged by a court to be unlawful, void or unenforceable, the provision shall, to the extent required, be severed from the Contract and rendered ineffective as far as possible without modifying the remaining provisions of the Contract and shall not in any way affect any other circumstances of or the validity or enforcement of the Contract.
- 20.10 The Contractor shall take appropriate steps to ensure that neither the Contractor nor any Staff is placed in a position where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or a potential conflict, between the pecuniary or personal interests of the Contractor and the duties owed to the Authority under the provisions of the Contract. The Contractor will disclose to the Authority full particulars of any such conflict of interest which may arise.
- 20.11 The Authority reserves the right to terminate the Contract immediately by notice in writing and/or to take such other steps it deems necessary where, in the reasonable opinion of the Authority, there is or may be an actual conflict, or potential conflict between the pecuniary or personal interest of the Contractor and the duties owed to the Authority pursuant to this clause shall not prejudice or affect any right of action or remedy which shall have accrued or shall thereafter accrue to the Authority.
- 20.12 The Contract constitutes the entire contract between the Parties in respect of the matters dealt with therein. The Contract supersedes all prior negotiations between the Parties and all representations and undertakings made by one Party to the other, whether written or oral, except that this clause shall not exclude liability in respect of any Fraud or fraudulent misrepresentation.

## **21**

### **Notices**

- 21.1 Except as otherwise expressly provided in the Contract, no notice or other communication from one Party to the other shall have any validity under the Contract unless made in writing by or on behalf of the Party concerned.
- 21.2 Any notice or other communication which is to be given by either Party to the other shall be given by letter (sent by hand, first class post, recorded delivery or special delivery), or by facsimile transmission or electronic mail (confirmed in either case by letter), Such letters shall be addressed to the other Party in the manner referred to in clause 21.3. Provided the relevant communication is not returned as

undelivered, the notice or communication shall be deemed to have been given 2 Working Days after the day on which the letter was posted, or 4 hours, in the case of electronic mail or facsimile transmission or sooner where the other Party acknowledges receipt of such letters, facsimile transmission or item of electronic mail.

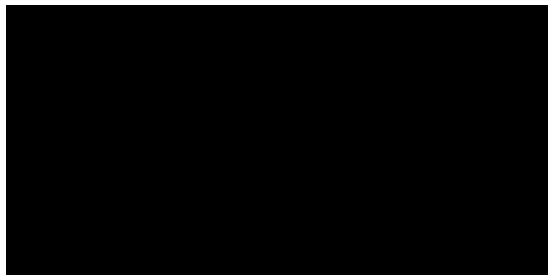
21.3 For the purposes of clause 21.2, the address of each Party shall be:

21.3.1 The Care Quality Commission:

Citygate, Gallowgate

Newcastle-upon-Tyne

NE1 4PA



21.3.2 Social Care Institute for Excellence

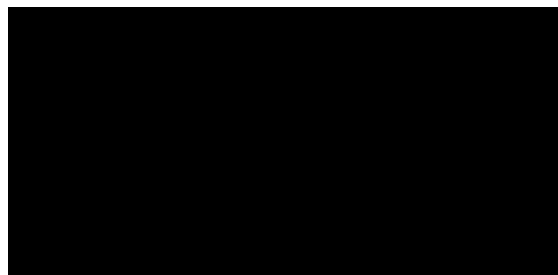
Isosceles, Head Office

One High Street

Egham

England

TW20 9HJ



21.4 Either Party may change its address for service by serving a notice in accordance with this clause.

21.5 Notices under clauses 15 (Force Majeure) and 16 (Termination) may be served by email only if the original notice is then sent to the recipient by personal delivery or recorded delivery in the manner set out in clause 21.1.

**22**

**Governing Law and  
Jurisdiction**

- 22.1 The validity, construction and performance of the Contract, and all contractual and non-contractual matters arising out of it, shall be governed by English law and shall be subject to the exclusive jurisdiction of the English courts to which the Parties submit.

