

[Supplier]**[Supplier address]**Attn: **[insert Supplier contact name]**By email to: **[insert Supplier contact email address]**Date: **[Insert date]**Your ref: **[Insert Supplier's
reference, if any]**

Our ref: CR20033

Dear Sirs,

Award of contract for the supply of Evaluation of the UKRI Strategic Priorities Fund (SPF)

Following your tender/ proposal for the supply of Evaluation of the UKRI Strategic Priorities Fund (SPF) to UKRI, we are pleased to award this contract to you.

This letter ("**Award Letter**") and its Schedule(s) set out the terms of the Contract between:

- (1) **United Kingdom Research and Innovation**, a statutory corporation whose registered office is at Polaris House, North Star Avenue, Swindon, England, SN2 1FL ("**UKRI**"); and
- (2) **[insert Supplier's full name]**, [a company incorporated and registered in [COUNTRY] with company number [NUMBER] and registered VAT number [NUMBER] whose registered office is at [REGISTERED OFFICE ADDRESS]] **OR** [a partnership under the laws of [COUNTRY] whose address is [ADDRESS]] **OR** [a business with its trading address at [ADDRESS] (the "**Supplier**").

Unless the context otherwise requires, capitalised expressions used in this Award Letter have the same meanings as in the terms and conditions of contract set out in **Error! Reference source not found.** to this Award Letter (the "**Conditions**"). Please do not attach any Supplier terms and conditions to this Award Letter as they will not be accepted by UKRI and may delay conclusion of the Contract.

For the purposes of the Contract, UKRI and the Supplier agree as follows:

Term

- 1 Commencement Date: Wednesday 01st July 2020
- 2 Expiry Date: 31st December 2025

Description of Goods and/or Services

- 3 The Specification of the Goods and/or Services to be delivered is as set out in Schedule 2.

Charges & Payment

- 4 The Charges for the Goods and/or Services shall be as set out in Schedule 3.
- 5 All invoices should be sent, quoting a valid purchase order number (PO Number) provided by UKRI, to: finance@uksbs.co.uk.
- 6 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 UKRI 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 finance@uksbs.co.uk or by telephone 01793 867000 between 09:00-17:00 Monday to Friday.

Supplier's Liability

- 7 Pursuant to clause 20.4, the Supplier's Limit of Liability under this Contract shall be: 125% of the total Charges paid and payable to the Supplier under this Contract.

Notices

- 8 The address for notices of the Parties are:

UKRI

Polaris House, North Star Avenue,
Swindon, England, SN2 1FL

Attention: Mike Sullivan

Email: mike.sullivan@ukri.org

Supplier

[insert **name**
and address of Supplier]

Attention: [insert title]

Email: [insert email address]

Liaison & Disputes

- 9 For general liaison your contact will continue to be Will Naughton, Contract Manager will.naughton@ukri.org or, in their absence, Henry Cormack, henry.cormack@ukri.org

- 10 Pursuant to Clause 32.3, Disputes shall be escalated to the following individuals:

- (a) Stage 1 escalation:

UKRI: Mike Sullivan, Commercial Business Partner, UKRI

Supplier: [●]

- (b) Stage 2 escalation:

UKRI: UKRI Head of Commercial

Supplier: [●]

We thank you for your co-operation to date, and look forward to forging a successful working relationship resulting in a smooth and successful supply of the Goods and/or Services. Please confirm your acceptance of the award of this contract by signing and returning the enclosed copy of this letter to Victoria Clewer at the above address. No other form of acknowledgement will be accepted. Please remember to quote the reference number above in any future communications relating to this contract.

Yours faithfully,

Signed for and on behalf of **United Kingdom Research and Innovation**

Signature:

.....

Name:

.....

Position:

.....

Date:

.....

We accept the terms set out in this Award Letter and the Schedule(s).

Signed for and on behalf of **[insert full name of Supplier]**

Signature:

.....

Name:

.....

Position:

.....

Date:

.....

Schedule 1 - The Conditions

1 INTERPRETATION

1.1 **Definitions.** In the Contract (as defined below), the following definitions apply:

Award Letter: means the letter from UKRI to the Supplier printed above these terms and conditions;

Change in Law: any change in Law which impacts on the performance of the Goods and/or Services which comes into force after the Commencement Date;

Charges: the charges payable by UKRI for the supply of the Goods and/or Services as specified in Schedule 3;

Commencement Date: means the date for the start of the Contract as set out in the Award Letter;

Confidential Information: means:

- (a) all confidential information and data which is acquired from or made available (directly or indirectly) by the Disclosing Party or the Disclosing Party's representatives however conveyed or presented, including but not limited to any information or document relating to the Disclosing Party's business, affairs, operations, budgets, policies, processes, initiatives, plans, product information, pricing information, technical or commercial know-how, trade secrets, specifications, strategies, inventions, designs, software, market opportunities, personnel, customers or suppliers (whether relating to this Contract or otherwise) either orally, in writing, or in whatever form obtained or maintained;
- (b) any information or analysis derived from the Confidential Information;
- (c) anything marked as confidential and any other information notified by or on behalf of the Disclosing Party to the Receiving Party as being confidential;
- (d) the existence and terms of this Contract and of any subsequent agreement entered into in relation to this Contract;
- (e) the fact that discussions and negotiations are taking place concerning this Contract and the status of those discussions and negotiations; and
- (f) any copy of any of the information described in (a), (b), (c), (d), or (e) above, which shall be deemed to become Confidential Information when it is made. For the

purposes of this definition, a copy shall include, without limitation, any notes or recordings of the information described in (a), (b), (c), (d), or (e) above (howsoever made);

but not including any information which:

- (i) was in the possession of the Receiving Party without a breach of an obligation of confidentiality prior to its disclosure by the Disclosing Party;
- (ii) the Receiving Party obtained on a non-confidential basis from a third party who is not, to the Receiving Party's knowledge or belief, bound by a confidentiality agreement with the Disclosing Party or otherwise prohibited from disclosing the information to the Receiving Party;
- (iii) was already generally available and in the public domain at the time of disclosure otherwise than by a breach of this Contract or breach of a duty of confidentiality;
- (iv) was independently developed without access to the Confidential Information; or
- (v) relates to the Supplier's performance under this Contract or failure to pay any sub-contractor as required pursuant to clause 10.9;

Contract: means the contract between UKRI and the Supplier constituted by the Supplier's countersignature of the Award Letter and includes the Award Letter and Schedules;

Cyber Essentials Questionnaire: UKRI's questionnaire for suppliers regarding their cyber security arrangements, a copy of which is available from UKRI on request;

Data Protection Legislation: means, for the periods in which they are in force, all laws giving effect or purporting to give effect to the GDPR, the Data Protection Act 2018, or otherwise relating to Data Protection, including the Regulation of Investigatory Powers Act 2000, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 (SI 2000/2699), the Electronic Communications Data Protection Directive (2002/58/EC), the Privacy and Electronic Communications (EC Directive) Regulations 2003 (SI 2426/2003), the GDPR and all applicable laws and regulations relating to the processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner, in each case as amended or substituted from time to time;

Declaration of Ineffectiveness: a declaration made by a Court under regulation 98 which has any of the consequences described in regulation 101 of the Public Contracts

Regulations 2015 (as amended) or which is made under an equivalent provision implementing Directive 2014/23/EU in England, Wales & Northern Ireland and which has consequences which are similar to any of the consequences described in regulation 101 of the Public Contracts Regulations 2015 (as amended);

Deliver: means hand over of the Goods to UKRI at the address(es) specified in the Specification (or otherwise agreed in writing by the Parties) and on the Delivery Date, which shall include unloading and any other specific arrangement agreed in accordance with clause 6. “Delivered”, “Delivery” and “Deliveries” shall be construed accordingly;

Deliverables: all Documents, products and materials developed by the Supplier or its agents, contractors and employees as part of, or in relation to, the Services in any form, including computer programs, data, reports and specifications (including drafts);

Delivery Date: the date for delivery of the Goods specified by UKRI in writing and if no such date is specified, within 28 days of the date of UKRI’s written request;

Delivery Note: means a note produced by the Supplier accompanying each delivery of the Goods which shows the date of the order, the order number (if any), the type and quantity of the Goods (including the code number of the Goods, where applicable), special storage instructions (if any) and, if the Goods are being delivered by instalments, the outstanding balance of Goods remaining to be delivered;

Disclosing Party: means a Party that makes a disclosure of Confidential Information to another Party;

Dispute: means any dispute, conflict or disagreement arising out of or in connection with this Contract;

Document: includes, in addition to any document in writing, any drawing, map, plan, diagram, design, picture or other image, tape, disk or other device or record embodying information in any form.

EIR: the Environmental Information Regulations 2004 (or if applicable the Environmental Information Regulations (Scotland) 2004) together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such regulations;

Expiry Date: means the date for expiry of the Contract as set out in the Award Letter;

FOIA: the Freedom of Information Act 2000 (or if applicable the Freedom of Information (Scotland) Act 2002) and any subordinate legislation made under the Act from time to time, together with any guidance and/or codes of practice issued by the Information Commissioner or relevant government department in relation to such legislation;

Force Majeure Event: shall be limited to one or more of the following events: hurricanes, tempest, acts of state or public enemy, wars, revolutions, uprisings, hostilities, civil disturbances, riots, civil war, insurrection and invasion. For the avoidance of doubt, strikes, lockouts and shutdowns of a Party (or of any person engaged by any of them) shall not be a force majeure event for that Party;

GDPR: means:

- (a) the General Data Protection Regulations (Regulation (EU) 2016/679) which came into force on 25 May 2018; or
- (b) any equivalent legislation amending or replacing the General Data Protection Regulations (Regulation (EU) 2016/679);

General Change in Law: a Change in Law where the change is of a general legislative nature (including taxation or duties of any sort affecting the Supplier) or which affects or relates to the supply of goods and/or services to another customer of the Supplier that are the same or similar to any of the Goods and/or Services;

Good Industry Practice: means all relevant practices and professional standards that would be expected of a well-managed, expert service provider performing services substantially similar to the Services or supplies substantially similar to the Goods to customers of a substantially similar size and nature to UKRI;

Goods: means the goods to be supplied by the Supplier to UKRI, under the Contract as set out in the Specification;

Information: has the meaning given under section 84 of FOIA;

Intellectual Property Rights: all patents, rights to inventions, utility models, copyright and related rights (including moral rights), trademarks, service marks, trade, business and domain names, rights in trade dress or get-up, rights in goodwill or to sue for passing off, unfair competition rights, rights in designs, rights in computer software, database right, topography rights, rights in confidential information (including know-how and trade secrets) and any other intellectual property rights, in each case whether registered or unregistered

and including all applications for and renewals or extensions of such rights, and all similar or equivalent rights or forms of protection in any part of the world;

Key Personnel: means any persons specified as such in Schedule 4 or otherwise notified as such by UKRI to the Supplier in writing;

Law: means any law, statute, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of section 2 of the European Communities Act 1972 and section 4 of the European Union (Withdrawal) Act 2018, regulation, order, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body, with which UKRI and the Supplier (as the context requires) is bound to comply;

Limit of Liability: means the Supplier's limit of liability identified in the Award Letter;

Notifiable Breach: has the meaning set out at clause 8.3;

Party: the Supplier or UKRI (as appropriate) and "Parties" shall mean both of them;

Personal Data: has the meaning given to this term by the Data Protection Legislation;

Personal Data Breach: shall have the same meaning as in the Data Protection Legislation;

PO Number: means UKRI's unique number relating to the supply of the Goods and/or Services;

Public Body: any part of the government of the United Kingdom including but not limited to the Northern Ireland Assembly and Executive Committee, the Scottish Executive and the National Assembly for Wales, local authorities, government ministers and government departments and government agencies;

Public Procurement Termination Event: UKRI exercises its right to terminate the Contract in one or more of the circumstances described in either regulation 73(1) of the Public Contracts Regulations 2015 (as amended from time to time), or equivalent provisions implementing Directive 2014/23/EU in England, Wales & Northern Ireland (as amended from time to time);

Receiving Party: means a Party to which a disclosure of Confidential Information is made by another Party;

Remediation Plan: means a report identifying:

- (a) the nature of the Notifiable Breach described at clause 8.3, its cause and its anticipated duration and impact on the Contract; and
- (b) the procedures and resources the Supplier proposes to apply to overcome and rectify the Notifiable Breach and to ensure the impact of the Notifiable Breach is minimised and future performance of the Contract is not adversely affected;

Request for Information: a request for Information or an apparent request under FOIA or EIR;

Services: the services, including without limitation any Deliverables, to be provided by the Supplier to UKRI under the Contract as set out in the Specification;

SME: as defined by EU recommendation 2003/361/EC;

Specification: the description of the Goods and / or Services to be provided under this Contract as set out in Schedule 2;

Specific Change in Law: a Change in Law that relates specifically to the business of UKRI and which would not affect the supply of goods and/or services to another customer of the Supplier that are the same or similar to any of the Goods and/or Services;

Supplier's Associate: any individual or entity associated with the Supplier including, without limitation, the Supplier's subsidiary, affiliated or holding companies and any employees, agents or contractors of the Supplier and / or its subsidiary, affiliated or holding companies or any entity that provides Goods and or Services for or on behalf of the Supplier;

Supplier Dispute: means any disputes, claims, litigation, mediation or arbitration whether threatened or pending in relation to any incident involving the Supplier's, or another party's, provision of the Goods and/or Services;

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 requested by UKRI, UKRI's procedures for the vetting of personnel as provided to the Supplier from time to time;

Term: means the period from the Commencement Date to the Expiry Date as such period may be extended or terminated in accordance with the terms and conditions of the Contract;

TUPE: the Transfer of Undertakings (Protection of Employment) Regulations 2006 as amended or replaced from time to time;

Working Day: a day (other than a Saturday, Sunday, public holiday or 27, 28, 29, 30 and 31 December) when banks in London are open for business.

1.2 In this Contract, unless the context requires otherwise, the following rules apply:

- (a) A person includes a natural person, corporate or unincorporated body (whether or not having separate legal personality).
- (b) A reference to a party includes its personal representatives, successors or permitted assigns.
- (c) A reference to any Law is a reference to Law as amended or re-enacted. A reference to a Law includes any subordinate legislation made under that Law, as amended or re-enacted.
- (d) Any phrase introduced by the terms including, include, in particular or any similar expression shall be construed as illustrative and shall not limit the sense of the words preceding those terms.
- (e) The headings in the Contract are for ease of reference only and do not affect the interpretation or construction of the Contract.
- (f) A reference to writing or written includes e-mails.
- (g) A reference to numbered clauses are references to the relevant clause in this Contract.
- (h) 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.

2 BASIS OF CONTRACT

2.1 The Contract comprises of the Award Letter and its Schedules, to the exclusion of all other terms and conditions, including any other terms that the Supplier seeks to impose or

incorporate (whether in any quotation, confirmation of order, invoice, in correspondence or in any other context), or which are implied by trade, custom, practice or course of dealing.

- 2.2 If there is any conflict or inconsistency between the Award Letter and its Schedules, the provisions of the Award Letter will prevail followed by the Conditions in this Schedule 1 to the extent necessary to resolve that conflict or inconsistency.

3 TERM

- 3.1 This Contract shall take effect on the Commencement Date and shall expire on the Expiry Date, unless it is otherwise extended or terminated in accordance with the terms and conditions of this Contract.

4 SUPPLY OF SERVICES

- 4.1 In consideration of UKRI's agreement to pay the Charges, the Supplier shall for the Term provide the Services to UKRI in accordance with the terms of this Contract.
- 4.2 The Supplier shall meet any performance dates for the Services (including the delivery of Deliverables) specified in the Specification or notified to the Supplier by UKRI.
- 4.3 In providing the Services, the Supplier shall:
- (a) co-operate with UKRI in all matters relating to the Services, and comply with all instructions of UKRI using reasonable endeavours to promote UKRI's interests;
 - (b) perform the Services with reasonable skill, care and diligence in accordance with Good Industry Practice in the Supplier's industry, profession or trade;
 - (c) use Staff who are suitably skilled and experienced to perform tasks assigned to them, and in sufficient number to ensure that the Supplier's obligations are fulfilled in accordance with this Contract;
 - (d) ensure that the Services and Deliverables will conform with the Specifications and that the Deliverables shall be fit for any purpose expressly or impliedly made known to the Supplier by UKRI;
 - (e) provide all equipment, tools and vehicles and such other items as are required to provide the Services;

- (f) use goods, materials, standards and techniques, and ensure that the Deliverables, and all goods and materials supplied and used in the Services or transferred to UKRI are of a quality in line with Good Industry Practice and are free from defects in workmanship, installation and design;
- (g) obtain and at all times maintain all necessary licences and consents, and comply with all applicable laws and regulations;
- (h) not do or allow anything to be done that would, or would be likely to, bring UKRI into disrepute or adversely affect its reputation in any way;
- (i) observe all health and safety rules and regulations and any other security requirements that apply at any of UKRI's premises; and
- (j) not do or omit to do anything which may cause UKRI to lose any licence, authority, consent or permission on which it relies for the purposes of conducting its business, and the Supplier acknowledges that UKRI may rely or act on the Services.

4.4 UKRI's rights under this Contract are without prejudice to and in addition to the statutory terms implied in favour of UKRI under the Supply of Goods and Services Act 1982 and any other applicable legislation as amended.

5 SUPPLY OF GOODS

5.1 In consideration of UKRI's agreement to pay the Charges, the Supplier shall supply all Goods in accordance with the Contract. In particular, the Supplier warrants that the Goods shall:

- (a) conform with their description in the specifications (including the Specification), drawings, descriptions given in quotations, estimates, brochures, sales, marketing and technical literature or material (in whatever format made available by the Supplier) supplied by, or on behalf of, the Supplier;
- (b) be of satisfactory quality (within the meaning of the Sale of Goods Act 1979) and fit for any purpose held out by the Supplier or made known to the Supplier by UKRI, expressly or by implication, and in this respect UKRI relies on the Supplier's skill and judgement. The Supplier acknowledges and agrees that the approval by UKRI shall not relieve the Supplier of any of its obligations under this sub-clause;

- (c) where applicable, be free from defects (manifest or latent), in materials and workmanship and remain so for 12 months after Delivery;
 - (d) be free from design defects;
 - (e) comply with all applicable statutory and regulatory requirements relating to the manufacture, labelling, packaging, storage, handling and delivery of the Goods;
 - (f) be supplied in accordance with all applicable legislation in force from time to time; and
 - (g) be destined for supply into, and fully compliant for use in, the United Kingdom (unless specifically stated otherwise in the Specification).
- 5.2 In supplying the Goods, the Supplier shall co-operate with UKRI in all matters relating to the supply of the Goods and comply with all of UKRI's instructions.
- 5.3 The Supplier shall ensure that at all times it has and maintains all the licences, permissions, authorisations, consents and permits that it needs to carry out its obligations under the Contract.
- 5.4 UKRI and its representatives shall have the right to inspect and test the Goods at any time before Delivery.
- 5.5 If following such inspection or testing UKRI considers that the Goods do not conform or are unlikely to comply with the Supplier's undertakings at clause 5.1, UKRI shall inform the Supplier and the Supplier shall immediately take such remedial action as is necessary to ensure compliance.
- 5.6 Notwithstanding any such inspection or testing, the Supplier shall remain fully responsible for the Goods and any such inspection or testing shall not reduce or otherwise affect the Supplier's obligations under this Contract, and UKRI shall have the right to conduct further inspections and tests after the Supplier has carried out its remedial actions.
- 5.7 UKRI's rights under the Contract are without prejudice to and in addition to the statutory terms implied in favour of UKRI under the Sale of Goods Act 1979, the Supply of Goods and Services Act 1982 and any other applicable legislation as amended.

6 DELIVERY

- 6.1 Unless otherwise agreed in writing by UKRI, the Supplier shall Deliver the Goods to UKRI on the Delivery Date (with the carriage paid) to the address(es) specified in the Specification and in accordance with any other Delivery instructions provided to the Supplier.
- 6.2 Delivery of the Goods shall be completed once the completion of unloading the Goods from the transporting vehicle at the Delivery address has taken place (as well as any other specific arrangement agreed by the Parties has taken place) and UKRI has signed for the Delivery. The Supplier will unload the Goods at its own risk as directed by UKRI. The Goods will remain at the risk of the Supplier until Delivery to UKRI (including unloading) is complete and the Supplier has obtained sign-off of the Delivery Note by or on behalf of UKRI.
- 6.3 Unless otherwise stipulated by UKRI in writing to the Supplier, Deliveries shall only be accepted by UKRI on Working Days and during normal business hours.
- 6.4 The Supplier shall ensure that:
- (a) the Goods are properly packed and secured in such manner as to enable them to reach their destination in good condition:
 - (b) each delivery of the Goods is accompanied by a Delivery Note; and
 - (c) if the Supplier requires UKRI to return any packaging material to the Supplier, that fact is clearly stated on the Delivery Note. Any such packaging material shall be returned to the Supplier at the Supplier's cost.
- 6.5 If the Supplier delivers to UKRI more than the quantity of Goods ordered, UKRI will not be bound to pay for the excess and any excess will remain at the Supplier's risk and will be returnable to the Supplier at the Supplier's expense.
- 6.6 If the Supplier delivers less than the quantity of Goods ordered, and UKRI accepts the delivery, a pro rata adjustment shall be made to the invoice for the Goods.
- 6.7 The Supplier shall not deliver the Goods in instalments without prior written consent from UKRI. Where it is agreed that the Goods are to be delivered in instalments, they may be invoiced and paid for separately.
- 6.8 The Supplier shall:

- (a) obtain, at its risk and expense, any export and import licences or other authorisations necessary for the export and import of the Goods and their transit through any country or territory; and
 - (b) deal with all customs formalities necessary for the export, import and transit of the Goods, and will bear the costs of complying with those formalities and all duties, taxes and other charges payable for export, import and transit.
- 6.9 Without prejudice to UKRI's statutory rights, UKRI will not be deemed to have accepted any Goods until it has had at least 14 Working Days after Delivery to inspect them and UKRI also has the right to reject any Goods as though they had not been accepted for 14 Working Days after any latent defect in the Goods has become apparent.
- 6.10 Without prejudice to clause 13.1, any access to UKRI's premises and any labour and equipment that may be provided by UKRI in connection with Delivery of the Goods shall be provided without acceptance by UKRI of any liability in respect of any actions, claims, costs and expenses incurred by third parties for any loss or damages to the extent that such loss or damage is not attributable to the negligence or other wrongful act of UKRI, its servant or agent. The Supplier shall indemnify UKRI in respect of any actions, suits, claims, demands, losses, charges, costs and expenses, which UKRI may suffer or incur as a result of or in connection with any damage or injury (whether fatal or otherwise) occurring in the course of Delivery or installation to the extent that any such damage or injury is attributable to any act or omission of the Supplier or the Staff.

7 TITLE, RISK AND USE

- 7.1 Without prejudice to any other rights or remedies of UKRI, title and risk in the Goods shall pass to UKRI on completion of Delivery.
- 7.2 The Supplier warrants that:
 - (a) it has full clear and unencumbered title to the Goods;
 - (b) at the Delivery Date of any of the Goods it shall have full have unrestricted right, power and authority to sell, transfer and deliver all of the Goods to UKRI; and
 - (c) on Delivery, UKRI shall acquire a valid and unencumbered title to the Goods.

8 REMEDIES

8.1 UKRI's rights and remedies under the Contract are in addition to its rights and remedies implied by statute and common law.

8.2 Where (i) the Supplier fails to Deliver the Goods or part of the Goods including any instalment(s) or (ii) the Goods or part of the Goods do not comply with the provisions of clause 5 then without limiting any of its other rights or remedies in this Contract or implied by statute or common law, UKRI shall be entitled to:

- (a) terminate the Contract in whole or in part without liability to the Supplier;
- (b) accept late delivery of the Goods;
- (c) require the Supplier, free of charge, to deliver substitute Goods within the timescales specified by UKRI;
- (d) require the Supplier, free of charge, to repair or replace the rejected Goods, or to provide a full refund of the price of the rejected Goods (if paid);
- (e) reject the Goods (in whole or part) and return them to the Supplier at the Supplier's own risk and expense and UKRI shall be entitled to a full refund on those Goods or part of Goods duly returned;
- (f) buy the same or similar goods from another supplier; and
- (g) recover any expenses incurred in respect of buying the Goods from another supplier which shall include but not be limited to administration costs, chargeable staff time and extra delivery costs.

8.3 Without prejudice to any of its other rights or remedies in this Contract or implied by statute or common law, in the event that:

- (a) UKRI considers the Supplier is in breach of, or is likely to breach, clause 4.2 and the breach is capable of remedy; or
- (b) the Supplier commits a breach of clause 4.3 which is capable of remedy,

(each a "**Notifiable Breach**"), the Supplier must as soon as practicable but in any event within 5 Working Days (or as otherwise agreed by UKRI) of being notified by UKRI of the Notifiable Breach, submit a draft Remediation Plan to UKRI for approval. UKRI may, acting reasonably, consider the draft Remediation Plan as inadequate to rectify the Notifiable Breach and reject the draft, in which case the Supplier shall submit a revised Remediation Plan to UKRI for review within 3 Working Days (or as otherwise agreed by UKRI) of UKRI's

notice rejecting the draft. Once the Remediation Plan is approved, the Supplier shall immediately start work on the actions set out in the approved Remediation Plan.

- 8.4 Where the Supplier fails to provide a Remediation Plan in accordance with the timescales specified in clause 8.3 or fails to comply with any approved Rectification Plan, UKRI shall be entitled to:
- (a) terminate the Contract with immediate effect by giving written notice to the Supplier;
 - (b) recover from the Supplier any costs incurred by UKRI in performing the Services itself or obtaining substitute services from a third party;
 - (c) a refund of the Charges paid in advance for Services that have not been provided by the Supplier; and
 - (d) claim damages for any additional costs, loss or expenses incurred by UKRI which are in any way attributable to the Notifiable Breach and the Supplier's failure as described in this clause 8.4.
- 8.5 This Contract shall apply to any repaired or replacement Goods and any substituted or remedial Services provided by the Supplier.

9 UKRI OBLIGATIONS

- 9.1 UKRI shall:
- (a) provide the Supplier with reasonable access at reasonable times to UKRI's premises for the purpose of providing the Goods and/or Services; and
 - (b) provide such information to the Supplier as the Supplier may reasonably request and UKRI considers reasonably necessary for the purpose of providing the Goods and/or Services.

10 CHARGES AND PAYMENT

- 10.1 The Charges for the Goods and/or Services are set out in Schedule 3, and shall be the full and exclusive remuneration of the Supplier in respect of the supply of the Goods and/or Services. Unless otherwise agreed in writing by UKRI, the Charges shall include every cost and expense of the Supplier directly or indirectly incurred in connection with the provision of the Goods and/or performance of the Services.
- 10.2 All amounts stated are exclusive of VAT which shall be charged at the prevailing rate where applicable. UKRI shall, where applicable and following the receipt of a valid VAT invoice,

pay to the Supplier a sum equal to the VAT chargeable in respect of the Goods and/or Services.

- 10.3 The Supplier shall invoice UKRI at the times specified in Schedule 3 and in accordance with this clause 10. If an invoicing schedule is not specified in Schedule 3, the Supplier shall invoice UKRI on or after the Delivery of the Goods or completion of the Services.
- 10.4 Each invoice shall include such supporting information required by UKRI to verify the accuracy of the invoice, including the relevant PO Number and a breakdown of the Goods and/or Services supplied in the invoice period as well as appropriate details in order to allow for payment via BACS transfer (sort code and bank account details).
- 10.5 In consideration of the supply of the Goods and/or Services by the Supplier, UKRI shall pay the invoiced amounts within 30 days of the date of a correctly rendered invoice after verifying that the invoice is valid and undisputed. Payment shall be made to the bank account nominated in writing by the Supplier unless UKRI agrees in writing to another payment method.
- 10.6 If UKRI fails to consider and verify an invoice in a timely fashion the invoice shall be regarded as valid and undisputed for the purpose of clause 10.5 after a reasonable time has passed (which shall be no less than 14 calendar days).
- 10.7 If there is a dispute between the Parties as to the amount invoiced, UKRI may reject the invoice in its entirety. The Supplier shall not suspend the supply of the Goods and/or Services unless the Supplier is entitled to terminate this Contract for a failure to pay undisputed invoice in accordance with clause 21.5. Any disputed invoices shall be resolved through the dispute resolution procedure detailed in Clause 32.
- 10.8 If a payment of an undisputed invoice is not made by UKRI by the due date, then UKRI shall pay the Supplier interest at the interest rate specified in the Late Payment of Commercial Debts (Interest) Act 1998, accruing on a daily basis from the due date up to the date of actual payment, whether before or after judgment.
- 10.9 Where the Supplier enters into a sub-contract, the Supplier shall include in that sub-contract:
- (a) provisions having the same effects as clauses 10.3 to 10.8 of this Contract; and

- (b) a provision requiring the counterparty to that sub-contract to include in any sub-contract which it awards provisions having the same effect as 10.3 to 10.9 of this Contract.
- (c) In this clause 10.9, “sub-contract” means a contract between two or more suppliers, at any stage of remoteness from UKRI in a subcontracting chain, made wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of this Contract.

10.10 The Supplier shall not be entitled to assert any credit, set-off or counterclaim against UKRI in order to justify withholding payment of any such amount in whole or in part. If any sum of money is recoverable from or payable by the Supplier under the Contract (including any sum which the Supplier is liable to pay to UKRI in respect of any breach of the Contract), that sum may be deducted unilaterally by UKRI from any sum then due, or which may come due, to the Supplier under the Contract or under any other agreement or contract with UKRI.

11 TAXATION OBLIGATIONS OF THE SUPPLIER

- 11.1 The Supplier shall be fully responsible for all its own tax including any national insurance contributions arising from supplying the Goods and/or Services.
- 11.2 The Supplier shall indemnify, and shall keep indemnified, UKRI in full against all costs, claims, expenses, damages and losses, including any interest, penalties, fines, legal and other professional fees and expenses awarded against or incurred or paid by UKRI as a result of the Supplier's failure to account for or pay any taxes including any national insurance contributions.

12 UKRI PROPERTY

- 12.1 The Supplier acknowledges that all information (including UKRI's Confidential Information), equipment and tools, drawings, specifications, data, software and any other materials supplied by UKRI (or its agents on behalf of UKRI) to the Supplier (“UKRI's Materials”) and all rights in UKRI's Materials are and shall remain at all times the exclusive property of UKRI. The Supplier shall keep UKRI's Materials in safe custody at its own risk, maintain them in good condition until returned to UKRI, and not dispose or use the same other than for the sole purpose of performing the Supplier's obligations under the Contract and in accordance with written instructions or authorisation from UKRI.
- 12.2 UKRI's Materials shall be returned promptly to UKRI on expiry or termination of the Contract.

- 12.3 The Supplier shall reimburse UKRI for any loss or damage to UKRI's Materials (other than deterioration resulting from normal and proper use) caused by the Supplier or any Staff. UKRI's Materials supplied by UKRI (or its agents on behalf of UKRI) shall be deemed to be in a good condition when received by the Supplier or relevant Staff unless UKRI is notified otherwise in writing within 5 Working Days.