**23**

**TUPE**

N/A

**IN WITNESS** of which this Contract has been duly executed by the parties.

**SIGNED** for and on behalf of **CARE QUALITY COMMISSION**

Authorised Signatory:

**SIGNED** for and on behalf of **Social Care Institute for Excellence**

Authorised Signatory 1:

Authorised Signatory 2:



# SCHEDULE 1 –SPECIFICATION

CQC is looking to procure Think Local Act Personal (TLAP) to deliver critical work to support the development of I and We statements as part of CQC's new regulatory model design.

I and We statements are a tool CQC intend to use as part of its new regulatory approach. They are intended to make sure the way CQC assesses services is through the lens of people who use services. I statements describe what good looks like from an individual perspective, and We statements express what service providers should be doing to make sure people's actual experience of care support lives up to the I statements.

CQC would like to work with TLAP to integrate and develop the I and We statements that they initially created into its new single assessment framework (SAF). The intention is for I and We statements to be used as reference points to reflect the views of real people in how the organisation assesses services. The use of these statements will allow CQC to make judgements about the quality of care using understandable standards and expectations that are focussed on people. The use of these statements should also mean that people who use services are able to easily understand the standards of care they should expect.

CQC has previously worked with TLAP on initial stages of its new methodology development. It is critical CQC work with TLAP who will be delivering the following:

- They will sense check how the new regulatory model maps I statements to We Statements.
- They will bring to life "Making It Real Statements" in domiciliary care settings - we want to test the practical application of these statements in these settings.
- They will review the evidence used to assess how "Well Led" a service is, and co-producing I statements for how "Well Led" a service is and mapping this to CQC's new assessment methodology.

In terms of deliverables, this includes:

- A resource mapping lived experience of domiciliary care to the Making it Real I statements in the SAF.
- A list of the areas that should be included in the resources to support inspectors of domiciliary care in the test and learn phase to follow (owned by CQC).
- A description of the test and learn process in Domiciliary Care.
- A write up of areas of transferable learning to other areas of regulated adult social and health care.
- A report outlining the results of a literature review on existing evidence on well-led.
- A kick-off event to engage audiences and project group.
- 10-15 co-produced well-led I statements. (Owned by TLAP)
- Event to launch the finalised well-led I statements, co-branded with CQC.
- Short internal briefing for CQC capturing relevant learning about contextualizing the well-led I statements in different settings.
- Matching We Statements to go into Making it Real. (Owned by TLAP)

## SCHEDULE 2 – PRICE

**Budget Availability** – All costs must be broken down Excluding and Including VAT below.  
(The RTP cannot be accepted unless this information is provided).

|                    | FY2022/23 | FY2023/24          | FY2024/25 | FY2025/26 | FY2026/27 | Total |
|--------------------|-----------|--------------------|-----------|-----------|-----------|-------|
| <b>Ex<br/>VAT</b>  |           | <b>£99,296</b>     |           |           |           |       |
| <b>Inc<br/>VAT</b> |           | <b>£119,115.20</b> |           |           |           |       |

## SCHEDULE RESPONSE

3

–

## CONTRACTOR'S



Revised proposal from TLAP to carry out work on harnessing the power of I statements in CQC's regulatory model