13 PREMISES

- 13.1 If, in connection with the supply of the Goods and/or Services, UKRI permits any Staff to have access to any of UKRI's premises, the Supplier will ensure that, whilst on UKRI's premises, the Staff comply with:
- (a) all applicable health and safety, security, environmental and other legislation which may be in force from time to time; and
 - (b) any UKRI policy, regulation, code of practice or instruction relating to health and safety, security, the environment or access to and use of any UKRI laboratory, facility or equipment which is brought to their attention or given to them whilst they are on UKRI's premises by any employee or representative of UKRI.
- 13.2 All equipment, tools and vehicles brought onto UKRI's premises by the Supplier or the Staff shall be at the Supplier's risk.
- 13.3 If the Supplier supplies all or any of the Goods and/or Services at or from UKRI's premises, on completion of the Goods and/or Services or termination or expiry of the Contract (whichever is the earlier) the Supplier shall vacate UKRI's premises, remove the Supplier's plant, equipment and unused materials and all rubbish arising out of the provision of the Goods and/or Services and leave UKRI's premises in a clean, safe and tidy condition. The Supplier shall be solely responsible for making good any damage to UKRI's premises or any objects contained on UKRI's premises which is caused by the Supplier or any Staff, other than fair wear and tear.
- 13.4 If the Supplier supplies all or any of the Goods and/or Services at or from its premises or the premises of a third party, UKRI may, during normal business hours and on reasonable notice, inspect and examine the manner in which the relevant Goods and/or Services are supplied at or from the relevant premises.

14 STAFF AND KEY PERSONNEL

14.1 If UKRI believes that any of the Staff are unsuitable to undertake work in respect of the Contract, it may, by giving written notice to the Supplier:

- (a) refuse admission to the relevant person(s) to UKRI's premises;
- (b) direct the Supplier to end the involvement in the provision of the Goods and/or Services of the relevant person(s); and/or
- (c) require that the Supplier replace any person removed under this clause with another suitably qualified person and procure that any security pass issued by UKRI to the person removed is surrendered,

and the Supplier shall comply with any such notice.

14.2 The Supplier shall:

- (a) ensure that all Staff are vetted in accordance with the Staff Vetting Procedures;
- (b) 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 UKRI, or is of a type otherwise advised by UKRI (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, the Staff Vetting Procedures or otherwise) is employed or engaged in the provision of any part of the supply of the Goods and/or Services;
- (c) if requested, provide UKRI with a list of names and addresses (and any other relevant information) of all persons who may require admission to UKRI's premises in connection with the Contract; and
- (d) procure that all Staff comply with any rules, regulations and requirements reasonably specified by UKRI.

14.3 Any Key Personnel shall not be released from supplying the Goods and/or Services without the agreement of UKRI, except by reason of long-term sickness, maternity leave, paternity leave, termination of employment or other extenuating circumstances.

14.4 Any replacement to the Key Personnel shall be subject to the prior written agreement of UKRI (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 Goods and/or Services.

15 TUPE

- 15.1 The Supplier warrants that the provision of the Goods and/or Services shall not give rise to a transfer of any employees of the Supplier or any third party to UKRI pursuant to TUPE.

16 ASSIGNMENT AND SUB-CONTRACTING

- 16.1 The Supplier shall not without the written consent of UKRI 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. UKRI may, in the granting of such consent, provide for additional terms and conditions relating to such assignment, sub-contract, novation or disposal. The Supplier shall be responsible for the acts and omissions of its sub-contractors as though those acts and omissions were its own.
- 16.2 Where UKRI has consented to the placing of sub-contracts, the Supplier shall, at the request of UKRI, send copies of each sub-contract, to UKRI as soon as is reasonably practicable.
- 16.3 UKRI may (without any cost to or liability of UKRI) require the Supplier to replace any subcontractor where in the reasonable opinion of UKRI any mandatory or discretionary grounds for exclusion referred to in Regulation 57 of the Public Contracts Regulations 2015 (as amended) apply to the subcontractors.
- 16.4 UKRI may assign, novate, or otherwise dispose of its rights and obligations under the Contract without the consent of the Supplier provided that such assignment, novation or disposal shall not increase the burden of the Supplier's obligations under the Contract.

17 INTELLECTUAL PROPERTY RIGHTS

- 17.1 All Intellectual Property Rights in any materials created or developed by the Supplier pursuant to this Contract or arising as a result of the supply of the Goods and/or Services, including the Deliverables, shall vest in UKRI. If, and to the extent, that the ownership of any Intellectual Property Rights in such materials vest in the Supplier by operation of law, the Supplier hereby assigns ownership of such Intellectual Property Rights to UKRI 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).
- 17.2 The Supplier shall obtain waivers of all moral rights in the products, including for the avoidance of doubt the Deliverables, of the Services to which any individual is now or may

be at any future time entitled under Chapter IV of Part I of the Copyright Designs and Patents Act 1988 or any similar provisions of law in any jurisdiction.

17.3 The Supplier shall, promptly at the request of UKRI, do (or procure to be done) all such further acts and things and execute all such other documents as UKRI may from time to time require for the purpose of securing for UKRI the full benefit of the Contract, including all rights, title and interest in and to the Intellectual Property Rights assigned to UKRI in accordance with clause 17.1.

17.4 All Intellectual Property Rights in any materials provided by UKRI to the Supplier shall remain the property of UKRI. UKRI hereby grants the Supplier a royalty-free, non-exclusive and non-transferable licence to use:

- (a) any Intellectual Property Rights in the materials provided by UKRI to the Supplier;
- (b) any Intellectual Property Rights in the materials created or developed by the Supplier pursuant to this Contract and any Intellectual Property Rights arising as a result of the provision of the Goods and/or Services,

as required until termination or expiry of this Contract for the sole purpose of enabling the Supplier to perform its obligations under the Contract.

17.5 Without prejudice to clause 17.1, the Supplier hereby grants UKRI 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 Supplier on the date of this Contract to the extent not falling within clause 17.1; and
- (b) any Intellectual Property Rights created during the Term to the extent not falling within clause 17.1,

including any modifications to or derivative versions of any such Intellectual Property Rights, which UKRI reasonably requires in order to exercise its rights and take the benefit of the Contract including the Goods and/or Services provided.

18 INDEMNITY

18.1 The Supplier shall indemnify, and shall keep indemnified, UKRI in full against all costs, claims, expenses, damages and losses (whether direct or indirect to include loss of profits, loss of business, depletion of good will and similar losses), including any interest, penalties, fines, legal and other professional fees and expenses awarded against or incurred or paid by UKRI as a result of or in connection with:

- (a) the Supplier's breach or negligent performance or non-performance of this Contract;
- (b) any claim brought against UKRI for actual or alleged infringement of a third party's Intellectual Property Rights arising out of, or in connection with, the manufacture, receipt, use or supply of the Goods and/or Services, to the extent that the claim is attributable to the acts or omissions of the Supplier or any Staff;
- (c) any claim made against UKRI by a third party for death, personal injury or damage to property arising out of, or in connection with, defects in Goods and/or Services, to the extent that the defect in the Goods and/or Services is attributable to the acts or omissions of the Supplier and the Staff; and
- (d) any claim whether in tort, contract, statutory or otherwise, demands, actions, proceedings and any awards arising from a breach by the Supplier of clause 15 of the Contract.

18.2 This clause 18 shall survive termination or expiry of the Contract.

19 INSURANCE

19.1 Unless otherwise specified in the Award Letter, during the Term of the Contract and for a period of 6 years thereafter, the Supplier shall maintain in force the following insurance policies with reputable insurance companies to insure the Supplier against all manner of risks that might arise out of the acts or omissions of the Supplier or otherwise in connection with the Supplier's performance of its obligations under this Contract.

- (a) Professional indemnity insurance for not less than £2 million per claim;
- (b) loss, damage or destruction of any of UKRI's property under the custody and control of the Supplier, with a minimum sum insured of £5 million per claim;
- (c) public liability insurance for not less than £5 million per claim;
- (d) employer liability insurance for not less than £5 million per claim; and

The Supplier shall ensure that UKRI's interest is noted on each insurance policy, or that a generic interest clause has been included.

- 19.2 On request from UKRI, the Supplier shall provide UKRI with copies of the insurance policy certificates and details of the cover provided.
- 19.3 From the Commencement Date, the Supplier shall notify UKRI in writing of any employer's liability or public liability incident arising out of or in connection with this Contract which:
- (a) has the potential to exceed £25,000 (twenty-five thousand pounds sterling) (excluding costs); and/or
 - (b) irrespective of the claim's value, which may reasonably be considered to have the potential to adversely affect the reputation of UKRI,
- within five (5) days of such an incident occurring.
- 19.4 The Supplier shall keep UKRI informed and up-to-date on the progress of any incident referred to in clause 19.3 and related claims, decisions taken in respect of liability and any movement of reserves with respect thereto.
- 19.5 The Supplier shall ensure that any subcontractors also maintain adequate insurance having regard to the obligations under the Contract which they are contracted to fulfil.
- 19.6 The Supplier shall:
- (a) do nothing to invalidate any insurance policy or to prejudice UKRI's entitlement under it; and
 - (b) notify UKRI if any policy is (or will be) cancelled or its terms are (or will be) subject to any material change.
- 19.7 The Supplier's liabilities under the Contract shall not be deemed to be released or limited by the Supplier taking out the insurance policies referred to in clause 19.1.
- 19.8 If the Supplier fails or is unable to maintain insurance in accordance with clause 19.1, UKRI may, so far as it is able, purchase such alternative insurance cover as it deems to be reasonably necessary and shall be entitled to recover all reasonable costs and expenses it incurs in doing so from the Supplier.

20 LIABILITY

- 20.1 UKRI shall not be responsible for any injury, loss, damage, cost or expense suffered by the Supplier if and to the extent that it is caused by the negligence or wilful misconduct of the Supplier or the Staff or breach by the Supplier of its obligations under the Contract. The Supplier shall not be responsible for any injury, loss, damage, cost or expense suffered by UKRI if and to the extent that it is caused by the negligence or wilful misconduct of UKRI or by breach by UKRI of its obligations under the Contract.
- 20.2 Subject to clause 20.6, UKRI shall not have any liability for:
- (a) any indirect or consequential loss or damage;
 - (b) any loss of business, rent, profit or anticipated savings;
 - (c) any damage to goodwill or reputation;
 - (d) loss, theft, damage or destruction to any equipment, tools, machinery, vehicles or other equipment brought onto UKRI's premises by or on behalf of the Supplier; or
 - (e) any loss, damage, costs or expenses suffered or incurred by any third party.
- 20.3 Subject to clause 20.6, the aggregate liability of UKRI in respect of all defaults, claims, losses or damages howsoever caused, whether arising from breach of the Contract, misrepresentation (whether tortious or statutory), tort (including negligence), breach of statutory duty or otherwise shall in no event exceed 100% of the Charges paid or payable to the Supplier.
- 20.4 Subject always to clause 20.5 and 20.6, the Supplier's aggregate liability 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 Goods and/or Services, misrepresentation (whether tortious or statutory), tort (including negligence), breach of statutory duty or otherwise shall in no event exceed the Limit of Liability.
- 20.5 The Supplier's liability under the indemnity in clause 18.1(b), 29.1 and 27.7 shall be unlimited.
- 20.6 Nothing in the Contract restricts either Party's liability for:
- (a) death or personal injury resulting from its negligence or that of its Staff; or

- (b) its fraud (including fraudulent misrepresentation) by it or that of its Staff; or
- (c) breach of any obligations as to title implied by Section 12 of the Sale of Goods Act 1979 or Section 2 of the Supply of Goods and Services Act 1982; or
- (d) any other matter which, by law, may not be excluded or limited.

21 TERMINATION

21.1 UKRI may terminate the Contract in whole or in part at any time before the Goods and/or Services are provided with immediate effect by giving the Supplier written notice, whereupon the Supplier shall discontinue the provision of the Goods and/or Services (in whole or in part as applicable). UKRI shall pay to the Supplier:

- (a) such Charges or that part of the Charges for Goods which have been Delivered to UKRI or, on the deemed date of service of the notice of cancellation, are already in transit and the costs of materials which the Supplier has purchased to fulfil the order for the Goods and which cannot be used for other orders or be returned to the supplier of those materials for a refund; and/or
- (b) such Charges or that part of the Charges for Services provided and a fair and reasonable portion of the Charges for work-in-progress in performing the Services at the time of termination,

but UKRI shall not be liable for any loss of anticipated profits or any consequential loss and the Supplier shall have a duty to mitigate its costs and shall on request provide proof of work-in-progress claimed.

21.2 UKRI may terminate the Contract at any time by notice in writing to the Supplier to take effect on any date falling at least 3 months (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.

21.3 UKRI may terminate the Contract with immediate effect by giving written notice to the Supplier if:

- (a) the circumstances set out in clauses 8.2, 8.4 or 29.1 apply; or
- (b) the Supplier is in material breach of any obligation under the Contract which is not capable of remedy; or

- (c) the Supplier breaches any term of the Contract and (if such breach is remediable) fails to remedy that breach within 30 days of being notified in writing of the breach; or
- (d) the Supplier repeatedly breaches any of the terms and conditions of this 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 this Contract; or
- (e) the Supplier suspends, or threatens to suspend, payment of its debts or is unable to pay its debts as they fall due or admits inability to pay its debts or (being a company) is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986, or (being an individual) is deemed either unable to pay its debts or as having no reasonable prospect of so doing, in either case, within the meaning of section 268 of the Insolvency Act 1986, or (being a partnership) has any partner to whom any of the foregoing apply; or
- (f) the Supplier commences negotiations with all or any class of its creditors with a view to rescheduling any of its debts, or makes a proposal for or enters into any compromise or arrangement with its creditors; or
- (g) (being a company) a petition is filed, a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of the Supplier; or
- (h) (being an individual) the Supplier is the subject of a bankruptcy petition or order; or
- (i) a creditor or encumbrancer of the Supplier attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of its assets and such attachment or process is not discharged within 14 days; or
- (j) (being a company) an application is made to court, or an order is made, for the appointment of an administrator or if a notice of intention to appoint an administrator is given or if an administrator is appointed over the Supplier; or
- (k) a person becomes entitled to appoint a receiver over the Supplier's assets or a receiver is appointed over the Supplier's assets; or

- (l) any event occurs, or proceeding is taken, with respect to the Supplier in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in clause 21.3(e) to clause 21.3(k) inclusive; or
 - (m) there is a change of control of the Supplier (within the meaning of section 1124 of the Corporation Tax Act 2010); or
 - (n) the Supplier suspends, or threatens to suspend, or ceases or threatens to cease to carry on, all or substantially the whole of its business; or
 - (o) the Supplier's financial position deteriorates to such an extent that in UKRI's opinion the Supplier's capability to adequately fulfil its obligations under the Contract has been placed in jeopardy; or
 - (p) (being an individual) the Supplier dies or, by reason of illness or incapacity (whether mental or physical), is incapable of managing his or her own affairs or becomes a patient under any mental health legislation.
- 21.4 The Supplier shall notify UKRI as soon as practicable of any change of control as referred to in clause 21.3(m) or any potential such change of control.
- 21.5 The Supplier may terminate the Contract by written notice to UKRI if UKRI has not paid any undisputed invoice within 90 days of it falling due.
- 21.6 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 4, 5, 6, 7, 11, 12, 15, 17, 18, 19, 20, 24, 25, 26, 27, 28, 29, 34, 36, 37 or any other provision of the Contract that either expressly or by implication has effect after termination.
- 21.7 Upon termination or expiry of the Contract, the Supplier shall immediately:
- (a) cease all work on the Contract;
 - (b) deliver to UKRI all Deliverables and all work-in-progress whether or not then complete. If the Supplier fails to do so, UKRI and/or its representatives shall have the right to enter the Supplier's premises (which the Supplier shall not refuse) in order to take possession of all Deliverables and all work-in-progress. The Supplier shall allow UKRI and its representatives such access and assistance as required by UKRI and its representatives to take possession of the Deliverables and the work-in-progress. Until the Deliverables and the work-in-progress have been

returned to UKRI, the Supplier shall be solely responsible for their safe keeping and will not use them for any purpose not connected with this Contract;

- (c) cease use of and return (or, at UKRI's election, destroy) all of UKRI's Materials in the Supplier's possession or control; and
- (d) give all reasonable assistance to UKRI and any incoming supplier of the Goods and/or Services (as applicable); and
- (e) return or destroy UKRI's Confidential Information in accordance with clause 24.3.

22 DECLARATION OF INEFFECTIVENESS AND PUBLIC PROCUREMENT TERMINATION EVENT

- 22.1 In the event that a Court makes a Declaration of Ineffectiveness, UKRI will promptly notify the Supplier in writing. The Parties agree that the provisions of clause 21.7 and this clause 22 will continue to apply as from the time when the Declaration of Ineffectiveness is made.
- 22.2 The Declaration of Ineffectiveness will not prejudice or affect any right, liability or remedy which has accrued or will accrue to either Party prior to or after such Declaration of Ineffectiveness in respect of the period prior to the Declaration of Ineffectiveness.
- 22.3 Consistent with UKRI's rights of termination implied into the Contract by Public Contracts Regulations 2015 (as amended), in the event of a Public Procurement Termination Event, UKRI shall promptly notify the Supplier and the provisions of clause 21.7 and this clause 22 shall apply as from the date of receipt by the Supplier of the notification of the Public Procurement Termination Event.
- 22.4 The Public Procurement Termination Event shall not prejudice or affect any right, liability or remedy which has accrued or shall accrue to either Party prior to or after such Public Procurement Termination Event in respect of the period prior to the Public Procurement Termination Event.
- 22.5 During any Court proceedings seeking a Declaration of Ineffectiveness or following notification of a Public Procurement Termination Event, UKRI may require the Supplier to prepare a contingency plan with the effect of achieving:
 - (a) An orderly and efficient cessation of the Contract or a transition of the provisions of the Goods and/or Services to UKRI or such other entity as UKRI may specify; and
 - (b) Minimal disruption or inconvenience to UKRI or to UKRI's supported organisations or clients,

and the Parties agree that this shall have effect in the event a Declaration of Ineffectiveness is made or a Public Procurement Termination Event occurs.

- 22.6 Where there is any conflict between the provisions of clause 21.7 and this clause 22 and the contingency plan then the clauses of this Contract shall take precedence.
- 22.7 The Parties will comply with their respective obligations under any contingency plan (as agreed by the Parties, or where agreement cannot be reached, as reasonably determined by UKRI) in the event that a Declaration of Ineffectiveness is made or a Public Procurement Termination Event occurs.

23 GOVERNANCE AND RECORDS

- 23.1 The Supplier shall:
- (a) attend progress meetings with UKRI at the frequency and times specified by UKRI and shall ensure that its representatives are suitably qualified to attend such meetings; and
 - (b) submit progress reports to UKRI at the times and in the format specified by UKRI .
- 23.2 The Supplier shall keep and maintain until 6 years after the expiry or termination of the Contract, or as long a period as may be agreed between the Parties, full and accurate records of the Contract including the Goods and/or Services supplied under it and all payments made by UKRI. The Supplier shall on request afford UKRI and its representatives such access to those records as may be reasonably requested by UKRI in connection with the Contract.
- 23.3 UKRI may from time to time require the Supplier to complete the Cyber Essentials Questionnaire. The Supplier shall submit a completed Cyber Essentials Questionnaire to UKRI within 10 Working Days of a request from UKRI. UKRI shall not be liable for the Supplier's or the Staff's costs in complying with this clause 23.3.
- 23.4 The Supplier shall keep and maintain records of sub-contractors it uses to supply the Goods and/or Services, including whether the sub-contractor is an SME and the payments it has made to the sub-contractor as a result of the sub-contractor's work under this Contract. The Supplier shall provide such records to UKRI within 10 Working Days of a request from UKRI.
- 23.5 Where the estimated annual Charges are above £5 million, the Supplier shall:
- (a) advertise on the UK Government's Contracts Finder website all sub-contractor opportunities above £25,000 arising from and in connection with this Contract.

Each advert shall provide a full and detailed description of the sub-contract opportunity with each of the mandatory fields on Contracts Finder being completed.

- (b) within 90 days of awarding a sub-contract, update the notice on Contracts Finder with details of the successful sub-contractor;
- (c) monitor the number, type and value of the sub-contract opportunities placed on Contracts Finder in its supply chain during the Term;
- (d) provide reports on the information at clause 23.5(c) to UKRI in the format and frequency reasonably requested by UKRI; and
- (e) promote Contracts Finder to its suppliers and encourage those organisations to register on Contracts Finder.

23.6 Clause 23.5 shall only apply to sub-contractor opportunities arising after the Commencement Date and UKRI may by giving its prior written approval decide to waive the obligations under Clause 23.5 in respect of any sub-contractor opportunity.

24 CONFIDENTIAL INFORMATION

24.1 Subject to clause 24.2, each Party shall:

- (a) 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
- (b) not use or exploit the Disclosing Party's Confidential Information in any way except for the purposes anticipated under the Contract.

24.2 Notwithstanding clause 24.1, a Receiving Party may disclose Confidential Information:

- (a) where disclosure is required by applicable law or by a court of competent jurisdiction;
- (b) to its auditors or for the purposes of regulatory requirements;
- (c) on a confidential basis, to its professional advisers;
- (d) to the Serious Fraud Office where the Receiving Party has reasonable grounds to believe that the Disclosing Party is involved in activity that may constitute a criminal offence under the Bribery Act 2010;
- (e) where the Receiving Party is the Supplier, to the Staff on a need to know basis to enable performance of the Supplier's obligations under the Contract provided that

the Supplier shall procure that any Staff to whom it discloses Confidential Information pursuant to this clause (e) shall observe the Supplier's confidentiality obligations under the Contract; and

- (f) where the Receiving Party is UKRI:
 - (i) on a confidential basis to the employees, agents, consultants and contractors of UKRI;
 - (ii) on a confidential basis to any other Central Government Body, any successor body to a Central Government Body or any company to which UKRI transfers or proposes to transfer all or any part of its business;
 - (iii) to the extent that UKRI (acting reasonably) deems disclosure necessary or appropriate in the course of carrying out its public functions; or
 - (iv) in accordance with clause 28;
 - (v) 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 UKRI under this clause 24.

- 24.3 All documents and other records (in whatever form) containing Confidential Information supplied to or acquired by the Receiving Party from the Disclosing Party or its representatives shall be returned promptly to the Disclosing Party (or, at the election of the Disclosing Party, destroyed promptly) on expiry or termination of the Contract, and no copies shall be kept.

25 TRANSPARENCY

- 25.1 The Parties acknowledge that, except for any information which is exempt from disclosure in accordance with the provisions of the FOIA or EIR, the content of the Contract is not Confidential Information and the Supplier hereby gives its consent for UKRI 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 or EIR (as applicable) redacted) including any changes to the Contract agreed from time to time. UKRI may consult with the Supplier 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 or EIR.

26 PUBLICITY

- 26.1 The Supplier shall not make any press announcements or publicise this Contract in any way without prior written consent from UKRI.
- 26.2 UKRI shall be entitled to publicise this Contract in accordance with any legal obligation upon UKRI, including any examination of this Contract by the National Audit Office pursuant to the National Audit Act 1983 or otherwise.
- 26.3 The Supplier shall not do anything or cause anything to be done, which may damage the reputation of UKRI.

27 DATA PROTECTION

- 27.1 In this clause 27, the terms, “processes”, “data controller” and “data processor” shall have the same meanings given to them under Data Protection Legislation.
- 27.2 The Parties acknowledge that for the purposes of Data Protection Legislation, UKRI is the data controller and the Supplier is the data processor of any UKRI Personal Data.
- 27.3 The Supplier shall itself, and shall procure that the Staff, comply with all Data Protection Legislation in relation to any Personal Data processed.
- 27.4 Without limiting clauses 27.2 and 27.3, the Supplier shall at all times (and shall ensure that at all times its Staff):
- (a) process Personal Data only in accordance with the documented instructions received from UKRI and during the Term of this Contract the Supplier shall immediately inform UKRI if, in the Supplier's opinion, an instruction from UKRI infringes the Data Protection Legislation or any other applicable Law;
 - (b) ensure that any person to whom it provides the Personal Data is subject to appropriate confidentiality obligations;
 - (c) have in place a suitably qualified data protection representative to manage the Personal Data;
 - (d) disclose any Personal Data only on a need to know basis to Staff directly concerned with the provision of the Goods and/or Services;

- (e) not transfer or direct the transfer of any Personal Data to any third party or process or direct the processing of Personal Data outside of the European Economic Area in each case without UKRI's prior written consent (which consent may be subject to conditions as directed by UKRI);
- (f) keep all Personal Data confidential, and have in place now and shall on a continuing basis take all reasonable appropriate technical and organisational measures to keep all Personal Data confidential and secure and to protect against unauthorised or unlawful processing, accidental loss, destruction, damage, alteration, disclosure or access;
- (g) keep records of their data processing activities performed under this Contract in order to be able to provide information included in those records to the data protection authorities, upon request, including but not limited to the Information Commissioner. Records should include:
 - (i) details of the data controller and data processor and their representatives;
 - (ii) the categories of processing activities that are performed;
 - (iii) information regarding cross-border data transfers; and
 - (iv) a general description of the security measures that are implemented;
- (h) upon request by UKRI, promptly do such other acts in relation to the Personal Data, or any part thereof, as UKRI shall request to enable UKRI to comply with its obligations under the Data Protection Legislation;
- (i) notify UKRI promptly (and at least within 24 hours) if it receives a request from a Data Subject or a complaint relating to a Data Subject and promptly provide UKRI with all such data, information, cooperation and assistance as is required by UKRI in order to respond to and resolve the request or complaint within any applicable time frames;
- (j) provide such information and allow for and contribute to audits, including inspections, conducted by UKRI or an auditor mandated by UKRI, as is reasonably necessary to enable UKRI to satisfy itself of the Supplier's compliance with this clause 27 and the Data Protection Legislation;

- (k) on termination or expiry of this Contract, and at any other time on UKRI's request, either return or destroy (as elected by UKRI) the Personal Data (including all copies of it) and confirm in writing that it has complied with this obligation; and
- (l) notify UKRI without undue delay on becoming aware of any Personal Data Breach and promptly following notification, provide such data, information and assistance as is required by UKRI in order for UKRI to notify the Personal Data Breach to the Information Commissioner and/or Data Subject(s) and otherwise fulfil its obligations under Data Protection Legislation.

27.5 The Supplier shall only use a sub-processor with UKRI's formal written consent (specific or general, although where general consent is obtained processors must notify all and any changes to UKRI, giving them an opportunity to object).

27.6 To the extent that UKRI provides its consent pursuant to clause 27.5, the Supplier shall flow down the contractual obligations contained in clause 27.4 to sub-processors.

27.7 Notwithstanding any other remedies available to UKRI, fully indemnify UKRI as a result of any such breach of the GDPR, by the Supplier or any other party used by the Supplier in its performance of the Contract that results in UKRI suffering fines, loss or damages.

28 FREEDOM OF INFORMATION

28.1 The Supplier acknowledges that UKRI is subject to the requirements of FOIA and EIR and shall:

- (a) provide all necessary assistance and co-operation as reasonably requested by UKRI to enable UKRI to comply with its obligations under FOIA and EIR in relation to any Requests for Information relating to this Contract;
- (b) transfer to UKRI 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;
- (c) provide UKRI with a copy of all Information belonging to UKRI requested in the Request for Information which is in its possession or control in the form that UKRI requires within 5 Working Days (or such other period as UKRI may reasonably specify) of UKRI 's request for such Information; and
- (d) not respond directly to a Request for Information unless authorised in writing to do so by UKRI.

28.2 UKRI shall be responsible for determining (in its absolute discretion) whether any Information:

- (a) is exempt from disclosure in accordance with the provisions of FOIA or EIR;
- (b) is to be disclosed in response to a Request for Information,

28.3 The Supplier acknowledges that UKRI may be obliged under the FOIA or EIR to disclose Information, in some cases even where that Information is commercially sensitive:

- (a) without consulting with the Supplier, or
- (b) following consultation with the Supplier and having taken its views into account.

28.4 Where clause 28.3(a) applies UKRI shall, in accordance with any recommendations issued under any code of practice issued under section 45 of FOIA, take reasonable steps, where appropriate, to give the Supplier advanced notice, or failing that, to draw the disclosure to the Supplier's attention as soon as practicable after any such disclosure.

28.5 Where the Supplier is subject to the requirements of the FOIA and EIR, UKRI shall assist and co-operate with the Supplier to enable the Supplier to comply with its obligations under the FOIA and EIR in relation to any Requests for Information received by the Supplier relating to this Contract.

29 CORRUPTION

29.1 Without prejudice to any other rights or remedies available to UKRI, UKRI shall be entitled to terminate the Contract immediately and to recover from the Supplier the amount of any loss resulting from such termination if the Supplier or the Supplier's Associate:

- (a) offers or agrees to give any person working for or engaged by UKRI, UKRI's staff and agents, or any Public Body any favour, gift or other consideration, which could act as an inducement or a reward for any act or failure to act connected to the Contract, or any other agreement with UKRI or any Public Body;
- (b) has entered into the Contract if it has knowledge that, in connection with it, any money has been, or will be, paid to any person working for or engaged by UKRI, or any Public Body by or for the Supplier, or that an agreement has been reached to that effect, unless details of any such arrangement have been disclosed in writing to UKRI before the Contract is entered into;

- (c) breaches the provisions of the Prevention of Corruption Acts 1889 to 1916, or the Bribery Act 2010; or
- (d) gives any fee or reward the receipt of which is an offence under Section 117(2) of the Local Government Act 1972.

29.2 The Supplier shall take all reasonable steps, in accordance with Good Industry Practice, to prevent fraud by the Supplier and the Supplier's Associates in connection with the Contract and shall notify UKRI immediately if it has reason to suspect that any fraud has occurred or is occurring or is likely to occur.

29.3 For the purposes of clause 29.1, "loss" shall include, but shall not be limited to:

- (a) UKRI's costs in finding a replacement supplier;
- (b) direct, indirect and consequential losses; and
- (c) any loss suffered by UKRI as a result of a delay in the performance of the Services or its receipt of the Goods (as applicable).

30 MODERN SLAVERY ACT 2015

30.1 In performing its obligations under this Contract, the Supplier shall and shall ensure that any permitted sub-contractors shall comply with:

- (a) all applicable laws, statutes and regulations from time to time in force, including but not limited to the Modern Slavery Act 2015; and
- (b) Any anti-slavery policy adopted by UKRI from time to time.

30.2 UKRI may from time to time require the Supplier to provide information and evidence to demonstrate its and its sub-contractors' compliance with clause 30.1. The Supplier shall provide such information with 10 Working Days of a request from UKRI for the same. A breach of this clause 30.1 shall be deemed a material breach for the purpose of clause 21.3(b).

31 FORCE MAJEURE

31.1 Neither Party to this Contract shall in any circumstances be liable to the other for any delay or non-performance of its obligations under this Contract to the extent that such delay or non-performance is due to a Force Majeure Event. Subject to Clause 31.3, the date for

performance of any affected obligations will be suspended for a period equal to the delay caused by the Force Majeure Event.

31.2 If a Party is delayed in or prevented from performing its obligations under this Contract by a Force Majeure Event, such Party shall:

- (a) give notice in writing of such delay or prevention to the other Party specifying the nature and extent of the Force Majeure Event immediately on becoming aware of it; and
- (b) use all reasonable endeavours to mitigate the effects of the Force Majeure Event on the performance of its obligations.

31.3 If the Force Majeure Event continues for a period of 30 (thirty) days or more following notification, then either Party may terminate this Contract by giving not less than 10 (ten) days' prior written notice to the other Party.

31.4 UKRI shall not be liable to pay the Charges in relation to any Goods and/or Services that are not provided by the Supplier due to a Force Majeure Event.

32 DISPUTE RESOLUTION

32.1 The Parties agree to co-operate with each other in an amicable manner with a view to achieving the successful implementation of this Contract.

32.2 If a Dispute arises between UKRI and the Supplier during the Term in relation to any matter which cannot be resolved by local operational management either Party may refer the matter for determination in accordance with the procedure set out in Clause 32.3.