July v4.0

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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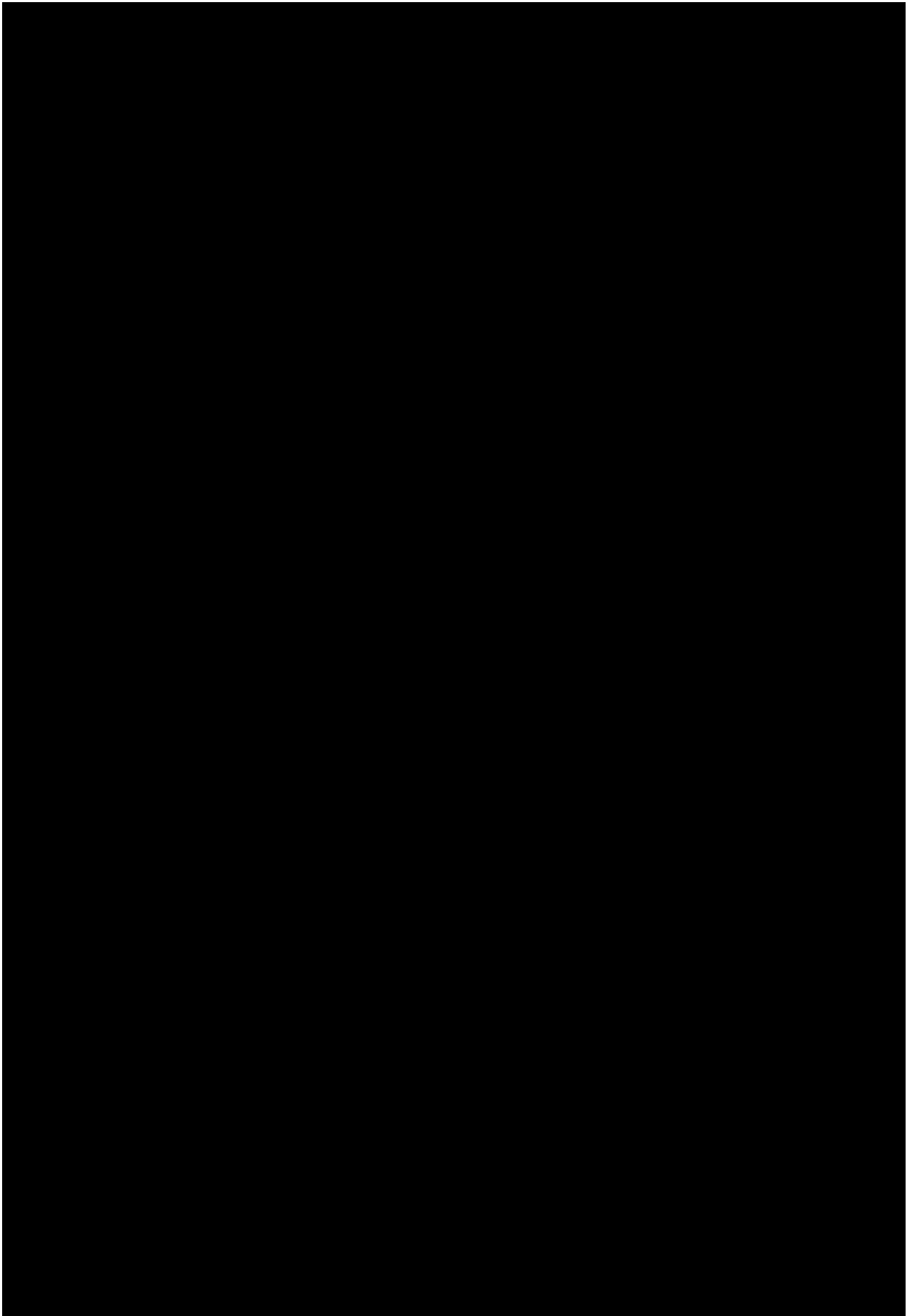
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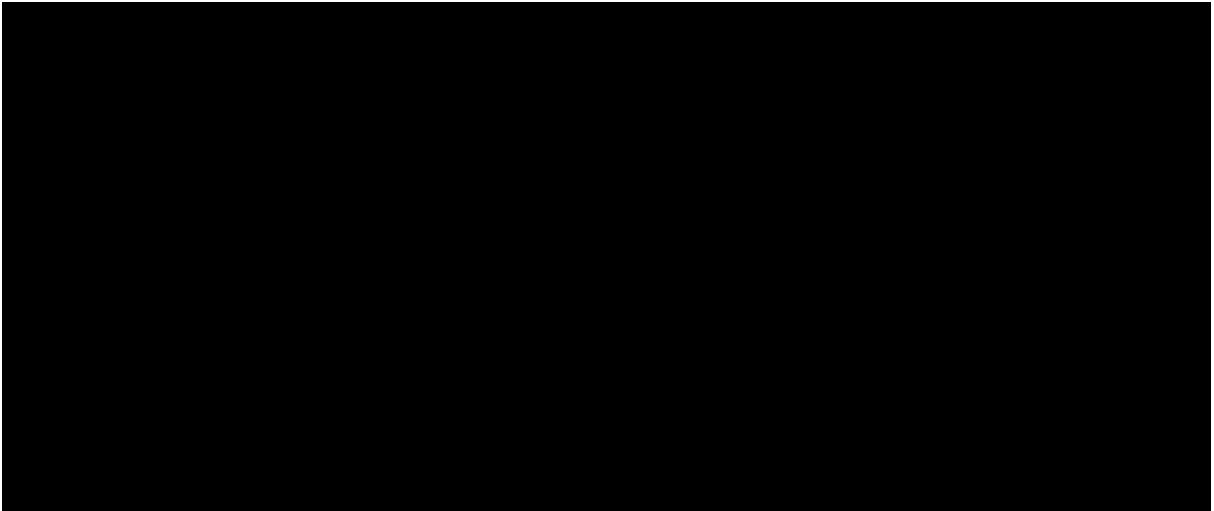
[Redacted]