32.3 A Dispute referred for determination under clause 32.2 shall be resolved as follows:

- (a) by referral in the first instance to the decision of the individuals for each Party referred to in the Award Letter for stage 1 escalations; and
- (b) if a Dispute is not resolved within 21 days of its referral pursuant to Clause 32.3(a) such Dispute shall be referred to the individuals for each Party referred to in the Award Letter for stage 2 escalations.

32.4 If the dispute cannot be resolved by the Parties within one month of being escalated as referred to in Clause 32.3(b), 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.

- 32.5 If the Parties fail to appoint a Mediator within one month, or fail to enter into a written agreement resolving the dispute within one month of the Mediator being appointed, either Party may exercise any remedy it has under applicable law.
- 32.6 Neither Party shall be prevented from, or delayed in, seeking orders for specific performance or interlocutory or final injunctive relief on an ex parte basis or otherwise as a result of the terms of this Clause 32, such clause not applying in respect of any circumstances where such remedies are sought.

33 CHANGE CONTROL PROCEDURE

- 33.1 In the event that either party desires to change the terms of this Contract, the following procedures will apply:
- (a) the Party requesting the change will deliver a "Change Request" (in the form (or substantially in the same form) contained in Schedule 5 to this Contract) which describes:
 - (i) the nature of the change;
 - (ii) the reason for the change;
 - (iii) the effect that the requested change will have on the scope or Specification for the Services; and
 - (iv) any change to the Charges and the Term.
 - (b) Upon receipt of a Change Request, the receiving Party's authorised representative will contact his/ her counterpart within 5 working days to discuss and agree the Change Request. The parties will negotiate the proposed changes to the Contract in good faith and agree a timeline in which to finalise the Change Notice.
 - (c) Neither party is obliged to agree to a Change Request, but if the parties do agree to implement such a Change Request, the appropriate authorised representatives of both parties will sign the Change Request which will be effective from the date set out in the Change Request.

- (d) If there is any conflict between the terms and conditions set out in the Contract and the Change Request, then the terms and conditions set out in the most recent fully executed Change Request will apply.
- (e) The Supplier shall neither be relieved of its obligations to supply the Goods and/or Services in accordance with the terms and conditions of this Contract nor be entitled to an increase in the Charges as the result of:
 - (i) a General Change in Law; or
 - (ii) a Specific Change in Law where the effect of that Specific Change in Law on the Goods and/or Services is reasonably foreseeable at the Commencement Date.

34 ENTIRE AGREEMENT

- 34.1 The Contract constitutes the entire agreement between UKRI and the Supplier in relation to the supply of the Services and/or Goods and the Contract supersedes and replaces any prior written or oral agreements, representations or understandings between them relating to that subject matter. 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.

35 NOTICES

- 35.1 Any notice to be given under the Contract shall be in writing and may be served by personal delivery, first class or recorded post or, subject to clause 35.3, e-mail to the address of the relevant Party set out in the Award Letter, or such other address as that Party may from time to time notify to the other Party in writing.
- 35.2 Notices served as above shall be deemed served on the Working Day of delivery provided delivery is before 5.00pm on a Working Day. Otherwise delivery shall be deemed to occur on the next Working Day. An email shall be deemed delivered when sent unless an error message is received.
- 35.3 Notices under clauses 21, 22 and 31 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 35.1.

36 GENERAL

- 36.1 If any court or competent authority finds that any provision of the Contract (or part of any provision) is invalid, illegal or unenforceable, that provision or part-provision shall, to the extent required, be deemed to be deleted, and the validity and enforceability of the other provisions of the Contract shall not be affected.
- 36.2 If any invalid, unenforceable or illegal provision of the Contract would be valid, enforceable and legal if some part of it were deleted, the provision shall apply with the minimum modification necessary to make it legal, valid and enforceable.
- 36.3 A waiver of any right or remedy under the Contract is only effective if given in writing and shall not be deemed a waiver of any subsequent breach or default. No failure or delay by a party to exercise any right or remedy provided under the Contract or by law shall constitute a waiver of that or any other right or remedy, nor shall it preclude or restrict the further exercise of that or any other right or remedy. No single or partial exercise of such right or remedy shall preclude or restrict the further exercise of that or any other right or remedy.
- 36.4 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.
- 36.5 A person who is not a Party to this Contract shall have no right to enforce any of its provisions, which expressly or by implication, confer a benefit on him or her, without the prior written agreement of the Parties.
- 36.6 The Contract cannot be varied except in writing signed by a duly authorised representative of both the Parties.

37 GOVERNING LAW AND JURISDICTION.

- 37.1 The Contract, and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims), shall be governed by, and construed in accordance with, English law, and the parties irrevocably submit to the exclusive jurisdiction of the courts of England and Wales.

Schedule 2 Specification

- 1 The Suppliers shall provide the Goods and/or Services in accordance with this Schedule
- 2.

Background

1. About the National Productivity Investment Fund

- a. As set out in the Industrial Strategy, the Government allocated £7bn to the National Productivity Investment Fund (NPIF) over the period 2017/19 to 2021/22. Split between themes, the NPIF funding package balances both discovery-led and challenge-based research and innovation.

2. The UKRI Strategic Priorities Fund (SPF)

- a. Paul Nurse's 2016 review of the seven UK Research Councils was a major driver behind the creation of UKRI. Within the UK's world class R&D system, Nurse's report identified a number of weaknesses with current funding mechanisms; chiefly that they did not support multi- and inter-disciplinary research (MIDRI¹) and there wasn't funding to respond to emerging strategic opportunities, whether identified by research/innovation communities or other government departments (OGDs).
- b. The Strategic Priorities Fund (SPF) is a new competitive funding scheme that funds:
- i. Multi- and inter-disciplinary research and innovation (MIDRI);
 - ii. Research and innovation that crosses the boundaries between the nine UKRI Councils and Other Governmental Departments (OGDs) to address Government research and innovation priorities; and
 - iii. Strategically important research and innovation that cannot be supported through other mechanisms. This will include:
 - Medium-scale projects which are typically too large to be funded through a Research Council / Innovate UK award, but not large enough to constitute an Industrial Strategy Challenge Fund (ISCF) 'grand challenge'.
 - Emerging opportunities that are not aligned to specific ISCF challenges but are strategically important.
- c. Prospective schemes seeking funding must meet at least one of these overarching themes/objectives. The criteria used to assess this is set out in Paragraph 4.

3. Background

- a. *Multi-disciplinary and inter-disciplinary research and innovation (MIDRI)*
- b. There are a number of reasons for why MIDRI can deliver benefits that single field research cannot. The nature of the problems research and innovation are tackling become more complex over time. A MIDRI approach is needed to address many of the challenges that society will face over time. Research and innovation can be made more rigorous by bringing together researchers and innovators from different fields or sectors with different skills. Indeed, the variety of approaches taken can increase the probability of solving complex problems.
- c. There are a number of barriers to MIDRI which have been identified that the SPF is intended to address, including:
- i. Researchers and funding bodies often tend to identify problems from a single-discipline angle, which can affect the framing of programmes, and hinder the identification of appropriate partners from other disciplines and the communication and language between researchers from different disciplines;

¹ Defined internally as follows: multi-disciplinary research or innovation involving two or more separate disciplines or sectors, whereas inter-disciplinary research or innovation integrates insights and perspectives from more than one disciplinary [or sector] standpoint.

- ii. Risk aversion in bringing forward MIDRI proposals as they can require greater work and cost to develop because the peer review process is extremely competitive. MIDRI proposals are more likely to be novel and untested;
- iii. Assessments of MIDRI require a wider range of reviewer expertise, which is lacking in the current system, leading to a bias towards single disciplinary projects;
- iv. A lack of MIDRI remit in the UK (according to the Higher Education Funding Council England (HEFCE) landscape review of inter-disciplinary research in the UK); and
- v. A perception that MIDRI projects were less likely to be funded (2016 Landscape Review).

d. Cross-Government R&D priorities

- e. The National Audit Office's 2017 report on cross-government funding of R&D identified the need for greater leadership, coordination and priority setting, particularly in less mature areas of research and technology. It clearly identified UKRI as being well-positioned to drive improvements. Similarly, the Nurse review emphasised that interactions between research leaders in Government Departments and Research Councils are currently ad hoc and of variable quality, and that the "Research Councils and Government need to do more to create the most favourable circumstances for these conversations to develop".
- f. The creation of UKRI is expected to act as a catalyst to ensure that a proper understanding of departments' R&D requirements informs funding decisions. It is also expected to help to breakdown artificial barriers to cooperation and foster coordination and collaboration to support cross-Government coordination of research priorities. The SPF aims to provide a mechanism to ensure that OGD research priorities inform funding decisions in two ways:
 - i. UKRI will work with OGDs to draw up a list of key Government priorities. Bidders into the SPF were and are encouraged to consider submitting proposals that meet these priorities.
 - ii. Where Councils or other bodies use SPF funding to run a competitive call, other Departments' Public Sector Research Establishments (PSREs) are eligible to bid for competitive funding alongside universities, businesses and research establishments.
- g. Flexibility and agility of the research and innovation funding system to respond to strategic priorities and opportunities*
- h. The Nurse review concluded that the current funding system lacked the flexibility to respond to emerging issues and priorities. This is in large part due to the fact that investment in research and innovation has long lead-in times, with funding committed or earmarked significantly in advance of expenditure, leaving funders with little flexibility to respond to developing opportunities. The SPF will, therefore, aim to provide the mechanism necessary to create agility in the system.
- i. In addition to supporting emerging opportunities, there is a further gap in the current system in relation to support for medium scale projects; that is, projects which are typically too large to be funded through a Research Council / Innovate UK award, but not large enough to constitute an ISCF 'grand challenge'.

4. Objectives

- a. **The high-level objectives of the SPF are to:**
- b. [Objective 1] Drive an increase in high-quality MIDRI
 - i. De-risk the process of preparing/submitting MIDRI proposals for the research and innovation community
 - ii. Improve the efficacy of the funding system in assessing MIDRI proposals
- c. [Objective 2] Ensure that UKRI's investments link up effectively with cross-departmental research and innovation priorities and opportunities
 - i. Improve join up across Departments to establish consensus on key Government priorities for R&D
 - ii. Increase understanding of Government priorities among research and innovation funders

- iii. Improve the ability of the R&D funding system to deliver cross-Government R&D priorities through enabling PSREs to bid for open competitions funded through the SPF
- d. [Objective 3] Ensure the system is able to respond to strategic priorities and opportunities
 - i. Provide a funding route for high quality medium scale projects
 - ii. Improve the agility of the funding system to respond to emerging opportunities

5. Successful SPF programmes

- a. The SPF consists of a diverse range of research and innovation activities at various stages of maturity. For each wave of the SPF, to proceed to the assessment panel, each proposed SPF programme had to meet at least one of the three stated objectives. The table below provides an overview of the breakdown of the 34 SPF programmes across waves 1 and 2 which met each objective (as defined by the measures for selection in Paragraph 4).

	Number of selected proposals				Proportion of lifetime spend			
	Objective 1	Objective 2	Objective 3	Total	Objective 1	Objective 2	Objective 3	Total
Wave 1	13	13	11	15	76%	94%	82%	40%
Wave 2	16	17	9	19	89%	90%	50%	60%
Total	29	30	20	34	83%	91%	63%	100%

- b. The measures of success for each of these objectives were as follows:
 - i. Objective 1: programmes with one or more partner bidding organisations.
 - ii. Objective 2: a letter of support from one or more Chief Scientific Advisers (CSAs) offering policy and/or governance support.
 - iii. Objective 3: bidding organisations identified proposals which meet this objective at proposal stage. This factored into the SPF assessment panel's evaluation of each bid.
- c. Below are two tables containing details of programmes across Wave 1 and Wave 2 respectively, denoting each programmes' lead Councils and partner organisations, the indicative size of UKRI's funding commitments for each programme over its lifetime, a short summary of the programme, and which overarching programme objective they are linked to. The total lifetime cost of the two waves' component programmes is £0.83bn, with £0.33bn in Wave 1 and £0.5bn in Wave 2.

Wave 1 SPF Programmes						
Programme name	Summary	Lead Council	Partner Council	Other Government	Link to SPF objective(s)	Lifetime cost (£m)
Transforming Productivity Research	A suite of projects to investigate the drivers of productivity growth and understand how these can be manipulated to improve economic growth and living standards.	ESRC	EPSRC and MRC.	DHSC, DWP and BEIS	1,2,3	8.9
UK Population Lab	One year's funding to scope work on a new Population Lab, including a new "spine" for handling administrative data, and a new birth cohort for longitudinal studies.	ESRC	EPSRC, MRC, NERC.	DWP and DHSC	1,2,3	2.1
Analysis for Innovators	Business-led collaborations (including matched funding) to address low productivity by providing businesses with measurement and analysis capability. Builds on a successful pilot.	IUK	NPL and STFC.	None.	1,3	14.1

Human Cell Atlas	Competitive funding for research groups with the joint aim of mapping every type of cell in the human body. The UK's contribution to an international collaboration led by Harvard/MIT and the Sanger Institute.	MRC	EPSRC and IUK.	None.	1,3	6.8
Living with Machines	A call to fund research into the social and cultural impact of the Industrial Revolution via collaboration between humanities researchers, data scientists, and other researchers.	AHRC	None.	DCMS	1,2,3	9.3
UK Animal and Plant Health	A call to fund research into plant pathogens. A first wave to be delivered by the John Innes Centre, focussing on <i>Xylella fastidiosa</i> ; second wave wider in scope. <i>Xylella</i> and similar pathogens pose a severe risk to food production, the horticultural industry, and urban and rural landscapes.	BBSRC	NERC.	DEFRA and Scottish Gov	1,2,3	17.7
AI and Data Science for Engineering, Health, and Government	A multi-strand proposal to bring AI to bear on: digital twinning; healthcare; science and engineering; and the justice system. Delivered via the Alan Turing Institute.	EPSRC	BBSRC, ESRC, MRC, NERC, STFC.	DEFRA, Home Office, BEIS, DfT, DHSC	1,2,3	38.8
Ensuring the Security of Digital Technologies at the Periphery	Funding for researchers and industrial "demonstrators" to address security weaknesses in the Internet of Things by combining cyber and physical security with behavioural studies.	EPSRC	AHRC, ESRC, IUK.	DCMS and Home Office	1,2,3	30.6
Physics of Life	A proposal to address the traditional divide between physics and life sciences, which presents a major obstacle to research into subjects ranging from cancer to antimicrobial resistance. This project will fund collaborative projects between physicists and biologists, building on the existing Physics of Life network.	EPSRC	BBSRC and MRC.	BEIS	1,2,3	31.2
Clean Air: Analysis and Solutions	A portfolio of investments to improve UK capacity to understand and address low air quality. This addresses the current lack of cohesion in the current air quality community, building an interdisciplinary network which will move on from "easy wins" to new research and innovation challenges.	Met Office / NERC	EPSRC, ESRC, IUK, MRC, NPL.	DEFRA, DfT, and DHSC	1,2	19.6
UK Climate Resilience	A set of calls across three related themes to understand how UK society and economy can be made resilient to climate change. Previous efforts have focussed on improving our ability to measure and forecast climate change; this project builds on that to understand the changes in behaviour, innovation, and government strategy required to address this change.	Met Office / NERC	EPSRC, ESRC.	DEFRA	1,2	18.7
Constructing a Digital Environment	A project to improve environmental modelling by constructing a sensor network and augmenting analytical and visualisation capability	NERC	EPSRC.	DEFRA	1,2	10.4
Landscape Decisions	A project to deliver a new prototype landscape-scale decision-making framework that will be developed under future activities, by developing new approaches and building communities.	NERC	BBSRC and EPSRC.	DEFRA	1,2	10.3

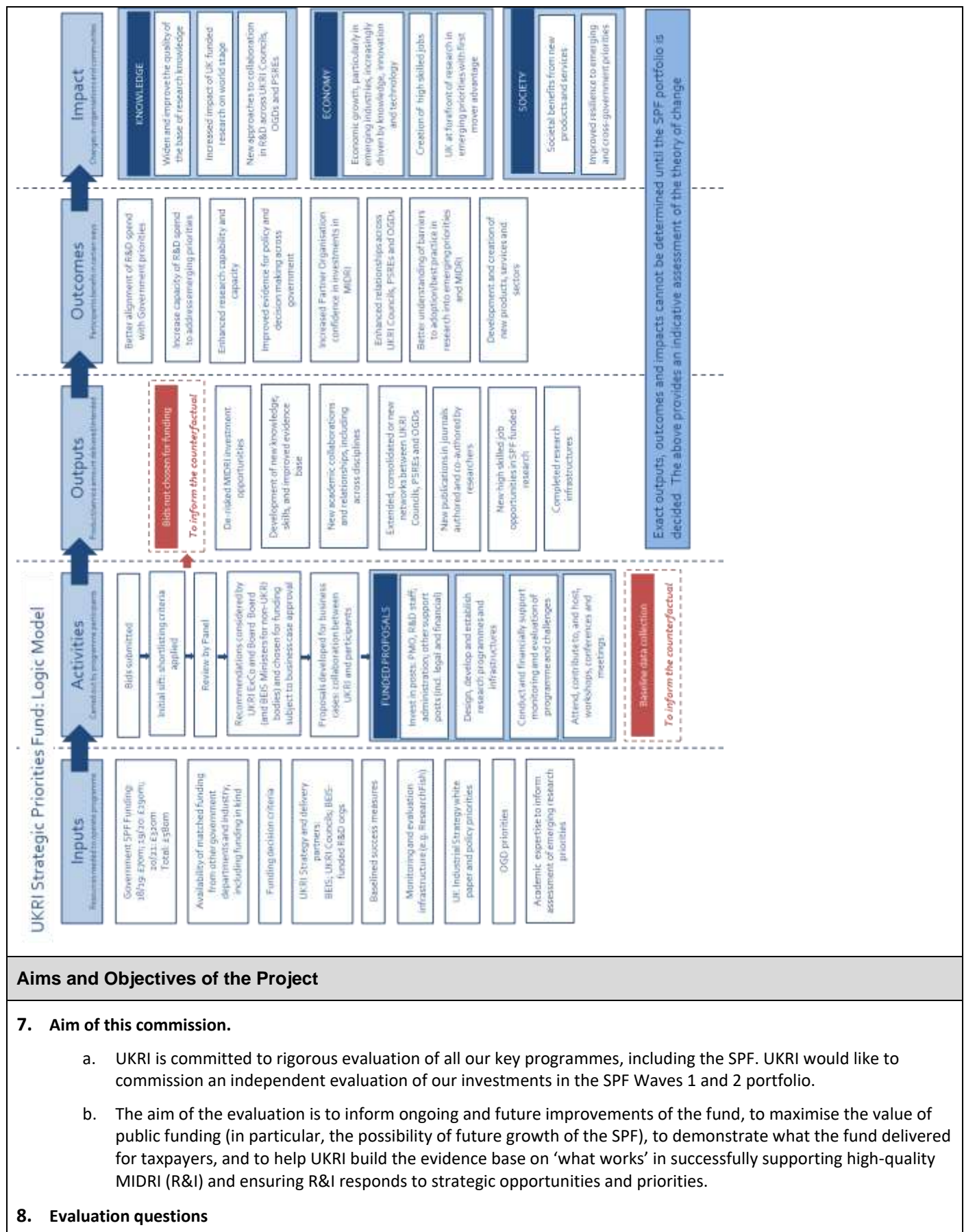
EMBL-EBI	Investment in new IT facilities for the European Bioinformatics Institute. The EBI is the world leader in the analysis, storage, and dissemination of biological data. The new facilities will allow the EBI to maximise the opportunities provided by AI and be more open to collaboration with business.	BBSRC	MRC	Chief Medical Officer	1,2,3	44.5
Extreme Photonics Application Centre	A new facility incorporating a novel laser-driven radiation technique with applications in medicine, defence, and industry. The facility will put the UK at the cutting edge of the field.	STFC	None.	MoD	1,2,3	71.2
Wave 2 SPF Programmes						
Programme name	Summary	Lead Council	Partner Council	Other Government	Link to SPF objective(s)	Lifetime cost (£m)
The Advanced Pain Discovery Platform: Mapping the complexity of chronic pain	A collaboration with Versus Arthritis to fund charities and commercial partners which can shed new light on the mechanisms of pain and how and why there is so much variety in its lived experience.	MRC	BBSRC; IUK; ESRC	None.	1,2,3	12.0
Tackling multimorbidity at scale: Unpicking disease clustering biological pathways and trajectories	Funding for open research calls to move away from a one-disease, one mechanism approach and explore disease "clusters" that make up multimorbidity (the concurrence of two or more health conditions in an individual) and how they are caused. Findings will be consolidated in a multimorbidity databank.	MRC	ESRC	DHSC.	1,2	10.0
Policy and Evidence Centre for Modern Slavery and Human Rights	Employing researchers to carry out commissioned work and issue open research calls to tackle Modern Slavery within a new Policy and Evidence Centre.	AHRC	ESRC	The Home Office	1,2,3	10.0
UK Centre of Evidence Implementation in Adult Social Care	This project will offer an open call to deliver a UK Centre of Evidence Implementation which should drive improvements in social care practice and help prevent escalation of need.	ESRC	None.	DHSC, Welsh Govt, Scottish Govt, N. Irish Govt, MHCLG and Cabinet Office	1,2	7.5
Sustainable Management of UK Marine Resources	A research call for proposals to understand the importance to the economy and to society of different components of marine natural capital and the services they underpin, enabling more comprehensive evaluation of the trade-off potential under different management scenarios, and identifying interventions that will improve the marine environment and produce sustainable and resilient outcomes.	NERC	ESRC	Defra and Scottish Govt	1,2	12.4

Space Weather Innovation, Measurement Modelling and Risk (SWIMMR)	Commissioned research and open calls designed to provide a strategic UK approach to Space Weather, transitioning research into operations, according to user needs. This includes advancing UK understanding of the risks of Space Weather and mitigating actions which can be taken.	STFC	NERC; Met Office	BEIS, MoD and DfT.	1,2,3	20.0
Towards a National Collection: Opening UK Heritage to the World	A suite of commissioned and open call research projects designed to improve access to AHRC's Independent Research Organisation's archives and collections, building towards a unified virtual 'national collection'.	AHRC	<i>None.</i>	DCMS	1,2	18.9
Nucleic Acid Therapy Accelerator (NATA)	A challenge-led R&D programme based around the delivery and synthesis of nucleic acid medicines.	MRC	<i>None.</i>	DHSC and Office for Life Scienc es (BEIS).	1,2	30.0
National Timing Centre	This programme will deliver the world's first demonstration testbed of a resilient distributed national time scale traceable to global standards along with mechanisms to support the early adopters and those exploring new technologies. It will also act as a blueprint for a future resilient timing infrastructure in the UK.	NPL	IUK	MoD, BEIS and DfT	1,2,3	30.3
Quantum Sensors for Fundamental Physics (QSFP)	Research calls for cross-disciplinary consortia to develop quantum sensor technology and train the next generation of researchers, engineers and scientists.	STFC	EPSR C; UKSA; NPL	<i>None.</i>	1,2	40.0
Protecting Citizens Online	A research hub which will issue research calls and deliver knowledge and tools to mitigate four important categories of online harm: privacy abuses and inappropriate uses of personal data; malign influence and disinformation; online fraud and fake identity; cyber-bullying and harassment.	EPSR C	ESRC; AHRC	DCMS, Home Office and Nation al Securit y	1,2,3	18.3
Clean Air: Future Challenges	Research grants and business-led competitions to explore the effects and mechanisms of air pollution indoors.	NERC + Met Office	Met Office; IUK; ESRC; EPSR C; MRC; STFC; NPL	Defra, Scottis h Govt, Welsh Govt, DHSC and DfT	1,2	22.0
National Interdisciplinary Circular Economy Research Programme	Research grants designed to build a multidisciplinary research community that can take a systems view of resource flows (e.g. those within the food, water or textiles sectors) to assess risks and benefits associated with the circular economy and make recommendations that inform policy making and accelerate change.	EPSR C	NERC; AHRC; ESRC	Defra	1,2,3	30.0
Trustworthy Autonomous Systems	This investment will fund a new research hub and surrounding nodes to drive forward cross-disciplinary fundamental research into the design, development, curation, verification and	EPSR C	IUK; STFC; AHRC	Nation al Securit y, MoD,	1,2,3	33.9

	validation of autonomous systems to enable trust, and to ensure that they are safe, reliable, resilient, and ethical. This is an important step to de-risk this emerging technology.			DCMS and DfT		
Greenhouse Gas Removal Demonstrators	This proposal will provide a world leading research and innovation programme that will establish greenhouse gas removal (GGR) demonstrator facilities. These will demonstrate the effectiveness, cost, and limitations of large-scale GGR. Findings will be integrated by a Directorate Hub, which will also provide underpinning research to address the business, environmental, social, ethical, and governance issues, and support the progress of GGR technologies to readiness.	NERC	AHRC; BBSR C; ESRC; EPSR C; IUK	BEIS and Defra.	1,2	31.5
Adolescence, Mental Health and the Developing Mind	A programme of workshops and open research calls designed to better understand the developing adolescent mind, how internal and external factors shape it and how this impacts on lifelong mental health, educational attainment, identity, social relationships and behaviour.	MRC	AHRC; ESRC	DfE, DCMS and Welsh Govt.	1,2	35.0
Harnessing Exascale Computing: 'Exascale Computing Algorithms and Infrastructure Benefiting UK Research' (ExCALIBUR)	A collection of commissioned research and competitive tenders to ensure future simulation codes and algorithms are resilient enough to work with and use advanced supercomputer architecture.	Met Office + EPSR C	EPSR C; STFC; UKAEA ; NERC; MRC	MoD	1,2,3	45.8
Transforming Productivity: National Institute of Excellence	The institute will provide a convening hub for wider research as well as undertaking its own research, bespoke analysis and evaluations to understand what action is required to solve the UK's productivity challenges. Central to the institute's capability will be designing and testing interventions: translating findings and scaling-up solutions in direct collaboration with business and policy-makers.	ESRC	IUK; NPL	HMT, BEIS and DWP.	1,2	42.2
A food systems approach for healthy people and a healthy planet	Competitive research calls for consortia to take a 'farm to fork' systems approach to food production, understanding nutrition needs within society and how to meet them through environmentally friendly food production.	BBSR C	MRC; NERC; ESRC	Defra, DHSC and FSA	1,2,3	47.0

6. The SPF logic model

- a. Below is the logic model for the SPF. We expect the successful bidder to review the logic model as a deliverable within the planning phase (see paragraph 22), and to consider how to develop it to add a more granular level of detail to make it more relevant to the specific projects that have been funded.



Aims and Objectives of the Project

7. Aim of this commission.

- UKRI is committed to rigorous evaluation of all our key programmes, including the SPF. UKRI would like to commission an independent evaluation of our investments in the SPF Waves 1 and 2 portfolio.
- The aim of the evaluation is to inform ongoing and future improvements of the fund, to maximise the value of public funding (in particular, the possibility of future growth of the SPF), to demonstrate what the fund delivered for taxpayers, and to help UKRI build the evidence base on 'what works' in successfully supporting high-quality MIDRI (R&I) and ensuring R&I responds to strategic opportunities and priorities.

8. Evaluation questions

- a. The evaluation questions have been developed with the SPF objectives and long-term impacts in mind, to support continuity in future SPF evaluations and help to progressively build the evidence base.
- b. As set out in paragraph 17.c, the expectation is that between five and ten case studies will be conducted. These case studies should be selected on the basis that they will maximise our evidence base, reflecting the diversity of delivery approaches within the SPF portfolio. These should seek to address relevant evaluation questions from the table below, alongside an assessment of whether, and the extent to which, the selected programmes have met their stated objectives.

Key evaluation questions	Sub evaluation questions
Appropriateness questions – The process evaluation	
To what extent, and how, is the SPF working and being delivered as intended?	<ul style="list-style-type: none"> - What were the challenges, facilitators and barriers to implementing and delivering the SPF and its component programmes, if any? - What is the range of reported experiences of researchers, innovators and other delivery partners in delivering SPF-funded programmes and projects? - What, in practice, is felt to be working more or less well regarding the delivery of the fund (or programme) by UKRI and the SPF Oversight Board, and why? - What potential lessons are there for future waves / similar funds? - (To what extent) did the allocation of funding between Waves 1 and 2, and the timing, affect the ability to deliver the best quantity and quality of programmes for the SPF portfolio? - In allocating SPF funding to specific programmes, how did UKRI use/interpret the overarching objectives of the SPF to identify which programmes were of the highest priority? Was this approach to funding research and innovation a success in terms of maximising the fund's impact?
To what extent (and how) has the SPF supported an increase in high quality MIDRI?	<ul style="list-style-type: none"> - To what extent, and how, has the SPF increased the efficacy of the funding system and the effectiveness of the peer-review process to better assess MIDRI bids? - To what extent, and how, has the SPF de-risked the process of preparing and submitting MIDRI proposals for the research and innovation community? - To what extent, and how, has the SPF encouraged further MIDRI projects and programmes, and a shift in research institutions towards this type of activity?
To what extent, and how, has the SPF improved the link between UKRI's investments and cross-departmental research and innovation priorities and opportunities?	<ul style="list-style-type: none"> - To what extent, and how, has the SPF improved join up across Departments to establish consensus on key Government priorities for R&D? - To what extent, and how, has the SPF increased understanding of Government priorities among research and innovation funders? - To what extent, and how, has the SPF increased investments in projects which further the objectives of government departments and facilitated more effective alignment between R&D strategies? - To what extent, and how, has the SPF improved the ability of the R&D funding system to deliver cross-Government R&D priorities through enabling PSREs to bid for open competitions funded through the SPF?
To what extent, and how, has the SPF ensured that the research and innovation system is able to respond to	<ul style="list-style-type: none"> - To what extent, and how, has the SPF increased high-quality R&D in areas where gaps currently exist? - To what extent, and how, has the SPF increased engagement with research and innovation communities to identify emerging priorities, and provided a sufficient investment to address these opportunities?

strategic priorities and opportunities?	<ul style="list-style-type: none"> - To what extent, and how, has the SPF improved: (i) the funding route for high quality medium scale programmes? and (ii) the agility of the funding system to respond to emerging opportunities?
Effectiveness questions – The impact (and economic) evaluation	
To what extent, and how, has the SPF delivered economic, knowledge and societal impact?	<ul style="list-style-type: none"> - What has been the wider, overall economic impact of the SPF, including the economic value of non-market impacts? <ul style="list-style-type: none"> o To what extent, and how, has the SPF succeeded in increasing long-term investment in research and development, including the leveraging of third-party investment? How much has materialised? If not, why not? o To what extent, and how, have SPF programmes resulted in the creation of high skilled jobs, improved skills, or increased the overall number of jobs? o To what extent, and how, has the SPF driven improvements in business performance, turnover and productivity? - What has been the wider, overall impact of the SPF on the state of knowledge, both in the UK and internationally? <ul style="list-style-type: none"> o To what extent has the SPF driven the creation of new knowledge, such as new research publications, Intellectual Property (IP), Technology-Readiness-Level (TRL) and Manufacturing-Readiness-Level (MRL) advancement, process and conceptual innovation, etc.? o What specific disciplines have collaborated through, or as a result of, the SPF, and to what end? What does this imply about the extent to which the SPF has supported or enabled high-quality MIDRI? o To what extent has the SPF fostered new approaches to collaboration across the UKRI Research Councils, Other Government Departments (OGDs) and PSREs? - What has been the wider, overall societal impact of the SPF? <ul style="list-style-type: none"> o To what extent, and how, has the SPF impacted the environment, public health and wellbeing? o To what extent (and how) have SPF programmes fostered more equal, diverse and inclusive research environments?
Based on the overall, estimated impact of the SPF – considering those impacts which can be given market and non-market values – compared to the overall cost of delivering the SPF, to what extent does the SPF represent value for money?	<ul style="list-style-type: none"> - To what extent does the SPF and its programmes represent value for money given overall impact on knowledge, economy and society relative to the size of the investment? - To what extent does the SPF represent value for money compared to other possible alternative ways of achieving the same impacts?
9. Scope of the evaluation <ul style="list-style-type: none"> a. The evaluation will be at the fund-level, covering Waves 1 and 2 and their component programmes set out under Paragraph 5. 	
10. Evaluation budget	

- a. We have a maximum budget of £900k for this evaluation. The bidder is invited to propose a breakdown of costs by phase identified in paragraph 21.