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## Budget







## **ANNEX 1: TENDER CLARIFICATIONS**

**Not used**

## SCHEDULE 4 – PROCESSING, PERSONAL DATA AND DATA SUBJECTS

- 1 The Parties acknowledge that for the purposes of the Data Protection Legislation, the Authority is the Controller and the Contractor is the Processor. The only processing that the Processor is authorised to do is listed in Annex 1 to this Schedule 4 by the Controller and may not be determined by the Processor.
- 2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.
- 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.
- 4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this Agreement:
  - (a) process that Personal Data only in accordance with Annex 1 to this 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 Agreement (and in particular Annex 1 to this 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 Agreement; 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 Agreement unless the Processor is required by Law to retain the Personal Data.

5 Subject to paragraph 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 Agreement;
- (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.

- 6 The Processor's obligation to notify under paragraph 5 shall include the provision of further information to the Controller in phases, as details become available.
- 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 paragraph 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 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.
- 8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this paragraph. 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; or
  - (c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects.
- 9 The Processor shall allow for audits of its Data Processing activity by the Controller or the Controller's designated auditor.
- 10 Each Party shall designate its own data protection officer if required by the Data Protection Legislation.
- 11 Before allowing any Sub-processor to process any Personal Data related to this Agreement, 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 Schedule 14 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.

- 12 The Processor shall remain fully liable for all acts or omissions of any of its Sub-processors.
- 13 The Controller may, at any time on not less than 30 Working Days' notice, revise this paragraph 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 Agreement).
- 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 agreement to ensure that it complies with any guidance issued by the Information Commissioner's Office.
- 15 Subject to clause 14.5, the Processor shall indemnify the Controller on a continuing basis against any and all Losses incurred by the Controller arising from the Processor's Default under this Schedule 4 and/or any failure by the Processor or any Sub-processor to comply with their respective obligations under Data Protection Legislation.
- 16 Nothing in this Schedule 4 shall be construed as requiring the Processor or any relevant Sub-processor to be in breach of any Data Protection Legislation.