11. Time period to be covered by the evaluation

- a. The timeline of evaluation currently ends shortly after the completion of Wave 2 (with the exception of two programmes which may still be ongoing). However, some impacts of the programme are long term in nature. Therefore, the evaluation should highlight the evidence and outcomes and impacts realised to date, and crucially also, the prospect of future impact occurring based on progress to date and relevant (evidenced) trajectories.

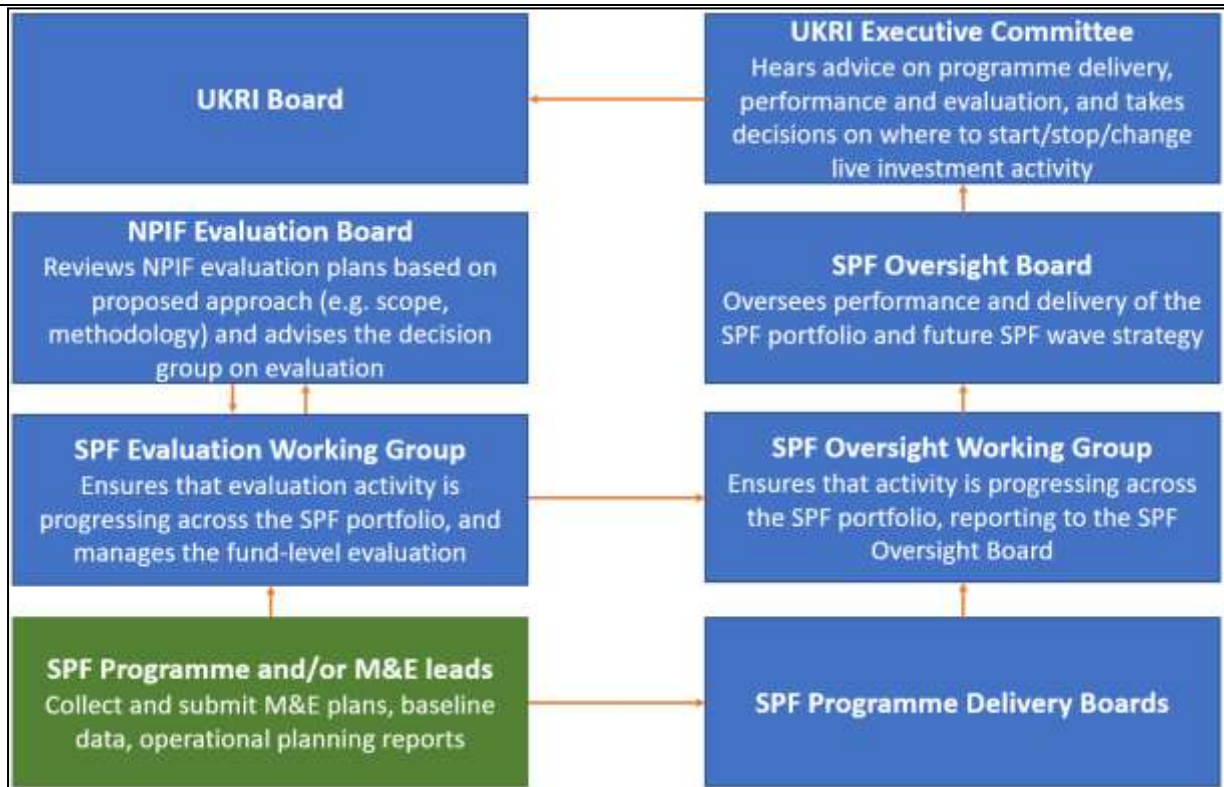
12. Stakeholders to be engaged during the evaluation

- a. The table below lists stakeholder groups that are likely to hold information and insights relevant to the evaluation questions. It is not expected that the contractor will necessarily engage with all these groups. The groups highlighted with an * are those which the contractor would actively need to identify. It is important that the contractor looks beyond the stakeholders listed to ensure that the evaluation is informed by a range of informed, external and objective perspectives (including those outside the SPF programmes).

Overview of SPF stakeholders	
Within SPF programmes	<ul style="list-style-type: none"> - Programme/project/grant/activity leads and other staff working across delivery organisations for SPF-funded activities - SPF Lead (Richard Meadows) and SPF Evaluation Lead (Will Naughton) - Research Councils and other organisations hosting the programmes - Users of the research and innovation developed as a result of the SPF programme*
At UKRI	<ul style="list-style-type: none"> - The SPF Oversight Board - The SPF Oversight Group - SPF Evaluation Working Group - The NPIF Evaluation Oversight Board - The UKRI Strategy Committee
Wider stakeholders	<ul style="list-style-type: none"> - BEIS, HMT and other central Government departments - Government scientific advisors - Industry, third sector and the public*

13. Oversight and management of the research

- a. The evaluation will be overseen by the SPF Monitoring and Evaluation lead, Will Naughton, reporting to the NPIF Evaluation Board and the SPF Oversight Working Group. The SPF monitoring and evaluation governance arrangements are shown below. The successful bidder will report to the SPF Monitoring and Evaluation lead:



14. Overview of SPF monitoring and evaluation activity

- a. The diagram below sets out the overarching monitoring and evaluation activity for the SPF, which should be encapsulated in the evaluation framework (see paragraph 21). As set out in Annex A, which contains the monitoring and evaluation guidance provided to SPF programmes, while all programmes will undertake standard monitoring processes including the collection of outcome monitoring data, there will be a range of evaluation activity taking place at the programme-level. While some of the SPF's larger investments will commission their own independent evaluations, and others will conduct light-touch internal process evaluations and/or peer-reviewer led evaluations, this is not considered proportionate for the portfolio's smaller investments. Therefore, as set out in paragraph 17, it is expected that between five and ten case studies will be conducted.

SPF-wide evaluation

Programme A
evaluation

Programme B
evaluation

Programme C
evaluation

...

Project A1

Project A2

Project A3

Project B1

Project B2

Project B3

Project C1

Project C2

Project C3

...

Data / evidence provision

15. Ethics and governance

- a. The bidder is invited to explain how the research will be conducted in accordance with high ethical standards.

16. Data protection and security

- a. The bidder is invited to outline how the evaluation will be conducted in accordance with relevant data protection and security standards, including how they will safely store, use and destroy contact details of stakeholders, documentary sources shared about the investments during the evaluation and the other information collected as part of the evaluation.

Approach / Methodology

17. Analysis and synthesis

- a. The bidder is invited to set out proposed approaches to the analysis of data and synthesis of the evidence that are robust, systematic and ensure that all findings and conclusions are grounded in the available evidence. This includes being explicit about the limitations and evidence gaps and uncertainties.
- b. It is anticipated that this project will require a combination of analytical techniques. The proposed approach to address the evaluation questions for the process, impact and economic evaluation must set out where reliable, quantified impact estimates are expected to be achieved, and where a more qualitative or descriptive approach might be expected. These could include case studies, surveys of stakeholders or beneficiaries, in-depth interviews, data linking, econometric analysis, primary or secondary data, and industry consultations. Proposals should specify how the different analytical techniques employed are the most appropriate for each of the evaluation objectives. It may be that not all are appropriate, but it is unlikely that any one alone will be sufficient. Where theory-based techniques, such as contribution analysis, are put forward proposals must clearly set out how different analytical approaches will be combined to produce the final findings.
- c. It is expected that between five and ten case studies of funded SPF programmes will be conducted to supplement those that will be commissioning independent evaluations. Proposals should indicate the number to be conducted and what methods (i.e. the sampling approach) and tools (i.e. face to face, phone interview) are going to be implemented, taking into consideration the time and costs of the different tools. Proposals should also set out how case study findings will be analysed and presented, and the approach to selecting case studies, which should be made on the basis of maximising our evidence base for the future running of the SPF and similar funds.

- d. For survey activity, proposals should indicate the type of survey to be implemented, and indicate the number required or expected sample size, as well as their strategies to achieve this and steps which will be taken if it is not achieved. This includes methods and approaches to capture and ensure the maximum response rate possible.
- e. Where possible, it is anticipated that the successful proposal will make use of one or more appropriate counterfactuals. Proposals should set out the population of any counterfactual that will be used, and why this represents the most appropriate control group(s), including the approach to baselining the SPF.
- f. The SPF is a diverse portfolio of programmes with different themes and funding bodies. As such, it is anticipated that analysis of the portfolio may need to be segmented. The bidder is invited to explain how common themes and cross-cutting lessons will be drawn together.
- g. The evaluation should be undertaken in line with the broad principles set out in the Government's overarching appraisal, evaluation and quality-assurance frameworks as represented by the Green, Magenta and Aqua books. More detailed evaluation guidance includes the BEIS Science Capital Appraisal Framework and the UKRI Monitoring and Evaluation Framework. Proposals should clearly outline their plan for estimating deadweight, displacement, leakages and spill overs, in this context. Each of these factors must be individually addressed in proposals. It will not be considered sufficient for bidders to rely on general estimates drawn from the wider literature.
- h. Bidders are encouraged to think innovatively in terms of how they propose to address the evaluation objectives, although innovation should not be to the detriment of robustness. The funding partners are keen to push boundaries in their evaluations to improve the quality of their evidence base.

18. Challenges for the evaluation

- a. There are number of known challenges facing the SPF Evaluation from the outset, which will require careful consideration because they are complex for the reasons below. The bidder is invited to suggest pragmatic methods to overcome the challenges, highlighting how this has influenced the approach proposed, why it is deemed to be the most robust option, and what the limits of the approach are.
- b. **Heterogenous portfolio of programmes** – the SPF has a disparate collection of programmes which cut across a wide range of disciplines and themes, with a significant variation in the way in which they are being delivered.
- c. **Establishing the counterfactual** – i.e. what would have happened in the absence of funding – will be difficult to determine given that there are other funding routes for unsuccessful programmes within UKRI and the wider R&I system, and given the scale of the fund relative to the size of the R&I system.
- d. **Unquantifiable outcomes** – there are elements of the aims of the SPF, as set out in paragraph 4, which cannot be easily quantified.
- e. **Defining and measuring MIDRI** – as set out in more detail below in paragraph 19, MIDRI is a compound term that refers to a variety of concepts. Measuring the impact of the SPF against its MIDRI-related objectives will, therefore, be multi-faceted and potentially complex.
- f. **Low observability** – one of the primary outputs of SPF may be knowledge. While knowledge can lead to observable impacts through new products, services and processes, it is often embedded in the minds of people who worked on projects.
- g. **Attribution of impacts** – the R&D landscape is complex. There are many organisations at national and sub-national level providing a variety of support that delivery and partner organisations may interact with before, during and after SPF support.
- h. **Spill overs** – research has found that a large proportion of the overall benefits from research and innovation investments tend to be 'spill overs', i.e. the benefits to other firms and wider society that are typically hard to predict and measure.
- i. **Tracking benefits** – the impacts of SPF may be felt over a longer period, than the UKRI monitoring processes are active. This may mean that the full impacts of the SPF impact will not be fully recorded.
- j. **Self-assessment issues** – beneficiary surveys relying on funding recipients' (and wider stakeholders') responses on the impact of funding may be necessary to capture indicators that are not available. Although there is a risk

of bias (e.g. optimism and selection bias), survey design can and should mitigate against bias as much as possible.

- k. **Data sharing** – given the complex nature of the SPF, data sharing may be an issue in the evaluation, particularly given the business elements having complete and comparable data collection.
- l. **COVID-19 considerations** – the measures taken to restrict the spread of COVID-19 have had a significant operational impact upon the research and innovation community at large. We are, therefore, keen to avoid placing undue burdens on our community at this time – particularly those sectors that are focused on research and innovation to help tackle the disease itself. We want our suppliers to continue undertaking commissioned research and evaluation work, but only where this can happen without contributing to the difficulties being experienced by our community in light of COVID-19. As such, suppliers will need to consider and set out appropriate temporary measures that will be taken when undertaking surveys and/or engagement with members of the research and innovation community while these restrictions remain in place.

19. Defining and assessing MIDRI

- a. As set out in paragraph 4, one of the SPF's overarching objectives is to drive an increase in high-quality MIDRI. MIDRI can be associated with various stages of R&I activity. It can be considered from a prospective point of view (in terms of whether what we are funding aims to be MIDRI), from an activity point of view (in terms of whether the research being carried out by researchers is MIDRI), as well as a retrospective point of view (in terms of whether the outputs produced are MIDRI). To evaluate the SPF, it is likely that all these perspectives (and more) may be relevant.
- b. As set out in paragraph 5, for the purpose of assessing programmes' bids against the fund's criteria, MIDRI was assessed on the basis of whether two or more research councils or PSREs were supporting the bid. An assessment of MIDRI on this basis is therefore important, but is unlikely to offer sufficient insight in evaluating the SPF against its MIDRI objectives. We expect, therefore, that the evaluation should consider this perspective of MIDRI alongside a set of indicators, producing a more complete picture of the SPF's impact against its MIDRI objectives. We expect the evaluator to set out which MIDRI definitions and measures (quantitative and qualitative) are appropriate for the purpose of evaluation as part of their bid. The successful bidder will subsequently work with the SPF Evaluation Working Group to agree an appropriate approach to measuring and assessing MIDRI as part of the planning phase (as set out in paragraph 22).

20. Data and information to be used in the evaluation

- a. The bidder is invited to propose the data collection activities required to deliver the best evidence for the evaluation. The available fund-level data sources provided by UKRI include:
 - i. Data collected through the grants system on applications (currently the Joint electronic Submission (Je-S) form and Innovation Funding System (IFS)), including Equality, Diversity and Inclusion (EDI) characteristics.
 - ii. Budget monitoring and annual reporting.
 - iii. Data on research and innovation impacts and outcomes collected through the researchfish® and Innovate UK Awards Compliance Commercialisation (ACC) system.
 - iv. Business datasets (such as Quid and Fame) which can provide consistent data for larger companies without the need to conduct surveys.
- b. Examples of data sources, collected by the commissioned evaluation team if they found useful, include:
 - i. Surveys, interviews, workshops or focus groups with SPF board members, UKRI and BEIS stakeholders;
 - ii. Surveys, interviews, workshops or focus groups with non-UKRI partner and delivery organisations;
 - iii. Private third-party business datasets (such as Beauhurst) which can provide consistent data for smaller companies without the need to conduct surveys. The cost for accessing these should be included in the bid budget;
 - iv. Monitoring of career progression via ORCID ID and online CV data, where data allows for this;
 - v. Office for National Statistics (ONS) Business Enterprise Research and Development (BERD) and Gross Domestic Product Expenditure on R&D (GERD) data, and Organisation for Economic Cooperation and

Development (OECD) data for overseas R&D expenditure trend data. It is acknowledged that the relatively small size of SPF will be a limitation in harnessing useful data from these sources.