## **ANNEX 1 – Data Processing Schedule**

**NOT USED**

# SCHEDULE 5 – SECURITY REQUIREMENTS AND PLAN

NOT USED

## **APPENDIX 1- OUTLINE SECURITY PLAN**

**NOT USED**



## **ANNEX 1: BASELINE SECURITY REQUIREMENTS**

**NOT USED**

**ANNEX 2: CONTRACTOR'S SECURITY MANAGEMENT PLAN**

**NOT USED**

# SCHEDULE 6 – CHANGE CONTROL

## Contract Change Note

|  |  |
|--|--|
| <b>Contract Change Note Number</b>           |  |
| <b>Contract Reference Number &amp; Title</b> |  |
| <b>Variation Title</b>                       |  |
| <b>Number of Pages</b>                       |  |

WHEREAS the Contractor and the Authority entered into a Contract for the supply of [project name] dated [dd/mm/yyyy] (the "Original Contract") and now wish to amend the Original Contract

IT IS AGREED as follows

1. The Original Contract shall be amended as set out in this Change Control Notice:

|  |  |   |
|--|--|---|
| Change Requestor / Originator  |  |   |
| Summary of Change  |  |   |
| Reason for Change  |  |   |
| Revised Contract Price   | Original Contract Value  | £ |
|  | Previous Contract Changes  | £ |
|  | DN: Enter all CCN's here so that total value is shown for Audit purposes |   |
|  | Contract Change Note [x]   | £ |
|  | New Contract Value   | £ |
| Revised Payment Schedule   |  |   |
| Revised Specification (See Annex [x] for Details)                      |  |   |
| DN: Any change to Specification should be added as an Annex to the CCN |  |   |
| Revised Term/Contract Period   |  |   |
| Change in Contract Manager(s)  |  |   |
| Other Changes  |  |   |

2. Save as herein amended all other terms of the Original Contract shall remain effective.
3. This Change Control Notice shall take effect on [INSERT DATE] or from the date on which both the Authority and the Contractor have communicated acceptance of its terms.

| SIGNED ON BEHALF OF THE<br>AUTHORITY: | SIGNED ON BEHALF OF THE<br>CONTRACTOR: |
|---------------------------------------|--|
| Signature:                            | Signature:                             |
| Name:                                 | Name:                                  |
| Position:                             | Position:                              |
| Date:                                 | Date:                                  |

# SCHEDULE 7 – THIRD PARTY SOFTWARE – NOT USED

## CONTRACTOR SOFTWARE

For the purposes of this Schedule 7, “**Contractor Software**” means 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. The Contractor Software comprises the following items:

| Software | Contractor<br>(if Affiliate<br>of the<br>Contractor) | Purpose | No. of<br>Licences | Restrictions | No. of<br>copies | Other | To be<br>deposited<br>in<br>escrow? |
|----------|--|---------|--------------------|--------------|------------------|-------|-------------------------------------|
|          |  |         |                    |              |                  |       |                                     |
|          |  |         |                    |              |                  |       |                                     |
|          |  |         |                    |              |                  |       |                                     |
|          |  |         |                    |              |                  |       |                                     |
|          |  |         |                    |              |                  |       |                                     |
|          |  |         |                    |              |                  |       |                                     |

## THIRD PARTY SOFTWARE

For the purposes of this Schedule 7, “**Third Party Software**” means software which is proprietary to any third party which is or will be used by the Contractor for the purposes of providing the Services including the software specified in this Schedule 7. The Third Party Software shall consist of the following items:

| Third<br>Party<br>Software | Contractor | Purpose | No. of<br>Licences | Restrictions | No. of<br>copies | Other | To be<br>deposited<br>in<br>escrow? |
|----------------------------|------------|---------|--------------------|--------------|------------------|-------|-------------------------------------|
|                            |            |         |                    |              |                  |       |                                     |
|                            |            |         |                    |              |                  |       |                                     |
|                            |            |         |                    |              |                  |       |                                     |
|                            |            |         |                    |              |                  |       |                                     |
|                            |            |         |                    |              |                  |       |                                     |
|                            |            |         |                    |              |                  |       |                                     |

## **SCHEDULE 8 – EXIT MANAGEMENT STRATEGY**

Not applicable