- vi. Other UKRI data-gathering exercises, including road mapping and other exercises for the industrial strategy, could be used for context. Most notable will be the Research Excellence Framework (REF) and Knowledge Exchange Framework (KEF) exercises, where these reference funding from the SPF.
- c. There is an expectation that independently commissioned programme-level evaluations will be conducted for programmes that meet a financial threshold of c. £20m, and/or are novel or contentious in their aims or the way in which they are being delivered. Based on this criteria, we expect that approximately five programmes will commission a full evaluation. Programmes that narrowly miss the criteria for a full evaluation will be expected to conduct an expert peer review. All programmes, regardless of their size, will participate, support and contribute to the fund-level monitoring and evaluation activities, including delivery reporting, and outcome data collection. The standard tools for monitoring research and innovation impacts and outcomes are the researchfish® and Innovate UK ACC systems.
- d. An SPF programme tracker has been developed by the SPF delivery team to monitor the quarterly progress of each SPF programme throughout its life cycle. A SPF dashboard is under development and will be linked to the programme tracker and will be used to inform the SPF Board on up to date knowledge on SPF programmes (approx. once a quarter), and to identify decisions or immediate actions required to achieve success. The dashboard will include programme-level output indicators (financial information, spend profiles, and matched funding).
- e. In all instances of data collection, the burden on respondents must be minimised as far as possible. Proposed additional data collection should build on what is already collected from funding organisations or third-parties through existing processes where possible, with any new data collection designed to fill in the gaps. The evaluation is expected to utilise data-linking, potentially including to proprietary third-party datasets. Access to these datasets should be considered and costed into proposals.
- f. The bidder is invited to set out what characteristics (e.g. sector, location, R&D intensity) will be used from the dataset for a baseline and matching a control group. How data will be collected from the sample should be explored (both treatment and control groups), including how any issues around engagement will be addressed if primary data collection is to take place.

Deliverables

21. Deliverables

- a. The evaluation is expected to be delivered over 4 phases with discrete deliverables which are outlined below. We have staggered the delivery of the evaluation reports to effectively capture evidence as we go along. Accordingly, we expect each subsequent report to add to the overall evidence base.
- b. At the end of each Phase of the evaluation, all datasets provided, compiled, or used, along with all analysis and reporting relating to them, must be provided to UKRI, such that it will be possible to hand over, in full, to contracting organisations or third parties under contract to them, for the purposes of additional research and evaluation. The contractor will also need to make all the code available to use econometric and survey data analysis. Data must be collected in such a way to enable this to happen. Proposals must state how this will be achieved, including how any data protection issues will be resolved.
- c. All milestone reports would be expected to be iterated with key stakeholders of UKRI and should include an executive summary. The successful bidder will be expected to participate in the following communication (which will be flexible according to the needs of the evaluation and milestones):
 - i. Fortnightly catch ups with the day-to-day evaluation points of contact.
 - ii. Monthly concise written progress updates to be sent (simultaneously) to the SPF Oversight Working Group and the UKRI Evaluation Team.
 - iii. Quarterly presentations including key findings and messages to support the NPIF Evaluation Oversight Board and SPF Oversight Working Group.

- d. Milestone reporting may be subject to an external, independent peer review group of evaluation experts. The contractor will be expected to consider and, if appropriate, respond to any comments from peer reviewers and update the proposed methodology where needed, and make amendments or respond to comments before publication.
- e. All final outputs are for public dissemination. They must be professionally copy edited, produced to a high standard of layout and presentation and written in a manner accessible to a range of stakeholder audiences.

22. Phase 1: planning phase (evaluation framework)

- a. The planning phase will ensure that there is a solid foundation for the SPF evaluation by setting a robust and carefully thought-through evaluation framework, setting expectations on what can be achieved and by when, including any ongoing survey data collection and analysis to enable a robust assessment of the additional impact of the programme on inputs, activities, outputs and outcomes.
- b. This process should start with a review of the SPF Monitoring and Evaluation Plan, attached as Annex A, which should be built upon or amended as appropriate. Expected components of the (draft and later, final) evaluation framework are:
 - i. An outline of the scoping and feasibility of the evaluation, including the segmentation of the SPF programmes to successfully evaluate the objectives of the SPF evaluation;
 - ii. A stakeholder mapping and engagement plan;
 - iii. Detailed timetable for the evaluation reports, outputs and milestones;
 - iv. A risk register;
 - v. To consider, validate and refine the coverage of our proposed evaluation questions and indicators. (Having done so, propose any changes to the current set of questions and indicators that could be delivered within or, if appropriate, beyond the current budget for this evaluation that would drastically improve the level of insight gained by UKRI from the evaluation, and help the evaluation better achieve its aims);
 - vi. Validate and refine as necessary the SPF logic model, defining key success criteria, building on the material already developed and as set out in this document;
 - vii. A detailed proposed evaluation approach, including:
 - The theoretical framework
 - Identification of additional data collection required for evaluation use, and how this data will be collected
 - An outline of the options for the counterfactual(s) to best observe and capture SPF impacts
 - Proposed selection of and approach to case studies across the SPF portfolio, and how these will maximise the breadth and quality of our evidence base
 - An outline of the quantitative and qualitative research, data collection and analysis methods that will be used to conduct the evaluation
 - A clear outline of the intended approach (including specific quantitative indicators) to measure, assess and evaluate the SPF against its MIDRI objectives

23. Phase 2: baseline report

- a. The purpose of establishing a baseline is to provide a clearly defined starting point which can be used as a counterfactual scenario for the impacts of SPF (in which the research or innovation activity did not take place). It is also to understand the current funding landscape for MIDRI in the UK to facilitate a detailed comparison with changes driven by the SPF.
- b. It is expected that the baseline for the SPF will consist of multiple sources of data; as such, it will not be possible to rely solely on programme administrative data to construct a baseline. Therefore, proposals should set out what additional data is required and how it will be collected. Proposals should also consider how to capture and present this for programmes that have already commenced, i.e. collect data retrospectively.

- c. The baseline measurement will support the Final Evaluation Report. Expected components include:
 - i. A description of all caveats and assumptions surrounding the evidence that forms part of the baseline report for the status of support for MIDRI within the current research and innovation system and alignment with cross-Governmental priorities (including definitions, sample size, response rate, collection method and caveats of data).
 - ii. For quantitative evidence, this includes:
 - Relevant statistics capturing the state of the industry and research area of focus prior to commencement of the fund;
 - An assessment of how the industry and research area of focus is likely to evolve during, and at the end of, the delivery of the challenge;
 - For all indicators of impact/success selected to be used in the evaluation (as identified in the evaluation framework), evidence capturing the baseline 'position' against these indicators.
 - iii. Where qualitative indicators (e.g. views, opinions) will be used as part of the evaluation, there should be evidence capturing the baseline 'position' for these indicators.

24. Phase 3.1: Analysis and reporting (interim Process Evaluation)

- a. The purpose of the interim process evaluation is to understand how the SPF was delivered (the associated processes, the activities involved in its implementation and the pathways by which the SPF was delivered) and why the policy was delivered in the ways it was. The interim process evaluation should provide answers to each of the pre-agreed evaluation questions in turn, make an assessment on if there would be any changes to these at the end of SPF funding and state recommendations for ongoing and future improvements.
- b. To ensure that the process evaluation is representative of the whole fund, consideration should be given to the delivery of programmes across the portfolio, ensuring that the range of delivery approaches are captured within this assessment.
- c. The interim process evaluation will support the final evaluation report. Expected components include:
 - i. Assessment of the SPF delivery structure and approach to understand how it has enabled SPF to achieve expected impacts by answering, but not limited to, pre-agreed process evaluation questions. This may include process mapping, surveys and interviews.
 - ii. Collated recommendations for ongoing and future improvements of SPF.

25. Phase 3.2: Analysis and reporting (Interim Impact and Economic Evaluation)

- a. The purpose of interim impact evaluation is to understand what difference the SPF is making in terms of economic, social and knowledge impacts, in addition to whether it is meeting its stated aims and objectives. As this phase will take place during the implementation of SPF it will provide an assessment of the shorter, medium and longer term outcomes and impacts of the programme to date, providing answers to each of the pre-agreed evaluation questions in turn and making an assessment on whether SPF is on track to deliver its expected impacts, and review and adjust the evaluation approach to date as necessary in order to deliver a full impact evaluation report.
- b. The purpose of the interim economic evaluation is to understand if the benefits of SPF justify the costs and how the costs and benefits were generated. It is acknowledged that it will be difficult to derive a robust assessment of value for money by monetising the value of SPF impacts and this work will support the wider impact evaluation.
- c. The interim impact and economic evaluation will support the final evaluation report. Expected components include:
 - i. Assessment of the SPF outcomes and impacts to date to assess if the SPF is on track for delivering the expected impacts by answering, but not limited to, pre-agreed impact and economic evaluation questions.
 - ii. Review of evidence collected through internal monitoring processes.

- iii. A review of the evaluation approach and recommended adjustments if required (e.g. if some baseline indicators have become less relevant due to programme changes, the approach to evaluation and data to be collected will require adjustment such as additional data collection on different indicators).
- iv. Early findings from selected case studies.

26. Phase 3.3: Analysis and reporting (Final Evaluation)

- a. The final evaluation reporting will include and update the interim process, impact and economic evaluations using the most current knowledge, data and experience of SPF available, providing comprehensive answers to each of the pre-agreed evaluation questions in turn.
- b. Expected components include:
 - i. An update of the interim process, impact and economic evaluations previously conducted at the completion of the fund (with thematic findings that address all evaluation questions), by analysing internal monitoring data collected and primary and secondary research conducted by the appointed evaluator.
 - ii. Assessment of the likelihood of achieving the expected impacts in the future beyond the life of programme.
 - iii. Lessons identified / recommendations for future improvements.
 - iv. A description of all caveats and assumptions surrounding the evidence that forms part of the Final Evaluation report (incl. definitions, sample size, response rate, collection method, caveats of data). This should include any updates or changes from the assumptions and definitions used in the interim evaluation reporting.
- c. UKRI will arrange an event (a workshop or conference) to share and reflect on the evaluation findings. The attendees for this event will likely be those stakeholders listed in paragraph 12. The contractor will be expected to deliver the PowerPoint presentation of the evaluation findings and participate in discussions at the event.

27. Phase 4: Evaluation post-SPF Wave 1 and 2

- a. This invitation to tender covers Phase 1, 2 and 3 of the evaluation. Although it does not include Phase 4 of the evaluation, proposals must clearly set out how the evaluation will be completed at the end of Phase 3 to allow the delivery of a longer-term continuation of the evaluation by any potential contractor, including through the provision of all data and contact lists.
- b. Proposals should include a strategy to merge the methodology used in Phases 1 to 3 into Phase 4 as there will be ongoing impacts that should be addressed at those later evaluation stages.

28. Outputs and Meetings

- a. The required outputs and meetings are shown below. The timelines have been suggested; however, if the bidder considers these timescales conflict with the methodology suggested, the bidder is invited to suggest alternative timescales and to provide a rationale.

Phase	Outputs	Meetings
1. Planning Phase		
Planning phase (Jun 2020 – Oct 2020)	<ul style="list-style-type: none"> - Project plan. - Literature Review report. - Draft <i>Evaluation Framework</i> report for review. - Final <i>Evaluation Framework</i> report for acceptance. 	<ul style="list-style-type: none"> - Kick-off meeting with SPF Oversight Working Group. - Workshops (inception, validation workshops) with key SPF stakeholders and subject matter expertise to validate understanding of the SPF and evaluation framework - Meeting to present the Literature Review report and draft Evaluation Framework report to the NPIF Evaluation Oversight Board

		- Meeting to present the final Evaluation Framework report to the SPF Board
There will be a break clause in the contract at the end of each phase where UKRI will make a decision on the contract continuing. Bidders are required to cost each phase separately.		
2. Baseline Measurement		
Baseline measurement (Oct 2020 – Mar 2021)	<ul style="list-style-type: none"> - Project plan update. - Draft <i>Baseline report</i> for review. - Final <i>Baseline report</i> for acceptance. 	<ul style="list-style-type: none"> - Workshop(s) to present and validate high level findings and report structure with key programme stakeholders - Meeting to present the draft Baseline report to the NPIF Evaluation Oversight Board - Meeting to present the final Baseline report to the SPF Board
There will be a break clause in the contract at the end of each phase where UKRI will make a decision on the contract continuing. Bidders are required to cost each phase separately.		
3. Analysis and Reporting		
Interim Process Evaluation (Oct 2020 – Apr 2021)	<ul style="list-style-type: none"> - Project plan update - Draft <i>Interim Process Evaluation</i> report for review. - Final <i>Interim Process Evaluation</i> report for acceptance. 	<ul style="list-style-type: none"> - Meeting to present the draft Interim Process Evaluation report to the NPIF Evaluation Oversight Board - Meeting to present the final Interim Process Evaluation report to the SPF Board
There will be a break clause in the contract at the end of each phase where UKRI will make a decision on the contract continuing. Bidders are required to cost each phase separately.		
Interim Impact and Economic Evaluation (May 2021 – Oct 2022)	<ul style="list-style-type: none"> - Project plan update - Draft <i>Interim Impact and Economic Evaluation</i> report for review. - Final <i>Interim Impact and Economic Evaluation</i> report for acceptance. 	<ul style="list-style-type: none"> - Meeting to present the draft Interim Evaluation report to the NPIF Evaluation Oversight Board - Meeting to present the final Interim Evaluation report to the SPF Board
There will be a break clause in the contract at the end of each phase where UKRI will make a decision on the contract continuing. Bidders are required to cost each phase separately.		
Final Evaluation (Nov 2022 – Dec 2025)	<ul style="list-style-type: none"> - Project plan update - Draft <i>Final Evaluation</i> report for review. - Final <i>Evaluation</i> report for acceptance. - A SPF evaluation Data and Assumptions paper - External Presentation to support the final learning event - Strategy of evaluation post SPF report 	<ul style="list-style-type: none"> - Meeting to present the draft Evaluation report and Evaluation post SPF report to the NPIF Evaluation Oversight Board - Meeting to present the final Evaluation report and Evaluation post SPF report to the SPF Board - Final learning event (a workshop or conference)

Schedule 3- Charges

- 1 The Charges for the Goods and/or Services shall be as set out in this Schedule 3.
- 2 The Charges for the Goods and/or Services are set out in the Appendix to this Schedule 3.
- 3 Where the Services are to be provided on a time and materials basis, the Charges for those Services will be calculated as follows:
 - (a) the charges payable for the Services will be calculated in accordance with the Supplier's day rates as follows:

[Day rates to be inserted]
 - (b) the Supplier's day rates for each individual person are calculated on the basis of an eight-hour day worked between such hours and on such days as are agreed by UKRI and the Supplier;
 - (c) the Supplier will not be entitled to charge pro-rata for part days without the prior written consent of UKRI;
 - (d) the Supplier will ensure that every individual whom it engages to perform the Services completes time sheets recording time spent on the Services and the Supplier will use such time sheets to calculate the charges covered by each invoice and will provide copies of such time sheets to UKRI upon request; and
 - (e) the Supplier will invoice UKRI monthly in arrears for its charges for time, as well as any previously agreed expenses and materials for the month concerned calculated as provided in this paragraph 3 and paragraph **Error! Reference source not found..**

Schedule 4- Key PersonnelKey Personnel (name and
title)

Role in the performance of this Contract

[insert]	[insert]

Schedule 5- Change Control Notice

Contract Reference:					
1. Change Request Number:					
2. Requested amendments to Contract (including reasons):					
2.1 Effective date:					
This change is effective from: _____					
2.2 The Contract Term is amended as follows:					
Original Expiry Date: _____					
New Expiry Date: _____					
3. Cost impact					
3.1 The Charges are amended as follows:					
	Quantity	Unit cost (£)	Net cost (£)	VAT (£)	Gross cost (£)
Original Contract Value					
New contract Value					
3.2 New Contract terms:					

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Both UKRI and the Supplier agree that they are bound by the terms and conditions set out in this Change Request and, except as set out in this Change Request, all terms and conditions of the Contract remain in full force and effect.

Signed on behalf of

Signed on behalf of

UK Research and Innovation

[insert Supplier's name]

by:

by:

Signature of authorised officer

Signature of authorised person

Name of authorised officer (please print)

Name of authorised person (please print)

Date

Date

